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Coaching and mentoring in the Nigerian Universities: Implications on employee productivity

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Abstract

The term 'coaching' is a process that aims to improve performance and focuses on the 'here and now' rather than on the distant past or future, while mentoring is a system of semi-structured guidance whereby one person shares their knowledge, skills and experience to assist others to progress in their own lives and careers. Mentors need to be readily accessible and prepared to offer help as the need arises - within agreed bounds. The study evaluates the coaching and mentoring activities in the Nigerian University system using a cross sectional survey method to elicit information from staff of selected public and private Universities in Nigeria. The objective is to determine the impact of the University coaching and mentoring programmes on the employee's productivity. Structure questionnaires were administered to a selected sample size 350 academic and non-academic staff. The study is anchored on the facilitating theory – the humanistic approach of Carl Rogers and his collaborators. The tenet of the theory is that learning will occur by the educator acting as a facilitator that is by establishing an atmosphere in which the learner feels comfortable to consider new ideas and are not threatened by external factors. The paper found out the obvious absence of coaching and mentoring programmes in most Nigerian Universities.

Keywords: University, Mentoring, Coaching, Productivity and Innovations

1. Introduction

The University system all over the world is known as the citadel of learning. Most university have come to realize this fact which most probably prompted them to develop their vision and mission statements to capture such phrases as, "to be the centre of knowledge excellence, to remain or be the world class university of excellence in learning, teaching and researching, to be the first university of knowledge breeding in Africa or in the world..." etc. and for the universities to remain as the fortress of knowledge dissemination, there must be a routine and continuous succession programme where the university best hands can replicate themselves from one generation to another. This can only be achieving if and only if universities put in place a programs where senior academics can on regularly routine basis coach and mentored the upcoming young academics.

In the field of sports, it is one of the most vital requirements that coaches are hired at very high salary scale in other to attract the coach for the job of coaching the country's sport teams. This could be football, swimming, lawn tennis, badminton, running, long jump etc. depending on the requirement and interest of the specific country, all areas of the sports need a professional coach. It is no gainsaying that this area of operation in the field of sport is never taking with levity as success depends on the coach. Winning a gold medal in the game of sport requires a good coach or mentor who will handle the teams of athletes professionally into victory.

According to Eric (1999) '*Coaching*' is "a process that enables learning and development to occur and thus performance to improve. To be a successful a Coach requires a knowledge and understanding of process as well as the variety of styles,

skills and techniques that are appropriate to the context in which the coaching takes place" while '*mentoring*' is an "off-line help by one person to another in making significant transitions in knowledge, work or thinking". From ancient historical perspective, there are preponderance of evidences that great scholars of the ancient Greece and Rome have left a legacy of replicating their kinds and species of knowledge from one generation to another or from one class of genius to another breed of academic geniuses. So it continued which manifested into several of scientific knowledge and breakthroughs. For instance, the great philosopher Socrates taught or mentored Plato, then Plato mentored Aristotle, and Aristotle mentored Alexander the Great. So is the transfer of knowledge through mentorship and coaching in order to replicate or reproduce the scholars' kinds or academic species, (DeMichele, 2017).

The academic staff members of Nigerian Universities are referred to as faculty or lecturers, and are expected to perform three principal functions of teaching, research and community service. According to Winfield and Jarret (2001), the demands of academia naturally exposes faculties to occupational stress and the need to balance several conflicting issues such as teaching, research, work-life balance, promotion and professional development. The optimal execution of faculty's duties requires expertise in such areas as excellent tutoring, examination processing, project/dissertation/thesis supervision, technical reports, paper presentation at conferences, article publication, book editing, and administrative obligations. The faculty's abilities and competence in each of these functions determine the velocity of their professional development. Consequently, qualified and competent faculty are needed for the realization of the goals of university education in Nigeria. However, when qualified and competent faculty are employed, there is the need to address the issue of continuity in the system. The senior faculty will get old and ultimately retire someday, there is therefore the need for succession planning if the standard of education is to be optimized and maintained. Also, the academic setting is a knowledge based system that requires free and consistent exchange of information especially in this age of globalization and rapid technological changes. Mentoring of entry level academics is therefore inevitable in the quest for professional development in the academic milieu (Olowookere, 2017).

This paper therefore examined the "coaching and mentoring in the Nigerian universities: implications on employees' productivity". The overall goal is to determine how coaching and mentoring programmes of Nigeria Universities can effectively moderate the productive output of the teaching and nonteaching staff.

2. Paper's importance

Whitmore (2002) proposes that "coaching is unlocking a person's potential to maximize their own performance" and it is helping the client to learn rather than teaching them." Coaching has been shown to have a positive effect on student achievement in a large-scale evaluation of early literacy teaching (Carnahan et al., 2004). Mentoring is defined as the process of forming and maintaining intensive and lasting developmental relationships between a variety of developers – people who provide career and psychosocial support and the junior person, the protégé if male or protégée if female. (Kreitner and Kinicki, 2004). The importance of this paper therefore, is to discuss the critical link between the coaching and mentoring programmes in the Nigerian University system as applicable to senior academics versus the junior academics and to identify their implications on the overall staff productivity

3. Theoretical base

The study is anchored on the facilitating theory – the humanistic approach of Carl Rogers and his collaborators. The tenet of the theory is that learning will occur by the educator acting as a facilitator that is by establishing an atmosphere in which the learner feels comfortable to consider new ideas and are not threatened by external

factors. Facilitation theory, sometimes also called *facilitative teaching*, is a humanist approach to learning, developed during 1980s by an influential American psychologist Carl Rogers and other contributors and is best described in his own words:

We know ... that the initiation of such learning rests not upon the teaching skills of the leader, not upon his scholarly knowledge of the field, not upon his curricular planning, not upon his use of audio-visual aids, not upon the programmed learning he utilizes, not upon his lectures and presentations, not upon an abundance of books, although each of these might at one time or another be utilized as an important resource. No, the facilitation of significant learning rests upon certain attitudinal qualities which exist in the personal relationship between the facilitator and the learner. We cannot teach another person directly; we can only facilitate his learning.

Rogers' theory therefore sees the teacher as the key role in the process of learning, but not as a walking textbook transmitting its contents, but as the facilitator of learning. The facilitation here occurs through the teacher's attitudes in his personal relationship with the students. Rogers suggests three attitudinal qualities necessary for facilitative practice (both in counselling and education). These so called *core conditions* are:

- **Realness:** "It means that he [the teacher] is being himself, not denying himself." The teacher has to be a real person aware of his feelings and able to communicate them appropriately, no matter how exactly does he feel. He should not be just a role in the play of education, "a faceless embodiment of a curricular requirement or a sterile tube through which knowledge is passed from one generation to the next".
- **Prizing, acceptance, trust:** This refers to teacher's caring about the student and his acceptance of student's feelings (one that support learning as well as ones disturbing it). It is the trust and prizing of his capacity and abilities as a human being.
- **Empathy:** Empathy means being able to walk in others shoes. This means that a teacher can understand student's perspective on the process on learning and his reactions from the inside. The accent here is on understand, not judge or evaluate.

4. Mentoring and Coaching in Human Resource Management in Nigeria

One of the key roles of the Industrial Psychologist in the work environment is centred on his interlocking responsibilities of offering mentoring and coaching services which offer their clients (the mentees) a supportive and motivating environment to explore what they want in life and how they might achieve their aspirations and fulfil their needs. By assisting the client in committing to action and by being a sounding-board to their experiences, coaching allows the individual the personal space and support, they need to grow and develop. The coach's or mentor's key role is often is assisting the client to maintain the motivation and commitment needed to achieve their goals (Ukpata, 2010).

Whilst couple of professionals exist in this regard to provide all the mentoring and coaching services in organisations, it must however be stressed that the role and responsibility of the Industrial Psychologist becomes more profound in this regard because of the peculiarity of the strategic position of professional training. It is important therefore to mention here that the need for developing the compendium of the Human Resources in the Nigerian work organisations rests on the dire need of the organisations' managers to be radically proactive, and sincerely enshrine mentoring and coaching services as operational routines in the day-to-day work schedules of such organisations (Ukpata, 2010). According to Eric (1999)

'Coaching' is "a process that enables learning and development to occur and thus performance to improve. To be a successful a Coach requires a knowledge and understanding of process as well as the variety of styles, skills and techniques that are appropriate to the context in which the coaching takes place" while 'mentoring' is an "off-line help by one person to another in making significant transitions in knowledge, work or thinking"

Organisational development, changes brought about by mergers and acquisitions as well as the need to provide key employees with support through a change of role or career are often catalysts, which inspire companies to seek coaching or mentoring. At one time coaching and mentoring were reserved for senior managers and company directors, now it is available to all as a professional or personal development tool. Coaching and mentoring are also closely linked with Organisational change initiatives in order to help staff to accept and adapt to changes in a manner consistent with their personal values and goals.

As Eric (1999) puts it:

Coaching and mentoring, both of which focus on the individual, can enhance morale, motivation and productivity and reduce staff turnover as individuals feel valued and connected with both small and large Organisational changes. This role may be provided by internal coaches or mentors and, increasingly, by professional coaching agencies. Coaching and mentoring programmes generally prove to be popular amongst employees as coaching achieves a balance between fulfilling Organisational goals and objectives whilst taking into account the personal development needs of individual employees. It is a two-way relationship with both the organisations and the employee gaining significant benefits.

A critical look at the Eric's position indicates that in most Nigerian organisations, coaching and mentoring activities are placed as second fiddle and seldom exist. While these services sparsely may exist in some or few private sector organisations, they are completely non-existence in the public sector organisations. This is one area that the human resource development in the Nigerian public sector (Civil Service) bureaucratic system becomes a matter of urgent attention as most civil servants in Nigeria have over time developed very poor attitudes to work and seemingly do not show signs of professionalism or expertise in their daily routine operations.

5. The Mentored and Un-Mentored Workforce: A Critical View

Many mentoring clients of organisations will seek coaching or mentoring for performance enhancement rather than the rectification of a performance issue. Coaching and mentoring have been shown to be highly successful intervention in these cases. When an organisations is paying premium rates for development services, performance is usually the key pay-back they are looking for, (Khanna, Medsker and Ginter, 2012). Even if an executive or manager receives support in balancing work and home life, it will be with the aim of increasing their effectiveness and productivity at work and not for more altruistic reasons. Performance coaching derives its theoretical underpinnings and models from business and sports psychology as well as general management approaches. Therefore, when workforce are properly mentored and coached, such workforce are better placed to understand what the Organisational culture and value systems are and what are the driving forces toward achieving the desired result in overall Organisational performance. The intuitive nature of the individual and group mentees transcend the dynamics of the corporate Organisational vision and mission that guides and regulate the behavioural life style of such individuals or groups so mentored which are anchored and amplified as the Organisational culture. As such, organisations that mentored are the organisations that have hooked to their corporate value system through training of workforce (Ukpata, 2010). He further states, that, "this implies that organisations

which trains, mentors and coaches workforce finishes first ahead of competitors while the organisations that did not do the needful finishes last behind competitors because of the adverse result of un-mentored cleavages of workforce that would cause Organisational ruin."

6. Comparison of Coaching and Mentoring

Coaching and Mentoring use the same skills and approach but coaching is short term task-based and mentoring is a longer term relationship. The CIPD differentiates between coaching, mentoring and counselling. It is helpful to understand these differences as, although many of the processes are similar, they are generally delivered by individuals with different qualifications and different relationships with their client. The difference can be summarized as follows: "A coach has some great questions for your answers; a mentor has some great answers for your questions."

Table 1: Coaching And Mentoring

Mentoring	Coaching
Ongoing relationship that can last for a long period of time	Relationship generally has a set duration
Can be more informal and meetings can take place as and when the mentee needs some advice, guidance or support	Generally more structured in nature and meetings are scheduled on a regular basis
More long-term and takes a broader view of the person	Short-term (sometimes time-bounded) and focused on specific development areas/issues
Mentor is usually more experienced and qualified than the 'mentee'. Often a senior person in the organisation who can pass on knowledge, experience and open doors to otherwise out-of-reach opportunities	Coaching is generally not performed on the basis that the coach needs to have direct experience of their client's formal occupational role, unless the coaching is specific and skills-focused
Focus is on career and personal development	Focus is generally on development/issues at work
Agenda is set by the mentee, with the mentor providing support and guidance to prepare them for future roles	The agenda is focused on achieving specific, immediate goals
Mentoring revolves more around developing the mentee professional's career	Coaching revolves more around specific development areas/issues

7. Building Human Resources through Cognitive Industrial Psychology in Nigerian Work Organisations

In any country, there can be no meaningful economic growth without adequate human and natural resources. Human capital is so important that in the Khartoum Declaration of 1988, it was asserted that:

...the human dimension is the sine qua non of economic recovery ...no SAP or economic recovery programme should be formulated or can be implemented without having at its heart detailed social and human priorities. There can be no real structural adjustment or economic recovery in the absence of the human imperative (Adediji et al., 1990) in Ukpata 2012.

The concept of human capital refers to the abilities and skills of human resources of a country, while human capital formation refers to the process of acquiring and

increasing the number of persons who have the skills, education and experience that are critical for economic growth and development of a country. Human resources are all embracing, that is, it is inclusive of persons who works now, or are likely to be productively employed sooner or later. It is a continuum, which ensures and a continuing process of development from childhood to old age, and a must for any society or enterprise that wishes to survive under the complex challenges of a dynamic world (Ukpata, 2011).

Industrial-Organisational (I-O) psychology is concerned with the study of workplace behaviour. People who work in this areas apply psychological principles to areas such as human resources, employee training, marketing and sales, and Organisational development. I-O psychologists often apply research to increasing workplace productivity, selecting employees best suited for particular jobs, and product testing.

Therefore, the need to mentor cognitive leagues of Industrial psychologists that would be capable of managing the multi-cultural behavioural pattern of the Nigerian work environment becomes more and more a key critical concern this present research paper. Not only does the present state paucity of resource person from the Industrial Psychology field pose a greater challenges to the vast data base of Nigerian private and public sector organisations, the neglect of strategic policy thrust that could mandate a delineation a compulsory role of the Psychologist in our nation's business environment are most worrisome. Bureau of Labour Statistics, U.S. (2014) states that, "Industrial-Organisational psychologists will be in demand to help to boost worker productivity and retention rates in a wide range of businesses. I-O psychologists will help companies deal with issues such as workplace diversity and anti-discrimination policies. Companies also will use psychologists' expertise in survey design, analysis, and research to develop tools for marketing evaluation and statistical analysis."

8. Research purpose

The objective is to evaluate the impact of the University coaching and mentoring programmes on the employee's productivity and to specifically determine:

- The diversity of developmental relationships available between the Senior and the junior academics
- The strength of these developmental relationships in building academic career within the Nigerian universities
- The effectiveness of the coaching and mentoring programmes amongst the heterogeneous cultural setting within the Nigerian Universities
- Learning gaps created due to non-application of coaching and mentoring programmes by Nigerian universities.
- The extent to which coaching and mentoring programmes have influence staff productivity in the Nigerian Universities.

9. Research question/s

From the broad purpose and specific objectives of this paper as articulated, the paper is confronted by the following research questions:

- Are there any developmental relationships established between the upper echelon of academics and the junior level academics in the Nigerian Universities?
- What are strength of these relationships in building academic career within the Nigerian universities?

- How effective and efficient are the coaching and mentoring programmes amongst the heterogeneous cultural setting within the Nigerian Universities?
- Are there some learning gaps created due to non-application of coaching and mentoring programmes by Nigerian universities?
- To what extent has coaching and mentoring programme influenced staff productivity in the Nigerian Universities?

10.Implications for HRD practice

Mentoring is a process of opening our lives to others, of sharing our lives with others; a process of living our lives for next generation. (Ron. Lee Davis, cited in Adeboye, 2014). This statement implies that this study will have great implications on Human Resource Development practice in the following ways:

- The study is set to impact positively on the overall HRD of the Nigerian universities.
- It will show clear potential in people and place premium in developing such potentials
- There will leadership succession training and development will be enhanced in the University HRD
- Legal ownership of Organisational management by all categories of university workforce.
- Organisational culture will be adequately understood and applied by all staff in the organisations
- The universities' HRD will be better positioned to be competitively relevant in the global education market place

11.Conclusions

It is therefore important to stress on the old Chinese proverb which states that "if you are planting for years, plant grains, if you are planting for a decade, plant trees. And if you are planting for a century, plant people". Coaching and mentoring is all about planting people of diverse skills and talents. Therefore, coaching and mentoring programme is sine-qua-none in university workforce development in Nigeria.

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Coaching as a mechanism for building resilience within individuals

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Abstract

Organisational environments have increasingly become ambiguous and uncertain with often times unrealistic expectations on individual employees (Casserley and Megginson, 2009). Coaching which has its theoretical roots in psychology has the ability to provide individuals with coping strategies to navigate personal and organisational expectations (Neenan, 2009). The meaning or attitude of an individual is crucial in understanding how well they will cope with adversity. This paper proposes coaching as a mechanism to equip individuals in developing personal resilience. Through the coaching process, the individual is able to build coping strategies with which to resist the prevailing narrative of the organisations, particularly when such narrative may be detrimental to their individual wellbeing. Using a coaching approach, individuals are able to develop a personal narrative with which to strengthen and maintain their boundaries. This paper will examine previous research studies examining the link between coaching and developing personal resilience. The research also includes a small- scale case study with a sample of managers engaged in coaching, to explore their perceptions of how coaching has supported the development their personal resilience.

Keywords: Coaching, Resilience, Developing, Personal, Organisations

1. Introduction

There is no question that we are in the midst of one of the most turbulent periods for UK organisations, with economic, political and social uncertainty. Against this backdrop, the UK workforce is reporting higher levels of stress, depression and anxiety than ever before, with figures from the Health and Safety Executive, showing that 57% of all work days lost to ill health are attributed to these health issues (HSE 2018). The notion of resilience is a hotly debated topic, partly because higher levels of resilience is linked to greater levels of well-being. Personal resilience is described as a capacity of the individual to maintain stable functioning in the midst of a highly traumatic and stressful situation. Many organisations have approached the issue of workforce resilience by adopting employee health and well-being programmes as part of an HR strategy and there is guidance and advice for organisations from bodies such as the CIPD (CIPD 2018).

There have also been a number of studies examining the use of coaching to address individual resilience, usefully summarized in a recent article by Lawton Smith (2019). There appears to be growing evidence from these studies (Grant et al., 2009, Sherlock-Storey et al., 2013, Lawton, 2017) that many alternative coaching approaches can help increase individual resilience. The purpose of this paper is to extend this area of research, by examining the impact of coaching on individual resilience in a small sample of coachees, who volunteered for coaching as part of coach development programme in a Higher Education setting. The study addresses the conference theme and the coaching and mentoring stream call for papers to help understand the role of coaching in shaping flexible, innovative, sustainable organisations and change.

This paper proposes coaching as a mechanism to equip individuals in developing personal resilience. Through the coaching process, the individual is able to build coping strategies with which to resist the prevailing narrative of organisations, particularly when such narrative may be detrimental to their individual wellbeing. Using a coaching approach, individuals are able to develop a personal narrative with which to strengthen and maintain their boundaries.

1.1 Context and Background

All the authors of this paper work as coaches, with two also working as tutors on an MA in Coaching in an HE institution. The third author, a final year student on the MA Coaching programme and an Organisational Development (OD) Manager in a city council, has an interest in the use of coaching as mechanism for developing resilience in individuals, in order to help inform future recommendations on OD initiatives in her organisation. This study will also form part of her Masters dissertation. In addition to exploring previous studies on the use of coaching in developing individual resilience, we aim to conduct a small-scale study with a sample of coaches.

The intention is to provide the initial findings from the primary research at the conference therefore we provide some detail on the parties involved and the conduct of the research below.

The coaches providing coaching in this study are 'student coaches' currently on the first and second year of the University's MA in coaching programme, looking to expand their practice by offering 'free' coaching.

The coachees are volunteers, who were offered coaching. Some are part time students studying a Postgraduate Leadership and Management qualification at the same University and some who have requested coaching via the Faculty's coaching network. All coachees are employed and work in a variety of junior to senior management roles across a range of organisations and sectors.

All coachees were made aware that they were to be coached by a coach 'in training' and that there would be a minimum of three coaching sessions. The coachees agreed to provide feedback to their coach on their experience of coaching and on the practice skills of the coach. Coachees could use their coaching sessions for any aspect of their personal or professional development. The coaching sessions have taken place between January and May 2019.

The coachees have given their consent to being part of the research and are taking part in semi-structured interviews to explore their experiences of receiving coaching and whether their individual levels of resilience have increased because of being coached.

2. Theoretical Development

Meredith et al. (2011) reviewed the extensive literature on resilience and concluded that the definitions varied depending on their emphasis of a) the basic abilities possessed by the individual, b) the ability of an individual to adapt to adverse events and c) the availability of documentation demonstrating positive changes after adversity. Some definitions of resilience perceive it as an ability within the individual whilst others perceive it as a capacity of the individual to maintain stable functioning in the midst of highly traumatic and stressful situations. Finally, others focus on growth and positive changes after an adverse event.

Steward (2014) describes emotional resilience as "the ability to sustain activity involving emotional connection without being overwhelmed. To sustain or cease activity requires energy. Energy alone is not sufficient: it must be purposefully directed". This is an interesting definition for two reasons; firstly Steward (2014) specifies a resilience to activity one has an "emotional connection" to. We would question this suggestion that as individuals we require resilience only for the part of our lives that require emotional investment.

Secondly, we find the point that "energy alone is not sufficient" but that the energy of an individual must be "purposefully directed" an interesting one. In

organisations or on a smaller scale in teams it is not unfamiliar to observe individuals avoiding, procrastinating or just investing their energy in to particular areas and not others despite the urgency. It seems that if this is the case, coaching is an ideal environment to explore these potential barriers.

For the purpose of our research, we have adopted the definition of resilience as put forward by Estrada et al. (2016:497), "...as a dynamic process by which an individual's characteristics, abilities, and competencies combine to enable the individual to adapt, recover, and grow in response to challenging and/or threatening conditions." Supporting the ability of an individual to adapt and grow are expected outcomes of a coaching intervention. Growth can also result from a negative as well as a positive experience and the coaching support will endeavour to equip the coachee to extract the growth opportunities from both positive and negative experiences.

An understanding of resilience and ways in developing or enhancing resilience within an individual needs to include an awareness of the role of emotions, both positive and negative. Associated with stressful environments is the experience of negative emotions and/or the inability to control emotions. When negative emotions dominate, the individual may experience a sense of helplessness and the inability to develop coping strategies. Positive emotions on the other hand, are also seen as important in building the capacity for resilience and ways of expressing it (Kay, 2016). Positive emotions help to build personal resources thereby developing coping strategies. Based on a review of the literature, Taormina (2015) identified four dimensions of adult personal resilience as follows:

- Determination: Defining the willpower and personal purpose of the individual and the ability to persevere and succeed.
- Endurance: Perceived as the personal strength and fortitude to withstand unpleasant or difficult situations without giving up, including both cognitive and physical.
- Adaptability: The capacity for flexibility and resourcefulness and thereby adjusting oneself in order to fit in with changing circumstances and conditions.
- Recoverability: Perceived as the ability to recover both physically and cognitively from various types of setbacks or difficulties, allowing for a return to one's usual condition.

Taormina (2015) posits that the advantage of the four dimensional perspective of resilience is that it focuses on the intra-personal ability of the individual to develop resilience. This is in opposition to the perceived external factors identified in relation to personal resilience and although of importance, developing internal resilience is more sustainable long term. According to Taormina (2015), it is the reason why some individuals are able to recover from adverse conditions and experiences whilst others may find it more difficult. This resonates with coaching, as during the process of coaching, the coach will spend time on supporting the coachee to develop the internal resources to build on and develop their personal resilience.

Neenan (2009) advocates that it is the meaning, or the individual attitude, attached to events and not the event itself, which determines how one reacts to such events. He goes on to suggest that people do not respond to events, but instead respond to their interpretation of the events. This goes some way to explain why different individuals may vary significantly in their interpretation and reaction to the same event. During the coaching process, the coach will take the time to question and identify the attitude expressed by the coachee to certain events and explore alternative interpretations that may be more enabling to the coachee. Neenan (2009:19) introduces resilient attitude as a significant aspect in dealing with stressful circumstances. He defines the three components of attitude as follows:

1. Thoughts about a person or situation
2. Emotions and how we feel about a person or situation
3. Behaviour and how we behave towards a person or situation

A resilient attitude is seen as flexible in nature, allowing the individual to adapt to new or different circumstances. A cognitive behavioural perspective suggests that how we think about unpleasant events we encounter will largely determine our thoughts and behaviours towards such events (Neenan, 2009).

2.1 Coaching

It is a helpful starting point to define, what is meant by coaching and the subsequent benefits to the individual and/or their organisation. "Coaching is a human development process that involves structured, focused interaction and the use of appropriate strategies, tools and techniques to promote desirable and sustainable change: coaching is recognized as a powerful vehicle for increasing performance, achieving results and optimizing personal effectiveness" (Cox et al., 2014).

We referred to the study of resilience through a Cognitive Behavioural perspective above and thinking about coaching in the context of personal resilience, Cognitive Behavioural Coaching (CBC) is of equal importance. CBC has been defined as "An integrative approach which combines the use of cognitive, behavioural, imaginal and problem solving techniques and strategies within a cognitive behavioural framework to enable coachees to achieve their realistic goals" (Palmer and Szymanska, 2007).

CBC is based on the premise that as individuals we will perceive or think about a scenario or situation in a specific way. This thought has an impact on how we feel. It seems logical therefore, that if an individual is offered another perspective or reality this could have an impact on their thoughts, feelings, potential actions going forward and therefore impact levels of resilience. Beck (1976) describes this perception as our internal dialogue, "the critical inner voice in our heads that impacts our self-esteem making us doubtful of our self-efficacy (competence) and self-worth." Again, if sustained, this self-doubt could affect an individual's levels of resilience. Another relevant area of coaching when thinking about its potential impact on resilience is Positive Psychology Coaching (PPC). Gable and Haidt (2005) describe PPC as, "the conditions and processes that contribute to the flourishing or optimal functioning of people, groups, and institutions." Fredrickson (2001) conducted a meta-analysis of over 350 studies and concluded that although feeling good might be viewed as a temporary shift in emotion, a short-lived change, that actually positive emotions can have a long-lasting and significant impact on resilience; "positive emotions enhance cognitive, affective and physical resilience, and broaden our repertoire of thoughts and behaviours."

3. Discussion

This brief look at coaching in relation to resilience leads us to ask the question whether all coaching have an impact on personal resilience or just particular methods. It was clear in our original definition by Cox, et al. (2014) that coaching promotes desirable and sustainable change. However, Reeves and Allison (2009) disagree. They believe that the method of "Renewal Coaching" is the *right* way to affect sustainable change and in fact, other methods are ineffective, "traditional coaching has been an insufficient remedy for the failures of individual and organisational change." The Renewal Coaching framework has seven "essential components", one of which is resilience. As well as resilience there is; recognition, reality, reciprocity, relationship, resonance and finally renewal.

It would appear at first glance the inclusion of 'resilience' in the seven essential components is a real benefit for this method of coaching; a recognition of its importance. However, the theorists take a firm view on the best way to help a coachee to build resilience, "disappointment and loss are all part of human experience in work and life. Renewal coaches help clients develop resilience not through unbounded, superficial and unsustainable optimism, but through an analysis of the clients' responses to painful experiences." Considering the theory we have outlined

about resilience and the impact positive psychology can have for example, it seems that 'spending time' in the coachee's loss and hurt and avoiding optimism is potentially more damaging to coachee.

Furthermore, Reeves and Allison (2009) go on to give a number of examples of where individuals have been tested in terms of their resilience. All of which suggest that issue was the responsibility of the individual, "the flexibility of today can become the paralysis of tomorrow, when the eager executive accepts more projects than can be reasonable accomplished". One could argue that although as individuals we may need help to 'say no,' on the most part resilience is tested because of the pressures that are outside of our control. Again, a potentially interesting area to consider in the coaching interaction; can coaching impact resilience in the same way if the pressures are outside of our control versus within our power to change?

Lanz (2012) uses a case study approach to tell the story of a senior manager in her reflections on building resilience in battle-weary leaders. Her research draws many similarities with that of Steward (2014). Lanz (2012) sets the scene of recession and the additional pressure placed on executive leaders. She talks about the importance of self-awareness and self-management as, with these attributes, a leader can spot the signs when their personal resilience is being challenged and act quickly to avoid breaking point, "a leader who can pick up on: this regression to a less-skilful self is more able to regroup and return to form quickly." Lanz (2012) also talks about the "psychological safety" required for individuals to think and work at their best. She specifically talks about the need for this psychological safety in difficult times such as the "void" created by a distant manager of colleagues. Lanz (2012) in her final recommendations states, "Coaching and self-awareness can help leaders avoid battle weariness and reignite team motivation." This research notices the importance of timing. Is it important to 'catch' a decline in resilience quickly and what does that mean for coaching?

Oana et al. (2016) looked at coaching those working in the banking sector during financial crisis taking into account the impact on stress, resilience and performance. Due to the reported impact on self-perception, self-efficacy and emotion-regulation, Oana et al. (2016) chose to use CBC in their research. Their participants were around 60 senior, multinational bankers. Interestingly, Oana et al (2016) suggest that workplace distress can cause irrational beliefs, which in turn can cause job dissatisfaction, burn out and procrastination. Following their CBC intervention, they realised positive results with improved levels of performance and ability to manage mood and distress, "we found that changes in irrational beliefs and rational beliefs after the program can function as mechanisms for both managing depressed mood and boosting managers' performance levels."

Oana et al. (2016), in a similar way to the previous research set the scene of a difficult working environment. It is within this environment and this time of crisis that they test the efficacy of coaching. It is reassuring to see the positive outcomes that coaching has produced in these studies but it leads us to ask the question, can coaching help build resilience *before* crisis point? Whitmore (2011) in his paper on coaching through the recession makes an interesting point. He agrees with the importance of coaching during difficult times and its potential increased need but also points out the financial implication that could feature for many organisations. "In a time of recession, coaches meet two opposing consequences, the first is that cutting corporate coaching is a quick way to save money and the second is that more people feel less secure and may need coaching help."

Another question research poses is in considering the journey of resilience, is there right time (or indeed a wrong time) to have coaching? Barrett (2004) uses the cycle of change or the cycle of renewal as a basis of her "coaching for resilience." Phase 1 is where an individual is optimistic and eager to go (but potentially unaware of what's to come), Phase 2 is stuck and unsure Phase 3 is growing as a person and Phase 4 is getting ready for change. Barrett (2004) argues that those in Phase 3 or 4 are most likely to respond to coaching. Barrett (2004) argues that resilience is not a singular characteristic but "a combination of different traits" (positive, focused,

organised, proactive and flexible) that one has an orientation towards. This paper appears to suggest that firstly, there is a wrong time to coach an individual. Secondly, that in order to influence resilience the coachee must address their preferences towards specific traits such as a positivity of flexibility.

A theme throughout much of the research presented so far is that of self-efficacy. Self-efficacy is referred to implicitly or explicitly throughout as an important factor in maintaining resilience. Self-efficacy is concerned with "judgments of how well one can execute courses of action required to deal with prospective situations" Bandura (1982). Our past performance and successes clearly have an impact on our feelings about taking on the next task. Pousa and Mathieu (2015) conducted a study on the promotion of employee self-regulation through coaching for the end goal of increased performance. They found a positive result, "coaching by an organisation can increase the self-regulatory behaviour of all its employees through its direct effect on self-efficacy, thus increasing their collective effort, their resilience when faced with challenging circumstances and their flexibility to deal with those circumstances and implement new solutions." I would argue that this study adds weight to the view that self-efficacy plays an important role in individual and organisational resilience and should be considered when looking at the impact of coaching.

Tabibnia and Radecki (2018) in their study of resilience training suggest it can change the brain and that coaching can in fact impact resilience positively. They highlight three "key factors" often addressed and promoted within the coaching environment. The first being, positive expectations, the second being growth mind-set and the third being self-affirmation. They go on to say that, those individuals who do not practice positive expectations may instead have negative expectations, therefore having negative experiences. Those with a growth mind-set deal with failure well as those with a fixed mind-set do not. Those who do not demonstrate self-affirmation may instead be defensive or distracted by their 'inadequacies'. Within this study, coaching played a part along with numerous other techniques and methods but nonetheless played a key role in increasing resilience. Their study resonates with the importance of attitude as suggested by Neenan (2009) above.

4. Conclusion

Organisational environments have increasingly become ambiguous and uncertain with often times unrealistic expectations on individual employees (Casserley and Megginson, 2009). Such demands may result in working lives with unsustainable approaches in the pursuit of careers. As Taormina (2015), points out, employee resilience and wellbeing needs to be considered alongside organisational wellbeing thereby creating a shared responsibility for developing resilience. Working conditions that included sustained exposure to excessive challenges will inevitably lead to negative consequences such as burnout and other stress related illnesses. In the drive for success, organisations have become increasingly more demanding and absorptive with the result that work and workplaces have become more all-consuming (Casserley and Megginson, 2009). Coaching, which has its theoretical roots in psychology has the ability to provide individuals with coping strategies to navigate personal and organisational expectations (Neenan, 2009).

Power permeates the organisational environment and may be exerted through coercion or more subtle means of influence with multiple opportunities existing for the use and abuse of power (Lukes, 2005). Such coercion is capable of eroding the personal boundaries and resilience of individuals. The focus on enhancing individual resilience may result in the reduction of assessing what is defined as an acceptable level of adversity and stress to which individual employees are exposed. The potential danger of focusing on the individual characteristics and ability to exhibit resilience has the potential to absolve organisations for addressing environmental factors leading to a stressful working environment. In this paper, we have discussed the potential of coaching as a mechanism to build resilience in individuals through examining some of the literature and previous research in this area. Once complete,

we intend to share the findings from our own small-scale study, to extend and further build on this discussion.

5. References

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Developing graduate entrepreneurs: Exploring the experiences of university entrepreneurs in residence

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Abstract

This study aims to explore the coaching experience of entrepreneurs in residence in the UK higher education institutions. 'The entrepreneurs in residence' is a relatively new intervention. The individuals who holds these positions appear to claim that they coach the potential entrepreneurs to facilitate to acquire required skills to become successful entrepreneurs. However, this is a relatively under-researched area both within coaching and enterprise/entrepreneurship education. Therefore, we aim to explore individual experience of entrepreneurs of residence (provider of the service) and the students (receiver) perspectives to develop a deeper understanding of how entrepreneurs in residence supports students to gain required understanding, skills and knowledge to become successful entrepreneurs in future. We ask: *How entrepreneurs in residence make sense of their intervention / experience in coaching practice?* Therefore, our main aim is to explore entrepreneurs in residences' experience to address the previously highlighted research and practice gap. The students' perspectives are used to develop additional understanding of entrepreneurs in residence sense-making. Considering the subjective and contextual nature of the study, and its interest in human experience and hermeneutics, the study is conducted adopting Interpretative Phenomenological Analysis (IPA) as the research methodology. This is a working paper, therefore, there is no empirical data collected but the study aims to contribute to develop understanding of the role of entrepreneurs in residence in the UK universities, i.e. their role in developing future entrepreneurs. This study has potential in influencing policy while informing practice and the literature.

Keywords: Entrepreneurship, UK Higher Education, Coaching, Entrepreneur in Residence

1. Introduction

We position entrepreneurship as a social activity (Pittaway, 2000; Cope, 2011, Anderson, 2016; Rajasinghe, and Mansour, 2019) that is situated in context (Brannback and Carsrud, 2016). Therefore, employing traditional mode of learning and development initiatives to enhance entrepreneurial abilities is contestable, especially due to the reductionist, controlled and closed nature of them.

To address this, coaching has emerged as a potential intervention, but it is relatively under-researched (Rajasinghe and Mansour, 2019). The new Enterprise and Entrepreneurship Education guidance (QAA, 2018) emphasises coaching can be highly effective in entrepreneur development endeavours, particularly to provide personalised support to university students aiming to help them to identify their options and address practical obstacles of becoming entrepreneurs.

Informed by the need, most higher education institutions (HEIs) have initiated projects (Rae et al., 2014), to stimulate entrepreneurial activities these institutions have allocated a significant amount of dedicated resources including employing entrepreneurship faculty (Smith, 2017), establishing entrepreneurship centres (Jones and Mass, 2017) and using entrepreneurs to coach students (Aluthgama-Baduge, 2017). In this allocation of dedicated resources, one of the more recent trends in the university-based entrepreneurship ecosystems is the rise of

entrepreneurs in residence (EIR) with more and more business schools using start-up founders to coach students (Moules, 2015; Lloyd-Reason, 2016). These initiatives do not appear to be evidence-based decisions and the success of such coaching interventions and how those interventions have helped students to develop required skills have not been fully explored. Therefore, this study aims to explore the coaching experience of entrepreneurs in residence in UK Universities, particularly to understand how they help students to develop as entrepreneurs.

2. Literature Review

Focus of this study is on university EIR model, however, a brief review of other models can be helpful to comprehend the role of EIR in different contexts. For example, George et al. (2010) discusses three models of EIR - university-hosted EIR model, finance-based venture capital industry-based model and world view model. Sa and Kretz (2015) discuss EIR model in universities whereas Vozikis et al. (2014) discuss EIR in venture capital firms.

In venture capital firms, EIR work as "subject matter experts involved in the evaluation and communication of investment opportunities" (Vozikis et al., 2014). EIRs also facilitate investment decisions by developing relationship between the venture capitalist and the fund-seeking entrepreneur (Schwarzkopf et al., 2010). These authors argue that EIRs play a role as transactional cost reducers by contributing to reduce costs related to contracting, selecting and venture monitoring. The financial model of EIR, according to George et al. (2010) is often designed to fulfil one of the three key functions: 1) "to launch a new entrepreneurial venture, often with the backing of the parent firm or organisation; 2) to assist in the evaluation of potential investments where the entrepreneur has particular expertise; 3) to provide functional expertise to assist with an existing investment". EIRs financial model is emerging as a popular concept both in SMEs and large conglomerates, the current job adverts for such positions (for example British Petroleum, 2019) place an emphasis on coaching abilities of EIR candidate. Therefore, despite the model or the perception, there seems an expectation that EIRs should be good coaches of others.

The other model discussed by George et al. (2010) is the 'world view model' of EIR where corporation of SMEs and university academics are encouraged to make sense of their practices to enhance mutual benefits for both teaching and practice-based entrepreneurship learning. Moules (2015) discusses evidence of such cases where EIR linking academics to real-world businesses. This appears as a more practical approach to the context that we are interested due to its combination of both practice and research. However, due to its random engagement with the entrepreneurship practitioners, it is relatively disconnected from practice compared to the model of University-hosted EIR that aims to encourage graduate entrepreneurship (George et al., 2010). Therefore, the below section places more emphasis on University-hosted EIR model.

2.1 University entrepreneurial ecosystem: University-hosted EIRs and graduate entrepreneurship

The diversity within what entrepreneurship and different purposes and focuses leave us to situate entrepreneurship for this study as the use of creative, innovative thinking and skills to initiate a new venture in order to create values (e.g. social, commercial values) (see Schumpeter, 1934; Klapper and Farber, 2016; QAA, 2018; Lackeus, 2019). Due to the demand for creating businesses to address social and commercial issues, there is an increasing appeal for enterprise and entrepreneurship education at higher education (HE) level around the world (Belitski and Heron, 2017; Jones, 2019; Otache, 2019).

The enterprise/entrepreneurship education in HE, according to Lloyd-Reason (2016), focuses on producing graduates with the right mind-set and skill-set to develop novel ideas and to make them eager to explore opportunities and to make

use of them to generate values. To facilitate such initiatives, entrepreneur-practitioners should play a vital role (O'Connor et al., 2018). This notion has attracted entrepreneurs to take up residence in different institutes (O'Connor et al., 2018) such as EIR in Universities (see Matt and Schaeffer, 2018). These EIRs have begun to perform a key role supporting other entrepreneurial individuals in the entrepreneurial ecosystems (Maas and Jones, 2015; Zagelmeyer, 2017). For instance, in university entrepreneurial ecosystems, EIRs are expected to advice and support graduate entrepreneurs with their nascent entrepreneurial ventures (Maas and Jones, 2015).

The term 'graduate entrepreneur' appears to have interpreted differently by different authors, for example, as a student with the mind-set towards self-employment (Nabi and Holden, 2008), and as a student who starts an organisation during or after completing their studies (Van der Sijde et al., 2008). However, for this study, we would like to keep the notion more open and consider the 'graduate entrepreneur' as students who are currently in the UK higher education with an intention or curiosity to start a business or even the ones who currently run a small business.

The concept of EIR is widespread in the UK and USA higher education contexts. The EIR in this context typically is a serial entrepreneur, an expert from a specific industry, a business executive, investor or academics with strong, previous industry experience who can evaluate the formation of start-up companies (George et al., 2010). Some studies have revealed positive outcomes of the intervention (see for example Christina et al., 2015) and key activities of EIR in the context of USA seems to include building up a community of practice (e.g. guest lecture/social functions/student organisations); keep people engaged (e.g. 1-on-1 meetings, workshops); grow the community (e.g. off-campus relationships) (Silvaggi et al., 2015).

In the UK, EIRs advice on starting a business, link academic research into business practice, enhance industry exposure of the students, facilitate business plan development (George et al., 2010). For example, Cambridge Judge Business School expects its EIRs to give a week's worth of time to evaluate students' business ideas (Moules, 2015). The EIRs of The University of Nottingham are expected to mentor both student and alumni businesses. They also organize networking events, support potential students and researchers (The University of Nottingham, 2019). The EIR scheme of University of Leicester (2019) is to provide students, staff and alumni a structured support through the initial business idea development, start-up business planning, facilitate business development evaluations. Furthermore, the Royal Society Entrepreneur in residence scheme in the UK focuses on facilitating awareness of cutting-edge research and innovation by creating opportunity for industry experienced individuals to work with Universities (The Royal Society, 2019). The experience or interest in coaching and mentoring continue to appear as an attribute with the EIR's role within UK higher education and in industry (see George et al., 2010; Sa and Kretz, 2015). However, it is not clear if coaching is actually happening in the context and how EIRs' practices enhances potentials of the graduate entrepreneur. Therefore, exploration of both EIRs' and graduate entrepreneurs' experience to deepen our understanding of how EIRs facilitate entrepreneurial abilities of students is a timely intervention.

2.2. Entrepreneurship education in higher education and coaching

Some literature (Belitski and Heron, 2017; Malecki, 2018; Lackeus and Middleton, 2018) suggests that the business and business start-up coaches are among many other social actors within entrepreneurial ecosystems. OECD/The European Commission (2013) highlights coaching as an effective approach to strengthening the skills required to engage in entrepreneurial activities. There appears a continuous emphasis on coaching to enhance students' entrepreneurial attributes within the UK higher education context (Newman, 2015; QAA, 2012; 2018). This is an andragogy informed shift of the educators' role (Hynes et al., 2009; Aluthgama-Baduge, 2017).

Aluthgama-Baduge's (2017) study finds evidence of enterprise and entrepreneurship educators act as business start-up coaches. However, start-up coaching is interpreted as coaching an individual through new venture creation process - from idea development to business start-up (Aluthgama-Baduge, 2017). In Kahn's (2011, p.194) view, the coaching in business context promotes success at all levels and effect "the actions of those being coached".

In business context, there are different purposes of coaching, for example, enhancing business performance (Kahn, 2011; Dobrea and Maiorescu, 2015), develop capabilities of senior leaders and executives of existing businesses to ensure growth (Crompton et al., 2012; Dobrea and Maiorescu, 2015; Joseph, 2016), facilitating someone to generate business ideas (Taylor and Crabb, 2017), and acting as a sounding board to improve team interactions by facilitating understanding (Kauffman and Coutu, 2009). These various interpretations demand us to discuss this paper's position of coaching and the below section is dedicated for this purpose.

2.3. Our position of coaching

Coaching has been establishing its presence as a development tool in many fields, leadership development is one such popular area of research and practice (Ely et al., 2010; Gray et al., 2016; Korotov, 2017). However, coaching's ability to facilitate entrepreneurship learning and development is largely unexplored (Rajasinghe and Mansour, 2019). Despite the lack of research and understanding about how coaching facilitates learning and development of entrepreneurs in practice, the use of coaching for the purpose seems to have gained popularity. The authors of this paper are particularly interested in a popular intervention within UK higher education system called "entrepreneurs in residence" (EIR). The EIR claim that they coach the students who are aspiring to become entrepreneurs. Perhaps they are mentoring, counselling, advising, consulting or coaching. We as researchers within the field were curious about this but the funders of the initiative do not appear to worry about the process and what EIR do to make students more entrepreneurial but the outcomes. This may have influenced the lack of attention to the issue. Therefore, exploring experiences of EIR, and the students and their interpretations of the developmental relationship help us to deeper the understanding of the practice. This leads us to argue coaching as a social activity (Garvey, 2011). Thus, the confusion around what coaching means is due to its diversity and Bachkirova (2017, p.31) sees it as "process of joint meaning-making" between the coach and client". We endorse Bachkirova and Garvey's view on coaching and argue that what coaching means can differ according to the context, the use and the expectations (see Passmore and Fillery-Travis, 2011; Maltbia et al., 2014). The acceptance of the diversity and confusions within coaching demands us to develop our position of it for this study. Informed by the contextual practice, and literature (Kilburg, 1996; Kombarakaran et al., 2008; De Haan et al., 2013) we argue coaching as a 'one-to-one conversational relationship between a client (student) and a coach (entrepreneurs in residence) that enhances entrepreneurial abilities of the client.

Despite the growing popularity of entrepreneurship education research within university entrepreneurial ecosystems (O'Connor and Reed, 2018), the above discussion evidences the limited attention given to develop a deeper understanding of EIR's role in developing potential entrepreneurs within the context of UK HEIs. As previously mentioned, EIR claim that they coach students who seek support from them. EIRs being experts within their field, there is possibility of claiming that their practices may link well with the concept of mentoring rather than coaching. However, the term 'coaching' is widely used within the context despite the contradictory arguments and issues. This study aims to resolve one of these issues - how EIR initiative helps student to develop their entrepreneurial abilities, which is timely for both research, practice and policy. Our exploration of both students' and EIRs' interpretation of their experiences can facilitate us to deeper the understanding of

the phenomenon (Van Manen, 1997). For this purpose, we employ Interpretative Phenomenological Analysis as our research methodology.

3. Methodology

Our interest is to explore subjective experience of individual EIR to develop a deeper understanding of how they facilitate entrepreneurial skill development of graduates. Therefore, we acknowledge the significance of subjective understanding of the world and explore individual experience of both EIR and students' experience and how they make sense of their individual experience. Considering our research question and our interest in phenomenology (experience), hermeneutics (sense-making) and ideography (individual subjects), Interpretative Phenomenological Analysis (IPA) has been chosen as an appropriate research methodology.

IPA is a recognized health psychological research methodology which is now widely employed in many different fields (Wagstaff et al., 2014). IPA's primary focus is on lived experience of individual social actors (Larkin et al., 2011). It sets guidelines to explore individual sense making of a particular experience (e.g. setting up a business) in a given context (Smith et al., 2009; Wagstaff and Williams, 2014). IPA is informed by three philosophical underpinnings, namely phenomenology, hermeneutics and ideography (Smith et al. 2009; Callary et al. 2015). Our interest in human experience and the meaning that individuals impart into their experience is closely linked to philosophical stances of IPA due to its interest in 'being in the world' and the 'lived experience' (Larkin et al., 2011).

Phenomenology is a complicated concept rooted in Heidegger and Heidegger's early work (Smith et al., 2009). We do not intend to explore phenomenology in-depth but to justify IPA's position of it. IPA believes in both descriptive and hermeneutic phenomenology, nevertheless its interest on phenomenology is due to concept of subjective experience of human beings. Smith et al. (2009) emphasise the importance of phenomenology by stating that, without phenomenology, there is nothing to be understood. The authors also acknowledge the importance of hermeneutics so that the phenomenon is seen and understood.

Therefore, we attempt to explore the experience of individual social actors within the phenomenon of our interest to delve deeper into the perceived realities within the lived experience of the participants. Thus, we discard the objective realities external to the participants (Flick, 2014), and argue that the meaning and social properties are a result of human interpretations (Robson, 2011). Having such position helps us not to focus on developing universal truths (Flick, 2014; Easterby-Smith et al., 2015) and justifies our attempt to develop deeper understanding by exploring individual experiences and how they give meaning to their experiences. It is argued that the nature of existence must be understood by being and involvement in the world (Grbich, 2007) and human beings are inseparable part of the reality (Palmer et al., 2010).

The acceptance of socially constructed nature of our understanding helps justifying our interest on individuals which is in line with idiographic commitments of IPA. Robson (2011) concurs with this by saying that the "focus of social constructionism is on individuals rather than the group, where the interest is how individuals make sense of their world" (p.24).

3.1 Sampling and Data Collection

To answer our research question, and to generate rich qualitative data relevant to the phenomenon of our interest, five EIR from few different universities and five students who have consumed the service from them are selected purposively (Gray, 2014). The sample is recruited placing more emphasis on phenomenon representation over population representation (Smith et al., 2009; Marshall et al., 2013) which adheres to IPA, the research interest and our ontological and epistemological positions. We attempt to ensure the homogeneity of the sample but understand that the full homogeneity is speculative (Clarke, 2009; Roberts, 2013).

The research interest is to develop deeper understanding of individual experience rather than developing generalizable knowledge, which demands a small sample (Smith et al., 2009; Gray, 2014). This is to ensure that the individual detailed analysis of participants' interpretation of their experiences is accomplished (Wagstaff and Williams, 2014; Gray, 2017). Therefore, we employ a small, homogeneous as possible sample for this study.

Semi-structured interviews are used to collect data to ensure richness, and the depth required to answer the research question (Pietkiewicz and Smith, 2012). The explorative naturalistic nature of this study and our interest in contextual and subjective understanding makes semi-structured interviews fit well with the purpose (Grbich, 2007). The chosen method also facilitates participants to have sufficient space to delve deeper and interpret their experiences (Callary et al., 2015). This is widely accepted both in qualitative research and IPA literature which is substantiated by Smith et al. (2009, p.4) saying that "data collection is usually (but not necessarily) in the form of semi-structured interviews".

3.2 Data Analysis

Respecting the idiographic commitments within IPA, the data from EIR is analysed by the first author of this paper and each student data is analysed by the second author. Each interview is transcribed verbatim and subjected to a line-by-line analysis following the data analysis guidance laid out by Smith et al., (2009). IPA literature offers flexibility for the scholars to invent and adapt the guidelines (see). However, Smith (2011) assures that following such guidelines ensures quality and rigour of IPA studies. Once each group is analysed, both individual cases and cross analysis, the super-ordinate themes of each group are compared and contrasted to develop higher level themes (i.e. master themes) of the study that answers the research question. Numeration is not given priority in generating themes (see Smith et al., 2009). Furthermore, we pay a close attention to quality and rigour of the study by employing Yardley's (2000) quality criteria for qualitative research.

4. Findings and Discussion

This is a working paper which is at the conceptual stage, so we have not conducted our data collection and analysis yet. However, we aim to present our findings in an "engaging, coherent and accessible" manner (Gray, 2014, p.632). To accommodate the demands of homogeneity and idiographic commitments, the EIR's perspectives are written up before moving to the student perspectives. Furthermore, it is recognised that we could ensure stronger commitments to ideography by prioritizing participants over the themes (see Smith et al., 2009). However, we choose to present the themes "in turn and present evidence from each participant to support each theme" (Smith et al., 2009, p.109). Our way of presenting findings appears popular within IPA scholars and reflecting on our previous experience of conducting IPA studies, we are more comfortable with organising themes to answer the question rather than giving priority to the participant at this stage of the study. The themes are discussed following the same order that we present our findings. This helps readers to follow the developed narrative accounts of EIR and student experiences.

5. Limitations

The study was carried out to develop a deeper understanding of how EIR make sense of their experience in helping potential entrepreneurs to acquire required skills. Therefore, the finding cannot be generalised and this is in line with our ontological and epistemological assumptions and with IPA. However, in positivist eyes, this may appear as an issue due the contextual and subjective nature of findings. Semi-structured interviews are the only data collection tool that is used in this study. Therefore, method related limitations such as self-reported bias, language and culture related issues may exist. These are part of natural lived world and we

acknowledge that the interpretations are limited, shaped and informed by language and culture (see Smith et al., 2009).

Researchers' (our) involvement in sense-making (double hermeneutics) may appear contradictory at least for the scholars and practitioners who seek to develop value free knowledge. However, to our understanding and according to IPA philosophical underpinnings, this is how social actors develop their understanding by interpreting others' interpretations. The interpretations of the participants are audio recorded and transcribed verbatim. The analysis is based on these transcriptions (written text) which results non-verbal expressions to go unnoticed. Due to our experience and exposure within coaching and entrepreneurship both in research and teaching, there can be tendency to explore positives and pre-defined themes without placing participants' interpretations at the centre of the study. This is called 'dirty reduction' of data (Smith et al., 2009). Our continuous reflection and reflexivity help us to overcome such issues and to ensure quality and validity of this qualitative study.

6. Conclusion

This working paper aims to explore and enhance our understanding of how EIRs facilitate students to develop their entrepreneurial skills. As previously argued, our understanding about this both in practice and in literature is minimal. Informed by our ontological and epistemological positions and the research interest, the study is conducted by adopting IPA, a recognised methodology in health psychology, however, relatively novel within this field. Overall, ten participants are recruited for the study and data is analysed following the guidance laid out in IPA literature. The paper does not present any findings at this stage. However, we expect that the study helps to address the gaps identified both in practice and research, and contributes to further the current understanding of EIR and helps universities to use the initiative more effectively. Therefore, the study has potentials in contributing to research, practice and policy (Etzkowitz, 2003; Etzkowitz and Zhou, 2018).

7. References

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Serious leisure as HRD intervention

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Abstract

Leisure and work are interdependent parts of life. Leisure has potential in contributing to HRD. However, leisure receives limited attention in HRD field. Therefore, this study aims to explore how leisure can contribute to HRD and become an HRD intervention. This study uses a conceptual framework approach. Literatures under keywords, including 1) leisure and work and learning; 2) leisure and work and human resource development; and 3) leisure and work and HRD were selected and reviewed. Types of leisure were found with multiple mechanisms. One among several leisure types found was serious leisure, which included activities that actor puts effort and focus on based on one's own interest. Serious leisure requires actor to engage in with sense of self-development. Results from serious leisure could include knowledge and skill development that might not relate directly to work performance or result in performance improvement abruptly. However, it allows intrinsically sustainable self-development. Such self-development would give positive results in every element of life, including work. To facilitate serious leisure as an HRD intervention, HRD policy makers should eliminate intrapersonal, interpersonal, and structural constraints that relate to leisure as much as possible. Leisure skill needs to be developed too.

Keyword: serious leisure; human resource development; HRD; intervention; work; learning

1. Paper's importance and purpose

This paper takes on the challenge which Bartlett (2018) addressed about a false dichotomy of work and leisure in the field of human resource development (HRD). He argued that leisure could fulfil work. However, leisure received very limited attention from the field of HRD. Sometimes, leisure even received bad reaction. Disrupting the traditional boundary of HRD that divides work and leisure can unleash the potentials of HRD (Bartlett, 2018). Because work and leisure are interdependent parts of life. Without work, people will never have leisure. Work occupies people's time, so that free time is counted. Having no work, people would not know what free time is or could lose track of time (Beatty and Torbert, 2003). However, work alone cannot fulfil life either. Therefore, this paper attempts to reveal the roles of leisure in fulfilling the field of HRD.

It was found in existing literature that leisure could result in many positive outcomes that could contribute to developing human resources in diverse contexts. Many of those outcomes relates to HRD, such as individual work outcomes (Kuykendall, Tay, and Ng, 2015; Wiese, Kuykendall, and Tay, 2017), Organisational outcomes (Kuykendall, Tay, and Ng, 2015; Wiese, Kuykendall, and Tay, 2017), creativity (Mainemelis and Ronson, 2006), work-related learning (Dattilo, Ewert, and Dattilo, 2012; Isopahkala-Bouret, 2008), career development (Isopahkala-Bouret, 2008), or life-long learning (Jones and Symon, 2001; McQuarrie, 1999). This study aims to benefit both HRD and leisure study by providing suggestions on how leisure could benefit as an HRD intervention. There was a suggestion that research should focus on types of activities and their mechanisms in influencing quality of other life aspects (Kuykendall, Boemerman, and Zhu, 2018). This study is a preliminary study

with the purpose to inform the field of HRD about possible roles of leisure as an HRD intervention. This paper proposes serious leisure as a type of leisure which contributes to HRD.

2. Theoretical foundation of leisure and HRD

2.1 Leisure

Leisure could be referred to as activities (Petrou, Bakker, and Van den Heuvel, 2017; Isopahkala-Bouret, 2008; Beatty and Torbert, 2003; Bădicu and Balint, 2014) which are chosen to be done in one's free time (Petrou, Bakker, and Van den Heuvel, 2017; Isopahkala-Bouret, 2008; Beatty and Torbert, 2003) or away from work (Kuykendall, Boemerman, and Zhu, 2018). However, leisure is different from doing nothing or idleness (Kashef and Nazri, 2015). Leisure requires one's actions. Leisure could be sport (Bădicu and Balint, 2014), weekend study programs (Isopahkala-Bouret, 2008), tourism (Beatty and Torbert, 2003), volunteer activities (Beatty and Torbert, 2003), reading, music, watching television, shopping and so on. Even both, leisure and idleness, share the characteristic of happening during free time, leisure requires more than just having free time. Leisure is intrinsically motivated (Isopahkala-Bouret, 2008). It is acted on one's free will (Isopahkala-Bouret, 2008). In other words, to count as leisure, one should have autonomy to decide about such leisure by oneself (Kuykendall, L., Boemerman, and Zhu, 2018). To certain extent, one need to be able to craft their personal activities they take as leisure (Petrou, Bakker, and Van den Heuvel, 2017). One might begin with an activity by tagging along with a group of friends. However, if that is not what one would like to take as leisure that is not leisure. To be considered as leisure, such activity should be able to create enjoyment (Isopahkala-Bouret, 2008). Therefore, an activity which one is forced to do is not counted as leisure. Leisure could also be considered as a method of recovery from work and regaining energy (Kuykendall, Boemerman, and Zhu, 2018). One can always change a perspective toward any activities. Something that we were forced to do when we were young such as music or sport, could be our leisure now. That is simply because now we learn to enjoy it and see it as enjoyment or recovery from work.

However, it is challenging to define leisure and draw a solid line of what could be considered as leisure. It is difficult to have a universal concept of what leisure is. A leisure for someone could be a torture for others (Beatty and Torbert, 2003). To define what activity is leisure, one's attitude toward such activity and one's intention of performing such activity need to be considered (Isopahkala-Bouret, 2008; Beatty, and Torbert, 2003). Taking aforementioned definitions and concepts of leisure, it could be concluded that for one to have leisure one needs to have free time from obligation in life. One also needs to have motivation to adopt certain activities which give one enjoyment. The attitude toward such activities is the key to having leisure.

It is agreed among existing literature that there are many types of leisure. Types of leisure can be divided using different dimensions of leisure, such as the extensiveness of effort put in leisure, degree of physical and mental activeness in doing leisure, and so on. According to the literature, considering the extensiveness of effort put in leisure, leisure can be divided as serious leisure and casual leisure (Stebbins, 2006). In short, serious leisure includes activities which are performed upon personal interests. It could be done as a hobby or perform as an amateur actor. To perform serious leisure, actor put effort and focus on such activities. So that such activities fulfil ones' intrinsic needs and motivation. Ones develop their knowledge and skills to perform the chosen activities better. This kind of leisure normally involves the sense of achievement or fulfilment. Serious leisure also normally requires one to act continuously, rather than acting as a one-time event. Casual leisure is different. It could be an activity which can be done abruptly. It may be a trial or rewarding activity to oneself. This group of leisure does not require continuous

practice or self-development. It normally gives short-term fulfilment, rather than self-achievement.

While considering the activeness of actors, leisure can be divided as active leisure (Dardis, Soberon-Ferrer and Patro, 1994; Firestone and Shelton, 1992; Lee and Bhargava, 2004) and passive leisure (Dardis, Soberon-Ferrer and Patro, 1994; Firestone and Shelton, 1992, cited in Lee and Bhargava, 2004). Active leisure normally requires people to get active. Some scholars mentioned about active leisure as outdoor activities. Sports, working out, and social and cultural activities (Firestone and Shelton, 1992 as cited in Lee and Bhargava, 2004), running, cycling, fishing, photographing, and so on (Dardis, Soberon-Ferrer and Patro, 1994). Passive leisure, on the other hand, does not require activeness of actors. Passive leisure could be watching television and shopping (Dardis, Soberon-Ferrer and Patro, 1994; Firestone and Shelton, 1992; Lee and Bhargava, 2004). It could be concluded that passive leisure requires less cognitive involvement than active leisure. Therefore, it is rather providing more relaxation than active leisure.

Taking the two dimensions mentioned above, a matrix of types of leisure could be portrayed in figure 1 below.

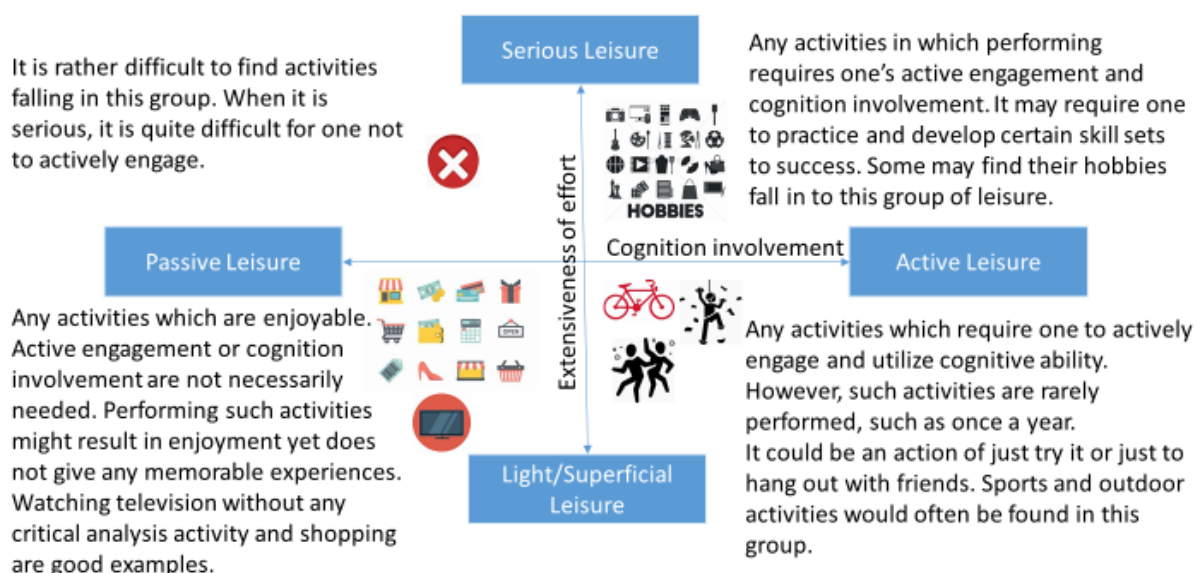


Figure 1 Matrix of active passive serious casual leisure

Leisure can play an important role in HRD effort. Bartlett (2018) suggested that initially, leisure theories did not pay extensive attention to the outcomes of leisure. The focus was on the action of leisure. The outcomes of leisure are possibly contributing to HRD. When the outcomes are not considered seriously, it is difficult to study and define the roles of leisure in HRD. Moreover, HRD limits itself to work-based activities and work-based learning. Currently, definitions of leisure have been expanded, as well as HRD. Quality of work-life was mentioned as an outcome of leisure (Brajša-Žganec, Merkaš and Šverko, 2011). Work-related learning and motivation to learn were mentioned as outcomes of leisure too (Dattilo, Ewert and Dattilo, 2012; Isopahkala-Bouret, 2008). Such outcomes result in increasing people's value and competitiveness in labour market (Isopahkala-Bouret, 2008). Those outcomes relate closely to HRD. Henderson and Bialeschki (2005) suggested that leisure study needs trans-disciplinary studies. That would allow leisure to contribute to the field of social science to the maximum potential. Leisure has a potential in developing human resources, social inclusion, and empowerment (Dattilo, 2018). Admitting such contribution of leisure, HRD could adopt leisure as an HRD intervention.

2.2 HRD

Many scholars put an attempt to defined HRD. In this paper, HRD is taken as an organized process or activity that provide learning experiences that aims for enhancing work-related leaning capabilities, knowledge, expertise, effectiveness, and satisfaction in individual, group or team, organisations, and greater levels (McLagan, 1989, McGuire, 2010; McLean and McLean, 2001; Nadler and Nadler, 1989; Swanson, 1995; Watkins and Marsick, 1997). Therefore, leisure can be considered as HRD intervention as it can be any process that benefits to a person or organisations as the mentioned definition.

HRD was also defined as process and/or activities both short-term and long-term to allow people to learn (McLean and McLean, 2001). There have been many processes and activities mentioned as HRD mechanisms, such as training and development (McGuire, 2010; Nadler and Nadler, 1992), education (Nadler and Nadler, 1992), career development, organisations development, mentoring and coaching (McGuire, 2010) and the integration of many activities (McGuire, 2010)

As mentioned above, literature reviews that definitions of HRD mainly focus on learning in work-base context. As a result, the dichotomy between work and other aspects of life blocks HRD perspective and limit the horizon of development. Learning in other contexts other than work was not considered as HRD in some definitions, like McLean and McLean (2001) mentioned about work-based learning. Another limitation is the outcomes of learning which were limited to effectiveness and improvement at work either in the present or in the future (McLagan, 1989; Nadler and Nadler, 1992; Swanson, 1995; Watkins and Marsick). However, McLean and McLean (2001) gave a possibility of expanding the outcomes of HRD to various levels of stakeholders, from individual, team, organisations, community, and nation to the whole humanity.

2.3 The use of leisure in HRD

Focusing on an implementation of leisure in HRD, especially serious leisure, there have been several studies showing explicitly how leisure activities were used to develop or change individuals' behaviours, and to reach certain outcomes relating to HRD. Lee and Hwang (2017) explored the roles of leisure and well-being. They found that one's subjective well-being (SWE) was significantly related to the engagement in serious leisure.

Lee and Hwang (2017) also found that self-gratification and enjoyment are predictors of SWE which positively related to serious leisure. Self-gratification was also known in a leisure term as "pure enjoyment (Stebbins, 1992, p.95)". Also, Pišot (2013) found that marathon running, as leisure, could decrease stress outstandingly. Such enjoyment and stress relief are developed out of leisure. Literature reveals that leisure could bring subjective well-being to those who perform it. Serious leisure was also found to be able to help decrease the risk of fatigue, burnout and impairment (Wozny, 2012).

Leisure could also bring the sense of self-fulfilling. Pišot (2013) discovered that generally marathon runners identify their running as a career and self-fulfilling activity. Kuykendall, Boemerman, and Zhu (2018) agreed that leisure could make one who engage in leisure find meaning of life. Nurturing people's growth is an important part of HRD. Using leisure to help people find life fulfilment and meaning of life could be considered as well as other HRD interventions.

Apart from self-gratification and enjoyment, and finding meaning of life and self-fulfilment, leisure could allow ones who perform it to develop certain knowledge, expertise, and skill sets. Pišot (2013) discovered that after 5 years of marathon running training, runners found that running could improve their special skills, knowledge and experience.

Sense of belonging and social inclusion could be an outcome of certain kinds of leisure too. Beatty and Torbet (2003) found that volunteer activities as serious leisure, in community level, resulted in a sense of belonging of those who engaged

in such activities. This kind of serious leisure can experience them together with creating sharing meaning and building relationship for communities and societies (Gallant, Arai and Smale, 2013). It was also found that volunteer work and sports, as leisure, could develop a sense of social inclusion (Aksatan and Sel, 2017; Burns, Paterson and Watson, 2009; Gallant, Arai and Smale, 2013). According to the existing literature mentioned above, it could be concluded that there were many kinds of leisure which could result in the outcomes relating to HRD. The common notion of those leisure is that it was taken seriously. Such leisure was performed with effort yet provide certain degree of positive personal reaction and enjoyment, as well as self-development.

3. Research questions and method

The main question for this study is that *how could leisure contribute as HRD intervention?* This study takes on the conceptual paper approach to present the possibility and feasibility of leisure as an HRD intervention. The purpose of conceptual framework is to understand relevant concepts and match relationships among them (Rocco and Plakhotnik, 2009). Conceptual framework allows researcher to explore deeper and wider about the topic (Ravitch and Riggan, 2012). In the case of this study, potential of leisure to be HRD intervention was explored. To explore about such possibility, extensive literature review was performed. This study focused on peer-reviewed articles including the keywords of 1) leisure and work and learning; 2) leisure and work and human resource development; and 3) leisure and work and HRD. The databases used were from authors' accessible portal to several databases such as EBSCOhost, ProQuest, Sage, Science Direct, Springer, and so on. The literature published from 2008 to 2018 was reached. However, literature published before 2008 were also reviewed due to the limited numbers of paper. As a result, there were 17 articles founded. However, those articles were screened in accordance to leisure that relates to the definition mentioned above and also relates to human resource development. Therefore, there were 7 articles as a result from the screening as shown in table 1 below.

Table 1. Literature that are related to leisure and human resource development

No	Article's title	Year	Author(s)	Type of article	Database(s)
1	The False Duality of Work and Leisure.	2003	Beatty, E., J. and Torbert, R., B.	Academic Journal	NIDA and CU
2	Developmental leisure: why work-related learning takes place outside of working hours.	2008	Isopahkala-Bouret, U.	Academic Journal	NIDA and CU
3	Learning versus Working; Factors Affecting Adolescent Time Allocation in Pakistan	2012	Mete, C., Lloyd, C.B. and Salam, N.	Academic Journal	NIDA
4	The Effects of Active Social leisure Activities on Communicative Skills and their Role on Mental	2015	Kashef, F., and Nazri, R.	Academic Journal	Google Scholar

No	Article's title	Year	Author(s)	Type of article	Database(s)
	Health of the Employees of Education Organisations of Hamedan				
5	Weekly job crafting and leisure crafting: Implications for meaning-making and work engagement	2017	Petrou, P., Bakker, A. B. and Van den Heuvel, M.	Academic Journal	NIDA and CU
6	The relationship between personality types and leisure time activities amongst Casino employees' workplace expectations	2016	Naude, R., Kruger, S., Leon., T., D., B., Saayman., M. and Jonker, J.	Academic Journal	Google Scholar
7	The Importance of Leisure for Subjective Well-Being	2018	Kuykendall, L., Boemerman, L., and Zhu, Z.	Academic Book Chapter	Google Scholar

This study used qualitative methods of literature review by using research question as the core of study (Merriam, 2009). Then data is analysed by coding with data driven technique in order to conceptualize the ideas and answer research question based on Ruona (2005)'s coding technique.

4. Emerging findings and discussion

Bartlett (2018) mentioned that learning in either leisure or work can benefit HRD. This study proposes accordingly. Even work and leisure are not the same, they are interdependent. Without work or other obligation in life, there can be no leisure. Because one may lose the sense of time (Beatty and Torbert, 2003). Considering the interdependency of work and leisure, it can be concluded in a continuum presented in figure 2 below.

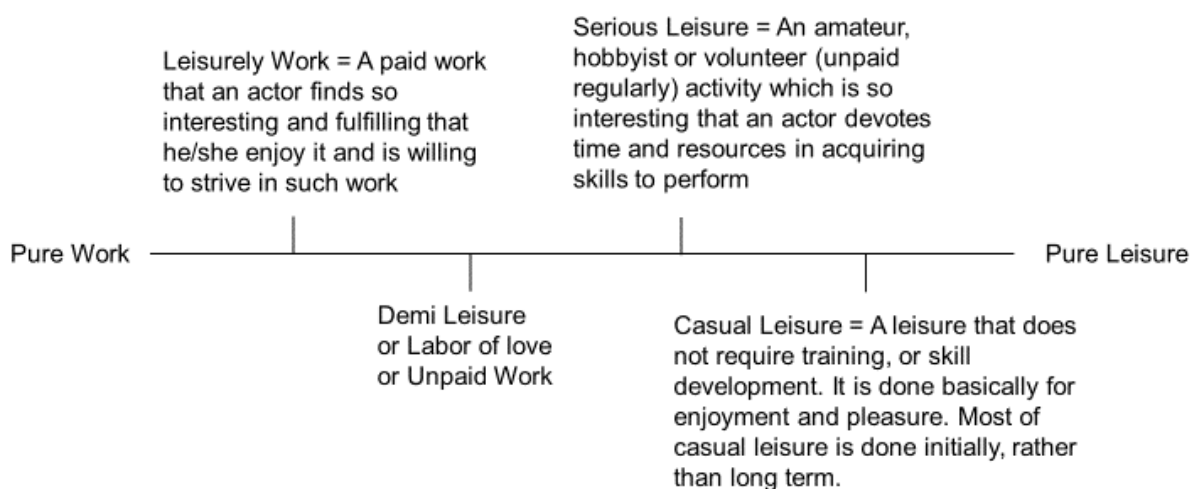


Figure 2 Work-leisure continuum

The results from the literature review reveal mechanisms and outcomes of leisure, as well as types of leisure with connectedness and possibilities to contribute

to HRD. Leisure could result in learning and behaviour modification, so does HRD. Table 2 and table 3 conclude about mechanisms and outcomes of leisure and compare them with the principles of HRD.

Table 2. Summary of mechanisms and principles of HRD

Mechanism of Serious Leisure	Principles of HRD
Determination of practicing serious leisure	Serious participation in HRD intervention effects work performance (Wang and Wang, 2004)
Self-Reflection	Critical reflection plays important role in problem solving and asking the question that effect individual and organisations performance, it could relate to individual and Organisational learning (Van Woerkom, 2004) and support self-directed leadership (Nesbit, 2012)
Sharing of experiences in serious leisure with others who might have different serious leisure activities	Learning from experience, directly or indirectly, effects on the ability to improve in both individual or Organisational level (Smith, 2004) and Organisational learning (Dixon, 1992)
Intrinsic motivation of individual	Organisations can success in long term and sustain if it can attract employees who have high performance and engage with the organisations. Those employees have intrinsic motivation from the work itself or the environment in organisations that is meaningful to them (Chalofsky and Krishna, 2009)
Social motivation and support and surrounding factors	HRD, human capital, emotional intelligence, organisation's products, and internal and external environment effect each other (Brooks and Muyia Nafukho, 2006) and social support enhance performance (Bhanthumnavin, 2003)
Changes in behaviour and being active in serious leisure	Participation in HRD intervention such as training or coaching has positive effect on performance, contribution in work, and job satisfaction (Rowold, 2008; Wang and Wang, 2004)
Happiness and satisfaction in serious leisure activities	HRD intervention that support positive psychology has positive effect on work (Avey et al., 2011)
Development of positive attitude in leisure	HRD intervention that support positive psychology has positive effect on work (Avey et al., 2011)
Playing, experimenting, or playing new roles	HRD practitioner should consider new approach that response to organisation's missions, HRD missions, and needs of internal and external customers (Mafi, 2000)

Table 3. Summary of outcomes of serious leisure and HRD

Outcomes of serious leisure	Principles of HRD
Meaning making of life	HRD practitioner is able to form culture that help employees feel that they fit with their job in order to make a meaningful work (Chalofsky and Cavallaro, 2013) that relates to organisations engagement (Fairlie, 2011; May, Gilson and Harter, 2004) and positive effect on themselves (Fairlie, 2011)
Motivation in working	Intrinsic motivation from the work itself or the environment in organisations that is meaningful to them will have impact on engagement and work performance (Chalofsky and Krishna, 2009)
Recovering from work stress, tiredness, and reviving energy to work	One important role of HRD practitioner is to support employees' well-being including physical and mental health in order to enhance organisations competitiveness (Gilbreath and Montesino, 2006)
Learning that relates to work or to perform work better	HRD aims to enhance learning ability, knowledge, expertise, effectiveness, and satisfaction that relates to adult's work in order to improve performance (McLean and McLean, 2001; Swanson, 1995; Watkins and Marsick, 1997, as cited in McGuire, 2010)
Well-Being	One important role of HRD practitioner is to support employees' well-being including physical and mental health in order to enhance organisations competitiveness (Gilbreath and Montesino, 2006)
Development of social and interaction skill	Organisations must support communication and interaction among employees in order to support effectiveness (Tohidi, 2011) and teamwork support relates to training and motivation in HRD activities (Tabassi, Ramli and Nakar, 2011)
Adult Personal Transformation	HRD will help releasing human potential that relates to development and sustainability in individual, organisations, and society (McGuire and Garavan, 2013)

Considering definitions, mechanisms, and outcomes of leisure and HRD, it could be said that leisure could contribute to the HRD effort in many levels and contexts. However, not every type of leisure could contribute to HRD fully. Serious leisure could be considered as a high potential alternative due to the characteristics of intrinsic motivation and enjoyment with an element of dedication of personal time, effort, and resources to develop oneself to be better at such activities. Self-development is included in serious leisure. Consequently, serious leisure holds high potential as HRD intervention. To be more specific about serious leisure. This study concludes the mechanism of serious leisure which could result in the outcomes relating to the goals of HRD as follow.

- 1) Extensiveness and determination (Isopahkala-Bouret, 2008; Kashef and Nazri, 2015), which could result in mastery at certain skills (Naude, Kruger, Leon, Saayman, and Jonker, 2016) and self-development (Isopahkala-Bouret, 2008; Beatty and Torbert, 2003; Kuykendall, Boerman, and Zhu, 2018). Some may refer to this mechanism as perseverance (Lee and Kim, 2017).

- 2) Self-reflecting on personal leisure (Petrou, Bakker, and Van den Heuvel, 2017; Beatty and Torbert, 2003), which could be a developmental inquiry (Beatty and Torbert, 2003)
- 3) Sharing about one's leisure with others (Petrou, Bakker, and Van den Heuvel, 2017; Kuykendall, Boemerman, and Zhu, 2018), either those who share the same leisure or not
- 4) Intrinsically inspired (Isopahkala-Bouret, 2008; Beatty and Torbert, 2003; Bădicu and Balint, 2014) and having autonomy in selecting leisure for oneself (Kuykendall, Boemerman, and Zhu, 2018)
- 5) Socially motivated (Bădicu and Balint, 2014; Kashef and Nazri, 2015) and affiliation in such leisure (Kuykendall, Boemerman, and Zhu, 2018)
- 6) Engagement in participating in leisure (Kuykendall, Boemerman, and Zhu, 2018)
- 7) Enjoyment (Isopahkala-Bouret, 2008), satisfaction, and pleasure in leisure (Kuykendall, Boemerman, and Zhu, 2018; Naude, Kruger, Leon, Saayman, and Jonker, 2016)
- 8) Playing and trying new things or new roles (Beatty and Torbert, 2003), which one might not take risk at work
- 9) Meaning making (Kuykendall, Boemerman, and Zhu, 2018) or finding purposes of life. Also, it could be identity development for some (Lee and Kim, 2017).

Seeing the above mechanism of leisure, serious leisure is the type of leisure which can be used as HRD intervention. Mechanism of serious leisure relates to learning and skill development, mastery, with the element of enjoyment and fulfilment (Stebbins, 2006), which are HRD mechanism too. Considering the current literature on critical HRD, the discussion between mechanisms of serious leisure the critical approach of HRD could lead to an interesting conversation. Critical HRD literature critically challenges the conditions that exist in the organisations (Bierema and Callahan, 2014; McGuire, 2010; Sambrook, 2008; Trehan and Rigg, 2011). For example, organisations extremely emphasize on performance (Fenwick, 2005; McGuire, 2010; Trehan and Rigg, 2011) or practices in organisations come from certain group of stakeholders (Bierema and Callahan, 2014; Trehan and Rigg, 2011). Focusing intensively on performance leads HRD efforts of organisations to drive employees' performance only, rather than to expand HRD to every possibility of development. Moreover, this fix mind-set of HRD limits HRD to the scope of work-based interventions. However, work and life are integrated. Expanding HRD efforts to both could enlarge the potential of HRD.

Serious leisure challenges aforementioned conditions by suggesting that needs of employees could be considered in developing HRD interventions. In addition, serious leisure can benefit organisations performance indirectly, by equipping employees with certain skills (Naude et al., 2016), engaging in self-development (Isopahkala-Bouret, 2008; Beatty and Torbert, 2003; Kuykendall, Boemerman and Zhu, 2018), and having well-being.

Not only challenging, but critical HRD also aims to create changes in organisations (Callahan, 2007; Fenwick, 2004; 2005). Rocco, Bernier, and Bowman (2014) mentioned that organisations should reconsider if HRD policies and interventions really benefit employees. One of the mechanisms for changes is to find creative ways to solve the conditions that has challenged (Callahan, 2007). In this case, adopting serious leisure as HRD intervention could be one of the changes in organisations. It could be a policy that serves employees development to gain work-related skills. Moreover, one of mechanism of serious leisure is that it is to play and try new things in a creative way (Beatty and Torbert, 2003) that consistent with mechanism of change according to critical HRD.

Critical HRD literature also mentions that changes in organisations should focus more on human side (Callahan, 2007; McGuire, 2010; Trehan and Rigg, 2011). Callahan (2007) stated that critical HRD should encourage people in organisations to

become self-reflective and self-determining. This agrees with serious leisure mechanism of encouraging self-reflection (Petrou, Bakker and Van den Heuvel, 2017; Beatty and Torbert, 2003).

HRD can shift its focus from driving performance to maintaining balance between performance and other aspects of human in organisations. Regarding this matter, serious leisure can provide enjoyment (Isopahkala-Bouret, 2008), satisfaction, and pleasure in leisure (Kuykendall, Boemerman, and Zhu, 2018; Naude, Kruger, Leon, Saayman, and Jonker, 2016). Serious leisure also supports people in finding purposes of lives. HRD policies and interventions could incorporate serious leisure to support employee's enjoyment, satisfaction, and pleasure that leads to engagement with organisations.

In addition, changes should incorporate voice of stakeholders (Bierema and Callahan, 2014; Rocco, Bernier, and Bowman, 2014). Employees in organisations, as one group of stakeholders, can have their own voice to adopt leisure that intrinsically inspires them (Isopahkala-Bouret, 2008; Beatty and Torbert, 2003; Bădicu and Balint, 2014). Moreover, it was found in mechanism of leisure that the results of sharing about one's leisure with others were positive (Petrou, Bakker and Van den Heuvel, 2017; Kuykendall, Boemerman, and Zhu, 2018). When choices of leisure is contextual that might come from the society that they are in (Petrou, Bakker, and Van den Heuvel, 2017), employees' voice about leisure choices that fit with organisations' context needs to be emphasized. According to the conversation above, serious leisure could play as HRD intervention that challenges existing assumptions of traditional HRD, and creates changes for the ultimate purpose of HRD that McLean and McLean (2001) mentioned as the benefits of employees, organisations, communities, nations, and the whole humanity.

5. Limitations and future research

This preliminary study reveals the continuum of work and leisure. Such conclusion suggests that it is rather difficult to define and separate work and leisure. That situation is not the real limitation. It is not the purpose of this study to draw the line and define what work is and what leisure is. This study aims to communicate that work and leisure are integrated. Also, one activity can be both work and leisure depending on personal intrinsic and extrinsic context. The limitation is that it is easy for HRD scholars and practitioners to fall into the trap of dualism of work and leisure. The attempt to separate work and leisure can lead to the flaw of taking leisure as a sin or less-valued activities than work. When it is concluded that leisure is personal preference-based, leisure for one person could be considered as work by others. The limitation lies with the notion of personal preference. This study cannot define leisure for anyone. Therefore, this study cannot state which activities could be considered as leisure. It is for one to define one's own leisure. Lastly, this is a preliminary study to propose a concept of serious leisure as an HRD intervention. It is limited as a concept, lacking empirical evidences. The concept of serious leisure as HRD intervention still needs to be studied and developed to be practical in research and practice. Meaning making and practical implication can be done through research. Future research could consider taking serious leisure as an issue for empirical research under different methodologies and methods. Evidences as well as deep understanding about experiences of using serious leisure as an HRD intervention are needed.

6. Conclusions and implications for practices

The results of this study could inform the practices of HRD that the mechanism of serious leisure can be an HRD intervention to promote many aspects of human, which are the concerns of HRD, such as certain skill sets, motivation, well-being, work-related learning, and personal transformation. It was clearly concluded in existing literature that learning can spill over from leisure to work (Isopahkala-Bouret, 2008). A good example can be drawn from taking sports or recreational activities as serious

leisure. Taking SCUBA diving, which could be considered as a recreational activity, as one's serious leisure, one would take SCUBA diving courses to gain knowledge and skills to safely enjoy SCUBA diving. As any other sports or recreational activities, one could not do it without practicing to master SCUBA diving skills. Along this process of enjoying this activity and developing diving skills, one could gain new perspective and attitude which could be useful at work too. Once one gets more serious about SCUBA diving, one could keep learning and training to be a SCUBA diving instructor. Along the process of instructor development and examination, one could gain new knowledge, skills, and attitude. Presentation skill, knowledge about teaching and learning, teaching skill, coaching skill, in-depth knowledge about SCUBA diving and underwater environment, environmental conservation mind-set, and many other competencies could be expected. Such competencies are frequently mentioned in the field of HRD, especially when discussing about leadership development and grooming supervisory skill. Some could even reach self-transformation from such experience from this serious leisure.

Another suggestion for implication occurs from what was found in the literature that leisure constrain is an important issue (Kuykendall, Boemerman and Zhu, 2018). To facilitate serious leisure to be an HRD intervention, HRD policy maker should eliminate leisure constraints as much as possible. Intrapersonal constrain can be reduced by promoting the awareness about leisure and shaping an organisations culture to support leisure. Interpersonal constrain can be reduced by providing platform for people to get together and sharing their interests. This could allow people to find others who share the same interest and become leisure fellows. Structural constrain can be eliminated by providing space, both physically and virtually, available for leisure. Time and other resources could also be facilitated by policy maker too. Aksatan and Sel (2017) found that psychological factors, family support, and community awareness could affect one's imitation to practice serious leisure. Therefore, it is important for HRD policy makers, as well as oneself, to craft the environment that nurture serious leisure, both at work and at home.

Leisure skill, which is the ability to aware about what one's leisure is, to appreciate and enjoy leisure without feeling of guilt, and to reflect upon leisure (Beatty and Torbert, 2003; Kuykendall, Boemerman and Zhu, 2018), is also important for HRD practice to consider developing for employees. Leisure skill might not relate directly to work performance. However, it allows employees to have healthy leisure, which could result in their self-development. Such self-development would give positive results in every element of life, including work.

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Strategic role of Human Resources Division in the university system: The Akwa Ibom State University experience

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Abstract

Human Resources Development has become an essential component of the University System. The success of the core functions of a University which are teaching, learning, research and community service depends on human factors. Therefore, the effectiveness of the Human Resources Division goes a long way in the achievements of the mission and vision of the University. Hence, this paper presents the key components of the Human Resources Directorate of the Akwa Ibom State University, with a view to highlight the structure and functions of various units, achievements, challenges, lessons learnt and the way forward in enhancing sustainable human resources development and management in a University System.

Keywords: Human Resources Development, Challenges, Achievement, University System, Performance,

1. Introduction

Human Resources are a core determinant of quality in higher education and research. Every organisations constitute people, acquiring their services, fine-tuning their skills, motivating them to higher levels of performance and ensuring that they continue to maintain their commitment to the organisations are prerequisites to achieving Organisational objectives (Chukwuka, 2016). Higher education is believed to be the most powerful and dynamic instrument for social, economic, political, scientific and technological development of nations (Aghenta, 2001). The primary task of Human resource development is to ensure that the organisations of human resources are utilized and managed effectively. The purpose of human resource management policy is to ensure efficient and effective development of human resources management. Armstrong (2009) stresses the human resource management as the process of increasing knowledge, skills and the capacity of people in the society. Vance and Paik (2006) averred that the process of human resource management, unlock the door to modernization. Human resources are the life blood stream of an organisations. Despite the application of technology in modern business management, human resources are still relevant and most adaptive resource of the organisations.

The strategic values of human resource management stems from the fact that other resources employed in the course of production (Land, capital, technology etc.) which are passive, human resources are endowed with discretionary decision making power and this have competitive advantage over other resources. The challenges of development are to improve the quality of life, which the economist argue that it is the human resources of a nation, not its physical capital or its natural resources that ultimately determine the character and pace of its economic and social development. Not gold but only men, can make a nation great and strong. According to late professor Frederick Harrison of Princeton University: - Human beings are the active agents who accumulate capital, exploit natural resource, build social, economic and political organisations and carry forward national development. GeeGrad (1995) stated fundamentally that men are the key to all problems, not money.

Every administrator has the great task of managing the staff in order to achieve the goals of the organisations. This is because human resources play a prominent role in the management of other resources, such as materials, equipment

and tools as well as money entrusted into their care. Uche (2011) maintained that human resource refers to organisations employees, which are described with reference to their training, experience, judgment, intelligence, relationship and insight. In the words of Adetoro (2009) and Akpan (2001), human resource is of great importance to any organisations or nation because it constitutes a usable commodity as well as decides how much can be achieved with other resources.

In the same vein, Onwuka (1988) saw human resource as the most important resource because it is saddled with the onerous task of coordinating other available resources for the attainment of the goals of the organisations. Human resource management according to Peretomode (1995) is that functions of all organisations which makes for effective utilization of human resources to achieve not only the objectives of the organisations but also the satisfaction and development of employees. He went on to define human resource management in education as the harnessing of the totality of workers' skills, knowledge, energies, talents latent capabilities, social characteristics such as belief, to achieve the objectives of education and at the same time make the workers to be part and parcel of the organisations in fulfilling their life goals.

2. Research purpose

- To examine the Human Resources Division in the Akwa Ibom State University
- To find out the role of Human Resources Division in the Akwa Ibom State University
- To find out the challenges of Human Resources Management in the Akwa Ibom State University
- To determine ways of improving the Management of Human Resources in the Akwa Ibom State University
- To examine the process of restructuring of the Human Resources Division of the Akwa Ibom State University for effective management of Human Resources in the University

3. Research Questions

- What are the components of the Directorate of Human Resources in the Akwa Ibom State University?
- What are the effect of Human Resources Management in the achievement of the mission and vision of the Akwa Ibom State University?
- What are the significant effects of the restructuring of Human Resources Directorate (HRD) in the overall performance of the Human Resources Management in the University?

4. Research Methodology

The research method for this research is inquiry based. Inquiry method was used to ask questions, investigate, discuss and reflect on the HRM in the Akwa Ibom State University with a view to provide inform on the purpose of the research and the research questions.

5. Theoretical Framework

The approaches to human resources development emanate from the proper understanding of the concept. Many scholars approached it from the perspective of training and organisational development. Vasanthan (2015) sees it from the perspective of individual and organisational need as a framework of helping employees develop their personal and organisational skill, knowledge and abilities for both personal and organisational achievement. Richard, Swanson, Elwood, Holton (2009) supported this view by seeing human resources development as an integrated use of training and development, career development and organisational development to improve individual and organisational effectiveness. This work is

based on the work of Holton (2009) with emphasis on organisational development. This perspective was the foundation for this work with a focus on restructuring.

5.1 The Human Resources Division of the Akwa Ibom State University

According to Adeyeye (2009), the reason behind the establishment of University education in Nigeria is to co-ordinate and enhance the development and utilization of manpower in Nigeria. Admittedly, HRM practices are critical to the realization of this objective. As a result, universities should attract, develop and maintain an energetic workforce to support their strategies and achieve their goals.

The Human Resources Division of Akwa Ibom State University is also designated as a Directorate. The Directorate of Human Resources is the core engine room of the Registry of the University and is basically concerned with the personnel matters which is Human Resources Management. Many activities are involved in human resources management but the major ones as enumerated by Armstrong (2009), Schermerhorn, Hunt and Osborn (1998), Idih (1997) Peretomode (1995), Onuka (2009) and Emechebe (2009) include human resource planning, recruitment and selection, induction and orientation, knowledge management, development programmes, health, employee safety, performance appraisal, promotion, retirement, as well as industrial relations.

In Akwa Ibom State University, the main function of the Directorate of Human Resources involves implementing and administering policies as approved by the Governing Council and the effective management of the University's human resources. It ensures proper establishment of job description for staff members. Statutorily, the Directorate of Human Resources in Akwa Ibom State University is saddled with the responsibility of recruiting/appointment of personnel, promotion of staff, processing of retirement/exit and disciplinary of erring staff. The Directorate processes and organizes training for staff members. In August, 2014, the Human Resources Division of the University was restructured with a view of achieving optimal result in Human Resources development and management. This restructuring led to creation of various Units in the Division. It also led to the development of an operational model of service delivery for the Human Resources Department. Details about the units and their functions will be highlighted in the next section. This restructuring was institutionalized by a seasoned administrator, the then Deputy Registrar, Establishments Division, Akwa Ibom State University. In furtherance of the restructuring, the Establishments Division was re-designated in 2018 to Directorate of Human Resources in line with best practices and for the development of units in the division. The re-designation led to the upgrade of various Unit to Establishments i.e. Academic Staff Unit was upgraded Academic Staff Establishment. The restructuring has a long term vision of developing each establishment under the Directorate to have its own records system and for the delivery of excellent HRM services in the attainment of the University goals.

For the achievement of the vision and mission of the University, the Directorate has the following units:

- Academic Staff Establishment
- Senior Administrative and Technical Staff Establishment
- Junior Staff Establishment
- Pensions Unit
- Training Unit
- Records Unit

Each of these Establishments and Units have their heads and job schedules but they are being coordinated by the Director (Directorate of Human Resources) who is the Head of the Directorate under the supervision of the Registrar of the University.

5.2 Academic Staff Establishment

This unit processes all Academic Staff matters such as appointments, upgrading, confirmation, promotions, discipline, preparations of reports, etc. The unit also implements council and management decisions applicable to academic staff matter. The unit also handle duties such as: documentation of external/internal applicants for interview, issuance of letters of approval for staff development, issuance of letter of approval for study for staff members, issuance of letters of appointment such as: Departmental Examination Officer, Time table Officer and SIWES Coordinator.

5.3 Senior Administrative and Technical Staff Establishment

The unit is in charge of all matters relating to Senior Administrative and Technical Staff (SATS) such as: shortlisting names of applicants for interview, process appointments, confirmation, promotion and upgrading letters, correction of salary step, handling disciplinary cases, etc.

The unit also take responsibility of the following:

- processing of letter for change of cadre
- processing of renewal letters for contract staff members
- documenting of external application
- processing of papers for presentation to Appointments and Promotions Committee (Senior Administrative and Technical Staff)
- preparing for the appraisal exercise

5.4 Junior Staff Establishment

The unit takes care of all matter pertaining to Junior Staff members. These include: shortlisting names of applicants for interview, appointments, confirmation, posting, disciplinary case etc. The unit further take responsibilities for:

- documentation of contract appointment
- dispatch of mail
- processed change of name for staff members
- handling of unsolicited application for external applicants
- handling of leave matter such as; annual, casual, maternity and examination leaves
- issuing of staff identity cards to staff members

2.4 Training Unit

The unit is responsible for organizing periodic staff training, documentation of staff members on training, nominating and monitoring staff development and reporting same from time to time to the Head of Directorate of Human Resources for further necessary action. The unit assists in the documentation and salary placement of newly employed staff members in the University. The unit also performed duties such as:

- proposing administrative staff training workshop to the management for approval;
- nominating and issuing letters to staff members for training, conference/workshop;
- guiding the payroll office on salaries issues on adjunct staff salary;
- ensuring that newly appointed staff must submit letters of disengagement from previous employer before being patrolled by the University;
- ensuring that all newly staff appointed and adjunct/contract staff who renew their appointment fill and submit their Assumption of duty forms and renewal forms signed by the Head of Departments and Registrar before they are patrolled;
- Issuance of approval letters to non-teaching staff members on training, conferences/workshop for TETFund sponsorship;
- Processing professional certificates for payment of learned society allowance.

2.5 Pensions Unit

This unit processes staff matters relating to exit from service. The unit is also responsible for the processing of terminal benefits and any other entitlement accrued to deceased staff members. The Pensions Unit collates data on pension related matters and it is also responsible for processing of record of service for staff members on transfer of service or deceased staff members. The unit also handles matter related to NYSC members, maternity leave and students' Industrial Work/ Experience Scheme (SIWES). Others responsibilities include:

- Processing letter of retirement for staff member as approved by the Governing Council;
- Continuation of documenting members of staff for inclusion in the Akwa Ibom State University Government Scheme;
- Liaising with the Department of Establishments, office of the Head of Civil Service, Uyo for information on the requirements for processing terminal benefits by retiring staff members or next-of-kin of deceased staff members;
- Processing of letter of approval for change of next of kin on request by staff members;
- Processing recommendation letters for Corps Members that complete their Primary Assignment in the Akwa Ibom State University.

2.6 Records Unit

The unit processes and custodies staff nominal roll in the University. It computes nominal roll for use by University Management, National University Commission, Federal Character Commission, Ministry of Education and other Government agencies as the need arises. It updates staff records in terms of change of name, additional qualifications, change of next-of-kin etc. The Records Unit is also the desk office for filing and dispatch. Other duties include:

- Data entry of staff appointment renewed (Contract/Adjunct);
- Preparing letters for acknowledgement of receipt of all documents submitted for records update;
- Preparing staff list for eligible members of congregation.

3. The Core Function of the Human Resources Division in the Akwa Ibom State University

Core functions of Directorate of Human Resources in Akwa Ibom State University include the following:

1. Implementation of the Governing Council's decision on staff matters.
2. Implementation of the Government directives/National Universities Commission director on staff matters.
3. Arrangement for Appointments and Promotions Committee (AandPC) meeting (Academic staff, Senior Administrative and Technical Staff and junior staff}.
4. Implementing decisions on disciplinary cases.
5. Ensuring updating of nominal roll and enlistment of new employees.
6. Arranging of staff appointments interviews in the University.
7. Dealing with pensions matters.
8. Supervising and coordinating of Heads of units in the Directorate.
9. Responding to enquiries on staff matters.
10. Processing letters of appointments, confirmations, promotions, retirement, etc. through the relevant units.
11. Writing reports of Committee recommendations to the Governing Council.
12. Salary placement of staff members on assumption of duty, upgrading and correction of step.

4. Challenges of Human Resources Management in the Akwa Ibom State University

Abdullah (2009) enumerates many challenges facing public organisations or educational institutions in achieving its objectives. These challenges include: lack of equipment or logistics, financial constraints, political interference, and lack of clearly defined objectives of the organisations, and inappropriate management of Human Resource Management (HRM). The human resource of a University is considered as the most valuable of all assets of the University.

The challenges that confront the practice of HRM in organisations are huge and steep. Major human resource capacity challenges are believed to manifest in three-dimensions as: policy, tasks and performance motivation induced (Antwi, Analoui and Cusworth, 2007). Literature suggests that the pertinent issues include the perceived lack of sufficient knowledge and skills on the part of HRM practitioners necessary to implement effective HRM practices at various levels in their organisations (Nel et al., 2011; Burton, 2003; Jayne, 2002) and HR professionals not being assertive enough to be present in the boardroom to guide human resource programmes to achieve long-term impacts on human resource initiatives. This probably points to a lack of adequate drive and communication to apply strategic human resources management fully (Du Plessis, 2004; Birchfield, 2003).

In specific terms, the major challenges facing the Directorate of Human Resources, Akwa Ibom State University can be described as follows:

1. Unconducive working condition; excessive heat during dry season. This requires ventilation in terms of fan or air conditioners.
2. Storage of all staff records in soft copy into a data base management system by the Records Unit.
3. The establishment of Staff Data Management System (SDMS); the conversion of staff document into soft copy and the verification of such documents into the (SDMS) requires a lot of work input and time.
4. Inadequate strategic human resource planning.
5. Low budgetary provision for training and development.
6. Low skills and competencies of HRM practitioners.
7. Poor reward system.
8. Ineffective supervision, indiscipline, and occupational stress (Onah, 2000).

5. Strategic Steps towards the Improvement of Human Resources Management in Akwa Ibom State University

- Adoption of mechanisms to establish and harmonize all HRM strategies that are beneficial to tertiary institutions.
- Accommodation, proper funding, adequate teaching materials and conducive Organisational climates was provided to motivate staff.
- HRM development programmes such as orientation, study leave with pay, sponsored seminars, workshops, conferences, overseas training and other capacity building programmes has been re-invigorated through adequate funding by the University and through sponsorship by TETFund.
- Regular capacity building programmes for HRM practitioners via in-house training was institutionalized by the Director of Human Resources for staff of the Directorate to sustain and improve the benefits of HRM practice.
- The Akwa Ibom State University has taken several actions to liaise with several local and international institutions/agencies through various academic exchange collaboration to promote staff development through scholarship awards, provision of research grants and fellowship programmes etc.

6. The Service Matrix of the Directorate of Human Resources

The service matrix of the Human Resources Directorate of the Akwa Ibom State University clearly shows the impacts of the strategic steps/direction of the directorate on the service output in terms of quantum of work, service delivery, efficiency speed

and accuracy. The table below shows the average time spent in attending to staff matters as follows;

S/ N	SERVICE OFFERED	TIME-LINE
1	Senior Staff Matters: staff request, application for various types of Leave, Grants, Staff Development Award, etc.	Processed within 1-2 days
2	Junior Staff Matters: staff request, application for various types of Leave, Grants, Staff Development Award, etc.	Processed within 1-2 days
3	Pension and Gratuity Matters: processing of requests for withdrawal of service retirement.	Processed within 5 days applying RSA guidelines to applications and processing of RSA guidelines within 5 days of receipt of application

7. Implications for HRD Practice

Conceptualization of innovative ways of restructuring units or sections in the Human Resources Division for an effective and productive Human Resources Management. However, it should be noted that HRD leaders should consider a periodical review of operational mode in HRM with a view of improving the performance of their Human Resources Department. In addition, adequate attention should be given the connections, overlapping and duplications of role that may occur in the operational mode of various unit in Human Resources Department. In general, the application of innovative ways of reviewing the process of operation in the Human Resources Department is a point of reflection for Human Resources managers.

8. Conclusion

This paper presents the key components of the Human Resources Directorate of the Akwa Ibom State University, with a view to highlight the structure and functions of various units, achievements, challenges, lessons learnt and the way forward in enhancing sustainable human resources development in the University. This study further enumerate how challenges confronting the directorate of human resources were addressed with a view to deliver effective and qualitative service to the University. The impact of the strategic direction of the directorate on service delivery was analysed. However, it was observed that the strategic steps greatly impacted on the effort made to address numerous challenges facing the Directorate and also enhanced the efficiency and effectiveness of the service matrix. One could conclude that the effort towards the re-structuring of work schedule of units, operational mode, leadership and the implementation of strategic direction has greatly helped the Directorate of Human Resources, Akwa Ibom State University to have an effective directorate with a high level of achievements and success rate in service delivery.

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The challenges and prospects of Human Resources Development in Nigerian universities

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Abstract

The availability and quality of a nation's human capital determine the rate and quantum of growth and development. Resources within an organisations are to be mobilized and utilized by the available human capital to accomplish the set goals. Infect, it is people that activate the set objectives, determine the resource to use, apply the resources and coordinate the activities of an organisations to achieve the set goals. It is pertinent to note that individual skills and techniques are significant determinant of peak performance. Skills and techniques can be acquired through training and development. The study adopted a simple survey research design. The total population of the study is six thousand, nine hundred and twenty three (6,923) with sample size of one hundred and seventy three (173). The study made use of primary data through the administration of questionnaire. Data collected were analyse using descriptive statistics such as frequency and percentages. The study result showed that training and development, performance appraisal, recruitment and selection, and compensation and rewards management were the human resource management practices majorly in use in universities with efficient HR productivity. The study recommends that, through training, development and adequate performance based compensation, employee commitment to Organisational success will be enhanced and the challenges encountered in the adoption of HRM practices will be reduced to barest minimum.

Keywords: Human Resources Development, Performance Appraisal, Recruitment, Selection, Compensation and Rewards, Challenges, University, Nigeria.

1. Introduction

Universities worldwide have a significant role to play in the development of Human resources. The recognition of any University nationally and internationally depends to a large extent on the development of its workforce so as to achieve the goals and objectives of the institution which is solely the production of high quality manpower in the society. In order to maximize the productivity, the chief executive, heads of departments has the responsibility and bounding duty to ensure the development of those working under them who have the requisite knowledge and expertise. It was in this regard that Drucker (2002) suggested that the success of any organisations in this present age largely depends on the calibre of human resources and innovative employee management programmes and practices. This means that an organisations may have the capital and technology but requires human resources to help face challenges of globalization. Human resource development in order to meet up with its mandate always engage in certain practices such as training and development, performance appraisal, recruitment and selection, and compensation and rewards on staff of the universities.

Human resource development comes under the purview of personnel functions in most organisations, especially public organisations which University belongs. Okoli et al. (2002) sees development as a human issue, which should involve the total and full mobilization of a society. Human resource on the other hand, is the stock of competences, knowledge and personality attributes embodied in the ability to perform. It is the attributes gained by an individual through education and experience.

Human resource development according to Onah (2014) is a process that relates to training, education and other professional initiatives in order to increase the level of knowledge, skills, abilities, values and social assets of an individual which will lead to an individual's satisfaction, high performance and eventually increase in Organisational productivity. This implies that Human resource development is all about investing in personnel training and development to ensure that the total goals and objectives of an organisations are met. It is in this vein that Yesufu (2000) in Ojibolo posed that the essence of human resource development is to ensure that workforce is continually adopted or upgraded to meet the new challenges of its total environment. This means that, those already on the job require re-training, re-orientation or adaptation to meet the new challenges.

Performance refers to the degree of accomplishment of the tasks that make up an employee's job. It reflects how well an employee is fulfilling the requirements of the job (Leslie and Iloyd, 2007). Performance appraisal on the other hand, is the measurement of specified areas of an employee's performance (Noel et al., 2004). Performance appraisal is the process of determining and communicating to an employee how he/her is performing on the job and ideally establishing a plan for improvement (Leslie and Iloyd, 2007). This plan has to influence employee's future level of effort and task direction (Byars and Rue, 2004). Jackson and Schuler (2003) see the performance appraisal as a central component of most performance management system. This involves evaluating performance based on judgments and opinion of subordinates, peers, supervisors, other managers and even employees themselves mainly through performance measurement.

Performance appraisal information can provide needed input for determining both individual and Organisational training and development needs. It is also use to encourage performance improvement through the means of feedback. This makes the employee to change his/her behaviour, attitude, skill or knowledge.

Recruitment and selection are probably most useful human resource activity in an organisations. According to Jackson and Schuler (2003), selection is the process of obtaining and using information about job applicants in order to determine who should be employed for lon or short term position. Similarly, Williams (2006) defines selection as a choice, choosing, pick, option or preference. This implies assessing the candidate by various means and making a choice, followed by an offer of employment. Recruitment on the other hand, is a process of identifying possible candidates for job vacancy (Daniel, 2006). He stressed that it starts with a job analysis, after which a job specification is drawn up. Nmadu (2013) put it straight that the responsibility of recruitment and selection of new employees is among the human resource management practice which is solely the mandate of human resource management. The role of this department is to build a supply of new employees that the organisations may fall back to if the need arises. Nmadu (2013), Noel et al. (2004) posed that certain factors hinder effective selection and recruitment process in an organisations. These include recruitment policy, quota system, religious inclination, government polite among others.

Compensation consists of the extrinsic rewards offered by the organisations and institution which include the base wage or salary, any incentive or bonuses, and any benefits employees receive in exchange for their work. Human resource management uses performance appraisal as a tool for rewards and compensation to staff who have distinct himself/herself in their area of discipline through appointment and promotion.

Human resource development means building an appropriate balance and critical mass of human resource base and providing an enabling environment for all individuals to be fully engaged and contribute to institution development efforts. It involves providing opportunities for all staff to develop to their fullest potentials through education, training and development as well as creating an enabling environment for everyone to participate fully in the system. Any effort to increase human knowledge, enhance skills and performance and stimulate resourcefulness is an effort of human resource development.

Human resource development aims to ensure that institutions train, develop and retain the skilled workforce. It involves taking appropriate step to assess and satisfy future human resource needs and to enhance and develop the inherent capabilities of the employees – their contributions, potentials and employability by providing learning and continuous development opportunities. This involves the operation of several human resource management practices such as recruitment and selection process, management development and training, professional appraisals as well as compensation and reward management activities linked to the need of the organisations are also considered as antecedents and strong predictors of perceived Organisational performance (Armstrong, 2010; Giangue, Anderfuhren et al., 2013; Akindele, 2011). The quality and quantity of human resource determine a nation's growth and development. Therefore, the availability of these human resources help to mobilized and galvanized other resources for sociological, political, economic, scientific and technological development. This means that, the development of any society is hinge on the development of its human resources. Universities, all over the world, are citadel of knowledge and human development.

The more the University has knowledgeable skilled and resourceful individuals contributing to its Organisational growth and development, the more the higher the value of human resource of that institution. This means that the value of Human resource development assets of a University is a function of quantity, quality as well as the operating environment.

Human resource development has contributed to the growth and development of University in the area of research, teaching and community service. Also, has help in the orientation, training and re-training, appraisal of staff for placement and other engagement within and outside the University among others.

Human resource development have helped both teaching and non-teaching staff of the University to access funds for training and development through seminars, workshops, conferences and so on through recommendations, which has enhanced and improved the knowledge, skills and competences of both academic staff and administrative staff. Also, human resource development unit has taken the lead in the training of its administrative staff through the Association of Nigerian Universities Professional Administrators (ANUPA) where Management ensured that training courses for all University Registry staff including Senior administrative staff has been ongoing to abreast them with skills, knowledge relevant to compete favourably with other Universities internationally.

2. Challenges of Human Resource Development

In a contrary, human resource development has always been a threat to University goal achievement because of social-cultural, political, economic and technological factors: Africans always find it very difficult to give a position which they have assessed as being very lucrative to the right person who may not come from their side or the person must be the highest bidder and through godfatherism. Also, the issue of improper placement of employee to job especially those who have acquired higher degrees were not properly placed rather the University look elsewhere to recruit from outside where there are many qualified and experienced staff within.

Another challenge is the low measure of budgetary allocation to human resources development and its relative indices. Most Universities management find it very difficult to allocate sufficient funds to human resource development unit to enhance their functionalities thereby cripple them. Similarly, lack of infrastructural facilities to even host the programme is been experienced by human resource development unit of the University. No place for seminars, workshops, conferences and other training programmes.

Another challenge is in the area of access to funds by staff. Sometimes, there could be funds meant for training and development of staff but due to bureaucratic bottle neck, it becomes very difficult for many staff to access such funds. For example, it has been difficult to access funds from Tertiary Educational Trust funds (TETfunds) either to attend conferences or workshops due to the policy which states

that any conference to be attended must be organized by the university. Also, there is lack of effective human resource development policies by the university management thereby making the actualization of its objectives very difficult. A situation where policies are not well formulated and stated in achievable terms, it becomes an impediment to goals attainment.

Furthermore, lack of seriousness and commitment towards human resource development by University management and finally the issue of brain drain where most of our staff after being trained leave the Country to another Country for greener pasture.

3. The Theoretical Foundation of Human Resource Development

The divergent and constructive approaches to human resource development call for a proper definition of the concept as to enable deep understanding of the subject matter. Many researchers and scholars approached it from the perspective of training and development, career development and Organisational development. Vasanthan (2015) view it from the individual and Organisational need as a framework of helping employees develop their personal and Organisational skills, knowledge and abilities for both personal and Organisational success. This view was supported by Richard et al. (2009) who see human resource development as an integrated use of training and development, career development and Organisational development to improve individual and Organisational effectiveness.

Similarly, Swanson (2009) defined it as a process of developing and unleashing expertise for the purpose of improving Organisational system, work process, team and individual performance. Human resource development is the systematic expansion of people's work related Organisational system abilities, which focused on the attainment and personal goals (Jones, 1981). This implies that human resource development is mainly concerned with developing the skills, knowledge and competencies of people and it is people-oriented concept. They went further to explain that employees' background, expectations, values, etc. vary from individual to individual, so each individual should be managed differently based on different principles or approach hence the employees' competencies are developed through human resource development.

Ebisine (2015) added to the above by stating that human resource development is the strategy or effort made to develop the minds and skills of people. This was supported by Nadler (1989) who view human resource development as an organized learning experience provided by employers within a specified period of time to bring about possibility of performance and improvement of personal growth. In all these definitions, the focus of human resource development is to develop the workforce so that the organisations and individual employees can accomplish their work goals with reference to service delivery.

3.1 Contingency Perspective

Contingency scholars argued that HRM strategy would be more effective only when appropriately integrated with a specific Organisational and environmental context (Chang and Huang, 2005). This theory opined that an organisations needs to adopt specified HR policies and practices for different strategies. Thus to be effective, an organisations HR policies must be consistent with other aspects of the organisations.

3.2 Configurational Perspective

This is concerned with how patterns of multiple, planned HR developments and activities achieve the Organisational goals. An organisations must develop an HR system that achieves both horizontal and vertical fit (Becker and Gehart, 1996). Horizontal fit refers to the internal consistency of the organisations's HR policies or practices, while vertical fit refers to the congruence of the HR system with other Organisational characteristics such as a firm's strategy.

4. Research Purpose

The quality and quantum of human resources determine a nation's growth and development. It is the available human resources that mobilize and galvanize other re-sources for sociological, political, economic scientific and technological development. The development of any society is, therefore, hinged on the development of its human resources. This study, therefore, look into the challenges of Human Resources Development in Nigerian Universities, with a scope of analysing practical strategies that can help solve the challenges and propel a more productive Human Resources in Nigerian Universities.

5. Research Objectives

The study focused its attention on two objectives namely:

- To examine the challenges militating against human resource development in Nigerian Universities; and
- To proffer solutions to challenges confronting human resource development in Nigerian Universities.

6. Research Questions

Based on the above, two research questions were generated to address the objectives thus:

- What are the challenges militating against human resource development in Nigerian Universities?
- How can the challenges confronting human resource development in Nigerian Universities be addressed in reference to the current enrolment figure?

7. Methodology

The study is descriptive in nature and so adopted simple survey design. The population of the study is 6,923 with the sample size of 6,032 (Research Advisor 2006) from Universities in North West Zone of Nigeria comprising the management, academic and non-teaching staff of Universities. The process of drawing sample for the study is through random sampling. Questionnaire was the main instrument for the collection of data. The research instrument was validated by experts from test, measurement and evaluation unit. The researcher personally administered the questionnaire to the respondents to fill within 24 hours and returned. Frequency and percentages were used to analyse the respondents biodata and also to analyse item statement.

8. Results

The presentation and analysis of the bio-data of the respondents.

Table 1: Bio-data of Respondents

Variables (100%)	Frequency	Percentages
Status		
i. Top Management	23	13.29 (14%)
ii. Academic Staff	100	57.80 (58%)
iii. Non-Academic Staff	50	28.90 (29%)
Gender		
i. Male	120	69.36 (69%)
ii. Female	53	30.63 (31%)

Educational Qualification

i.	First degree	55	31.79 (32%)
ii.	Masters degree	45	26.01 (26%)
iii.	Ph.D	48	27.78 (28%)
iv.	Others (HND, DIP, NCE)	25	14.45 (14%)

Years of Working Experience

0 – 5 Years	10	5.78 (6%)
6 – 10 Years	60	34.68 (34%)
11 – 15 Years	50	29.90 (29%)
16 and above	53	30.43 (31%)

Table 1 on status of respondents reveals that Academic staff has 58% representing 100% respondents. The Non-academic staff had 29% representing 50 respondents while Top management staff had 14% representing 23 respondents. This shows that there are more number of Academic staff in the University, followed by Non-academic staff and the Top Management staff. The implication of the above is that teaching and learning process at the University will not suffer lack of personnel.

On gender of the respondents, male had 69% representing 120 respondents while female had 31% representing 53 respondents. This percentage shows that there are more male working at the University than female. This implied that where female are needed more, there will be lack.

Similarly, on educational qualification of the respondents, first degree had 32% (55), follow by Ph.D with 28% (48), Masters degree had 26% (45) while others (HND, DIP, NCE) had 14% (25) respondents. This shows that the University needs to develop, train and send staff for in-service training as to update their knowledge, skills and competences.

Furthermore, on the years of working experience, 60 respondents representing 34% fall between 6-10 years, 31% (53) fall between 16 and above, 29% (50) were between 11-15 years while 6% (10) fall under 0-5 years. The implication of this is that Universities have average experience staff to handle issues.

Table 2: Challenges militating against the development of human Resource in Nigeria Universities

Item Statement/Responses Percentages	Frequency	
Are there enough facilities for human resource development programmes in your institutions?		
Yes	123	69.94%
No	50	28.90%
Total	173	100%
Human resource development has suffered low budgetary allocation by Universities Management.		
Yes	100	57.80%
No	73	42.19%
Total	173	100%
Are there funds meant for human resource development by your institutions?		
Yes	150	86.70%
No	23	13.29%

Total	173	100%
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Do you always have access to funds meant for training and development when invited for conference or workshops outside your institution?

Yes	5	2.89%
No	168	97.10%
Total	173	100%

Lack of effective human resource development policy by the University Management has affected its actualization of objectives.

Yes	98	56.64%
No	75	43.35%
Total	175	100%

Human resource development has made easy the process of selection and promotion of staff in the Universities?

Yes	165	95.37%
No	8	4.62%
Total	173	100%

Table 2 shows that 69.94% (123) respondents agree with the statement that facilities for training and development are inadequate in the University while 28.90% (50) disagreed with the statement. This shows that human resource development lacks adequate facilities for training of staff. As regards to budgetary allocation to human resource development unit by University Management, 100 (57.80%) of the total respondents stated that human resource development unit suffered low budgetary allocation from University Management while 73 (42.19%) disagree with the statement. This revealed that human resources development unit suffered low budgetary allocation from University management. The implication is that, the unit cannot operate maximally in the faces of financial difficulty making the attainment of the objectives very difficult. 86.70% (150) out of the total respondents agreed with the statement that there are funds meant for human resource development by Universities, while 13.29% (23) disagreed with the statement. This shows that there are funds meant for human resource development by Universities, how judicious are the utilization matters a lot.

The statement that whether both teaching and non-teaching staff have access to funds meant for training and development when invited for conference or workshops outside their universities; The result reveals that 97.10% (168) disagreed with the statement while 2.89% (5) of the total respondents agreed with the statement. 98 out of the total respondents representing 56.64% stated that lack of effective human resource development policy by the University Management has affected its actualization of objectives while 75 (43.35%) of the total respondents disagree with the statement. This reveals that policy implementation is one of the major challenges facing human resource development in the Nigerian Universities. The result of the table revealed that 95.37% (165) out of the total respondents agreed with the statement that human resource development enhances the process of selection and recruitment while 4.62% (8) disagreed with the statement.

9. Discussion

The issue of adequate facilities for human resource development programme. The study revealed that there was no enough facilities for human resource development programmes in Nigerian universities. The finding of this study was in line with the finding of Nnadi (2012) in his study on human resource development in Nigeria. The role of dynamic higher education and emerging challenges discovered that facilities for human resource development programme in Nigeria universities were inadequate. Also, Ukwoma and Akanwa (2008) study on human resources development

programmes in Nigeria academic libraries. A comparative study of Universities in Imo State agrees with the findings of the study on inadequate facilities. It also agrees with the findings of research conducted by Chikwe et al. (2015) on challenges of research and Human Capital Development in Nigeria. This shows that facilities for human resources development programmes in Nigerian universities are generally lacking and this hinders their operations and attainment of objectives.

The study revealed that there was low budgetary allocation to human resource development in the Nigerian Universities by its management. This finding agrees with the finding of Anzaku (2006) Ezema (2010), Stephen, (2016) who stated that human resource development unit suffers low budgetary allocation from University management. Effective policy implementation is the bedrock to Organisational goals achievements when policies were formulated and carefully implemented, it leads to both individual and Organisational goals attainment and success. In this study, the finding revealed that there was lack of effective policy for human resources development by the University management. This findings is in line with the findings of Anzaku (2006) and Stephen (2016), Chikwe et al. (2015) and Ezema (2010) who posed that many Universities have no effective policy for human resources development and even those that have policy lack effective implementation thereof. This implies that the human resources development unit suffers great harm in the hands of University management.

The most crucial aspect of training and development of staff is in the area of access to funds by those staff. Sometimes approval for training and other development course being granted but how to access funds meant for such becomes a problem. The finding of this study revealed that access to funds for any prospective candidate for training and development was very difficult. This finding was in agreement with most of the study reviewed such as Ezema (2010), Anzaku (2006) and host of others.

In any organisations, the issue of selection, recruitment and promotion is viewed as very important. If any organisations fails in these areas, the likelihood of that organisations not to achieve its goals and objectives is so glaring. The study in its findings revealed that human resource development has helped in enhancing the process of selection and promotion of staff in the Nigerian Universities. This findings is in agreement with all the work reviewed.

10. Implication for Human Resource Development practice

- The study recommends that the University management should increase budget allocation to human resources development and ensure that such funds be properly released and utilized.
- The study recommends that University management should provide adequate facilities for human resource development programmes as to enable the unit functions well. This includes equipment, technology among other things as to enable the unit functions well.
- The University management should formulate a well define policy that will guide the operations of human resources development and there should be well define policy to enable staff have easy access to funds meant for staff development programme in and outside the institution.
- The university management should ensure that promotion of staff is based on performance appraisal.

11. Conclusion

The aim of this paper is to discuss the human resource development challenges in Nigerian Universities: The main focus has been on what the current state of HRD is before and the present. Furthermore, the development of the nation's universities for human resources development should be a joint responsibility of the government at all levels, professional organisations, religious organisations, alumni, communities, industrial organisations, individuals, and the educational institutions through their

management efforts. Undoubtedly, high involvement HRM strategies breed a productive workforce, which ultimately produce enhanced Organisational performance.

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Work ability index and Human Resource Development for an ageing workforce: Lessons learned from a Hungarian research program

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Abstract

Older workers are a decisive part of the workforce of modern societies, their number will increase significantly in the coming decades. Dealing with the challenges of older labour force is becoming an increasingly important part of the HRD processes of companies. We need more complex actions to help more effective management of human resources and prepare the company for future challenges in time. The purpose of the paper is to explore the differences of the perception of workability among the employees of a Hungarian company (Hungarian Post) and draw conclusions in connection with future HRD practices.

Keywords¹: older labour force, Work Ability Index (WAI), labour market challenges, perception of workability, Hungary

1. Introduction

In the European Union, the employment rate of the population between 55 and 64 years of age was close to 50% in 2011, whereas in Hungary only 36 percent of the older generation were active workers. A significantly decreasing tendency of employment rate can be observed in older age groups. For the population between 55-59 years the rate was 54 percent, while only 14 percent of the 60-64 age group were employed. In 2014, for 11 of the EU member states the employment rate of older workers was between 50% and 66%, Sweden achieved a remarkably high result (74.0%). (EUROSTAT, 2017)

These data show the importance of our research questions. These challenges must be in focus in Hungary, where the employment rate of people between the ages of 55 and 64 was 46.7 percent in 2016, according to the report of the Hungarian Central Statistical Office (CSO Report, 2017)). Demographic changes may cause the most significant negative labour market effects in the 2020s. At that time the number of working-age people could fall by 11 per cent compared to the average of previous decades. Those generations who are exiting the labour market in the late 2010s are far more numerous than those who are entering it. In Hungary, because of the Communist population politics, the so-called "Ratkó-generation" (born between 1950 to 1956) are exiting the labour market in this period, they reach retirement age between 2017-2020. Eurostat shows a similar trend, predicting a somewhat smaller (25%) reduction in workforce between 2010 and 2060. In Hungary, for the same time period, the model of CSO predicts 38 percent (!) reduction in the workforce (Kreiszné, 2016).

In Hungary, according to the outcome of the 2015 projection by the Hungarian Demographic Research Institute of the Hungarian Central Statistical Office, Hungary's population is expected to be 7.900.000 in 2060; the high version indicates a population of 8,700,000, while the low version projects 6.700.000. Because of this, the active population of working age is expected to decrease, threatening the availability of labour force. Therefore, ageing poses a serious challenge for health care services, economic growth and for funding social welfare systems. According to

¹ This paper describes the conceptual framework and empirical findings of the "Combined measurement of physical and mental competencies in an ageing worker population" project. The project is part of the "Comprehensive development for implementing smart specialization strategies at the University of Pécs" program (supported by the European Union, co-financed by European Social Fund in the framework of the Human Resources Development Operational Programme [HU], 2014-2020. Project ID: EFOP 3.6.1-16-2016-00004).

the Randstad Flexibility @ Work 2015 study, the reduction of the population of working age may lead to a serious shortage of labour, and pensions are predicted to consume 15 per cent of European GDP by 2050 (Blanchflower, 2015). The policy on the elderly can be found in the various strategies in European countries including Hungary (NSOP, 2009).

In recent years, the Hungarian government measures have tried to promote the possibilities for re-employing those of retirement age. From a social and policy perspective, older employees form an important part of the labour force of modern societies, and their number is set to increase in the coming decades. Elderly employees have different skills and abilities than other generations do. Without them, we would have to face a shortage of professionals and the insufficiency of structural and network building capacities. At the same time, it is important to pass on tacit knowledge to younger generations. The strongest combination of workplace competences is based on the different strengths of the different generations. The better health condition and life expectancy of elder employees improves their possibilities for enriching an age-friendly society (Mathiasen, 1998).

However, a good life spent working is an important prerequisite for elderly employees remaining active, allowing society to benefit from their strengths and talents. In the course of this, they may play an active role in building a sustainable and caring society where solidarity exists between generations, and a productive life spent working is an important starting point for an active old age. Satisfactory employment may help to avoid illnesses as well as physical and mental deterioration, ensures a good cognitive and physical condition, and promotes the development of positive and active attitudes to life. The quality of life spent working has a great impact on all employees, given the great amount of time spent at the workplace (Kaiser et al., 2000).

Following the monetary and economic crisis of 2009, employment policy and the labour market have been transformed and are shifting towards competitiveness, even though segmentation is still significant in the labour market (Nemeskéri and Szellő, 2017). An increase in demand for labour can be demonstrated to be significant in respect of human resources (labour force) in the labour markets, the positive balance of which has been provided by the developing economy, globalisation and mobility (employment migration) (Bús, 2019).

The structural changes in the economy and the labour market considerably influence the distribution of employment in all fields of economic activities. Demand for labour is strongly influenced also by factors independent from supply. The expected level of employment is determined by processes that work in opposite directions throughout the entirety of the national economy.

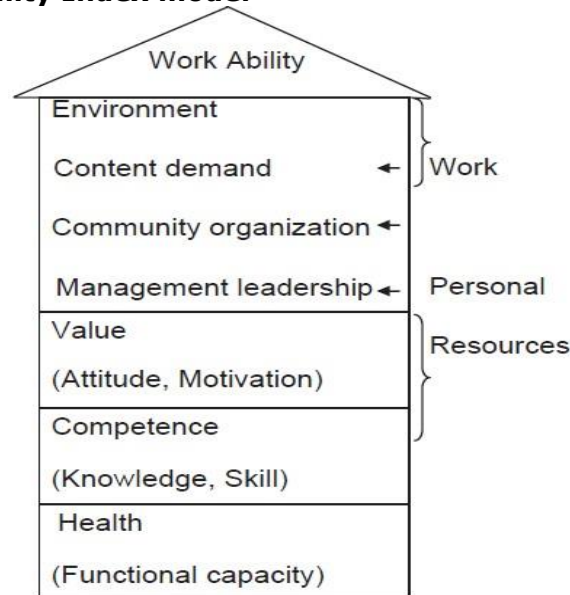
One of the most important influencing factors will be the effect of technical and technological evolution that will squash labour head count (robotization, widespread application of artificial intelligence in several fields of industry and services). Consequently, ensuring the balance of demand and supply and the acquisition of competitive knowledge may be specified as a priority.

2. Theoretical development

The theoretical framework of our study is the Finnish Model of the Work Ability House. According to this Finnish model that we used as the framework of the study, the complex approach to work ability may be illustrated best with the structure of a House. The floors of the house are closely related and have mutual impacts on each other. If there is a healthy balance, there is good work ability and it will remain in the long term. The foundation is the health of the employee. The second floor contains the acquired knowledge, skills and abilities, proficiency and practice. The lower levels must be strong enough to sufficiently support the higher parts of the building. The third floor is the level of internal values, which include the approach, the view of life, motivation and attitude. Individuals make decisions on whether to remain in the world of labour or to leave it at that level. The balcony on this level opens a view to the direct environment (local community, workplace, residential

community) and the information and feedback stemming from there may also have an impact on work ability. That level has a close relationship and interaction with the fourth floor above, which is the work environment, and which also contains occupational health and safety. The house is surrounded by factors that support the workplace (welfare at the workplace and occupational health service) and the direct social environment (family, close relatives). The larger surrounding environment is the society with all its special policy factors and services (e.g., health, HR, social policy).

Figure 1: Work Ability Index model



Source: (Habibi et al., 2014)

The work ability house model shows that the measures taken at the workplace to promote work ability must cover all four levels. Employees have higher responsibility for their health and competences and the employer takes more responsibility for the organisation and distribution of work. Consequently, the proactivity-based concept is based on cooperation between the employer and the employee: together they may create a better balance of the work-place and may increase work ability.

The risk analyses must focus on the significant individual differences reflected in functional abilities, the health of the employees, changes in their work ability, disabilities, sex related issues and harmful exposures at the workplace (physical, chemical, biological, ergonomic and psycho-social pathologic factors). As work must be aligned with individual abilities, skills and health condition with a permanent and dynamic process that is based on adequate risk analysis, aligning work to the health condition and needs of older employees may not represent any additional burden. Age is only one aspect of workforce heterogeneity, management must constantly be made aware of age-related issues. The adequate planning of personalised jobs and tasks, the strengths, needs and abilities of aging employees with the involvement of aging employees is a key factor in maintaining the work ability, productivity and welfare of employees.

The tool for our empirical research was the Work Ability Index (WAI) survey. This survey was developed at the Finnish Institute of Occupational Health (FIOH) in the early 1980s. Its first use occurred in a survey of elderly local government workers, with the aim of measuring and verifying the effects of working capacity development measures. The Work Ability Index questionnaire is a tool that helps find employees who need support to continue their role in the labour market. The Work Ability Index is also a special policy issue; based on the

experience of the survey, the economic, educational and health prevention directives may be defined that can promote the activity of aging employees in the labour market (Berg et al., 2008). The main objectives of the Work Ability Index include the following:

- maintain and protect work ability during the entire period of the income earning ability,
- recognise factors reducing or improving work ability in order to facilitate individual interventions,
- summarise the risk elements of inability to continue employment and early retirement,
- evaluate the intervention options (Jakab, 2013).

The Work Ability Index always analyses one person in one particular job and therefore the role of the employment factors cannot be disregarded. At the same time, it may not be applied for a prior assessment instead of an aptitude test or risk assessment. According to its use:

- employees about to be excluded from employment may be identified individually, development may begin before disability develops ('preventive rehabilitation'),
- enhanced risk jobs can be identified at company level (targets of work hygiene intervention, control of the success of the intervention),
- sectoral risks and comparative bases can be identified and measured at national and international levels (benchmark). (Kudász, 2016).

The Work Ability Index consists of seven questions. The highest score is 49, the breakdown and assessment of which is included in the table below.

Table 1: Questions (subindices) and scores of the Work Ability Index

Question (Subindex)	Maximum score	Distribution of scoring
W1: Present work ability compared to the best ability before	10	Score: on a scale of 0-10
W2: Work ability in relation to the present job demands	10	Value based on the answers: between 2-10 points
W3: Number of current diseases	7	Scoring: – at least 5 diseases = 1 point – 4 diseases = 2 points – 3 diseases = 3 points – 2 diseases = 4 points – 1 diseases = 5 points – no diseases = 7 points
W4: Estimated impact of diseases on work	6	Score: between 1-6 points
W5: Sick leave in the past 12 months	5	Score between 1-5 points
W6: Own estimate on work ability in two years from the response	7	Score based on the answers: –I probably will not be able = 1 point –not certain = 4 points –I'm rather certain that I will be able = 7 points
W7: Psychological power reserve	4	Score: based on the total of the numbers from the set of questions 0-3 = 1 point 4-6 = 2 points 7-9 = 3 points 10-12 = 4 points

Source: (Edited by the authors based on Kudász, 2016)

The Work Ability Index is based on questionnaire self-declarations and, following its evaluation, the results indicate the current status of the employee well and project with high precision the continuation of employment.

Table 2: Valuation of the Work Ability Index

Score	Work ability category	Proposed measures
7-27	bad	restoration of work ability
28-36	moderate	improvement of work ability
37-43	good	strengthening of work ability
44-49	excellent	maintenance of work ability

Source: (Edited by the author based on Kudász, 2016)

According to the most frequent criticism, the Work Ability Index is based on the subjective feeling of the employee rather than focusing on the conditions of the workplace, the circumstances and terms of employment, i.e., those defined in the employment contract. It basically takes into account the employee's feelings about the workplace without explaining them and therefore it does not support the improvement of work conditions or the concepts and tools with which intervention could take place. However, according to those who protect the index the work ability defined in this manner does not only depend on the individual but is also determined by the work conditions and requirements (Jakab, 2013). The experiences also show that the Work Ability Index seeks answers in the following areas of intervention:

- Health related problems,
- Problems related to everyday tasks and fitness,
- Problems related to abilities, qualifications and knowledge,
- Problems related to the physical burden of work,
- Problems in the work environment (labour safety),
- Problems related to the operation of the community at the workplace,
- Problems related to the intellectual burden of employment,
- Reduction in the drive for work and motivation,
- Problems independent of work (family, financial, etc.).

By defining the intervention areas identified based on the above, the employee will have an opportunity to maintain the ability to earn an income. The employer receives assistance to improve productivity and competitiveness. The occupational health service receives supplementary data about the health of the employee. In Hungary, the Hungarian Institute of Occupational Health (HIOH) gained a non-exclusive right to coordinate the distribution of the WAI index. The Hungarian version of the survey was developed by the National Labour Office's Department of Occupational Health, they launched a nationwide survey in 2013 to validate the questionnaire (WAI Survey, 2015).

3. Research purpose

In today's changing and predominantly demand-oriented labour market ageing workers still remain a vulnerable population. The preservation, rehabilitation and reintegration of their ability to work is a key issue for the society and the economy as well. In this respect the most important challenges we have to face, are reducing age discrimination, supporting lifelong learning programs for the ageing population, ensuring appropriate employment conditions for this age group, and introducing new solutions for old age activity and productivity development.

Older workers are a decisive part of the workforce of modern societies, their number will increase significantly in the coming decades. At the same time, older

workers have different skills and competencies compared to other generations. Without them we may observe a considerable shortage in professional working force and an insufficient structural capacity in the labour market. It is also an important role of this age group to pass on their work-related tacit knowledge to younger generations. The future development of workplaces is based on the quality of cooperation between various generations. There is no doubt that work experience and life skills are improving with age. According to Ilmarinen (2012), when performance is measured at work, the improvement in work experience is counterbalanced by certain basic mental processes such as memory functions and psychomotor capabilities. Thus, the purpose of the paper is to explore the generational differences of the perception of workability among the employees of the company examined (Hungarian Post) and draw conclusions in connection with future HRD practices.

4. Methodology

Today, despite the growing importance of the question, there is a very little understanding in the Hungarian literature on the perception of older employees related to:

- Current work ability compared with their lifetime best;
- Work ability in relation to the demands of the job;
- Own prognosis of their work ability in 2 years' time.

The empirical study presented in our paper will focus on the above-mentioned areas, in connection with their relevance to the field of HRD. The questionnaire-based research was conducted amongst the employees of the Hungarian Post, through the EVASYS computer system, online and offline, between July 2 and September 7, 2018. The hard copy of the questionnaire extracted from the EVASYS system was suitable for automated processing, i.e., the returned questionnaires were scanned and then imported into the system. The database contained 2,162 records. We began processing the data by cleaning and categorising them. We created groups from the raw answers (such as age, geographic, place of work) to assess the results comprehensively.

Additionally, we used various statistical data reduction methods (factor analysis, main component analysis, cluster analysis) for data compression and data structure identification. All these methods and models came from the tool set of analytical statistics. The conditions of their applicability were reviewed in accordance with the methodology requirements with variance analysis in the case of cluster analysis and with the Bartlett test and with the review of the KMO – Kaiser-Meyer-Olkin index in the case of the main component analysis. In addition, for simpler implementation and graphic display we also expressed the individual straight-line regression models in graphs with the help of the Microsoft Excel program.

The query was run based on the Work Ability Index (WAI) questionnaire referred to the first part of the paper. The respondents gave their answers voluntarily, with self-declarations reflecting the nature of the questionnaire. The 2,162 individuals filled in the questionnaire represent 7,21% of the total employees of the Hungarian Post, and sufficiently represents the population. Participation in the survey shows the commitment of the given large company to the protection of health of employees and improvement of their loyalty and commitment. As Hungarian Post operates in the whole country, the geographic distribution the respondents show the patterns of the labour force distribution.

5. Findings

5.1. Descriptive statistics

The proportion of women in the main population is 66.3%, while that of men is 33.7%. Based on their age distribution, the proportion of respondents reflects the distribution of all employees. It can also be seen that most workers, both in the primary population and in the respondents, belong to the age group of 40 and

above, where the risk assessment shows that they are already sensitive to different physical and mental effects. Examining the educational attainment of the workers in the sample, it can be concluded that the proportion of primary school graduates is not significant, but this may also be due to the higher willingness to respond to those with higher education.

Even though family status is basically part of the private sphere, it belongs to the quality of the daily, ready-to-work state and to the existence of mental reserve. At the same time, this does not necessarily mean that the unmarried or divorced employee's ability to work would be reduced or lower (respondents family status are the next: 1.9% widow, 10.4% divorced, 19.8% civil partnership, 49.9% married and 18% unmarried).

In the general question group, we also asked for two other important factors: one is shift work (work schedule) and the other one is the place of work. Physical and mental risk factors for shift work may occur primarily among those working in changing shifts and night work. 76.8% of the employees in the sample are in single-shift daytime, 1.8% are in night shift, while 21.4% work in a shift work schedule. In the case of multi-shift work, work is performed at least two consecutive working hours (shifts) in the same workplace within one calendar day. Its purpose is to make the best use of different tools and services. Multi-shift work can be two-cycle or continuous. Continuous shift means working every day of the week, including holidays. Night work is the most burdensome work, as work takes place during the period of sleep and disturbs the biological rhythm. As a result, during the night shift and during the following day, there may be many negative effects on the quality of life. According to the location of the work, 10.6% of the sample work in a variable location, while 89.4% work in a given settlement.

Physical work means a set of activities in which the performance of a work task requires primarily physical effort. The physical and muscular system plays an important role in physical work and the energy demand of the work activity can be significant. Appropriate physical strength and condition is needed for doing this type of work tasks. At the same time, a permanent one-sided load can damage the musculoskeletal system, metabolism, and blood circulation as well. The individual characteristics and physical condition of the person performing the work determine how their body responds to physical stress. From the age of 50, workers need more time to rest. Intellectual work is an activity that connected to the cerebral cortex, based on scientific knowledge and the most essential part is the processing of information. The ability to work is the sum of the physical and mental qualities and the ability to apply the acquired knowledge that makes a person fit for work. However, not just the performance of a specific job, not just the general health or special physiology required for the job, but the subjective judgment of work ability is also required. The questionnaire focuses on judging the present working ability comparing with its lifetime best, which is a complex indicator as contains the former presumed state as well.

The disease is a deviation of the normal structure and function of human organs from the normal, damage to health or inadequate functioning of the body. The patient is biologically ill person who cannot continue his/her normal life due to his/her fall. The most important disease groups for work ability were defined by the International Classification of Diseases. This issue of sampling focuses on the diseases that the worker has complaints about, but has not yet established the exact cause, diseases that are currently causing the complaint and have already been medically established, and diseases that do not cause a complaint, but they still require regular treatment (the score if somebody has at least 5 diseases is 1 point, 4 diseases are 2 points, 3 disease is 3 points, 2 disease is 4 points, 1 disease is 5 points, no disease results 7 points).

Our results suggest that the women's index of illness is significantly worse than that of men. Respondents with multiple illnesses are common among respondents. In addition to the knowledge of the diseases, we were asked whether the employee was disturbed by the current work of his illness or injury. The results

show that older workers already require increased control and greater corporate (HR) attention. Within the age groups, there is a significant increase in the proportion of patients aged 50 and over in terms of more intensive control.

Working capacity, illness and sick pay are causally related. The question is, how many days did an employee take sick leave in the previous year. Evaluations are as follows: 5 points for no sickness, 9 points for 4 days, 3 points for 10-24 days, 2 points for 25-99 days and 1 point for 100 days. Looking at the proportions, 53% of employees were not on sick leave, while 47% used it. The proportion of women not being on sick leave is 51,2%, for men it is 56,5%. In the case of women, sick pay for the child may arise, which we did not investigate separately. Participants in the sample also had to answer what they think they would be able to work in the same state of health in their current job within the next two years. The average score was 6,57 points. In the case of women, this score was 6,58 and 6,54 for men. The rate of the answer 'quite certain' is the most typical answer in almost every age group and gender.

In terms of future work ability, intellectual workers are the most optimistic, with a proportion of 91,4%. As of 84,7% of manual workers, they stated that they were able to keep their working capacity, while workers with both intellectual and physical workload 80,9%. Similarly to the previous results, the estimation of the double-load employees is lower. The mental reserve is one of the most important factor in the competence system. The survey for the state of the spiritual reserve contained three questions:

- a) Have you been able to do your usual everyday tasks gladly?
- b) Have you been active lately?
- c) Do you feel optimistic about the future?

The possible answers for these questions were: always, often, sometimes, rarely, never. The general index was 2,97 points, it was 3,00 for women and 2,89 for men. According to the proportions, 22,7% of women have less mental reserves (1 or 2 points), the same number for men is 27,7%. The greater mental reserves (4 points) were measured in 28,1% of women and 23,1% of men. All work in some extents causes psychological burdens. The extent of this factor is quite different. Part of this burden is due to the physical, partly to the social work environment and partly to the job itself. To reduce these burdensome effects, people must carry out some regulatory activity, i.e. adapt to the conditions. Although the method of measuring mental work (mental strain) is only partly known, mental work - as well as the physical - can be accompanied by the difficulties of adaptation and cause tiredness (these are the so-called demarcation factors). These physical and mental barriers of work not only undermine work performance but also endanger health.

Table 3: Valuation of the Work Ability Index for the sample

Work ability category	WAI score	Persons in sample
Bad	14-27	55
Moderate	28-36	302
Good	37-43	922
Excellent	44-49	883
Total		2.162

Overall, the average Work Ability Index for the whole sample is 41.36 points. The average of the total sample is exceeded by men, despite the fact that women's own estimation of the current work ability shows better results than men. Women have more mental reserves and are more confident about their future ability to work. However, they have more illnesses and are more on sick leave. It should be noted that in the comparison of the sample and the basic population, the proportion of

women employed is significantly higher in the examined area, which also affects the main focuses of HR work and Organisational culture as well. According to our results, the Work Ability Index is suitable for the determination of individual work capacity, and the WAI score is in close correlation with the progress of the age and the time spent in work, and with the increase of the total workload decreases. For example, in case of heavy physical work or/and shift work, due to the high load and stress, WAI can fall below the acceptable value. Based on the examined sample, it can be shown that the value of the Work Ability Index moves almost linearly together with the subjective evaluation of the current working capacity and its physical and mental components. With a very high explanatory power between the individual judgment of physical and mental capacity and the value of the WAI index draws linear regression lines (in all three cases the value of R^2 is around 0.99). This leads us to the conclusion that a large part of the data content of the Work Ability Index is contained the individual, subjective judgment of working ability (confirmed by the results of factor analysis).

According to our data, the main focus is:

- to restore work ability (2.9%, 7-27 points);
- to improve work ability (14.2%, 28-36 points);
- to strengthen work ability (43.1%);
- to maintain work ability (39.8%).

In case of physical/mental occupation there is a significant correlation between age changes, level of workload and future work ability. An important achievement is that, due to the nature of work, more complex HR measures are needed for workers, who white- and blue-collar work on the job.

5.2. Data analysis

5.2.1. Cluster analysis

We also analysed the data extracted from EVASYS with the help of SPSS. Based on certain variables we tried to form some groups which could give us a deeper insight into the data. Regarding the primary evaluation we are going to demonstrate two of our results. In the first model we have performed cluster formation with the help of the two-step cluster analysis by using two variables („Are you optimistic about the future?”, „Highest level of education”). Moreover, we are using a so-called evaluation variable, which is the WAI-index. Due to the significance level seen on table 36 (ANOVA analysis), the clusters form does differ with regard to WAI (see Table 4).

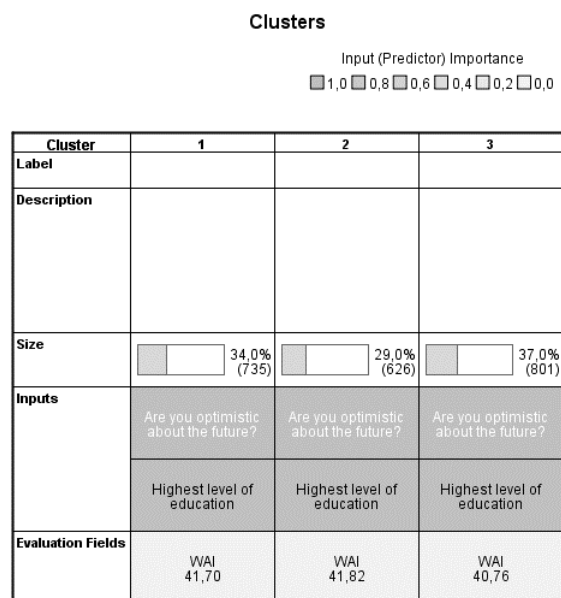
Table 4: Relevance of clusters with ANOVA (1st model)

	Sum of Squares	df	Mean Square	F	Sig.
Between Groups	503,524	2	251,762	8,700	,000
Within Groups	62475,135	2159	28,937		
Total	62978,659	2161			

Based on the two input variables, three distinct groups have been formed. The relative sizes of these clusters are: 37,0%; 34,0%; 29,0%. This is however a balanced picture, since the cluster sizes seem to be relatively close to one another. The ratio of size (1,28) is also promising, which underpins the balancedness mentioned previously. Concerning the groups (Figure 2), we can conclude that basically all group (both highly educated and those who possess a secondary education) members are quite optimistic about their future. Nonetheless, the evaluation variable WAI is at an average level or higher. We

however note that with a secondary education have an above-average Work Ability Index. As a conclusion – mainly focusing on HRD activities – we can assert that in connection with those who are well-educated the firm should provide and organize health preserving programmes. This can be a tool for maintaining or improving working abilities and making the employees more committed. Therefore, the preparation and introduction of health and prevention programmes should be an important goal of HR professionals and managers. This way the firm can avoid high level fluctuation and losses concerning health issues.

Figure 2: 1st model's clustering characteristics



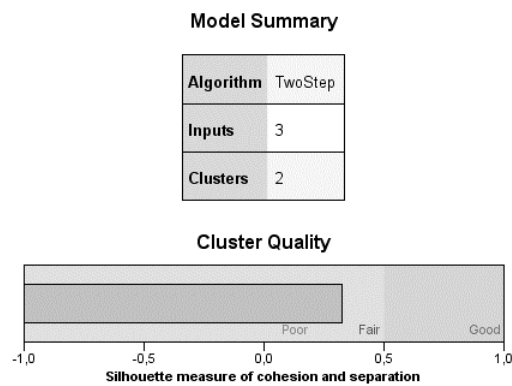
In the second model we are taking into account the highest level of education, the type of work and current work ability relative to best ever. As a result, we get a powerful model. First of all, looking at the ANOVA analysis (Table 5) it is apparent that based on the significance level, clusters do differ from one another concerning WAI which has been also taken as an evaluation variable.

Table 5: Relevance of clusters with ANOVA (2nd model)

	Sum of Squares	df	Mean Square	F	Sig.
Between Groups	2030,168	1	2030,168	71,949	,000
Within Groups	60948,491	2160	28,217		
Total	62978,659	2161			

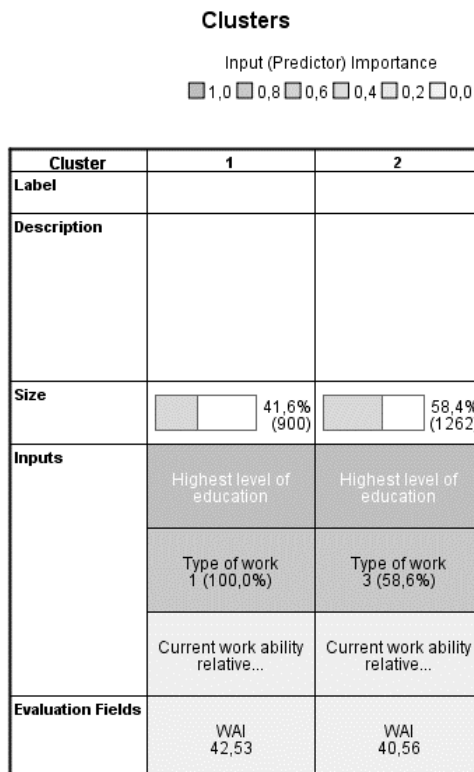
Table 5 also demonstrates that our model has a better explanatory power than the first one. This means that conclusions based on the second model is more accurate. Recommendations given to the management and HRD experts is sounder and more well-established. We get two different cluster sizes: 41,6%; 58,4%. This means that the clusters are not so balanced as in the first model, which is also indicated by the 1,4 ratio of sizes value. This relative unbalancedness however should not distract ones attention. Further results show that both clustering variables form an important role is cluster formation (Figure 3).

Figure 3: Performance shown graphically (2nd model)



Regarding the Work Ability Index, we see major differences between the two groups (see Figure 4). Those who carry out white collar work (i.e. those who are working in an office environment) have an above-average WAI-index (43,03), however, employees who perform manual labour are under the average (41,03). Therefore, based on our second model we again identified a risk group. The main characteristic of this cluster is related to the form of work. As shown above detrimental health issues can occur regarding the second group, namely those who must do manual labour.

Figure 4: 2nd model's clustering characteristics



5.2.2. Principal Component Analysis

Besides cluster and related ANOVA analysis, Principal Component Analysis (PCA) has also been used concerning our database. More than one models have been dealt with using a certain number of variables. For running these models, we employed SPSS

again. In one of the models we analysed the degree of redundancy regarding the Work Ability Index in order to assess the methodological accuracy of the index. The applicability of PCA has been determined by the KMO and Bartlett's tests. Results are to be seen below (Table 6).

Table 6: The values of KMO and Bartlett's test concerning the analysis of subindices

KMO and Bartlett's Test		
Kaiser-Meyer-Olkin Measure of Sampling Adequacy.		,742
Bartlett's Test of Sphericity	Approx. Chi-Square	3037,133
	df	21
	Sig.	,000

The correlation matrix has shown definitely, that the Work Ability Index and its subindices (see Table 1) are correlated moderately or highly. The highest correlation is between the first and the second subindex (see Table 7).

Table 7: The correlation matrix of subindices

		W1	W2	W3	W4	W5	W6	W7
Correlation	W1	1,000	,652	,196	,305	,196	,247	,328
	W2	,652	1,000	,178	,313	,189	,258	,384
	W3	,196	,178	1,000	,460	,223	,185	,146
	W4	,305	,313	,460	1,000	,311	,285	,262
	W5	,196	,189	,223	,311	1,000	,190	,200
	W6	,247	,258	,185	,285	,190	1,000	,283
	W7	,328	,384	,146	,262	,200	,283	1,000

As a result of PCA, we have chosen two factors which incorporate most of the information about the subindices, i.e. the variability of data given by the same subindices. The two factors explain nearly 55% of the total variance. Both components include relatively high loadings regarding more than one subindex. Those component loadings have been disregarded which have an absolute value below 0,3 (Table 8).

Table 8: The component matrix regarding the 1st model

	Component	
	1	2
W2	,732	-,458
W1	,718	-,427
W7	,682	,424
W3	,605	
W4	,544	
W5	,491	,368
W6	,521	,598

Moreover, our two-component model explains the variability of W2 the best. This is so, since 74,6% of the variance of W2 is being accounted for our model (Table 9).

**Table 9:
Components and
variable variance
Communalities**

	Initial	Extraction
W1	1,000	,699
W2	1,000	,746
W3	1,000	,629
W4	1,000	,645
W5	1,000	,377
W6	1,000	,297
W7	1,000	,433

Extraction Method:
Principal Component
Analysis.

Our analysis can be interpreted in two ways: on one hand the high correlation between subindices alludes to the fact that the Work Ability Survey is redundant, on the other hand a relatively high percentage of the information contained in WAI can be extracted by only two components. Based on results the modification of the survey should be suggested. Lastly, we would like to mention that further models have also proven what we have demonstrated previously, i.e. that there is a strong correlation between the WAI-index and the subindices or other variables derived from the survey (see Table 10). Between WAI and the age there is a significant negative relationship. Future optimism, current working ability and the highest level of education are strongly correlated with WAI, moreover, this correlation is positive.

Table 10: Correlation matrix of the 2nd model

		Highest level of education	Working hours per week	Type of work	Are you optimistic about the future?	Age	Current working ability...	WAI
Correlation	Highest level of education	1,000	,029	-,316	-,053	,125	,095	,050
	Working hours per week	,029	1,000	,043	-,014	-,006	-,008	-,019
	Type of work	-,316	,043	1,000	,122	-,064	-,196	-,180
	Are you optimistic about the future?	-,053	-,014	,122	1,000	,027	-,292	-,462
	Age	,125	-,006	-,064	,027	1,000	-,144	-,210
	Current working ability...	,095	-,008	-,196	-,292	-,144	1,000	,715
	WAI	,050	-,019	-,180	-,462	-,210	,715	1,000

These results also support the practical usability of the method. Through correlation analysis, HR departments can trace and locate concrete target groups and carry out plans of action in the context of HRD-programmes to sustain working abilities.

6. Implications for HRD practice

The research proved that the Work Ability Index of employees who obtained vocational qualifications within the Hungarian Post and had negative projections for the future was much lower than the company average. We examined this result with correlation assessment and cluster analysis. On this basis, the HR department of the company can develop and introduce proactive, preventive development programmes with which the Work Ability Index of these employee groups could be improved.

There is also significant correlation between the Work Ability Index and other indicators reviewed in the questionnaire (age, optimism about the future, own opinion about the current status of work ability, highest vocational qualifications, etc.); it is a research result that gives an important basis for preparing a human resource development strategy planned for the future.

The new result stems from the fact that the applicability of the WAI methodology in Hungarian large company could be proved with a research project involving great number of respondents. Based on the validated information that the average Work Ability Index is 41.36 points out of the maximum 49 points at the company, the employer can define future programmes with which the improvement of the index may become visible in a new measurement.

There is significant correlation between the Work Ability Index and other indicators reviewed in the questionnaire (age, optimism about the future, subjective opinion about the current status of work ability, highest vocational qualifications, etc.); it is a research result that gives an important basis for preparing a human resource management strategy planned for the future. In its practical implementation we would be able to designate specific target groups and fields of action for the future HR programmes for preventive and development purposes.

The differences between the individual organisational units and jobs in WAI data and their roots in the reviewed large company are fields requiring further research. It would be important to see the correlation between the results resulting from other surveys at the particular employer which measured the professional competence level or degree of commitment of the employees in comparison with the Work Ability Index Survey. Once the age and generation management programmes are launched at this large company, it would be advisable to prepare WAI related tests for targeted specific groups. These data could confirm whether the employer's investment into the development of the work ability of employees generated any return or not.

The methodology assessing the work ability of aging employees should become part of the public service development strategy which is currently being developed to be introduced in 2020 to be able to sustain and improve the efficiency of the labour market in the subsequent decades despite the unfavourable demographic trends.

The special responsibility of a HRM/HRD specialist is not only to take advantage of the workforce, but also to preserve, retain and renew the workforce through well shaped jobs, a planned work environment, and occupational health measures. This activity could be understood as preventing the risk of working ability of the older workforce. The main experiences of the study can be summarized as follows:

- The Work Ability Index clearly indicates the need to create age management or, where this is not possible, to employ an HR specialist at local level who can help older workers. In line with the holistic approach, team work is an important element in which collaboration between HR, occupational health services and management members is more and more important.
- Age sensitive risk assessment is required. Age sensitive risk assessment considers the specific characteristics of different age groups in risk assessment, including possible changes in the ability and health status of the older workers. In the case of older workers, more attention should be paid to their physical use, to the risks associated with shift work, or working

in heat, noise, and so on. However, as the differences between individuals become more pronounced with age, no conclusions should be drawn based on age alone. The risk assessment should take into account the individual functional capacity and health status of the employee in the light of workplace expectations

- Developing and operating a stress monitoring system can be an important HR task as well. It is a system for the inventory, assessment and management of physical and psychological stressors (and their effects) resulting from the physical and social work environment, with the professional operation of the so-called physical and psychological stressors workplace stress can be judged, treated and prevented.
- Providing ergonomic responsibilities and opportunities is also essential, not only for the elderly, but also for all employees, too. Dual, mental and physics burdens are further aggravated by workplace harm caused by lack of ergonomics.
- Development of a health-conscious behaviour is essential to improve the Work Ability Index, where the importance of prevention in health and safety at work cannot be over-emphasized

7. Conclusion

Demographic changes may cause the most significant negative labour market impulse in the 2020s, when the number of people of employment age may drop by 11 per cent compared to the averages of the previous decades. This is a significant number in relation to which complex age management programmes need to be launched at the level of the national economy and companies at the end of the current decade.

In future, global trends will influence the labour market (robotization, artificial intelligence) in which gradual increase of work performance will have a crucial role. This can only be achieved by boosting knowledge intensity, which requires continuous knowledge transfer between generations. Among these challenges, human resource management must develop new tools to be able to generate sufficient added value both in the public and private sectors as one of the most important functional and strategic organisations within a company.

Predictive analysis is becoming an increasingly important part of the HR processes of companies because it provides complex business information and insights that help more effective management of human resources and prepare the company for future challenges in time, before they would present impossible tasks to the management of the organisation.

The WAI methodology helps to develop such a predictive tool in the future through a deeper statistical analysis of the results (cluster analysis, main component analysis, etc.) and effectively develop work ability, concentrating on the focus groups where reduction of work ability is mostly at risk.

Age management strategies (part time, transformed/customised jobs, etc.) may be developed where aging employee groups can deal with knowledge transfer and other key roles and where this social group can also become more active in the labour market.

Each company, organisation and institution should concentrate more on its employer brand development because acquiring the best employees is proving to be an increasingly difficult challenge. Jobseekers have a lot more options and can find information about their future employers more easily (managers, the values of the company, their actions in corporate social responsibility, etc.). That is why companies must take all reasonable efforts to present themselves most positively to their future colleagues, but it can only be achieved if their message, communicated inside and outside their company, is credible. That can work if employees receive positive employee experiences from their employer before joining the company, during employment and after they have left the company.

An employer brand must be built where each age group can find messages attractive to them. However, it requires effective generation and age management at companies, which cannot be achieved without understanding the Work Ability Index of the present employees and all other correlations that affect it.

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Changing Blues: How national demographics should influence change in UK policing

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Abstract

This paper considers the necessity of continuous Organisational change within the UK police service in order to make it more attractive to females and minority groups. Workforce changes have seen an increase in females entering the service and aspiring to senior positions as well as other less well represented ethnic and social groups. As society changes, with the greater integration of multi-cultural and diverse representation into the workforce, there is a need for the service to reflect and represent the changing demographics of the UK. In the past, the traditional 30 year-long vocational career path has been potentially prohibitive to females considering a career in policing. There has been significant improvement in the representation of women across all ranks, however, the numbers of high-ranking females remain limited at 26.8% (56 females out of a total of 209 Chief Officers), lacking true representation of wider society at the most senior levels of policing. This paper seeks to indicate how HRD interventions can unlock the perceived barriers to females entering and progressing their careers within the service, retaining talent and influencing policy and practice to address the existing gender imbalance. Utilizing a mixed methods approach of questionnaires, focus groups and analysis of qualitative data from 35 in-depth interviews with senior ranking female officers in a variety of UK forces the opportunities for change are identified. The discourses that emerged from the data indicated the significance and depth of change required in both the attitudes of those who work within the police service as well as the attitudes and behaviours of the public the service serves. It seeks to identify the internal impact that will result should such moves to shift the Organisational culture occur and to consider the detrimental effect upon police recruitment should the service fail to engage in such change processes.

Keywords: Demographics, organisational change, minority group, equality, Police

1. Background

In the past the traditionally a 30 year long vocational career path has been potentially prohibitive to females considering policing as an appropriate career. Changes to the wider police family, the recruitment of direct entry senior officers to the ranks of Inspector and Superintendent, alongside shifting public attitudes to policing, has unlocked opportunities for increased flexibility in working practices and seen some alignment to civilian working practices that reflects the requirements of a more diverse and inclusive society. By adopting a different approach to attracting new entrants to the service and the positive shift of focus upon education and lifelong learning by the National Police College, resulting in the Policing Education Qualifications Framework (PEQF) and the Police Constable Degree Apprenticeship (PCDA), the service seems to offer improved opportunities for entry to the service regardless of background or gender. The establishment of Police Now which originated inside the Metropolitan Police Service in 2015 has also contributed to the shift in culture with regard to graduates and also makes efforts to address the imbalance of recruitment from ethnic minority groups. Currently working with 28 forces out of the 43 that exist within the UK, Police Now offers candidates a 2-year

programme to prepare them for integration into forces as experienced and educated officers. By offering a national graduate leadership programme Police Now has increased the diversity and harnessed talent development of exceptional candidates that may not have previously considered a role in policing. Their web page indicates impressive improvements in this aspect:

"Of those who began the programme in 2018, 53% identify as female, 12% as BAME (24% as BAME in London) and 5% as BAME female from a range of academic, employment and socio-economic backgrounds. 11% of our 2018 intake identify as LGBTQ, and 46% are the first in their family to go to university. 25% speak at least one other language, with 20 unique languages spoken in total. As awareness of the Police Now programme grows, the number of unique universities that participants have graduated from has increased from 44 in 2015 to 77 unique institutions in 2018" (Police 15/04/19).

All of these initiatives combined with a fairer promotion system that recognizes individual talent rather than the previously predominantly male-dominated nepotistic system, this approach creates the possibilities for increasing more diverse representation at the higher ranks.

2. Literature Review

2.1 Traditional Police Culture

Traditionally the police culture supported the view that pounding the beat for years and learning the 'craft' of policing 'on the streets' was the only way to ensure that police officers were 'time-served'. In the past, this was considered a 'rite of passage' to attaining senior ranks, with resistance to the concept of direct entry to more senior ranks due to lack of 'street wisdom'. This notion that previously pervaded the service gave little cognizance that a new approach to recruitment and people development might prove beneficial by attracting a different pool of talent, allowing innovation and creativity, resulting in increased workforce diversity with transference of skills and knowledge across industrial sectors, particularly in relation to leadership and strategic decision making. The consequence was a lack of quality female officers achieving the higher ranks due to the length of time required to learn the craft of policing. The Office of National Statistics (ONS) most recent data indicates that the national employment rate differentiation between genders is diminishing with November 2018 – January 2019 statistics indicating that out of 76.1% of people in work, 71.8% were women with 80.5% being men. This narrowing of the gender gap has been consistent since 1971 when the numbers of women in work were 52.8% and men 92.1% (ONS, 2019).

2.2 Training costs and timing

In addition, the prohibitive costs incurred in training and development, combined with increasing funding reductions and increasing austerity has resulted in forces being more cautious about their use of public funding. Training has been at the forefront of budget cuts and alongside limited access to mentors or champions required to endorse promotion of individuals to the next rank, this has further exacerbated the situation. The former approach was particularly prohibitive to women, whose opportunity for commencing career progression frequently coincided with their desires to establish family life (Belle, 2002, Silvestri, Tong and Brown 2013). Many women failed to progress their careers due to the 'biological clock' meaning they had to choose between promotion or marriage and/or family life, thus limiting their opportunity for promotion containing them at the lower ranks (Liu and Wilson 2001). Kelan (2009) refers to this as being 'biologically disadvantaged'. Astley and Harness (2009, P9) comment that *"The greatest individual barrier to considering promotion relates to inconvenient timing, such as family commitments, accounting*

for 24% of the total sample's reasons for not seeking promotion". She further noted that during that this was frequently linked to HRD issues, such as their ability to study alongside the demands of family responsibilities.

2.3 Implementation and practice of policy

Previously poor or limited implementation by managers of workforce policies and practices, in relation to maternity/paternity leave and part-time working, resulted in many women perceiving that the opportunity to progress to the higher ranks required a sacrifice of family life, which for some, was too high a price to pay (Astley 2011). It is only in relatively recent times that the service has recognized the need for policies in relation to family commitments. Astley's (2011) study indicated that there were some sporadic attempts to produce welfare related policies in the early Noughties and these have since grown in frequency with now a much more human approach applied across the service recognising the need for a more balanced work and family approach.

2.4 Millennials in the workplace

Hersatter and Epstein (2010) comment upon millennials' expectations within the employment relationship, particularly in relation to work-life balance. They comment *"While employees of all generations desire work-life balance, Millennials' may have the confidence and conviction to demand it..."* (p.219). Modern workers' expectations in relation to a more balanced approach to life combined with a less centric approach to work has forced a change towards the notion of commitment and the behaviours relating to long-hours culture and presentism that has defined previous work forces and the police in particular. The structure and clearly defined work activities of policing may well seem attractive to Millennials' who favour clarity and definition at work, but their expectations in relation to ensuring family life and leisure time is catered for will force a different approach from employers, including the police service. Stewart et al. (2017) highlight that Millennials are often painted in unfavourable light by earlier generations who see their different approach to work and culture as less than desirable. The distinct approach to work, arguably places leisure and life in general into a more balanced context than previous generations, that have tended to focus on long working hours, dedication and commitment to organisations and roles that has in itself presented poor work-life balance resulting in stress and burnout. The expectation is that this generation will re-shape attitudes to work challenging traditional employers' views particularly in respect of motivation and reward. They further comment upon the length of employment expected by the millennial generation and how this is linked to performance. With the traditional police culture of expecting officers to serve for 30 years or more, this may prove problematic for a generation that anticipates greater job flexibility and fluidity between job and or roles. They also exhibit what older workers perceive as contempt for authority, questioning why and how things are done. In order to manage both older and more modern workers' expectations there needs to be educational intervention on both sides to affect a positive solution to differing expectations within employment. Stewart et al. (2017) comment that motivation of this new generation tends to be directly linked to the achievement of their personal goals and therefore, Organisational goals need to tap into their motivational expectations. On the positive side, they seek team-based cultures, which clearly policing is and by linking effective CPD through robust PDR interventions the service can effectively utilize the traits of the newer recruits and enable it to develop cultural shift. As Millennials are likely to form a significant proportion of the future workforce it is imperative that their idiosyncrasies, as older generations tend to perceive their work ethics to be, are catered for, so that the service delivers to the wider societal needs, yet retains the power and authority vested in the role of policing.

2.5 Self-efficacy and self-deprecation

Evidence further suggests that some women's self-deprecating attitude and low self-esteem, particularly in relation to promotion and competition, impedes their ability to progress (Astley, 2011). Emeriau-Farges et al. (2018) identify the importance of emotional self-efficacy in police women (ESE) and how they link this to operational effectiveness and competence. They comment that ESE is an important element of health and well-being which in turn results in increased performance, a reduction of absenteeism leading to opportunity for personal development and ultimately promotion. Therefore, the ability to intelligently control emotions in police work and enabling officers to learn to do so may potentially be beneficial to talent retention within the organisations. Therefore, HRD interventions that address those negative perceptions enabling and empowering them to progress their careers successfully are critical to the organisation's successful growth and reflection of wider society. By exploring the recent changes to police recruitment, selection, training and development practices along with internally shifting approaches to workplace policy and practices, it further seeks to identify how organisations change can positively affect female representation within the service. The service can continue to learn from civilian organisations, adopting best practice in terms of adopting more flexible approaches to working patterns resulting in a more effective and efficient use of the talent pool.

2.6 New approach to recruitment and education

The shift from the OSPRE II promotion system to the National Police Promotion Framework (NPPF) was a welcome intervention in 2015. The Fast Track Development programme has also superseded the High Potential Development Scheme, which was often discredited by rank and file officers in the past (Astley, 2011). This paper considers the need for Organisational change using HRD interventions as mechanisms to effect such change. Policing in the UK is historically male-dominated with women regarded as peripheral objects controlled by men. It has been a male power base where men shape and define the actions and interactions that occur within the work environment. Feminist criminologists such as Walklate (2004) oppose the entrenched view that policing should be viewed through the lens of the male perspective as not all perpetrators of crime or workers within the police service are male. By its aggressive nature, crime is deemed masculine, so any association with it is frequently considered male. Some authors who champion the cause of women working within the service have exercised a detrimental effect upon women's career opportunities by compounding the concept of policing being essentially male-dominated. Lord and Friday (2003) commented that *"police work has traditionally been defined as a male occupation"* (p.63). Rabe-Hemp suggests that policing is *"masculine by social construction"* (2009, p.116) due to the nature and type of work implying that generally it is viewed as being physical and aggressive in nature. Intelligence led policing was adopted during the early 1990s which was a major shift in culture built around risk assessment and effective management by prevention of crime rather than responding to it. This was the beginnings of the development of the wider police family that included Police Community Service Officers (PCSOs) alongside fully fledged police officers and 'Specials' or voluntary police officers. This shift of focus to a presence in the community without full powers of arrest was initially resisted by serving officers but are now regarded as an essential part of providing reassurance and a uniformed presence in the community. This shift also recognized the different approaches females bring to policing, those feminine skills of negotiation and mediation which now play a significant part within police activity.

2.7 Cultural shift

The culture is further gradually shifting with the inclusion of more civilian managers contributing to the changing nature of the organisation, with the increase in female staff, usually in administrative roles, which has changed the gender ratio to an

extent. However, civilian staff are regarded differently to police officers. Demographic change in UK society indicates that a significant increase of women at work and occupying senior roles is likely and necessary if the police service is to reflect society at large (Silvestri, Tong and Brown, 2013), then it needs to culturally shift to view senior women officers as the 'norm' rather than as the exception. Brown (1997) suggested that the point at which representation of women in the police service can be regarded as 'normal' (p.15) is 25%. By March 2015 Brown's statistic has been exceeded with 35,738 female officers across the 43 Forces of England and Wales representing 28.2% of the workforce, an increase of 5.9% between 2006 and 2015. *The proportion of those in senior ranks (i.e. chief inspector and above) who were women was 21.4% (up by 1.9 percentage points since March 2014), compared with 30.2% of women at constable rank (up by 0.1 percentage point since March 2014)* (Government UK, 2016).

However, successive annual Home Office statistics indicate that the retention rate of women police officers is lower than that of their male counterparts, which, given the shifting demographics of the UK workforce indicates a lack of sustainability and a need for organisational change to address the drain of females from the service. The National Police Chiefs Councils (NPCC), which replaced the Association of Chief Police Officers in March 2015, indicates significant reform at senior ranks with the first head of the National Council being female. Sara Thornton held this role until April 2019. This perhaps indicates the necessity for change by senior ranking officers and provides a clear indicator that women will form a significant proportion of the future workforce. The NPCC is divided into 8 thematic portfolios significantly featuring a specific portfolio for workforce of the future. In order to do this, there needs to be a sea change at the lower ranks to enable women to embark on a long and sustainable career in the service and to provide them with the support mechanisms necessary to enable their careers to progress. Some of these mechanisms will relate to the effective management of shift work, a significant change to the notion of commitment and greater use of part-time or job-share roles. In the past, any time away from the job, be it for maternity leave, family-oriented requirements career development, was perceived by many serving officers as a lack of commitment and the idea that a part-time or Job-share arrangement only detracted from the deployment of full-time equivalent officers. Frequently, the perceptions were that the duties teams (those who control workload deployment and operational activity) would count a part time officer as a full time equivalent, thus apparently reducing the number of front-line officers available on the streets. Transparent and effective management of shift working with better communication and justification of work deployment by managers can reduce such misconceptions. There has been improvement in attitudes to more flexible working even within the shift-based system and particularly in the ranks where the work attracts more standard office hours, such as Inspector and above. The National College of Policing recognises that there can be mutual benefits to engaging flexible working practices in some aspects of police work and consideration can be given to applications to job share, part time working, working compressed hours (say 40 hours over 4 days), staggered hours and flexitime (College Police, 2019).

However, traditional police culture has found flexible approaches to working undermines the notion of commitment to the job and the challenge lies in that some long in-service managers may still adhere to their old cultural stance, even though the organisation aspires to culturally shift. By encouraging a shift in cultural expectations, aligning to the expectations of the millennial workforce attitudes to work changes will gradually occur, but cultural shift is a slow process and requires visible champions to drive it through. The Police Federation in 2013 produced campaigning literature identifying flexible working as "*a benefit not a burden*" (Polfed, 2013). Endorsement by the Federation is a positive step in the cultural shift as it represents the majority of serving officers. Furthermore, it endorses a more structured approach to the duties systems by recommending that officers should know their rosters and working times 3 months in advance.

There is no doubt that there is a cultural shift occurring within the service and the speed with which the changes occur will be significant. A more people orientated approach to the deployment of police officers can only result in benefits for both serving officers and the public they serve. There is no doubt that the challenges presented by the operational requirements of the service are sometimes prohibitive to the service achieving the changes and flexibility seen within civilian organisations, but by gradually improving terms and conditions this will enable the establishment of a more diverse workforce that truly represents the society that it serves.

2.8 Societal influences

Additional challenges for women in male-dominated roles relate to public perception as to what is and what is not an appropriate job for women. Germain et al. (2012) comment upon society's distinction between roles which in the UK stems from patriarchal origins which frequently links to stereotyping and prejudice when people deviate from these roles. This endorses Martin's (1979) seminal work relating to the positions of women within the service and more recent work by Perrott (2018) who refers to women in policing "*entering a hitherto hyper-masculine, white and heterosexual institution*" (p.224). Faced with all these differing requirements, there is no doubt that the service finds itself in a period of change and transition, from its traditional militaristic roots, where discipline and testosterone ruled, to a more inclusive, flexible and diverse approach that more appropriately reflects the needs of modern society.

3. Methodology

This work is part of a major study into women in policing. Positioned within the framework of feminist criminology from Martin's (1979) seminal work through to more recent feminist police studies by Walklate (2004) this paper explores the relationships between women and policing via mixed methods analysis of quantitative and qualitative data. British feminist criminology reflects the uniqueness of the British system of policing which vastly differs from other continents where policing studies are produced in quantity, for example USA or Australia. Research into policing and women in policing in the UK in particular, is a specialist field with only a minority of contributors to this much needed, but frequently overlooked area, usually due to lack of ability to attract funding and the limitations of access to research subjects due to the sensitive nature of police work. Walklate (2004) defines women's rights to non-discriminatory practices and equality of opportunity when seeking rank within the service. She perceives 3 levels of feminism that can be identified as follows:

Walklate's (2004) perspective of the development of the feminist criminological framework	
Liberal feminism	women's rights to equity and non-discriminatory experiences exists yet normative (male) knowledge and behaviours is prevalent (Walklate, 2004)
Radical feminism	The reversal of the traditional, socially acceptable notion of male domination over women.
Postmodernist feminism	The most challenging feminist perspective - women in policing are positioned as the "other" or "outsider"

Source: (Astley, 2011, p.139)

In Walklate's definition of radical feminism she perceives more balanced approach to gender equality with postmodernist feminism identified as the most challenging. As societal attitudes to work and gender shift, Walklate's postmodernist state is most likely to become the norm, or perhaps an even greater shift might occur in relation to UK demographics when females constitute the majority in the working population.

In this study three complementary methods were adopted, a questionnaire circulated in one pilot force, followed by focus groups within the same force and finally 35 in-depth one to one interviews with senior women across 8 forces. Initially the questionnaire was piloted in one large force that covered a rural, urban and suburban geographical area and this was followed by self-selecting focus groups to develop those themes initially identified. The questionnaire was circulated electronically allowing officers to participate by printing it off and returning an anonymous paper copy. 550 questionnaires were circulated which resulted in 172 returns of a 32% response rate. The first stage of qualitative data collection occurred in 6 focus groups conducted across 3 days. Attendance was on a voluntary basis with a wide range of specialist and headquarters roles represented and 29 officers attended. Discussions were based upon the responses to the questionnaires in order to capture the flavour of the emergent themes that were finally developed in the in-depth interviews. The results of the questionnaires and free flow comments from the focus groups were analysed using SPSS and coded themes began to emerge. The in-depth life history narrative interviews lasted between one and two hours and were digitally recorded, transcribed and coded. The interviews offered authentic accounts of individual experiences in an anonymous and confidential environment ensuring the safety of each individual. The usual researcher protocols with regard to participant engagement and withdrawal opportunities were adopted and the result was rich and insightful data offering a true account of the existing situation.

The in-depth interviews with senior ranking female officers in a variety of UK forces offered depth and insight into the cultural shift required to enable women to truly compete for senior ranks on a level playing field. Analysing the various discourses several themes were confirmed with new themes emerging resulting in the exploration of the attitudes of women to existing and future HRD interventions that could offer solutions to the lack of female representation at senior ranks. The discovery of differing customs and practices both intra and inter forces suggests opportunities for adapting workforce policy and practices by engaging with civilian examples of good practices to be embedded in conjunction with Queen's Regulations that governs the deployment of Officers of the Crown. Arguably, there are ethical dilemmas that relate to the deployment of police officers, the notion of absolute obedience to the Crown and balancing the needs of the human resources within the service alongside public demand.

4. Findings and Discussion

During the early stages of their careers the main challenges in relation to seeking promotion correlate to time and cost of study alongside balancing family life. The questionnaire results indicated that 24% of female officers considered inconvenient timing as the greatest barrier to career progression. In the focus groups an officer comments:

"With 2 young children and a husband who is a serving police officer working shifts I would find it difficult to dedicate the time to studying".

And another states:

"It is difficult to be committed to achieving promotion due to family commitments".

During the in-depth interviews this barrier was further corroborated, with those who had achieved high rank alongside family life indicating that without the support of a partner taking on the traditional female role of primary carer, they would not have achieved promotion to the level they had achieved. One senior ranking officer states

"There is no doubt in my mind that (if husband had not taken over as house husband) I could not have done it without that support".

The same senior officer also commented upon her own recollection of putting her family responsibilities before her own career development in the early stages and commented that the maternal influences of mothers frequently results in such sacrifices. She said:

"There is something about having caring responsibilities that makes you a different sort of person. I have to say, for the majority of my career, I've thought about myself bloody las and thought, shit, I'd better do that for me now".

Therefore, in order to enable women to devote time to progressing their careers there needs to be opportunity to gather evidence of suitability of promotion to the next rank as an integral part of daily activity. This could be achieved by adopting portfolio building of CPD evidence which is endorsed by an officer's commanding officer and links to the existing PDR processes utilised in forces. Already within the probation scheme for new entry officers there is capacity to adopt such mechanisms to evidence competence in the role. By developing this HRD intervention more widely across the ranks, the service could find an effective and efficient method of establishment of competence and suitability for promotion based upon daily activity in the role.

Direct entry at Inspector and Superintendent may potentially be problematic for younger women transferring across industry sectors. Effective policies in relation to family friendly working practices will become a greater need if women of child bearing age enter the service in senior ranks. One officer commented:

"You have to make lifestyle choices"

There is often more flexibility at the higher ranks with regard to working practice as the rigid shift system found at the lower ranks dissipates as roles change to more strategic rather than front line operational with a 24/7 requirement. However, the pressures relating to the provision of sufficient mentors to coach direct entrants will be increased, as these new entrants will swell the numbers that come up through the ranks that also seek mentoring support as part of their pathway to senior ranks. Therefore, the concept of mentoring needs to be embedded into all roles from Sergeant upwards thus ensuring access to mentors is adequate to ensure strategic HRM planning. Senior officers are often willing to mentor aspiring officers, but workload can be problematic. One senior ranking officer stated:

"I want to make a difference, not for me, but for other people. I mentor women at every single rank and grade in this force. I don't do that officially. I do mentor some men as well. It's my responsibility, it's my job".

If the service could reach a point where every superior ranking officer, regardless of gender identified that mentoring is a complimentary part of their role and it is inbuilt into their role requirements, this would assist in the development of a mentoring culture. Wider society seems to be recognising that coaching and mentoring is an integral part of business life and this needs to be reflected within policing at every level. The notion of commitment appears to still be a challenge for some of those who work in part time or job share roles. Whilst this is common practice in civilian

life, within disciplined services, such as the police, there is still an adherence to the concept that the job is a vocation, and anything less than full time commitment is viewed as a compromise. One officer comments:

"There is no real opportunity to work part time and still progress with your careers. There are limited paths when you are part time".

A more positive approach to more flexible working practices is likely to benefit the service. There is a perception that flexible working practices negatively affects deployment in that a fractional worker is retained 'on the books' as a full time equivalent. A review of the shift system and duties teams' practices can assist with the shift in attitudes towards more flexible working practices by the publication of transparent, strategic deployment planning. Duties teams are pivotal to officers' understanding of operational requirements and deployment and their attitudes to work planning significantly influence the general ambience in relation to deployment. Therefore, if the duties manager is a supporter of flexible and innovative working practices, this will be reflected within the team's deployment of officers. In addition, ensuring that all managers are implementing force policy in relation to flexible working. This study identified that different managers in differing locations interpreted and applied policies differently, particularly those in more remote geographical locations, where deployment of officers to meet public requirement is challenging due to size and location of the community it directly served. This meant that depending upon the area some females worked in, they may have been disadvantaged due to individual interpretation of policy. HRD interventions ensuring that managers are familiar with and consistently apply force policy will reduce officers being disadvantaged upon this basis. The Federation's endorsement of more flexible working practices will no doubt continue to significantly influence positive change in this respect.

Perhaps the most effective method for increasing female representation at senior ranks links to Emeriau-Farges et al. (2018) emotional self-efficacy. This study and many other studies into female career progression indicate that women's lack of self-belief in their own abilities is common. The focus group sessions and interviews highlighted that there was significant evidence of women's lack of self-belief when considering promotion which endorses Butler's (1990) socially constructed paradigm of female inferiority. One officer comments:

"Once women have got the knock-back they are not as tenacious, it's a confidence issue. They think I can't do this".

Another officer comments:

"When the Chief Superintendent boards came up, my inclination was not to go for them, but I've also heard myself say I'll see what the Chief Officers say to me".

And:

"Confidence – I think it's a female thing. I find that women tend to need a little shove; you need permission to go for the next one (rank)."

And:

"Women need permission. Women won't give themselves permission until they are 110%. Men have better self-belief".

This lack of self-belief stems from a wider British cultural origin and is not peculiar to policing. It was interesting to note that lack of self-belief was evidenced at every

rank. This is correlated to an extent by the continued existence of the gender pay gap which measures the median hourly differences in pay across all UK employment and the ONS (2019) statistics relating to continued difference between the genders in employment. By developing women's self-belief and enabling them to harness their emotional intelligence through the use of mentoring and other HRD initiatives, the service can reap the benefits and retain skilled officers, regardless of gender. Female role models are also beneficial in addressing this particular female trait. Many women commented about how women are "*wired differently to men*" Astley (2011, p311). A senior officer commented:

"Women are generally far more reluctant at blowing their own trumpets".

However, as Millennials begin to form a substantial component of the working population with their more fluid attitudes to gender, it may be that this issue dissipates naturally, or in the worst-case scenario, any gender might have self-efficacy issues. There is significant academic evidence that Millennials are the generation that has been most protected by their parents and consequently may be less independent than previous generations. As policing is a career that requires individuals to be confident and self-assured in their abilities any such concerns would need to be addressed by rigorous selection processes and appropriate training to ensure officers are fit for purpose. To a large extent, this work is undertaken in the new Policing College qualifications as well as being a significant factor in the Police Now recruitment processes.

5. Conclusion

There is no doubt that there is evidence that the process of cultural change in policing is already progressing and as there is an influx of the new generation of workers into the service alongside a shift in attitudes in wider society the speed of change will become more rapid. This paper has highlighted key areas for the service to concentrate upon in order to continue to be fit for purpose in the near and long-term future. Recognition of the need for increased flexibility in both recruitment and deployment practices has already been established and by using effective HRD interventions the service will continue to develop and to remain an employer of choice for individuals who believe in the service values of protecting society and respect for authority. Shifting Organisational culture does not necessarily indicate a negative situation, on the contrary, it is recognition that society itself has changed and is merely a reflection of the modern needs and requirements of the public at large. By becoming more responsive to public needs yet maintaining law and order the traditional gender divide within the service will subside and women will comprise a more significant proportion of the police service than the current 26.8% representation at senior ranks.

6. Limitations

This paper does not explore the literature in relation to the management of change and how it occurs. Instead, it concentrates upon the alterations to existing culture and practices with a view to adopting minor changes that retains the principles of policing yet adapts to meet ever changing societal needs. As Millennials begin to enter the workforce, with increased female representation due to national demographics the pace of change will likely increase, and so effective interventions established now will pave the way to a more equal representation of genders in senior positions.

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In an ever-changing world can diversity management strategies lead to enhanced business performance?

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Abstract

If human resource development (HRD) is at the forefront of shaping and changing outcomes, and increasing performance within the business environment, then diversity management must be an integral part of disrupting the ethos of business as usual. The paper will seek to identify the catalyst for change which the organisation could incorporate into its HRD strategies to reflect its stakeholders. The research will establish to what extent it is the case of one glove fits all, is appropriate, or is it a case of adopting a fit for purpose approach. Can diverse teams generate higher levels of creativity, and if there is a statistical correlation between having diverse teams and enhanced business performance. Integrated diversity and equality performance indicators are a critical means of assessing and measuring the contribution that HRM diversity management strategies contribute to performance management. However, if organisations continue to adopt a bunker mentality this will inevitably lead to their demise.

Keywords: Bunker mentality, Business case, Demographic trends, Diversity management, Equality, Human Resource Management, Organisational culture, Performance management, Racial Disparity, Silo Mentality, Stakeholders, Statistical correlation, Talent Pipeline, Women.

1. Paper's importance

The purpose of this research is to consider the consequence of organisations which have chosen to do the minimal or in other words, "just window dressing" when it comes to addressing inequality and visual exclusion in the working environment. What is more, to question the merit of maintaining the status quo or adopting a bunker mentality which leads to groupthink (Silver, 2014). In an ever-changing environment, there needs to be a clearer understanding of what organisational and managerial response have been to the demographic trends in the labour market and its links to long term competitive advantage. It will provide a series of strategies, tools and frameworks which will test, and measure how this disruption of the traditional paradigm can be addressed.

1.1 The global demographic trends and its impact on diversity

It's interesting, that Hewlett, (2013) points to millennial's as members of the diverse workforce. She points to the fact that according to the US census bureau, in America, 18 to 29-year old will become more diverse over the next several years than any other group, and by 2028 this group will be defined as the "majority minority". By 2030 the world population will have increased by approximately 1.3 billion people with an annual growth rate of 1.18% per year (WPP, 2015). The three largest contributors to world population growth will be, Africa, Asia, and North America. By 2050 the UK is projected to have an ethnic minority and people from migrant background representing up to 35% (Coleman, 2013). Conversely, by 2050, European countries such as Bosnia, Croatia, and Bulgaria are expected to see a decrease in their population by more than 15%. Europeans represent over 24% of the global population aged 60 years or older, which is considered to be the fastest-growing population in the world, at a rate of 3.26% per year, and is expected to double by 2050 (WPP, 2015). Life expectancy is projected to continue to grow from

70.5% in 2010-2015, to 73.7% in 2025–2030 (WPP, 2015). Globally, in 2015 the ratio between male and female was 50.44%: 49.56% (WPP, 2015).

1.2 Social disruptors and their impact on Diversity Management

Demographic changes are seen as a major societal disruptor affecting issues such as the shift in work-life balance, the shrinking of the traditional talent pool, employment of older people, the generation Y and a drive for more flexible working hours, the emergence of the gig economy, narrowing the gender and ethnic minorities pay gap, and addressing racial and disparities and the rights for disabilities and LGBTQ. These social disruptors are a signal to the old guard that the workplace will no longer be business as usual. Therefore with the shrinking of talent pool new approaches need to be adapted if they don't want to be left behind in the changes.

1.3 Four key components to diversity management theory

According to Hansen, and Seierstad, (2017) the first of these is the Systematic or Cultural Transformation of an organisation, where policy and procedures transform the organisation through a cultural shift. This can become a major struggle and challenge in many organisations. This is followed by Positive Imagery and Celebratory Rhetoric, this element reinforces the value of workforce diversity of all types, and can be translated into creating a façade that has no real significance in terms of strategy and policy, however it does create an illusion of diversity and is nothing more than tokenism which goes some way in meeting the organisation's image objectives. The third aspect is setting out a Business Case, that a diverse workforce contributes to organisational goals, many critics argue how is this provable, and what happens if diversity does not deliver the organisational change will the organisations still equally committed. The fourth element focus on the inclusion for social reasons, group-based and a range of individual differences (Greene and Kirton, 2009; Hansen, and Seierstad, 2017). Again, critics argue that there is a possibility that the concept of diversity can negate systematic equality if the principle of diversity can become more dominant than equality in practice.

1.4 The journey of the UK policy trends from equal to Diversity Management

Following the introduction of three key pieces of legislation, Equal Pay Act 1970, Sex Discrimination Act 1975, and the Race Relations Act 1976, as we came towards the end of the 20th century the majority of the large public sector and the more progressive private sector organisations promoted themselves as an equal opportunities employer. The focus of these policies was on recruitment, selection, promotion access to services and provisions, ensuring that discrimination did not take place on the grounds of sex and or race. Many public sector organisations soon began to include issues relating to disability, sexual orientation and age onto the agenda. Shifting the emphasis once more from a sex and race relations to a much wider remit of equality issues. The result of this was a much more entrenched equal opportunities paradigm with fewer results, (Cockburn 1989, 1991; Hansen, and Seierstad, 2017). This has created a conceptual vacuum which lacks consensus on equality strategy and practice (Jawson and Mason, 1986; Hansen, and Seierstad, 2017)

Some argue that the book *Managing the Mosaic: Diversity in Action* was a watershed moment in history that signalled discussions around diversity management. Kandola and Fullerton, (1994) defined the concept of managing diversity as a "workforce consists of visible and non-visible difference which includes factors such as sex, age, background, race or disability personality and work style" (Kandola and Fullerton, 1994; Hansen, and Seierstad, 2017). Sexual orientation has emerged as a visible strand of diversity management. Over the last 20 years legislation, social justice, and the business case have triggered the public, private

and voluntary sectors, to embrace sexual orientation has a noticeable feature of diversity management (Colgan et al., 2007; Stonewall, 2008a,b; Trau and Hartel, 2004; Colgan, 2011).

The majority of public and private sector organisations in the UK, have adopted more formal equality and diversity policies representing 99% and 74% respectively (Van Wanrooy et al., 2013; Hansen, and Seierstad, 2017). However, despite these facts, this shift, in theory, has not delivered significant change in practice. Nevertheless, one of the differences that we are seeing is this shift towards diversity management now taking on a more holistic agenda located within corporate social responsibility CSR as well as within the HR function. Critics argue this move is more about building a broad corporate image in terms of externally oriented diversity.

1.5 Introduction of the Equality Act 2010

This paper will set out to answer how the Equality Act can address inequality and can be better utilised to help remove potential barriers and obstructions and practice which is inhibiting adequate workforce and boardrooms diversity. Theoretically, the introduction of the Equality Act 2010, makes the law easier to understand. It also extends protection against direct discrimination to a disability, standardises the threshold for the duty to make reasonable adjustments for disability, and it provides protection from third parties who harass employees. The new act also enables an employee to claim for gender pay discrimination even where there are no actual comparators. In addition, the Employment Tribunal now has the power to make recommendations which have implications for the whole workforce, not just the person discriminated against. Under the Equality Act, the public sector in Great Britain has clear equality duties, to eliminate discrimination, advance equality of opportunity, and to foster good relations between different people when carrying out their activities. This applies to the everyday duties carried out by these public bodies in terms of delivery of services, shape policies, and in relation to their own employees.

1.6 Diversity at the board and senior management levels

Under the Equality Act 2010, employers must ensure that they make reasonable adjustments to ensure that their workers with a disability is not at a disadvantage or have barriers and obstacles that can stop them from fully participating in work activities or job-specific functions and duties. To that end, it's therefore surprising to see that Matthew Roberts, CEO of the nonExecutiveDirector.com raised the concern with regards of the lack of reasonable and official data that shows how many people with disabilities are board members. Roberts reiterated that disabilities, in his view came a poor fourth in the quest of diversity. It is indeed important to recognise that people with a disability are both stakeholders and people with skills and talents just the same as an able body people. Robert's was equivocal that a disabled person's role at board level, when they do get appointed, should not merely be to oversee disability issues, moreover, it should be part of the decision-making processes at the highest levels within an organisation (Dyson, 2016). Neil Barnfather is a senior executive, who happens to be blind. He also expresses concern with the lack of official data that existed and the potential for discriminatory barriers for disabled people. This could in inadvertently go unchallenged due to the lack of official reporting and the lack of legislation which supported reporting (Barnfather, 2016).

Despite the above facts the Equality Act 2010, and its integration of nine other pieces of legislation still has not got adequate provision for the monitoring and reporting of disabilities at board level. If this information is not routinely carried out, it is difficult to evaluate the extent of the issue at this level or to understand how reasonable adjustments can be made. From a human resource management (HRM) perspective there is a strong possibility that monitoring and evaluation would already be taken place within the working environment. The lessons learnt from this observation are, as a minimum requirement extend the data collection to

acknowledge the extent of the issue. Furthermore, in most organisations, there would already be decision-making mechanisms in place to address solutions and reasonable measures.

The paper will seek to identify the catalyst for change which the leadership, and boardrooms could incorporate into its HRM strategies to better reflect its stakeholders. Currently, within the UK, only 2.6% of racial diversity made up Technology Boards in comparison to 17% in the U.S. (Colorintech, 2018). The report went on to identify that the average age of a board member in the UK was 57.4 years and for females, it was 54.6 years (Colorintech, 2018). When the researchers looked at leadership roles in the FTSE 100, 24.3% were held by women in comparison to 39% for the local government in England (Green Park, 2018a). Upon closer examination of the black, Asian, Minority Ethnic (BAME) representation for counties, districts and local authority, this only accounted for 3.7%, 2.6% and 2.7% respectively.

The transport sector had no top 20 level BAME leaders, for the third consecutive year (Green Park, 2018a). It is also unclear why there was only 16.1% for ethnic minority leadership in the Telecoms sector. Despite the introduction of the Equality Act 2010 and investors bringing pressure to bear upon FTSE 100, their boards remain predominantly male 92.4% and white 96.7%, and there is no ethnic minority presence in 6 of 10 of its FTSE 100 boards (Green Park, 2018a).

2. Catalyst for transforming the paradigm

2.1 Positive action Initiative

There is a difference between positive action initiative and positive discrimination. The first is permitted under the Equality Act 2010 which encourages and allows training for underrepresented groups to help them compete with other applicants. Whereas the latter is unlawful under the current provisions of Equality Act 2010. Five years after the introduction of the Equality Act 2010, Gardiner and Richies; Davies, et al. (2016) suggest that if we really want to achieve social justice. It would, therefore, be necessary to be more ambitious in our approach, because, up until that point, there had only been marginal improvements, referring to the levels of underrepresentation at both coaching and managerial levels within professional football. In order to achieve representation and increasingly rapid change, they advocated moving away from traditional equal opportunities agendas to give more emphasis to positive action initiatives. As an example of good practice, the so-called 'Rooney Rule' is a positive action initiative brought in by the National Football League to encourage wider participants from the BAME talent pool to be interviewed for senior positions in an attempt to redress levels of underrepresentation. Overall gender appears to have outperformed ethno cultural diversity. If we really want to see a pendulum change in the makeup of local authorities which are reflective of society. "Local authorities need to ensure they remove the racial and gender barriers from every stage of the sourcing and recruitment process" (Green Park, 2018b).

2.2 Quotas and the threat of sanctions

Norway has shown a significant increase in the proportion of women on boards when they introduced the threat of sanctions (Dutton and Raeside, 2014). However, the UK government feels it is the responsibility of business to make the ultimate decision and not have Dutton, and Raeside, (2014) who think such decisions should be based on business "needs, skills and ability". Although the issues of quotas have been the subject of much debate amongst the UK Government, business and institutions. As the law stands at the moment there are no mandatory quotas despite a number of recommendations put forward to the government. The Telegraph Newspaper stated, "quotas risk putting a sticking plaster over the real issues....."

Although a number of European countries have also endorsed quotas such as Germany, France, Holland and Spain. Dutton, and Raeside, (2014) felt that this change was due to the fact the corporate and voluntary approach to gender equality

just did not create sufficient change in the first place. The lesson that can be learned from Europe is, at the moment there is no reason for many to comply, as seen by many companies in the initial processes, of data gathering for the gender pay gap reporting. However, quotas create change because, "sanctions are necessary to enforce compliance" (Dutton, and Raeside, 2014).

2.3 Reports on financial sanctions imposed by the NHS contracts for failure to achieve national standards

It should be noted, however, that the NHS does have financial sanctions in place imposed against commissioners who failed to achieve national targets. Targets such as referral to treatment, waiting times, cancelled operations, and all the national quality requirements. This demonstrates that there is scope within current contract regimes to introduce additional sanctions. For example, lack of diversity at board and senior management levels, such an approach would increase the commitment and likeliness of organisational conformity.

2.4 Alternative models to quotas

Dutton and Raeside, (2014) put forward three positive action approaches, these included putting in place i) Good governance practice- setting targets, development of training programmes, mentoring and sponsor programmes. ii) Cross-company and cross-sector initiatives – awards, database of diverse groups interested in the common board members, networking events and charters. iii) Self-regulation instruments – corporate governance codes of practice. The lesson learnt from the above examples are, most of these initiatives are currently in place and can be found across the UK with varying results. Earlier on in this report under the section titled 'Diversity at the board and senior management levels within the organisation' this document talked about how FTSE 100, boards had remained predominantly male and white and had no ethnic minority presence in 6 out of 10 FTSE 100 boards (Green Park, 2018a). This was despite the Mentoring Foundation Leading an FTSE 100 cross-company mentoring programme (The Mentoring Foundation, 2019). The lesson to be learnt here is, although the theory is sound in terms of its practicality, there may well be all the reason why the implementation of change management practice still do not yield tangible outcomes at the board and or senior management levels.

2.5 Stakeholder theory as a driver for change

A stakeholder is anyone or groups which are affected by the achievement of an organisation's objectives (Freeman, 1984). Stakeholders vary considerably according to their interests and power, individual stakeholders may belong to one or more different groups depending on the issue at hand (Johnson and Scholes, 1993). Therefore, managing stakeholder expectation is critical in view of the fact that stakeholder expectations are likely to vary considerably, for example, the government approach to underrepresentation at board level is 'reports and explained'. Whereas the expectation of BME groups who expectancy is to see more representation and equality practice within these organisations'. Managing stakeholder expectations is, therefore, the order of the day.

Through stakeholder dialogue at the local, national and international levels from Government, worker and their representatives, they are capable of communicating their expectations and demands to the company. Using a range of dialogue channels, the company can respond to the action, direction and reaction to potential issues in order to acquire validation and compliance with societal expectations. A practical example of this would be how the stakeholder engagement influence the NHS standard contracts for 2015/16 (NHS England, 2015a).

2.5 Does one glove fits all

This report looked at diversity in the banking and finance services, travel and leisure industry, and in the media, there was a very striking contrast between the representation of the sector by ethnic minority and its gender split. For example, banking and financial services had 11% ethnic minority board members and 30% females. For the travel and leisure, they had a 3% average makeup of ethnic minority, and 25% female makeup on their boards. In the media, 4% was from ethnic minority backgrounds and under 31% of its board was made up of females (Colorintech, 2018). This would suggest that it is possible to bring about a change and to be more representative at board level within the organisation's when there are a commitment and creative measures that are fit for purpose.

2.6 UK Government approach to gender equality goals, in the private and voluntary sector

Dutton and Raeside (2014) talked about reporting and transparency of gender equality goals, and the different approaches the UK Government has taken within the voluntary and private sector. For example, self-reporting and goal setting in the voluntary sector and comply or explain in the private sector. Part of the transparency framework included reporting on the gender pay gap and pipeline issues related to the process for appointing more female representation at board level. It is therefore unclear why the UK Government's Equalities Office supported by the National Council of voluntary organisation's (NCVO) would not want to support ethnic minority pay gap or pipeline issues of ethnic minority representation at the same time. The data presented suggest companies tend to implement a single diversity program to address the needs of ethno cultural, sexual orientation, gender, millennials, part-time workers, people with disabilities, etc. In such a way that the fundamental objectives are defeated, or not addressed. The lessons learnt is, there is no substitute for tailored programmes if we truly want to meet specific business objectives.

2.7 The Talent Pipeline

In 2018, the labour market outlook outlined that 70% of organisations' looking to fill vacancies reported some difficulties in the recruitment process, they also stated it was becoming more challenging to retain staff (CIPD, 2018). When Layton and Prince (2015) uses the term "Talent Pipeline" this related to an organisation's ability to attract the best talent, develop their staff accordingly and to meet personal and organisational long-term objectives. This may require, mentoring, and/or sponsoring to assist in their development and career progression.

Despite the trends that estimated that by 2024, there will be a demand for 13.1 million graduates in Maths, Business Study, Engineering and Science. Graduates from ethnic minority backgrounds will still be three times less likely to secure employment within 12 months of graduating (Colorintech, 2018). Qualified and competent female candidates are not seen as serious contenders, because boards tend to recruit from the male population within the talent pool (Dutton, and Raeside, (2014). Employers wishing to appoint the top talents must stop looking at people like themselves and recognise that the talent pool is much more diverse. Where graduates from diverse backgrounds not only want to see good employment prospects but also want to see a workforce that reflects them.

3. Catalyst for change

3.1 Gender and Ethnic minority pay gap

Parts of the Government's machinery of change included measures such as an equality impact assessment, particularly around the Gender Pay Gap Reporting (Wyse, 2017). The intention is to encourage employers to understand the different

drivers and action that they can take on board in addressing the pay gaps that exist. However, the debate around ethnic minority pay gap continues. In a 2007/08 law society survey, it highlighted that there was an 18% disparity between white solicitors and their BME counterparts (The Law Society, 2009). Since the 1980s, very little has changed in the makeup and profile of barristers and Judges with approximately 66% and 75% of judges all going to fee-paying schools (Sutton Trust, 2005). BME solicitors are more likely to work in the areas of crime, family and personal financial management and work with legally aided clients (Sutton Trust, 2005). When we consider that households from black and Asian backgrounds were more likely to be poor, live in persistent poverty and in areas of deprivation (Cabinet Office, March 2018). However, the government own documents identify the level of the reluctance of existing organisation's to carry out the monitoring or to report on its findings for Gender pay gap as required by the Equality Act 2010. It is, therefore, going to require much more than an empty commitment from employers to report their ethnic minority pay gap. It should be reiterated that although diverse representation doesn't exist within the legal profession. It is neither equitable nor equal in terms of pay, the status, work allocation or remuneration. The lesson learned here is that diversity on its own does not necessarily bring equality, without a performance management framework to identify the gaps. It will also require, some kind of improvement plan outlined plans of action to address underrepresentation, and also a means of embedding change management and culture to overcome inequalities.

3.2 Diversity performance management as a conceptual theory

When exploring the business case for employing diverse employees Litvin, 2006; Charbel and Fernanda (2011) equates this to the economic benefits which are afforded to the company. They go on to demonstrate how early research focused upon what they called the "state perspective" a reflection of the relationship between organisational outputs and its diverse workforce. They also point out flaws with this model, such as the population of applicants will directly affect and constrains the composition of the workforce. As an alternative, Charbel and Fernanda (2011) came up with what they call a "process perspective" which creates and sustains conditions for effective diversity management. The lesson learnt from this approach was that it assumes you already have a diverse workforce. In cases where there are very few or no diversity at all within the workforce, the strategy is not effective.

It is, therefore, necessary to identify other factors which are hindering diversity developments such as behaviour and attitude, in comparison to organisational structure, systems, policies and procedures. Gilberts et al (1999) referred to it as the heads of the organisation driving the organisational commitment to diversity management, throughout the organisation. Chanda et al. (2009) suggested a hybrid which combines both frameworks together with the diversity management ethos underpinning the (HRM) strategies driven by the leadership and management teams throughout the organisation.

Within all these models there is no suggestion or indication of how effective and efficient HRM strategy would look like. To that end, a competency modelling framework was proposed in response to the opportunities and challenges of a diverse workforce (Charbel and Fernanda, 2011). In order to achieve means of measurement, this model required a set of core indicators would be instrumental in the attainment of preferred results (Bartram, 2011; Charbel and Fernanda (2011). Myers (2003) and Shen et al. (2009) emphasises the link that exists between the diversity management practice and ensuring that adequate socially measurable organisational objectives exist. To address issues such as marginalisation, benefits and the reward, equality and diversity, respect, autonomy and justice (Jabbour and Santos, 2008; Shen et al., 2009).

3.3 The experience of racial diversity in the workplace

Margot James MP said we know from our research, that “talking about race in the workplace is a challenge” (BITC, 2015) Report went on to talk about the lack of confidence which employers have in addressing issues of race in the workplace. There is a twofold impact on BAME employees, firstly it impacts on fulfilment of career opportunity, and secondly, it also has an effect on their organisational success and survival (BITC, 2015). The report went on to highlight a lesson learned was, that although BME groups express an interest in taking part in fast track programmes this was not necessarily reflected in the actual program themselves. Highlighting further gaps between good intentions and missed organisational opportunities.

One of the key reoccurring points, within this paper, is the importance of having organisational commitment reflected by the presence of a senior leader or a champion to promote equality (BITC, 2015). Organisational change including the advancement of race equality must be led from the top of the organisation. The ultimate indicator is the extent to which these champions engage in effective communication on equality issues. Having a race equality champion who provides leadership and capable of speaking publicly about race equality issues is a powerful signal said Amanda Rice, Head of Culture and Inclusion, Nationwide (BITC, 2015).

Less than 50% of both white and BAME employees said their colleagues were comfortable about talking about race, equality and diversity issues in the workplace. The issue that arises from this statistic is, if the majority of the workforce is uncomfortable about talking about equality and diversity issues, this can only lead to further barriers, said Sandra Kerr, Race Equality Director, Business in the community. However, perhaps the biggest barrier for the organisation was not starting a conversation in the first place. (BITC, 2015). Active strategic engagement with diverse groups is beneficial to any organisation, as it helps to understand the unique experiences of diverse groups. Where an organisation give executive support to BAME Employee Network Groups (ENG) they are more likely to have higher promotion rates for its BME employees (BITC, 2015). Murray Raisebeck, Audit partner at KPMG, supports, this approach because it gives a platform to create strategic dialogue. There were two ways in which he fulfilled this role, the first was to sponsor an African and Caribbean network and the second was to chair the inclusion week event. Raisebeck stated that “.... talking about race is possible, positive and progressive...” and talking about it prevented the silence becoming an even bigger barrier (BITC, 2015).

3.4 The importance of diversity training

According to the report, racial harassment and bullying are very prevalent in the working environment. BITC (2015) advocated that there is a strong correlation between equality, diversity, and inclusion training and equal representation and progression of BAME employees at all levels within the workforce (BITC, 2015). Despite this statement, the survey identified that less than 50% of employers insured that equality, diversity and inclusion training was undertaken within the working environment. As a model of good practice, and reflecting upon lessons learnt Grahame Hughes, Group Director at Nationwide, said understanding unconscious bias and the influence that it has on decision making at both an organisational and individual level is important to any manager. To that end, all Nationwide employees must complete equality, diversity and inclusion training because it sends the message that this training is fundamental to the organisation (BITC, 2015).

3.5 Race Disparity Audit (RDA) as a performance management tool

In the RDA foreword written by Damian Green, first Secretary of state, he outlined the purpose of the RDA was not just to collect data from England and Wales. Moreover, it was to ensure it is published, accessible, transparent, and used to inform how improvements can be made to the country (Cabinet Office, March 2018). The government's expectation is that both local and National Service providers will use

the data to identify where they most needed to make improvements, tackle injustice and offer better services. "There are disparities between ethnic groups in all areas of life affected by public organisations" (Cabinet Office, 2018). Within the category of ethnic groups, this includes gender, people with disabilities, age, adults, juveniles etc. The RDA is an example of how the Nudge theory (Côté, 2010) can be used as a business performance management tool to help organisations improve and achieve their business performance objectives.

4. Setting out a business case for diversity management

4.1 Arguments in support of diverse teams and the benefits they bring

- There has been a long debate as to whether there is a business case for employing diverse employees within the workplace, and its contribution to a business bottom-line.
- The world has become an interconnected and diverse global marketplace where diversity is a competitive differentiating factor that moves market share towards more diverse companies. The better the company's relationship between ethnic/racial diversity within an organisation the better their financial performance is going to be (Hunt, Layton and Prince, 2015).
- Vivienne Riding member of the European Parliament stated Europe's competitiveness must capitalise on its diversity dividend. Diversity is Europe's strong suit, and it's high time to where it (Hansen, Seierstad and Springer Link, 2017).
- Using the diversity prediction theorem, it was possible to identify diversity payoffs (Page; Ioannides, 2007). They also identified evidence that the greater gender diversity on executive teams has a direct relationship to higher performance of lives in global datasets.
- (Hunt, Layton and Prince, 2015) were able to prove that the strength and significance of that relationship varied in countries such as the UK, United States and Canada, and Latin America, and according to the type of diversity (gender or ethnicity). One of the reasons for this could also have been the potential tension of global standardisation of policies, practice and procedures and its impact on the local requirements for diversity management (Ozbilgin and Tatli, 2008; Colgan, 2011).
- Diversity such as top-down diversity management initiatives increased productivity competitiveness and workplace harmony' (Morrison, 1992; Ivancevich, and Gilbert, 2000).
- Increased understanding of diverse customers, increased creativity and commitments, better retention and attendance (Tsui and Porter, 1993; Ivancevich, and Gilbert, 2000).
- Lower cost, enhanced return on stock (Wright et al., 2001; Ivancevich, and Gilbert, 2000).
- As a result of talent shortage, recruitment power of diversity management, including the LGBT community and its relationship to performance will continue to grow across all global markets (Calgan, 2011).
- Companies with a more diverse workforce in terms of gender, ethnicity, disability, and sexual orientation could have a transformational impact at every level within

an organisation. The Centre for Talent Innovation (2013) report identified that "diversity unlocks creativity and results-driven growth" (Wilder, 2015).

4.2 Arguments that do not support the benefits that diverse teams bring

- Chamorro-Premuzic (2017) suggests that any gains made are lost due to natural consensus hindrance which is caused by diversity itself. Furthermore, that "too much diversity can be problematic" because of issues of conflict, unconscious and conscious, biases. Chamorro-Premuzic (2017) use management science to support the notion of "deep level diversity" which he prefers to merely look at demographics in terms of race, ethnicity, age, gender etc.
- Tekleab, and Quigley, (2014) explains that deep level diversity in its simplest form might include considering characteristics such as verbal or non-verbal communication, behaviour, values, attitudes, and personality. In trying to understand why certain levels of deep-level diversity characteristics can have an adverse negative and or positive effect on its members. They suggest that at the simplest level, to follow the rule of 'similarities attract'. Therefore, conflict in teams will have an adverse effect on the team's effectiveness.
- In a six-year study (Wright et al., 1995; Ivancevich and Gilbert, 2000) identified firms which have paid damage settlement in discrimination cases shown a significant negative downturn in its valuation following the public announcement.
- Surface level diversity is weakened over a shorter period of time, although deep level diversity is strengthened (Harrison et al., 1998; Ivancevich and Gilbert, 2000).
- Over a 12 year period (Reynolds and Lewis; 2017) stated they found no correlation between types of diversity and performance. However, they were able to show in another test significant correlation between high levels of cognitive diversity and performance. They defined the cognitive diversity has differences in perspective or information processing styles. Or in other words how individuals engage with complex situation and uncertainty.

4.3 The statistical correlation between having diverse teams and enhanced financial performance

The above findings have demonstrated the link between diverse teams and some of the benefits and shortfalls they bring to business performance. The attention will now be turned to explore if there is a statistical correlation between having diverse teams and financial performance. It will also attempt to explain the extent to which this can be measured or quantified. Hunt, Layton and Prince (2015) research sets out to prove that there is a statistical correlation between having a diverse leadership team and the financial performance of the organisation. They used the Herfindahl–Hirschman index (HHI):

The Herfindahl–Hirschman index (HHI) is a measure of market concentration and competition within an industry, measuring the size of a firm in relation to its industry. The standard HHI is defined as the sum of the squares of the market shares of the largest firms within the industry, where the market shares are expressed as fractions. (Hunt, Layton and Prince, 2015)

Their research identified, that for gender there was a 15% likelihood of better than average financial return, and for ethnic minorities, it increased to a 35% return. Their research was also able to prove that the reserves notion also had a correlation between lower gender and ethnic diversity representation with poorer financial

performance. Nevertheless, they were quick to point out that their analysis did not prove a causal relationship, i.e. the greater gender and ethnic diversity, the more profits which a company would generate. The evidence on enhanced business performance in support of diverse teams and is over warming. Nevertheless, there is still a need for continued development for new academic theories and practical models that all sectors can adopt as models of good practice.

5. Diversity management and its influence on HRM practice

In this section, evidence will be presented to show how HRM strategies can embrace the demographic changes within the labour market. Questions will challenge why more companies are not embracing the tools at their disposal to assist their HRD strategies. Most HRM strategies would normally have monitoring and evaluation provisions to help the organisation to understand the impact its policies and procedures are having upon meeting its business objectives. The workforce survey, in some cases, is done annually, in other cases, it may not be so frequent. However, this can become a wasted tool if the data is not put to good use, in terms of analysis and interpreting of the data collected. Without this extrapolation and reporting, a 2015 report was able to highlight the lesson learnt when you don't have monitoring and evaluation systems in place. Highlighting how white employees were treated more favourably than their BAME employees in the ratio of 2.64 in comparison with 2.34 respectively (BITC, 2015) when it came to company-funded training courses. This demonstrates how systematic failure if allowed to go on unchecked, contributes to a widening of the gap between diverse groups.

5.1 NHS Workforce Race Equality Standard (WRES) as a model of good practice

In 2015, following direct consultation with stakeholders the NHS Equality and Diversity Council implemented the WRES. This was to ensure equal access to career opportunity and to show how it will address unfair treatment in the workplace for its BME staff. The report not only compared data, but it also required the providers to show improvements against a number of indicators. This included how it was going to address the low numbers of BME Board members. A key factor to the report was embedding accountability into everyday practice (NHS EDC, 2015). There are those who well argued that this initiative has no teeth, hence the reason for progression being so slow in addressing the underrepresentation. However, one of the reasons why this is seen as a good practice is because it has a sound performance framework, even if it does lack teeth.

5.2 Diversity and Opportunity Matrix used as a performance management tool

At the Enterprise Car Rental Company, they ensure all staff have the right opportunities to be promoted within the organisation, by using a diversity scorecard. A balanced scorecard is a combination of qualitative and quantitative performance indicators used as a means of assessing performance and organisational effectiveness (Mullins, 2010). Leigh Lafever-Ayer, the Enterprise Human Resource Director for UK and Ireland explains it's a 12-point diversity and opportunity matrix within the organisation. In order to validate the contribution that diversity strategies are contributing to an organisation's competitive advantage, it's necessary to use some kind of matrix (Brenman, 2012). A diversity and opportunity matrix is a quality management evaluation tool to assess impact, the direction of travel in terms of meeting certain goals or targets. It's also an indication of how well the organisation is doing towards achieving a particular diversity goal. Although there may be some debate as to what kind of matrix should be used, what is less debatable is the key attribute which an organisation will require in terms of measuring its strategic outcomes.

In some cases, the performance matrix/ indicators may be benchmarked with the organisations within the same industry and in other cases, it's about identifying the organisational strategic business measurements. For example, a matrix may measure the number of pounds spent by women, the amount of and different types of diversity activities carried out, revenue growth, defined leadership accountability or even financial returns on investment. Liliana Gill, Former worldwide Director of Marketing Services at Johnson and Johnson reiterated that the lessons learnt were "what gets measured gets done". Also, the importance of having an integrated scorecard and not seeing it as a separate entity to other business activity. Gill went on to say that if you are reporting on sales, then the sales should be reflective of the impact it's having on its consumer groups. This will enable you to reward and track cultural inclusiveness and results (Brenman, 2012).

Other measurements could include psychological levels, social increase or decrease, distance scales or prejudice indicators. Tangible outcomes could be savings on recruitment on selection as a result of higher staff retention. Or Customer and staff engagement rates, reduction in absenteeism or change of attitude as a result of participating in diversity and equality training. Or an organisational cultural inventory that measures clients shift from aggressive to passive defence in satisfaction surveys (Brenman, 2012). It's interesting to note Hunt, Layton and Prince (2015) pointed to several elements which are also commonly found in the diversity and opportunity matrix/performance indicators highlighted by Brenman (2012) which is used to help an organisation measure its enhanced business performance by namely:

- The means for measuring diverse within a company,
- How equipped is the company to win the top talents,
- Are they improving their customer orientation decision making,
- What is the level of employee satisfaction?

Reinforcing Brenman (2012) notion of diversity management indicators can be used to measure organisational outcomes. There are no doubt in Hunt, Layton and Prince (2015) minds that these measures help to create what they called "a vicious circle of increased returns (Hunt, Layton and Prince, 2015).

5.3 Race for work charter – used as a performance management tool

The Race for work charter was launched in October 2018 by the Prime Minister in collaboration with business in the community (Prime Minister's Office, 2018). The survey opened on the 1st of March 2019 and ran until the 31st of May 2019, the charter has five key principles that organisation are asked to report on:

1. A point an executive sponsor for the race (leadership),
2. Capturing ethnicity data,
3. A tool kit for tackling racial harassment and bullying,
4. Smart performance objectives,
5. Mentoring circles for unemployed Youth (BITC, 2019).

There are Similarities to both the RDA and the NHS WRES. The Race for Work Charter brings two key Government soft strategies to help business measure performance and impact. The first would be self-reporting and goal setting has seen within the voluntary sector's strategy, and the second focus upon complying or explain (has seen within the private and voluntary sector). The RFWC is then combining with a series of performance management indicators by which an organisation can be compared and measured against.

5.4 Drivers for change to help increase organisational performance

Colgan (2011) was able to identify one important distinguishing feature that existed within the private sector, over and above the voluntary and public sectors, which was the fact that equality and diversity champions were more likely to be found in

organisations which operated globally and not locally. On the other hand, Hunt, Layton and Prince (2015) were able to identify consistent drivers across the board which also supported business performance. These include:

Recruiting talent, at a time when employers are competing for scarce talented, qualified and experienced leaders in continuous advance and emerging economies. Diversity strategies enable the company to take advantage of the best talent available. The better the talent at your disposal, the more they can perform and meet market requirements.

Comcast as a model of good practice of Women into a leadership programme

The 2013 CTI report talked about the initiatives which Comcast have introduced. Comcast is reportedly one of the world's leading broadcasting and cable companies. Some of its initiatives include, for example, an internal and external leadership development pipeline programme. This programme includes executive leadership forums which bring together in-class learning and group projects. Its intention is to help to increase the employees understanding of its operations and encourage new executive management skills in their staff.

Trent University (NTU) and its consortium bid as a Good practice model for women into leadership

In real terms, there is nothing revolutionary about this initiative, moreover, it shows a willingness and insightfulness to use existing resources. Nottingham Trent University (NTU) as part of a consortium bid for European Social Fund (ESF) to deliver priority skills training for Derby and Nottingham (D2N2) two regional areas in the East Midlands. The target audience was small to medium enterprise SME's. NTU's contribution was to develop and support women in the workplace and or returning to work by providing a range of mentoring and coaching modules.

Con Edison as a Good practice model – women into leadership

Con Edison is a 191-year-old U.S. based utility company, which is a boast an array of multicultural talent within the organisation. 26% of its leadership positions are minorities, and 29% are female. Two of their initiatives included a tuition aid programme and a woman in a non-traditional career mentoring programme.

Strengthening customer orientation, because diverse groups represent most of the general customer population, companies that can align themselves with their customer base will be able to strengthen their customer bond and react more effectively to customers and market trends. An example of the lesson that can be learned if you are slow or unable to respond to customer and the market trends would be Polaroid from 1937 – 2001. The organisation was just too slow to respond to changing customer needs from films to digital.

The Diversity Recruitment Institute of Value and Excellence (DRIVE) as a Good practice model for Recruitment:

The leadership 10,000 report highlighted that Asian heritage leaders were roughly in line with their presence in the working environment, whereas, black executives are less than the workforce representing a - 2.2% of their projected workforce expectation of 3.6%. Local authorities would appear to be getting whiter rather than becoming more diverse (Green Park 2018b). This paper has already highlighted the enhanced business performance that can be achieved with more diverse teams and also the impact where this is not the case. To help nonperforming and under representative organisation to gain the benefits that

a more diverse board and senior management team can bring. DRIVE a social enterprise organisation will assist by “directly deal with the unconscious bias around who own talents, expertise and achievement” (Baroness Vadera of Holland Park; Green Park, 2017a). Through its research, development and tool kit to influence organisational behaviour to bring about change affecting four areas, namely:

- Recruitment, talent management,
- Retention,
- Procurement and supply chain, and
- Employment branding.

DRIVE works in partnership with a recipient organisation benchmarks the organisation’s outcomes against a set of diversity and inclusion performance indicators (Green Park, 2017a).

FedEx as a Good practice model for recognising and nurturing talent

FedEx was one of the 40 companies that appeared on the CTI 2013 report list. Shannon Brown, a Senior Vice President, and Chief Human Resources and Diversity Manager is quoted as saying “to meet the needs of a diverse customer base, it’s important that we reflect that diversity within the organisation. We are ever mindful that diversity in business is about recognising and nurturing talent in all ethnicities and backgrounds. It means creating the best opportunities for talented people to succeed; and giving back to our communities so that all those will have a chance to fulfil their dreams” Wilder (2015, p.59).

Increases customer and satisfaction, the stronger the customer orientation and the more diverse the makeup of the decision makers, the greater the ability of the company to satisfy the changing demographic needs of its stakeholders.

Corporate social responsibility – as a model of good practice won’t

UK organisation’s considered CRS to be a major catalyst in driving equality and diversity initiatives (CIPD, 2007; Colgan, 2011). Hansen, and Seierstad, (2017) argue that globalization, societal governments, changing demographics, have manoeuvred CSR and diversity management onto the agenda. They go on to argue that CSR should also take responsibility for direct and indirect internal decisions and actions which affects a whole range of stakeholders and the supply chain. The relationship between CSR and diverse management tends to be complex. Whereby CSR is a social good, moral and rational argument, where diversity management is seen as leveraging social differences with a clear business case rationale. The one thing that is evident from this study is that initiatives that have been introduced have varied according to the different levels of implementation, at an international, national and organisational level. It will also go beyond just compliance of soft and strong laws (Hansen, and Seierstad, 2017). One of the potential pitfall that companies could fall into include taking advantage of CSR as a positive PR tool, only to find themselves in a potential lawsuit for false advertising. If their practice did not reflect the promotional statements they have made (Freeman, 2005).

CSR reporting mechanism: Companies publish CSR information relating to financial, and sustainability reporting usually on their web pages, at the annual general meeting, within annual reports and for their marketing and publicity documentation. Much of these reports are based upon two key guides to good practice, global reporting initiative (GRI) and the United Nations sustainable development goals (UN SDG). Both of this guidance have categories that can be linked to equality and diversity management principles’ to help an

organisation account for its actions and to demonstrate how it has fulfilled its corporate social responsibilities.

Increase employee satisfaction: The psychological outcome is poorest where diverse recruitment has been carried out on a Tokenistic basis. Equally, the larger the numbers of minority group members are, the more likely they are to gain confidence and self-esteem. Although increased job and work satisfaction can be achieved through enhanced workplace diversity, paradoxically this can also be the source of hostility and anger towards diverse work colleagues if not addressed with adequate diversity awareness and equality training.

Toyota Motors North America Inc (TMNAI), as a model of good practice - diversity and inclusion training program: TMNAI saw a clear distinction between creating initiatives which are stand-alone and isolationist in concept, and an integrated strategic management Objective. The latter becomes integrated within the organisation as a key indicator to stay competitive within the marketplace. As a mandatory requirement, all employees participate in a diversity and inclusion training program. This is to help foster better interaction with employees and to help create a more productive workforce. In addition to this, TMNAI, demonstrates its diversity strategy running through its company ownership, its business building opportunity, and its spent and procurement with suppliers totalling \$3.8 billion dollars (Wilder, 2015).

Improves decision-making: Diversity offers multi-dimensional views to any circumstance or situation; it offers a wider range of insights and is seen as more advantageous than a one-dimensional view. Within such groups, you will find enhanced problem-solving skills, experience and perspective dissent and challenge due to the uniqueness of elements such as cultural, lifestyle, gender, educational, socioeconomic status, intellectual, and technological skills which this diversity brings. Professional and demographic diversity often goes hand in hand (Page, 2007; Hunt, Layton and Prince (2015) however, homogeneity stifles innovation (Sylvia et al., 2013).

Wells Fargo as a Good practice model - Annual Talent Review and Succession Planning Process (ATRSP): Wells Fargo identifies key drivers to its initiatives to addressing diversity and inclusion, in part starts with its ATRSP where there is a focus on its chairman, CEO, board members, President and CEO of Dignity Health and its membership of the Black enterprise registry of corporate directors. This membership has assisted the company to implement diversity throughout the organisation. Jammie Paschall, Head of Enterprise Diversity and Inclusion, talked about the company's diversity and inclusion strategy wanted employees to feel that the company was "somewhere where members felt valued and respected for who they are as well as the skills and experience that they brought" as a "business imperative" (Wilder, 2015). Wells Fargo used a top-down strategy which assessed and evaluated the required action to bring about the required results, this became a catalyst and driver for organisational change within needs organisation.

5.5 Why are some companies maintaining the status quo by adopting a bunker mentality?

In the pursuit of organisational visibility and effectiveness two key drivers stand out amongst the rest, and they are culture and strategy, normally expressed through their beliefs, values, shared assumptions and group expectation (Groysberg et al., 2018). As a result of this, it relies on shared principles relating to reward and the consequences of failure. Groysberg et al. (2018) felt that culture shared by shared assumptions and values tends to be fastened in social patterns, mind-sets, and

behaviours. Whereby leaders have the capability of shaping the multiple work-base cultures that may exist, and through conscious and unconscious actions to shape the organisational culture as and when required. In many cases, this can be regulated and managed through HRM policies, practice, and procedures.

Culture can be defined as what is acceptable or unacceptable within a group or organisation which leads to a shared purpose and fosters an organisation's capacity to thrive (Groysberg et al., 2018). "People are drawn to organisation's with characteristics similar to their own; organisations are more likely to select individuals who seem to "fit in"; and over time those who don't fit in, have a tendency to leave. Thus, culture becomes a self-reinforcing social pattern that grows increasingly resistant to change and outside influences" Benjamin (Groysberg et al., 2018).

When developing HRM strategies to help bring about organisational change, using the cultural web as a management tool is a useful place to start to understand the current organisational paradigm. The paradigm of an organisation comprises elements of stories, symbols, rituals and routines, control, and power and organisational structures (Johnson and Scholes, 1993). However, having identified the required culture, values and structures which are required to embed organisational change may well find all the barriers and resisting.

One such phenomenon is the silo mentality, which originally was born out of the need for efficiency, whereby work was divided up into specialisms. Over time these specialisms have become so good at their jobs that they don't see a need to venture beyond the boundaries. As a result, cooperation is being lost and departmentalisation becomes the order of the day. Such structures become inefficient, and ineffective because communication is slow, and barriers are difficult to penetrate.

Cilliers and Greyvenstein (2012) outlined that organisational silos take on a life of its own because it impacts negatively on relationships forming between individuals and within teams, it manifest itself in both conscious structures and unconscious state of mind and mentality. They make a distinctive point that silos exist in their minds of like-minded employee's sense of reality. Furthermore, it helps to fragments and create barriers of those within and creates a sense of comfort and safety. This is achieved by keeping at bay others perceived to be not like them, therefore adopting a Bunker mentality. Their perception of other teams in the organisation is very much as seeing them as the enemy. These silos have become so powerful that organisations are considered dysfunctional (London, 2005).

Line managers are a critical driving force which enables organisations to grasp the benefits of diversity. Therefore, there is an imperative for line managers to take on board the challenges and run with it if they are to truly see organisational change. However, despite these facts some managers who consider diversity a waste of time and a passing fad, therefore, utilise their time with more pressing goals (Cornelius et al. 2000; Greene and Kirton 2009; Maxwell et al., 2001; Hansen and Seierstad, 2017). Hewlett, (2013) spoke about when companies fail to foster or support a "speak up culture" few ideas make it to the market; therefore, innovation is stifled.

The alternative explanation is 'groupthink', what (Silver, 2013) calls the danger of creating a shared illusion of reality. The notion here is misjudgements becomes the norm by rationalising conformity. They called it a psychological contagion similar to social conformity of small groups. This "psychological contagion" had caused the deterioration of mental efficiency, reality testing, and even moral judgment... which increased the likelihood of a poor outcome. The more amiability and esprit de corps among the members ... the greater the danger that independent critical thinking will be replaced by groupthink" (Silver, 2013).

At a time when organisations are looking for economies of scale, the silo mentality results in an organisation losing its competitive advantage. Globalisation, changing demographic patterns, technological advancements and more companies outsourcing, to help face the challenges of the lower cost base, and find synergy across the organisation. Means resting on their laurels which leads to a failure to consider the importance of bringing in new talent into the business or to innovate

ahead of the curve. Whilst everyone around is running miles ahead of their unwillingness to change their mindset either because they think they are right or because they fear what the change could bring (Miller-Cole, 2019).

This would probably account for why Hunt, Layton and Prince (2015) research shown that where employees and managers do not believe in change management programmes which reflects more diverse working environments or make diversity management a priority, 70% of the programmes will fail (Scott and Price, 2011; Hunt, Layton and Prince, (2015). The reason is clear, homogeneity stifles innovation Hewlett et al., 2013; Hunt, Layton and Prince, 2015). To overcome some of these barriers organisations who set a clear plan and change programme which is actively set against targets which hold individuals accountable for outcomes are more likely to achieve a successful outcome.

We are in an era where we are seeing partnership working, joined up thinking, outsourcing, competitive tendering, flexible working, gig economy, self-employment, part-time, and zero contract hours. One thing we know about the silo dinosaurs is that sooner or later they will face extinction. You just have to ask Blockbuster, Woolworths, Carillion construction, MFI, HMV, Phones 4U (The Centre for Retail Research, 2019).

6. Conclusion

This paper sets out how global demographic trends are predicting the requirement today and in the future. Legislative changes with regards to addressing diversity disparity is a societal disruptor which organisations will have to respond to if they are to remain responsive to the call to address underrepresentation, discriminatory practice and to address inequality. At the same time as having to meet customer needs and maintaining their competitive advantage.

This paper has challenged the current status quo and mentality that exist about diversity management and the role that HRM strategies can play in support of meeting the business objective. Having invoked a debate around the issue of seeing customers, employee, government and other social groups as stakeholders and how their expectation, representation, and management have changed. Society is challenging organisations now more than ever before, to respond more vigorously to their legal and corporate social responsibility.

It is evident that many companies still are not embracing the full benefits that can be achieved by having a more visible and diversely represented workforce. Evidence has also been presented to show not only that it is good practice but that there is a correlation between diverse groups and enhanced business performance. Having identified tools, strategies, frameworks and theoretical models which have been able to identify lessons learnt, it is hoped that future organisations can use the evidence-based practice to help them enhance their business performance.

It's important to recognise that one solution or model of good practice may not fit a particular organisation without adjustments and adaptation so that the measures are fits for the purpose and meet the requirements of the organisation. Integrated diversity and equality performance indicators are a critical means of assessing and measuring the contribution that HRM diversity management strategies contribute to performance management. However, results are best achieved where there is commitment at the top levels of the organisation driving ownership a responsibility throughout the organisation.

History has shown that societal and business changes work best where there are incentives to change or the consequence has sizeable detriment which compels the business to bring about change. However, if organisations' continue to adopt a bunker mentality this will inevitably lead to their demise.

The findings of this research, therefore, bridge the gap between historical model and theories that support diversity management and its links to enhanced business performance. The findings, therefore, open up opportunities for further research to be undertaken in the future.

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Perceived work-life balance: Exploring the experiences of professional Moroccan women

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Abstract

The present study aims to understand how professional Moroccan women working in various sectors perceive their current work-life balance. While gender equity and women's empowerment have been rising in the past few years in Morocco, there may still be challenges faced to fulfil both personal and professional roles. An exploratory approach to the study has been employed in order to unveil the various barriers hindering women's work-life balance within the Moroccan Organisational context. Using structured interviews, participants were given an opportunity to review what they believe is important in achieving a good work-life balance. A total of 45 women participants have voluntarily engaged in an interview that lasted between 30 to 45 minutes. Findings from this investigation revealed that the overwhelming women's family responsibilities and the requirements of their professional obligations lead to a disproportionate burden on them, resulting in difficulty to manage both roles successful, therefore causing an imbalanced work-life. The study offers valuable insights on how women view their current WLB and reflected on possible mechanisms to improve it. Understanding women's perceptions of their own WLB can facilitate the identification of strategies and policies geared towards the retention of women in the workforce, and Moroccan organisations can develop and implement strategies and policies that are geared towards creating a workplace that is more supportive of women's professional and personal goals.

Keywords: Women in the workforce, male-dominated countries, work-life balance.

1. Introduction

Previous studies on work-life balance found that a lack of work-life balance leads to increased stress and highly impacts the emotional well-being of employees (Lewis and Cooper, 1999). While a lot of progress has been made in developed countries in this area, other conservative countries, such as Morocco, continue to struggle with a lack of work-life balance particularly for women, who are expected to abide by the traditional gender roles. According to a World Bank report (2017), women accounted for only 26.4% of the labour force in Morocco in 2015 and there have been few increases in the past decade to indicate any sort of significant changes. However, despite the small-to-moderate number of working women, and data from Morocco, which suggests that a percentage of the population welcomes women's inclusion in the workplace, professional women are seen as one of the main causes of men's rising unemployment rate in Morocco (Sadiqi and Ennaji, 2004).

Although more information and knowledge has been procured regarding women and their role in the workplace, there is a propensity for this research to focus solely on women in Western cultures such as those in North America and Europe. The paucity of research centred around women in more traditional cultures, such as Arab and Muslim countries in the Middle East and North Africa (MENA), indicates the need for a more inclusive approach in order to obtain a well-rounded impression of all women's professional experiences and perceptions of their current work-life balance.

2. Research Purpose

The present study aims to understand how professional Moroccan women working in various sectors perceive their work-life balance. While gender equity and women's empowerment have been rising in the past few years in Morocco, there may still be challenges faced to fulfil both personal and professional roles. The study offered valuable insights to understand the WLB challenges facing women and suggested a framework based on recommendations to improve their WLB.

3. Literature Review

In this section, we will review the literature on professional working women in MENA (Middle East Northern Africa) cultural and Organisational contexts, and specifically in the Moroccan context, and especially to the extent that these women are able to balance the requirements/needs of their work and non-work lives (work-life balance, or WLB).

3.1 Women in MENA

The countries in the MENA region are not a homogeneous group, nor do women have the same opportunities in every country (Schmit, 2009). Education, wealth, social class, along with whether you were born in Amman or Marrakech or a remote part of Saudi Arabia makes a big difference for girls growing up. Yet a small minority have been able to work outside the home, become leaders, or run businesses of their own. The OECD has been working with MENA countries to develop policies which will help these women balance work with their nonwork lives; for example, the MENA-OECD Women Business Leaders Forum in Cairo, Egypt. More cooperation across borders and cultures would only help women in the MENA region.

3.2 The Middle East

Middle Eastern countries include nations such as Saudi Arabia, Oman, Iran, Lebanon and the UAE. Literature includes studies on working women's lives in organisations as well as entrepreneurs, and their perceived ability to balance work and life.

Working women. Underutilizing skilled women has been reported as a reason for poor economic performance in most Middle Eastern countries (Budhwar, Pereira, Mellahi and Singh, 2018). Retaining women in Middle Eastern organisations has been an important new area for HRM practice in the last two decades or so (Afiouni, Ruell and Schuler, 2014). In a study of Emirati working women, quality of work life was found to have a positive effect on job satisfaction and retention (Jabeen, Friesen and Ghouidi, 2018). Moreover, in a study of Kuwaiti women in management, women and men managers were found to have different characteristics, while performing equally well (Al-Salem and Speece, 2017). Yet "the door is not yet fully open for women to join the workforce" (Karam and Afiouni, 2014, p.526). Studies of Omani and Emirati women leaders (Al-Lamky, 2006; O'Sullivan, 2015) showed that they were successful despite going against their traditional role in society, social values, norms and perceptions, and stereotypes; however, they had supportive fathers who treated them equally with their male siblings, and had transformative educational experiences. These women leaders were able to overcome barriers such as long working hours and difficulty traveling. Women managers in Lebanon advanced in their careers by showing loyalty and commitment and following traditional paths, while being excluded from networks, training, and developmental assignments reserved for men (Tlaiss, 2014). They felt like they had to prove themselves and work harder than their male colleagues; nevertheless, they persisted. Moreover, these women's agency helped them devise strategies to overcome discrimination (Tlaiss, 2014).

Women in Middle Eastern countries turn to entrepreneurship when they are frustrated with working for an employer due to unfair treatment, glass ceilings, and gender pay discrimination (Jamali, 2009). They also enjoyed the flexibility that came with being their own boss, along with the financial independence. A literature review

of Arab women in management, Omair (2008) found that these women were successful when they were satisfied, happy, and growing, rather than financially successful. Education and support of family were important to success.

Work-life balance. Arab women's role toward their family and domestic responsibilities is primary; yet wealth is a moderating factor if they wish to work (Omair, 2008). Jamali (2009) noted that Lebanese women entrepreneurs found work-life balance a serious constraint; husbands were less supportive as they spent more time on the business. They also faced normative pressures and disapproval from extended family because they were not putting their children first. The three top barriers these women entrepreneurs faced were work-life balance, social attitudes, and access to capital. In order to overcome these barriers, the women pointed to personal characteristics, such as ambition and self-confidence. A study in Jordan found that women entrepreneurs faced the same barriers, but did not have the necessary personal characteristics to succeed in the economy (Mehtap, Pellegrini, Caputo and Welsh, 2017). In Saudi Arabia, personal characteristics were also important, but work-life balance was not an issue because their businesses had to take place close to their families and supported by male relatives (Ahmad, 2011). Naguib and Jamali (2014) similarly found stereotyping and patriarchy hindering women Emirati entrepreneurs, as well as work-life balance issues. Israeli women entrepreneurs also noted work-life balance issues, particularly the number of children under the age of 18 and the amount of family support (Heilbrunn and Davidovitch, 2011). Pakistani women entrepreneurs started their own businesses to give themselves flexibility, freedom, and control to achieve work-life balance in their lives (Rehman and Roomi, 2012). The strategies that they used included delegating, strategic planning, and organisations. Nevertheless, family responsibilities were still considered barriers, along with lack of time, gender bias, and cultural and social norms.

Women working in healthcare professions were more likely to suffer emotional exhaustion and burnout than their male colleagues (Elbarazi, Loney, Yousef and Elias, 2017). Belwal and Belwal (2017) found, in their study of Omani women workers, that although employers were impressed with the performance of women workers, these workers still faced work-life balance issues in the workplace. In this study, the employers stated that their women employees rarely raised formal complaints about work-life balance issues in the workplace, although they did do so informally. Some employers tried to help by granting flexibility or shift work. In a study of Iranian mothers, Mehdizadeh (2011) found that there was a need for childcare and regulation of worktime and leave in order to increase labor force participation.

Al-Asfour, Tlaiss, Khan and Rajasekar (2017) studied Saudi Arabian women workers and found that they faced challenges due to pregnancy and lacked work-life balance which led to excessive workloads. Role conflict was noted as an issue, as these women maintained primary responsibility for their families despite having careers, thereby experiencing burnout. Once pregnant, Saudi women were expected to leave their jobs. In a study of women workers in Bahrain, it was found that if their working lives affecting their personal lives negatively, they were more likely to quit. Stress increased as seniority in the organisations grew. Organisational supports were not effective at supporting work-life balance (Al-Alawi, 2016).

In their study of working women from Palestine, Lebanon, and Qatar (chosen because of their diversity), Karam, Afiouni, and Nasr (2013) found that women perceived work-life balance as a web of roles and responsibilities that they navigated between and across. Balance was perceived as achieved if a woman easily navigated the web. The authors wondered if work-life balance is associated more with individualist societies, while the concept of navigating a web is more representative of collectivist cultures. Metcalf (2007) in his Middle Eastern study of HRM and gender, recommended that organisations provide more family and maternity policies. In 2014, 55% of the workforce of Oman was made up of women, despite the lack of a

policy on family-friendly policies in government or private industries (Belwal and Belwal, 2014).

Interestingly, the only Middle Eastern country studied where women managers did not perceive work-life balance as a barrier to their career advancement was in Lebanon (Tlaiss and Kauser, 2011). This can be explained however by the existence of supportive husbands and the availability of domestic help in the form of extended family or other helpers. Moreover, Lebanon is one of the more liberal and moderate Middle Eastern countries.

3.3 North Africa

North Africa includes nations such as Morocco, Tunisia, the Sudan and Egypt. Literature includes studies on working women's lives in organisations as well as entrepreneurs, and their perceived ability to balance work and life.

Working women. In Tunisia, where women have enjoyed women's rights since the late 1950's, entrepreneurs have still endured setbacks. Limited access to training and information remained roadblocks to success (Schmit, 2009). There were fewer studies focused on working women in North African countries.

Work-life balance. Farahat (2009) in her study of Egyptian physicians, found that although overt discrimination was rare, bias was not. Work-life balance was unexpectedly difficult, with most choosing small families, a babysitter or housekeeper and sharing in the family income. The physicians also felt work-related stress and had difficulties using maternity benefits. They reported difficulty balancing family and career development, appropriately caring for children, good housekeeping, and many did not have understanding husbands. Sudanese women managers who were mothers put their families first and this hindered their career progression and led to their under-representation in the top management ranks (Kargwell, 2011). These mothers depended on their extended families and domestic help to achieve work-life balance; no support was available from their employers.

Morocco. In a study from 2013 done in eleven countries on working habits, Moroccan workers were found to be the most loyal (Lifestyle..., 2013). They created close bonds with their employers and younger workers sought satisfaction and engagement from work.

Working women. In 2009, the Moroccan government tried to help women entrepreneurs with small start-up loans since banks would not loan money to women (Schmit, 2009). While some men claimed that Islam prevented women from working, women fought back on that notion: "Iona, a human resources major from Morocco, complained about some religious leaders and men: 'they change it...some-something that is not even in our religion,' and said, 'No, this is in our religion. Women should not go to work because they take care of family. It's in our religion.' No. it's not in our religion." (D'enbeau, Vilamil, and Helens-Hart, 2015, p, 281)

Work-life balance. In their study of university HR policies, Karam and Afioni (2014) found that Morocco provided 14 weeks of maternity leave but no onsite day-care. Semlali and Hassi (2016) added that this was problematic to working women, particularly first time moms who didn't feel comfortable leaving their infants with complete strangers, it also diminished the infant-mother bonding time, which is very critical in the early stages of infancy.

4. Theoretical Base

In this section, we identify and discuss the theoretical context that guided our study.

4.1 Conflict Theory

According to Greenhaus and Beutell (1985), conflict transpires when personal and work demand roles are discordant, which means that achieving the demands of one results in challenges to accomplish the demands of the other. The conflict theory posits that high involvement in one area causes sacrifice in the other. Therefore, although the two domains of work and life are interconnected, they remain

incompatible considering the divergent demands, expectations, standards and obligations.

4.2 Role Theory

Two gender theories inform this study, Social Role Theory (Duehr and Bono, 2006; Eagly, 1987; Eagly, Karau and Mahijani, 1995; Weyer, 2006) and Role Incongruity Theory (Eagly and Karau, 2002). Social Role Theory posits that the entry of increasing numbers of women into management should change the perceived attributes, or social role, of women. Nevertheless, women are still caught in a double bind due to Role Incongruity Theory, which posits that women are still expected to follow certain roles in the workplace, and when women violate those roles, these women are then perceived unfavourably. They can be viewed unfavourably by both women and men in the workplace.

4.3 Research Questions

The purpose of the present research is to capture the impressions of Moroccan working women as related to their current work-life balance experiences. Thus, within the Moroccan cultural context, this study will address the following research question:

1. How do Moroccan professional women perceive their work-life balance?
2. What recommendations do the participants suggest to improve their work-life balance within the Moroccan corporate context?

5. Methodology

The following study was conducted using a qualitative method approach, which according to Creswell (2013) refers to investigating and understanding the significance of a social issue pertaining to the participants. An exploratory approach to the study has been employed in order to unveil the various barriers hindering women's work-life balance within the Moroccan Organisational context. Using structured interviews, participants were given an opportunity to review what they believe is important in achieving a good work-life balance. A total of 45 women participants have voluntarily engaged in an interview that lasted between 30 to 45 minutes, allowing the authors to capture enough details of their experiences as professionals within the Moroccan corporate culture from a work-life balance standpoint. Some of the questions used in the interview were derived from Dr. Ellen Kossek (Kossek and Lautsch, 2008) work-life indicators questions. Participants were invited via email, social media, phone and interviews were held during the months of December 2018 and January 2019. Participants were asked to answer a total of 5 open-ended questions pertaining to their understanding, perception and need of work-life balance. The collected data was subjected to content and thematic analysis. The study outcomes will allow Moroccan professional women to reflect on their WLB, and recommendations will be shared with the participants at the end of the study to assist them in improving their work-life balance.

5.1 Sampling Procedure

To answer the research questions, a total of 10 women working in various fields and sectors were invited to participate in the study by the lead author of this study. Being a Moroccan national, the principal investigator had various contacts who were interested in participating. An effort was made to ensure good participation from all levels and to get a good heterogeneous sample that will represent various sectors within the Moroccan Organisational context. In order to achieve a larger sample, the authors used the snowball technique. This method, nevertheless, presents the chance of a homogeneous sample being selected with designated participants suggesting other participants with similar characteristics. Hence, in order to avoid such bias into the data collected, the preliminary contacts were made with participants representing cross-sections of fields that were selected from different occupations and from both

public and private sectors, which will, therefore, decrease the risk of a homogenous sample and increase the chances of getting a relatively objective set of data.

5.2 Data Analysis

Once the data collection process was completed, transcribed responses were read back to each informant to confirm their answers had been properly recorded to ensure the interpreted meaning of the information given was indeed the transcribed meaning. The data analysis was done in two stages. A first-level open coding done at the semantic level which allowed to distinguish the units of meaning covered within each response explained by the participant (Hamlin, 2004). The data collected was organized and categorized based on the "concept" identified, and units of unit of meaning were extracted. A second-level axial coding was used to compare and contrast the units of meaning as they relate to similarity, sameness or congruence of meaning; determine the relationship between the noted concepts, and finally group the recorded responses into labelled categories, therefore, deriving the main themes and patterns emerging from the data (Strauss and Corbin, 1990).

5.3 Sociodemographic Characteristics of Participants

Forty-five professional Moroccan women participated in this study. The participants' age ranged from 18 to +45 years, with the highest age representation of the 25-34 age range group (57.8%). Most of the participants were married (66.6%), while 26.7% were single and only 6.7% were divorced. Thirty-three participants (73.3%) had dependent children and 22 had elderly dependents (48.8%), the average participants had 2 children and 2 elderly dependents. About 77.8% of the participants work full-time and only 22.2% work part-time, this difference was justified by the increasing standard of living and the need to maintain a comfortable living. Finally, of the total participants, 48.9% worked in the private sector (ie, start-ups, SMEs, multinationals), 40% worked in the public sector, and 11.1% were self-employed (ie, freelance workers, entrepreneurs). Table 1 summarizes the study demographics.

Table 1: Sociodemographic Characteristics of Participants

Variable	N=45	%
Age (y)		
18-24	3	6.7%
25-34	26	57.8%
35-44	10	22.2%
Over 45	6	13.3%
Marital Status		
Married	30	66.6%
Divorced	3	6.7%
Single	12	26.7%
Number of Dependents		
Children	33	73.3%
1	14	31.1%
2	16	35.5%
>3	3	6.7%
Elderly	22	48.8%
1	8	17.7%
2	11	24.4%
>3	3	6.7%
Work status		
Full-time	35	77.8%
Part-time	10	22.2%

Sector		
Public	18	40%
Private	22	48.9%
Self-employed	5	11.1%

6. Findings

The purpose of this investigation was to unveil women's perceptions of their own work-life balance within the Moroccan Organisational context. To attain the study objectives, a total of 45 women participated in structured face-to-face interviews between December 2018 and January 2019. In this section, we present the findings in two major groups: how Moroccan women perceive their own work-life balance, and the identification of a framework that will guarantee a good work-life balance to the participants. The first group divides WLB perceptions into three themes: women's understanding of what constitutes a good work-life balance, their perception of the Moroccan corporate culture towards working women, and perceptions of work/life conflicts. The second group is based on recommendations shared by the participants to achieve a good WLB, leading the researchers to develop a WLB framework for the Moroccan corporate context. The qualitative data analysis has identified four salient types of WLB policies that could potentially appease the participants' WLB conflicts. These are: (a) flexitime, (b) telework, (c) workplace childcare centres or childcare assistance programs, and (d) legislative and corporate policies change.

6.1 Perception of WLB

Women's understanding of WLB. When asked about the meaning of work-life balance, there was a clear consensus among participants that a good work-life balance is one that enables them to find a good equilibrium between work and family responsibilities without feeling the burden of one or the other, and leading a somewhat less stressful lifestyle. One participant stated that a good WLB "is the ability to fulfil family and work responsibilities without feeling overwhelmed, anxious or stressed". Another participant stated that "a good WLB is one that allows balancing family and career obligations, maintaining appropriate care of dependents (both children and elderly) while being able to advance in one's career goals without falling into work/life obligations slavery". It is clear that participants unanimously view work life balance from a similar perceptive, one that allows fulfilment of all personal and professional responsibilities equally.

Perception of the Moroccan corporate culture towards working women. When asked if the Moroccan corporate culture has changed its image of the role of the Moroccan woman, respondents had different opinions based on their current personal and professional situations. Almost 74% of the participants answered "No" to the question adding that women in the general Moroccan corporate culture are still discriminated against with vast disparities in salary, lack of leadership roles and workplace gender stereotypes. They stated that this is particularly reinforced by the cultural gender expectations for women to work and still hold the full responsibility of housework and family obligations. One participant working in the private sector said:

"yes and no, women are now given chances to work, yet expected to do everything including caring for their dependents without the proper programs to balance their work and lives. Men are still only expected to work and that's it".

Another participant working in the public sector stated:

"Not really, for instance, top management, typically led by men, doesn't expect women to compete for high ranking management roles because they are just women. They're considered as the primary family care givers and having a job is already a big achievement. In addition, salary raises are less than the ones for men, support for women's career development is less than the one provided for men".

A self-employed participant said:

"No!! It's getting worse!!! There are no considerations to mothers, there are no considerations to the natural family and career needs of women...The society is still dominated by men and this latter lack all kind of human sympathy, it's so sad. It is the reason I created my own company and created my own work-life balance for myself".

The above statements are indicative of how the traditions and cultural expectations have moulded women's working lives. Women continue to fight against the cultural barriers that traditionally see women's role as housewives and home caregivers. Conservative traditions still dominate the Moroccan culture, yet these women are continuing to successfully shape their own career paths. The remaining 26% either working in multinationals or self-employed revealed that significant progress is being made, and the role of women is progressively changing to holding more responsibilities and achieving a great work-life balance. A self-employed participant answered:

"...yes, there is an increasing recognition of the importance of women's role within the Moroccan corporate society. Women are able to work in different sectors and have almost equal rights as men".

A participant working in an IT multinational stated:

"In my current organisations, yes! I have the advantage of working at [X] company. I believe this is indicative of a positive change in that regard in the sense that women have bigger responsibilities and are trusted with the same tasks as men".

These statements are proof that positive change is happening to allow more women to integrate the workforce, however, it is also indicative that more work needs to be done to change the corporate culture towards working women considering only 26% noted significant corporate changes. The Moroccan culture and traditions play a central role in women's working lives, which has been echoed in the quoted testimonials.

Personal and professional conflicts. When asked if personal and professional roles conflicted with each other, 33% revealed their professional lives did not impede them from exerting their personal responsibilities, while 67% revealed their professional lives did affect their abilities to care for their families. One respondent said:

"yes, my work limits my ability to care for my family, for instance, when one of my children is sick and I have to be at work, I am unable to care for them".

Another respondent added:

"I work full-time at a public school and part time at another language centre. I have to do so to pay for the family rent and life expenses, but this doesn't leave time or effort to give enough care to my parents and little siblings".

A respondent working in the private sector stated:

"I can't find the capacity to talk to my kids in a calm way as I am all the time stressed out trying to catch up with the chores and professional responsibilities, I feel drained trying to do everything on my own with very little help available".

Other respondents contended that their work didn't impede their abilities to care for their families. One participant stated: "I am self-employed, so I create my own work-life balance, it requires working late nights to catch up, but I am happy to be able to fulfil both personal and professional goals". Another participant working in an IT multinational stated:

"...my workplace values the importance of work-life balance and I am able to take off when I have a family emergency, it makes my life less stressful, and it's the reason I am still with the same company after 15 years".

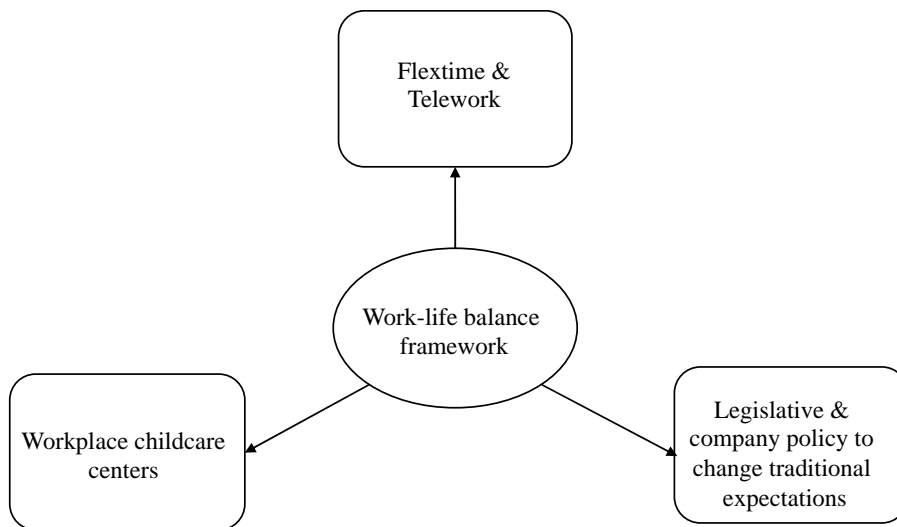
Organisational work-life balance arrangements. When asked if their current organisations offer any work-life balance programs, 76% stated their organisations didn't have any WLB programs and there was a clear consensus among the 34 respondents stating "no, I wish my company offered WLB programs". On the other hand, the 11% percent self-employed respondents revealed that the lack of WLB programs from previous employers led them to leave and create their own WLB to meet both personal and professional obligations. The remaining 13% (only 6 respondents) revealed their organisations did offer WLB programs such as flexitime and telework, but it is important to note that all 6 respondents worked in multinational companies that were focused on talent retention and employee happiness. One respondent stated: "my company is one of the few exceptions in Morocco that offers work- life balance arrangements to keep talent, the rest doesn't. That's why I am still working here after 15 years".

Current support mechanisms. It is important to note that although research suggests family demands and responsibilities as being the biggest barrier facing Arab women in pursuing their desired professional careers (Romanowski and Al-Hassan, 2013), women in this study revealed their parents as being their biggest support system in meeting their work and family demands. Therefore, it can be said that the traditional family expectations are continuously evolving to a more supportive attitude. One respondent employed in a private SME stated: "it is difficult in today's demanding lifestyle to succeed both professionally and personally, especially with younger children and a lack of childcare. However, if it weren't for my parents, I probably would have had to quit my job". Another one added: "since I became a mother, job mobility has become restricted, I always try to find jobs that are near my parents because they're my only support system".

7. Recommendations to Improve WLB for Moroccan Professional Women

When reflecting on their own work-life balance, participants in this study had 3 recommendations to share in order to improve their personal and professional lives. Figure 1 summarizes the suggested framework to improve WLB for Moroccan professional women.

Figure 1: Framework to Improve Moroccan Women's WLB



First, participants suggested flexitime and telework that were aligned with those available to employees in several Western organisations, which have been implemented in efforts to retain talent and increase loyalty and commitment among valued employees. Flexitime and telework were suggested by almost 70% of the study participants to help guarantee an improved equilibrium between personal and professional obligations. The 13% that did benefit from these arrangements suggested the same arrangement should be offered to help women achieve their desired career goals without impeding their need to care for their families and have a balanced life. One respondent stated:

"if other Moroccan companies adopt the same model as my company (IT multinational), which offers flexitime and telework, they will have more performing and less stressed female employees, and I can guarantee this will result in a happier and loyal workforce".

Another respondent working in a public organisations said:

"flexitime and/or telework would be amazing to have, we have technology nowadays to work from home occasionally when a child is sick, and it would make a huge difference in my life as a working mom".

Findings from the present study indicate that offering flexitime and telework would significantly improve women's work-life balance within the Moroccan Organisational context, which right now is available in only a few select multinationals adopting the Western management style. Second, over 40% of the study participants suggested that workplace childcare centres and a greater access to other forms of childcare would make their lives a lot easier, particularly for women with children between 0 and 3 years old, which would allow mothers to continue pursuing their professional goals without sacrificing their bonding time with their children; this was particularly important for mothers of infants. One participant suggested: "having childcare centres on site or nearby would allow me to nurse my infant during my break times, which would meaningfully give me some peace of mind and less stress". This recommendation would help women balance the demands of family and childcare with the time needed to work.

Finally, 44% of the study participants suggested improving traditional expectations of women through legislation and company policy. In Morocco, working time legislation continues to be the norm for performance appraisal, which doesn't

help women workers in meeting the demands of their personal and professional lives. As noted in this study, only a few select multinationals have adopted employee-friendly flexible work arrangements, which were imported from the western Organisational model. The participants working for these organisations reported an increased loyalty, performance and decreased stress levels. One participant said:

"women's associations should fight for more rights inside and outside to help guarantee an improved WLB that has been inexistent, the lack of WLB programs results in several women feeling physically and emotionally drained that they have to give up their careers".

8. Discussion

Work-life balance arrangements are meant to help the basic need for employees to attain a good equilibrium in leading both personal and professional lives. It has been documented that good WLB programs lead to decreased stress, and improved performance, loyalty and motivation in the workplace. According to Beham and Drobic (2009), "the affective component of satisfaction with work-family balance leads to a positive feeling or emotional state" (p.669). This is even more critical for women in more conservative cultures who continue to deal with significant conflicts in managing their personal and professional life obligations (Shelton, 2006). These WLB conflicts have led women to pursue other avenues to be able to fulfil both work and family responsibilities, such as family support or the creation of their own companies to gain control over their own WLB; however, in extreme cases when a good balance couldn't be achieved, women had to sacrifice their own career goals and devote their time to managing their personal family obligations. Hence, this investigation was conducted to better understand how professional Moroccan women perceive their work-life balance and gain a better understanding of what support mechanisms would enable them to achieve the desired personal and professional equilibrium. Built on a qualitative exploratory research approach, the findings are presented in two major groups: how Moroccan women perceive their own work-life balance, and the identification of a framework that will guarantee a good work-life balance to the participants. The first group divides WLB perceptions into three themes: women's understanding of what constitutes a good work-life balance, their perception of the Moroccan corporate culture towards working women, and perceptions of work/life conflicts. The second group is based on recommendations shared by the participants to achieve a good WLB, leading the authors develop a conceptual WLB framework for the Moroccan corporate context.

8.1 Perceived WLB

The findings of the interviews uncovered that work-life balance collectively means the same to all participants, one that enables the participants to fulfil both personal and professional roles without the overwhelming feeling of stress and anxiety. This understanding is consistent with findings across various other studies in western and traditional cultures (Belwal and Belwal, 2017; Karkoulia, Srour and Sinan, 2016; Selmali and Hassi, 2016) supported by the desire to excel and prosper equally in attaining personal and work goals.

Based on the findings, the authors also found that over 74% of the study participants think that the Moroccan corporate culture mirrors the traditional culture of the country in viewing women as primary caregivers. These conventional societal norms still perceive the role of women to primarily care of their families, which presents a big impediment for those trying to attain their own career goals (Ahl, 2007). Ahn (2007) argues that the socio-cultural norms dictating women's roles in the family are even more complex in more conservative cultures. The current study revealed that even if a lot of progress has been made to increase women's participation in the workforce, women in the general Moroccan corporate culture are still discriminated against with vast disparities in salary, lack of leadership roles and workplace gender stereotypes. This is particularly reinforced by the cultural gender

expectations for women to work and still hold the full responsibility of housework and family obligations. In fact, Semlali and Hassi (2016) stated that “the Moroccan culture ties women, more than men, to family and social obligations” (p.219). The same findings were found in a study on Emirati women conducted by Ebrahim, Foster and Ibrahim (2013), who stated that women remain primarily responsible for the household and childcare work even when they work outside the house. As a result, women find themselves in a puzzled situation trying to accomplish both personal and work responsibilities without the proper Organisational support mechanisms, which leads to increased stress and decreased motivation. The burden of carrying both personal and professional roles on their own also impedes women from professionally competing with men. These findings are indicative of how the traditions and cultural expectations have shaped women’s working lives. Nonetheless, women are continuing to fight against these cultural barriers to successfully shape their own career paths.

In regards to work-life conflicts, it was found that Moroccan women lacked adequate time to effectively manage their work and personal lives obligations, leading to increased responsibilities and burden, with over 67% thinking their work and personal obligations conflicted with each other, adding that if it weren’t for their parental and network support, they wouldn’t be able to maintain their current jobs. On the other hand, the 13% that worked in multinational companies, including 4 IT companies, revealed having good Organisational support that included WLB such as telework and flexitime, which increased loyalty, retention and motivation and decreased stress levels among those employees. This finding, nonetheless, contradicts findings by Semlali and Hassi (2016), who found that women working at the studied IT Company were less likely to have a balanced work-life due to the demands of the field. Semlali and Hassi (2016) stated, that “the main threat to working from home is the danger of not putting a limit to the working hours which directly lead to work responsibilities interfering with the home life” (p. 219). However, women in this study found it more beneficial to have work-life arrangements such as flexitime and telework in place that allowed them to deal with family emergencies (i.e., child sickness, parental emergency). The last group of self-employed participants in this study revealed leaving the traditional workplace due to the lack of work-life balance, adding that creating their own companies or working freelance enabled them to effectively and successfully accomplish both personal and professional goals, without sacrificing one or the other. The compromise for being self-employed requires extended work hours that may cause work-life balance issues (DeMartino and Barbato, 2003), however, in this study, all 6 participants stated that working late nights or extended hours was a less stressful compromise.

9. Recommended WLB framework

Based on this investigation, three major recommendations were suggested by the participants to improve the status of professional women’s WLB within the Moroccan Organisational context. First, participants suggested flexitime and telework that were aligned with those available to employees in several Western organisations, which have been implemented in efforts to retain talent and increase loyalty and commitment among valued employees. Flexitime and telework were suggested by almost 70% of the study participants to help guarantee an improved equilibrium between personal and professional obligations. These findings are aligned with Semlali and Hassi (2016) that “allowing working mothers to take advantage of the technology and so work from home would allow them to be close to their children if needed as well as to take care of household responsibilities during the day as work permits” (p. 221). The second recommendation was suggested by over 40% of the study participants who claimed that workplace childcare centres and a greater access to other forms of childcare would make their lives a lot easier, particularly for women with children between 0 and 3 years old, which would allow mothers to continue pursuing their professional goals without sacrificing their bonding time with their children; this was particularly important for mothers of infants. Similar to the first

recommendation, it also aligns with findings by Semlali and Hassi (2016) who reported that “creating workplace nurseries would allow working mothers to be at proximity of their new-borns when needed, especially for breastfeeding” (p. 221). Finally, 44% of the study participants suggested improving traditional expectations of women through legislation and company policy, which could help change the working time legislation as the norm for performance appraisal, and focus on the overall performance and goals achieved instead. On the other hand, Semlali and Hassi (2016) suggested an increase in the duration of maternity leave policy, which was justified by the insufficient 14 weeks maternity leave requiring working mothers to leave their 14-week-old infants at a nursery with strangers.

10.Implications for HRD Theory Practice

This investigation is the first study within the Moroccan context that explores women’s perceptions of their work-life balance in various sectors. Theoretically, it adds to the existing literature on WLB in the MENA region, where women continue to face challenges to balance their personal and professional obligations. The outcome of this study can be used to enlighten the understanding the nature of the work-life balance conflicts experienced by women in the Moroccan Organisational context, and therefore establish a framework of countering these effects. From a practical standpoint, the suggested recommendations will help inform Moroccan organisations on how to improve professional women’s work-life balance and well-being; in other words, employers will have a better understanding of the needed programs to adopt in order to accommodate working women’s work-life balance, and therefore improve their work-life balance.

11.Limitations and Directions for Future Research

The findings of the current investigation are based on data collected using an exploratory qualitative approach, and hence, the authors agree that we have to be cautious not to make any conclusive assumptions or generalize the findings to the entire Moroccan context. This study attempted to address a gap in empirical research that addresses work-life conflict issues for working women, therefore, this study will further contribute to the body of literature on work-life balance issues of working women from an Islamic North African developing country's perspective. Although the authors believe they reached data saturation with 45 respondents from various geographical locations, the sample still remains unrepresentative of the entire Moroccan context. Nonetheless, the results provide a general understanding on the status of WLB among Moroccan professional women and help gain a deeper understanding of the conflicts they encounter on a regular basis trying to fulfil their personal and professional obligations. Conducting additional investigations with larger samples may allow the generalizations of the findings to the general Moroccan context. Additional studies including men into the studied sample may also provide a thought-provoking understanding on WLB differences between men and women.

12.Conclusion

The following investigation tried to enhance awareness of the WLB conflicts, and lack of, among Moroccan professional women. Within the Moroccan cultural context, the traditional roles and societal positions of men and women continue to have an impact on how they interact and approach social situations. Traditional roles for women are characterized by the “homemaker” stereotype (Seiter, 2006), where women are expected to stay at home, raise children, and primarily fill the roles of mother and wife, and this assumption affects their ability to pursue their desired career goals. Although the characteristics of the workplace have changed and evolved through the years, with globalization and technology leading to more women presence in the workforce (Burke and Ng, 2006), the characteristics seen as valuable for professional and personal life balance have not. With the perception of Arab women as a

homemakers, they are often expected to fulfil both professional and personal roles equally without the Organisational accommodations, which causes them to feel stressed and overwhelmed, therefore, leading to a work-life imbalance. The outcome of this study can be used to enlighten the understanding of experiences of women's work-life balance within the Moroccan corporate context, additionally, the suggested recommendations will help inform Moroccan organisations on how to improve professional women's work-life balance and well-being; in other words, employers will have a better understanding of the needed programs to adopt in order to improve their work and personal life commitments.

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Getting a better understanding from women in the workplace – what do they perceive are the workplace barriers, and what do they think we should be doing about them?

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Abstract

The purpose of this research is to better understand the experiences of women within the workplace, and specifically what they perceive helps/hinders their career progression, from both a personal and organisational point of view and what they think would better enable them into the future. It is recognised that there are more women in the workplace now but that women are still marginalised and discriminated against in relation to pay, opportunity and career progression. How can it be that women make up 52% of the workforce globally but only 24% are in senior management positions? Worse still, 33% of all businesses globally do not have any women within their senior management teams. In the UK, 47% of our workforce is women with 21% in senior positions. To find out more about women's experiences in the UK workplace, 2 focus group sessions were held within a Healthcare organisation and 23 semi-structured interviews were held with a legal organisation. Feedback was gained in respect of the key issues; in particular highlighting what helps and hinders their career progression and what would help enable them further into the future.

Keywords: women, workplace experiences, career progression, barriers

1. Introduction

It is agreed that there are more women in the workplace. It is agreed that women and men are equal in ambition, ability and commitment in the workplace (Jones, 2018). Considerable progress has been made towards gender diversity in management, as women are increasingly moving into management positions, however, women still remain under-represented in top leadership positions (Cook and Glass, 2014; FRC 2018), and so men still continue to dominate the workplace (van der Boon, 2003). 'Full equality is still a somewhat distant goal, and women have the burden of overcoming obstacles that men do not face' (Carli and Eagly, 2016, p.514). This is not a new phenomenon but yet we still don't seem to know how to address it head on and make real changes for the future.

2. Theoretical base/Literature Review

2.1 Women in the workplace

Over the past 40 years there has been a rise in the percentage of women and a fall in the percentage of men in employment (ONS, 2013, 2015). There are now more women in the workplace; globally women make up 52% of the workforce. Changes in the demographics, greater international competition and potential skills shortages have forced businesses to recognise and support the development of the increasing number of economically active women and minority groups within the workforce (Perrons, 2003; ONS, 2015). The structure of employment has also changed in a way that has favoured women, with a shift towards a more flexible service focussed economy, whereby typically women tend to be over-represented. Women have changed their attitudes towards the workplace too; better access to education and opportunities, has helped to create increased aspirations for independence and fulfilment, resulting in more women than men with degrees, and now being more likely to stay in the labour market throughout their working lives, with or without

childcare responsibilities (OECD, 2012) at the same rate as men (Krivkovich et al., 2018).

Despite more women in the workplace, there is still horizontal and vertical segregation of the labour market (Gianettoni and Guilley, 2016). Horizontally, in respect of gendered occupations; for instance, women tend to be over-represented in highly feminized occupations like care, leisure, administration, sales and customer service (women occupy 82% of these positions) whereas men occupy 90% of skilled trade occupations like the legal profession (ONS, 2013). Vertically, in respect of senior positions; now, in the United Kingdom, 21% of senior roles are held by women (globally this is 24%) and 36% of UK businesses have no women in senior management teams (globally this is 33%). In short, women are still marginalised into stereotypical gendered roles (Rhee and Sigler, 2015) and men continue to dominate the workforce in senior management positions (Terjesen and Singh, 2008; Cook and Glass, 2014).

The good news is that the 'glass ceiling' metaphor is becoming less discussed but the bad news is that it has been replaced by a 'glass labyrinth' (Eagly and Carli, 2007; Hoyt, 2010; Carli and Eagly, 2016) which involves the well-known glass ceiling but also a concrete wall (the organisational culture creating obstacles) and a glass cliff (whereby women are promoted in times of organisational difficulty, which increases their chance of failure), all of which are typically created by and within the organisations themselves. We also still have the 'sticky floor,' potentially created by women themselves (Shambaugh, 2007).

With this in mind, it presents the question; are things getting better for women in the workplace or just becoming more complex? It is well known that women still face workplace challenges that men do not in respect of gender stereotyping, lower pay, childcare responsibilities, lack of access to promotional opportunities and powerful mentoring networks (Carli and Eagly, 2016) but also there is the notion of 'intersectionality' whereby our different identities combine to worsen discriminatory effects.

Dhamoon (2011) characterises intersectionality as having 4 connected branches; individual identity or social groups (for instance, black women); categories of difference (for instance, race and gender); processes of differentiation (for instance, gendering and racialisation) and systems of domination (for instance, patriarchy and white supremacy). It is important to recognise the multiple identities that we have (as women and men) and the interplay between our different minority group memberships. For instance, ethnicity, age, sexual orientation and socio-economic class, as they are not independent from each other (Nielsen, 2010; CIPD 2018). In the McKinsey 'Women in the Workplace' report in the US (2018), it was noted that almost two thirds of women experience micro-aggression in the workplace but that black women and lesbian women deal with a greater variety and are more likely to have their judgment questioned and be asked to provide additional evidence of their competence, than other women (Krivkovich et al., 2018; McKinsey, 2018). Interestingly, within senior management positions, in the US, according to the same report (McKinsey, 2018) approximately 1 in every 5 senior leaders is a woman but more interestingly, only 1 in 25 is a woman of colour.

2.2 Women in leadership

Much research has discussed how the diverse demographic characteristics of top management teams influence the decisions they make and in turn the impact this has on organisational performance and outcomes (Hambrick, 2007; Nielsen, 2010). The lack of women in senior positions is curious as there is much written about women's leadership style and how this can be more appropriate for the changing global economy in relation to being more participative, more results orientated and more comfortable with nurturing and building relationships with others (Van der Boon, 2003; Rhee and Sigler, 2015; Hurley and Choudhary, 2016). So it seems especially counter-productive and short-sighted not to have a better gender balance in the workforce and indeed within higher organisational levels. For this reason,

gender diversity on Boards is an increasingly popular area for research, discussion and reform (Carrasco et al, 2015). The notion that women's (lack of) representation on boards is influenced not only by person-centred and situation-centred factors but also by changing organisational and national environmental factors too is well researched (Terjesen and Singh, 2008). It is well known that women are under-represented on Boards worldwide (Carrasco et al, 2015) and as such this is a growing field of intrigue and academic study (Hodigere and Bilimoria, 2015).

The number of women in senior management positions globally is 24% (Catalyst, 2018a) and in the UK this is 22% (Catalyst, 2018b). The bad news is that there are still 33% of all businesses globally who do not have any women within their senior management teams, 36% in the UK who do not and 25% in Australia who do not.

The good news is that a number of women have been able to ascend to the upper echelons and into top leadership positions, for instance, in the US 15- 16% of women are in top leadership positions in large organisations and 5% of large organisations have women CEOs (Rhee and Sigler, 2015; Catalyst, 2018a). Interestingly, there are 9.3% of women in top leadership positions in Spain and in Italy 3.7% (the lowest of all European countries), but for some Asian countries this is less than 1% (Terjesen and Singh, 2008; Rhee and Sigler, 2015). In contrast Slovenia has a representation of 22% of women on their Boards (Terjesen and Singh, 2008). In the UK, following the Government targets of achieving 33% of women on both FTSE 100 and FTSE 350 Boards by 2020, the numbers of women on UK Boards have steadily improved to 29% (FTSE 100) and 25.5% (FTSE 350) in 2018 (BEIS, 2018).

The International Labour Organisation (ILO) suggests that tackling the gender differences within the labour market require not only efforts from governments, employers and trade unions but also initiatives to dismantle the unequal demands that women face (ILO, 2018). This study is aimed at better understanding the unequal demands that women face and the ways in which these can be changed or differently navigated.

3. Research question/s

Based on the insights driven by the literature review, the key research questions are;

- (1) What are the 'lived' experiences of women within the workplace?
- (2) What do they perceive helps/hinders their career progression?
- (3) What do they think would enable them into the future?

4. Methodology

To address the research questions the study adopted a critical realist position and an interpretivist theoretical perspective; the central purpose being to understand the lived human experience and subjective world of women in the workplace (Cohen, Manion and Morrison, 2017). Notwithstanding the risk of 'participant error' (Robson, 2011), it was considered most important that the women's voices and views were captured as the focus is on their perceptions of their personal experiences.

Access was granted to 2 large national UK employers (1 private healthcare organisation and 1 legal firm) who were keen to understand what were helping/hindering the career progression of their under-represented employees. They were also keen to find ways to support them into the future. It was interesting to be able to get access to both these different organisations as typically the healthcare sector is seen as a more female orientated workforce; 77% of the NHS workforce are female, with 46% within senior manager roles (NHS Employers, 2016) and the legal profession has 48% women solicitors but is largely a male orientated workforce at the top with only 29% women as senior partners (Solicitors Regulation Authority, 2017).

The healthcare organisation asked for some focus groups with a mixture of their employees from all levels within the organisation to understand the issues facing under-represented groups. As this was a mixed group, views were gathered from a variety of employees with a variety of characteristics in respect of gender, sexual orientation, age, ethnic background, disability etc. Notes were not recorded specifically in relation to the participants' characteristics and what they said. There were 2 focus groups with a total of 25 employees. Each focus group lasted 1 ½ hours. The key focus group questions asked were;

- (1) Tell me about yourself/how would you describe yourself?
- (2) How would you describe your job, your workplace, your career so far?
- (3) Describe the key factors that contribute to your satisfaction with your job, at work, career
- (4) Share some examples of what has helped you and/or hindered you, your job, at work, career
- (5) How do you feel about opportunities available in the workplace and your career progression so far; aspirations, development available, prospects etc.
- (6) Share your thoughts about diversity and how this relates to you, your job, and the workplace
- (7) More specifically how do you feel that your characteristics e.g. background, age, gender etc. have directly impacted you, your job, the workplace
- (8) How do you feel these characteristics impact how others/leaders interact with you (or not) and if/how this has affected your ability to be your true self?
- (9) What more could be done at work towards recognising and supporting diversity?
- (10) What would 'diversity' success look like for you in work/how will you know?

The law firm asked for some individual phone calls to a mixture of employees from their under-represented groups, to better understand what their concerns may be in relation to their career progression. The same questions used, within the Healthcare focus groups, were asked on a one to one basis to the law firm participants. This time notes were taken specifically in relation to the participants' characteristics and what they said. 24 employees were called and the semi-structured interviews lasted approximately 30 minutes. Information sheets and consent forms were issued to both focus group and interview participants and signed by all participants. A summary of the notes taken were sent to all participants, within both organisations, for verification.

Both organisations were keen to understand the issues for their under-represented groups but also to proactively put interventions in place to change their current situation. Apart from gaining and sharing these insights for the 2 organisations, the intention is to look for the key themes and patterns emerging from the 2 different groups, across both organisations specifically in relation to women. It is hoped that these results will both add to the organisation's understanding in relation to diversity, and their treatment of women specifically, but also add to the theoretical base about women's perceptions in the workplace and also provide some practical ideas for the future.

The first stage was to gather and summarise the focus group information from the first organisation and to share this with the participants. The interviews with the second organisation were then carried out and the key themes summarised back to the participants. The next stage is to upload the information gained from the legal firm interviews with the women, onto NVIVO and to code the information, in more detail. Then the codes will be collapsed into key themes and further conclusions drawn.

It is hoped this NVIVO analysis will be completed before the UFHRD Conference, so that the results can be shared.

5. Findings so far

As mentioned, the focus group and interview information gathered was summarised and shared with the participants. Table 1 and 2 have been created, from these summaries, in response to the first 2 research questions;

- (1) What are the 'lived' experiences of women within the workplace?
- (2) What do they perceive helps/hinders their career progression?

Table 1 shows a brief summary of the comments made about gender (from both men and women) within the first Healthcare organisation.

Glass ceiling comments	Concrete wall comments
<ul style="list-style-type: none"> • "A sense that if your face fits, you're more likely to get on" • "White males get promoted more" • Recently, all graduate females left (due to lack of promotion) but male graduates have stayed and secured senior roles • Perception of other males about our capability as women • "Been doing a more senior role now for some time without the title" (not about the pay rise but about the recognition) 	<ul style="list-style-type: none"> • 'Old boys club' • All white males on the Board • Limited black female role models • "As a female, I feel I have to work twice as hard to be recognised" • "Feel overlooked as a woman; feel that judged by what I look like first, then my age, then what I say" • Examples of different leadership styles; some male managers in meetings grouping together • "Males get away with certain behaviour but females may not" • Some difficult managers (both female and male); everyone knows about them but nothing done • "I feel I've been overlooked due to my child commitments" • Barriers if you have young children as need to leave earlier and not able to stay late/look less committed

Table 2 shows a brief summary of the comments made about gender (from both men and women) within the legal firm.

Glass ceiling comments	Concrete wall comments
<ul style="list-style-type: none"> • Many white males at senior levels • Limited females at high levels • Similar personalities at the top/small group mentally/need different leadership styles • "Some people think they should be listened to more due to their characteristics. Don't agree. Should be on merit." 	<ul style="list-style-type: none"> • If have a family, considered less ambitious • Commitments mean difficulty joining in early/late meetings; not seen as team player • Difficulty doing business out of hours (affects new business development, and traditionally managers promote those who get business in) • "Seen women whose careers have been stumped as they have had kids" • Not always feel listened to • Expected to behave in a particular way i.e. to be forceful, like males • Workplace promotes a particular male leadership style; not want to be a male type

<ul style="list-style-type: none"> • "I don't agree with silver bullets." • "Some promoted into roles due to diversity and not merit; less opportunity now." 	<ul style="list-style-type: none"> leader/not want to be a senior unfriendly, unsupportive female with ego • Majority female teams impact on males in the team too • Different language used for females and males e.g. nice Vs smart • Senior people talk down to females
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Note: "-" = direct quotes

At first glance, there seems to be some similar themes, between both organisations, in relation to;

- Perceptions about childcare responsibilities
- Men acting as 'blockers' at the top/a male dominated leadership culture
- Behavioural differences between females and males (including leadership styles)
- Lack of female role models
- Feeling that need to prove self to men

In respect of research question 3;

(3) What do they think would enable them into the future?

Suggestions were shared for future improvements, which included more inclusive recruitment and selection practices, better training and development for current and future leaders, and more opportunities for role modelling. As previously stated, this is just a snap shot of the feedback gathered as more detail will be included, analysed and discussed in the presentation at the UFHRD Conference.

6. Implications for HRD theory and practice

The purpose of this study is to ask women for their ideas, as well as insights, to address the obstacles they face and to find ways to redress the balance, in the workplace. The brief overview in the findings section shows that women in 2 organisations studied have experienced similar workplace issues with respect of the glass ceiling and the concrete floor. Through further NVIVO analysis, it is hoped that we can better understand the common themes for women, across these 2 organisations, and this will hopefully give way to new ideas for removing barriers and enhancing the enabling factors. Both organisations are keen to try new ways to support women progression, so it is hoped that this will lead to new creative ways to support their current employees. It is also hoped that the results and insights will be particularly important to HRD practitioners, as we still don't seem to know how to crack this much debated issue; we know it makes sense to have more women in senior positions, so any clues and tools will be helpful to share. There are more women than ever before now in top senior positions, so we know it can be done, but having a better understanding of the mechanisms which are more likely to help women's progression will then help other organisations and other women to progress at a faster rate. There is clearly more work to do to understand how to better support women into and within the workplace, and so when completed this study hopes to create further ideas on how to do this.

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The Reflexive-Relational: The coalescence of HRD practices to enable multigenerational interdependence in the workplace

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Abstract

Multi-generational workplaces may become more common as the retirement age in the UK is extended. The arrival of the millennial generation in work has been considered so distinct as to require new ways of working and managing people. This paper notes these reported differences and the challenges of working multi-generationally. Primary findings from interviews with millennials and survey comments from older workers, suggest concerns with both older and younger workers, but a commonality in possible solutions. Flexibility, generational diversity training, collaborative working, peer and reverse coaching and well-being initiatives are suggested. My personal proposal is for a new approach to intergenerational working, the reflexive-relational. As a working paper this needs further research, but draws together reflective learning and generational opportunities to benefit workplace organisations.

Keywords: multi-generational, millennials, reflexive, life-cycle, diversity

1. Introduction

As millennials, born approximately between 1980 and 2000, have joined work organisations, the extension of working life has been evident amongst older employees (Cogin, 2012; Schullery, 2013; Holian, 2015). In the UK, the Equality Act (2010) bans discrimination on the ground of age. This has prompted some employers to raise or abolish compulsory retirement ages for their workers. The age at which state pensions in the United Kingdom are paid has been raised (gov.uk/state-pension-age). These changes herald an increase in multi-generational workforces spanning age ranges from teens to over-seventies. There is a need to equip organisations and their workforces with to support positive and productive inter-generational working.

Much has been written about the millennial generation (Howe and Strauss 2007; Twenge, 2014; Urbain et al., 2012; Cogin, 2012; and Myers and Sadaghiani, 2010). They are perceived as both heroic (Howe and Strauss, 2007) and needy and narcissistic (Twenge, 2013). Stein (2013) notes these contradictions calling Millennials both lazy and likely to save us in the same sub-headline. Their arrival into the workplace over recent years, presents challenges in terms of how to recruit, retain, manage and develop this latest generation to join the labour force. They are often seen as a 'problem to be fixed' with distinct characteristics so different to preceding, older generations, large employers have been driven to investigate their special requirements and produce glossy reports in response (Price Waterhouse Cooper, 2013 and IBM, 2015).

Reflecting on popular and academic comment, I observe people who care about multi-generational working be they critical or encouraged. In caring enough to investigate, research and write about Millennials I witness a desire across the generations to work together and understand more. This resonates with the work of Erikson (1964) and particularly the phenomena of 'generativity', which he places as a positive attribute of mature adulthood.

1.2 The Concept of Generations

The concept of generations has been defined as those '...having been born within a specified range of birth years' (Schullery, 2013, p.253), sharing 'the life experiences of their formative years' (Smith and Clurman, 1998, p.3), and 'shaped by events or

circumstances according to which phase of life its members occupy at the time.’ (Howe and Strauss 2007 p.42).

There are different perspectives to consider in the study of generations. Some apply distinct characteristics assigned to generational groups depending on approximate birth year (Schullery, 2013; Smith and Clurman, 1998; Howe and Strauss, 2007). Mannheim (1952) emphasised the cultural, political, technological and economic context. A third perspective is that of Generational Cohorts, which ‘exhibit separate and distinct values and attitudes because of its sharing of social, economic and political events when contrasted with other cohorts’ (Guillot-Soulez and Soulez, 2014, p.321). Mannheim notes the interrelationship between generations and the significance of ‘new participants in the cultural process’ (1952, p.292) as new generations are born. Bristow observes this interaction within ‘...the society in which these participants are born, develop and transform their world’ (2016, p.2). This introduces the interplay of time, location, psychological and sociological aspects for those of the same life stage and the interrelation between generations in co-existence.

Whilst there remains some debate about cut-off birth years for later generations of the 20th Century, there is a general consensus amongst commentators such as Schullery (2013) and Howe and Strauss (2007), as to descriptors and date ranges, each spanning approximately 18-25 years. An extract of Strauss and Howe’s categorisation of generations, (Figure 1) is widely cited and criticised by generational commentators, (see Hoover, 2009; Fernholz, 2017). This provides, however, a helpful summary of popular terminology used to describe those of working age, and a further younger generation, referred to in figure 1 as ‘Homeland’ and called Generation Z and the App Generation, (Steinmetz, 2015, 2016) and post-millennials (Umstead, 2013).

Figure 1: An Extract of America as a Sequence of Generations

Boom	1943–1960
Generation X	1961–1981
Millennial	1982–2005?
Homeland	2005–2025?

(Howe and Strauss, 2007 p.44)

2. Methodology

This paper includes literature taken from early research for the author’s PhD thesis, covering the key themes of generational traits and behaviours, life-cycle and life-stage, workplace challenges and responses and the justification for my reflexive-relational model / concept. As a working paper, the research is currently on-going. This paper is informed by primary research gathered using interpretivist methodology from two main sources. The first being interviews with millennials working and/or studying in the field of HRM. The second from answers to qualitative questionnaires distributed to a multi-generational office team.

2.2 The reflexive-relational

My concept is informed by others; reflexivity from Giddens (1991) and generativity from Erikson’s seventh life stage (see Erikson, 1980 p.103). However, I argue these concepts are limited in understanding inter-generational. I am not a lone voice. The Resolution Foundation, through their Intergenerational Commission, outlined a

proposal called a 'new inter-generational contract' (Gardiner, 2016 p.47). This argues for greater collaboration between generations. The Intergenerational Commission is calling for people, markets and the State to do something new. My reflexive-relational approach does not necessarily require something new. People already reflect and are in relationship with other. I propose a conscious combination of each, for people to be more reflexive in their relationships with others.

3. Literature Review

3.1 Millennials – the new kids on the block and in the workplace

Cogin (2012), McClellan (2009) and Myers and Sadaghiani (2010) all note Millennials appear confident, positive, with high self-esteem and a preference for teamwork and collaboration. Arnett et al., (2013) emphasise their positive thinking, which Twenge (2013) interprets as narcissism. Twenge and Campbell conclude that Millennials have a lower need for social approval (2008 p.862), however, Urbain et al., (2012) suggest they are more driven to seek peer approval. This is a concern to Twenge and Campbell (2008) who argue that older generations, parents, teachers and employers, should be important sources of appropriately calibrated affirmation and guidance.

Twenge (2006) suggests this generation will quit jobs if they are not immediately fulfilled. Myers and Sadaghiani (2010) caution against stereotyping arguing not all Millennials are privileged financially to enable frequent job hopping. Arnett et al., (2013) also argue that Millennials are less motivated by money. This may support PwC's findings (2013) that Millennials are more likely to seek better work-life balance than chase high financial rewards for long hours and supported by Cogin (2012) and Myers and Sadaghiani (2010). Twenge and Campbell (2008) note concerns in the workplace about casual dress matching with a more casual attitude. Cogin, (2012) notes this generation appears less concerned with the quality of their work and Urbain et al., (2012) suggest they are less concerned about duty and effort.

Twenge's much repeated stance (2006, 2008, 2013, 2014) is that Millennials are narcissistic, leading them to be anxious and depressed. She observes an external locus of control (Twenge and Campbell, 2008) which is corroborated by Much et al. (2014), observing their 'passive approach to problem solving' and a 'tendency to blame others' (Much et al., 2014, p.42). McClellan (2009) accepts their 'special and sheltered' (p.262) nature but also pressured. Myers and Sadaghiani (2010) note their self-importance however Arnett et al., (2013), argue they are no more self-centred than other generations. These traits may be attributed to the ways in which Millennials have been socialised since infancy. Hershatter and Epstein (2010) suggest Millennials,

... have always felt loved and wanted by their doting parents, guided and cared for by teachers [including]...the importance of building self-esteem and at least before 2009, desired by corporate recruiters (p.215).

3.2 'Twas ever thus – The Life-cycle Perspective

Erikson devised a model of 'eight stages of man' [sic] (Stevens, 2008, p.43) which identifies a rhythm within an individual's life cycle. These stages feature positive strengths and potential weaknesses which an individual may experience to a heightened extent at the given life period. Erikson noted these might be in constant conflict during the given life stage and are therefore often represented as opposing forces with one being against or 'versus' the other. As a result of this conflict, Erikson argued that a distinct 'virtue or ego quality' (Stevens, 2008, p.44) would emerge. Erikson's eight stages may be summarised as follows;

Figure 2 Erikson's Life Stages

Life Stage	Virtue or Ego Quality	Strength Descriptor		Maladjustment Descriptor
Infancy	<i>Hope</i>	Trust	vs	Mistrust
Early Childhood	<i>Will</i>	Autonomy	vs	Shame
Play Age	<i>Purpose</i>	Initiative	vs	Guilt
School Age	<i>Competence</i>	Industry	vs	Inferiority
Adolescence	<i>Fidelity</i>	Identity	vs	Role Confusion
Young Adulthood	<i>Love</i>	Intimacy	vs	Isolation
Maturity	<i>Care</i>	Generativity	vs	Stagnation
Old Age	<i>Wisdom</i>	Integrity	vs	Despair

Source: (Adapted by the author from Erikson, 1976 and Stevens 2008)

The concept of 'generativity' (Erikson, 1963, 1964 and 1968) is key to my argument for an alternative approach to understanding generations. It makes an essential contribution to the discussion of inter-generational relationships. One important observation is the virtue for 'maturity' is to 'care'. This echoes my own observations that people care about future generations.

3.3 Workplace challenges and responses - Millennials

Millennials may seek challenge in the workplace but also support and instant feedback on their progress, (Shaw and Fairhurst, 2008). This may be attributed to them receiving 'shiny medals [in childhood] just for showing up' (Hershatter and Epstein, 2010, p.217) which creates a need to seek approval and affirmation. In the workplace this may be seen as 'an excessive propensity to continuously seek guidance and direction'. (Hershatter and Epstein, 2010, p.217) This can result in them being labelled 'high maintenance employees' (Hira 2007) and the 'entitled generation' (Alsop 2008). One response from employers has been to provide 'fun' environments as reported by Schullery (2013) and Dixon et al., (2013), citing Google's pool tables, climbing wall and piano and Microsoft's private lake and 25 cafeterias. A further challenge to employers and other generations within an organisation is the apparent contradiction that Millennials prefer to work within defined structures and with clear, unambiguous instructions, but have less tolerance of traditional hierarchical structures and authority relationships at work (Hershatter and Epstein, 2010).

Nayar (2013) notes that some countries will rely on Millennials to delivery success in business organisations. He notes this generation's potential '...to be trusted to take decisions and initiative, not just direction' (p.40), He suggests this will be achieved by developing trust relationships, resourcing Millennials to deliver and motivating them through coaching, networks and scope for collaboration. Hershatter and Epstein (2010, p.216) reflect on the extent to which organisations or millennials should adapt in their work environment.

Peluchette et al. (2013), identify examples of 'helicopter parents' (Cline and Fay 2006). Peluchette et al. (2013, p.603), have categorised such parenting by extending the helicopter metaphor; those on 'Reconnaissance' illustrated by those attending recruitment fairs, secondly, 'Low Altitude' who make applications for jobs on their children's behalf and finally, those undertaking 'Guerrilla Warfare', by attending interviews or negotiating starting salaries for their children. Hershatter and Epstein find this unsurprising as 'parents may coddle and protect, but they also nurture the implicit expectation that the advantages bestowed on their Millennial offspring will yield returns' (2010, p.216). A development of the 'helicopter' concept is that of 'snowplough parents' (McCullough, 2014), clearing every obstacle from the path for their children to ensure success.

In 2013 Price Waterhouse Cooper (PwC) researched their own millennial employees, in response to declining workplace retention rates. They found a desire for work-life balance, a reluctance to work excessive hours in return for possible promotion later, but valuing overseas work assignments as a 'reward', seeing them as career-enhancing and a desire for more support and appreciation to be shown at work. These findings are echoed by some of those from IBM reporting in 2015, whose report identified 'myths' relating to Millennials and identified traits similar to those of older generations.

3.4 Workplace Challenges and Responses – multi-generational

Cogin (2012) suggests millennials may value flexible working, replacing annual performance reviews with more regular feedback, include multi-generational aspects in diversity training, alongside well-being programmes and skills updating, especially relating to technology. These echo some proposed by Pitt-Catsoupes and Matz-Costa (2008). They focus on flexibility and engagement with reference to older workers. They define flexibility in work as 'when, where, how and how much' (Pitt-Catsoupes and Matz-Costa, 2008 p.219). As Cogin (2012) notes, flexible working has been primarily for those with parenting responsibilities. An extension of flexibility could benefit both older and younger workers without such commitments. Pitt-Catsoupes and Matz-Costa (2008) argue that flexibility is good for all workers but very much prized by those who are older.

Pitt-Catsoupes and Matz-Costa argue that those more actively involved in work will have a more positive outlook and be engaged, contrasted with those who experience disengagement and 'withdrawal' (2008, p.217). This has echoes of Erikson's theory of later adulthood and the risk of 'stagnation' (see figure 2). Generational segregation is observed by Bolser (2015). She argues for organisations to embrace social exchange theory and suggests reverse mentoring whereby young, new recruits mentor older workers. The social exchange undertaken may also meet the needs of feedback hungry millennials. However, Emerson's (1976) social exchange theory notes it borrows heavily from economic principles of rational decision making, instrumental rewards, mutual benefit and diminishing marginal returns. Its use in 'non-economic social situations' (Emerson, 1976 p.336) suggests some transference to non-hierarchical peer to peer relational situations. King (n.d. c.2017) suggests multi-generational diversity training, peer mentoring, 'affinity groups' where colleagues meet to share social or value-based experiences and listening as solutions to aid inter-generational working. Older workers pre-retirement, might share their 'institutional wisdom' (King n.p, n.d) with younger workers.

3.5 The reflexive relational

I purport that reflexivity is a very personal undertaking. 'The reflexive project of the self' (Giddens 1991, p.169), focuses on, 'the self'. His positioning of trust as 'a crucial generic phenomenon of personality development...' (Giddens, 1991, p.3), suggests the importance of early positive relationships. The recognition of 'pure relationships' (see Giddens, 1991 pp.87-98), notes greater freedoms to choose our intimate relationships with others and new challenges presented by such freedoms. However, Giddens' position reinforces the individualistic.

Erikson's concept of generativity is predicated on the biological production of children, the next generation, however, Erikson does not reserve the opportunities for generativity for biological parents. He notes situations whereby those without literal parental responsibilities, may find 'other forms of altruistic concern and of creativity, which may absorb their kind of parental responsibility' (Erikson, 1980 p.103). This 'giving back' to later generations is by definition, one of relationship.

Melding the two concepts of reflexivity and inter-personal relations, I am suggesting a new approach to inter-generational relationships, the reflexive-relational. This takes the strengths from each but elevates the reflexive from its

individualistic basis into something requiring engagement with others to benefit all, not just the self. I argue that it is when in relationship with others that we can be more reflexive and that our inter-personal (and multi-generational) relationships will only be strengthened and maximised via a reflexive approach. Schachter's (2018) model of horizontal intergenerational development (p.316) shows possible interrelations between generations. Those in the maturity life stage may nurture those younger. As Schachter states:

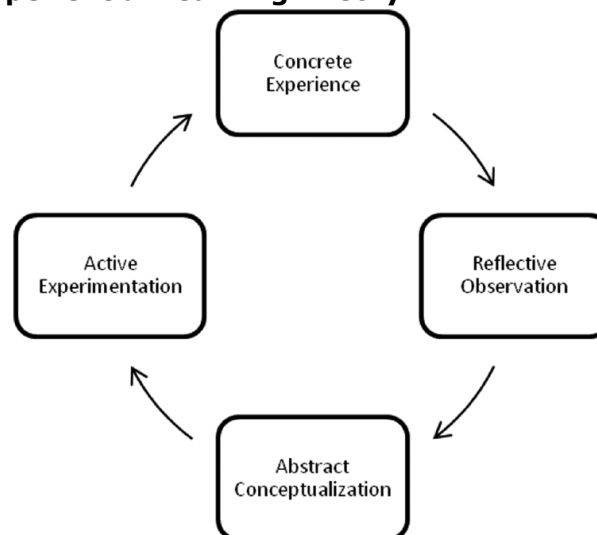
...developments are not simply occurring at the same time, but rather in relation to each other. This implies that each party's development is dependent on the other's development. In the adolescent-adult dyad in particular, this means that the adolescent's identity development is dependent on the adult's generativity development and vice versa (2018, p.317)

4. Methodology

4.1 Philosophy and Approach

My research takes an interpretivist approach, seeking meaning in individual experiences or actions and interpreting these to give understanding, (Schwandt in Denzin and Lincoln (2000 p.191-192)). My proposal for a new approach to generational studies, the reflexive-relational will be tested against my findings and applied to different conditions to establish its veracity. Social Constructionism takes the stance that 'the mind is active in the construction of knowledge' (Schwandt, in Denzin and Lincoln, 2000 p197). Knowledge is created by human beings, using our minds and applying 'abstractions and concepts'(Schwandt, in Denzin and Lincoln, 2000 p197). I argue that human beings in relationship will create knowledge between them. In being reflexive, they will keep testing this knowledge and its validity. This process also resonates with the work of Kolb (1983) regarding learning.

Figure 3: Kolb's Experiential Learning Theory



Kolb's Experiential Learning Theory (1983), (cited in Schenck and Cruickshank 2015, p.74)

4.2 Primary Data

Primary data was gathered from extended interviews with five millennials between 2016 and 2018. There were three female and two male respondents ranging in age from 24 to 35, with birth years between 1982 and 1993. All the 20-something year

old respondents were born and lived their whole life in the UK. Arun aged 35, was born in India and came to the UK in 2011. All reported names are pseudonyms.

My second source of primary data came from qualitative survey from colleagues in a multi-generational team of 18 administrators working within an open plan office with an age range of mid-20s to almost 70. Participants were invited to complete an on-line Survey Monkey questionnaire in April 2019 comprising of 10 questions. The response rate was disappointing with only four responses. These were all females and two aged 33-44 and two aged 45-70. Although there are no millennial responses, these qualitative comments are a helpful contrast to the millennial voices gathered earlier.

4.3 Limitations

My methodology has been emergent and can be argued to be disparate. However, with an interpretivist methodology I do not consider this to invalidate my findings. In millennial interviews, I encouraged a conversation to flow, noting biographical accounts will be limited by memory, evidence and recall as well as self-censorship. This supports the limitations identified by Linde (1993, p.18). I had hoped to hold two focus groups with administrators, one of millennials and one of older workers. I was unable to recruit participants, despite offering tea and cake. Future research may include an experiment to test the implementation of some of the recommendations from this paper.

4.4 Ethics and Access

For both primary data research activities, I obtained ethical clearance from the on-line system within Leeds Beckett University. These applications were sanctioned by local and School research ethics co-ordinators. Permissions were obtained from relevant gatekeepers prior to recruiting participants and all retained the option to opt out of my research at any point.

5. Findings and Analysis

5.1 Millennial Voices - Employment and Job Choices

There are commonalities amongst millennial respondents in terms of earlier paid work. Hannah and Jessie-May worked in fashion retail and Arun and Sam both worked for McDonalds. Sam and Hannah appear to have loved their early jobs, Sam speaking enthusiastically about 4.00am starts and Hannah about influencing American senior managers in her clothing store. Sam makes an interesting observation about being 16 years old and starting work;

I loved it. I always find it really strange because at 16 you are still quite young, and you know when... I remember saying to my parents like it's weird cos you feel like you need to have a parents' day or something for them.... I always thought it was really strange that you just go to work and you're expected to be an adult and whereas like at school your parents are still inputting into your lives but at work you can do what you want... You can go to work if you want and if you don't we are not going to ring your mam, but you know it's like ... I always found that so strange that especially it being my first job - I always felt like they needed to meet my parents.

This may echo some of the concerns that millennials are infantilised into adulthood (Furedi, 2001). However, Sam's sentiment above suggests surprise and delight at his new-found independence in the workplace. Jessie-May spoke enthusiastically about getting a part time job aged 15 and earning her own money, encouraged by a strong work ethic from her parents. Hayley had a varied employment path, in a call centre and golf-club before finding legal work and then Human Resources. Hannah, the youngest respondent, appears the least sure of her future career aspirations. She displays more stereotypical expectations as the

millennial-who-wants-to-create-a-new-app, but also embraces the opportunities to work on 'multiple projects'.

All described non-linear journeys to their current employment. All came to study and work in HRM after jobs elsewhere and all 'worked their way up' from more junior positions. There was much discussion about personal ambition and the relativities of manager's and colleagues' positions, with particular reference to promotion opportunities. There was, however a respect for line management and due recruitment processes. Although these varied by sector, they generally spoke of compliance and a strong sense of how the organisational culture worked in each, exploiting this to their advantage, within given cultural and procedural norms.

5.2 Survey Findings – Multi-generational work team

The survey questions covered four main areas; general observations, positive aspects, challenges and possible training and development interventions. All respondents identified differences working with people of a different age. Noting all my respondents were older than the generally accepted upper age range for millennials, these observations can all be attributed to older, non-millennials?

5.3 General Observations

Three respondents noted that younger people tend to be quicker with their work, tempered with one observation that they are not as careful as older workers. Less positive observations included younger workers being more rigid in their work and less sympathetic than older workers to individual customer situations. Older workers were identified as being slower to accept and adapt to change. This may have been evidenced by another observation that older workers tended not to check their emails as frequently as younger employees. A more overarching comment from one respondent noted that being part of a diverse team 'benefits me in terms of my general outlook and my life experience of different perspectives, but I don't really see any benefits in terms of my work'.

5.4 Positive Observations

It was observed that there may be more efficient ways of working that can be learnt from younger people, that each generation can learn from each other and that younger workers may have 'more energy and capacity to take on extra work'. One respondent reported that working with older people made her 'more considerate of others' perspectives. One positive which had surprised the respondent was when an older worker volunteers for a role or extra duties.

5.5 Observed Challenges

The slower pace of older workers was reported again here in addition to general observations earlier. There were two comments related to older workers adapting to change and adopting new processes. One respondent reported the challenge of getting an older worker to accept that not only had the process changed, the old process they were persisting with was now wrong.

5.6 Training and Development

There were only two explicit responses to this question. One suggested a 'sitting with Nellie' [my words] approach to training for all less experienced colleagues, regardless of age, 'until they understood what they were doing'. The second suggestion was for 'training that helps me consider how changes might be better received by older colleagues'. There was a further request for a better retention strategy for young, ambitious staff, implying a turnover challenge.

6. Reflections, Recommendations and Further Study (in progress)

Workplaces are inhabited by humans and rarely in complete isolation. My research has identified differences in the perceptions of generations, by and between each other. Whereas much literature focuses on the millennials as a problem to be fixed, there are growing calls to consider older workers (Pitt-Catsouphe and Matz-Costa (2008)). My primary findings suggest frustrations with older baby boomer workers rather than the young millennials, as observed by the squeezed (?) generation x-ers.

My case for a reflexive-relational approach to multi-generational working provides a framework in which this can occur. There are practical considerations for HRD. These may be organisation and relationship specific. The normal restrictions of resources and opportunity cost, alongside cultural norms and preferences will dictate uptake. As Emerson (1976) noted, HRD departments may wrestle with 'reward, reinforcement, cost, value, utility, resource, comparison level, transaction, profit, outcome etc.' (p.347).

Flexible working, not just time but tasks and location may be attractive to all generations. Mentoring, peer and reverse, may be facilitated by HR departments or encouraged with dedicated time and space. However, reflection and reflexivity do not come naturally to many and development interventions may need to be devised to 'train' employees to reflect. Inter-personal relations may feel contrived or forced. Clear objectives as to why this may be undertaken will need to be set at a senior level, whilst encouraging a loose interpretation and ownership, by those developing their reflective-relationships. My next step is to establish a group to 'test' my theory of the reflexive-relational, in terms of improved inter-generational working.

Team coaching interventions may support my concept. Jones et al., (2019) have summarised the distinctiveness of team coaching and summarise, amongst others, 'affective outcomes'. These are: reflective capability, motivation, commitment and accountability (Jones et al., 2019, p.67 figure 1). This may be a helpful place to start.

7. References

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Examining the effect of self-compassion on positive psychological capital and work engagement among Korean employees

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Abstract

Recently, scholarly interest in psychological constructs, such as meditation, mindfulness, and self-compassion, has increased. Of special interest is the empirical verification of whether an employee's positive mental state leads to positive attitudes and activities in the workplace. The purpose of this study was to define the concept of self-compassion and evaluate its importance in the workplace. To accomplish the latter, the effect of self-compassion on work engagement was examined, as well as the mediating effect of positive psychological capital on the relationship between self-compassion and work engagement. Data were obtained from 358 employees in various organisations who completed an electronically-administered survey delivered through a company that operates the survey platform. The hypothesis was confirmed using a structural equation model. The results of the study confirmed that self-compassion consists of six sub-factors, and two higher-order factors: attitudes of self-compassion and self-criticism. The self-compassion of employees was shown to have a significant effect on positive psychological capital and an indirect, significant influence on work engagement mediated by positive psychological capital. In other words, a benevolent employee has high positive psychological capital expressed as efficacy, hope, resilience, optimism, and high self-compassion. Such a high degree of psychological capital characterizes employees who devote themselves to their jobs and put considerable energy into them. Some implications of these findings for HRD practitioners and future research are discussed.

Keywords: self-compassion, positive psychological capital, work engagement, structural equation modelling

1. Introduction

As meditation and mindfulness have become accepted interventions to improve the psychological health of employees, research on self-compassion has been growing. However, there have been few empirical studies to demonstrate how self-compassion affects the positive attitudes and behaviours of employees in the context of the workplace. The present study is important at this early stage of investigations into self-compassion because it confirms the validity of the self-compassion measurement (short version) developed by Raes et al. (2011). This study also examines the impact of self-compassion on positive psychological capital and work engagement among employees. The results of the study found that self-compassion had a significant positive effect on positive psychological capital and work engagement; the mediating effect of positive psychological capital on the relationship between self-compassion and work engagement was also significant and positive.

Research on work engagement has been on the rise with the recognition that the level of work engagement of employees is a source of competitive advantage for an organisations (Bakker et al., 2008). Work engagement is an active, positive, work-related state of mind characterized by vigour, dedication, and absorption (Bakker, 2011). The Job Demands-Resources Model posits that job resources, such as autonomy, feedback, and support, promote work engagement. Numerous studies have provided support for the Demand-Resources Model. Recently, attention has

been given to the effect of personal resources—such as positive psychological capital—as well as job resources on work commitment (Sweetman and Luthans, 2010; Xanthopoulou et al., 2007). A sense of self-efficacy and resilience in the workplace can lead to proactive work behaviour, while hope and optimism can motivate individuals and help them clarify their goals (Peterson and Luthans, 2003; Seligman, 2002; Stajkovic and Luthans, 1998).

Self-compassion refers to being open to, and moved by, one's own suffering, experiencing feelings of caring and kindness toward oneself, taking an understanding, non-judgmental attitude toward one's inadequacies and failures, and recognising that one's own experience is part of the common human experience (Neff, 2003). Self-compassion is a form of self-affirmation, and is considered a positive emotional trait (Neff, 2003; Neff, Rude, and Kirkpatrick, 2007). Recent concern for the positive psychological state of employees has intensified the study of self-compassion. For example, Chen (2018) explains how employees can grow in an organisations through self-compassion training, while Shepherd and Cardon (2009) suggest that self-compassion could moderate the effect of negative feelings on learning after the failure of a work project. However, there has been little empirical research on how to measure the construct of self-compassion and how it effects employees' attitudes and behaviours in the workplace.

To determine whether an employee's level of self-compassion predicts positive attitudes and behaviours in the workplace, empirical studies are needed to confirm the validity of the self-compassion measurement previously developed. There is controversy concerning the factor structure of self-compassion. Neff (2003) proposed a six-factor model when he first developed a self-compassion measurement. However, other researchers suggest that self-compassion can be divided into just two factors: a self-compassionate attitude and a self-critical attitude (Costa et al., 2016; López et al., 2015).

Self-compassion is an attitude that allows a person to acknowledge and accept their imperfections, to accept their self-worth unconditionally, and to accept suffering from failure or frustration. Self-compassion was found to have a significant positive relationship with psychological well-being (Neff et al., 2007). Self-compassion is expected to predict positive attitudes among employees, such as work engagement and resilience, but not all of the empirical studies of self-compassion were convincingly designed. However, mindfulness, one of the sub-factors of self-compassion, was found to be positively related to psychological capital (Roche et al., 2014).

Avey (2014) emphasized the need for more research on the antecedents of positive psychological capital, and proposed that psychological traits of individuals constitute one category of antecedents that could affect positive psychological capital. Newman, Ucbasaran, Zhu, and Hirst (2014) suggested that positive psychological capital can be an important mediator in the relationship between individual traits and positive attitudes/behaviours in the workplace. Based on the findings of previous research, this study aimed to further the exploration of the relationship between self-compassion, positive psychological capital, and work commitment.

One goal of this study is to confirm the effect of employees' level of self-compassion on positive attitudes and behaviours in the workplace. Furthermore, this study tries to establish empirically the nature of the relationship between self-compassion, psychological capital, and work engagement. Lastly, this study examines the mediating role of psychological capital in the relationship between employees' self-compassion and work engagement. In order to achieve these research objectives, data from a web-based questionnaire completed by 358 employees in Korean companies was analysed using AMOS 25.0. The analysis incorporated descriptive statistics, reliability tests, correlations, and structural equation modelling (SEM) with parameter estimation using the maximum likelihood method.

2. Literature Review

2.1 Self-compassion in the workplace

Neff (2003) defined self-compassion as a state of self-benevolence in situations where a person faces difficulties, insufficiencies, and failures. She described self-compassion as consisting of three factors with contrasting positive and negative aspects: 1) reflecting on oneself with warmth rather than criticism through the contrast of self-kindness and self-judgement, 2) admitting that pain can be common rather than personal through the contrast of common humanity and isolation, and 3) having a balanced approach to negative experience that involves realization through the contrast of mindfulness and over-identification. Fundamentally, self-compassion is a state of mind that permits a person to take care of their self gently regardless of the situation, to understand that one's experiences are not unique and happen to others, and to maintain a serene demeanor.

The tendency to be kind and forgiving to oneself frees individuals' cognitive and emotional resources, allowing them to distance themselves from feelings of guilt or shame following a negative experience, such as making a mistake (Horan and Taylor, 2018). Furthermore, common humanity becomes a driving force in challenging negative thoughts about mental trauma (Devenish-Meares, 2015). In the state of mindfulness, individuals accept situations as they are without judging, choosing, or interpreting them (Kabat-Zinn, 1982); this is an advanced psychological strategy for coping with extreme stress, especially from work overload and problematic interpersonal relationships.

Some studies argue that, because a state of mindfulness state is formed by intention or motivation based on self-control, rationality, and ethical behaviour, it is also related to an increase in concentration on work tasks (Purser and Loy, 2013). Neff (2003) developed a self-compassion scale and validated it by collecting data from 391 college students. In Neff's scale, self-compassion was measured with 26 items encompassing six sub-factors, including: self-kindness, self-judgement, common humanity, isolation, mindfulness, and over-identification. Neff (2003) verified the construct validity of a six-factor self-compassion model versus a single, higher-order factor model consisting of six sub-factors. The six-factor model of self-kindness, self-judgement, common humanity, isolation, mindfulness, and over-identification resulted in a better goodness-of-fit index than the single, higher-order factor model.

2.1.1 Relationship between self-compassion, positive psychological capital, and work engagement

Positive psychological capital is increasingly recognized as an important source of capital in work organisations, along with human capital and social capital, based on the Seligman's (1998) claim that individuals' positive psychological states can contribute to the performance of an organisations. Positive psychological capital is an integrated concept that encompasses various individual psychological orientations, such as positivity and motivation, which contribute to the successful performance of tasks and duties (Luthans, 2002). Although evidence for a direct effect of self-compassion on positive psychological capital is lacking, such a relationship can be inferred from the relationship between positive psychological capital and the sub-dimensional construct of self-compassion (Sabaitytė and Diržytė, 2016).

Self-compassion is also defined as the ability to suppress negative emotions with non-denial, non-suppressive, and non-judgmental perceptions of the negative aspects of experiences (Neff, 2009), which disproves that it can be a driver of positive emotions. In particular, the level of self-compassion is related to resilience, a key component of positive psychological capital (Finlay-Jones, 2014). Neff, Hsieh, and Dejitterat (2005) argue that people with a high level of self-compassion use far more positive coping strategies, such as acceptance or reinterpretation, instead of emotional suppression in the face of failure, thus suggesting that self-compassion

has a positive effect on resilience.

Engagement theory was first introduced in the field of psychology as part of an effort to improve the workplace environment (Schaufeli, Bakker, and Salanova, 2006). Work engagement is variously defined by scholars. Schaufeli and Bakker (2003) defined work engagement as a mental state characterized by affirmative, enthusiastic, and dedicated commitment to the act of work; they conceived of engagement as consisting of three dimensions, namely, vigour, dedication, and absorption. Sweetman and Luthans (2010) argued that positive psychological capital has a direct and/or indirect influence on work engagement in the following ways: 1) positive psychological capital directly influences work engagement, and 2) positive psychological capital affects work engagement through positive emotion as a mediator, by which work engagement will be reverted to positive emotion.

Work engagement produces enjoyment and is, therefore, different from the commitment to work exhibited by workaholics. Bakker et al. 2008 suggest that work engagement results from positive emotions such as efficacy, hope, resilience, optimism. Chaurasia and Shukla (2014) upheld this perspective by demonstrating the influence of supervisor-subordinate relationships on subordinates' psychological capital and its positive influence on work engagement and performance.

In another study that demonstrated the relationship between self-compassion and work engagement, Evers (2015) validated the hypothesis that self-compassion positively influenced work engagement with strength recognition and strength utilization as mediators in a sample of 347 employees. The study utilized the short form of the self-compassion scale developed by Raes et al. (2011) and tested the hypothesis through regression analysis of 12 items drawn from the results of previous studies on self-compassion with the single factor self-compassion measure. In Evers' study, self-compassion had a significant positive effect on strength recognition, strength utilization, and work engagement. Based on a review of the results of previous studies, the present research hypothesized that the level of self-compassion of corporate employees will have a positive effect on positive psychological capital and work engagement.

2.2.2 Positive Psychological Capital as a Mediator of the Relationship between Self-Compassion and Work Engagement

Positive psychological capital is an important mediator that links individual's psychological temperament with positive attitudes and behaviours towards the organisations (Newman et al., 2014). Research involving the meta-analysis of positive psychological capital indicates that an individual's psychological traits can mediate positive psychological capital to have a positive effect on the organisations (Avey, Reichard, Luthans, and Mhatre, 2011). In addition, Avey (2014) noted that individual trait differences can predict positive psychological capital. As an individual psychological trait, self-compassion is likely to be a leading predictor of positive psychological capital. Some research shows that self-compassion facilitates a growth mindset (Breines and Chen, 2012). Persons with a growth mind-set believe that they can improve their personality, which is similar to the resilience and optimism of self-efficacy. All things considered, it is possible that self-compassion manifested as an individual personality trait could become a positive phenomenon in the workplace through positive psychological capital.

Based on data collected from seven different organisations, Evers (2016) demonstrated the direct effect of employees' self-compassion on work engagement and its indirect effect on work engagement with strength recognition as a mediator. Strength recognition is closely related to positive emotions; employees that show their strength have a tendency to exhibit more positive feeling states, such as satisfaction or a sense of achievement (Seligman, 2002). These studies indicate that a positive psychological state, including self-compassion, improves employees' work engagement.

3. Methods

3.1 Research Model

This study aims to examine the mediating role of positive psychological capital in the positive relationship between self-compassion and work engagement. In accordance with the objective of this study, the research model, shown in Figure 1, was developed, and two research hypotheses generated:

- H1. Employees' self-compassion positively affects their work engagement.
- H2. Employees' psychological capital mediates the positive relationship between self-compassion and work engagement

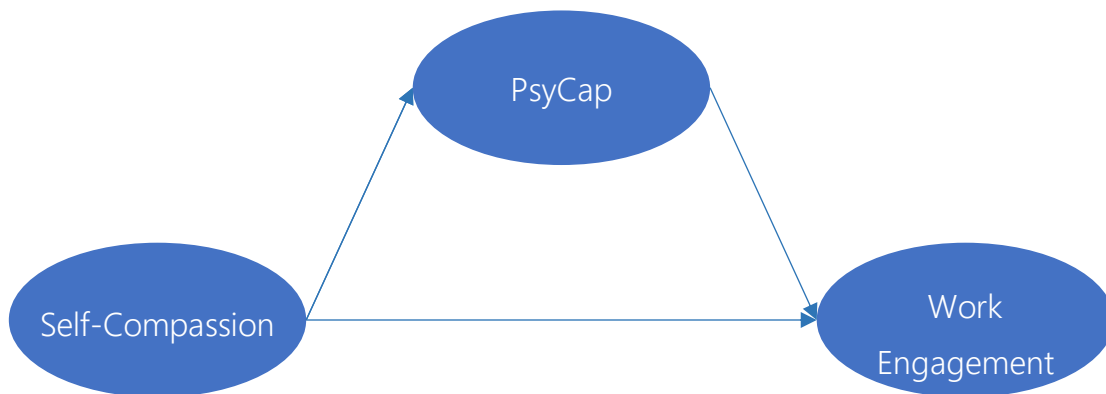


Figure 1. Hypothetical research model

In order to verify the model, data collection was carried out electronically using an independent survey service with a digital platform accessible in various organisations in China, Hong Kong, Japan, South Korea and Taiwan. The survey company manages the platform and monitors activities such as response rate, line response and response time. Additionally, their system makes it possible to delete false answers and duplicate respondents. The data collection process was conducted from October 10 through 19, 2018, through computer- and mobile-based survey delivery. Data from 388 respondents were collected. Ultimately, 30 surveys had to be excluded and data from 358 respondents were used in the analysis. Personal and work-related characteristics of the 358 respondents are shown in Table 1. The majority of respondents were male (49.4%), bachelor degree holders (64.5%), in their late twenties (36.3%), employed in small companies (64.5%), and regular, full-time workers (88.8%).

Table 1: Characteristics of respondents

Gender	Frequency(%)	Employment status	Frequency(%)
Male	177(49.4%)	Regular	318(88.8%)
Female	181(50.6%)	Temporary	40(11.2%)
Educational status		Company size	
High school	26(7.3%)	Small (less than 300)	231(64.5%)
College(2-year)	64(17.9%)	Medium (300–1000)	59(16.5%)
University	231(64.5%)	Large (more than 1000)	68(19.0%)
Graduate school	37(10.3%)		
Age		Rank	
20–24	24(6.7%)	Staff	181(50.6%)
25–29	130(36.3%)	Assistant manager	59(16.5%)
30–34	103(28.8%)	Manager	68(19.0%)
35–39	101(28.2%)	General Manager	19(5.3%)

3.2 Measurement

To achieve the objectives of this study, the questionnaires were designed to collect data on the respondents' self-compassion, positive psychological capital, and work engagement, along with demographic characteristics such as gender, age, education, and company size. The reliability of the measurements used for self-compassion, positive psychological capital, and work engagement were verified by Cronbach's α . All of these variables were measured with survey items using a five-point Likert scale.

Self-compassion was measured using the short-version questionnaire developed by Raes et al. (2011). This instrument consists of 12 items with two items for each of the six factors contributing to self-compassion. The 12-item self-compassion measure was found to be reliable with Cronbach's α values in the range of .655–.797.

To measure psychological capital, the PCQ (Psychological Capital Questionnaire) developed by Lutans, Youssef, and Avolio (2007) was used. This measurement integrates self-efficacy, hope, resilience, and optimism as positive psychological states that influence Organisational performance (Lutans, Youssef, and Avolio, 2007). The measurement consists of 24 survey items, six for each of the four dimensions of psychological capital. The reliability of the instrument was acceptable with values for Cronbach's α in the range of .733–.869.

Work engagement is defined as the state of mind of individuals who are positive, enthusiastic, devoted, and engaged in the performance of their work. Work engagement consists of three dimensions: vigour, dedication, and absorption (Schaufeli and Bakker, 2003). In this study, we utilized the Korean version of the UWES-9 scale (nine-item Utrecht Work Engagement Scale) developed by Schaufeli, Bakker, and Salanova (2006) and validated by Kim, Park, and Kwon (2017). The reliability, as measured by Cronbach's α , ranged from .702–.858 and the value obtained for the total of the nine items was .911.

3.3 Analysis

The collected data were analysed using IBM SPSS AMOS 25.0. The analysis included the generation of descriptive statistics, reliability measurements, correlations between variables, and structural equation modelling. The multivariate normality assumption was examined and parameters were estimated using the maximum

likelihood method. Confirmatory Factor Analysis (CFA) was used to confirm the validity of the self-compassion measurement, and it was confirmed that the measurement model and the structural model fit the data. Because the study used self-report data, the single factor test suggested by Harman (1967) was applied to determine whether a common method bias occurred. Several indices— χ^2 , CFI, GFI, RMSEA, and SRMR—were used to determine the model fit. Finally, bootstrapping analysis was performed to verify the significance of the mediation effect.

4. Results

The mean, standard deviation, skewness and kurtosis for each of the factors contributing to self-compassion, psychological capital, and work engagement are shown in Table 2. For the dimension of self-compassion the factor with the highest average score was common humanity (3.28) and the factor with the lowest average score was over-identification. For positive psychological capital, the hope factor (3.38) had the highest average score and efficacy (3.16) had the lowest. Among the factors contributing to work engagement, vigour (3.27) had the highest average score and dedication (3.10) had the lowest. All measured variables had skewness and kurtosis values of less than 2.0, satisfying the assumption of a normal distribution. The analysis of the correlations between variables revealed that all were within the range of .152–.764 (Table 3).

Table 2: Descriptive statistics of measurement variables

Latent Variable	Measurement Variable	M	SD	Skewness		Kurtosis	
				value	C.R.	Value	C.R.
Self-Compassion	Self-kindness	3.24	.85	-.190	-1.466	-.138	-.533
	Self-judgement	3.00	.92	.089	.691	-.214	-.825
	Common humanity	3.20	.77	-.133	-1.024	.235	.906
	Isolation	2.99	.96	.039	.300	-.559	-2.159
	Mindfulness	3.28	.81	-.255	-1.968	.042	.163
	Over-identification	2.88	.89	.143	1.102	-.218	-.843
Psychological Capital	Efficacy	3.16	.73	-.164	-1.270	.033	.126
	Hope	3.38	.63	-.148	-1.143	.349	1.349
	Resilience	3.36	.62	-.341	-2.631	1.034	3.993
	Optimism	3.32	.66	-.075	-.582	.926	3.575
Work Engagement	Vigor	3.27	.82	-.337	-2.607	.045	.173
	Dedication	3.10	.77	-.193	-1.488	-.038	-.145
	Absorption	3.15	.85	-.279	-2.153	-.048	-.186
Multivariate				49.558		23.741	

i. Test of Multicollinearity and Common Method Bias

In order to examine whether there is multicollinearity among the variables, work engagement was set as the dependent variable, while self-compassion and psychological capital were set as the independent variables. The results

Table 3: Correlations between variables

Variables	1-1	1-2	1-3	1-4	1-5	1-6	2-1	2-2	2-3	2-4	3-1	3-2	3-3
1-1. Self-kindness	(.778)												
1-2. Self-judgement	.118**	(.778)											
1-3. Common humanity	.459**	-.045	(.665)										
1-4. Isolation	.076	.652***	-.004	(.761)									
1-5. Mindfulness	.405***	.096	.373***	.074	(.797)								
1-6. Over-identification	.113*	.538**	-.049	.632***	.022	(.730)							
2-1. Efficacy	.446***	.038	.333***	.061	.459***	.109*	(.869)						
2-2. Hope	.421***	.103	.226***	.112*	.464***	.051	.764***	(.844)					
2-3. Resilience	.385***	.144**	.350***	.179***	.450***	.152**	.702***	.713***	(.733)				
2-4. Optimism	.475***	.156**	.345***	.182***	.485***	.139**	.666***	.717***	.711***	(.659)			
3-1. Vigor	.427***	.034	.243***	.120*	.411***	.132*	.650***	.653***	.629***	.616***	(.858)		
3-2. Dedication	.333***	-.010	.219***	.046	.336***	.045	.571***	.529***	.477***	.509***	.664***	(.702)	
3-3. Absorption	.364***	-.018	.239***	.074	.369***	.063	.629***	.630***	.538***	.592***	.720***	.733***	(.863)

***p<.001

indicated that multicollinearity was not a problem because the tolerance values (.298–.685) and the VIF (variance inflation factor; 1.460–3.359) were within acceptable ranges (Kline, 2010). Harman's single-factor test was conducted using exploratory factor analysis (EFA) of the main factor by loading all the measurement variables. Eight factors were derived from this procedure, with the first factor explaining 34.3% of the total variance. On the basis of this result, it was judged that the bias was not at a level that would distort the results of the study.

4.1 Test of the Measurement Model

Confirmatory factor analysis was performed to confirm the validity of the measurements in this study by setting each item as a measurement variable and each of the dimensions of the construct as latent variables. There was a total of 13 latent variables: the six dimensions of self-compassion, the four dimensions of psychological capital, and the three dimensions of work engagement. The analysis showed the goodness-of-fit indices for the model were: $\chi^2 = 1900.113$ (df=867, $p=.000$); CFI=.870; GFI=.797; RMSEA=.058 [lower: .054, upper: .061]; SRMR=.069. Both CFI and GFI results were found to be in an unsuitable range. After examining the results of the factor loadings for each of the latent variables, items measured by the opposite item—resilience item 1 and optimism items 2 and 5—were less than .5, so these three items were removed. After removing these three items, the model fit was improved, with: $\chi^2 = 1363.496$ (df=740, $p=.000$); CFI=.917; GFI=.843; RMSEA=.049 [lower: .045, upper: .053]; and SRMR=.046. The standardized factor loading of the observed variables for the latent variables ranged from .577–.862.

Table 4: Result of the CFA for the measurement model

Variables	B	β	S.E.	T	AVE	Construct Reliability
Self-compassionate attitude						
self-kindness	1.331	.676	.158	8.413***	.409	.674
common humanity	1.000	.566	-	-		
mindfulness	1.247	.671	.149	8.385***		
Self-critical attitude						
self-judgement	1.068	.747	.084	12.646***	.614	.826
isolation	1.301	.873	.101	12.839***		
over-identification	1.000	.723	-	-		
Psychological capital						
Efficacy	1.000	.851	-	-	.713	.909
Hope	.877	.870	.042	21.032***		
Resilience	.827	.830	.042	19.463***		
Optimism	.874	.827	.045	19.344***		
Work engagement						
Vigor	1.000	.849	-	-	.705	.877
Dedication	.883	.799	.050	17.640***		
Absorption	1.061	.869	.054	19.767***		

$\chi^2=156.693$ (df=58, $p=.000$), CFI=.975, GFI=.951, RMSEA=.054 [lower: .040, upper: .068], SRMR=.040

In order to improve the GFI of the model, the measurement model was re-analysed by setting the mean value of each dimension of the construct as a measurement variable and

the construct as a latent variable (see Table 4). After this procedure, the measurement model was found to be appropriate as the goodness-of-fit indices that resulted were: $\chi^2=156.693$ (df=58, $p=.000$); CFI=.975; GFI=.951; RMSEA=.054 [lower: .040, upper: .068]; and SRMR=.040. In addition, the range of the construct reliability values were between .674–.909, and the average variance extracted (AVE) in the range of .614–.713 (excluding the self-compassionate attitude variable), thus, meeting the criteria suggested by Bagozzi and Yi (1993). With an AVE of .409, however, the self-compassionate attitude variable was lower than the recommended acceptable range. However, Fornell and Larcker (1981) explained that, in situations where the when the AVE is higher than .4 and the construct reliability is higher than .6, the measurement model is acceptable. Therefore, the measurement model of this study was considered valid.

4.2 Test of the Structural Model

Goodness-of-fit indices of the structural model were analysed to see how well the hypothesized structural model of this study fit the sample data. It was judged that the structural model of this study appropriately explained the data because the results of the goodness-of-fit indices obtained were: $\chi^2=156.935$ (df=60, $p=.000$); CFI=.962; GFI=.937; RMSEA=.068 [lower: .055, upper: .081]; and SRMR=.048. The path coefficients of the structural model were analysed after confirming that the structural model was suitable. All factor loadings were statistically significant. There was no statistically significant relationship between self-compassionate attitude and work engagement, or between self-critical attitude and work engagement, so that psychological capital was found to fully mediate the relationship between self-compassion and work engagement. Additionally, applying squared multiple correlations (SMC) of latent variables showed that self-compassion explained positive psychological capital by 50%, and that self-compassion and psychological capital explained work engagement up to 69.4%.

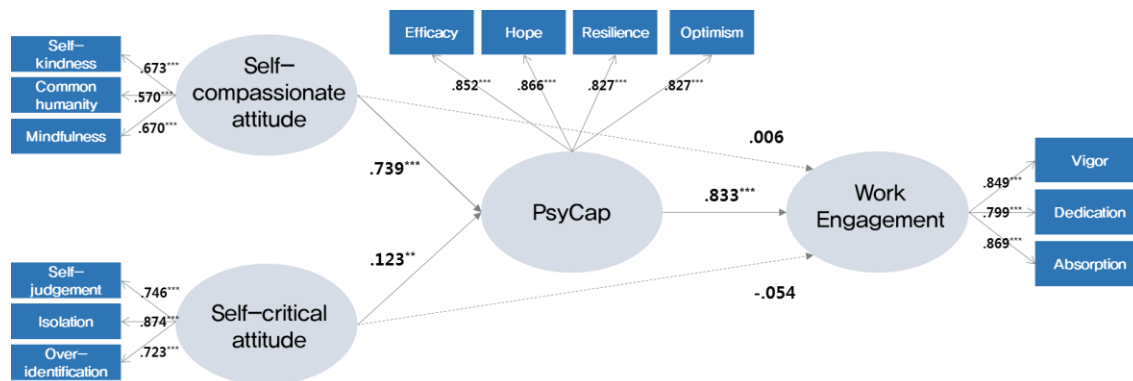


Figure 2: Structural model of this study

The path coefficient (B), the standardized path coefficient (β), and the t value of the structural model were examined to evaluate the significance of the direct and indirect relationships between the variables. Bootstrapping analysis was used to examine the statistical significance of the mediation effect. The results showed that the direct effect of self-compassionate attitude on psychological capital was significant ($\beta=.739$; $t=8.315$, $p<.001$), and the direct effect of having no self-critical attitude on psychological capital was significant ($\beta=.117$; $t=2.489$, $p<.05$). The direct effect of psychological capital on work engagement was also significant ($\beta=.833$; $t=9.733$, $p<.001$). The effect of self-compassionate attitude on work engagement mediated by psychological capital ($B=.980$) was statistically significant because it did not include zero in the upper and lower limits of the 95% BI confidence interval. However, the indirect effect of self-critical attitude on work

engagement mediated by psychological capital ($B = .110$) was not significant. In other words, having a positive attitude toward oneself has an indirect positive effect on work engagement mediating by positive psychological capital, but there is no significant effect of having a critical attitude toward oneself (Table 5).

Table 5: Statistical test for significance of the mediated effect

Path	The estimate for the indirect effect	S.E.	95% Bias corrected	
			Lower	Upper
Positive SC→PsyCap→WE	.980***	.195	.694	1.486
Negative SC→PsyCap→WE	.110	.065	-.004	.254

The estimate for the indirect effect is the non-standardization factor (B).

* $p < .05$, ** $p < .01$, *** $p < .001$

5. Discussion

5.1 Conclusions

This study examined the positive effect of self-compassion on positive psychological capital and work engagement and the mediating effect of positive psychological capital in the relationship between self-compassion and work engagement. Based on the results of this study, several important conclusions are justified.

First, this study verified the role of positive psychological capital as a strong predictor of work engagement. It has already been shown in several previous studies that workers become energized and engaged in their work through high efficacy, hope, resilience and optimism (e.g., Bakker et al., 2008; Mache et al., 2014). The results of this study support the empirical findings of these previous researchers and make it possible to support the position that the positive psychological capital of the individual should be improved when the organisations expects employees to be engaged in their work.

Second, self-compassion showed greater validation with a model based on two higher-order factors than with the six-factor model. This suggests that the concept of self-compassion can be classified into two dimensions: having a kind and receptive attitude toward oneself, and not having a critical and isolated attitude. Such a classification is also adopted in the studies of Costa et al. (2016) and Lopez et al. (2015). Notably, however, both of these studies were conducted using samples of individuals with psychological problems. Therefore, this results of this study are significant because the same classification emerged with samples of corporate employees, and that the data were collected using the short-form of the self-compassion instrument developed by Raes et al. (2011).

Third, it can be seen that the employee's self-compassion positively affects their positive psychological capital, so that self-compassion is a predictor of psychological capital. In previous studies, high levels of self-compassion were found to influence psychological well-being (Neff, 2004). Considering that positive psychological factors, such as hope or optimism, are based on psychological well-being, the positive effect of self-compassion on positive psychological capital is regarded as valid. It is also important to note that this study suggests that either a positive attitude or not having a negative attitude toward self-compassion can influence positive psychological capital. This was not found in previous studies, and it implies that not having a critical and isolated attitude toward oneself can help to raise positive psychological capital. Based on the results of this study, systematic activities to improve an individual's self-compassionate attitude and reduce a self-critical attitude can serve as interventions to improve the positive psychological capital of employees.

Fourth, the result of the structural model analysis shows that the direct effect of a self-compassionate attitude on work engagement was not significant but the indirect effect mediated by positive psychological capital was significant, and, so, illustrates complete

mediation between the variables. According to the analysis, although the employment of talented individuals with high levels of self-compassion does not guarantee that these employees will also demonstrate a high level of work engagement, it is reasonable to infer that individuals with high levels of self-compassion can be expected to immerse themselves in work through the accumulation of positive psychological capital. The unique workplace environment might make self-compassion a source of positive psychology, but self-compassion alone will not necessarily lead to work engagement unless it involves the formation of positive psychological capital. On the other hand, the lack of a self-critical attitude did not have any significant indirect effect on work engagement with positive psychological capital as a mediator. The absence of self-criticism and social isolation do seem to have a positive impact on the formation of positive psychological capital, but do not seem to lead to work engagement. For example, when an individual who experiences negative feelings as a result of conditions in the workplace does not dwell on them, it affects the positivity of the individual but does not translate to positive attitudes or behaviours toward the work in the organisations.

5.2 Implications

The results of this study have implications for the direction of future research, as well as for HRD practices. First, this study suggests that the construct of self-compassion of corporate employees consists of two factors: self-compassion and a self-critical attitude. However, it is important to note that the goodness-of-fit of the correlation model with six factors was acceptable. Nonetheless, the higher-order, two-factor model was shown to be more valid than the six-factor model in the analysis of the higher-order model used to develop the structural equation model. Thus, depending on the purpose of research, it may be reasonable to utilize the model with six factors rather than the model with two. For example, in a study to determine which of the six dimensions of self-compassion better predicts positive psychological capital, it would be reasonable to use the six-factor model. In future studies, it would be desirable to expand the research on the self-compassion of corporate employees by exploring the psychometric properties of self-compassion more deeply.

Second, it is necessary to verify the effectiveness of training, or other HRD interventions, on facilitating self-compassion. For example, based on the finding that self-compassion positively affects positive psychological capital, it would be possible to develop an education program to improve the self-compassionate attitude of employees and then evaluate the educational outcome in terms of the change in the amount of psychological capital. In addition, self-compassion has its own value as training content. Instead of adopting a short-term personality program under the rubric of new employee training, which has recently been embraced by HRD practitioners, a program that focuses on the improvement of self-kindness and mindfulness might be preferable in helping the organisations develop self-compassionate members.

Third, as noted in the introduction, compassion means to take care of the subject gently, realize the universality of experiences, and maintain calmness. In the future workplace environment, it may be possible not only to increase positive psychological capital and work engagement through the cultivation of self-compassion, but also to expand this concept to include groups, such as teams. Since compassion was originally meant to refer to the treatment of others, it seems reasonable to extend the findings on self-compassion to the improvement of positive psychological capital at the team level. The concept of team self-compassion deserves consideration. Given that efficacy and resilience in the workplace drive improvement in work activities, and that hope and optimism motivate and clarify the work goals of individual employees, a focus on team positive psychological capital should be a worthy next step in HRD. Based on the research that shows that the self-compassion of individual employees can heighten positive psychological capital, it could be very worthwhile to explore the possibilities for a shared positive psychology within teams.

Fourth, in addition to the phenomena covered in this study, there is a need to explore the relationship between other psychological variables and self-compassion in the HRD field.

Recent studies argue that deleterious conditions experienced in the workplace, such as exhaustion and job dissatisfaction, must be dealt with in a healthy way, especially with self-compassion and compassion for others (Devenish-Meares, 2015). The importance of self-compassion becomes greater in environments where a healthy state of mind is the main variable affecting work performance. Therefore, it is important for researchers to demonstrate that self-compassion has an effect of enhancing positive emotions and eliminating negative emotions from an Organisational perspective. For example, a relationship study can be conducted to ascertain whether self-compassion influences the degree of Organisational identification, replenishment, etc., within an organisations.

Some limitations of the present study should be mentioned. Because this study employed a cross-sectional study design, future researchers cannot presume that there is a causal relationship between these variables. This limitation can be overcome only by investigating the input variables over time. There could be contradictory arguments about reasons for the relationship between self-compassion and positive psychological capital that was verified in this study on theoretical grounds and by empirical evidence. Specifically, it can be argued that an individual's level of self-compassion may form internally after positive psychological capital has been secured as a multidimensional state that requires an individual's strong psychological tolerance. In the future studies, then, it may be necessary to develop a research design that can demonstrate causality in a more definitive way.

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Exploring employee engagement and leadership from employee perspectives

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Abstract

Employee engagement has drawn the attention of academics, researchers and practitioners over the last three decades (Shuck and Wollard 2010). Previous research shows a positive influence of employee engagement within the general workplace that leads to positive working outcomes, reduced turnover, and workplace satisfaction. However, fewer studies have been conducted taking an inductive approach in understanding employee experiences regarding engagement at work, especially with its relation to leadership. The purpose of this qualitative research, using a phenomenological approach, was to explore employee engagement experiences with regard to their employee-leaders relationship. Qualitative research was adopted to explore the phenomena by following visual analysis and semi-structured interview methods. Two interview questions, followed by probing questions, were used to gain insights. A thematic analysis approach was adopted to analyse the findings. Six participants were selected from various backgrounds, with outstanding performance records, to gain a focused understanding of their experiences. The study reveals that employee engagement is not a one-way interaction, and thus the mere position of leadership does not provide a magic wand to improve quality of engagement. Instead, employee engagement follows a two-way interaction.

Keywords: Engagement, Leader, Follower relationship, Leadership

1. Introduction

Engagement at work has been studied since 1990. Suggested by Kahn (1990); Saks (2006); Shuck and Wollard (2010) and Shuck (2011), engagement can lead to positive working outcome low turnover and happiness of employees. In order to create engagement at work, investigators must understand the factors which can enhance engagement of employees. One of the important factors includes leadership. Charismatic, transformational-transactional, leadership-member exchange, and situational leadership are main areas of study as antecedents to enhance employee engagement at work (Babcock-Roberson and Strickland, 2010; Gupta and Sharma, 2018; Villiers and Stander, 2011; Shuck and Herd, 2012). Thus, it is valuable for Human Resources Development (HRD) scholars, professionals, and practitioners to explore how engagement emerges at work from a leadership perspective.

From the leadership perspective, there are many studies contributing to engagement exploration (Shuck, 2010; Shuck and Herd, 2012) although a few have been conducted under a qualitative research paradigm (Shuck and Wollard, 2010). Leadership is the influencing process between leaders and followers, and engagement is about perception and thought processes (i.e. cognitive, behaviour and emotion). To explore both constructs and gain insights of these phenomena, a qualitative research paradigm is adopted for this study.

The purpose of this study is to explore how the relationship between leaders and followers influence the engagement experience of the followers. I have selected six participants from different backgrounds who were engaged in their work for this study. Qualitative semi-structured interviews were adopted to understand the participants' experiences of engagement at work by focusing on their relationship with leaders. Each participant was also asked to draw a picture demonstrating their perception of their relationship with the leader at work in order to gain more insights into the phenomena.

2. Theoretical Background

2.1 Employee Engagement

Employee engagement has been originated from the work of Kahn (1990) in his ethnographic research with 16 summer camp counsellors and 16 financial firm members (i.e. Psychological Conditions of Personal Engagement and Disengagement at work), in which his focus was to explore the mediated conditions influencing how employees psychologically perform their roles (Kahn 1990). The definition of engagement in his work is "Personal engagement in the simultaneous employment and expression of a person's preferred self in task behaviours that promote connections to work and to others, personal presence, and active full role performances" (Kahn 1990, p. 700). At work, there are three dimensions of psychological conditions influencing employee engagement; meaningfulness - how employees perceive, understand and attach in their role at work, safety-how employees perceive that they are free to speak-up without negative reprisals, and availability - how resources needed at work are made available for the employees (Kahn 1990).

Shuck and Wollard (2010) have defined employee engagement as "an individual employee's cognitive, emotional, and behavioural state directed toward desired Organisational outcomes (p.103). Engaged employees need to have knowledge to perform their work, and feel valued of their contributions (Kahn 1990; Saks 2006), feel safe to speak - up, have enough work resources available to perform their responsibilities (Kahn, 1990; Schaufeli and Bakker, 2004), and receive Organisational support at work (Ram and Prabhakar, 2011). According to the definition of engagement by Kahn (1990), Shuck et al. (2011) suggested that leaders play an important role in management practices, creating working cultures in which employees can have meaningful work, freedom to speak - up, and available resources to undertake their work. Leader-Follower relationships impact work engagement (Gupta and Sharma, 2018; Villiers and Stander, 2011), and inspiration and support from leaders can enhance engagement levels of employees (Breevaart et al., 2014). Additionally, the leaders' charisma also plays a vital role in positively influencing work engagement (Babcock-Roberson and Strickland, 2010).

Because employee engagement is not about one-way interactions, employees have a choice to engage or not to engage with their job (Harter et al. 2002; Wagner and Harter 2006). Thus, it would be beneficial to gain insights into engagement experiences of employees at work (Shuck et al., 2011) through the qualitative research method of phenomenology. We employed this method in the current study.

2.2 Leadership in employee engagement context

It is inevitable to say that leadership has played a significant role in influencing employee cognition, emotion and behaviour at work (Northouse, 2007). The leader is a role model for employees regarding his/ her ethical behaviour under charismatic leadership. Babcock-Roberson and Strickland suggest that "when charismatic supervisors are present, employees are more engaged in their work" (2010, p.322). Leader-follower relationships influence the level of engagement at work (Gupta and Sharma, 2018; Chaurasia and Shukla, 2013). Followers who have better relationships with their leaders typically have more opportunities for career development and support that enhances engagement at work (Villievs and Stander, 2011). Working with Leader-Member Exchange (LMX) leaders, employees can have better understanding of their job role, which create increased engagement (Villievs and Stander, 2011).

Transformational leadership can enhance employee engagement (Shuck and Herd 2012; Zhu et al. 2009; Tims, Bakker and Xanthopoulou, 2011). Transformational leaders can lead, motivate, and inspire their followers which, in turn, facilitate followers engaged at work (Tims et al., 2011). Empowerment by leaders can lead to high levels of engagement, low turnover, and increased inspiration (Bhatnagar, 2012). Leaders who understands different levels of maturity of their followers, and adopt different leadership approaches in different situations (Blanchard et al. 1985), increase engagement by their followers.

In contrary with above leaderships, laissez-faire leadership is seen as having a negative impact to employee engagement (Yang 2015). Many studies have defined laissez-faire leadership as no-leadership behaviours and the leaders fail to take responsible for managing their employee which can negatively impact employee engagement at work (Yang 2015).

3. Research Purpose

The purpose of this study was to explore engagement experiences of employees by focusing on their relationships with their leaders. I selected six participants from different backgrounds, who had gained outstanding performance evaluation records which is the outcome of engagement at work suggested by Kahn (1990), Saks (2006), Shuck and Wollard (2010), and Shuck (2011). Qualitative semi-structured interviews were adopted to understand the participants' experiences of engagement at work. Each participant was also asked to draw a picture which demonstrated their perceptions of their relationships with leaders at work, in order to gain more insights into the phenomena. An inductive approach and thematic analysis were employed to analyse the findings.

4. Research Question

This paper aims to address one main question - how does the relationship between employees and their leaders influence employees' engagement experiences at work?

5. Research Methodology

Under the theme of phenomenology, this qualitative study was conducted by adopting face-to-face interviews and visual analyses. According to Glesne (2016), qualitative interviews and visual analyses are the current methods being used to gain insights of qualitative data on how subjects confer meaning of their experiences in the phenomenon being studied. Research participants were selected purposely by using the snowball approach. Purposive and snowball approaches are techniques using for research participant selection based on the purpose of the study and accessibility of the researcher (Glesne 2016). For this study, the selection criteria were to select only employees who have positive performance evaluation records for the past three years. The definition of interviewees' engagement was also provided to each potential participant for self-screening in assessing whether or not they were engaged at work. From 20 potential in the first list, six participants were selected for this study, as illustrated in below research participants profile table. To maintain confidentiality of the participants' identities, an alphabetical code A to F was used for participants' identity.

Table 1: Research participant profile

Participant	Background	Industry	Performance record
A (researcher's personal acquaintance)	A 57 years old research collaboration manager with Master Degree in Engineering. Working in this role for 7 years	Electronics	Excellent
B (researcher's personal acquaintance)	A 60 years old finance and accounting manager in a United Nations Organisations, 36 years in role	Inter-governmental organisations	Excellent with promotion
C (snowball participant)	A 28 years old financial consulting in financial	Consulting firm	Excellent with employee award

	service company, 3 years in role		
D (snowball participant)	A 34 years old Vice President of client service in Banking firm, 3 years in role	Banking	Excellent with promotion
E (snowball participant)	A 50 years old Senior Director of Human Resources, 10 years in role	Electronics	Excellent with promotion
F (researcher's personal acquaintance)	A 37 years old Veterinarian Doctor, 10 years in role	Non-profit organisations	Excellent

Table 1 illustrates the research participants list along with their background, industry and performance record. It also provides the information how each participant was selected – snowballing or personal acquaintance. Age of participants has been ranged between 28 years to 60 years of different professions – Veterinarian Doctor, Director of Human Resources, Vice President of client service, Finance and Accounting Manager, Financial Consultant and Research and Collaboration Senior Manager, in wide ranges industries – Non-profit organisations, Electronics, Banking, Consulting firm, Inter-governmental organisations. They all have excellent performance record.

40 to 65 minutes- face to face interviews were conducted with each of participants, and was recorded after consent. The anonymity and confidentiality of the research participants were discussed and agreed by each interviewee. To maintain the participants' anonymity, alias was used before and during the interviews as well as transcription processes. To manage confidentiality, only my advisor and I have an access to all information collected from the interview and their transcriptions. The right to withdraw from research participation or decline to participate the interview at any time were given to the participants prior to the interviews. By having a record, it allowed me to transcribe each interview at the end of every interviewing days. Interviews were conducted in English, as every participant using English language regularly as a second language in their workplace.

Interview Questions: Each interview contained two main questions with a consent form given to each participant before the interview started.

1. What are your experiences at work?
2. How do your relationships with leaders influence your day to day working experience?

Drawing for visual analysis: The participants were asked to draw a picture in the paper demonstrating their relationship with leaders prior the interview conducted. The participants were provided with paper and drawing coloured pencils to freely use. There was no time-limit for this drawing session.

About the first researcher: Reflexivity is a qualitative research strategy that aims to address the researcher subjectivity related to the people and phenomena being studied (Glesne, 2016). The researcher reflexes how their one-selves influence to or being influenced by the study. I am a human resources professional working in business world. I discovered my interest in human resources since I was in high school taking a role of a class president leading 350 high school students on non-academic class activities. I was curious that how could I lead effectively and how could I manage the differences of other students. Thus, I pursued my Bachelor Degree in Human Resources Management. However, at my Bachelor study, I could not find the answer but rather I gained knowledge about how human resources

functioned in organisations i.e. Policy, Recruitment, Training and Development. I started working as a recruitment consultant in a recruitment firm and had been there for 10 years. As a consultant, I was always asked by my clients on how to find the right person who is able to lead or being a great leader into the organisations. At that time, I was first introduced to the employee engagement concept. My perception about engagement and leadership was "The leaders are holding all responsibility to manage engagement of their employee", which I covertly believed that it is not true. I believed that it is impossible to rely only on the leader to make employee engaged or disengaged at work.

After the consulting job, I went to study my Master Degree in Human Resources and Consulting at Lancaster University, United Kingdom. During these studies, I maintained my curiosity about leadership and engagement, and decided to write my dissertation on "Leadership identity and how the relationship with the follower influences the leaders' identity at work". I found that leadership identity was influenced not only by relationships with followers, but also organisational culture, the leaders' personal characteristics, and the leader's perceptions of leadership. From that study, I recognized that to be engaged in a job role was not dependent only on external factors influencing individuals, but also the person's characteristics, expectations, and worldview of the phenomena being studied (i.e. leadership). Pursuing further scholarship, I also studied cross cultural leadership in Vienna University of Economics and Business, where I learnt that there is no universal style of leadership. Leadership actually depended on the nature of followers being led, as well as that of the leaders themselves.

Recently, I have been working as an Employee Relations Advisor in a multi-national energy and solutions firm located in Thailand. Since I have been working in employee relations in this firm, as well as with my previous employers, I have recognized that every company has a strong belief that employee engagement can lead to great performance results that, in turn, positively impact business outcomes. Businesses are paying large sums of money on employee engagement surveys being conducted annually to measure engagement levels of their employees, with expectations that the leaders are the people taking responsibility for engagement levels of their subordinates. Even worse, some companies tie engagement survey results as one of the performance targets of leadership teams to financial rewards and recognition. For instance, "we want to increase 10% of employee engagement next year". These practices have provoked my thinking and remind me of the questions I have previously asked myself, "Is employee engagement solely the responsibility of the leader?" Is it fair to cast blame for lack of engagement on the leader? Is there anything else that can make employees engaged or disengaged at work? I believed that the voices of employees who are engage at work can help me understand how their engagement plays out in everyday professional life.

Thus, this is about me, why I have an interest in conducting this research. At first, I wanted to collect data at a firm in which I am working. However, there was a challenge that required me to change my plan. I decided to conduct my research by selecting only the employees who are currently engage at work and explore their experiences of being engaged, and place my efforts in investigating how their relationships with leaders influence engagement experiences. I believe the finding and analysis will not be able to answer the entire area of interest I have in engagement and leadership, but I hope it will bring me to another step of learning, enabling me to pursue my curiosity with further research.

6. Findings

Following Glesne (2016), I adopted an inductive approach, thematic analysis, and member-checking. Each interview was transcribed and provided to the participant for verification and approval to process the analysis. I then coded each interviews' transcripts and searched for patterns within and across transcriptions. Six drawings, one from each participant, were analysed to crystalize the interview findings, as visual analysis can help the researcher gain more insights, and ensure validity of findings from interviews (Glesne, 2016). After coding and categorizing data, there were three emerging themes which I proposed to my external

researchers for member-checking. The interview transcripts and coding reports were sent to the research advisor prior the calibration discussion held to finalize the themes. Finally, there were three themes reported in this study - "leadership style", "supportive working climate" and "empowerment". In addition to "leadership style", there were three styles emerged from the fining – laissez-faire manager, a hero and inspirational leader.

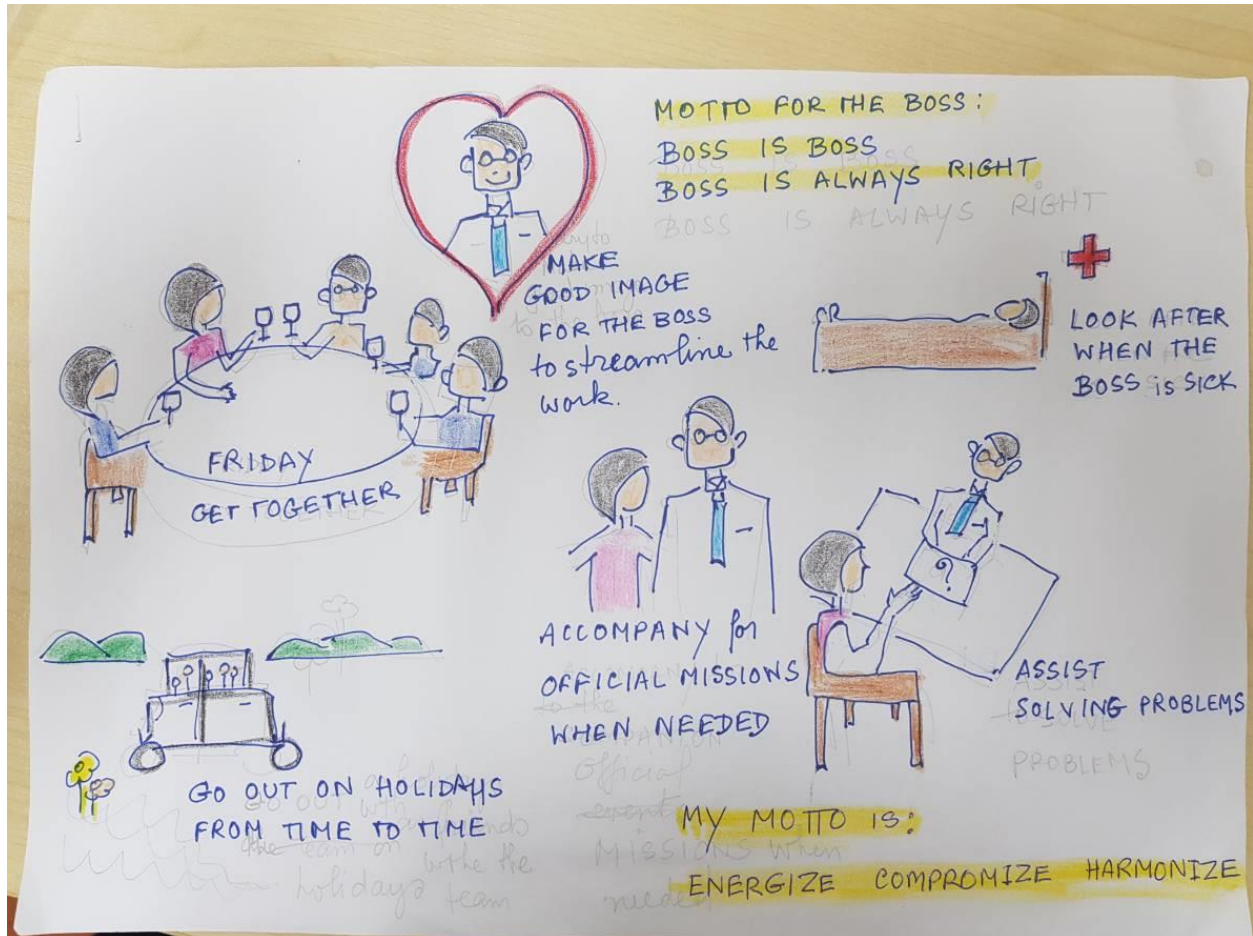
Visual findings: Six drawings from the participants

Drawing 1 from Participant A



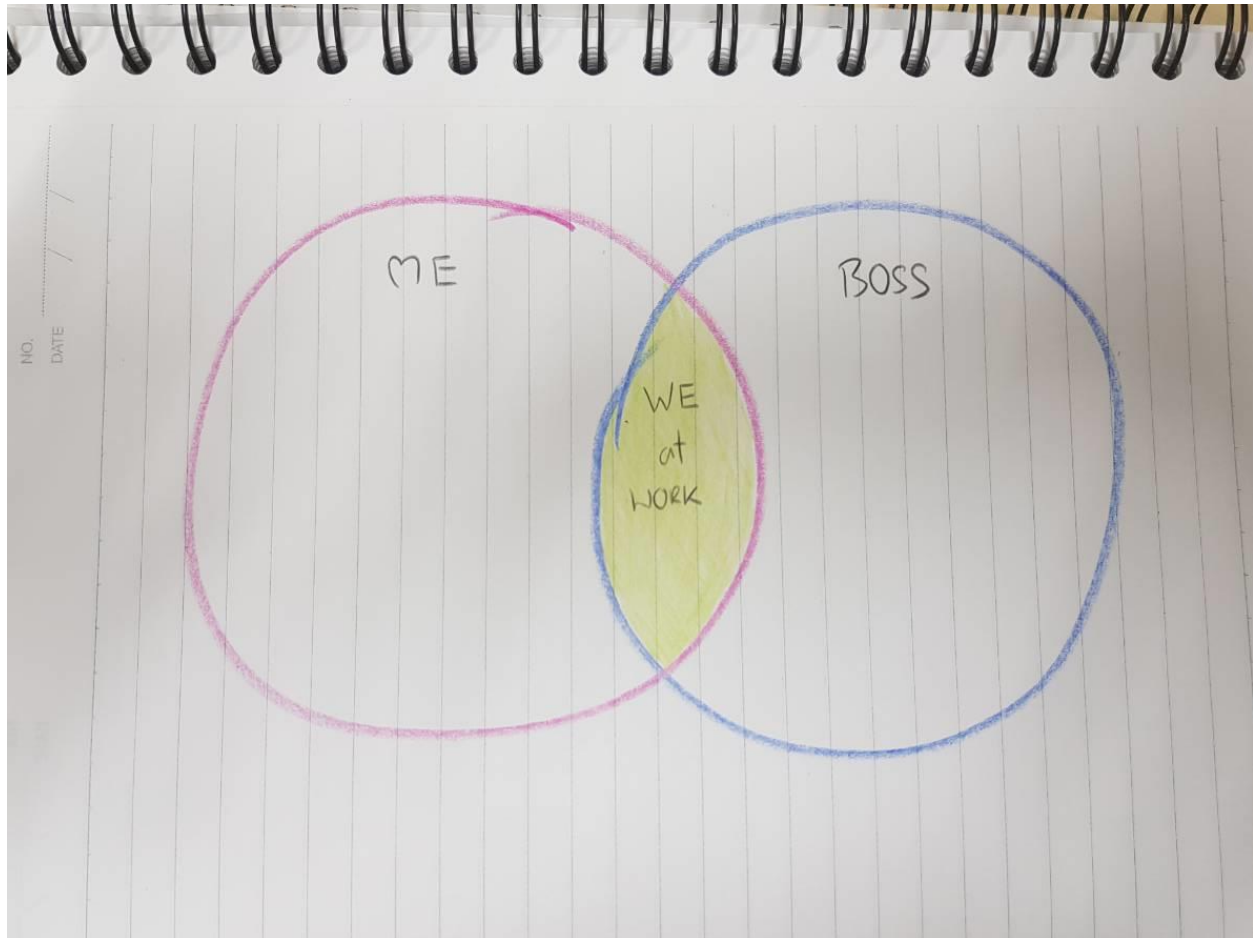
Drawing 1 showed that the participant has his own space in the square box. Being in the box, with a smiling face, "my world" was underlined with him in the box. On the right side of the drawing, the picture of the boss was sketched with the emphasis of "her world", as she was looking at him. The title of the drawing was ME VS MY BOSS. The drawing showed a smiling face of both the participant and the boss.

Drawing 2 from Participant B



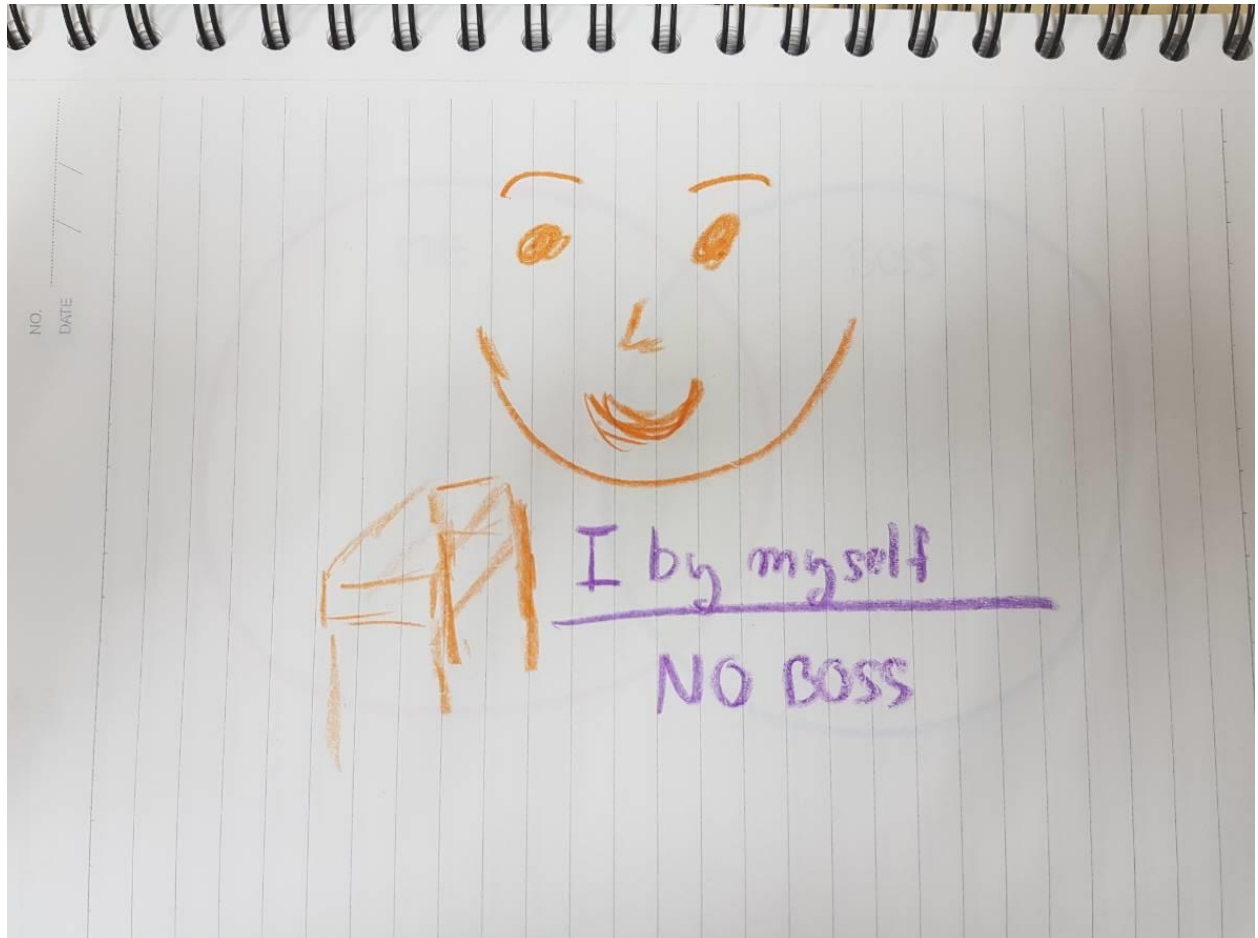
Drawing 2 showed various activities in both at work and outside of work along with their short descriptions. The drawing demonstrates both working and non-working experiences the participant had with her boss for examples Friday get together, Go out on holidays from time to time, accompany for official missions when needed, look after when the boss is sick and assist solving problems. She also highlighted the motto for her boss and herself as "Boss is Boss and Boss is always right" and "Energize, Compromise and Harmonize". In addition, there was an activity demonstrating empathy she gave to her boss as "look after when the boss is sick".

Drawing 3 from Participant C



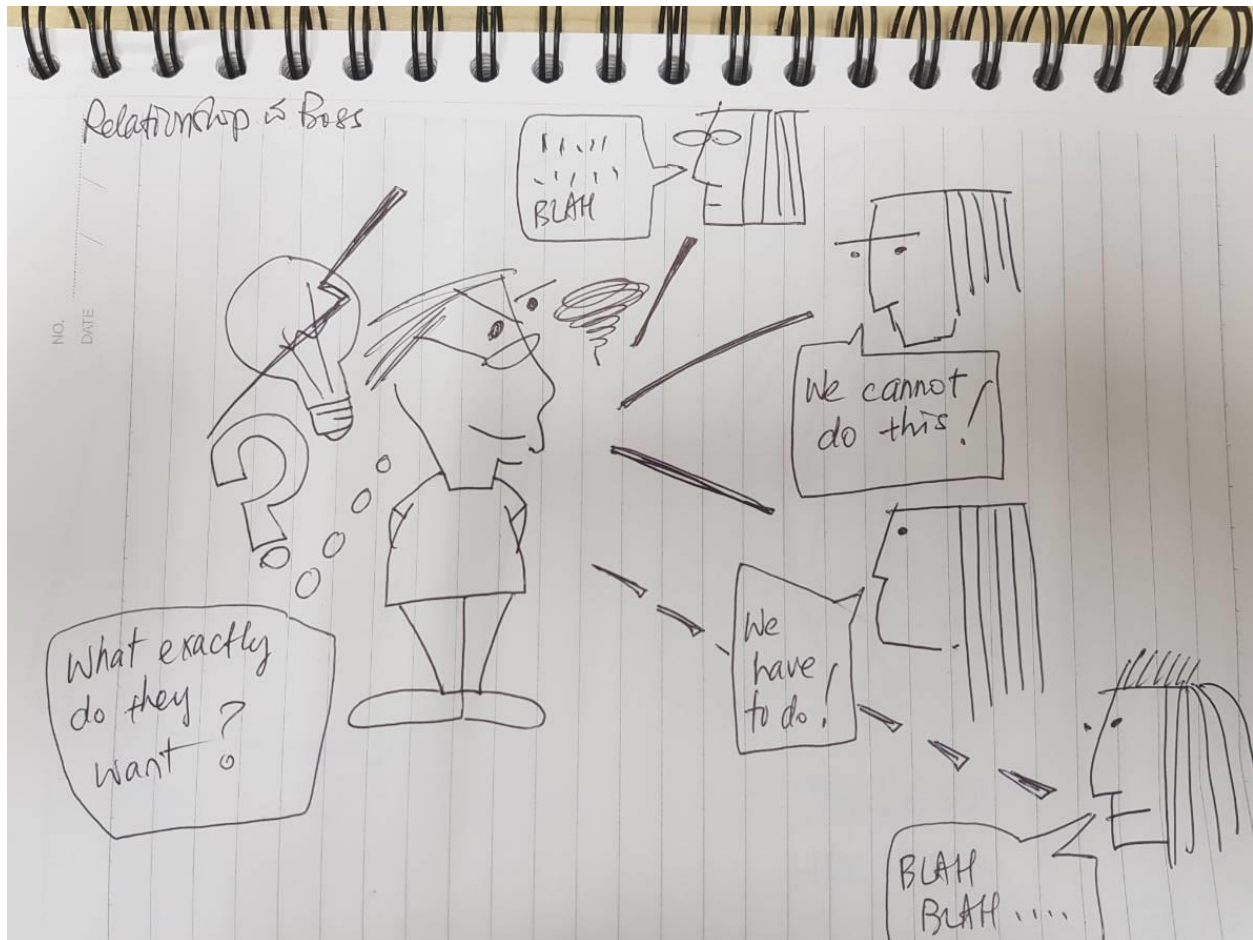
Drawing 3 illustrated two cycles with different colors demonstrating the areas of the participant and his boss. The integrated area was defined as "WE at WORK" with another different color. There has no description of the boss and of the participant.

Drawing 4 from Participant D



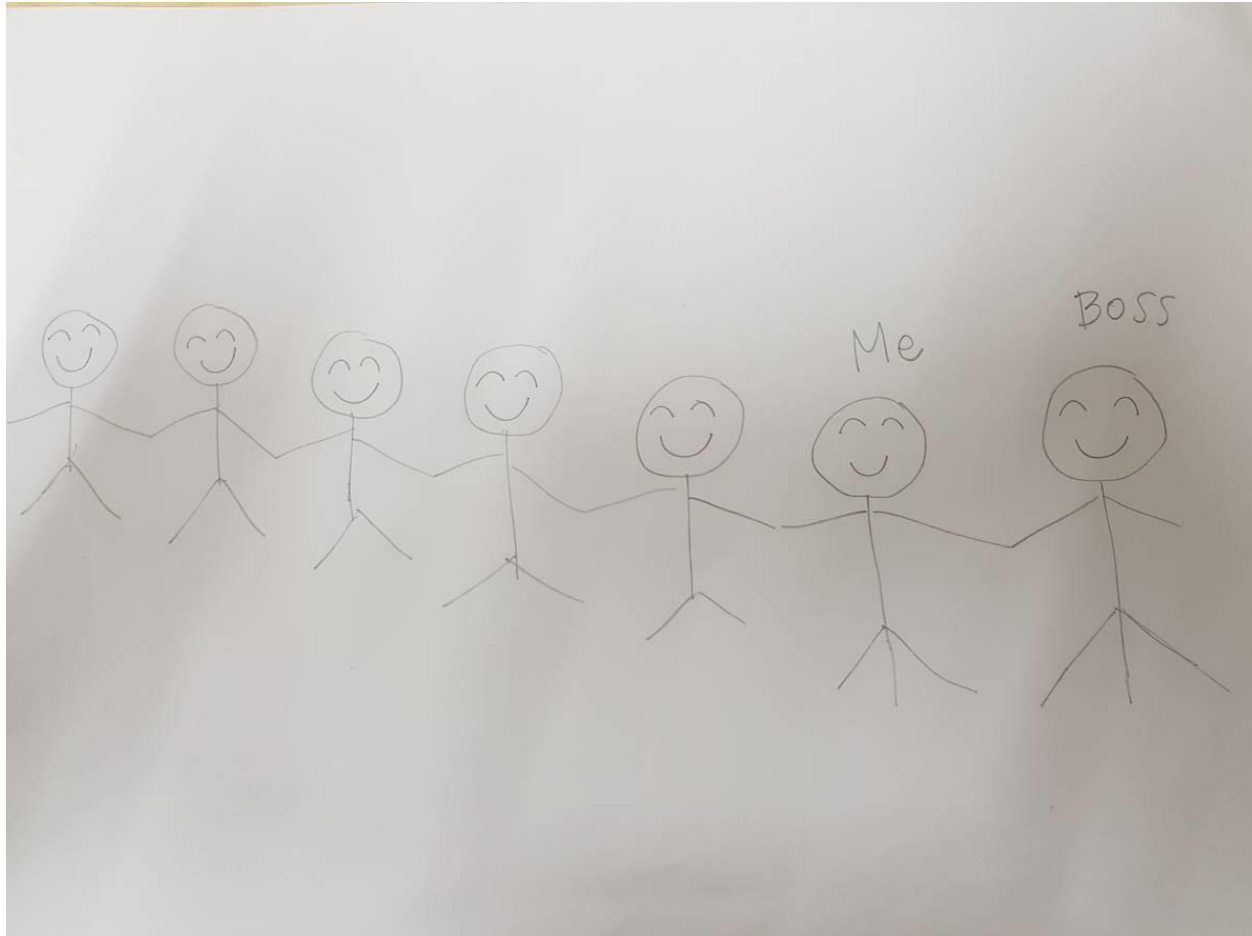
Drawing 4 showed a smiling face with a working table. The participant wrote "I by myself" and "No boss". There is a line separating "I by myself" from "No Boss".

Drawing 5 from Participant E



Drawing 5 demonstrated the boss and different followers. The boss is thinking "What exactly do they want" in order to response different needs from his followers i.e. One is voicing "we have to do" while another one believes differently by saying "we cannot do this". Another two follows are voicing "Blah Blah...". Direct line and dotted line of command were also identified between each follower with the boss. Among all four followers, two are not saying exactly what they want by stating Blah Blah. In contrast, another two followers are emphasizing "We cannot do this!" and "We have to do!" which indicated the opposite ideas between both of them.

Drawing 6 from Participant F



Drawing 6 showed a single row leading by the boss and followed by the participant and five team-members. Being led by the boss, all of them had a smiling face and they are holding hands together.

7. Interview findings: Three themes

7.1 Leadership styles

Leadership styles influenced engagement of the participants at work. Three leadership styles emerged from the interviews, which were supported by insights from drawings. These styles were day to day laissez-faire leadership, a hero and inspirational leader.

7.1.1 Laissez-faire manager

Many studies have defined laissez-faire leadership as no-leadership behaviours and the leaders fail to take responsible for managing their employee which can negatively impact employee engagement at work (Yang 2015). Participant A was satisfied and engaged by the leadership style of a laissez-faire manager, by emphasizing his leader's zero-leadership behaviours and expressing his satisfaction with such behaviours. In the interview A said that "She is good but she is just doing her job as my boss [...] doing what the boss is supposed to do, like providing me a salary [...] I am very okay with it". This was also supported by drawing 1 which showed the person with the smiling face in his own space in the square box. He emphasized in the interview that "She does not know what I am doing" because "we have different tasks and backgrounds". In addition, A and his leader had different job functions (i.e.

between researcher collaboration and cleaning operations), in which the leader was performing only transactional work as a manager. A showed his empathy by saying in the interview, "I understand that she has no idea about my work" which was acceptable because "she is still asking me sometimes and evaluating my performance and giving me a salary every month".

Similar to A, D said differently by conveying her independent and self-motivated characteristics. She stated her need to be alone without the leader in that "she first asked me about work but I think please just leave me alone [...]. She is better doing her job and let me work on my own [...]. I can do it without her". Consequently, her drawing emphasized "no boss" and "by my own". D explained that "she has a very different working style and I don't want to follow that". In the interview, D also described her work guidelines regarding salary increases and promotions by saying, "I just walked to her and asked about my promotion [...]. She asked and guided me a lot and finally we reached agreement and she gave me salary increased with condition that I have to wait until the promotion cycle to be promoted [...]. I think it's fair enough that I have to thank her about this".

As this case shows, the leader managed D in a situation-specific manner. D could finish her day-to-day work effectively without the involvement and influence of her leader for minute detail. However, when D needed consultation and guidance with regard to her salary and potential promotion, the leader was able to respond effectively to the participant's specific needs. Both A and D were engaged at work with by laissez-faire leadership. Both employees' experiences showed that without involvement of their leaders, they still satisfied and engaged in day-to-day work.

7.1.2 A hero

Participant F showed her sincere appreciation to her leader by metaphorically stating that "she is like my second mom" and saw the leader as her "role model". In the drawing, she indicated the happiness of each team-member by illustrating a smiling face, as well as indicating the team relationship by displaying them holding hands together under the leadership of their boss. From the interview, F demonstrated her gratitude and appreciation by stating that "I am what I am today because of her" and "she gave me everything".

7.1.3 Inspirational leader

Participant B, C and E showed that their leaders recognized and understood their individual characteristics and needs. They were engaged and inspired by their leaders. C and F explained that the team's relationships with its leaders created mutual understanding, which enabled the leaders to effectively manage and inspire their followers.

C emphasized that "usually we spend times together at lunch [...] that we can exchange ideas and experiences [...] I asked her and she coached me". The conversation at lunch time was an opportunity for them to create mutual understanding, management and inspiration. As an example, participant C stated that "she is great that she tried to understand me so she knows how to deal with me [...] I am very happy to work for her". In his drawing, he showed an integration area for himself and the leader and emphasized the word "WE" to suggest mutual understanding and a sense of belonging.

E explained that "my boss knows me before I move to this role as he was my client [...] it's like we close to each other before and I just move my role to his organisations and that why he knows how to make me energized and inspired So he knows me". Building an internal relationship between clients and professionals prior to moving to a new role could help to strengthen the leader-follower relationship. The leader knew the follower's characteristics and needs from their prior professional experience, and was able to apply this to the current leader-follower situation.

B explained her inspiration that "my boss he makes our office like my second home" and "he inspires and teach me every day [...]. He told me that boss is always the boss and boss is always right and I totally agree with him". In her drawing, she showed various

activities both at work and outside of work, which may be indicative of her “second home” metaphor.

7.2 Supportive working climate

Within the work environment, a supportive working climate is defined as employees having the necessary resources to perform their role effectively (Kahn, 1990). The findings indicate that these resources can be further divided into two subsets: tangible resources and intangible resources.

7.2.1 Tangible resources

Participant B, D, E and F explained that they were provided with effective tangible resources, enabling them to learn and perform their job roles effectively. B said, “My boss always asks me about what I need to have for work and he provides me what I need like I need one more subordinate or I need one more computer screen and equipment”. D, E and F also experienced the same approach their leaders did to provide tangible resources. D mentioned online learning resources as well, saying “just provide me the access to the online learning platform then I can learn by myself”. E and F indicated that leaders provided insights into their clients, allowing them to understand the clients’ real needs. From the drawing, B showed a meeting room and working space as tangible resources required for a successful working environment.

7.2.2 Intangible resources

Participants A and E explained that they were engaged by flexibility and openness in the workplace environment. “Here I can have flexible hour [...]. I can manage my own working time”, and “I can comment and share anything I want [...] no retaliation”. Flexible work hours enabled A to manage his professional and personal life effectively. He stated, for example, “this is my work-life balance”. In addition, E suggested an open working environment to enhance motivation and work engagement. “I am always energized by sharing and exchanging ideas with other people”. Participants B and F explained they supported by intimacy at work. B said “our office is my second home”. F further supported this with a statement regarding her boss- “she is like my second mom”. Both metaphors seem to imply the satisfaction and appreciation of intangible resources provided by their leaders.

7.3 Empowerment

Zhang and Bartol (2010) defined employee empowerment as a psychological or cognitive experience which enable work initiation and persistence through sense of meaning of work, self-confidence to achieve the tasks, freedom to decide how to work and opportunities to participate in decision-making. In this study, all participants strongly emphasized their leaders’ ability to empower and motivate employees to make decisions at work. However, each participant had experienced a different approach with respect to empowerment.

A, C and D preferred to make decisions on their own. A said that “I am very happy that she allows me to do what I want to do [...] and be with me when I need support”. D went further, illustrating in the drawing “No Boss”. B, E and F had experienced differently. They felt that their leaders were involved in decision making with intent to empower rather than interfere. B said, “He comes to me every morning asking how he can help me or any help I need”. F said, “Normally she is giving me a call everyday so that I can report or ask support from her”.

Empowerment from the leaders made all participants feel more engaged and satisfied with their role. A emphasized that “I am very happy now because I can do what I want to do,” and C explained “my objective of work is I want to help my client to achieve their investment goal and my boss allows me to do that”. In addition, being engaged was perceived to be in line with personal objectives at work. C and F explained that “the reason I work because I want to help animal [...]. I don’t want to do like commercial way like other VET doing I just want to help [...], and my boss having the same goal so she allows me to do what I want”.

To summarize from the findings, employee engagement at work was individualistic and influenced by each employee's views regarding leadership styles (*laissez-faire*, a *hero*, and *inspirational leader*), supportive working climate and empowerment. The employees' engagement experiences were dynamic which subject to perceptions of day to day interactions with their leaders. Additionally, no universal leaders-followers relationship enhances employee engagement at work. Indeed, the employee engagement is developed when the employees perceive the fit between the leadership styles and their preferences, supportive working climate and empowerment.

8. Discussion

Leadership plays a vital role in employee engagement at work. Leadership can influence employee engagement (Northouse, 2007). Indeed, the findings support that leadership was the major factor influencing the participants' engagement experiences at work. However, there were different leadership styles that could influence the participants' engagement. Three leadership styles were identified: *laissez-fair leadership*, a *Hero* and *transformational leadership*. The styles of leadership utilized depend on the different styles of followers (Blanchard et al., 1985). Recognition and understanding of the followers' needs are critical to leadership effectiveness. Leadership also plays a major role in creating a supportive working climate, which influences employee engagement (Kahn 1990, Shuck, Rocco and Albornoz, 2011). Followers have different needs with respect to supportive resources that are necessary to perform their job role and maintain their engagement at work. By acknowledging and understanding the needs of each follower, the leader can effectively support both tangible and intangible working resources. Empowerment by leaders also influences the level of engagement (Shuck, Rocco and Albornoz, 2011) by enhancing self-efficacy and optimism (Tims et al., 2011). These also provide job meaningfulness, where employees feel that they are safe and have been provided with enough resources to work (Kahn 1990). Each follower identified different needs regarding individual empowerment such as wanting to make decisions on their own or, conversely, wanting their leader to be more involved in the decision-making process. The study suggests that the relationship between leaders and followers can influence the employees' experience of engagement at work. However engagement experiences of each followers are markedly individualistic and emerged from the interactions with their leaders. The employees have diverse preferences of leadership styles, supportive working climate and empowerment, and the identification and support of these preferences is fundamental to engagement. This is further demonstrated within the following framework:

Figure 1: Behaviours-Perceptions-Engagement Framework

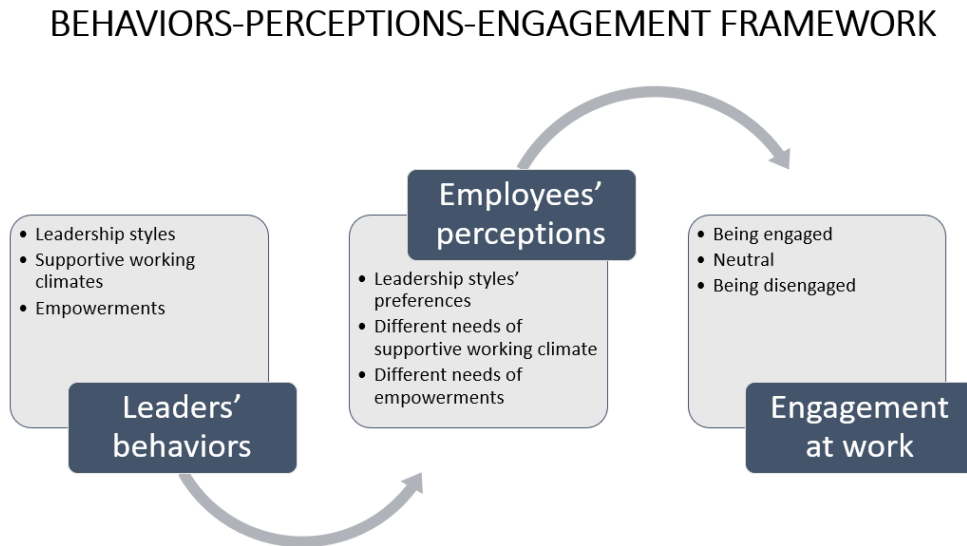


Figure 1 demonstrates the relationships between the leaders' behaviours, employees' perceptions and engagement at work. While the leaders demonstrate their leadership styles differently, have their own ways to create supportive working climates and demonstrate empowerments, the employees also have different leadership styles' preferences, needs of supportive working climate and empowerments that relate to their engagement at work.

Engagement is not a one-way relationship. Employees have their own choice regarding engagement or disengagement (Harter et al. 2002; Wagner and Harter 2006). Because engagement is self-actualized and personal (Kahn, 1990), there is a need for understanding the perspective of each workplace in order to foster engagement at work.

9. HRD Implication

Leadership is an influential process (Northouse, 2007) and employee engagement requires a two-way interaction between leaders and followers (Harter et al., 2002; Wagner and Harter, 2006). Effective leadership and employee engagement have been studied for decades, but few studies have been conducted under a qualitative paradigm. Shuck, Rocco and Albornoz (2011) suggested that it would be beneficial to study engagement from employee experiences with qualitative research methodology. This study attempts to satisfy this by adopting qualitative research and a phenomenology approach. In modern organisations practices, HRD professionals and practitioners are called to improve leadership interventions and develop the leadership capacity of line managers and leaders to enhance employee engagement. However, this approach is problematic because employee engagement is not a unidirectional interaction. Focusing only on leadership adaptations would not improve the quality of employee engagement. This study reveals that the followers have diverse preferences regarding leadership styles, supportive working climate and empowerment, therefore, to create engagement, HRD professionals and practitioners should always take these factors into account. In addition, this study can be the starting point to deeply study differences of individuals' preferences of work engagement under those three leaders-followers' interactions. In addition to the roots of work engagement, Petchsawang (2008) suggested that "compassion, mindfulness, meaningful work, and transcendence", the concept of workplace spirituality, is the key. Petchsawang and McLean (2017) showed that implementation of workplace spirituality along with mindfulness meditation can improve employee experiences of work engagement. This study could be beneficial for both HRD professionals and practitioners to better understand engagement and leadership and develop

HRD applications based on the direct experiences of employees. A focus on workplace spirituality could enhance the engagement of all employees within a workplace.

10. Limitation

This qualitative study explored the engagement experiences of six people with different background. To gain more insights of engagement from the perspective of employees, further qualitative studies should be conducted. In addition, it was shown that engagement is not static but fluid and individualistic. Therefore, engagement should be explored with a longitudinal approach, such as conducting research within an ethnographic paradigm. This study focused on the relationship between leaders and followers, which limit my explorations of engagement. Future studies to explore engagement from a more holistic view of individual human nature would allow for better understanding of how engagement at work might be associated with other constructs such as workplace spirituality.

11. Conclusion

Reviews of the current literature indicate that few qualitative studies of engagement and leadership have been conducted. Therefore, I explored employee experiences on engagement by focusing on the relationship between employees and those in leadership positions. Qualitative research with a phenomenological approach was conducted with semi-structured interviews to collect data from employees, who are engaged at work. An inductive approach and thematic analysis were subsequently employed to analyse data. The findings suggest that engagement was not a one- way interaction relying solely upon leadership. Engagement was individualistic and influenced by each employee's views regarding leadership, supportive working climate and empowerment, which required further exploration. The implications of these results are that HRD academia, professionals and practitioners should consider the complexity of human nature and acknowledge the differences amongst all of them in order to promote efficiency and engagement of employees. The employees' engagement experiences were dynamic which subject to perceptions of day to day interactions with their leaders. Additionally, no universal leaders-followers relationship enhances employee engagement at work. Indeed, the employee engagement is developed when the employees perceive the fit between the leadership styles and their preferences, supportive working climate and empowerment. Further research is necessary to explore and understand engagement from a holistic view, and to develop a way in which every individual can reach their own level of happiness, engagement and self-actualization at work. Workplace spirituality, a concept of working together with compassion, mindfulness, meaningful work, and transcendence, is a construct I recommended to connect with engagement at work, and this too requires additional consideration. This study could be beneficial for both academics and practitioners in the HRD field. It could provide HRD researchers insight into further academic exploration or allow for HRD professionals and practitioners to develop engagement and leadership applications in their respective organisations.

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The impact of the psychological contract on academics' discretionary effort

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Abstract

Discussions around the psychological contract remain a prominent subject amongst the academic literature, however little has focussed on academics themselves. This paper considers the psychological contract of academics and in particular the impact it has on discretionary effort. The research undertaken involved a phenomenological study amongst 18 Business School academics from 9 UK Universities. Data was collected via interview and questionnaire to find meaning from within the construct. Findings suggest that academics have a relational psychological contract and that discretionary effort is internalised and intrinsic, suggesting a high work ethic amongst academics. However the paper raises the question as to whether this internalisation is a result of managerial processes or whether is a free choice. The findings of the paper should be of concern to academics interested in the psychological contract but will also be of interest to line managers and human resource departments within higher education institutions.

Keywords: Psychological Contract; Academics; Discretionary Effort

1. Introduction

It would be true to say that the Psychological Contract is a well-trodden path. Since Rousseau's (1989) seminal work breathed new life into the construct many commentators have explored it in a range of settings. Much of the research surrounds breach and violation and the impact it has. Freese and Schalk (2008) suggest that the turbulence within organisations in the 1980's and 1990's caused traditional employment relationships to be tested. They claim, along with many others including Cullinane and Dundon (2006), Del Campo (2007) and Herriot et al (1997), that this unrest renewed the contemporary interest in the psychological contract. This study coincides with significant changes within the UK higher education sector and is therefore timely in relevance. The University Forum for Human Resource Development (UFHRD) 2015 conference proceedings suggested an increasing interest in the study of academics and their institutions. In further support Del Campo (2007 p439) suggests that the psychological contract is "a well-developed, emerging and dynamic area ripe for further research".

2. Literature Review

The concept of the Psychological Contract originated with the work of Argyris in the 1960's (Cullinane and Dundon, 2006; Del Campo, 2007; Freese and Schalk, 2008; Herriot et al, 1997; Shen, 2010). Although much credit is given to Argyris (1960) for the beginning of the concept and the use of the term it was actually Levinson et al (1962) who first developed the key ideas of the concept, and in particular he identified the key partners in the relationship, and in particular the importance of the implicit nature of the expectation, which would come to define the psychological contract. It was not until the 1990s, initiated by the writings of Rousseau that it rose to prominence (Cullinane and Dundon, 2006; Freese and Schalk, 2008). Cornelisson and Durand (2014) highlight work of Rousseau in 1989 as a ground breaking contribution. Tookey (2013) however points to the roots of the psychological contract lying with literature on social contracts and organisational equilibrium theory, and also to the work conducted by Menninger (1958) on the relationship between psychotherapists and patients. This builds on the work of Schein (1980) who suggests that the psychological contract is built from the ideas contained within social contracts, and highlights the work of Wraight (2008) in writing about Jean Jacques Rousseau interpretation and discussion of the Social Contract

in 1762 in which he interpreted society's interaction with the state. Jardat (2012) in his comparison of the works of Jean-Jacques Rousseau and of Denise Rousseau highlights significant similarities between the concepts of the social contract and the psychological contract. However he draws on what he defines as a "tectonic fault" (p44) a chasm of difference in that the psychological contract relies on exchange while the social contract is supposed by the concept of sovereignty and the provision of gift.

In particular, Rousseau (1990) identified the breaking points in the relationship and thus a significant change in the psychological contract. This "new deal" (Herriot and Pemberton, 1995) would lead to a rebirth on interest in the Psychological Contract which would result in a plethora of literature in the twenty five plus years that followed. Freese and Schalk (2008) suggest that this rise to the fore came due to the range of organisational changes that have become synonymous within industrial relations between 1980 and 2000. A study by van der Smissen et al. (2013), highlighted the frequency of organisational change has both positive and negative effects on the psychological contract, but the nature of the change had little effect. Meanwhile, Kelley-Patterson and George (2001) emphasised that the psychological contract develops as a result of the relationship between the organisation and the individual, which has more recently been supported by Adams et al (2014) who point to Morrison's (2010) explanation of the psychological contract in which he suggests the psychological contract is "lived and not defined" (p.281).

Since this rebirth of interest, two strands have since developed, one following the perspectives of Rousseau (1989, 1990, 1995) who advocates an idiosyncratic approach based on obligations and perceptions, which contrasts with that of Guest (1998) who argues for a more traditional stance and focus on mutuality and reciprocity between the employee and the employer (Del Campo, 2007). Rousseau (1990, p.391) defines the psychological contract as "The individuals belief's about mutual obligations, in the context of the relationship between employer and employee." In stating this definition Rousseau identifies and confirms two key elements relevant to the psychological contract. Firstly, the definition highlights the individualistic nature of the contract which is fundamentally held in the mind (the belief) of the individual, and secondly, the definition identifies the mutuality of obligations that the individual identifies, whether implicit or explicit, and finally the identification of the focus of the relationship between the employer and the employee. An alternative definition supplied by the CIPD (2014) is "the perceptions of the two parties, employee and employer, of what their mutual obligations are towards each other".

Regardless of the definition the Psychological Contract remains an important area of study as it "provides employees with a mental model of the employment relationship" (Coyne and Gavin, 2013 p96) or alternatively as Shen (2010, p.576) alludes it "fills the perceptual gaps in the employment relationship", those bits which 'exist' but are not written down or presented in an explicit manner. Essentially the psychological contract is at the core of how individuals perform their job role and underpins how they see their relationship with their employer. Put simply, Kasekende et al (2015) argue that the psychological contract explains "individual responses at work" (p.834). Changes in the employment relationship have generated suggestions that the psychological contract has generally shifted from being relational to transactional, and this shift creates a workforce which is calculating in nature, self-interested and opportunistic (Rousseau and Schalk, 2000). Fundamentally the nature of the employment relationship will have an effect on the status and nature of the psychological contract.

The importance of the psychological contract as a key element of the employment relationship makes it a key area to study and understand. Tookey (2013) points to the existence of a gap in research of the psychological contract within the academic domain (p41). He does however question the uniqueness of the work of an academic while also pointing to the changing nature of academia over its last 20 years. The academic and in particular how they see their role and career ambitions may influence how they engage with their employer. Further to this Shen (2010, p.576) suggests "the psychological contract of university academic employees has not been much considered in the literature". Nutakki et al. (2015) also highlight the limited level of research carried out on the psychological contracts of

academics. Thus there is not much known about the content or fulfilment of the psychological contract for academics. In continuing this discussion Shen (2010) considers whether traditional concepts of the psychological contract apply to University academics. This is supported by Gillespie et al (2001, cited in Shen 2010) who argue that academics have a different psychological contract than other professions.

Rousseau (1989, 1990, 1995) identified two dimensions (along a continuum) to the psychological contract. The first she argued that there existed a relational psychological contract based on mutual dependence, emotional attachment and associated with permanence in the employment status of the individual. Alternatively there existed a transactional psychological contract based on short term view with focus on the financial transaction and a temporary work status. This model was later revised to include a hybrid or balanced psychological contract (Dabos and Rousseau, 2004) and emphasised the nature of the continuum. Philbeam and Metcalfe (2013) highlight the greater emotional attachment of a relational psychological contract, however they highlight the unlikely event that the psychological contract will ever be found in its purest form suggesting that it is a dynamic process which is likely to be somewhere on a continuum. They further suggest that due to the developmental nature it forms and changes on a regular basis and at all times individuals will have elements of both. A view supported by Makin et al. (1996).

Changes in the employment relationship have generated suggestions that the psychological contract has generally shifted from being relational to transactional, and this shift creates a workforce which is calculating in nature, self-interested and opportunistic (Rousseau and Schalk, 2000). Fundamentally the nature of the employment relationship will have an effect on the status and nature of the psychological contract. Shen (2010) suggests that the psychological contract will vary between professions and between organisations. Other writers (Conway and Briner, 2002; Rousseau and Parks, 1993 cited in Shen 2010) suggest that part-time and temporary workers will have a psychological contract which differs to that of full-time and permanent workers. Millward and Hopkin (1998) link the relational psychological contract and permanency. Cullinane and Dundon (2006) undertook a critical review of the psychological contract. They suggest that it is difficult to quantify the psychological contract. They highlight that the failure in the psychological contract is not down to management failure but most likely down to the unreal expectations of employees. Tallman (2008) suggests that "psychological contracts are promise based". Is it? Should this be a combination of promise and interpretation – not what has been promised but what belief has been. This creates a further issue in trust. Robinson (2015) argues that trust is the foundation of both the psychological contract and employee engagement. As the employment relationship has changed so too perhaps have the trust boundaries.

Alternatively, Guest and Conway (2004) suggest the existence of three contracts: Traditional (a long term tenure and long working hours basis); Disengaged (central life interest with no emotional link to employer basis); Independent (well qualified people who seek high rewards and short tenure) which on the face of it may be considered to clash with the ideas of Rousseau, when we look behind the diagrammatic representation it is apparent that while Guest and Conway's model describes a stable state the model of Rousseau is far more fluid, and that both models rather than contradicting can quite easily co-exist with each other.

Shen (2010) initially suggested that academics would have a relational contract, however there are question marks as to whether academics focus on their relationship with the organisation (or employer) their profession (subject area) or with the Academic. Many studies (Bathmaker, 1999; Hrabok, 2003 cited in Shen, 2010; Gillespie et al, 2001, cited in Shen 2010) support the assumption that academics have a relational contract, however contrary to his initial belief Shen (2010) found the nature to be more transactional. Bathmaker (1999) conducted her study on a 'new' University (converted polytechnic) highlighting the uncertainty and ambiguity in the sector in the 1990's as a detrimental factor in the employment relationships with the institution. She blames the new approach of managerialism for changes in the relationship. She suggested that key issues were related to self-identity and a feeling of staff vulnerability. Her research suggested that the psychological

contracts of academics had moved from relational to transactional and transitional, primarily based on a sense of devaluation. Gammie (2006) supported many of the findings of Bathmaker (1999) and identifies a crucial issue as the rise of new managerialism which has engulfed the sector in the past twenty years. He suggests a key underpinning focus was politicised control including the use of the RAE (now REF) and the role of the QAA including the nature of inspectors. Gammie (2006) further argues that this 'increase in control' has resulted in HEIs moving from organic to mechanistic structures, and that in many organisations a shift reducing the academic influence in the decision making process has occurred.

Furthermore, Shen (2010) suggests a range of factors which will impact on the psychological contract of academics including demographic factors (age, gender etc.) educational level, teaching or research orientation and their nationality. In addition he also suggests the length of engagement with the organisation will further impact on the psychological contract. Gammie (2006) discusses the role of the academic and highlights the potential for three job perceptions: Job orientation (focus on reward); Career orientation (focus on advancement); Calling orientation (focus on fulfilling socially use work). Gammie (2006) suggests that academics may fit into all three categories and suggests that this has an impact on their psychological contract. He points to the differences in job titles and the different types of academic contracts particularly the development of 'Teaching Only' contracts and the Teaching Fellow role. Further emphasis can be identified and analysed in terms of the role of Research Assistants and Fellows and the delivery of the curriculum. This may link in with the notion of make or buy organisations (Miles and Snow, 1980) and whether HEIs are attempting to develop and grow their staff. Many suggest that the REF may have distorted this picture. Lucy and Sheehan (1997) suggest that academics see research as the route to career progression. Meanwhile, Vernon (2011, p.45) highlights "the casualization of academic labour" as a key issue within higher education.

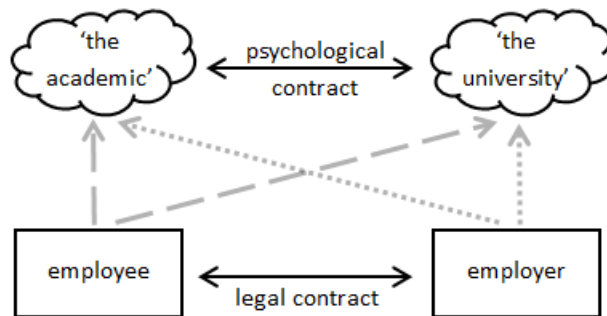
Crucially to the building of the Psychological Contract is experience, Rousseau and Parks (1993) acknowledge that although the organisation influences and often fuel beliefs, there are many factors that determine the views of individuals, and these are often drawn from past experiences. A critical element of the psychological contract centres around exchange. The exchange process determines the nature of this in terms of the employment relationship, is who is the exchange with, that is who is the employer. Thus the concept of Agency Theory becomes prevalent. The nature of these exchanges, whether transactional, or relational, dictates the contract. An academic may deal with several different agents on a daily basis. How an individual becomes encultured into the organisation will also affect how their psychological contract becomes visibly portrayed. This can be determined by whether they associate with their organisation, professional body or subject field. The basis of Levinson (1995) is continuous and long term (life) employment. Therefore it is questionable as to the interpretation of Levinson and the concept of loyalty. Interestingly, Baruch and Hall (2004) identify a view that transactional contracts are similar regardless of whether they are in academic or the more conventional business arena. Tipples and Krivokapic-Skoko (1997, cited in O'Neill et al 2010) suggest a link between the psychological contract and work environment as a crucial factor for academics. They also identify important concepts such as job satisfaction, career development, job security and promotion opportunities as key factors as part perceived promises by the university.

Schimmel et al. (2013) links the psychological contract to discretionary effort. They suggest that discretionary effort is not recognised by formal reward systems. Therefore discretionary effort may be an intrinsic element linked to an individual's psychological contract which is affected by person-organisation fit, work ethic and motivation. Ramdhony and Francis (2014) questions the existence of independence in discretionary effort and suggests that there is an increase in induced discretionary effort.

Shen (2010) argues that an academics; interpretation of their psychological contract will dictate their participation in their work role. Akin to this, Bathmaker (1999) refers to the 'Janus-faced' role of the university teacher, linking to the different foci academic staff are

generally required to have, and suggests it is difficult to motivate academics as the intrinsic is far more powerful than the extrinsic.

Figure 1: Academic Psychological contract



2.2 Criticism and debate

A key criticism of the psychological contract surfaces through the use of the word contract and the 'legal metaphor' which accompanies it. This raises the discussion around whether it is a contract or not in the true or legal sense. Pesqueux (2012) argues that "the concept of a contract is about will, agreement, obligation, promise, commitment, staying true to one's commitments, cooperation, sanction and bond" (p.14) and is at the core of a number of subject disciplines. Although this debate still continues in some quarters, Del Campo (2007) suggests that it is now largely diffused and the term psychological contract is generally universally accepted.

Rousseau (2012, p.8) states "free will is an individual's capacity to make choices without certain constraints: physical, social or personal". As such it is a construction of the individual and it determined by self and society. From the perspective of the psychological contract free will is a fundamental concept as there is a requirement for the individual to believe that they and who they are contracting with have the ability to do so and critically are making promises. Therefore Rousseau (2012) suggests that free will within the psychological contract is a question of cognitive and emotional issues as without free will there would be no requirement to forgo liberties to keep or uphold commitments, while further to this Pesqueux (2012) suggests that "the notion of the psychological contract is ontologically related to the notion of autonomy" (p.30). He also highlights that it would be expected that the psychological contract would be developed through a dialogue between the individual and the agent and as such there may be a development of reciprocity or at least an expectation of it. Ultimately perception plays a significant role. Thomas et al. (2003) suggest that the psychological contract is subjective due to both cognitive and perceptual differences of individuals. In addition each individual is also influenced by different source materials which they process differently. Fundamentally they argue that individuals from different cultures will therefore interpret and process information differently and accordingly plays a significant role in the individualistic and subjective nature of the psychological contract. Furthermore human resource practises and expectations differ within different cultures and therefore generate expectations which differ naturally.

Marks (2001) questions the validity of the psychological contract as a construct, suggesting that there is a lack of analytical rigour, and argue it is diminishing as an explanatory framework. In criticising the construct attention is drawn to the legal metaphor, poor definition and an acceptance of questionable convictions. A further criticism relates to the individual-organisation relationship, questioning what is identified as the organisation. Furthermore, Marks (2001) questions the idea of a psychological contract and points to the idea of multiple psychological contracts, suggesting that rather than having a relationship

with the organisation, individuals have relationships with different parts of the organisation with which they engage thus holding psychological contracts with each part. The agency problem (Guest, 1998) therefore suggests that an individual perceives the organisation in a variety of guises and holds a psychological contract with each of them. Alongside this Pesqueux (2012) notes that the concept of agency contains the ability of the individual to make their own decisions. He articulates the notion of free will as a lay aspect plus the delegation of authority and control. As such he suggests that agency is a crucial aspect in understanding the relationship between an individual and their organisations.

Research found that the psychological contract is not necessarily idiosyncratic, rather that there is shared uniformity and mutuality between co-workers. However they found that "personal dispositions" (Tallman, 2008, p.216) play a key role. Interestingly the research found that employers emphasised obligations of employees and provided punishment and reward systems to enforce them. However they were less forthcoming about their obligations to employees.

2.2 Research Questions

- What is the nature and content of the psychological contract for academics at UK Higher Education Institutions?
- To what extent does the psychological contract influence the level of discretionary effort applied by academics?

3. Methodology

The research adopted an inductive approach (Bryman and Bell, 2011) through the collection of data and the development of theory. Although there has been a plethora of literature on the subject of the psychological contract there has been no definitive interpretation of the nature and content of the psychological contract for academics in the UK, therefore this research is theory building rather than theory testing (Easterby-Smith et al., 2012). That said Saether (1999) would argue that the process is not pure inductive but is rather reproductive as elements of theory does exist but perhaps not in the context of the study focus.

The study follows a phenomenological research design (Cresswell, 2014) to investigate the experience of a number of academic staff experience of and interpretation of the psychological contract, making use predominantly of a qualitative approach, although each participant completed a questionnaire alongside the individual interviews. Similar to this Guercini (2014, p.670) discusses the notion of the "hybrid methodology in management", the combining of both qualitative and quantitative methodologies which allows researchers to be distant and objective while investigating the detailed and rich nature of organisations. Target groups have been categorised as pre-1992 University, post-1992 university former polytechnic and post 1992 former College of HE. Three institutions per category were targeted with a target of two respondents per institution. In total 18 interviews were audio recorded and transcribed. Each interview was combined with the relevant questionnaire to produce a case record for each individual participant. Open coding was used to identify key themes. After initial reading additional re-reading took place in line with a constant comparative model (Thomas, 2013) linking findings to key elements of the phenomenon. Participants were lecturers and senior lecturers at nine HEIs across the UK. Participants for the study were selected via a purposive sampling strategy, while also making use of convenience sampling (Avramenko, 2013), and were drawn from the three sub-sectors (3 per sub-sector) of the main higher education spectrum: pre1992 Universities; post 1992 Universities (ex-polytechnics); post 1992 Universities (ex-colleges of HE). As such the research voided mixed-economy colleges (College Based Higher Education) and private providers. In selection private Universities were also avoided.

The research made use of semi-structured interviews, following conventional practice (Alvesson and Ashcroft, 2012) starting with broad questions which focussed and narrowed into the topic. The purpose of the questions was to investigate thinking and opinion rather than to predominantly focus on factual information. Interviews were transcribed to allow for analysis and interpretation. Follow up (email conversations) questions may be used if clarification is required. The anticipated length of interviews will be between 30 and 60 minutes. The structure of the case records has meant that analysis can be undertaken at a range of levels. Firstly and as a fundamental aspect of the research the data can be viewed at an individual level, and this can subsequently be used to develop a picture (although minimal) at institution level, category level and sector level.

4. Findings

Open coding was used as an alternative to using a computerised system such as NVivo. Although NVivo describes itself as being purpose-built for qualitative research, it does so by using a quantitative structure which in essence turns qualitative data into numerical data, which would seem to go against the purpose of qualitative methods and the search for 'rich data'. Although it may simplify and speed up the process, the decision was made to stay true to qualitative method principles and undertake the process via manual methods (open coding). This does not distract from the rigour of the analysis nor does it distract from the findings.

The findings have been drawn from the 18 interviewees across the range of organisation, with a mix of male and female respondents and a roughly even split between lecturer and senior lecturers. Four of the respondents had previously worked within an FE style environment, while nine had had jobs outside of education prior to entering the profession. This would be deemed to have had a significant impact on their focus on the purpose of higher education. Similarly four of the respondents had come to education late and studied for undergraduate or master's degrees as a mature and part time student. This in itself has notably had an impact on their approach to education and their approach to it.

Results suggest that there are shared expectations of and by academics and understand the importance of the role. However, respondents from the post 1992 institutions highlight the significant growth in managerialism and pressures from within to become more research orientated has led to changes in the employment relationship, which has become more target driven and output orientated, away from teaching and learning. Although similar findings are evident in the pre1992 institutions these were less extreme or seemed to have less of an impact. That said however the findings suggest that although there is general feeling of organisational fit from the respondents there is a general feeling that there is no synergy between institutions and personal expectations as all have a minor deficit (or neutral) in the link between their expectations and what the university provides. That said however academics' values and attitude seem to be influenced significantly by their institution. This is particularly emphasised by the academics from within post 92 ex-colleges where the institutions have had a particular background / ethos which has grown from historic connections to religion and education. In particular the previous Colleges of HE all have a church foundation at the base of their existence.

At an individual level academics feel they have a significant level of autonomy and are supported at an emotional level. That said however there was a feeling amongst two of the academics the belief that they had been let down by the institution in the past and as such were feeling somewhat disenchanted. This led to less of an association with the organisation and generally a less positive view of the future. There was also a general feel that individual expectations were less supported and that this was due to the organisation expecting them to fit with organisational goals and ambitions rather than pursue their own. However in the interviews all respondents felt comfortable that they were being allowed to pursue their own career desires and as such although there was a need to fit within the organisations plan they did have scope to achieve that in several ways. Interestingly all the staff identified teaching as a priority and crucial to their role, however some place a significant emphasis on research.

This was more common amongst pre 1992 institutions, however staff across the board described research as a fundamental aspect to their role. Four out of the nine had doctorates with the rest working towards, so all respondents were research active, although respondents from outside of the pre1992 institutions were less likely to have published in academic journals, although all had produced and presented conference papers. Although most academics put the amount of time spent on administration on a par with research, there was generally a feeling of resentment towards the amount of administration they are expected to do. All academics were members of the Higher Education Academy (HEA) with 50% having professional accreditation, however only 33% were members of academic bodies related to their subject area. Alongside this the all respondents felt affinity with their department (or school) followed by their subject area and organisation with profession being the least of the organisations they feel affinity towards.

All respondents put in effort above and beyond the basic contractual requirements, however none particularly identified this as discretionary effort, rather seeing it as part of the job. In particular they discussed going the extra mile to support students, colleagues and to undertake their research. Less common was examples of doing extra and putting in extra effort for administrative tasks, although there was some examples given of the need to put in extra time for completion of documents for validations etc. Common examples of discretionary effort with students consisted of providing additional tutorials, meetings outside of normal working hours, trips and events and providing additional support, while examples of putting in extra effort to support colleagues included covering classes, reviewing papers and providing feedback. A significant amount of time was also spent by staff undertaking their research. All staff identified that there were 'not enough hours in the day' and therefore the majority of research was conducted at home and during the evening or weekend. However, none of the academics interviewed argued against this, as they saw this as an expectation of the job. In essence academics did not identify with a set number of hours per week, rather with a set number of contact hours. An interesting finding, came not from where individuals worked but rather where those that had doctorates, had read for them. Individuals who had undertaken their doctorate in a pre1992 University which much more likely to be more focussed on research than those who had undertaken doctorates at post 1992 Universities.

5. Discussion

The research undertaken suggests a relational psychological contract (Rousseau, 1989) still exists and despite the changes in the levels of managerialism and control features that have come to be more prominent in the sector individuals still maintain a high level of autonomy in their individual roles. Thus far it seems that the level of oversight has still not had, as yet, as large an impact on the psychological contract as it may have had. The findings would suggest that academics still feel and need a relationship with a collective body, although that may be recognised more with a department / school, in line with Shen's (2010) findings, although this is contrary to that of Bathmaker (1999), who saw a significant decline in the relationship. Perhaps given the timing of the research undertaken by Bathmaker, there were higher levels of breach and violation given the changes to the sector that took place in the 1990s. Current research is in essence a generation apart and the current academic workforce on the whole, has grown up within the current context of higher education, and although it can be seen that managerialism although it has grown, it may be suggested that it is now an expected norm. Subsequently the strength of the relational contract may be weaker than it once was and can certainly be identified differently with different agents within the organisation, supporting Marks' (2001) notion of multiplicity, however it is still relational in nature. In essence academics will have different psychological contracts with a range of different individuals and sections within the organisation. In particular, the notion that living the psychological contract, which Morrison (2010) proposed and the concept that it moves over time is supported in that each academic will have a fluid psychological contract. Alongside this, the influence that organisations have on values and attitudes can be evidenced

(Rousseau and Parks, 1993) through the data, however past experience has had a positive influence on the role of individuals through previous experience in further education and within the business sector, and in some cases the route they have taken to get there. There is evidence within the research that some of the academics may have experienced breach and violation and thus the psychological contract has been damaged through the experience they have recently encountered. Despite all this the academics still have a positive direction towards students and their role in carrying out research. In particular an unexpected feature of the individual's historical context (i.e. baggage) was the place of doctoral study which seems to have had a significant influence of individual preference. This is particularly prevalent where an interviewee has undertaken their doctoral studies at a pre1992 institution. The respondents seem with this experience seemed to consider and have additional focus on research as being most important aspect to the role.

Alongside this Cullinane and Dundon's (2006) view that employees tend to have unrealistic expectations, although in general may be correct, academics seem to have broader understanding of their role as something other than a time defined role, however they articulate the growth of managerialism and the increase in administration as a negative in the relationship. That said however academics seem to accept the administrative burden when it is linked directly to teaching, however seem to reject administration which appears more to be about monitoring and checking on performance and targets. As such a new generation of academics see the role differently to their predecessors who had previously worked in a less restrictive environment. Those who had entered academia more recently are aware of the environment they are entering into, however as noted this is significantly influenced by their background and historical context. Those entering from doctoral studies in a pre1992 note the importance of research in the career and have an expectation of doing research and the need for research for career progression. Alternatively, those who have entered from a FE / Commercial background identify an environment which they consider less harsh than the one they come from. These it would be suggested are more teaching focussed.

The research would seem to suggest that discretionary effort is a fundamental aspect of the psychological contract of academics and supports Schimmel et al.'s (2013) notion that it is an internalised and intrinsic element. Critically it seems that it predominantly fits with how academics see their role and subsequently suggests academics having a high work ethic for what they see as academic work. A key element of this however would question whether there is an element of induced discretionary effort as suggested by Ramdhony and Francis (2014). Subsequently this raises the question of how much free will actually has, and significantly whether this is a consequence of managerialism which has infiltrated the academic mind-set.

6. Conclusion

The psychological contract remains a concept and construct of debate and research. It is crucial in gaining an understanding of how the people we manage, work with and work for behave in a given range of circumstances. Critically while much has been written about it in the context of the private sector, and a little about public sector, there has been very little written and published reflecting on academia. What there is, is subsequently focussed on breach and violation without really grasping the content and nature of the psychological contract of academics. This therefore provides a grounding for how we may open up a further channel for research and debate.

In particular there is evidence to suggest that academics holistically are self-motivated individuals who are tolerant of organisational pressures and attitudes as a trade-off for autonomy and flexibility. In particular, academics across institutions hold several psychological contracts with different agents of the organisation and as such are flexible in their demands and expectations of their employers, and subsequently identify more with their department or school rather than the institution. This obviously is subject to the nature and size of the organisation and the structure it uses. Certainly a more integrated structure creates and retains more attachment to the wider organisation, however with that a

centralised approach may be deemed restraining and may create more friction and more fractured relationship. In support of the theory, discretionary effort is an intrinsic driver within academics who have internalised the process but there is room for debating whether or not this has been constructed through managerialism or whether free will has held prominence.

7. Limitations

The research and subsequent findings are drawn from 18 individuals drawn from 6 institutions. As such it does not provide a statistically significant set of results, rather draws on the lived experience of a cross-sectional representation of the sector. The research is a qualitative study which looks to interpret individuals' perception of the world around them. The research has also only been conducted on staff within a Business School (or similar). There may be a characteristic that is synonymous with the subject base, which is not found within other academic disciplines.

8. Implications for Practice

The changing nature of the academic role is critical in University and individual success. Knowing how to manage, support and develop individual academics is crucial from both a managerial sub-view and that of the individual. Therefore understanding the psychological contract of individuals and how they relate to the organisation and role allows the effective management and deployment of academics. From an individual perspective it also allows individuals to understand themselves and may be helpful in making career decisions, in particular focussing on what jobs to apply for and which organisations, particular in which sub-sector these organisations sit.

9. Implications for Future Research

This research concentrates on academics' perception in relation to their experiences. A wider range of academics could be used, and also broadened into other academic subjects. It may also be of use to identify entry into academia as an interesting variable within the research.

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Types of labor contract and its importance on commitment and engagement: A case study from Portugal

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Abstract

In this paper we present the results of a quantitative study done in a company located in Portugal. The focus of the analysis was the relation between Organisational Commitment and Work Engagement and the type of Labour Contract. According to the theory both the commitment and engagement are reinforced by long and permanent contracts; also in long contracts the psychological bond with the organisations is stronger. The model is as simple as it is important because in a time of economic uncertainty organisations try decrease costs by hiring less permanent workers; this in turn may decrease Organisational commitment and work engagement, through a lesser form of psychological contract and therefore be detrimental to the organisations itself, in terms of returns; the question becomes even more important when the same organisations may have workers with short and long term contracts side by side performing exactly the same tasks. The results of the study confirm our worst expectations – workers with short term contracts feel less committed and are less engaged; also, they feel less linked with the organisations in affective terms and they mainly stay there by calculation. This finding is important and should be taken in consideration by managers and policy makers – in the long run, commitment and engagement are essential to the survival of organisations, the well-being of workers and the prosperity of societies, so in the long run, short term contracts are not at all the path to prosperity.

Keywords: Organisational Commitment, Work Engagement, Labor contract, Psychological contract, Portugal.

1. Introduction²

It is well known that organisations seek to have workers that are engaged with their work and also committed to the organisations they work with. However, it is a fact that in the 21st century economy short term contracts are increasingly used by organisations. The use of short term contracts finds justification in the need to reduce costs and give flexibility to the labor force and increase employment. However, the relation between the type of contract and the engagement with work and the commitment to the organisations is a very important question. If it is found that short term contracts may lead to less engagement and less commitment, this may lead to bad consequences for the individual, the organisations and the society. This situation is more acute in less developed societies, and particularly those suffering from higher levels of unemployment, as Portugal was, at least in the period 2011-2015, when figures rose to a record of 18%. In short, companies may seek to go for short term contracts as a way of reducing costs – but is this the whole story? What are the consequences of this strategic choice? In this context, this investigation sought to respond if the existence of different types (long term or short term) of Labour Contract (LC), influence the Organisational Commitment (OC) (defined as affective, normative and calculative), and Work Engagement (WE) in an organisations. Furthermore, we also investigate if this influence may or may not be explained by the Psychological Contract (PC), which can be

² Note: This paper is a shortened and translated version of a Master Thesis in Human Resource Management, made by the first author with the supervision of the second author, and successfully defended at Universidade Europeia de Lisboa in 2018. Acknowledgement: We thank Prof Francisco Cesário for support during the making of the thesis and Dr. Ana Moreira for priceless assistance in the empirical part.

Transactional Contract or a Relational Contract. Therefore, the study has one Research Question: Does the existence of different types of Labour Contracts have an influence on the Organisational Commitment and the Work Engagement of an organisations and can this influence be explained by the type of Psychological Contract? From that question, four hypotheses followed as defined in section 1.2. In order to answer the research question and test the hypothesis a quantitative study on the commercial department of Company A, in Portugal, was made using a questionnaire. The present paper describes the study that was done. Therefore, in section 1 we describe the theoretical base, including the concepts (1.1), the definition of the hypothesis (1.2) and the model we end up with (1.3). In section 2 we present the company (2.1), the methodology of data collection (2.2), the results (2.3) and their discussion (2.4). In section 3 we include our concluding comments, with conclusions (3.1) and ideas for further research (3.2).

2. Theoretical base

2.1 Concepts

The research is based in the concepts of Labour Contract, Organisational Commitment, Work Engagement and Psychological contract. Labour Contracts may be of short term, in this case usually less than one year and therefore at a very fixed term, or long term and in this case usually of more than one year and sometimes even without term. From the various OC models, we select Allen and Meyer (1990), which define a three-component model, namely the affective, calculative, and normative component of Organisational commitment. In common in these three perspectives is the link between the employee and the organisations in a logic of remaining in the institution, for different reasons. Employees with a strong affective commitment remain because they want to, with a strong calculative feeling because they need and with a strong normative commitment because they feel they should do so.

On Work Engagement, Maslach, Schaufeli and Leiter (2001) reaffirm that the relationship that people have with the difficulties associated with their work has been a phenomenon that has been recognized by several researchers in the modern era. They speak of emotions in the workplace that lead to decreased motivation, identification with work and Organisational commitment, reflected in the behaviour of an individual at work. Other important authors have been defining what the psychological contract is: *"a set of unwritten reciprocal expectations between the individual employee and the organisations"* (Schein, 1978); *an implicit contract between an individual and his or her specific organisations about what each expects to give and receive in their relationship* (Kotter, 1973); and *"the belief of an individual in relation to the terms and conditions of an agreement of reciprocal exchange between the person and the company; A psychological contract arises when a party believes that a promise of future return was made, a contribution was given, and therefore an obligation was created to provide future benefits"* (Rousseau, 1989).

2.2 Definition of Hypothesis

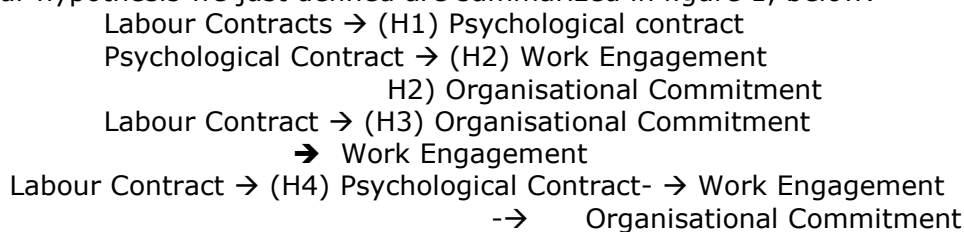
We defined four hypothesis that relate the four constructs just exposed. Namely:

- a) H1: The type of Labour Contracts influences the existence of a Psychological Contract and its types. H1 is based on the conclusions of Millward and Hopkins (1998), according to which the temporary short-term contract is associated to the Transactional Contract. Also Millward and Brewerton (1999) found that the Transactional Contract is strongly linked to temporary workers and the Relational contract to permanent workers
- b) H2: The Psychological Contract influences the Work Engagement and the Organisational Commitments and its different types. H2 is established through the findings of Millward and Hopkins (1998) when they describe that the Transactional Contract is linked to the temporary contract and neither loyalty nor Organisational Commitment is expected here. Correia and Mainardes (2010) demonstrate that the Transactional Contract is related to a reduced Work Engagement.

- c) H3: Labour contracts influence the perception of the Organisational Commitment and the Work Engagement. H3 is delineated through the research conducted by Chambel, Castanheira and Sobral (2016) comparing temporary workers versus permanent workers, aiming at the impact of human resource management in Work Engagement and Organisational Commitment; they conclude that there is a direct positive effect of HR practices on Affective Commitment and an indirect effect of HR practices on Work Engagement and from this to Affective Commitment.
- d) H4: The relation between Labour contracts and Organisational Commitment and Work Engagement is mediated by the Psychological Contract. Hypothesis (H4) is based on our own understanding of the relationship between the different types of Labour Contract and the impact generated in the Organisational Commitment and Work Engagement and can be explained by the Psychological Contract (Transactional and Relational). H4 is innovative part of the study.

2.3 Theoretical Model

The four hypothesis we just defined are summarized in figure 1, below:



2. Empirical study

2.1 Organisations Studied

Company A is a multinational that operates in the health area. The company's business model is based on manufacturing, contract manufacturing of pharmaceutical products and development of galenic forms for third parties to market, in a B2B business. Company A has around 200 customers throughout Europe, the USA and Japan. Its vision is to be recognized as the best solution in the world for manufacturing and developing products for the pharmaceutical industry. Its declared mission is to improve health through manufacturing excellence, with high quality standards and environmental commitment. The values announced by the company are put in practice through tenacity, reliability, professionalism and entrepreneurship. Company A has developed a policy of acquiring other plants in a market development strategy, acquisitions aimed at acquiring new manufacturing technologies, diversifying factories and products, building a broad network of customers and new geographic markets. With this strategy of growth the company managed to be listed on the stock exchange. In the future, the group aims to continue to focus on highly specialized technology for the sector, integrated products and services, ethics and business transparency, in order to optimize resources and maximize productivity. Company A embraces social responsibility by investing in environmentally friendly factories, having a strong concern with health and safety and local job creation. Accordingly, Company A has won the ISO 14001 environmental quality certificate and the OHAS 18001 management system health and safety for employees, and crucially these two certificates make the company more credible and ethical, responding to fundamental requirements to gain competitive advantage over its competitors. In Portugal Company A, produces about 150 products, in three business units; it employs around 300 workers and has a turnover of around € 55,000,000.

2.2 Data collection

We used three validated Liekert scales: a first one regarding Organisational Commitment with 19 items and 7 points (Meyer and Allen, 1997), a second one regarding Work Engagement with 15 items and 7 points (Schaufeli, Bakker, and Salanova, 2006), and the third one on

the Psychological Contract linked to with 32 questions and answers and 6 points (Rousseau, 2000). The questionnaire was administrated in Portuguese, made in Microsoft Word and later exported to a Google Docs online platform.

It was difficult to obtain the data, the first contact, describing the research project, the instruments to be used and the request for authorization for the data collection was made in a face to face meeting with the Director of Human Resources, who later forwarded the documents for approval by the administration. After the approval was given, meetings were held between the first author, and the director of human resources with the workers' direct supervisors. Finally, each direct manager emailed the google address of the questionnaire to the employees and a maximum limit of 10 working days was established for completing the questionnaire. For the codification of the respective variables and later statistical analysis we used SPSS Statistics 24 for Windows. For the analysis of the metric qualities of the instruments, the Confirmatory Factor Analysis was used to test the validity of the scales, and the software used was AMOS (Analysis of Moments Structures) Graphics 24 program. The reliability of the scale and the sensitivity of the scales and their dimensions were tested by the SPSS statistics program 24, as well as the association between the variables and their descriptive statistics. Trajectory Analysis or Path Analysis was used to study the relations between the manifested variables. Path Analysis is a particular application of Structural Equation Analysis to infer causality and is particularly appropriate for testing hypotheses of mediation and moderation (Marôco, 2014, p.144).

2.3 Results

2.3.1 Characterization of the sample

All the 60 members of the sample worked in the commercial area of company A. With regard to the employment relationship, 29 participants, corresponding to 48.3% are temporary and 31 participants are permanent, effective workers, corresponding to 51.7%, and ensuring a balance between the relevant types of labor contract. With regard to seniority we found that 27 participants, (45%), have been working for the company for less than 0-5 years, 18 participants, (30%), between 6-11 years, 8 participants, (13.3%), for more than 24 years, 5 participants, (8.3%), between 12-17 years and finally 2 participants, (3.3%), had worked for the company between 18-23 years. Therefore 55% of the participants had more than 5 years of experience in the company, and so we can conclude that the team is experienced and has good knowledge of the company. In socio-demographic terms, the sample consisted of 33 male participants, (55%) and 27 female participants, (45%), and therefore the gender participation was balanced. In terms of age, the 42-49 age group with 46.7% of the participants, that is, 28 total had the higher incidence; in the 50-57 age bracket we had 26.7% of the participants, corresponding to 16, in the 34-41 we had 15% of the sample with 9 participants, in the 58-65 bracket we had 6.7% with 4 participants and in the age group 26-33 we had 5% of the sample with 3 participants. We conclude that 80.1% of the participants are 42 years old, or older and this means once again that we have team with much experience. Finally, at the level of academic / academic qualifications, 46.7% of the participants, that is, 28, have an academic degree, 45% have secondary studies 12th year of schooling, which corresponds to 27 participants, 3 participants, 5%, have masters degrees, only 3.3% of the participants have nine years of schooling representing an educated population by Portuguese standards.

2.3.2 Descriptive Statistics of the Variables studied

A descriptive statistical analysis of the scales under study was carried out, which allowed us to understand the distribution of responses given by the 60 participants in the various constructs studied (see Table 1, below). WE and OC were measured in 7 points Likert Scale and PC with a 5 points Likert scale.

WE (MD = 6.02) has an average far above the central point (4), which indicates that the participants in this study have high levels of Work Engagement. Quite interestingly the lower value for WE in a question was slightly below the central point (3.59).

OC (MD = 4.73), had a much smaller average value, and Affective Organisational Commitment (MD = 5.07), had slightly higher value than Calculative Organisational Commitment (MD = 4.56) and Normative Organisational Commitment (MD = 4.47). Participants with Short Term Contract revealed higher levels of Organisational Commitment, Affective Commitment and Normative Commitment than the participants with Fixed Term contract. Regarding the Calculative Commitment the results were reversed and participants with fixed term contract showed higher levels.

The perception of Psychological Contract (MD = 2.41), is below the central point being even less in Relational Psychological Contract (MD = 2.37) than in Transactional Psychological Contract (MD = 2.47). This indicates that the participants of this study have a low perception of Psychological Contract. Participants with a short contract revealed higher levels of Psychological Contract and Transactional Psychological Contract than participants with a fixed-term contract. In relation to the Relational Psychological Contract the results were reversed and the participants with a long term contract showed higher values for this construct,

Table 1- Descriptive Statistics of the Variables

	Mínimal	Máximo	Average	Square Deviation
Work Engagement	3,59	7,00	6,02	0,79
Organisational Commitment	2,33	7,00	4,73	1,13
Affective Commitment	2,67	7,00	5,07	1,20
Calculative Commitment	1,00	7,00	4,56	1,55
Normative Commitment	1,50	7,00	4,47	1,32
Psychological Contract	0,53	4,06	2,41	0,79
Relacional Psychological Contract	0,36	4,45	2,37	1,02
Transaccional Psychological Contract	0,00	4,33	2,47	0,87

2.3.3 Association between Variables studied

In order to study the direction and intensity of the relationships between the variables (Bryman and Cramer, 2003), the Pearson's correlation was used (Table 2). It was found that WE was positively and significantly associated with OC ($r = 0.55$, $p < 0.001$), Affective Organisational Commitment ($r = 0.45$, $p < 0.001$), Organisational Calculative Commitment ($r = 0.52$, $p < 0.001$) and Normative Organisational Commitment ($r = 0.47$, $p < 0.001$), meaning that the higher the Organisational Commitment, the higher the levels of Work Engagement. It should be pointed out that among the dimensions of Organisational Commitment that one that has a stronger relationship with Work Engagement is Calculative Commitment.

The Psychological Contract has a significant and positive association with Organisational Commitment ($r = 0.49$, $p < 0.001$), with Affective Organisational Commitment ($r = 0.49$, $p < 0.001$) 0.26, $p < 0.05$) and Normative Organisational Impairment ($r = 0.45$, $p < 0.001$). The Relational Psychological Contract was significantly and positively correlated with Organisational Commitment ($r = 0.54$, $p < 0.001$), with Affective Organisational Commitment ($r = 0.52$, $p < 0.001$), with Calculative Organisational Commitment ($r = 0.32$, $p < 0.05$) and with Normative Organisational Commitment ($r = 0.49$, $p < 0.001$). The higher the perception of Psychological Contract and Relational Psychological Contract the greater the commitment of the participants to the organisations. It should be noted that among the dimensions of

Organisational Commitment, the one with the stronger association with Psychological Contract and with the Relational Psychological Contract was Affective Commitment.

Table 1: Association between the Variables in study

	1	2	2.1	2.2	2.3	3	3.1	3.2
1. Engagement	1							
2. Organisational Commitment	0,55***	1						
2.1. Affective Commitment	0,45***	0,85***	1					
2.2. Calculative Commitment	0,52***	0,81***	0,55***	1				
2.3. Normative Commitment	0,47***	0,89***	0,59***	0,66***	1			
3. Psychological Contract	0,02	0,49***	0,49***	0,26*	0,45***	1		
3.1. Relational Contract	0,08	0,54***	0,52***	0,32*	0,49***	0,93***	1	
3.2. Transactional Contract	-0,12	0,12	0,15	-0,01	0,13	0,60***	0,25	1

Nota. * $p < 0,05$; ** $p < 0,01$; *** $p < 0,001$

2.3.4. Validation of the model

For the Engagement Scale a three-Factor Model was tested with confirmatory factor analysis. The factors were the following Vigour (composed of items 1, 4, 8, 12 and 15); Absorption (composed of items 3, 6, 11, 14 and 16); Dedication (composed of items 2, 5, 7, 10 and 13). Three confirmatory factor analyses were performed: three factors (M1), three factors with second order factor (M2) and one factor (M3). In the M1 and M2 models, only one of the adjustment indices was adequate ($\chi^2 / gl \leq 5.00$, GFI > 0.90, CFI > 0.90, TLI > 0.90; RMSE < 0.08). However in the one factor model (M3) all adjustment indices are adequate or are very close to the reference values (Table 3), which means that the participants perceived this scale as being one-dimensional. Item 13 was removed because its weight was very low.

Table 2: Results of Confirmatory Factorial Analysis for the Engagement Scale

MODELO	χ^2/gl	TLI	CFI	GFI	RMSEA
M1	2,93	0,70	0,74	0,54	0,181
M2	2,93	0,70	0,74	0,54	0,181
M3	1,48	0,93	0,95	0,81	.090

Furthermore the when the internal consistency of this Engagement scale was analysed, Cronbach's Alpha was very high (0.95), so it can be concluded that this scale has a good internal consistency and that it did not improve significantly if any of its items were removed. For this scale on Organisational Commitment, a three-factor confirmatory factorial analysis was performed. The Three Factor Model included the following factors: Affective Commitment (composed of items 1, 2, 3, 4, 5 and 6); Compensatory Compensation (composed of items 7, 8, 9, 10, 11, 12 and 13); Normative Commitment (composed of items 14, 15, 16, 17, 18 and 19. Items 10, 11, 12 and 13 were withdrawn because they had a low factor weight. Confirmatory Factor Analysis found the scale to be adequate or very close to the reference values ($\chi^2 / gl \leq 5.00$, GFI > 0.90, IFC > 0.90, TLI > 0, RMSEA < 0.08). (See Table 4). Regarding the internal consistency, of the OC scale (Table 5) all the three dimensions have good *Cronbach Alpha values*, meaning that the internal consistency is good and it would not be bettered if any item was removed.

Table 4: Results of Confirmatory Factor Analysis of the OC Scale

X ² /gl	TLI	CFI	GFI	RMSEA
1,56	0,88	0,91	0,80	.097

Table 5 – Viability of the Organisational Commitment Scale

Scale	α	Dimension	A	Classification
Organisational Commitment	0,91 Very Good	Affective Commitment	0,83	Good
		Calculative Commitment	0,82	Good
		Normative Commitment	0,84	Good

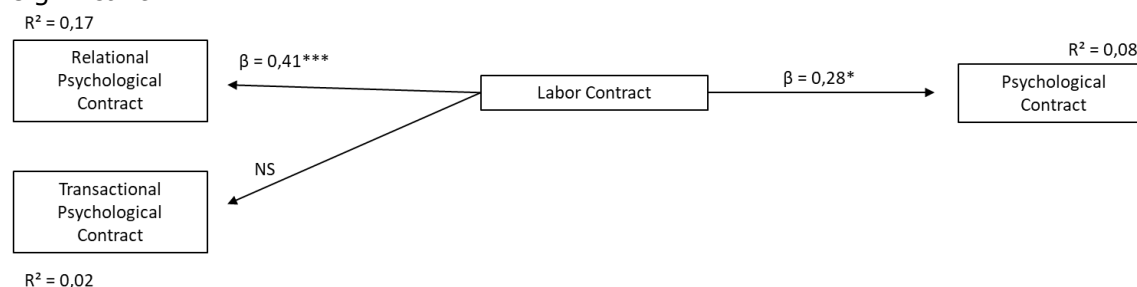
Finally, for the scale of the Psychological Contract, a two-factor confirmatory factorial analysis was performed. The following factors are taken into account: Relational Psychological Contract (composed of items 15, 16, 17, 18, 19, 20, 21, 22, 23, 24 and 29); Transactional Psychological Commitment (composed of items 25, 26, 27, 28, 30, 31 and 32). Item 27 was withdrawn because it presented a low factorial weight. Once the Factorial Confirmatory Analysis was carried out, all adjustment indexes were adequate or very close to the reference values ($\chi^2 / gl \leq 5.00$, $GFI > 0.90$, $IFC > 0.90$, $TLI > 0$, $RMSEA < 0.08$). Regarding the internal consistency of this scale (Table 6), the two dimensions had good Cronbach Alpha values, meaning that the internal consistency is good and it would not be bettered if any item was removed.

Table 6: Viability of the Psychological Contract Scale

Scale	Classification	Dimensão	α	Classification
		Transactional Psychological Contract	0,80	Good

2.3.5 Model estimation and test of hypothesis

Hypothesis 1 is partially confirmed (See figure 2, below). Namely the trajectory "Labour Contract to Psychological Contract" ($\beta = 0.28$, $Z = 2.22$, $p = 0.026$), is positive and significant. $R^2 = 0.08$ was obtained, which means that the Labour Contract accounts for 8% of the variability of the Psychological Contract. The trajectory "Labour Contract to Relational Psychological Contract" ($\beta = 0.41$, $Z = 3.42$, $p < 0.001$), is positive and significant. $R = 0.17$ was obtained, which means that the Labour Contract accounts for 17% of the variability of the Relational Psychological Contract. However, the trajectory "Labour Contract to Transactional Psychological Contract" ($\beta = -0.15$, $Z = -1.18$, $p = 0.235$), is negative, but not significant.

**Figure 2: Summary of the estimation of the Model for Hypothesis 1**

Note. * $p < 0.05$; ** $p < 0.01$; *** $p < 0.001$

Hypothesis 2 was not confirmed regarding the relation between the Psychological Contract and Work Engagement (see Figure 3, below). Namely, the trajectory "Psychological Contract to Work Engagement" ($\beta = 0.02$, $Z = 0.15$, $p = 0.883$), is positive, but not significant. The trajectory "Relational Psychological Contract to Work Engagement" ($\beta = 0.11$, $Z = 0.86$, $p = 0.390$), is positive, but not significant. Finally, the trajectory Psychological Transaction Contract to Work Engagement" ($\beta = -0.13$, $Z = -1.09$, $p = 0.276$), is negative, but not significant.

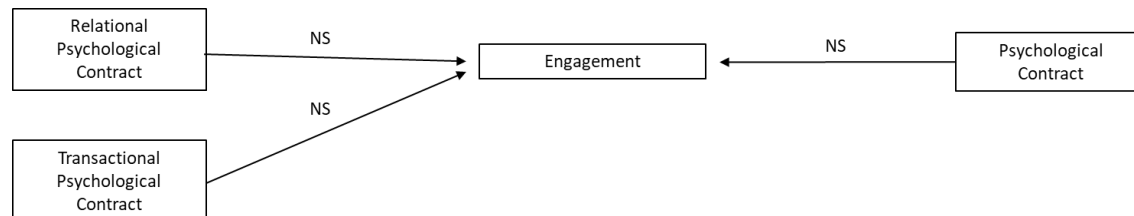


Figure 3 - Estimation of the Model for Hypothesis 2 with dimensions of the PC and WE

However, when the model was estimated relating Psychological Contract and Organisational Commitment the results were very different, and significant (see figure 4, below). Basically, the hypothesis was confirmed. Namely, the trajectory "Psychological Contract to Organisational Commitment" ($\beta = 0.49$, $Z = 4.32$, $p < 0.001$), is positive and significant. A $R^2 = 0.24$ was obtained, which means that the Psychological Contract accounts for 24% of the variability of Organisational Commitment. The trajectory "Psychological Contract to Affective Organisational Commitment" ($\beta = 0.49$, $Z = 4.29$, $p < 0.001$), is positive and significant. $R = 0.24$ was obtained, which means that the Psychological Contract accounts for 24% of the variability of Affective Organisational Commitment. The trajectory from Psychological Contract to Organisational Compensation Calculator" ($\beta = 0.26$, $Z = 2.10$, $p = 0.036$), is positive and significant. A $R^2 = 0.07$ was obtained, which means that the Psychological Contract is responsible for 7% of the variability of Organisational Compensation Calculation. The trajectory "Psychological Contract Normative Organisational Commitment" ($\beta = 0.45$, $Z = 3.90$, $p < 0.001$), is positive and significant. A $R^2 = 0.21$ was obtained, which means that the Psychological Contract accounts for 21% of the variability of Organisational Commitment.

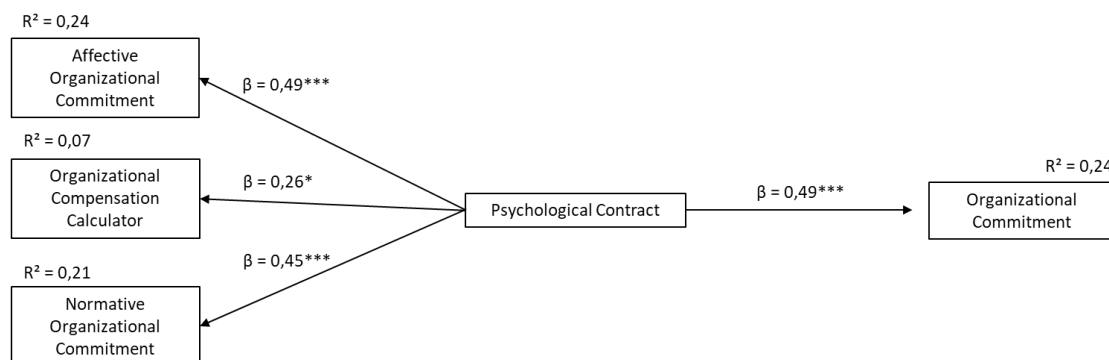


Figure 4: Estimation of the Model for Hypothesis 2 with dimensions of OC

Note. * $p < 0.05$; ** $p < 0.01$; *** $p < 0.001$

Finally, and very strikingly, when the various types of Psychological Contract were related with the various types of causes of Organisational Commitment, half (four in eight)

relations were found to be significant (see Figure 5, below). This hypothesis is partially corroborated, and it will be discussed later (see 2.4.1). Namely the trajectory Relational Psychological Contract to Organisational Commitment ($\beta = 0.54$, $Z = 4.50$, $p < 0.001$), is positive and significant. The trajectory "Relational Psychological Contract to Affective Organisational Commitment" ($\beta = 0.35$, $Z = 4.29$, $p < 0.001$), is positive and significant. The path "Relational Psychological Contract to Organisational Calculative Commitment" ($\beta = 0.35$, $Z = 2.76$, $p = 0.006$), is positive and significant. The trajectory "Relational Psychological Contract to Normative Organisational Commitment" ($\beta = 0.48$, $Z = 4.09$, $p < 0.001$), is positive and significant. All the four trajectories related to Psychological Transactional Contract were not significant. Relational Psychological Contract and the Transactional Psychological Contract are responsible for 29% of the variability of Organisational Commitment. Relational Psychological Contract and the Transactional Psychological Contract account for 27% of the variability of Affective Organisational Commitment. Relational Psychological Contract and the Transactional Psychological Contract are responsible for 23% of the variability of Normative Organisational Commitment. Psychological Contract and the Transactional Psychological Contract account for 11% of the variability of Organisational Commitment.

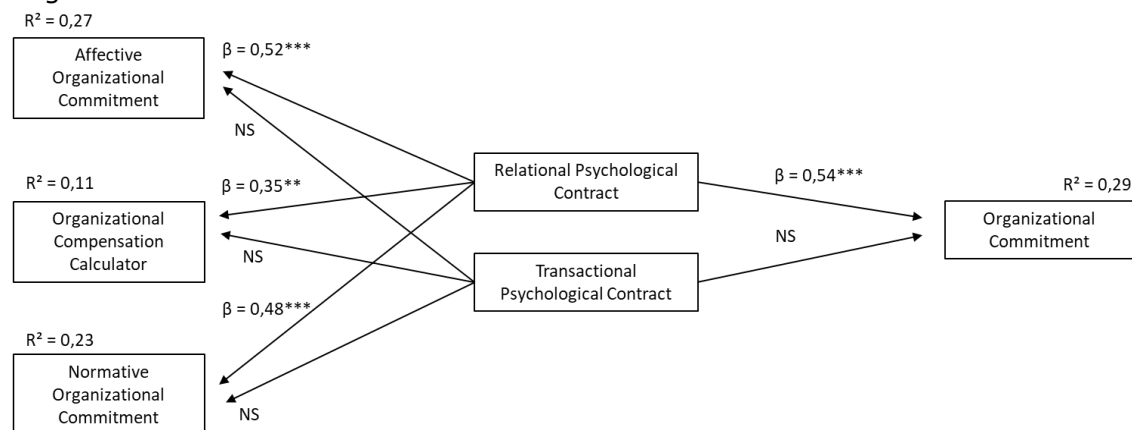


Figure 5: Estimation of the Model for Hypothesis 2 with the dimensions of OC and PC

Note. * $p < 0.05$; ** $p < 0.01$; *** $p < 0.001$

Hypothesis 3 was partially confirmed. The trajectory "Labour Contract to Affective Organisational Commitment" ($\beta = 0.29$, $Z = 2.31$, $p = 0.021$), is positive and significant. $R^2 = 0.08$ was obtained, which means that the Labour Contract accounts for 8% of the variability of Affective Organisational Commitment. All the other trajectories were not significant (See figure 6, below).

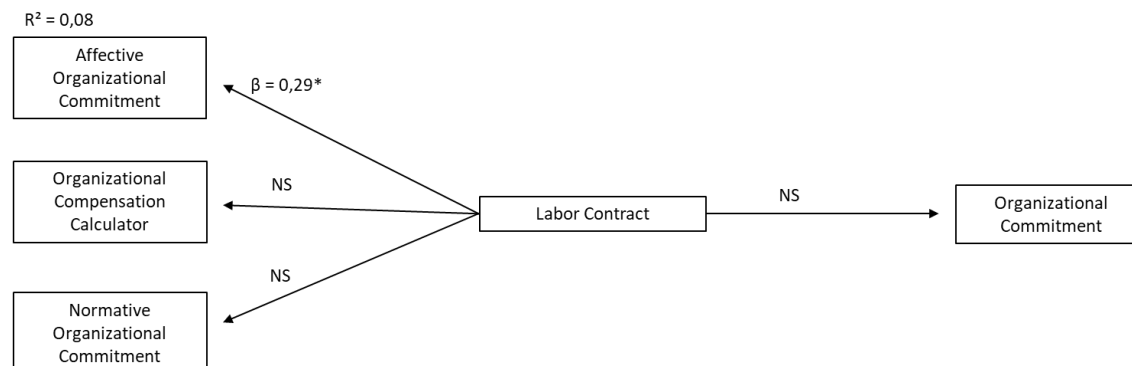


Figure 6: Estimation of Hypothesis Model 3

Regarding Hypothesis 4, when the mediator variable (Psychological Contract) is included in the model, it is verified that the trajectory "Labour Contract to Affective Commitment" ($\beta = 0.17$; $Z = 1.42$; $p = 0.156$) is positive but not significant. The trajectory "Labour Contract to Psychological Contract" ($\beta = 0.28$, $Z = 2.22$, $p = 0.026$), is positive and significant. The trajectory "Psychological Contract to Affective Commitment" ($\beta = 0.44$, $Z = 3.80$, $p < 0.001$), is positive and significant. A $R^2 = 0.26$ was obtained, which means that the Labour Contract and the Psychological Contract account for 26% of the Variability of Affective Commitment. These results indicate that when the Psychological Contract is introduced in the model, the Labour Contract no longer has a significant impact on Affective Commitment. This fact indicates that we are facing a total mediation effect.

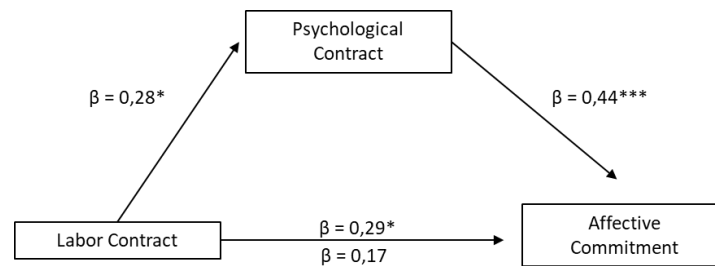


Figure 7: Mediator Effect of the Psychological Contract

Note. * $p < 0.05$; ** $p < 0.01$; *** $p < 0.001$

When the mediator variable Relational Psychological Contract is included in the model, it is verified that the trajectory "Labour Contract to Affective Commitment" ($\beta = 0.09$, $Z = 0.75$, $p = 0.452$) is positive but not significant. The trajectory "Labour Contract to Relational Psychological Contract" ($\beta = 0.41$, $Z = 3.42$, $p < 0.001$), is positive and significant. The trajectory "Relational Psychological Contract to Affective Commitment" ($\beta = 0.48$, $Z = 3.99$, $p < 0.001$), is positive and significant. A $R^2 = 0.28$ was obtained, which means that the Labour Contract and the Relational Psychological Contract account for 28% of the variability of Affective Commitment. These results indicate that when the Relational Psychological Contract is introduced in the model, the Labour Contract no longer has a significant impact on Affective Commitment, which indicates that we are dealing with a total mediation effect.

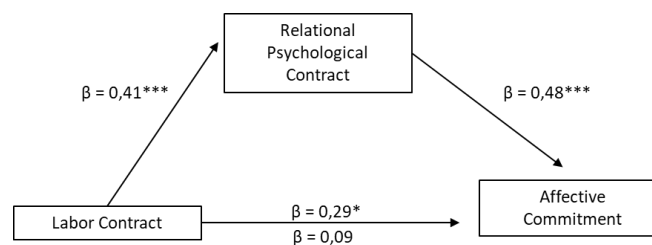


Figure 8: Mediator Effect of Relational Psychological Contract

Note. * $p < 0.05$; ** $p < 0.01$; *** $p < 0.001$

3. Discussion

3.1 Discussion of results over the hypothesis

Regarding Hypothesis 1, the results of the case study demonstrate there is a positive and significant relationship between the Labour Contract and the Psychological Contract: the Labour Contract is responsible for 8% of the variability of the Psychological Contract. We also found a positive and significant relationship between the Labour Contract and the Relational Psychological Contract: the Labour Contract is responsible for 17% of the variability of the Relational Psychological Contract. The relationship between the Labour Contract and the Transactional Psychological Contract is negative and not significant. In fact, participants had

a low perception of the Psychological Contract. In accordance with the Literature review, the permanent workers reveal higher levels of Psychological Relational Contract and the term / temporary workers show higher levels for the Transactional Contract.

The Psychological Contract is below the central point 2.5, and this should be a finding of great concern to Company A. It has been described in the literature what factors cause the Psychological Contract to raise: we speak of fair wages, good working conditions, job security and good practices and policies in the management of human resources; the low result we found, threatens the Organisational Commitment.

Regarding the second hypothesis, we found a positive and significant relationship between the Psychological Contract and the Organisational Commitment - the Psychological Contract is responsible for 24% of the variability of the Organisational Commitment. PC explained 24% of the variability of Affective Commitment, 21% of the variability of Normative Organisational Commitment and only 7% of the Calculative Organisational Commitment. It should also be emphasized that whereas the Relational Psychological Contract is related to affective, calculative and normative Commitment in a positive and meaningful way, the transactional psychological contract presents non-significant statistical data for the three dimensions of Organisational Commitment. In the descriptive statistics we can observe that although the OC is statistically positive and significant, its average values are very close, as it would be expected because of the lack of psychological contract, from the central point (4). As a whole OC had an average of 4.73, with only affective commitment higher than that (5.07), and calculative (4.56) and normative (4.47) lower.

Surprisingly, the participants with permanent contracts showed higher levels of Organisational, affective and normative commitment than the participants of fixed short-term contract, but in relation to the calculative contract the short-term contract participants had higher levels. We must reflect on this result.

We believe these data are explained because almost half of the participants entered the company recently, at the height of a deep economic crisis. And probably they are still more identified with previous companies where they had better conditions than with the current one – this fact should be taken in great care by the managers in order to reverse the situation.

It is worth noting that the higher the perception of the PC and the Relational Psychological Contract, the greater the commitment of the participants to the organisations and within this, the strongest association is that of Affective Commitment. Taking into account the literature review, the case study results are normal: in one hand workers with a permanent contract have higher levels of relational psychological commitment and greater Organisational commitment, they stay longer with the company, they are better paid and they have extra benefits. In the other hand, temporary workers present greater calculative commitment, a sign that for the moment, they do not leave the company only for the risk of not losing money.

Our research is in agreement with that previously studied in the review of the literature on the relationship between the PC and OC. Furthermore, the results demonstrated that there is no statistically significant relationship between the Psychological, Relational and Transactional Contract with Work Engagement.

The participants in this study have high levels of WE, presenting an average value of 6.02 for the central point of 4.0, and revealing the importance of participants with a term contract. WE is positively and significantly associated with Organisational, affective, calculative and normative commitment - the higher the OC the higher the WE levels. So, the results of the case study are in line with those of other previous researchers. The justification for this result at the level of WE may be in the profile of the participants: all participants are result oriented and for this they have to be fully involved with the work / task; we are talking about sellers, in addition to the base salary they bonuses that are exponential, the more they sell the more they earn. Also they are still subject to a strong monitoring by part of the company to achieve the objectives.

Regarding hypothesis 3 the results show that the different types of contract don't have significant statistical relation with Organisational, calculative and normative commitment. There is only a positive and significant relationship between the labor contract and the

affective Organisational commitment – in this case the labor contract is responsible for 8% of the variability of the affective Organisational commitment. Also, regarding Work Engagement there were also no significant differences in relation to the type of labor contract.

Finally, in hypothesis 4, it was only possible to study the mediating effect of the relational psychological contract in the relation between the labor bond and the affective commitment. In fact, the relationship between the employment contract and the psychological contract is positive and significant, the relationship between the psychological contract and the affective commitment is also positive and significant, the employment relationship and the psychological contract are responsible for 26% of the variability of the affective commitment. The results indicate that when we introduce in the model the psychological contract, the labor bond no longer has a significant impact on the affective commitment, which indicates that we are facing a total mediation effect.

3.2 Practical Implications

Given that our research has a very entrepreneurial character, the practical implications and future decision-making for the management of the business unit, given the results, are of high importance and directive. Fundamentally one must work the fit person-organisations. Taking into account the results in the Organisational Commitment it is urgent to emotionally link the workers to company A, the entire process of human resources management should aim at improving the relationship of the sales force with the organisations, improving non-economic factors, treating workers as a whole and not in a transactional way to achieve the objectives of the company, focus on the needs of employees, internal customer logic. Working on the more global concept of job satisfaction emphasizing Organisational goals and values, reflecting at the level of the leadership model, should shift to more informal, decentralizing, less controlling leadership for more innovation. A plan for integration, reception and career management should be built in the organisations. Work for the identification of workers in the identification of the organisations, socialization actions, work conflict management and intergroup relations.

At the level of Work Engagement, improve human resource management processes that give more Organisational Commitment, develop work / emotional wellness policies, work on the satisfaction dimension, these constructs are very important for corporate citizenship, care about pay equity, reduce imbalances, and improve the process of feedback and recognition. To improve the psychological contract, we have to work the confidence between the workers with the company. Fundamental to the company to modify the way it deals with the sales force, the sales force as human capital and not a single resource for the purposes of the company. Taking into account that our research has a very entrepreneurial character, the practical implications and future decision-making for the management of the business unit, in view of the results, are of great importance and directors. Basically, you must work the person organisations fit.

3.3 Research Limitations

Larger samples increase the probability of reflecting the traits of the distribution of a given population and understand the results of the research. In this case study the reduced sample of 60 participants annulled the possibility of integrally testing all relations of the various dimensions between the constructs. Taking into account a case study the research plan to better understand the results obtained could have resorted to some exploratory interviews.

4. Conclusive Comments

4.1 Conclusions

The present case study answered the question of the research through the obtained results, it also demonstrated the profile of the commercial team, of 60 participants, as a whole and according to the employment relationship, at the level of the studied constructs,

Organisational Commitment, work engagement and the Psychological Contract. As we can verify the commercial team of company A has a positive and significant Organisational Commitment, but very close to the central point, which demonstrates a concern for the management of the work unit. Full-time contract participants demonstrate greater Organisational Commitment to full-time contract participants, which is corroborated by the literature. The term participants showed even greater affective and normative commitment to the participants of the fixed-term contract, but in the calculative Commitment the opposite happened.

Participants of the commercial team demonstrated a high level of work engagement with very similar values between the two employment ties, permanent contract and term. In this case study we can see that engagement is positively and significantly associated with Organisational, affective, calculative and normative commitment, which indicates that the higher the level of Organisational commitment, the higher the levels of engagement. Regarding the results of the Psychological Contract, the participants showed a low perception of the Psychological Contract, the Psychological, relational and transactional Contract is below the central point. The permanent participants present higher levels of psychological and relational contract with the fixed term workers, for the transactional psychological contract the opposite, the term participants have higher levels in relation to the permanent ones. There is no association between the Psychological Contract and engagement but there is a positive and significant association with Organisational Commitment, affective, calculative and normative. The higher the perception of the psychological contract and mainly the greater the relational is the Organisational commitment of the participants. The strongest association is between the relational psychological contract and the affective commitment.

The results of this case study also revealed that there is a relationship between the employment contract and the psychological contract that is positive and significant, the relationship between the psychological contract and the affective commitment is also positive and significant, the results indicate that when we introduce in the model the psychological contract the labor bond no longer has a significant impact on the affective commitment, which indicates that we are facing a total mediation effect, but only for this construct.

The results presented at the level of the psychological contract and in the Organisational Commitment expression that the participants are not totally emotionally involved with the organisations, the business challenge facing the constant changes is to work on the development of employee Engagement or employee brand, attention to talent within organisations and for this the processes and practices of human resources should be revisited, to a large extent these are determinants for the relationship between employers and employees, improve the fit person-organisations.

4.2 Suggestions for future studies

Given the results of this paper a new research question is whether the existence of different types of "workforce" contracts with different profiles at the level of Organisational Commitment and Psychological Contract has any influence on the results obtained in the workers' performance.

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Common 'insights' and 'lessons' on evidence-based initiatives for Organisational Change and Development (OCD): A study of critical reflections on change agency practice in Anglo and non-Anglo Countries

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Abstract

This study addresses the paucity of Organisational change and development (OCD)- and change management-related 'best evidence' by conducting a qualitative content analysis and multiple cross-case comparative analysis of: a) 33 critically reflective case histories of specific OCD initiatives conducted within single organisations settings of which most were evidence-based; and, b) various critically reflective perspectives on evidence-based practice (EBP) in the field of change management in general and OCD in particular. The purpose of this study was to glean common insights from the empirical source data that other OCD practitioners have used to help enhance their change agency capabilities to address this overarching question: *Can the 'reality' of Evidence-based Organisational Change and Development (EBOCD) be demonstrated empirically within the world of change management and OCD change agency practice?* The findings offered validation for the 'original' common insights and lessons (CILs) from a previous study but also present 10 emergent 'new' CILs resulting from this study together with the confirmatory 'seasoned' practitioner insights. The results have relevance and utility for managers and human resource development (HRD) professionals who may be leading and/or supporting change initiatives.

Keywords: Organisations development, organisations change, change management, evidence-based practice, change agency practice, reflective case histories

1. Introduction

Globalization, information technology, and managerial innovation require that organisations adapt, respond, and seek creative solutions to remain competitive and effective (Cummings and Worley, 2018). Organisations development plays a key role "in helping organisations to change themselves" (Cummings and Worley, 2018, p. 5). However, literature suggests over 70% of Organisational change programs fail or are not fully successful (Burnes and Jackson, 2011; Carnall and Todnem By, 2014), and that workplace challenges posed by Organisational change and development (OCD) initiatives typically have a negative impact on employees (Shook and Roth, 2011; ten Have et al., 2017). Consequently, various scholars have suggested Organisational leaders, managers, and HRD professional practitioners should strive to become more critically reflective and evidence-based in their OCD-related change agency practices to improve the chances of change success. However, Hamlin (2001; 2016) and McLean and Kim (2019) contend that a major obstacle is the continuing paucity of relevant management and OCD-related Mode 1 and Mode 2 research that change agents can draw upon to use as 'best evidence' for informing, shaping, and critically evaluating evidence-based Organisational change and development (EBOCD) initiatives.

2. The critical role of Managers and HRD Professionals

The need for managers to initiate and facilitate 'Organisational change' (OC) and 'organisations development' (OD) programs effectively and beneficially in the 21st century is increasing in frequency, pace, and complexity (Cummings and Worley, 2018; see also Hamlin, Keep and Ash, 2001). In this context, a major challenge facing modern day managers and

HRD professional practitioners is how best to help staff cope effectively within working environments that are in a state of constant flux and with the transitions of major change programs. Unfortunately, many OCD programs fail because managers and their HRD colleagues, as well as many external professional change-agents (e.g. OD specialists, management consultants, executive coaches, etc.) whose services are used in support roles, find themselves unable to rise to the challenge. Some of these failings are attributed to managers' lack of knowledge about change agency practice, the temptations to implement 'quick fixes,' and not fully appreciating the importance of leadership, culture, and people issues. Further, managers may not appreciate, or find credible, the contributions of human resource development professionals to change processes. However, for those organisations that do facilitate OCD programs effectively and beneficially, change initiatives become welcomed as opportunities for increasing efficiency and for building new Organisational success.

Although it may be widely recognized that most managers in most organisations are to a greater or lesser extent agents of change, this cannot be assumed to be the case for most HRD practitioners. Historically, many if not most HRD practitioners have lacked high 'credibility' in the eyes of line managers. For some, this has not been helped by being part of HR departments which have also lacked status due to: a) the dominant focus on personnel administration, and b) line managers being frustrated with their experience of HR staff who are too rigid, do not understand the business, and who seem always about to say 'no' when they need them to figure out how to make things work (Hamlin, 2001a; Cardillo, 2012). Thus, managers have placed uniformly low role expectations on the HR function (Thornhill et al., 2000; Ulrich, 1997), and by association also on the HRD function.

The role of modern day HRD practitioners should embrace both the Organisational Development and Design and talent development aspects of the Talent Management fields of practice as defined by the Chartered Institute of Personnel and Development in the United Kingdom, as well as the Learning and Development field of practice. Stewart (2015) claimed HRD professional practitioners are change-agents skilled in advising and helping managers with the facilitation of OCD programs, either in their capacity as a colleague or as an external consultant. Indeed, Stewart and others have argued that HRD is of itself a strategic function which, when fully utilized, can have a significant impact on the survival and long-term business success of organisations (see Fredericks and Stewart, 1996; Stewart and McGoldrick, 1996). This view is reflected in an 'all-embracing', 'catch-all', 'composite' but 'non-definitive' statement of HRD offered by Hamlin and Stewart (2011) which asserts that, in essence:

"HRD encompasses processes, activities or interventions" which "enhance Organisational and individual learning, develop human potential, improve or maximize effectiveness and performance at either the individual, group/team and/or Organisational level, and/or bring about effective, beneficial personal or Organisational behaviour change and improvement" (p. 213) within, across, and/or beyond the boundaries of private, public and third sector organisations, entities, and other types of host system.

This understanding of HRD is consistent with Phillips and Shaw's (1989) 'consultancy approach for trainers' which involves HRD practitioners increasingly operating not only as 'training consultants' and 'learning consultants' but also as 'Organisational change consultants'. Thus, both in theory and practice, the contribution of appropriate HRD consultancy type practices can be a major influence on the interplay of culture, leadership, and commitment of employees through:

- a) shaping Organisational culture;
- b) developing current and future leaders;
- c) building commitment among organisations members;
- d) anticipating and managing responses to changing conditions

(Gold, Holden, Iles, Stewart, and Beardwell, 2009).

This view aligns with McKenzie, Garavan and Carbery's (2012) observation that:

"the shift from operational and tactical HRD to strategic HRD has witnessed a metamorphosis for HRD practitioners increasingly becoming strategic partners in the business tasked with aligning people, strategy, and performance rather than simply promoting learning and development" (p. 354).

It also resonates with Kohut and Roth's (2015) view that "HRD practitioners and scholars need [increasingly] to enter the fray of the discussion on change management" (p. 231).

3. The case for an evidence-based approach

It has been argued that, for managers and HRD Professionals including trainers, developers and other 'people and organisations developers' such as OD specialists and executive coaches, to become truly expert, they need to use the findings of high quality 'management' and 'HRD-related' research to inform, shape, and evaluate the effectiveness of their change agency practice (Hamlin, 2001b). More recently, it has been argued that HRD professional practitioners should strive to become more critically reflective and truly evidence-based so as to improve their effectiveness and credibility in the eyes of senior executives and managers (Gubbins et al., 2018; Hamlin, 2007; Holton, 2004; Kearns, 2014). Similarly, Rousseau and Barends (2011) have argued the case for human resource/human resource management (HR/HRM) practitioners in general to become evidence-based, and Grant (2003) has called for evidence-based approaches to practice in the field (and business) of professional coaching. Similar calls have been made for managers and leaders to advance their professional practice using high quality research to become evidence-based, and there are many advocates of evidence based management (EBMgt) including Axelsson (1998), Brewerton and Millward (2001), Briner, Denyer and Rousseau (2009), Latham (2009), Pfeffer and Sutton (2006), Rousseau (2006, 2012), and Stewart (1998).

The argument that managers and HRD professional practitioners should be critically reflective and evidence-based in their professional practice is compelling bearing in mind the increasing complexities, contradictions and paradoxes of organisations which make the tasks of facilitating OCD complicated (Hatton, 2001; Vince, 2014).

These tasks invariably include the taking of action to:

- a) Understand and make sense of the organisations and what is going on;
- b) Formulate appropriate well-informed change strategies;
- c) Implement these strategies effectively and efficiently;
- d) Critically evaluate the effectiveness of the change process;
- e) Reflect critically upon their own professional practice to draw lessons for the future.

To meet the challenge of implementing complicated change agency tasks caused by the potential complexities, contradictions and paradoxes of change settings, evidence-based managers and evidence-based HRD practitioners (including OD consultants and executive coaches) need increasingly to use 'best evidence' to inform, shape, and evaluate their change agency practice. This could include: a) Mode 1 'scientific research' which is concerned with *conceptual knowledge* production and the testing of theory; b) Mode 2 'applied research' which is mainly concerned with *instrumental knowledge* production to solve real-life problems; or c) 'best evidence' of lesser strength such as 'descriptive studies', the 'opinion of respected expert committees', or 'situated expertise' based on the proficiency and judgment that individual managers acting as change agents acquire through experience and practice (Morell, 2008; Reay, Berta, and Kohn, 2009; Rynes and Bartunek, 2017; Tourish, 2013). Furthermore, regardless of the approach they adopt or the strength of 'best evidence' used to facilitate an OCD program, they need in general to build into their planned change agency activities sufficient time for review and critical reflection. From such reflection new theoretical insights

can be gained as to why particular aspects of OCD programs succeed or fail. Additionally, new ways of approaching the problems of change may emerge through the development of 'lay theories' informed by their own professional practice. These are the types of key lessons that resulted from the practitioner 'reflections on practice' reported by Hamlin (2001b) in Hamlin, Keep and Ash (2001). The practical importance of internal/in-company Mode 2 research, and in particular 'design science' research as defined by van Aken (2005, 2007) and advocated by this and various other writers (Hamlin, 2007; Kuchinke, 2013; Sadler-Smith, 2014) to generate *instrumental knowledge* to better understand the change context and help solve context-specific real-life problems, cannot be over stated.

In summary, if managers and HRD professionals consciously use good/high quality Mode 1 and Mode 2 research whether conducted from the philosophical perspective of a particular research paradigm or the pragmatic approach, or if they use other forms of lower strength 'best evidence' to help inform, shape, and evaluate their change agency practice, then it is more likely that their resulting 'evidence based OCD' interventions will be more effective in bringing about beneficial change that leads to the intended desired state, rather than to an undesired and unintended state. However, the present dearth of OCD-related 'best evidence' derived from Mode 1 research has led some writers to question whether the 'rhetoric' of EBOCD will ever become a practical 'reality' (see McLean and Kim, 2019), although numerous examples of EBOCD informed by Mode 2 research and other forms of lower strength 'best evidence' can be found in Hamlin, Ellinger and Jones (2019). This study attempts to add to the comparative sparse body of 'best evidence' derived from the 'situated expertise' of managers, HRD and OD professionals, executive coaches and other change management consultants who have facilitated or helped to facilitate EBOCD initiatives within the past 10 years or so.

4. Purpose of the Study and Research Questions

The purpose of this study was to glean common insights from the empirical source data that other OCD practitioners have used to help enhance their change agency capabilities to address this overarching question: *Can the 'reality' of EBOCD be demonstrated empirically within the world of change management and OCD change agency practice?* Four specific research questions were addressed as follows:

- RQ 1 What insights and lessons (ILs) about EBOCD can be deduced from the qualitative content analysis of the selected critically reflective case histories of specific evidence-based (or not) OCD initiatives within 33 single organisations settings situated in 4 Anglo and 11 non Anglo countries across five continents?
- RQ 2 To what extent do the ILs identified by RQ1 lend support to 10 'original' common insights and lessons (CILs) previously derived by Hamlin (2001) from 16 UK based and two non-UK based critically reflective case histories published in Hamlin, Keep and Ash (2001).
- RQ 3 Can other 'new' CILs be identified by subjecting the ILs identified by RQ1 to multiple cross-case comparative analysis?
- RQ 4 What insights about effective OCD and EBOCD practice can be identified by a qualitative content analysis of the perspectives on EBOCD of 15 'seasoned' OCD practitioners from 2 Anglo and 4 non Anglo countries, and to what extent do they lend support to the 'original' CILs used as coding categories for addressing RQ1 and RQ 2 and/or lend support to the 'new' CILs identified by RQ3?

5. Research Method

The philosophical stance adopted was based on the pragmatic approach (Morgan, 2007) which allows researchers to deploy a research methodology and methods best suited for addressing the research questions, rather than being constrained by what is privileged by a particular research paradigm.

To address RQ1-3, we invited the 33 sets of case history writers to make explicit the main 'insights' and 'lessons' (ILs) to be gained/learned by readers from their stories of, and

critical reflections upon, their personal OCD change agency practice whether or not they had considered at the time that the OCD initiative had been 'research-informed' or 'evidence-based'. Although we asked them to summarize these ILs in the 'concluding reflections' section of their case histories, we assumed other ILs might also be identifiable within the 'main text'. Hence, we subjected the entire content of each reflective case history to qualitative theoretical coding. This involved using *open* coding at the first level of analytic abstraction to disentangle the data line-by-line and sentence-by-sentence, and thereby identify segments (key words, phrases and sentences) that could be expressed in the form of concepts (units of meaning) to which codes could be attached (Flick, 2014). The disentangled expressions which could be identified as 'insights' or 'lessons' were classified and deductively mapped against the 'original' 10 common 'insights' and 'lessons' about OCD practice that Hamlin (2001) previously deduced from 18 'critically reflective', 'research-informed' and in some instances 'evidence-based' case histories (Hamlin, Keep and Ash, 2001) (See Table 1). The ILs that could not be mapped were subsequently subjected to inductive *axial* coding to differentiate and group them into categories and thereby identify (if possible) a set of emergent 'new' CILs. This process involved searching for evidence of *sameness*, *similarity* or *congruent* meaning between the codes. *Sameness* was deemed to exist when the codes of two or more units of meaning were identical or near identical. *Similarity* was deemed to exist when the sentences and/or phrases of the coded concepts were different, but the kind of meaning was the same. *Congruence* existed where there was an element of sameness or similarity between the compared coded concepts.

Table 1: Past common insights/lessons (CILs) about effective OCD and research-informed and evidence-based change agency

- 1) Communicating with all stakeholders for the purpose of securing common ownership, commitment and involvement.
- 2) Securing the active commitment, involvement and participation of senior to middle managers is pivotal
- 3) Securing top management support.
- 4) Being clear, consistent and open with regard to what you are seeking to achieve, setting clear strategic objectives and sharing the vision.
- 5) *Recognising and addressing the real problems or root causes of change agency problems, including the cultural dimensions*
- 6) Giving enough time for the OCD program to take root and succeed
- 7) Recognising the relevant contributions that the HR function can make and the strategic role it can play in bringing about transformational change.
- 8) The role of learning in the change management process and the need for a no-blame culture
- 9) *The importance of being reflective as a change agent*
- 10) *The value of conducting internal research as part of the change agency practice*

Note: The insights/lessons in *italics* clearly relate specifically to evidence-based OCD initiatives

Source: (Hamlin, 2001)

To address RQ 4, the selected OCD perspectives on EBOCD presented in Hamlin, Ellinger and Jones (2019) within Section 2 of their book were subjected to inductive content analysis in the same way as the reflective case histories had been examined. Please note, the 'raw' empirical source data for this study is the same as that presented in various chapters of the book *Evidence-Based Initiatives for Organisational Change and Development* published by IGI Global in early 2019 (see Hamlin, Ellinger and Jones, 2019).

6. Results

6.1 Addressing RQ1-RQ3

As stated, the set of 10 common 'insights' and 'lessons' about OCD practice that Hamlin (2001) previously deduced were used as deductive coding categories to conduct a qualitative *multiple cross-case comparative analysis* (MCCCA) of the 33 reflective case histories of specific OCD initiatives in single organisations contexts. The primary aim of the MCCCA was to search for commonalities and relative generalizations across the case histories, and assess the extent to which the findings supported Hamlin's (2001) equivalent study conducted 18 years or so ago. The secondary aim of the analysis was to identify (if possible) emergent 'new' CILs about effective OCD initiatives and evidence-based change agency. The results of the MCCCA of the reflective case histories are shown in the form of a grid (see Table 2). For each case history the 'x' in a grid box indicates those 'original' CILs that are supported and thus validated by one or more ILs identified within the 'concluding reflections' section of that case history. The 'y' in a grid box indicates those 'original' CILs that are supported by one or more ILs from both the 'main text' and the 'concluding reflections' section. And the 'z' in a grid box indicates those 'original' CILs supported by evidence from the 'main text' section only.

Table 2: Result of MCCCA of the Section III chapters (reflective case histories)

Case Histories (CHs)		Original common 'insights' and 'lessons' learned (CILs) (Hamlin, 2001)										Number and types of OCD-related 'best evidence' references cited in the CHs			
Lead Authors	Chptr No.	1	2	3	4	5	6	7	8	9	10	a	b	c	d
NZ and UK															
G. Greenwood	19	z	z	z								4	1	3	
D.Devins	20	y	y		y	y		x			y	3			1
K Hatton	21	x	x	x	x		x		x	y	y	1		1	5
R. Holden	22	y	y	y							z	9	1	5	2
R Jahnke	23	y		y	y		x		x	x		3			
T. Kibble	24	x		x	x		z	y	z		z	3	1	2	
S. Lawson	25	x	x		x		x		y	y	y	4	9		3
C. Lees	26						x		z	z		7	1	1 2	
B. D'Souza	27	x	x	x	z		x		y	y	z	2	6	1	
P.Watt	28			z		z			y	y	y		5	1	4
USA															
J. Baaki	29	y	y		y		y		y	y	z	4			
A Church	30	y	y				y				z	6		2	3
D. Drake	31	x	y	y		y			x		x	5	1	1	
T Egan	32	z			x					x	y	2	3	6	
J. Flesher	33	z	x		x				x	x	x	3	3		
J O.'Neill	34			x			x		y	z	z	2	4		1
L. Quast	35	x	y	y	x	y	x	x	y	x	x	1 4	9	2 4	2
T Shindell	36	x	x	z	y			x		x	y	1	2		
Non-Anglo															
M. Woodbridge	37	y	y		x		y	z			x	6		1	
N. Jaspers	38	y	y	y	x	z	x	x	y		x	2	1		3
V. Pathak	39	x	x			x	x			x	x	2		1	1

F. Ferrari	40					y				y	y	5		6	
C. Saliba	41	y	x	y	x	x						5			
M. Loon	42	y	x									4	2	3	1
M. Boonen	43		x		x	z	x		z	y		5	3		2
G.Brekelmans	44	y	y	y	x	z	x			x		4	2		
C Ehlen	45	x	x	y			x			x	z		2		2
W. ten Have	46					z	x			z	x	4	3	5	
D. Ropes	47	x	x		x	y	x		y	x		1	1	2	1
J. Farinha	48	x								x	x	2	4	3	
S Lau	49	y	z			y	x		y	x	y	1		1	1
K Watkins	50	y	y	z			x		y		y	1	4	2	3
K Dirani	51	y	x		y		y		y	x		1	1	2	
No. of CHs		27	24	1	1	1	21	6	1	2	2				
				6	8	3			8	2	4				
No. of Refs												1	6	8	35
												1	9	4	
												6			

***CILs Categories:** 'x' denotes supporting evidence from 'concluding reflections' only; 'y' denotes supporting evidence from concluding reflections and main text; and 'z' denotes supporting evidence from main text only

****Types of OCD Best Evidence Publications in the Reference Lists of the CHs:** 'a' change management/OCD books/handbooks and HBR; 'b' books/articles on specific OCD related theories and models; 'c' articles on OCD related Mode 1 and generalised Mode 2 research; 'd' articles/reports on organisations/sector specific Mode 2 research or investigation

Overall, the authors of 27 of the 33 (81.82%) case histories identified aspects of *Communicating with all stakeholders for the purpose of securing common ownership, commitment and involvement* [in the change facilitation process] as a key insight/lesson regarding effective OCD and EBOCD change agency practice. The next two most supported 'original' CILs were: *Securing the active commitment, involvement and participation of senior to middle managers*, and *The value of conducting internal research as part of the change agency practice* with the authors of 72.73% (n=24) of the case histories having identified various aspects of these two respective coding categories in the 'main text' and 'concluding reflections' section of their respective stories. Five of the other 'original' CILs were supported by over (or just under) 50% of the case histories, namely: *The importance of being reflective as a change agent* (22 of 33); *Giving enough time for the OCD programme to take root and succeed* (21 of 33); *Being clear, consistent and open with regard to what you are seeking to achieve, setting clear strategic objectives and sharing the vision* (18 of 33); *The role of learning in the change management process and the need for a no-blame culture* (18 of 33); and *Securing top management support* (16 of 33). It is noticeable that *Recognising and addressing the real problems or root causes of change agency problems, including the cultural dimension* was supported by only 39.39% (n=13) of the case histories.

The reason for this may be due to the fact that most of the OCD practitioner authors of the case histories had acted in the role of internal change agents and may have already identified the real problems and root causes for the change, or they had been external consultants who had been working with the change managers in collaborative partnership from the time the OCD initiative had been first triggered by a problem where its root cause was not in question. However, we suggest this 'original' CIL, which is relevant to all external management consultants at the contracting phase of a new 'consultant-client' relationship, should not be thought of as anything less crucial than any of the more supported CILs.

Surprisingly, the CIL *Recognising the relevant contributions that the HR function can make and the strategic role it can play in bringing about transformational change* was supported by just 18.18% (n=6) of the case histories. This limited supporting evidence might be a reflection of the negative view that many line managers have of the HR function and of HR professionals in general, as previously discussed.

Of the 10 'original' CILs used as coding categories, 7 have been strongly validated by over 50% (18 to 27) and a further 2 by over 40% (13 and 16) of the 33 critically 'reflective case histories'; and only 1 CIL was weakly validated with just over 18% (n=6) of the case histories. The *axial* coding of the ILs resulting from the multiple cross-case comparative analysis that could not be mapped against the 10 'original' CILs led to the emergence of 10 'new' CILs, as shown in bold typeface in Table 3. Also included are details of the particular book chapters from which the respective clusters of ILs underpinning them had been obtained.

Table 3: Emergent new common 'insights' and 'lessons' (CILs) and book chapters from which their respective ILs had been obtained

	Emergent New Common 'Insights' and 'Lessons' (CILs)
1	Create a vision and set of values that engage everyone Chapter Nos. : 20, 25, 43 / 22, 30, 35, 38, 41, 46
2	Allow participative 'bottom up' initiatives in the change process Chapter Nos: 20, 29, 35, 45/ 31, 38, 43, 50
3	Adopt a shared/distributive leadership approach Chapter Nos: 22, 49/ 31, 51
4	Engage participants affected by the change by giving them voice, using their expertise , involving them, and treating them as active collaborative partners Chapter Nos: 19, 25, 33/ 22, 31, 34, 35, 38, 41
5	Recognise the power of trust and build on it Chapter Nos: 43, 49/ 47
	Underpinning ILs Build on trust and not rely on control [43] Recognize the 'power of trust' which is the foundation of any relationship [49] <i>Based on this trust, the owner approved the plan [47]</i>
6	Use theory and models as change agency tools, and draw upon sources of 'best evidence' to inform and guide OCD processes Chapter Nos: 27, 30, 32, 40/ 20, 21, 22, 24, 26, 28, 29, 31, 33, 34 , 36. 37. 39, 41, 42, 43, 45
7	Ensure understanding of individuals' interests and the power relationship between those involved in the change, and also respect their perspectives Chapter Nos: 19, 38, 44, 48/ 27, 36, 40, 44, 49
8	Ensure collaboration between internal external (or internal) change consultants and the internal client change agents Chapter Nos: 30, 32/ 31, 38
9	Ensure all change agents involved in the OCD processes become fully skilled and act as a team Chapter Nos: 31, 32, 43/ 22, 27, 29, 46, 48
10	Ensure the 'soft' social/interpersonal relations/cultural aspects of OCD are given as much attention as the 'hard' strategy, structure and systems aspects Chapter Nos: 19, 32, 47/ 24, 25, 26

Note: The ILs in normal typeface were identified in the 'Concluding Reflections' section of the reflective case histories whereas the *italicized* ILs were identified in the 'Main Text'.

In summary, the results suggest that OCD practitioners should:

1. Create a vision and set of values that engage everyone
2. Allow participative 'bottom up' initiatives in the change process
3. Adopt a shared/distributive leadership approach
4. Engage participants affected by the change by giving them voice, using their expertise, involving them, and treating them as active collaborative partners
5. Recognise the power of trust and build on it
6. Use theory and models as change agency tools, and draw upon sources of 'best evidence' to inform and guide OCD processes

7. Ensure understanding of individuals' interests and the power relationship between those involved in the change, and also respect their perspectives
8. Ensure collaboration between external (or internal) change consultants and the internal client change agents
9. Ensure all change agents involved in the OCD processes become fully skilled and act as a team
10. Ensure the 'soft' social/interpersonal relations/cultural aspects of OCD are given as much attention as the 'hard' strategy, structure and systems aspects

6.2 Addressing RQ4

The chapter contributions in Section 2 of the book (Hamlin, Ellinger and Jones, 2019) presented a variety of critical reflections on EBOCD practice from authors who are: academics writing and researching about OCD of whom some have been engaged in collaborative academic and industry partnerships; internal or external OCD-related consultants; and others who have amassed both insider and outsider knowledge of OCD through their various roles. Many of these authors presented perspectives on cases of OCD initiatives that represented diverse sectors such as education, finance, and transportation. The change interventions ranged from training and coaching programmes, to quality management, culture change, strategic direction, data-driven decision-making, acquisitions, and applied theatre. Moreover, these contributions comprised an array of perspectives on evidence-based practice (EBP) associated with OCD initiatives in a wide range of Anglo and non-Anglo countries including Australia, Brazil, Germany, Italy, Palestine, the United Kingdom (UK) and many other countries.

A synthesis based upon our readings of these contributions suggests that there are four important factors that influence effective Organisational change (OC) which are consistent with existing literature. These factors include: 'context', 'leadership', 'communication', and 'collaboration'. Furthermore, our review of their 'critical reflections' upon EBOCD practice suggest that these authors had demonstrated their commitment to EBP through: their use of literature to inform their practice; the use of models, frameworks, and theories to underpin their practice; the collection of data to inform their practice; and critical reflection and introspection to enhance their practice.

- **Context:** The importance of understanding and being attuned to context was a theme that was consistent across these contributions. The majority of the authors mentioned environmental and Organisational contexts and increasing internal and external workplace pressures that impact change. The changing business environment was characterized as being volatile, uncertain, complex and ambiguous, and how this effected 'C-suite' behaviours and expectations was mentioned along with the changing market conditions and the need to evaluate the context, to align strategy within the context, to invest in learning and development particularly within higher levels of which will then lead to increased individual and Organisational readiness to change, to have internal change agents who are attuned to the Organisational context and culture, and to ensure attention is paid to the Organisational history.
- **Leadership:** The importance of leadership resonated throughout these contributions in terms of leaders being committed and supportive of change endeavours, taking ownership and responsibility for the desired change, along with the point that leaders need to be competent change agents, and that such competence may need to be developed. Some authors stated that leadership is about influencing others to make better decisions, but acknowledged that all leaders are capable of making poor decisions. The consequences of leaders making hasty decisions was also reflected on. Top leadership qualities included being honest, competent, inspiring and forward-looking. It was suggested that change practitioners should also be 'ready and able to lead from the front' and to demonstrate these essential qualities. Additionally, the leadership 'merry go-round' whereby constant changes at the top disrupt reactions and the flow of change, over time was discussed with the links between leadership

behaviour, specifically coaching skills, with organisational culture, employee engagement and performance.

- **Communication:** It was acknowledged that the more successful change programmes are those where a communication approach is used that ensures value alignment among those implementing the change, those impacted by the change process, and the type of change process that is being implemented. The Emergent Cyclical Levels of Existence Theory (ECLET) Framework was used to suggest that individuals are influenced by a number of different value systems (first and second tier values) and these may change over time. Organisational culture and the values within it were recognised as driving the 'Organisational mantra' and the importance of an open and communicative Organisational culture was acknowledged. Similarly, the importance of intense and opportune communication, the need for communications to be open and transparent, and that successful change needs communication and involvement at all levels were also made clear. The authors asserted that having a better understanding of the organisational culture and the values system within it will help the organisations to: a) better address resistance to change which is a phenomenon that is a shared responsibility among change agents and change recipients; and b) more effectively communicate, implement and embed change.
- **Collaboration:** The importance of involving Organisational members, promoting participation and enabling collaboration was also a consistent theme across these contributions. Creating a climate of sharing and 'knowledge brokering' to help improve and embed leadership decision making, agreeing a 'route map' from the top level and insisting that the change messages need to come from 'one team' only and using quality management could be a way to bring together other systems and processes into one core quality system approach. Finally, using 'applied
- **Theatre'** as an intervention can support individuals, managers and leaders within organisations to collectively navigate change, through creating a safe place to work and to share emotions, feelings, and reflections with others. This intervention relies heavily on participation and engagement and the creation of a safe space to enable participants to understand their emotional responses to change which may influence the ability to respond more effectively to it.

In conclusion, these four factors, 'context', 'leadership', 'communication', and 'collaboration' which are consistent with existing literature, are often considered to be factors that can enable effective Organisational change but are also factors that can paradoxically hinder Organisational change. Moreover, these contributors also acknowledged how they embraced evidence-based practice (EBP) in their OCD endeavours. Specifically, the use of existing OCD literature to inform practice was consistent across these contributions, as was the use of models, frameworks and theories such as the ECLET, the Kotter and Burke-Litwin models, and systems theory along with data collection through 360 degree feedback, and the use of previously validated survey instruments and assessments along with action research approaches. Lastly, the importance of being a reflective OCD practitioner who engages in critical reflection and introspection were especially reiterated. As will be appreciated, the significance of the four factors discussed above has been well illustrated in many of the 33 'reflective case histories' presented.

7. Discussion

The 33 'reflective case histories' were indicative of the 'reality' of EBOCD in the world of practice, and demonstrate that EBOCD is not merely 'rhetoric' emanating from the world of academe. It is encouraging to see the extent and range of 'best evidence' that these EBOCD practitioners have drawn upon from literature to inform, shape and critically evaluate their OCD initiatives and change agency practices. Across the 33 case histories a total of 501 published works have been cited of which 304 are directly related to OCD issues. Of these, 116 (38.16%) are OCD and change management related books/handbooks or magazines

including the Harvard Business Review (HBR); 69 (22.70%) are books and journal articles on OCD-related theories and models; 84 (27.63%) are journal articles reporting OCD-related generalized Mode 1 and context-general Mode 2 empirical research findings, and 35 (11.51%) are journal articles or other publications reporting the results of context-specific (i.e., organisations-specific or sector-specific) OCD-related Mode 2 research or management investigations focused on 'hard fact' data gathering to inform managerial decision-making. Thus, we conclude there is an existing and sizable body of 'best evidence' of variable strengths currently available for OCD practitioners to draw upon if so inclined to become more research informed and evidence-based.

As can be deduced from Table 2, the authors of 93.94% (n= 31) of the case histories have used and cited various OCD and other change management related books as recorded in their critical reflective stories of change agency practice. As can also be deduced from Table 2, the authors of 69.70% (n= 23) of the case histories have cited publications describing and discussing the specific OCD-related theories and models that they had used as tools for managing/facilitating change; and the authors of 63.64% (n= 21) of the case histories have cited publications on OCD related generalised Mode 1 or Mode 2 research which they had used to inform and shape their EBOCD initiatives. Furthermore, the authors of 48.48% (n= 16) of the case histories indicate organisations-specific research was used to inform and shape their OCD initiatives. However, as previously stated, the overall body of extant OCD-related 'best evidence' is small compared to other areas of management/leadership study and practice, and consequently there is a need for far more conventional Mode 1 research that is designed to: a) gain a better relational understanding of those generic factors found within many if not most organisations which have the potential to either help or hinder OCD processes, and b) generate (if possible) generalizable *conceptual knowledge* that has relevance and utility across multiple Organisational settings. Additionally, as Hamlin also argues, there is a need for other paradigmatic approaches such as those based on pragmatism and mixed-method research. These include notions of Mode 2 research for generating context-specific *instrumental knowledge* for direct application, and of Mode 2 replication research studies that explore OCD-related issues which are common to many organisations with the aim of developing mid-range theory from practice through replication logic and multiple cross-case comparative analysis (Eisenhardt, 1989; Tsang and Kwan, 1999).

McLean and Kim (2019) claim that, regardless of the research paradigm used, it is 'difficult (if not impossible) to generate knowledge that is likely to be accepted as evidence which can be applied broadly'. They believe that a major limitation to what they refer to as *emerging* EBOCD is the existing research paradigms associated with publications, and that this calls for a shift in mind-set on the part of university administrators, journal editors and editorial boards, and authors. Furthermore, they argue that replicated research needs to be valued and encouraged because it is through replicability that knowledge becomes acceptable as 'evidence'. In this regard it is encouraging to note that various mainstream management journals have begun to welcome articles reporting the results of replication research (see for example Antonakis, 2017; Bettis et al., 2016). Furthermore, we argue that if EBOCD scholars and practitioners became more active in instigating and conducting design science research and other Mode 2 studies, and these were to be focused on OCD related 'field problems' and/or other issues of common concern or interest to managers in multiple organisations, then whether carried out by individual scholar-practitioners or in collaborative partnership with academic researchers, such studies could lead to a significant bridging or closing of the reputed 'research-practice' gap in the field of OCD.

8. Implications for HRD practice

The 10 validated 'original' CILs and 10 emergent 'new' CILs resulting from this study together with the 'seasoned' practitioner insights have relevance and utility for Organisational leaders, line managers, HRD professional practitioners, OD specialists and change management consultants who are striving to become evidence-based and more effective in their OCD change agency practice. The results have equal relevance and utility for HRD scholars and

practitioners who deliver management and leadership development (MLD) and training programmes that focus on strategic leadership and change management issues. The empirical evidence resulting from the MCCA reflective case histories demonstrates that EBOCD is a practical 'reality' within a wide range of private, public and third (non-profit) sector organisations in a culturally diverse range of countries around the globe, and this is supported by the additional evidence of EBOCD that has emerged from the practical experiences of our chapter authors. It is interesting to note that the findings of our multiple cross-case comparison of the reflective case histories lend strong support to the 10 common 'insights' and 'lessons' (CILs) about 'research informed' and 'evidence-based' OCD practice as identified almost 18 or so years ago by Hamlin (2001), and the findings have also revealed the emergence of 10 'new' CILs; both supported by the 4 key themes from the selected OCD perspectives too. We hope these common 'insights' and 'lessons' will provoke thought and provide useful guidance to those who will soon be engaged in instigating and/or designing and facilitating future evidence-based initiatives for OCD.

9. Conclusion

By addressing the 4 research questions, we are able to answer the overarching question of: *Can the 'reality' of EBOCD be demonstrated empirically within the world of change management and OCD change agency practice?* Our findings have demonstrated that the 'reality' of EBOCD can be demonstrated empirically within the world of change management and OCD practice and as such is shown to be more extensive and widespread a phenomenon in non-Anglo as well as Anglo countries than common discourse suggests. The findings have validated the 10 'original' common insights and lessons (CILs) identified by Hamlin (2001) and resulted in the emergence of 10 other CILs. More evidence from the *situated expertise* of other EBOCD practitioners is now required to validate these 'new' CILs.

10. References

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The NAFTA Region case of Human Resource Development: A very actual question

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Abstract

In this paper we analyse the relations between the U.S.A, Canada and Mexico, on HRD grounds. The aim is to discuss the idea of a "Wall" between the U.S.A and Mexico, on HRD grounds. We compare the HRD systems in the three countries using in a methodology first put forward by Garavan, Morley and McCharty, 2016, which we develop, and which in this paper has 3 levels, namely context, programs and outcomes. For so doing we use theories on National HRD, microeconomics, macroeconomics, and labour movement. We conclude that NAFTA has two very different situations, "a high skill" equilibrium in the U.S.A. and Canada, and a "middle skill" equilibrium in Mexico. Furthermore, the conditions are set for the Mexican citizens to feel attracted by the U.S.A. and Canada. Finally, in order to address the problem of the "invasion" by the U.S.A. from Mexico, sound and clear HRD policies may be put in place and are indicated. The paper should be completed with further detailed analysis on those mentioned policies.

Keywords: NAFTA, HRD, national HRD

1. Introduction

In the last two years, the world has been discussing the possibility of the U.S. building a wall in its frontier with Mexico, in order to solve a problem of illegal migration (BBC, 2018). We believe this problem has deep relations with HRD policies, namely at the National HRD level. We also believe that the problem should be addressed in the scope of the structure of economic integration that exists between the countries in question – namely the North America Free Trade Agreement (NAFTA). Quite crucially NAFTA is only an agreement on the trade of goods and services, and we also believe this circumstance and limitation is decisive to describe the situation and also to find a solution to the problem. Therefore, the research question of this paper is the following – how can we assess the situation of the NAFTA countries related to HRD? And more precisely, what can HRD tell, if anything, about the question of the Wall? We will address the mentioned question using theories on National HRD, labour movement, microeconomics, and macroeconomics, which are detailed in section 3, above. Therefore, and in order to analyse the research question this paper will be composed of five further sections. In section 2 we present a literature review in which we expose the basic concepts about HRD and NAFTA, the theories related that will explain HRD in these countries, and finally the known studies about HRD in the NAFTA countries. In section 3, we explain the methodology we apply in section 4. Section 5 discusses the results in light of the ideas exposed in the second section; in this section we also include limitations and implications, for policy and research. The sixth and last section contains the paper's conclusions and some suggestions to further research.

2. Literature review

2.1 Concepts

The two main concepts used in this paper are HRD and NAFTA. We will present them in succession.

Human Resource Development.

There are many possible ways of defining HRD. We would like to stress that there is a narrow way and a broad way. The narrow way is linked with Organisational studies and relates to the

development of one's competencies and abilities when in the workplace; therefore is somehow similar to workplace learning. Major authors in the field are Swanson and Holton, 2008. Authors address adult learning, identity and diversity, creativity, training and performance, leadership and strategy, among other notable issues (McGuire, 2014). This version of the concept is very much linked with the microeconomic theories we will expose in the next subsection.

However, we believe that when put in a macroeconomic context, as the one to be used in this paper, HRD encompasses all the actions made in a given society or region in order to develop its Human Resources; therefore in this broader version of the concept, HRD includes also basic education and even some science related activities (Tomé and Goyal, 2015). Underpinning the notion of HRD is the notion of HR or Human Capital which in this paper includes all the qualities of the individual that may be of interest to an organisations, including; education, training, work experience, competences, skills, ability, motivation, and even beauty or physical strength (Oxford Learners Dictionary, 2018).

The relevant theories we will use in this paper about HRD investments will be presented in the subsection 2.2. Theories on HRD.

NAFTA

The North America Free Trade Agreement is a commercial treaty between the U.S.A, Canada and Mexico, signed in 1992, and that began being effective in 1994 (Bondarenko, 2019). By virtue of that Agreement, goods and services should flow between the three countries without restrictions, in 10 to 15 years. As a consequence of that sort of agreement it is expected that the goods and services offered by the organisations of the three countries will be less expensive and will find a bigger market. This would be beneficial for consumers and producers of those countries and for each country as a whole. The economic theory about FTA says also that some redistribution between and within countries may be necessary to counteract the effects of the FTA (Grubel, 1982). It is also well understood that the advantages of the FTA depend a lot on the conditions of each country and sector, HR being a condition for success. Quite crucially though NAFTA and the FTA do not include any support from the, Free Trade Zone regarding HR. In fact, FTAs are "passive" forms of integration and not "active" forms. In "active" forms of integration or even of international support (see 2.2 below) countries may cooperate, in different forms, developing active HRD policies.

2.2 Theories on HRD

First we describe the most important ideas about HRD in a microeconomic level, and after we address the macroeconomic level. Both analyses are important when considering the NAFTA countries.

2.2.1 Microeconomics

The basic idea behind HRD is that it is an investment. The investment can be made, and paid by the individuals, the organisations (profit seeking or NGOs), the State, or even external organisations. The funding problem is very importance and may lead to important policy measures. The investment should be made if the perceived costs are outweighed by the expected benefits (Becker, 1993). The costs are relatively known and short run. The benefits are more doubtful and obtainable with time. Individuals should benefit on wages and employability, organisations on productivity product quality and even reputation or market share, societies on income or exports. The analysis has some particularities regarding education, like wage functions (Mincer, 1958 and Mincer 1974), age earning profiles (Taubman and Wales, 1974), general and specific training (Becker, 1993) and transferable training (Stevens, 1996).

Alternative theories to the basic human capital ideas, that give realism to the analysis, relate to screening (Spence, 1973), dualism in the labour market (Piore and Sabel, 1994) and the Marxist school of thought (Rikowsky, 2004). Also the presence of the government in the HR field may have different status; public bodies should intervene solving market failures and

inequality problems always taking into account that their intervention may originate a social cost, generated by a public failure, which should not outweigh the benefit those policies seek to obtain; public intervention might be done by legislating, providing HR, promoting the private capacity of intervention or subsidizing (World Bank, 1991). The evaluation of HRD has been made, with more studies centred on education (Barro, 2001) than on training (Heckman, Lalonde and Smith, 1999). Major contributors were Gary Becker and James Heckman, who both received the Nobel Prize of Economics in 1992 and 2000 respectively.

2.2.2 Different types of national equilibria regarding skills

When it comes to the national analysis of HR and HRD the most important idea is there might exist different sorts of equilibria in the countries regarding HR and HRD (Ashton and Green, 1996). In particular, it is possible to define low skills, middle skills and high skills equilibria in a given country of the world. These three concepts are at the core of the analysis of this paper. In a low skills equilibria, competences are few and the investment is scarce; people don't invest because they do not believe they will find skills jobs and organisations do not provide jobs because they do not believe employees are available; therefore a vicious cycle of investment exist, defined by low productivity, low wages, and low income; the situation may also be called "low skill bad job trap" (Snower, 1994). This type of equilibria is typical of less developed regions, poor countries, low income countries, like Africa, Latin America and the poorer regions of Asia.

It is very important to break the vicious cycle because this is the way to conquer a better future, in terms of wages, employment, profits and income. In order to break the cycle, a societal agreement is very useful between the government and other public bodies, the employers, the employees, the education system actors and even the social elites, for their guidance and example. All those very important social actors should agree that HR and HRD investments must be done and should be supported. When the country succeeds breaking the vicious cycle, it arrives at a middle skills equilibria.

In this second type of situation, both investments and results are average; there is some demand for skills, and some supply but not that much; there is success, but it is not very significant; this is the situation of the emerging countries, in Europe, Asia or South America. A lot has been done, but still a lot to be done. As in the low skills equilibria, migration to more advanced societies are seen not only as a way to get a higher income but also to get a better education for the migrant and for their families. Quite crucially in what concerns this paper, Mexico qualifies as a middle skills equilibrium country, as we will see in section 4.

Third, the high skills equilibria situation is characteristic of the developed world, mainly represented by the OECD countries. Quite crucially, in relation to this paper, Canada, and the U.S.A., are included in this group of countries. In a high skills equilibrium, investment is high and returns are also high; people invest because they believe they will get jobs and organisations provide vacancies because they believe they will have the required labour force at their disposal. Therefore, in this third type of equilibria, there is a virtuous cycle of investment in HR and HRD characterized by high incomes, high wages, high investments, high productivity and high employability. In a very competitive and changing world, these countries face the challenge of adapting their labour force and therefore, their supply of skills to ensure success, but it is important to stress that they already have the experience on how to deliver top of the world HRD investments successfully. In a way these are "rich world problems" as opposed to "emerging" or "poor world" problems. These are the countries that have the best structures related to education, training, and on-the-job- training.

2.2.3 HRD and trade

A strong relation exists between the development of HR and HRD and the trade specialization of the countries, and the countries' income, which is very important in these times of globalization. The relation is described in the following Table 1 (Tomé and Goyal, 2015):

Table 1 HRD, income and trade in the world

Countries	HRD and VET	Specialization	Indicators
Africa	Less than primary	Agriculture	Low income, low HDI
Asia and Latin America	Primary and lower secondary	Traditional low labour costs industry	Lower medium to medium income and HDI
Eastern and Southern Europe	Secondary	High value added industry	High income and HDI
U.S.A, UK, Japan. Nordic and Central Europe.	Third level	Services	World top

Regarding this paper, as we will see in section 4, this theory means that the better HRD shape of Canada and the U.S.A makes them profit more from international trade, then in its current form, to benefit more from NAFTA.

2.2.4 National HRD

The relevance of national issues for HRD was put forward 30 years ago (Charles, 1986). After some important initial studies (Kuchinke, 2003), McLean (2004) defined the scope of the research field) highlighting the linkages between the several elements that exist in the HRD system of each country, namely the government and public bodies, the families, the training and educational system, the economic powers, the unions and employers, the international bodies that relate to the country only to name the most important of those elements. Furthermore, According to McLean, 2004:

- NHRD is important by at least two reasons: firstly if HRD is any effort to develop work-based learning, expertise, productivity and satisfaction, therefore NHRD is essential for countries to become or remain developed; secondly, societies have to be competitive and solidary and HR is a decisive force to achieve that goal;
- Depending on the scale of public intervention, NHRD may be developed using several strategies: Centralized, Transitional, Government Initiated, Free Market, and Small Nations (this one associated with fact that countries get together to support each other); c) the ultimate goal of HRD was to achieve labour market success; NHRD is a result of many separate elements, and 22 are listed in Mc Lean, 2012: those elements should promote "excellent HRD" which should be rooted in culture, anchored in sound research, focused on outcomes, evaluated in qualitative and quantitative methods, and made with high budgets and high tax incentives; finally the outcomes of "excellent HRD" would be excellent human development.

McLean's work was followed by Cho and McLean (2004), on empirical findings, Wang, Korte and Sun (2008), about developing countries, Wang (2008) studying critical aspects of the paradigm itself, Burkhardt and Bennett (2015) analysing globalization and Tkachenko (2015) on the historical roots of the discipline. Nowadays, NHRD achieved worldwide status - searching in a large database like EBSCO, HRD studies of national scope are found for the OECD countries and also for many developing countries like China, India, South Africa, Botswana, the Arab Gulf States, Venezuela, Ukraine, Pacific Islands, Venezuela, Jamaica,

Kuwait, and Kyrgyzstan. In fact, it is an interesting coincidence that technological and economic globalization was done in a time of dramatic increase in the number of countries in the world (around 100 in the 1950s to 200 nowadays) due to decolonization and the fall of the USSR: and this fact alone increases the possibility of having more studies of National scope on HRD. Also we may argue that a national policy of HRD is a feature of developed countries and development is a long lasting process, which those “new countries” are struggling with.

2.2.5 Theories on labour migration

Also, in macroeconomic terms movements of people are explained by well-known models of attraction and repulsion (Boswell, 2002). The model says that people leave a region for another when there is a better situation in the other region. For example; the attractive factors are related with the average income, the level of wages, and an expanding labour market with low levels of unemployment. Other features that attract the people are high levels of social services, peace, and even a good housing market; likewise, it helps that there is closeness in terms of distance, cultural or geographic, between the two regions. Finally, it helps that the incoming region has good services that help the installation of the immigrant and that recognition of diplomas from different countries is possible. On the contrary, people tend to leave regions in which there is danger, or in which the standard of living is bad, in all aspects. As we will see, the model helps to explain a lot about the “Wall” problem, between the U.S.A and Mexico.

2.2.5 International intervention on HRD

International cooperation on HRD has been in place for some decades. The World Bank (World Bank, 2019) and the United Nations (United Nations, 2019) have promoted initiatives in developing countries to support education and training. Also, Mercosul has a cohesion fund which promotes HRD (FOCEM, 2019). And the European Union has well known programs to promote education (like the Erasmus program) and training (like the European Social Fund, European Commission, 2018). Finally, multinational corporations also put in place large programs of international investment in HRD, when they invest abroad; those investments alone are the core of the analysis of International HRD science (McGuire, 2014, chapter 13). This cooperation exists because the agents involved believe in the long run it is beneficial for them to cooperate in HRD related investments. The underlying theory is that, by promoting another regions HRD, a region will benefit in terms of social peace in the short run and in terms of exports, in the long run.

2.3 Known studies

The number of studies about HRD is very high on the U.S.A. (Kuchinke 2003; Wasti et al., 2008; Shapiro et al., 2009; Storberg-Walker, 2014), considerable about Canada (Davies et al. 1997; Budd and Wang, 2004; Gunderson, 2016; and low about Mexico (Pernell, 2010; de Anda, 2011). The scope and depth of the analysis are also much higher for the U.S.A. and for Canada than for Mexico. In fact, the differences between the three countries and the “two NAFTAs” that will appear in section 4 and 5, are apparent in the scientific work made on HRD in the three countries.

3. Methodology

We use a three-level methodology to compare the three countries. The three levels addressed relate to context, policies and outcomes, respectively. The first level follows Garavan, Morley and McCharty, 2016; therefore we begin to describe the basic setting of HRD in the three countries analysed in the paper; the items to be addressed are the following: 1) context background; 2) broad vocational education and training (VET) systems; 3) institutional actors; 4) political context. In the second level we specifically detail the HRD policies basing

ourselves in Tomé 2012 and Tomé 2013); the following topics addressed; 1) basic legislative documents, 2) guidelines on eligibility, 3) programs, 4) evaluation procedures. Finally, in the third and deepest level we analyse the policies outcomes in line with (Tomé and Goyal, 2016); specifically, we address the following topics: 1) stocks, investment, and outcomes; 2) price, quantity, supply, demand, equilibria; 3) needs. The three levels enable us to answer to the paper's research question.

4. Application

4.1 Context

4.1.1 Context Background

The U.S.A., Canada and Mexico are neighbours and occupy one very specific region on Earth, namely North America. They are also very big countries particularly in size but also in terms of population. Put together the three countries almost constitute a continent, with a dimension in size and in population that is bigger than the European Union and, in the world, only comes second to Russia in size and to China and India in terms of population. The region is as big that as a whole the density is low, but some areas of the region are very populated like the cities and particularly in the megapolis of Mexico City. Those three countries also share important facts in terms of their history, and namely that their ancient civilizations (Mayan in the Mexican case and Indian American in the case of the U.S.A. and Canada), were dominated and overruled after the arrival of the white colonizers, namely the Spaniards in the case of Mexico and the English and the French in the case of the U.S.A. and Canada. However even if this characteristic is very important, the evolution of the three countries in the last five centuries was not similar. In fact, the U.S. achieved independence from the United Kingdom in 1776, Canada became completely independent from the UK in 1931, and Mexico became independent from Spain in 1821 and was involved in fights with the Americans between 1846 and 1848. That difference in cultural heritage is also sizable in terms of history. The U.S. and Canada evolved to democratic political regimes with alternating between parties (Conservative and Democrats in the U.S.A. Conservative and Liberal in Canada), while Mexico was ruled since 1929 and for almost 70 years by the Institutional and Revolutionary Party (IRP). In terms of institutions, some important differences exist between the countries: Canada and the U.S.A. are based in the Protestant Catholicism while Mexico is more linked to the Catholic Church; also, the family is important though the way of managing it is a bit different. Mexico is more conservative, while America and Canada, the Land of Opportunity, are more forward looking and liberal.

The difference in history, culture and institutions, had big consequences in economic terms. In fact, while the U.S. and Canada began their successful process of development in the 19th century and where already world leaders at the time of WWII, Mexico based itself in Agriculture since that time, and never really emerged economically since the year 2000, when the BRICS and the G20 where defined. Differences in GDP and GDP per head are very significant. Worse than that, Mexico had frequent financial and currency problems due to external insolvency and much higher inequality. The economic differences between the three countries are also reflected in the social conditions, namely in what relates to education, health or poverty levels. The U.S. and Canada have developed some sort of Welfare State, more Liberal in the first case and more Social Democratic in the second case, whereas Mexico has a more Quasi Welfare State or Latin form of Welfare State. The situation described above is illustrated by the figures included in Table 2.

Table 2: Socio-economic conditions in the NAFTA countries

		Canada	Mexico	U.S.A
Demography	Population	37	125	328
	Area	9984	1964	9525
Economics	Income in million	1653	1149	19390
	Income per capita	46378	18149	59532
	Unemployment	5.9	3.4	3.9
	External Debt	1932	437	19284
Education	Primary	100	95.5	93
	Secondary	113	97.3	97.2
	Thirtiary	89	37	78
Health	Life expectancy	82.2	76.7	79.3
	Infant Mortality rate	4.6	11.9	5.8
Poverty	Population share	1	34.8	2
	Gini index	34	43	41.5

Source: (World Bank, 2018)

4.1.2 Broad Vocational Education and Training (VET) Systems

In parallel with the development of very different economic situations the three countries also generated two or even three very different VET systems. In fact, the U.S. and Canada built two strong, even if different, VET systems, whereas Mexico was unable to make anything similar. The situation is reflected in indicators about number of years of compulsory education, enrolment rates, attainment rates, average years of schooling, PISA scores or average number of training hours as described in the following Table 3.

Table 3: Basic data of broad education and training systems

		Canada	Mexico	U.S.A
Compulsory education	Year	2016	2016	2016
	Level	10	14	13
Training	Participation rate	45	15	21
Attainment	Primary	100	79	99
	Secondary	83	33	88
	University	Na	15	32
Schooling	Average years	12.2	8.8	12.9
PISA scores		524	412	488

Source: (OECD, 2018)

4.1.3 institutional Actors

The difference between the several countries is also seen in the difference between the main actors. In the U.S. the private sector dominates, in Canada the State somehow balances society and in Mexico some groups seem to take advantage of the State for their own benefit. The situation is depicted in Table 4, below.

Table 4 – Major HRD Institutional actors in the NAFTA countries

		Canada	Mexico	U.S.A
Government		Government coordinates a holistic policy across the country	Mexico National Technology is an agency responsible for overseeing the development of HR in industry	States promoted very decentralized provision
Private companies	Multinationals	Address systematically HRD	Benefit from the government programs	Address systematically HRD
	SMEs	Access HRD using public programs	Almost don't do HRD	Access HRD using public programs
NGOs		Large and diverse of provision programs by and for NGOs	NGOs almost do not provide or receive training	Large and diverse of provision programs by and for NGOs
Unions		Unions influence HRD because 30% of workers are unionized	Limited intervention due to traditional opposition to the government and to lack of funding	Low rate of unionisation means influence in HRD is small.
Employers		Reward training	Exploit training	Reward training
Families		High funding due to high incomes	Huge differences between small affluent class which funds and participates and the rest of society who does not	Disparities and inequalities matter but families fund a lot of training
Elites		Fund and promote HRD	Send family abroad for better HRD	use and fund national Ivy League HRD facilities
External actors		Receives migrants (students and workers) from all over the world	Receives HRD from foreign multinationals and agencies like the World Bank	Receives migrants (students and workers) from all over the world

Source: (Own analysis and McLean and Budhwani, 2016, for U.S. and Canada, and Waight et al., 2016, for Mexico)

Fundamentally the context as described means that the type of relation between the actors differs considerably between U.S. and Canada in one hand, and Mexico in the other hand. In the first two cases, one sector (the private sector in the American case, and the public sector in the American Case), acts as a generator of the equilibria of high level. Also, in both cases, more in Canada than in U.S., but always in a considerable way, the Government

assures that the population has access to high levels of education and training. The situation is very different in the Mexican case, in which a small part of the population has access and benefits from HRD, but not the majority of the population; also, in Mexico, the Government has not been able to fill the shortages in the HRD system. These differences of behaviours between the actors explain the emergence of the different “equilibria” in the three countries: high skill in Canada and the U.S. and medium skill in Mexico; these differences in turn explain that Mexicans want to migrate to the U.S. (see 4.3 and 5 below).

4.1.4 Political Context

The political context differs remarkably between the three countries. The U.S. is a very liberal country, with a minimum state that takes law enforcement very seriously. Canada has a much higher level of State intervention. Both these countries effectively have and practice two tier policies, including in HRD, with a strong federal presence but also a very important state or regional involvement, even in the more liberal U.S. Those two countries have strong political actors as seen in the previous sub-section and the main difference between them stands in the relative force between those actors – more privatized for the U.S., more public for Canada. Mexico however is a very different country and the most important players are private with specific interests that might easily collide with the national interest. So, Mexico is a liberal state without the strong law enforcement, and as nothing like the safety net of strong Conservative Welfare States, this generating imbalances that even a developed liberal state cannot stand; these imbalances create insecurity, and the desire to migrate, most naturally to the close American neighbour.

4.1.5 Reflection

Even if some aspects of history were shared, Mexico in a way and Canada and the U.S. in the other way, evolved differently as countries and that created economic, social data and also situations on VET, institutional actors on HRD and the political context, that led to the establishment of high skilled equilibrium in the U.S. and Mexico, and of medium skills equilibria in Mexico. This difference originated migration and ultimately the idea of the Wall. In the rest of the section we will describe more about these differences, about programs (4.2) and outcomes (4.3).

4.2 Interventions

The basic data and characteristics of HRD investments in the NAFTA countries are shown in the next subsections.

4.2.1 Basic legislative documents

In the U.S. the interventions in the HRD field have been generated by federal acts promoted by the Department of Education and by the Department of Labour (U.S. Department of Labour, 2019). These acts defined policies that both developed education and created a basis for some form of vocational training policy. In what concerns the vocational training, the most important were the MDTA, the CETA, the JTPA and the WOT. These federal acts were complemented by a myriad of programs run at state level. Upon those companies, and in particular, multinationals, run their own programs. In Canada the Central Government has an important role providing training and implementing the training policy, using job training initiatives (Government of Canada, 2019). In Mexico the Technical Education is made by the Colégio Nacional para an Education Profesional Tecnica (CONALEP) (Gobierno de Mexico, 2019). Also, the Government changed the labour law in 2013, and since the companies should promote training nationwide (Cruz, 2013).

4.2.2 Guidelines on eligibility

In the U.S., the public schemes for HRD provision are very selective, mostly helping the “disadvantaged” (U.S. Department of Labour, 2019). This happens because the U.S. Government trusts the country’s companies to provide training of excellence to the majority of the labour force, and this has been happening for many years. In Canada, the public system is more flexible and broad (Government, 2019) meaning the Canadian Government wants to intervene directly and decisively in the solution of problems such as “getting jobs”, “train employees”, or “support apprenticeships”. In Mexico the Government has also been very flexible relying, since 2013, on the cooperation between companies and employers to develop training (Cruz, 2019) and providing selective programs for technical training (Gobierno de Mexico, 2019).

4.2.3 Programs

Canada has very broad and strong national programs for HRD and education (Government of Canada, 2018). These programs are inclusive and top of the world. The U.S. has very specific programs on training and ensures, with the collaboration of a vast and strong number of private providers, that the population has access to HRD (U.S. Department of Labour, 2019). The system generates good average results, however, inequality of opportunities and of results remains a big issue (see 4.3). Mexico however lacks decisively anything like the two systems its neighbours and counterparts in NAFTA, because it has neither the public expertise nor the private strength of Canada and the U.S. (Gobierno de Mexico, 2019; Cruz, 2019). Therefore, in comparison, Mexico is not in the same level as the U.S. or Canada in terms of provision of HRD by public or private organisations.

4.2.4 Evaluation Procedures

American and Canadian programs have been evaluated by impact studies, in which the difference the program has made in society has been analysed deeply (Hum and al, 2002 for Canada. Executive Office of the President Council of Economic Advisers, 2014. National Academies of Sciences, Engineering, and Medicine (2017), U.S. Department of Labour, 2019b, U.S. Department of Labour, 2019c). Also, detailed procedures of accounting, and auditing have been put in place in relation to these programs, sanctions existing for the organisations that fail to meet accountability measures (U.S. Department of Labour, 2019e). As a consequence, it is possible to know the volume of investment made, the number of persons involved and the effect of the program in society (U.S. Department of Labour, 2019d). For instance, in 2017, the Workforce Innovation and Opportunity Act, supported 616,422 adults with career services, of which 544,308 ended the courses, using 347,078,427 dollars with a cost of \$563 dollars per person; WIOA also helped 164,752 persons with training courses, of which 85,705 ended the courses, with a cost of \$290,836,432 and \$1,765 per person. Each one of the 50 U.S. states provided information about the Federal programs. Mexico has until now, not put in place any generic form of evaluation of impacts for public and private funded programs on HRD, and known experiences on the topic are very few (Delahara and Al, 2006; Perez-Soltero and Al, 2019). Also, the system of administration seldom produces information about the programs (Gobierno de Mexico, 2019).

4.2.5 Reflection

The programs and operations related to HRD put in place in Mexico, Canada and the U.S. imply the existence of two very different realities. Basically, the U.S. and Canada have large and widely funded systems, they differ because in Canada there is more state intervention than in the U.S.; however the Government intervention in the U.S. is much deeper and stronger than in Mexico. In fact, opposite to Canada and the U.S., Mexico has much less operations by public or private entities and much less scrutiny and analysis. This situation

itself defines a middle equilibrium in Mexico and a high equilibrium in Canada and the U.S.A. Both situations will be clarified and underlined in the next section.

4.3 Outcomes in terms of the definition of equilibria

4.3.1 Stocks, Investment, and Outcomes

The stock of HR is much higher in the U.S. and in Canada than in Mexico:

- a) In the U.S., in 2015, 4 per cent of the labour force aged 25 years or older had PhD degrees or similar, 9 percent had a Masters and 5 percent and non-completed Masters, 14 percent a Bachelor's degree, 8 percent some years of college and a degree, 15 percent had some years of college but no degree, 6 per cent had training diplomas post-secondary, 27 percent had high school diploma, 3 percent had less than secondary studies and no diploma and 9 percent had no diploma (U.S. Census Bureau, 2017).
- b) In Canada, in 2014, of the population aged over 25 years, 28 percent had a Bachelor degree or higher, 5 percent university below Bachelor, 22 per cent had college diploma, 10 percent had apprenticeship or other college certificate, 23 percent had high school certificate and only 12 percent had no diploma or certificate (Statistics Canada, 2016).
- c) In Mexico, in 2015, 2 percent of the population with more than 25 years of age had more than Bachelor studies, 13 per cent of the population had completed Bachelor studies; 17 percent had upper secondary studies, 26 had lower secondary, 20 percent had completed primary education, 13 had less than primary and 8 percent had no schooling (World Bank, 2016).

Therefore, Canada has stock of HR, of slightly higher value than the U.S., and both countries have a much higher stock than Mexico. The difference in stock is generated by a very big difference is the investment. This means that to achieve high levels of stocks, countries must devote more and more funds to HR provision. In 2014, Canada spent 6.0% of GDP on education compared with the OECD average of 5.2%. The values for the U.S. and Mexico were 6.1 and 5.2 percent respectively (OECD, 2015). However, the figures get very different when the GDP value and the number of students is considered. In the U.S. in 2015, \$33, 000 dollars was spent per student who achieved a Bachelor's degree, compared with \$8,170 in Mexico (OECD, 2016). For Canada, the figure we found, rather outdated, was of \$10,000 dollars, in 2007-8 (Statistics Canada, 2009). Mexico is also the OECD country with the lowest cumulative spending in education between 6 and 15 years old of compulsory education in 2015 (OECD, 2019). The investment in training is also much higher in Canada and the U.S. than in Mexico. The average value of total expenditure by student in upper secondary vocational training institutions in 2015, among the OECD average was of \$10,831 dollars, for Mexico we had only \$4,429 dollars (OECD, 2017). As a consequence, the difference in stocks is generated by a massive difference in investment, which is much bigger in U.S. and Canada than in Mexico.

The difference of stocks and investments produces a big difference in outcomes, measured in incomes or employment levels. In the U.S. the average income of \$59,900 dollars in Power Purchase Parity and the employed labour force of 154 million; for Canada the figures are \$46,500 dollars and 19 million respectively; for Mexico we have \$18,650 dollars and 54 million (World Bank, 2018, and ILO 2018) respectively. In terms of exports, the U.S. achieved \$1.6 trillion, and Canada \$433 billion and Mexico \$406 billion, which means that per individual the values are of \$4, \$10 and \$3 thousand dollars respectively.

4.3.2 Supply, demand, price, quantity, equilibria

The supply of HR is much higher in the U.S. and in Canada then in Mexico. In the U.S., 95 percent of people enroll in primary education, 99 percent in secondary education and 89 in tertiary education; in Canada the values are 100, 113 and 67; in Mexico we 100, 100 and 38, respectively (World Bank, 2018); quite interestingly the secondary school figure rose steadily and sharply from 61 percent in 1997 and 83 in 2007 (World Bank. 2018). Regarding training, in Mexico the number of adults having lifelong learning was only 4 million in 2005, whereas

in Canada and the U.S. the percentage rate of persons attending education was at 58 and 59 percent in 2012 (OECD. Stat, 2019). In terms of demand of labour, Canada and in the U.S. almost half of the workers in high skilled occupations, and only one sixth in low skilled; in Mexico, more than half of the workers have jobs in middle skills industries (see Table 5, below).

Table 5: Demand for skills

	Canada	Mexico	U.S.A
Labour force	19	57	158
High skills: Managers, professionals and technicians	8	11	75
Middle skills: clerical support workers and services and sales workers and craft workers	7	32	71
Low skills: plant workers and workers in elementary occupations	3	13	22

Source: (ILOSTAT, 2018)

The average training cost per employee was \$1,252, according to the Association for Talent Development's 2016 State of the Industry Report. In Canada the figure is of \$899 dollars for the 2016-17 period according to the Conference Board of Canada (Chua, 2019). These data mean that supply and demand are high in the U.S. and in Canada and are lower in Mexico. The interesting fact in Mexico is the increasing supply of secondary education which matches the level of middle skills jobs as predicted by the theory (see section 2, above).

4.3.3 Needs

Using Canada and the U.S. as a benchmark, many shortages are detected in Mexico, in terms of demand and supply. Even if Canada and the U.S. also face skills shortages due to constant economic and social evolution, the situation is different in Mexico. Migration may be a way of trying to diminish the problems in Mexico, and the famous "Trump Wall" may be a way of trying to appeal for another solution to the needs of Mexico. In section 5 we will discuss how HRD can give insights on how to solve the big needs Mexico faces regarding HRD.

4.3.4 Reflection

Canada and the U.S. have much supply and demand even if the price of the investment is high. Mexico has lower supply and demand even if the price is lower. Needs are even higher in Mexico than in Canada and the U.S. because the country needs to develop and to create a high skills equilibrium. Migration is a solution but also the core of the problem. Stopping migration using HRD policies is the solution to Mexico's problems. We will see how it can be done in the next section.

5. Discussion

Human Resource Development has been seen in the literature as a branch of Management science. Its main concern has been to analyse how to make the best for everyone involved, namely workers, companies and other stakeholders, of the investment and effort in HRD. It has been anchored in well-known economic theories starting with the Human Capital Theory and going over to ideas on discrimination, dualization and power. With time, the successful model which was used to analyse companies was expanded to analyse countries, creating National HRD, a branch of science, that even in times of globalization has been developing, mainly due to the fact that many of the countries are new (having gained independence since WWII or even since 1989) and upon the political powers of these lands fell the urge to develop their own national HRD systems. HRD scholars have also developed important analysis on Identity, Diversity, Power and other polemic aspects of organisations, creating a decisive sub-area of Critical HRD. NAFTA appeared in the literature as a topic of international economics.

Its main concern was to analyse benefits from trade for the members of the Free Trade Zone. No other concern existed. The two perspectives of analysis are summarized in Table 6, below.

Table 6: HRD and NAFTA perspectives of analysis compared

	HRD	NAFTA
Focus	Organisations	Countries
Investment	Organisational Learning	Trade
Agents	Workers, Companies, other stakeholders	Companies
Benefits	Wages and Employment	Exports and profits
Critical aspects	Identity Diversity Power	Labour Migration

In this context it becomes less surprising that in the seminal book of national HRD (Garavan, McCarthy, Morley, 2016), Canada and the U.S. were addressed alone in one chapter (Mc Lean and Budhwani, 2016) whereas Mexico was included in another chapter about "Latin America" (Waight and al, 2016), a chapter which quite interestingly left out Brazil, a country which was considered so big and so important to be object to its own piece (Azevedo et al., 2016).

This scientific perspective from the main scholars in the HRD field echoes, in fact, the big divide we found in the analysis made in section 4, meaning the gulf between the highly developed HRD systems of Canada and the U.S., which are top by world standards, and the less developed, more average by world standards in Mexico.

This big divide is summarized in the following Table 7. From the start, Canada and the U.S.A's background is more similar than Mexico's - and this historical similarity has deep consequences in terms of HRD, and ultimately in relation with the problem of "the Wall". The different political history resulted in much stronger broad VET systems in Canada and the U.S., with a much deeper and larger involvement of the institutional actors, than in Mexico. And even in terms of Welfare, Canada is less Liberal than the U.S., these two countries generated much better conditions for HRD than Mexico. This resulted also in bigger and broader programs, led by the Federal Governments but also with deep involvement of the private entities in the U.S. and in Canada; by comparison the programs put in place in Mexico, even if considerable, are small, new, late and limited; quite curiously, the depth and breadth of the operations is closely related to the availability of information – it is much easier to find a wide variety of data about Canada and the U.S.A, than about Mexico. Using the data available, it was observed that U.S. and Canada have higher levels of investment, gathered higher stocks and obtained higher returns than Mexico. All this is explained by microeconomic theory in terms of the investments of people, organisations and governments and in terms of macroeconomic theory in the context of equilibria, vicious cycles and virtuous cycles. Also, the highest price, quantity, demand and supply of Canada and the U.S. find an explanation because of the underlying policies and economic conditions, particularly when compared with lower economic conditions and weaker policies in Mexico. Therefore, it is possible to conclude that the neighbours and continental brothers, Mexico in one hand, Canada and U.S. in the other hand, developed two very different HRD systems, which resulted in two complete situations in terms of HRD.

Table 7: HRD in the U.S.A., Canada and Mexico – a tale of two NAFTAs.

	U.S.A and Canada	Mexico
Context Background	Long lasting democracies, high income and high standards of living	One ruling party for long, middle income and middle standards of living
VET systems	High participation and attainment rate in schooling and training, High PISA score	Middle participation and attainment rate and PISA score
Institutional Actors	Deep public and private involvement, more private in the U.S., more public in the U.S.	Small involvement from both private and public, increasing lately
Political Context	Liberal regime in the U.S., more Social Democratic in Canada	Conservative but with less public intervention and more elitism
Legislative Documents	U.S. Department of Labour, Government of Canada	Gobierno de Mexico
Eligibility	Broadens in Canada, strictness in the U.S.A	High flexibility
Programs	U.S. Department of Labour, Government of Canada, plus large private sectors	Gobierno de Mexico plus small private sector.
Evaluation	Highly developed in both countries	Incipient
Investments	High due to public and private intervention	Medium even if increasing due to public and private relay.
Stocks	High in both countries motivated by traditional high investments	Medium even if increasing lately
Returns	High income low unemployment high employment	Middle income, not so much employment
Demand	High skilled jobs	Medium skilled jobs
Supply	High skilled graduates	Medium skilled graduates
Price	High price	Medium price
Needs	High in order to maintain status and high standards of living.	Highest, in order to achieve full development and high skills equilibrium
Assessment	High Equilibria	Middle Equilibrium

Furthermore, we closely paralleled those two realities, the force of attraction from Mexico to the U.S., particularly, but also to Canada, become evident. A description of the situation is shown in Table 8, below.

Table 8: Sources of potential labour movement between the “two Naftas”

	Canada and the U.S.	Mexico	Assessment
Income	High	Middle	Attractive
Education and HRD system	High	Middle	Attractive
Social security system	Good	Medium	Attractive
Safety	Good to medium	Low	Attractive
Democracy	High to medium,	Low	Attractive
Disparity	Medium to high	Very high	Attractive
Physical Distance	Frontier	Frontier	Small
Cultural Distance	Hispanic community rising	Learning languages	Describing

Mexicans, effectively earn less, in wages and income, have access to weaker forms of education and training, have less social security benefits, feel less safe and with less political power and live in a more unequal country. All these are facts which explain the attraction the Mexican labour force feels for the U.S. mainly and for Canada. Quite crucially, the differences between the situations in Mexico in one side and Canada and the U.S. in the other side, may be explained as deriving from deep rooted HRD investments. HRD generates not only the income but also the social security (through the use of taxes), the safety (education generates less crime), the democracy (more educated and skilled societies tend to be more democratic because HRD leads to dialogue, creation and disruption), and the equality (in more educated and skilled societies power and income tend to be more shared), that Mexicans crave for when they decide to migrate to the U.S.A. Therefore, HRD is at the basis of the factors which led to the migratory attraction Mexican workers feel toward the U.S.A. The factor we mention in Table 8 above, are sources of attraction in line with basic labour movement theory (Boswell 2002). Coupled with those big social disparities, a big physical closeness exists. The U.S. and Mexico share one of the biggest frontiers in the world, and Mexico is only a few thousand miles from Canada, meaning that conditions are therefore in place, to theoretically explain the bigger attraction the Mexican workforce feels for the U.S. over Canada.

In this context, we believe it is important to finalize the paper mentioning alternative policies that could be put in place in order to eliminate the flow of migrants from Mexico to the U.S.A. and to stabilize the NAFTA region in terms of the labour market. The policies are summarized in Table 9, below. The main idea behind the policies is to transform Mexico toward a higher equilibria as soon as possible.

Table 9: Possible HRD Policies to balance the HR in the NAFTA Region

Objective	Instrument	Actors
Increase demand for HRD	Create businesses in Mexico demanding skilled jobs	Companies and organisations, Mexican and from abroad.
Increase supply	Support by funding, loans, sharing expertise, building capacity or ruling, for the supply of high skills	Public bodies or VET systems or investors from Mexico or abroad.

The most important idea resulting from the data in Table 9, and may be the most surprising idea derived from this paper, is that in order to transform Mexico into a high skills equilibrium, completely transforming the country and the region, the U.S.A. would be instrumental if not decisive in creating the demand of high skills and helping the creation of the supply of high skills Mexico desperately needs.

6. Conclusion

In HRD terms, Mexico is as different from the U.S.A and Canada as water and wine; and to make things more complicated in NAFTA terms, Canada and U.S.A also differ from one another – to continue the analogy, they might be represented by two different types of wine, like sherry and champagne. The big problem is, however, that Mexico is extremely close to both countries, particularly to the U.S., both geographically and even in cultural terms, given the growing Hispanic populations living in the U.S. This, and the big differences in wages and living conditions that exist between Mexico and both countries, make the U.S. an obvious target and ambition for Mexicans. The situation may be complicated for Americans, who some may see the country as being “invaded” by Mexicans. However, the astonishing fact, is that, in order to have fewer Mexicans trying to go the U.S., the American government should not try to build walls – the simplistic and populist solution that only addresses the problem and not its causes. Moreover, and somehow surprising, the American government should work

with the Mexican government, on transforming Mexico from a middle-skill economy to a high-skill one. This would not necessarily mean a stronger type of international integration as theoretically exists in the European Union. But this would necessarily ask for a new type of approach, less defensive and negative and more helpful and positive. This could mean that the U.S. government would help the Mexican government with creating a more skilled labour force, in a move that would increase the supply of labour in the country. That move would then have to be accompanied by the installation of American companies in Mexico, increasing the demand for labour in the country. Only the joint operation of these two movements, would decrease the pressure on the U.S. by the Mexican labour force. Of course, the U.S. could also try to convince other countries to help developing the Mexican training and educational system and to invest in the country, seeking qualified workers, once the skills are produced. But what we believe is decisive, is that the U.S. should see itself as a major player in order to help Mexico going from a middle skills economy to a high one. The transformation would take time and would be costly. The U.S. could support Mexico's HRD system by directly funding investments, by giving loans or by giving expertise. In any case, the goal would be clear and the result, if achieved, massive, both to Mexico, the U.S.A., NAFTA, and the world. As suggestions for further research, we believe studying detailed policies within the NAFTA countries that would make the U.S. and Canada help Mexico's HRD market, and particularly, raising the issues of directly funding investments, loans or expertise sharing, should be very important. This paper is only a first step in a possible long road, and much detailed research on HRD policy and implementation in Mexico is needed, taking particularly into consideration the question of "endeginoU.S.ity" (McLean, 2010).

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A cross-cultural analysis of participative decision making: do cultural values define employee participation?

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Abstract

There is a growing consensus among Human Resources researchers and professionals that a participative environment can enhance job satisfaction, commitment, employee motivation, and productivity. At the same time, globalization has produced that organisations operate in a huge number of culturally diverse countries. Consequently, it is very important to understand national culture as a prerequisite to the implementation of management initiatives, such as employee participation in decision making (PDM). This cross-cultural study tries to bring light to this matter analysing first the level of PDM in European organisations and second, the influence of national culture (using all cultural Hofstede's dimensions "6D Model") on the direct employee PDM. Factorial and regression analysis were applied to test the proposed hypotheses on a sample of almost 25,000 workers in 31 European countries (from the 6th European Working Conditions Survey). The analysis confirms the PDM is affected by the national culture of the country where the company is located. Besides, the most significant relationship found occurs between PDM, Indulgence, and Masculinity.

Keywords: PDM, Hofstede Cultural values, European Organisations, cross-cultural.

1. Introduction

Employee participation has been extensively analysed by literature in the last decades, and different meanings have been given to this concept. In accordance with Knudsen et al., (2011 p. 384) employee participation englobes "all forms in which employees take part in decision making regarding their job and their workplaces". Additionally, it has been commonly related to other concepts such as employee involvement, dispersed leadership, participative decision making, employee empowerment, and industrial democracy (Steinheider et al., 2006). Human Resources researchers and professionals understand that a participative environment can enhance job satisfaction, motivation, commitment and productivity (Zhu, Xie and Guo 2015; Goñi-Legaz and Ollo-López 2017).

Therefore is very important that employers allow and encourage employees to participate in Organisational decision making, which is defined by Probst (2005) as Participative Decision Making (PDM). That is why one of the purposes of this study is to know the current level of PDM reached in European organisations. On the other hand, many organisations are now operating in a huge number of culturally diverse countries due to the increasing globalization. Furthermore, it is suggested that the success of Human Resources practices depends on the "fit-in" with the external environment (Becker and Gerhart, 1996). According to Muindi (2011), employee participation helps to create innovative workplaces that promote proactive organisations (Muindi 2011, p. 10). Proactive organisations are those which adapt rapidly to the global environment. In accordance with Sagie and Aycan (2003), Hofstede criticized some PDM researchers for avoiding the impact of culture on participation within different countries by arguing that 'One cannot write meaningfully about Organisational participation without embedding it within a national cultural context' (Hofstede 2001, p. 109). Several studies in the literature reveal the influence of culture on decision-making in different countries (Albaum, et al., 2010; Podrug, 2011; Whitely and England, 1980). As global interactions increase in frequency and importance, there is a growing need to know how

organisations make decisions in different parts of the world. So it is very important to understand national culture as a prerequisite to the implementation of management initiatives, such as PDM. This is precisely the second purpose of this study, to investigate the influence of cultural values over PDM in European Organisations. For that, this paper explains the relation between direct employee participation, PDM, and six cultural dimensions identified by Hofstede (2010):

- Power distance (PD), which refers to the interpersonal power between boss and subordinate perceived by the less powerful one of the two.
- Masculinity-femininity (M/F), which associates the existence of two genders to establish very different social roles for men and women.
- Individualism-collectivism (I/C), referred to the differences that exist in the relations between the individual and the community and the dependence of the individual in relation to the group.
- Uncertainty avoidance (UA) known as the dimension in which the members of a particular culture feel threatened by uncertain or unknown situations.
- Short-long term orientation (STO/LTO).
- Indulgence (IN), which is the last value added to Hofstede's dimensions. It is related to the happiness of a country. The opposite is restrained societies, in which rules are followed and the moral discipline prevails (Hofstede, Hofstede and Minkov 2010, p. 297).

The analysis of these different dimensions has been driven by literature in the last decades. Furthermore, in accordance with Khairullah and Khairullah (2013) Hofstede seminal study is one of the most relevant, researched, and cited study on how cultural values influence various types of business (e.g. Daller and Yildiz, 2006; Fernandez, et al., 1997; Kirkman, et al., 2006; Khatri, 2009; Puffer and Shekshnia, 1996; Peng and Shekshnia, 2001; Yoo, et al., 2011). Additionally, Khairullah and Khairullah (2013) argued Hofstede's model is still considered as the most robust measure of national culture (Yoo, et al., 2011). Much of the existing cross-cultural research on employee participation and cultural values focus on power distance and uncertainty avoidance (Newman and Nollen, 1996; Khatri, 2009; Rao and Pearce, 2016). In this sense, this study contributes to the existing literature offering a deeper explanation of all cultural dimensions, including Indulgence, which is relatively new. Accordingly, there is no empirical evidence of the efficacy of this dimension in employee PDM. Offering deeper research about this relationship is one of the contributions of this study.

By the analysis of each dimension and the relationship with PDM, this study defines the national cultural profile of organisations that promote PDM the most and those that do the least, which is the third purpose of this paper. For the empirical analysis, this paper uses the Sixth European Working Conditions Survey (EWCS; Eurofound, 2016) carried out on nearly 44,000 workers belonging to organisations located in 35 European countries.

The article is structured as follows. After the introduction, the second section defines the concept of PDM and culture. Also, it is offered a theoretical background about PDM and each Hofstede's cultural dimension, being defined as the hypotheses of this study. The data and the definition of the dependent and independent variables of the fitted regression model are included in the third division. Next, the analysis of the discussion and main conclusions are shown in section four. Finally, the fifth section includes the limitations of the study.

2. Theoretical development

2.1 PDM

Participative decision-making (PDM) has attracted academic attention in the last 20 years (Black and Gregersen, 1997; Kim 2002; Ladd and Marshall, 2004). It is well known that PDM increases job satisfaction, employee commitment and productivity in organisations (Ardichvili et al., 2003; Han et al., 2011; Agwu and Olele, 2014). Employee participation could be classified in different ways in the literature: by depth, scope, and form. In terms of depth,

Pateman (1970) makes a distinction between pseudo, partial and full participation. In pseudo participation, employees use techniques for data on the issues to be addressed, while persuading them to make the decision that interests them. A second scenario is partial participation, in which the employees are part of the decision, but most of the responsibility falls on the management body. In the last place, is full participation, where power is distributed equally between employees and managers. According to the scope, "that is the range of decisions which employees participate in" (Blyton and Tunrball, 2004: 257) participation could be classified by operational or strategic. Operational is related to job and task matters. Strategic is related to company missions and goals (Knudsen, et al., 2011).

Moreover, in terms of form, participation may be direct or indirect (Markey et al., 2002). Indirect employee participation is the involvement of employee representatives in decision-making processes, whereas direct employee participation describes direct interaction between managers and employees. Therefore, direct participation involves the employees themselves, whereas indirect participation occurs through an intermediary of employee representative bodies, such as work councils or trade unions (Wilkinson et al., 2010). According to the definition of Eurofound (2015), direct participation can be defined as "opportunities which management provide, or initiatives to which they lend their support, at workplace level, for consultation with and/or delegation of responsibilities and authority for decision making to their subordinates either as individuals or as groups of employees, relating to the immediate work tasks, work organisations and/or working conditions". For the purpose of this study, we have followed the rationale established by Knudsen and team in their study about the effects of employee participation on the work environment. However, as explained before, indirect participation is excluded from this study. So, in this paper participation will be defined as direct (in terms of form), pseudo and full (in terms of depth) and operational and strategic (in terms of scope).

2.2 Culture

Research on cultural differences between societies and organisations continues to engage the interest of the management due to its implications on Organisational management, such as participation in decision making. Culture is considered as the values shared by individuals from a human group (e.g. societies, nations, ethnic groups, etc.) that influence the perceptions, understandings, and behaviours of individuals and social relationships that stand out among them in organisations (Hofstede, 1984, 2002). According to Kroeber and Kluckhohn (1952), 'culture consists of patterns, explicit and implicit, of and for behaviour acquired and transmitted by symbols, constituting the distinctive achievements of human groups, including their embodiments in artefacts; the essential core of culture consists of traditional (i.e., historically derived and selected) ideas and especially their attached values' (p. 181). This potential sense of common tradition and shared values by members of the same group establishes the basis of society and defines the culture. According to Schaffer and Riordan (2003) culture could be studied from two perspectives: societal (when it is related to political or anthropological trends) or individual (when attitudes and values are studied). The cross-cultural approach of this study merges both perspectives since it analyses answers collected from individuals and then aggregates them by countries to obtain a societal sample. This procedure is in line with Hofstede (2010) suggestion that culture is a collective phenomenon built upon values shared with people who live or lived within the same social environment.

As pointed previously, Hofstede study is considered as a reference for measure national culture (Gong, et al., 2007; Yoo, et al., 2011). In comparison with GLOBE, another important reference for cultural analysis (House et al., 2014) EU member countries have been measured by Hofstede, which is crucial for this paper due to it analyses European organisations. In fact, traditional knowledge has studied cultural values within the framework of Hofstede (1984). Hofstede carried out a research in IBM's office for Europe (from 1967 to 1969), by a survey over 60,000 respondents in 53 countries, and he repeated the research in 71 countries in the period from 1971 to 1973 with a modified questionnaire (Podrug, 2011; Alkailani, et al., 2012).). Hofstede's research resulted in the following four dimensions of national culture:

power distance, uncertainty avoidance, individualism/collectivism, masculinity/femininity. Long-term/short-term orientation and indulgence were added later (Hofstede, 2010).

An extended body of literature has analysed the relationship between Hofstede dimensions and organisations. Cultural values affect to different practices such as leadership (Ergeneli et al., 2007; Poethke and Rowold, 2017); Organisational commitment and performance, (Rashid, et.al, 2003) or management practices. Also, it is crucial to highlight that culture has a specific impact on Human Resources Development (HRD) and their initiatives (training, career, and Organisational development). Actually, outcomes of HRD produce added-value for the organisations and are enhanced by the recognition of the role of cultural “fit” (Garavan, 2007). It means that HR departments should consider how culture affects organisations in order to handle consistently and ensure future ready organisations (Bennet, 2009). Considering that culture has an impact on management and human resources practices is important to know how it affects the decision-making process. According to Albaum, et al., (2010) cultural dimensions impact on each individual decision maker’s perception or interpretation of a situation. This is supported by Morrison and Miliken (2000) who noted that national culture may affect the extent to which employees withhold their ideas or opinions. There is a wide range of empirical evidence that strategic decision making differs from national culture (Schneider and DeMeyer, 1991). Based on the above discussion, this study considers that direct PDM depends on the culture of the country in which employees and managers are working. Coming from this approach, the following sections analyse the relationship between Hofstede’s cultural value and direct PDM.

2.3 PDM and Power Distance (PD)

Literature shows that there are societal cultural differences in how individuals behave in situations of power difference (Rao and Pearce, 2016). PD is defined as “the extent to which a society accepts the fact that power in institutions and organisations is distributed unequally” (Hofstede, 1984 p.45). At country level, citizens see rules as normal. Although, at company level, a large power distance is related to hierarchical structure (Pheng and Yuquan, 2002) when power is centralized in supervisors or managers. Based on this assumption, subordinates have a considerable dependence on their bosses (Irfan, 2016). Findings from cross-cultural studies support that employees from countries with a high level of power distance tend to participate less in management practices (Huang et, al. 2005); this is because they feel fear of punishment if they question or disagree with management decision (Sagie and Aycan, 2003). In organisations with a low power distance, managers tend to consult employees when they have to make critical work decisions. Employees received such initiative of consulting as they are closer to management and feel that people higher in the hierarchy value their opinions and knowledge (Edmondson, 2003; Tangirala, 2012). As Sagie and Aycan (2003) point out, in low power distance cultures employees see participation as a right. Hence, employees of low-power organisations are more likely to have direct contact with their managers. Considering that PDM is less supported in culture with a high level of PD, this study develops this first hypothesis:

H1. PDM is negatively related to the PD of the country where the company is located.

2.4 PDM and Uncertainty Avoidance (UA)

This value represents the degree to which members of a country feel threatened by ambiguous or uncertain situations (Newman and Nollen, 1996). As argue Hancioğlu et al. (2014) this kind of country refuse unusual ideas, different types of people and different lifestyles, also they avoid conflict and look for stability. People get anxious when they have to promote or drive new initiatives (Irfan, 2016). In this dimension, rules are integrated as a control mechanism to avoid ambiguity in processes. On the other hand, in countries with low levels of UA people do not need rules (Frijns et al., 2013; Matusitz and Musambira, 2013). They feel comfortable with a new process, or in new situations. Actually, Hofstede (1984) supported that strategic planning is featured in less Uncertainty Avoiding cultures. Like PD,

UA determines the way people build their organisations (Hofstede 1984, p.84). In terms of PDM, this dimension conditions both, managers and employees. In this sense, in organisations with a high score in UA, if managers plan all activities and all procedures are established by rules, they do not pursue any opinion or ideas from employees. Hence, employees perceive these rules as strict norms to follow. On the contrary, if a manager adopts a "behavioural" style and promotes collaboration and consensus between the members of a group, decision making helps to decrease the uncertainty and ambiguity. (Martinsons and Davison, 2007). Under this construct, Muindi (2011) determines that employees who participate in the decision-making process are more likely to accept the change than those employees who are not involved.

H2: PDM is negatively related to the UA of the country where the company is located.

2.5 PDM and Individualism/Collectivism (I/C)

While PD influences the extent of the participation, I/C tries identifying the participants in PDM (Sagie and Aycan, 2003). As Hofstede (1984) defines, Individualism stands for "a society in which the ties between individuals are loose – everybody is expected to look after him/herself and his/her immediate family only" while collectivism stands for "a society in which people from birth onwards are integrated into strong, cohesive in-groups, which throughout people's lifetimes continue to protect them in exchange for unquestioning loyalty." In accordance with the same author, I/C and M/F dimensions are related to people's self-concept. I/C explores if the members of society recognized themselves as an individual or members of a group. Regarding this extent, collectivistic countries are featured by interdependence where rights and interests are built under a group basis. In contrast, individual needs, rights, and autonomy are predominant in individualistic countries (Hofstede, cited in Sheldon et al., 2017, p.1). In a collective culture, group decisions have more weight than individual ones. The link between this dimension and participation in organisations determines if the decision-making process occurs as employee or at group level, but it does not measure the amount of participation. However, the study addressed by Khairullah and Khairullah (2013) indicates the importance of incorporating collectivistic cultural values rather than individualistic, in the decision-making process. It seems reasonable then to suppose that organisations with a collective cultural background promote a more participative decision-making process.

H3. PDM is negatively related to the Individualism of the country where the company is located.

2.6 PDM and Masculinity/Femininity (M/F)

As explained in the I/C section, Masculinity and Femininity dimension is related to people self-concept. According to Newman and Nollen (1996) in male organisations, they are primarily interested in performance, profits and recognition; in women, there is an interest in relationships, communication, and consultancy (Morden, 1995, p.1). These feminine societies are featured by equality in both gender roles and positions (Hofstede, 2001). Research on gender differentiation tends to attribute women values to an effective PDM. For example, according to Grant (1988), female managers promote cooperation for democratic decision making. In line with this approach, Cameron (1995) argues that when feminism affects to management style it promotes teamwork and collaborative problem-solving. So is expected that female organisations tend to be more participative than those leading by male managers.

H4. PDM is positively related to the Femininity of the country where the company is located.

2.7 PDM and Long Term vs Short Term Orientation (LTO)

The fifth dimension of Hofstede refers to a country's time orientation and it is related to "Confucian dynamic". This is because Hofstede and Bond in 1988 conducted additional research using a survey from Chinese culture (Khatri, 2009). Long Term oriented (LTO) countries represent patience, obedience, and perseverance. These are proper values from Asiatic countries, such as Taiwan or Singapore (Newman and Nollen, 1996). Cultures with LTO tendency promote practices for future rewards, save and are able to adapt to changing circumstances. Organisations with long term orientation look after the future and follow a foresight tend (Bearden et al., 2006). They are called pragmatic organisations. The cultures with a short term perspective take care of the past and the present, national pride, and respect for tradition (Hofstede and Hofstede, 2005). Organisations that operate in this cultural environment are known by "normative". With regards to PDM, Lumpkin et al. (2010) point out that LTO is a symbol of the Organisational mindset that affects to decision processes of family firms. This research extrapolates this idea to organisations in general. Little is known about the relationship between ST/LT and employee PDM. Nonetheless, based on the above discussion, this study ideally postulates the hypothesis that:

H5. PDM is negatively related to Long Term Orientation of the country where the company is located.

2.8 PDM and Indulgence (Ind)

Finally, Indulgence is the last value added to Hofstede's dimensions. It is related to the happiness of a country. According to Hofstede et al. (2010) and Yavuz (2014), the main characteristics of indulgent societies are a higher percentage of happy people, high importance of leisure and friends. Also, there is no distinction between genders and there is freedom of speech. Restrained societies support moral discipline, prescribed gender roles and for them, there is important to maintain order in the nation. Because of this dimension is relatively new, there is no empirical evidence of the efficacy of indulgence in employee PDM. Offering deeper research about this relationship is one of the contributions of this study. In terms of PDM, it is expected that indulgence organisations where ideas and opinions could be shared tend to promote employee participation.

H6. PDM is positively related to Indulgence of the country where the company is located.

3. Methodology

3.1 Data and summary statistics

The testing of previously formulated hypotheses involved a four-stage process. First, factor analysis was carried out to obtain the values of direct employee PDM corresponding to each organisations included in the sample. Second, correlations analysis was performed to analyse the linear relationship between PDM and the Hofstede indexes. Thirdly, a multiple linear regression model was estimated to analyse the contribution of each cultural index in PDM. Finally, a ranking between PDM and Hofstede dimensions is presented to define the cultural profile of European participative organisations.

3.2 Definition of the sample

Since the objective of this study is to analyse direct PDM by employees (i.e., we disregarded managers) a sample of 23,752 employees who work for others in 31 European countries was selected (from the 6th European Working Conditions Survey). Later, the information regarding the national culture from the Hofstede's project (Hofstede 2010) was aggregated to each selected participant in the EWCS (2015). Therefore only those countries with national culture values are included in the current research: Finland, Denmark, Norway, Ireland, Netherlands,

Malta, Slovenia, Sweden, United Kingdom, Austria, Turkey, Belgium, Estonia, Switzerland, Czech Republic, Romania, Luxembourg, France, Hungary, Spain, Poland, Albania, Serbia, Italy, Croatia, Greece, Bulgaria, Portugal, Germany, Slovakia, Lithuania. As observed in Table 1, countries studied have a high level of Uncertainty Avoidance and are moderately scored in terms of indulgence. The coefficient of variation used to measure the variability of distribution and consequently the representation of its mean shows that PDM and Uncertainty Avoidance (45.688 and 45.3118) are the most heterogeneous variables. It means that are the variables with the highest variation between countries.

Table 1: Descriptive statistics

	Mean	SD	Min	Max	Coef. of Variation
Direct employee PDM	0.5634	0.2574	0.00	1.00	45.6880
Power Distance	53.9142	20.1924	11	100	37.4528
Masculinity	48.4476	21.9525	5	100	45.3118
Uncertainty Avoidance	73.1655	19.8815	23	100	27.1733
Ind-Collect	56.8089	18.3320	20	89	32.2697
Long Term Orientation	57.7904	16.0889	24	83	27.8401
Indulgence	44.9162	16.8682	15	78	37.5547

3.3 Measurement of variables

3.3.1 Dependent variable: Direct employee PDM

With the purpose to define direct employee PDM, 8 items related to their participation in making decisions were taken from the survey. Specifically, employees are asked about the following items:

Table 2: The measurement of dependent variables: Direct employee PDM

Item	Codes
Q.54 a) Are you able to choose or change your method of work?	Yes (1); No (2)
Q.54 b) Are you able to choose or change the order of your task	Yes (1); No (2)
Q 61. c) C. You are consulted before objectives are set for your work	Yes (1); No (2)
Q.54 c) Are you able to choose or change your speed of rate of work	Yes (1); No (2)
Q. 61 d) You are involved in improving the work organisations or work processes of your department or organisations	Always (1) ;Most of the time (2); Sometimes (3); Rarely (4); Never (5)
Q. 61 e) You have a say in the choice of your work colleagues	Always (1) ;Most of the time (2); Sometimes (3); Rarely (4); Never (5)
Q. 61 i) You are able to apply your own ideas in your work	Always (1) ;Most of the time (2); Sometimes (3); Rarely (4); Never (5)
Q 61 n) You can influence decisions that are important for your work	Always (1) ;Most of the time (2); Sometimes (3); Rarely (4); Never (5)

Cronbach Alpha was computed in order to measure the internal consistency of these 8 items used to measure the construct "Participation". The value of alpha was 0.814 so it ratifies a good internal consistency. In addition, the Cronbach Alpha coefficients were reduced if any of the elements considered were removed from the reliability analysis. A factor analysis was carried out based on these eight survey questions, specifically, principal component analysis. The results ratified that factorial analysis was appropriated (Bartlett's Test of Sphericity, sig. 0.00, and Kaiser-Meyer-Olkin Measure of Sampling Adequacy 0.864, so greater than 0.75). This differentiation is in line with the theoretical classification of direct PDM: individual task discretion and Organisational participation (Gallie, 2013; Inanc et al., 2015). Organisational level construct (which explains 36% of the total variance) is associated with the chance of influence in important and strategic decisions. The individual discretion (27% of the total variance) defines how much influence employees have over aspects of their immediate work and tasks. The scores of each measure for each participant were obtained by the regression method. Thus, the linear combination of these factor scores weighted by their contribution to the variance became the final value of the dependent variable. Therefore, this study defines the direct employee PDM construct over both concepts (strategic and operational levels).

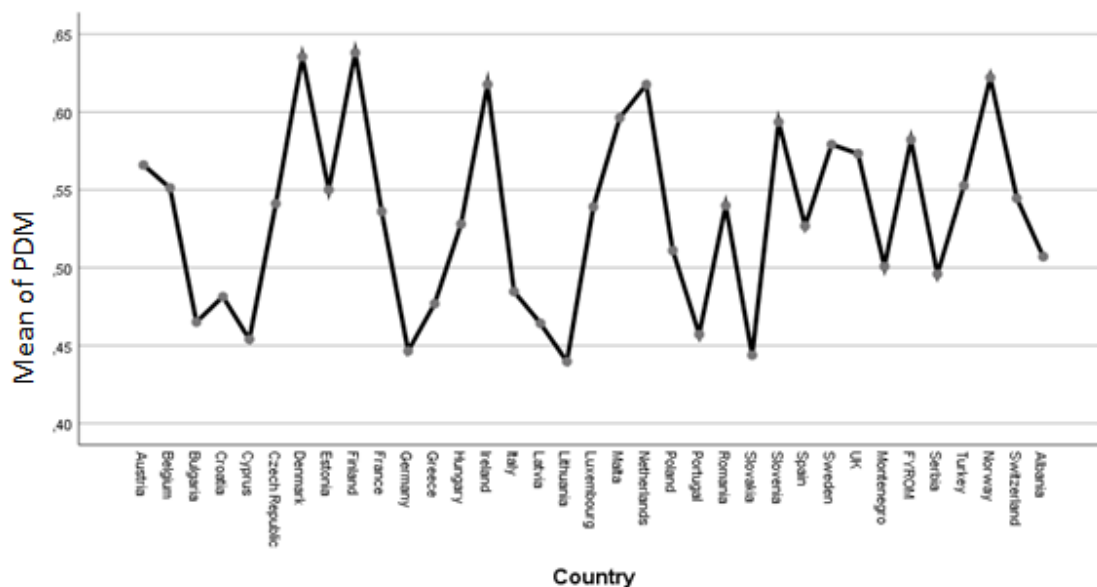
3.3.2 Independent variables: national cultural values

As independent variables, the paper considers the results from Hofstede's statistical studies. The results contain the countries Hofstede analysed over the years and their respective scores on each of the six dimensions studied: Power Distance, Masculinity/Femininity, Uncertainty Avoidance, Individualism /Collectivism, Long Term Orientation/Short Term Orientation and Indulgence. The scores are ranged from 1 to 100 (where 1 is the minimum and 100 is the maximum).

3.4 Data analysis

First, the study analysed the existence of significant differences in the level of PDM of the countries where organisations are located. The mean of PDM by country was computed (Figure 1). It was found that Denmark, Finland, Ireland, Netherland, and Switzerland are between the top five participative countries. On the contrary, Germany, Lithuania, Portugal, and Slovenia are the European countries featured by the lowest level of PDM.

Figure 1: Graph of PDM means by country



A multiple comparison test of PDM means by country was carried out. Concretely, the Tukey t-test was executed finding significant differences between the mean of PDM for most of the countries (as it can be observed in *Annex 1*). It approves that Denmark, Finland, and Ireland are more participative in comparison with other such as Portugal or Germany. In order to analyse if these differences were due, at least partially, to cultural reasons, a correlation analysis was performed. Pearson correlation analysis (see table 3) showed that all culture indicators have a significant linear relationship with PDM. This fact justifies the inclusion of these indexes as the independent variables of a multiple linear regression model to explain PDM.

The relation with PDM was found direct for Individualism and Indulgence indicators and inverse for Power Distance, Uncertainty Avoidance and Long Term Orientation. The strongest linear relationship happens between PDM and Indulgence index, followed by Power distance. Regarding the correlation between the cultural indicators, Indulgence was the indicator more correlated with the others, especially with Power distance (-0.67). Nevertheless, in the rest of the cases, most of the correlations were not significant, so it seems that there is no serious problem of collinearity (as will be shown later with the calculation of the inflation factor of variance). This previous analysis justifies the inclusion of these variables as the repressors of a multiple regression model to describe PDM.

Table 3: Pearson correlation coefficients

	1	2	3	4	5	6	7
1. Direct employee PDM	1,00						
2. Masculinity	-0,38	1,00					
3. Power distance	-0,51	0,23	1,00				
4. Individualism	0,41	0,04	-0,67	1,00			
5. Uncertainty avoidance	-0,45	0,15	0,59	-0,56	1,00		
6. Long term orientation	-0,44	0,23	0,12	0,14	0,04	1,00	
7. Indulgence	0,70	-0,21	-0,62	0,53	-0,46	-0,33	1,00

As noticed before, it was fitted a multiple linear regression model to examine the role of Hofstede's cultural dimensions and their potential impact on employee participation in European Organisations (the major objective of the present study). The dependent variable is the mean of PDM by country and the repressors, the six culture indexes of Hofstede. To test that the regression does not exhibit a problem of collinearity, VIF was computed. The results revealed that there is not a problem of collinearity between Hofstede indexes (as it was already suspected considering the correlation coefficients).

It can be perceived (Table 4, model 1) that only the coefficients associated with the index of indulgence (for a significance level of 5%) and masculinity (although at a 10% of significance) would be valid. After removing those variables whose coefficients were not significant, only the two coefficients previously mentioned remained significant (Table 4, model 2). That is, only masculinity and indulgence indexes would remain as explanatory variables. Therefore, it can be said that the greater the masculinity of the country where the company is located, the lower the direct employee PDM. At the same time, the greater the indulgence of the country, the greater the PDM.

Table 4: Multiple regression model (standardized β values)

Cultural variables	Model 1	Model 2
Masculinity	-.226*	-.248***
Power Distance	.031	
Individualism	.172	
Uncertainty Avoidance	-.129	
Long Term orientation	-.268	
Indulgence	.433*	.646***
Final adjusted R ²	52,30%	51,5%

The goodness of fit (adjusted $R^2 = 51,5\%$) is not a high value. However, considering the difficulty of the problem analysed (the explanation of PDM average by country, considering only culture indicators) it can be considered acceptable.

4. Discussion and conclusion

This paper has examined the effect of national cultural dimensions on PDM. To the best of our knowledge, this is the first study investigating PDM across 6 cultural dimensions. The globalized and international business environment generates new challenges to multinational organisations that could pursue to increase direct PDM to get its benefits (a higher efficiency, performance, motivation, commitment and loyalty by the employee), in culturally diverse societies. The present study seeks to contribute to this state by the analysis of PDM in European organisations. It confirms that there is a difference in the level of PDM in countries from Europe. As mentioned formerly, Denmark, Finland, Ireland, Netherland, and Switzerland are countries that scored more highly the PDM. On the other hand, there are countries that promote PDM less, such as Cyprus, Germany, Lithuania, Portugal, and Slovenia.

Regarding hypothesis testing, it was expected that the cultural values of the countries where organisations are located affect direct employee PDM (Sagie and Aycan, 2003). This occurs principally with the statistically significant values reported in both models: Masculinity, Long Term Orientation, and Indulgence. This is an interesting finding because there is no empirical evidence in the effect of Indulgence and Long Term orientation on PDM, due to they were added later to Hofstede's values (Hofstede, 2010). Previous studies indicated that countries with a high level of masculinity tend to be autocratic whereas those featured by feminine values (e.g. consultancy) help to create a participative environment (Morden, 1995; Newman and Nollen, 1996). Evidence from this study confirms hypothesis 4 and endorse the importance of feminine values as a promoter for PDM. This could be very interesting for organisations in order to incentive female managers. In terms of time orientation, results reveal that hypothesis 5 is not supported. It means that Confucian values are not followed by Europeans countries in terms of participation. Hence, it could be concluded that European organisations tend to be more normative than pragmatic.

A general contribution that the current research makes is that findings show that there is a positive relationship between Indulgence and PDM. Indulgent countries are featured by happiness, living now and having fun and where there are no strict social norms (Hosftede, 2011).

The rest of the values Power Distance, Uncertainty Avoidance and Individualism have also a significant influence on PDM when they are analysed separately with the dependent variable. Then, this study supports what previous research found: managers from nations characterized by high individualism, low power distance and harmony (Smith et al., 2002) tend to promote a participative environment. The results of this study found that organisations that promote employee PDM are located in countries with low levels of power distance, uncertainty avoidance, and masculinity. In other words, decentralized organisations where everyone is treated as equal and employees are consulted (Morris and Pavet, 1992); additionally, they are featured by feminine values and people in organisations do not feel stress and are more easily engaged in a new situation. On the other hand, organisations that promote PDM present a high level of indulgence and individualism. These results offer a better understanding of the rationale behind a participative environment and also mean a call for HR practitioners and managers to incentive different practices or mechanisms within organisations to allow employee PDM (*see Annex 2. Ranking by cultural dimension*).

6. Limitations and implications

Although this study advances the understanding of how cultural values influence PDM, it is not without limitations. First, this paper uses the country as a proxy for culture (e.g. Steensma et al., 2000). It means the same country has political and sociological influences that create a subculture. As Ryan et al. (1999) recognized, "A concern is that the use of nation as a basis for examining cultural differences can be criticized as not attending to subcultural differences" (p. 388). Consequently, this study runs the risk of not capturing all the significant cultural features within the same country. The second weakness of this study is that it is based solely on the perceptions of the employees. Future work can also overcome this limitation by including the manager's perceptions. In this way, would be possible to observe a complete picture of how PDM is implemented in European organisations.

Nowadays organisations (including HR) need to adapt to the rapid transformation of the working environment caused by new technologies. Culture is one of the variables with the highest impact on HRD (Garavan, 2007) and also on the way to lead people and making decisions. This study allows the HR executive to handle the cultural features of the country where organisations. This paper helps to identify the most appropriate scenario to promote employee PDM in order to use it as benchmarking. Human Resource policies and practices deal widely with this topic, as it is known to be linked to performance, Organisational commitment, and employee engagement.

Annex 1. Homogeneous subsets

Homogeneous subsets **participation_recod_final**

HSD Tukey^{a,b}

		Sub-sample alpha = 0.05															
Country	N	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16
Lithuania	608	,4397															
Slovakia	718	,4438															
Germany	1574	,4465	,4465														
Portugal	580	,4571	,4571	,4571	,4571												
Latvia	587	,4642	,4642	,4642	,4642												
Bulgaria	712	,4651	,4651	,4651	,4651												
Greece	590	,4769	,4769	,4769	,4769	,4769											
Croatia	697	,4814	,4814	,4814	,4814	,4814	,4814										
Italy	854	,4847	,4847	,4847	,4847	,4847	,4847	,4847									
Serbia	633	,4960	,4960	,4960	,4960	,4960	,4960	,4960	,4960								
Albania	419			,5071	,5071	,5071	,5071	,5071	,5071	,5071							
Poland	753				,5110	,5110	,5110	,5110	,5110	,5110	,5110						
Spain	2207					,5268	,5268	,5268	,5268	,5268	,5268	,5268					
Hungary	729					,5281	,5281	,5281	,5281	,5281	,5281	,5281					
France	1043						,5361	,5361	,5361	,5361	,5361	,5361					
Luxembourg	559							,5391	,5391	,5391	,5391	,5391	,5391				
Romania	668							,5399	,5399	,5399	,5399	,5399	,5399	,5399			

Czech Republic	710								,5411	,5411	,5411	,5411	,5411	,5411				
Switzerland	711									,5445	,5445	,5445	,5445	,5445				
Estonia	593									,5500	,5500	,5500	,5500	,5500				
Belgium	1590									,5513	,5513	,5513	,5513	,5513				
Turkey	1264										,5527	,5527	,5527	,5527				
Austria	686											,5659	,5659	,5659	,5659			
UK	911												,5732	,5732	,5732			
Sweden	571												,5791	,5791	,5791	,5791		
FYROM	691												,5822	,5822	,5822	,5822	,5822	
Slovenia	1058													,5935	,5935	,5935	,5935	
Malta	553														,5963	,5963	,5963	
Netherlands	621															,6176	,6176	
Ireland	601															,6177	,6177	
Norway	586															,6221	,6221	
Denmark	520																,6354	
Finland	674																	
Sig.			,054	,084	,108	,092	,158	,077	,052	,068	,139	,074	,067	,081	,052	,055	,054	,059

The means for the groups in the homogeneous subsets are displayed.

a) It uses the sample size of the harmonic mean = 695,251.

b) Group sizes are not the same. The harmonic mean of the group sizes is used. Type I error levels are not guaranteed.

Annex 2. Ranking by cultural dimension

Country	Sample proportion	PDM Mean	Masculinity index	Power Distance index	Individualism index	Uncertainty Avoidance index	Long Term Orientation index	Indulgence index
Finland	2.70%	0.686	26	33	63	59	38	57
Denmark	2.08%	0.683	16	18	74	23	35	70
Norway	2.34%	0.668	8	31	69	50	35	55
Ireland	2.40%	0.664	68	28	70	35	24	65
Netherlands	2.48%	0.663	14	38	80	53	67	68
Malta	2.21%	0.640	47	56	59	96	47	66
Slovenia	4.23%	0.637	19	71	27	88	49	48
Sweden	2.28%	0.621	5	31	71	29	53	78
UK	3.65%	0.615	66	35	89	35	51	69
Austria	2.74%	0.607	79	11	55	70	60	63
Turkey	5.06%	0.592	45	66	37	85	46	49
Belgium	6.36%	0.590	54	65	75	94	82	57
Estonia	2.37%	0.589	30	40	60	60	82	16
Switzerland	2.84%	0.583	70	34	68	58	74	66
Czech Republic	2.84%	0.579	57	57	58	74	70	29
Romania	2.67%	0.578	42	90	30	90	52	20
Luxembourg	2.24%	0.577	50	40	60	70	64	56
France	4.17%	0.574	43	68	71	86	63	48
Hungary	2.92%	0.565	88	46	80	82	58	31
Spain	8.83%	0.563	42	57	51	86	48	44
Poland	3.01%	0.546	64	68	60	93	38	29
Albania	1.68%	0.542	80	90	20	70	61	15
Serbia	2.53%	0.530	43	86	25	92	52	28

Italy	3.42%	0.51 7	70	50	76	75	61	30
Croatia	2.79%	0.51 3	40	73	33	80	58	33
Greece	2.36%	0.50 8	57	60	35	100	45	50
Bulgaria	2.85%	0.49 6	40	70	30	85	69	16
Portugal	2.32%	0.48 7	31	63	27	99	28	33
German y	6.30%	0.47 5	66	35	67	65	83	40
Slovakia	2.87%	0.47 2	100	100	52	51	77	28
Lithuani a	2.43%	0.46 75	19	42	60	65	82	16

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Importance of cultural and organisational contexts in the adoption of work-life balance policies: Case studies of Palestinian telecommunication companies

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Abstract

This paper explores the nature of Work-Life Balance (WLB) policies offered within a developing country (Gaza, Palestine), by two telecommunication companies. The cultural context is described, in which two semi-public companies have developed a particular set of family-friendly policies. Then ideas are explored on why the adoption of Work-Life Balance (WLB) policies in these organisations may have taken a particular pathway, and may resemble organisations in other Muslim and Arab countries. Using the value assumptions of critical realism, two qualitative studies have been undertaken in which 17 managers, and 32 employees were interviewed in the two companies. These interviews were then subjected to standard qualitative analysis. Reasons for the provision WLB benefits identified by respondents were often different in kind and degree from those found in studies in Western countries. Furthermore, perceived reasons for the introduction of these benefits differed between groups of employees, namely managers and professional employees. Generally, WLB benefits supported women in an Islamic and Arabic culture, in ways which were resonant with this cultural setting, but which also reflected both local trade union pressures, government regulations, and international influences. This study, the first of its kind in a Muslim, Arabic culture deserves replication with both qualitative and quantitative methodologies. If the findings of this initial study are replicated, there may be important implications for both public and private management, and for international firms investing in Arab countries. This interpretation is a value-based approach, resulting from the subjective analyses of the researchers, and further generalisations must be based on replication studies. The findings of this study do have important implications, since they appear to show that the ethos and range of WLB benefits, and the reasons for their implementation can be quite different when Arab and Western countries are compared. These initial results, if replicated, could be an important guide for international investors considering WLB benefits in Arab countries. This is a pioneering study, using a critical realist methodology, and the research model could have wider implications for cross-cultural studies of Work Life Balance.

Keywords: Work Life Balance, Family-Friendly Policies, Flexible Working, Palestine, Telecommunication Sector, Arab Context, Cultural Factors.

1. Introduction

This paper explores the methodology and findings of qualitative research on the nature and delivery of Work-Life Balance policies in two semi-public telecommunications companies, using semi-structured, qualitative interviews with 17 managers and 32 employees in the largest telecommunication organisations in Gaza, Palestine.

At the beginning of the study it was clear that in contrast with a number of Western countries (i.e. countries in which a majority of the population are of European origin), the pressures of labour unions could be important in the adoption of Work-Life Balance (WLB) policies. Islamic religious beliefs and practices, and individual social relationships in Palestine; and networking with international organisations also seemed to be responsible for the adoption of certain WLB policies into the organisation. These ideas have been explored in the qualitative case studies.

It appears too, from previous research that the introduction of human relations policies

into Arab countries may transcend the commercial decisions of particular organisations, and is likely rooted in the culture, politics and religion of Arabic cultures (Branine and Pollard, 2010). The present study explores and develops this existing knowledge in the possible relationships between macro-level conditions and developments in HRM policies within organisations in the field of Work Life Balance (WLB) policies, which have not been studied before in an Arabic context.

The concept of WLB in Western studies refers to individual satisfaction in multiple life roles, and the abilities of individuals to balance and manage simultaneously two or more aspects of life, involving work, family and personal roles (Eikhof et al., 2007; Glass and Finley, 2002). For this purpose, various WLB policies have been developed and offered by organisations in many Western countries, such as part-time working, school term-time working, childcare benefits, and maternity leave (Bond et al., 2002; Lewis and Campbell, 2008). The research question addressed in the present article is the extent to which Western findings on WLB provision are relevant for an Arabic country; and the degree to which cultural context is important in the development of WLB policies in one large telecommunication organisation.

2. The Context of the Current Study

Palestine represents the south-western part of a geographical region in the eastern part of the Arab region. Most of Palestine's daily life has been controlled, directly or indirectly, by Israel which took over much of Palestine in 1967. Following an uprising against Israeli rule in 1987, much of Palestine's infrastructure, trade and industry was disrupted or destroyed, and there have been severe economic problems, made worse by the Israeli bombardment of Gaza in 2014.

The two parts of Palestine, the Gaza Strip and West Bank are under continued sanction, banned from free trade with Israel, and exports and imports to and from other countries were (and still are) blocked (MAS, 2012). More than 250,000 Palestinian workers were unable to work in the Israeli labour market, and the unemployment rate reached 26% in the West Bank and 33% or more in the Gaza Strip in 2011 (Abu-Eideh, 2014). The male unemployment rate in Gaza has certainly increased since September, 2014 to well over 50%, although accurate figures are hard to obtain.

The percentage of women in the workforce in the Palestinian labour market has however increased over time, but this proportion has been variable, reflecting economic instability. The most recently available figures (prior to the extended blockade of 2014) show that the number of paid women in the workforce had risen to around 20% (ETF, 2014; PCBS, 2014). This is largely due to the employment of women who are educated and multilingual, with skills in demand by international, and well-established national or public organisations.

Palestine like many Arab countries, is characterised by its 'polychronic' culture (Aycan, 2000; Hofstede, 2001). Individuals generally still live in a relaxed manner in which formal bonds of role and status are fluid rather than rigid (but subject to Islamic norms of interpersonal conduct between genders) - even within the workplace, roles, customs and norms from the wider society often impinge on life in the workplace. Individuals in Palestine (as in other Arab countries) feel less pressure to achieve high efficiency at work, which consequently makes the integration between their personal and working lives both fluid, and challenging for Western models in which WLB practices are often premised on a rigid separation of work and family life (Budhwar and Mellahi, 2007).

The religion of Islam informs a comprehensive system of values and ethical behaviours, and governs all aspects of life, including the relations between individuals, and within society as a whole (Kamali, 2003; Abuznaid, 2006). As a Muslim it is mandatory to follow and practise the Five Pillars of Islam which involve accepting God's will, and the standards of conduct given in the final message to Prophet Muhammad; reciting the five daily prayers; giving to charity; fasting for a month during Ramadan; and if health and means allow, making a pilgrimage once in one's lifetime to Mecca (Lundblad, 2008; Kamali, 2003).

Much social, cultural and political life is organised around these five pillars of Islam, which guide the conduct of both law-makers and entrepreneurs.

Organisations in Palestine work according to the Palestinian Labour Law, enacted in 2005 (PGFTU, 2012). Several regulations relate to WLB practices, including paid maternity and child care leave for women (usually 3 months), with mothers now having the right to take unpaid child care leave for a year (MAS, 2011). But according to the main trade unions, there is still a need for further development, especially in respect of the limited application of flexible WLB policies by smaller firms. There are several unions representing health care, industry, telecommunications and banking sectors (EFT, 2014). As in many Western countries, WLB “regulations” are often advisory rather than compulsory, and only larger or more progressive organisations offer WLB benefits which come near to meeting the aspirations of women who seek more permanent executive, managerial or professional positions (Catalyst, 2017).

3. Legal and Administrative Frameworks

In Western countries, the regulatory advice of labour laws is usually one of the main reasons why WLB policies are adopted. In 2000 a range of actions (including advisory rather than legislative programmes) encouraged the WLB debate such as the launch of the UK Government’s first Work–Life Balance Week, and the introduction of family-friendly legislation (Maxwell and McDougall, 2004; Den Dulk et al., 2012). Since then, the momentum of interest has been sustained and organisational interest in parental leave, paid paternity leave, part-time working and flexi-time has increased (De Menezes et al., 2009; Hyman and Summers, 2007). The Spanish case provides an interesting exception to the “Western” WLB model in which employers were not governed by regulations from government in adopting WLB practices: there was no particular stimulus from concern of government for the ‘work and family principle’ as a motivation for adopting WLB practices (Pasamar and Alegre, 2014; Poelmans et al., 2003). In the US there has also been less involvement of public policy concerning the nature of society and its welfare systems, a reflection of the nature of the capitalist system in general in America - WLB policy has largely been left to market forces, which constrain individual enterprises (Orloff, 1993; Osterman, 1995).

The Palestinian Authority has tried to establish regulations in order to ensure the provision of basic rights of the workforce, right to maternity leave and breast-feeding hours in all sectors of the economy (The Labour Law of Palestine, 2005 – PGFTU, 2012). This is not the complete story however, because compliance with such basic practices might not be the same as in other Arabic countries, since the guiding principles concerning family welfare derived from Islam, implementation is usually at the discretion of the owners or managers of organisations, and governments in Arabic countries do not see it as their role to monitor ‘non-compliance’ (Budhwar and Mellahi, 2007; Al-Hamadi et al., 2007). Adoption of the guiding principles of WLB benefits is, by large, voluntary in Arab countries previously studied, such as Jordan (Abubaker and Bagley, 2016a).

The role of, and pressure exerted by, labour unions has been under debate in Western contexts (Prowse and Prowse, 2006; Bewley and Fernie, 2003; De Menezes et al., 2009). In one comparative study, which utilised two different data sets, the 1998 data showed that the presence of an active labour union had a positive effect on the provision of specific WLB practices, including: parental leave, paid leave, and childcare support. However, according to the more recent data from 2004, new findings showed a changing picture, with unions becoming increasingly marginal actors in the process of introducing and implementing WLB policies: employer-led initiatives often placed them in a defensive position (Kirton and Greene, 2005; De Menezes et al., 2009). Additionally, commentators indicated that trade unions whilst negotiating for wage levels at a national level, lacked power and influence on conditions in the workplace itself (Gambles et al., 2006; Prowse and Prowse, 2006). Unions have modernized their policies and practice, but ironically they have done so at a time when their capacity to intervene is greatly reduced (Gregory and Milner, 2009).

In Palestine however, there is some evidence that the unions are capable of playing a stronger role in the adoption of WLB practices, particularly in larger organisations, than in

Western countries. This reflects the increasing number of individuals joining specialised unions in sectors such as telecommunications and finance. However, the actual influence of unions on workplace conditions in Palestine has not been systematically studied. While the economy of Palestine remains weak (PCBS, 2014), most of the employed workforce tends to concentrate on the primary issue of financial reward (wage and salary levels) rather than on the implementation of other work related practices and benefits.

In many Western countries, an increase in competition for skilled workers has resulted in businesses turning to WLB practices as a means to attract and retain workers (Hyman and Summers, 2007; Dex and Smith, 2002; Davis and Kalleberg, 2006; Milliken et al., 1998; De Cieri et al., 2005; Kirby and Krone, 2002). The 'poaching' of labour, as we may term it, is a noted characteristic in certain sectors of Western economies, particularly of those who have a high level of skills that are in relatively short supply (Poelmans and Caligiuri, 2008). Under conditions of prosperity and fairly full employment, studies have found that such a relationship (between recruitment needs and WLB provision) does exist (CIPD, 2009; Wood et al., 2003).

In the case of Palestine, the current study was expected to find what Wood et al. (2003) had found: that is, only a weak relationship between the need to retain skilled employees and the provision of WLB practices, except workers with special technical skills who are in limited supply. This factor is particularly influential in international organisations seeking employees with a high level of English Language proficiency, IT skills, and telecommunication and engineering backgrounds – such individuals remain in short supply in Palestine. The issue of a limited supply, may put well-qualified women into a position of relative power within the employee/employer relationship, as they possess the specific skills required by such organisations to compete effectively on a national and global basis.

This may be a reversal of the well documented Western paradigm in which males are dominant in workplace power relationships, as identified by Butler (1990, 2004). Butler shows that Western society is 'gendered' in many of its social institutions, with females outstripping men in specialised roles in organisations being a 'deviant' case. O'Connor (2001) comments that women's power concepts in Western organisations are limited, and women usually in many industries normally occupy lower status, and more poorly rewarded positions. In contrast, it may be that due to the influences of Arab culture, and the interpersonal norms of Islam, a more relaxed approach to WLB already exists in relation to acceptable behaviours at work, due to the fluidity and interchange of work and home roles – practices which are "female friendly". This factor combined with the unique skills sets possessed by the Palestinian women studied, may reverse the traditional power relationship, enabling these women to exert pressures employers enabling them to achieve the working terms and conditions they desire, without compromising their employment security.

For some researchers, gender is central to WLB, since economically active females typically assume more family responsibilities (Lewis, 2006; Den Dulk et al., 2012 and 2013; Dex and Smith, 2002). However, there are still debates on these issues: for example, a comparative study found that European organisations with predominantly female employees were twice as likely as those with mostly male employees to offer Flexible Working schedules and Unpaid Leave, and they were almost four times as likely to offer some kind of Dependency Care Benefit (Davis and Kalleberg, 2006).

However, these and other researchers have found that women usually work on routine production lines, or at low levels within organisations and consequently only had limited power to influence the adoption of WLB practices (Milliken et al., 1998; Ingram and Simons, 1995; Pasamar and Alegre, 2014). The only real influence these women have is the employer's continued need for their inexpensive labour. Women in such situations have a possible direct effect on managerial decisions in applying some WLB practices, as for example, was the case in service sectors of the UK economy such as the NHS, in secretarial positions, and the retail sector, where women predominate in the workforce (Dex and Scheibl, 2001; Dex and Smith, 2002). Organisations in these areas encounter a high degree of pressure from women to implement WLB practices. In various industrial sectors in Western organisations, the innovation of WLB policies is linked to the existence of a higher proportion of women in the workforces (McKee et al., 2000; Bergman and Gardiner, 2007). These and other researchers

argued that employers' 'enlightened' response is not wholly driven by market interests (Dex and Smith, 2002; Maxwell and McDougall, 2004; Wood, 1999; De Menezes et al., 2009; Hyman and Summers, 2007; Den Dulk et al., 2012).

Chandra (2012) comments that for many the purpose of work is to engender "a better life and for improving the well-being of the family", (p1), and highlights the pressures of managing the process of balancing work and family life, while acknowledging that the perception of the importance of work varies between Eastern and Western cultures. Chandra argues that the notion of gender stereotyping prevalent in Western organisations tends to be less overt in the Middle East and Asia which is frequently more influenced by cultural and religious norms. Nevertheless, facets of male dominance in the workplace and the link to the notion of 'masculine commitment' seems to be perpetuated across all cultures. The difference is that in Western countries there is greater emphasis on WLB being a female issue, with policies linked to traditional 'female' activity such as child or elder care.

Since the present study, concentrates on the policies of two large organisations in the telecommunications service sector of Palestine which employs a relatively high percentage of women, it might be expected that in Palestine, women might constitute an essential factor driving organisations to adopt certain WLB practices, particularly in regard to those practices which concern the welfare of children. This is because in Arabic countries it is women who are traditionally responsible for caring for the home and for children, receiving little support from men in such roles (Ayman and Eskin, 2005). This traditional pattern of role obligations is well understood in Arab organisations.

4. Research Methods

In order to gain both an initial and an in-depth understanding of the perceptions of the employers and employees on how employers implement, adopt and administer WLB policies, the case study strategy is a fruitful way of approaching a novel research topic (Yin, 2003). Thus purposive sampling of employers and employees was used in two case studies, seeking to interview senior and middle managers, as well as a cross-section of employees, with a particular focus on female employees, who hypothetically were those most likely to need, and to use WLB benefits in relation to family and child care issues. The two largest telecommunications companies in Gaza, Palestine were approached, and agreed to participate. The two companies are "semi-private" in that half of the shares are owned by government, the remaining stock being held by local organisations. Both companies have a strong public profile, and are known for their apparently progressive human relations policies in relation to their relatively high proportion of female employees. These policies were publicly aligned to their reputation in the market place.

The findings presented in this article result from the analysis of 49 interviews with 17 managers and 32 employees. The interview sample comprised 12 women (22 per cent) and 37 men (78 per cent), which broadly reflects percentage of gender distribution in the Palestinian Telecommunication sector, and in the Palestinian workforce (PALTEL, 2013). No special sampling frame was used, but as many managers as possible were approached, and a group of employees were recruited on an opportunistic basis. None of those approached declined to be interviewed.

The interviews were carried out across most of the directorates of the Telecommunication Company, and this included top management: the VP, and heads of HR, financial, procurement, marketing, and IT departments. Employees came from a range of staff: for example, administrative officers, sales people, accountants, IT, HR people, and others. A number of the employees we interviewed had either supervisory or managerial responsibility for staff, but in our interviews we sought their views from the perspective of being a collaborative member of the company, rather than as managers per se. Management clearly expected that the interviews would show the most positive features of their organisation, although in the interviews we recorded accounts of both positive and negative views and experiences. All interviewees were guaranteed anonymity. The recorded and transcribed fieldwork interviews (in Arabic) were translated to English and transcribed, coded,

and analysed according to the methodological guidelines of King (2004), and Bryman and Bell (2007).

The interviews involved a semi-structured approach that ensured that the issue of WLB policies was central, although participants were not constrained in terms of raising other employment issues they believed to be relevant and important (Bryman and Bell, 2007). The semi-structured interview was also vital to cover the most important interview questions within the limited time which was available with top management. In adopting such a non-directive approach, we asked interviewees to define for themselves what constituted the reasons for adopting WLB policies in their organisation. Consistent with a critical realist model of research (Easton, 2010; Abubaker and Bagley, 2016b; Bagley, Sawyerr and Abubaker, 2016), we did not make initial hypotheses, or explore researcher-derived categories on reasons for adopting WLB policies. Critical realism accepts the values implicit in the research process, but does not necessarily accept existing theories: rather, this approach seeks to and understand the sub-layers of meaning and motivation involved in the adoption of WLB policies, such as religious and cultural values. Thus we allowed participants in their own way to explain the meanings and 'sense' regarding such an aspect or reasons behind deployment of WLB policies in the organisation. Our analysis results from the idiosyncratic explanations of our respondents, and our understanding of WLB policies emerges from the participants' perceptions of their working environment. At this stage of the research we aimed to obtain a holistic picture of each organisation, and found that human relations within them were very similar, so that we could combine both case studies into a single model.

5. Findings

Both groups of managers tended, overall, to cite six key factors as to why their companies adopted WLB policies. These were: 1) Social and cultural factors; 2) Regulations of the government; 3) Needs of women employees; 4) Competitors' policies and the need to recruit skilled personnel; 5) International networking; and 6) The pressures of the labour union. The identification of social and cultural factors (including religious values, norms and practices), and of international networking are new findings, and are discussed below in more detail. These six factors and their impact on the adoption of WLB policies are listed in the following table, which highlights the sometimes conflicting opinions of managers, and employees.

Table 1: Main reasons given by managers and employees on the relative strengths of factors in the adoption of different WLB policies

Reasons for Adopting WLB Policies	Flexible Policies		Leave Policies		Childcare/ Financial Policies		Social and Religious Policies	
	Emplo -yee	Mana g-er	Emplo -yee	Mana g--er	Emplo -yee	Mana g-er	Emplo -yee	Mana g-er
Social and religious	-	-	-	-	-	-	Stron g	Stron g
Regulation or guidance of Government	-	-	Stron g	Stron g	-	-	-	-
Union Pressure	-	-	Stron g	Weak	Stron g	Weak	Stron g	Weak
International Networking	-	-	Stron g	Stron g	Stron g	Stron g	-	-
Competition / Labour Supply	Stron g	Weak	-	-	Stron g	Weak	-	-
Female Workforce	Stron g	Stron g	-	-	Stron g	Stron g	-	-

'Strong' in the above table means that the majority of managers and employees agreed on the postulated relationship. 'Weak' means, that a minority (or indeed, very few) agreed on the relationship. The '-' is used when there were no participants mentioning such a relationship. Regarding the impact of social factors, Palestine is polychromatic in nature (Hofstede, 2001; Aycan, 2000) which is reflected by the fact that most individuals do not clearly separate their work and social life. Both companies, for example, had adjusted their policies in order to accommodate these cultural factors:

It is normal in Palestine for people, whether they are managers or employees, to have personal visitors or to speak to family and friends on the phone during working hours It is accepted and common in most of organisations. (Manager 5 and Employee 2).

The findings suggest too that the adoption of social policies may also derive from a 'benchmark' whereby organisations follow what has already been established in previous organisations (Francis and Holloway, 2007). Otherwise, as Manager 5 stated, "The organisation becomes outside of the accepted mode of acting"; and this might not be acceptable for the employees. The social policies at MobileCom and PalTel are a potential challenge for international management, and while management does not prohibit the acts derived from these cultural norms, it establishes some regulations on how they should be applied:

You can manage and control the intrusion of private life into the workplace, but it is difficult to avoid because it is common in the entire society. People have little respect for working time and are used to integrating their personal life into their working life. (Manager 8).

This highlights a unique cultural system in Palestine (and perhaps elsewhere in the Arab world?) in which people frequently place their private life and the demands of their family above the demands of their work. This is the norm within this cultural context and almost certainly would not be in accordance with organisational requirements in a Western context

(c.f. Lu et al., 2010; Spector et al., 2004). Even if the religious policies conflict with the demands on working time, such as ritual washing (*wudu*) and praying two or three times in the working day for around 40 minutes in total, the organisation has little choice but to grant such entitlements (Kamali, 2003).

We are a Muslim society...Prayer and Hajj for example, are compulsory policies for all Muslims and they are obliged to follow these policies in order to fulfil their religious duties ... They are very common in most of the organisations and it would be a shame to prevent someone to have them. (Employee 4, and Manager 6).

Government regulations were identified as another of the reasons behind adoption of WLB policies, and this was certainly the case in the leave policies: *"The adoption of most of the leave policies is related to the rules and the regulations of the Palestinian Labour Law."* (Most of Participants). This is consistent with many studies in Western countries (Maxwell and McDougall, 2004; Budd and Mumford, 2001). The impact of labour laws certainly informs the structure of HR policies and strategies of the Palestinian companies studied:

Leave policies are derived from the regulations of the labour law. ... This can be seen in the employment contracts, HR policies and other documents where such policies are highlighted according to the Palestinian labour law. (Managers 1 and 5).

Working hours, length of holidays, and contractual work are aligned with the guidelines of Palestinian labour law (PGFTU, 2012). But with regard to flexible policies, in contrast to many Western nations their existence in the telecommunication companies were not dependent on government regulation. The government ministries in Palestine have been working on establishing many regulations concerning employment, auditing systems, and inspectors of employment conditions (MAS, 2011). However, the progress of labour law enactment is slow, reflecting various economic and political circumstances - unlike Western countries such as Germany or Sweden (Thévenon, 2011). In the development of parental leave, Palestinian labour law (PGFTU, 2012) does prescribe, which fits the unpaid leave format which government recommends:

The organisation complies with government rules and regulations and the changes introduced in 2005 which give women a right to reserve their place at work for a year after giving birth. (Employee 7, Manager 6).

The unpaid parental leave policy reflects social and cultural changes such as an increase in the number of female workforce, a decrease in the influence and use of extended family culture, and pressure of women's non-profit organisations - many women graduates in Palestine are sought after by the NGOs which deliver education, health care and social support (MAS, 2011).

There are two different viewpoints which emerged in the current interview data regarding the relationship between the adoption of WLB policies, and the existence of a labour union. According to most managers' views, the labour union has strong membership, a vigorous lobby combined with other unions in Palestine, and also works co-operatively with the tele-communications industry, who are seen as 'model' employers. This meant, according to the managers, that union pressure on this particular sector of industry, was minimal:

The Labour Union only manages and runs social activities in the organisation. Obliging the organisation to provide additional benefits to the employees is not their focus... No, I don't think things have been introduced, such as "financial and flexible policies" because of the labour union. I think management has introduced them to assist women and to the benefit of the organisation (Managers 3 and 5).

The voice of the workers represented by the labour union, in this view, is expressed strongly only with regard to social and family activities. This would be in line with several Western studies that also emphasize the limited voice of labour unions in the organisation

(Budd and Mumford, 2006; Prowse and Prowse, 2006). As many managers observed in the two companies, because they offer policies which individuals demand, the role of the labour union within the organisation is rather limited:

What are the labour unions going to discuss? Every benefit that the employees can think of is available. Employees here are receiving a greater number of benefits than in any other workplace. What is the maximum benefit on the agenda of the labour unions? They are less than what the organisation itself offers. (Manager 8).

Certainly, the initiatives of the management are responsible for the adoption of many WLB policies, in order to assist with organisational strategies and objectives. The labour union has a limited voice in this respect. The employees' views were often consistent with those of the managers. The employees however believed in addition that the labour union plays a vital role in raising interest in and the adoption of many WLB policies:

The Labour Union played a role in improving the workplace environment, and this is mainly reflected in financial WLB policies and study leave, but we cannot say that MobileCom adopted leave or childcare policies because of the pressure of the union. (Employee 1).

Since at the time of the study, the Union having been established for six years, the employees insisted that the Union has shown a significant pressure in improving financial policies, study leave, and other benefits. In the past there were advocacy organisations on behalf of workers. Hence, as asserted by many employees: *"It is up to the company whether they take our consideration or not... but I agree it was fundamentally the decision of the management rather than our voice."* (Employee 13). In the view of several employees, the role of the labour union was now quite strong:

We have now a union body in the organisations that has a strong relationship with other unions, and most employees are members and work under its umbrella ... The union played a strong role in the negotiation process with management and if they don't agree about some issues, they have the power to suspend work or call us to go on strike (Member of the labour union, Employee 8).

The voice of the labour union appears, according to employee accounts, to have contributed to the process of enhancing individual benefits within the organisations, in a co-operative endeavour in consulting with management. This finding is different from most of the recent studies in Western countries (De Menezes et al., 2009; Prowse and Prowse, 2006). In Palestine the government and non-profit organisations appear to have strengthened the role of labour unions, and the extent of union membership and its pressures on employers. The presence of women as members of the labour union committee may also have strengthened the ability of women to negotiate leave and childcare policies. Because of certain cultural factors - mainly because of a paternalist management style (discussed later) - the relative position of managers and employees showed some contradictions.

International collaboration and networking emerged in the research as a reason for adopting WLB practices. Networking cannot be classified as a strategic alliance (Cullen et al., 2000) since MobileCom and PalTel had no specific partnerships with any international organisation (apart from the marketing of European-manufactured mobile phone equipment, with a special relationship with Scandinavian manufacturers). But participants emphasized that an increased awareness, and adoption, of some leave WLB and childcare policies, were associated with co-operation and networking with a major European providers of telephone equipment:

Many of our management team visit these international organisations and vice versa, to learn about the latest developments in different fields ... the leave policy that offers men holidays to look after their wives are derived from our experience with companies such as Erikson ... It is also from the current CEO who also has work experience at NASA. (Manager 4 and Employee 5).

International experiences and collaborations have enabled the two companies to bring in knowledge (and visiting personnel) from developed countries. This has had an impact upon employment strategy and the policies associated with its implementation. These contextual features, and the unique international style of a particular company influenced the adoption and changes of WLB policies:

The networking with international organisations requires a high level of standards and proficiency to enable us to interact and communicate with them. Without this capability level in respect to the management system the organisation would remain outside of this type of collaboration or any network. (Manager 3)

This finding is in line with other studies (Aycan, 2000; Elsmore, 2001; Sultan, Weir and Karake-Shalhoub, 2011) on changes in organisational policy in order to fit in with cultural differences within the various regional offices of an organisation. To have a working model that fits its role as part of an international organisation, it seems necessary that the two Palestinian companies should offer WLB benefits. *"Additionally, every year an international organisation such as H-GROUP, acts as a consultant in MobileCom."* (Employee2). It offers advice on how to develop working arrangements in, for example, departments such as HRM. *"H-GROUP was improving the system of promotion, leave policies and childcare services."* (Employee 14 and Manager 2). Thus, this company plays a role in the development of both its own and international WLB policies. It should be noted that the existence of paternity leave policies for men does exist in some organisations in Palestine, especially the international ones like the UN, UNDP and the Arab Bank (Manager 3). This offers further indication that international factors have an impact on WLB policies. This policy is neither required by Palestinian law nor is it in high demand by a masculine-oriented Arabic culture.

Various insights emerge from the findings concerning the relationship between competition in the market and the adoption of WLB policies. Most of the managers commented along the following lines:

The adoption of any policy in our organisation relies on our strategy and employee demands, rather than from any pressure deriving from competitors in the market. We are innovative. (Manager 5).

Increasing financial policies, childcare and family holidays have been the organisation's strategy for a long time, but we adopted them recently to compensate workers for their performance during the year. (Manager 3).

The WLB policies at MobileCom arise, ostensibly, from the organisation's own initiatives to improve the working conditions of their employees. External pressure, such as the introduction of WLB policies as a response to changes in the competition for labour, was downplayed by management. This finding is in line with a few studies conducted in Western countries (Osterman, 1995; Coughlan, 2000;). The employees however, did stress that the adoption of financial WLB policies was also due to the competition and the entrance of new companies in the market:

Why did the organisation adopt family holiday this year? We heard about it three years ago ... and why were many managers asked to sign a contract with the organisation guaranteeing that they will not leave the organisation for at least five years; this is due to the entrance of new competitors in the marketplace (Employee 6).

There are new telecommunication companies emerging in Gaza, along with an increase of non-profit institutions, all offer a competitive salary and less working hours for well-qualified women graduates with proven experience. Given the increasing competition for skilled labour and an increase in opportunities for the workforce to find employment elsewhere, it is not surprising to see the growing focus on adopting WLB policies to retain

employees. This finding is in line with many studies in Western countries (Davis and Kalleberg, 2006; Dex and Smith, 2002). Several employees insisted also:

Current provisions such as, financial and flexible policies are in place because of the high concern about retention, and sometimes attraction of employees... If you are flexible, you will retain and keep people in workplace, especially the highly skilled males and females in the workforce. (Employees 2 and 6).

Flexible and childcare policies appear to be vital for the two companies studied, in order for them to compete with other institutions (such as the many NGOs in Palestine) in attracting and retaining female employees. Females in Arab society appear to be more attracted to employment in public organisations, and to any organisation that offers limited working hours to enable them to fulfil family commitments. Therefore, the competing commercial organisation might feel pressured to apply some favourable policies for their female workforce. There is certainly, from the evidence of the case studies, a clear relationship between the presence of women in the workforce and the provision of various WLB policies in both companies: *"It is the consideration of women, which is behind the adoption of many policies of WLB."* (Most of the participants). This response is consistent throughout, and was especially emphasized with regard to childcare provision, and flexible hours and leave policies. This is in line with studies from Western countries (Davis and Kalleberg, 2006; Dex and Smith, 2002). An increasing number of married women have exerted a strong pressure on the organisation to include many WLB policies:

About six years ago the childcare policy was adopted by the organisation. Before that, we did not have these benefits. I am sure that this was because the number of women at MobileCom was low at that time. The policies are the result of an increase in the number of women employed, and especially married women who were choosing to have babies (Manager 1).

When Arab women married, they used in previous decades to stay at home, or work where they had limited working hours (Tlaiss and Kauser, 2010). Given this cultural element, the organisation feels pressured to increase WLB facilities in the workplace in order to fulfil the needs of female employees. Numbers of participants added that women workforces have the power to negotiate and discuss their particular family needs with managements:

As women, we have put forward a proposal, with supporting documents, to indicate the level of difficulties encountered in the meetings that have occurred with management. They were respectful and appreciative with respect to our demands. (Employee 17).

The evidence then is that in the two case studies the female workforce has the power to negotiate and potentially obtain the policies they seek in order to satisfy personal and family requirements. This could be due to the shortage of highly skilled employees, and also to the existence of labour unions that support the female workforce. This is unlike many Western countries, such as the UK, in which the legislation clearly states that the organisation and managers have merely to 'reasonably consider' requests (Hyman and Summers, 2007).

6. Discussion and Conclusions

This study has examined some of the declared reasons behind the adoption of several WLB practices in two Palestinian organisations, compared with the many reasons behind such adoption in Western organisations, including regulations of government, the pressure of labour unions, and the extent of women participating in the workforce. According to the evidence from the present study, Islamic values, and a cultural pattern of social relationships in Palestine have played a major role in the emergence and adoption of a number of WLB policies in the organisation. Additionally, networking with international organisations may also have been responsible for what may be termed the 'importation' of certain WLB policies into the organisation. These factors, along with others which play a role in the adoption of

WLB policies in the Telecommunication organisation in Palestine are outlined in the following diagram.

Figure 1: Apparent Reasons for Adopting WLB Policies in the Telecommunication Organisations



This diagrammatic representation of influences on WLB policies incorporates several influential factors, which may interact with one another in influencing WLB adoption including international and networking factors, the latter having a strong impact upon building organisational policies. These are, in combination, potentially new theoretical contributions in respect of the reasons for adopting WLB policies in a developing economy within an Arabic and Islamic cultural framework. In offering a contribution to the scarce literature on the adoption of work-family programmes, the present research extends models of causal factors developed in a Western context. This new model, however, supports some work (Den Dulk et al., 2012; Den Dulk, 2013) on the adoption of WLB policies in the West, in showing that this adoption is not limited to philosophies of enhancing business performance.

However, the organisations studied here offered several different WLB policies (compared with previous Western studies) because of religious and cultural factors which were not intrinsically beneficial for organisations, such as receiving personal visitors, and using phones for personal use for quite lengthy periods during office hours. Understanding the social and religious obligations which employers feel the need to accept, will be valuable guides to multinational companies investing in, and setting up businesses, in Arabic countries. The current findings also point to the importance of understanding and considering different levels of general social, cultural, religious systems of any society for understanding the reasons behind the need to adopt particular HR policies within a nation. Misunderstanding some factors could lead to significant difficulties in multinational development.

This research supports some previous studies in Western countries on the importance of the percentage of female employees (Hyman and Summers, 2007), and the role of government (Maxwell and McDougall, 2004), in explaining the diffusion of WLB programmes in a new cultural context. This in itself is an interesting finding, given that both institutional and cultural factors are markedly different from those in Western settings. In fact, in Palestine the female workforce impacted significantly on company practice, probably more so than in organisations in the Western context, notwithstanding the limited percentage of women in the workforce. This is due to cultural factors concerning the female workforce, with societal norms which pressure well-educated women not to give up homemaking and child care roles, even when they occupy work roles outside of the home, an influence shared in Islamic countries (Bagley, Abubaker and Shahnaz, 2018). Without some flexibility in the WLB system, the women (who in the Telecom industries have valuable skills and experience) might leave

the workforce permanently, and this is the case even where women remain a relatively small percentage of the labour market, in comparison with those in Western countries.

This study clarifies the most salient factors which influence Organisational WLB adoption in two case studies in the telecommunications industry, in a developing country. This study offers the potential for extending existing knowledge of the relationship between macro level conditions and developments in HRM policies within organisations: the development of WLB policies is not limited to business case philosophy but also involves institutional pressures within the cultural context.

The present study in addition, makes several contributions in the field of work-life research. It provides detailed information about the context and the stance of various interlocutors concerning WLB practices. There is in fact no previous case study research on Organisational WLB practices in Palestine, and there are few studies of any kind which have employed a detailed methodology in describing any Arabic society. This study therefore offers the basis for further research on the most salient factors determining Organisational WLB adoption in developing countries in the Middle East.

Additionally, and from a methodological perspective, this study identified some cultural factors, which researchers should take into consideration when investigating aspects of business and marketing in Palestine, and in other Arab and developing countries. This research for example, has identified the importance of the paternalistic cultural style or "Fatherhood system", and the influence and charisma of individual, prestigious figures in management, which has implications for research carried out in other Arab contexts. Managers who construed their world in this style, however, failed to present the power of labour unions and market competition as reasons of adoption of WLB policies. Managers presented different reasons behind such adoption when interviewed by the researcher (i.e. not the 'real' reasons) – this seems to be a common reconstruction of knowledge in Arab cultures, since such frankness might undermine their presentation of personal power in the organisation, and in society.

Albeit that this study offers deeper insights into the phenomena of WLB policies in the Palestinian telecommunication sector, it is uncertain without further research (for which the present study may be a valuable starting point) of the generalizability of the findings beyond purely Arab contexts. Although this qualitative enquiry has provided satisfactory data to enlarge on some existing theories, yet the findings and contributions of the study should be read within a context that is "relatively" unique: further research could be carried out in different settings which might contribute to the acquisition of a deeper understanding of the studied issues. A quantitative research methodology could be essential at this stage (this is after establishing a strong background for the current topic by using a qualitative approach) in order to examine the current topic in a wider range of industries. We are impressed, for example by the quantitative research of Al Dalayeen (2017) on workers' benefits in Egypt, and would like to replicate this work in the context of Palestine.

A key question for this and future research is the degree of responsiveness of employers to the implementation of WLB practices in order to address various cultural factors, and the business or financial advantages that can be associated with the implementation of such policies. The hypothetical model of mutually interacting influences emerging from this study is that there are several, perhaps interacting factors influencing the type and quality of WLB benefits. Firstly, market forces only partially influence the kind and quality of WLB benefits in both Western and Arab organisations. The company's concern with supporting women employees may to some degree reflect union pressures, and politically-driven government regulations; and the company's provision of WLB benefits may reflect generally accepted religious principles (e.g. the values of Islam), or the employer's benevolence; and the desire of the employer to present themselves as an "ethical" company, which treats both employees and customers well (Abubaker and Bagley, 2016b).

7. References

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A study of career anchors, occupational and job preferences amongst undergraduates in China

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Abstract

The study examines the career anchors and explores the occupational and job preferences of undergraduates in China. We examine and take into consideration demographic factors and issues around the cultural environment and context. We then report the findings of a survey, measuring and examining the values of undergraduates in China, in relation to their career anchors, occupational and job preferences upon graduating and entering full-time employment.

Keywords: Career anchors, occupational preference, job preference, students, China

1. Study background and Context

Since the 1980s China's university education has experienced rapid growth. This has been mainly due to meeting the labour requirements of a modernised industrialised economy (Rose, 2018). China's economic growth can also be attributed to a labour workforce supplied by a high population of college graduates. The number of students graduating from colleges and universities across China has been rising over the years. By 2020, the Chinese government anticipates a total of 195 million college graduates in the labour workforce. This figure can be compared with a projected 167 million in the USA (Huang and Bosler, 2014). Moving from less than one million graduates in 1999 (Huang and Bosler, 2014) the figure for 2015 stands at 7.49 million (Magnier, 2015). The work environment has also been reshaped by new technologies, increasing global competition (Wen and Liu, 2015) and organisational restructuring. Organisations are now flatter with less hierarchical levels. This has resulted in increased competition towards greater upward mobility (McCleese et al., 2007).

The introduction of more market orientated labour market practices, has also involved a more serious appraisal of the 'job readiness' of China's new graduates (Rose, 2018). The rising supply of graduates in China combined with lower demand, has however resulted in lower wages for new graduates. Wages have reportedly dropped by 19 percent whilst unemployment has risen to 16 percent (Huang and Bosler, 2014). Also many graduates continue to turn down available roles and low end positions in manufacturing, in the hopes that they will get a government office job or a position in one of China's many state-owned enterprises (Logan Chullen et al, 2015), which they are much less likely to get. In a market where finding a job, indeed any job, is highly competitive, employers generally have a distinct advantage over prospective employees (Logan Chullen et al, 2015). China's economy is currently struggling to stimulate sufficient market demand for high-skill labour to match the influx of college graduates. Wages in industries such as manufacturing and construction have continued to rise more rapidly than those in high-skill industries. This has led to the erosion of China's export prowess, and partially explains the reduction in its current account surplus from more than 10 percent of GDP prior to the financial crisis to only 2 percent now (Huang and Bosler, 2014).

Despite the high volume of college graduates, recruitment and retention the from an employer's point of view, continues to remain challenging and competitive (Logan Chullen et al., 2015). The retention of highly skilled and experienced employees is therefore a key priority for Chinese business leaders (Ketter, 2008). A survey of Chinese employees revealed

that one-in-four respondents had already held at least three or indeed even more positions, and one-fifth of the employees surveyed had planned on leaving their current job over the forthcoming year (Ketter, 2008). A poor fit between employee job expectations with their work environment may play a significant role in explaining the high levels of turnover (Logan Chullen et al, 2015). Successful retention requires greater understanding of employee job expectations is required and employers customising aspects of the work environment to match the expectations of their employees. Employers may need to better tailor and customise the various aspects of the work environment to match the expectations of their employees (Logan Chullen et al, 2015). Business leaders and employers need to have a clear understanding why employees choose to stay or leave their organisation especially if they seek to create a culture that fosters employee performance and retention (Logan Chullen et al, 2015). From a human resource development (HRD) perspective, Chinese firms need to understand the expectations of newly hired college graduate workers if they are to successfully attract and retain them (Logan Chullen et al, 2015). For many Chinese employees career locus of control is an important predictor of career success (Guan, Wang et al., 2013). Zhao's (2006) study on college graduates in Beijing found that recruiters tended to overestimate graduate expectations on extrinsic rewards, such as salary and tended to underestimate their expectations in relation to intrinsic rewards, such as job security.

Research also suggests that interpersonal relationships are of significantly more important within the Chinese context (Bian, 1997; Luo et al., 2012; Chen et al., 2013). Rose (2018), discusses the key role played by internship supervision as well as of individual interns' dispositions, and suggests that cultural phenomena such as 'guanxi' are also taken into consideration when considering internships within a Chinese context. The term *guanxi* translates as "relationships" or "connections" (Chen et al., 2004). Historically internships have been influenced by Confucian values – with the goal of developing a broad theoretical knowledge base as opposed to rather specialized set of skills linked to a particular profession (Cooke, 2005). In the following we review the literature on career expectations, examining demographic factors and issues around the cultural context and environment concerning Chinese undergraduates. We then explore the career anchors, expectations and job preferences of recent graduates in China.

2. Literature Review

2.1 Career and job expectations

Job expectations have been defined as "values that individuals place on various potential job rewards, including both intrinsic and extrinsic types of remunerations" (Bartol, 1976, p. 368). They involve realistic and achievable career aspirations, targets and goals of an employee (Armstrong and Crombie, 2000; Metz et al., 2009; Rojewski, 2005). Factors influencing individual career expectations include; personal interests, hobbies, family background (Schoon and Parsons, 2002), educational level, ethnicity/race (Cook et al., 1996) and gender (Greenhaus and Parasuraman, 1993; Metz et al., 2009; Powers and Wojtkiewicz, 2004). Career expectations play an important role in the individual employee career persistence, work in high-status occupations (Schoon and Parsons, 2002), willing to embrace challenge jobs, develop job-related skills and experience greater levels of job satisfaction. Those employees with higher career expectations tend to be able to more effectively identify jobs they are more interested in, and are in a better position to set clearer career goals (Suutari and Makela, 2007). Young employees perform much better and reach their full potential when their abilities match their career expectations (Martin and Tulgan, 2006). The consistency of career expectations and work values also results in high work engagement (Macey and Schneider, 2008). These factors can result in better performance, higher salaries that can lead to higher levels of job satisfaction.

2.2 Job satisfaction and intrinsic and extrinsic rewards

Previous studies examining the relationship between expected rewards and job satisfaction have tended to use the valence-expectancy-instrumentality framework (Vroom, 1964; Porter and Lawler, 1968). They have also used Locke's (1976) theory which links job satisfaction to the discrepancy between actual and expected rewards or facets and aspects of a job. Linz and Semykina (2011) also hypothesized that while job satisfaction is positively linked between extrinsic and intrinsic expected rewards, the desirability of the expected reward matters more for monetary rewards than non-monetary rewards. Semykina (2011) found that if rewards were important to a particular worker then anticipated monetary rewards had a greater influence on job satisfaction levels. They also found that anticipated non-monetary rewards appeared to be equally beneficial to all workers, regardless of their desirability.

2.3 Job expectations, values and gender focus

Historically the research job expectations has been influenced by Herzberg's Two-Factor theory of motivation (Herzberg et al., 1959; Herzberg, 1964). Herzberg's theory on extrinsic and intrinsic factors and gender was further developed by Centers and Bugental (1966). Herzberg et al. (1959) noted that there was a tendency amongst females to value extrinsic characteristics of the job more so than males. Loscocco (1989) also discovered similar differences. Further research by Brief et al. (1977) found no differences between males and females. Neil and Snizek (1987) reported males valued extrinsic job factors over females.

The findings from Manhardt's (1972) job expectations survey found 11 differences between male and female college graduates across 25 job characteristics. The study found that males rated important those aspects of the work environment pertaining to long-term career objectives higher than females – this included been involved in work that was considered of "central importance to the organisations". Females on the other placed importance on a comfortable work environment and positive interpersonal relationships more highly than males – these were stated as "provides ample leisure time off the job" that "involves working with congenial associates". There were no differences related to intrinsic values between males and females. These earlier studies were revisited by Tomkiewicz et al. (1994), who in contrast to Manhardt's (1972), study identified six differences between male and female respondents across 25 job characteristics. The study showed that males assigned greater importance to five out of these six characteristics over females. Bartol (1976) has gone beyond the research on gender, and in addition to gender examined differences in job expectations as a feature of professional interest and training. The results indicated that male and female business majors differed significantly on measures relating to comfortable working environment and pleasant interpersonal relationships. Brenner and Tomkiewicz (1979) then replicated Manhardt's (1972) study. Based on a sample of graduating business school students, their study reported differences in job expectations across gender for only eight of the 25 job characteristics. Tomkiewicz et al. (2011) also explore gender differences in job expectations in China (Logan Chullen, Tope Adeyemi-Bello and Xiao-Yu Xi, 2015). In their study across five former socialist economies (economically and culturally diverse) Linz and Semykina (2013) found that for women, job satisfaction was positively linked to both extrinsic and intrinsic rewards amongst women. However in the case of men job satisfaction tended to be positively linked to extrinsic rewards.

De Vaus and McAllister (1991), found that gender differences in job expectations varied according to the country and cultural context. Most of the studies to date on gender differences in job expectations have focused on the US and European countries. However in order to develop a full understanding of job expectations, a country with a comprehensively different cultural context such as China may lead to a deeper understanding of job expectations. Chullen and Adeyemi-Bello and Xiao-Yu Xi (2015) have looked at gender differences in the job expectations of China's emerging workforce, and how they may effect Organisational practices such as recruitment and retention. Using Manhardt's 25-item measure of job expectations they found that males and females differed in their ratings on 23 of 25 items, with females rating all 23 of these items to be of higher importance.

2.4 Human Capital Management and Career/Job Expectations

Much of the research to date has focused on the role played by job expectations on employee work attitudes and behaviours. However according to Maden, Ozcelik and Karacay (2016), two significant areas of interest need further exploration. In terms of the research on job expectations, much of it to date has focused on past expectations of employees' and current job evaluations, with less focus on the future expectations of employees regarding their jobs. Also when considering employee opinions and attitudes about their work experience, that employees should also take into account what they expect in the future, and not exclusively consider, reflect on what they expected from their jobs in the past. This they suggest should be an ongoing process where appraisal of previous and future job expectations can both coexist. Maden, Ozcelik and Karacay (2016), also found that there was a stronger relationship between unmet job expectations with emotional exhaustion and job satisfaction particularly had employees with more positive future job expectations. Additionally, a belief in one's ability to produce a desired result or outcome, efficacy beliefs, acted as a moderator between unmet job expectations and turnover intention.

2.5 Career Anchor

Career anchor provides the basis for career choices and career development (e.g., Guan, Wen et al., 2014). It is a vocational perspective of one's talents, abilities, values, motives and how they influence and guide career development (Schein, 1990). Schein (1990) has identified eight types of career anchor. This include security and stability, technical, managerial, autonomy, entrepreneurial creativity, dedication to a cause, pure challenge, and lifestyle. Individuals' adaptability and passion for their career play a significant role in their professional competence, professional development and successful job search success (Guan, Deng et al., 2013; Guan et al., 2014). In their study amongst Chinese employees Wen and Liu (2015) found that there was a strong positive relationship with turnover intention and 'perceived career plateau'. Career plateau involves an employee perception that they have stayed too long in their particular post, and believe that their opportunities and challenges are limited (Ettington, 1998). This tended to be particularly concerning those employees where challenge featured highly in the employees career anchor (Wen and Liu, 2015). Career anchor in challenge refers to the extent to which individuals prefer to overcome challenges, solve difficult problems, and win when competing against others. A high level of career anchor in challenge also reflects a tendency amongst employees to seek out new opportunities in achieving career goals. Amongst those employees with a high level of career anchor in challenge, career plateau was found to have a positive correlation with turnover intention.

2.6 Hofstede, Job expectations, National Culture and Context Chinese Culture

While Confucianism, Taoism and Buddhism have formed the basis for traditional Chinese culture there is also many regional subcultures. These regional subcultures reflect the unique historical development, geography, politics, linguistic and economy of each region (Song et al., 2018). Xu (2006) discusses the diversity of Chinese culture which can be divided into seven different regions; desert-based inner Mongolia, northeast region (forest-mountain-based), Loess Plateau and Loess Plains areas (Yellow River), Yangtze River area, Coastal area and Islands, the southwest and northwest areas.

2.7 Cultural variances within China

National culture has been defined by Hofstede (1980b) as "the collective programming of the mind, which distinguishes the members of one human group from another" (Hofstede, 1980 b, p. 45). Culture is used to understand differences in the attitudes and behaviour of individuals. A societies culture consists of a "shared values, understandings, assumptions and goals that are learned from earlier generations, imposed by present members of a society, and passed on to succeeding generations" (Deresky 2008, p.91). Shared values "form the

basis for common attitude, codes of conduct, and expectations that subconsciously guide and control certain norms of behaviour” (Hofstede, 1980, p.25).

According to previous studies that applied Hofstede’s Values Survey Module (VSM), China, is considered to have culture of a high collectivism, high power distance (PD), high uncertainty avoidance (UA), high long-term orientation (LTO) and low masculinity (Becton and Field, 2009; Liu and Cohen, 2010; Spector et al., 2001). Some studies have however presented findings that contradict prevailing assumptions in relation to China’s cultural values. These contradictory and often inconsistent findings on Chinese cultural values may be related to the fact that multiple cultural values can exist, even in a single country (Clugston et al., 2000; Gerhart, 2008). Previous studies have mainly explored cultural differences between China and Western countries rather than those within China. Most previous studies have worked on the assumption that Chinese is homogeneous and Chinese cultural values are different from those of other countries (Cohen, 2007; Hofstede, 1994). Many cross-cultural researchers are of the opinion that different cultural values can be formed in a given nation (e.g. Clugston et al., 2000; Cohen, 2007; Gerhart, 2008; Pun et al., 2000).

The Western perspective stresses individual performance and egalitarian relationships. Confucianism emphasises interpersonal harmony and ‘guanxi’ (Guanxi involves relationships and interconnections based on loyalty and unconditional obedience) as the prevailing philosophical and behavioural code in China (Chen et al., 2004; Kim et al., 2013; Lin and Ho, 2009). Hofstede’s value survey module (VSM) is considered as reliable framework when studying a nations’ cultural values (Hofstede, 1980b; Kirkman et al., 2006; Triandis, 2004). When comparing the value systems of the USA and China Garcia et al. (2014), discovered that Western cultures were individualistic, while Asian countries were collective. They discovered also that the type of value system that each culture holds also depends on the type of government. American managers showed a tendency to be more loyal to their own ethical beliefs, rather than to their superior’s or company’s ethical beliefs. Eastern Asian cultures on the other hand focused more on the importance of acting in the best interests of the company’s superior. Garcia et al (2014) also found that Globalization, FDI and trade do make a significant cultural difference in some cultural dimensions.

While the research on cultural variances within China may be limited, some previous studies have suggested that Chinese cultural values differ according to regions as well as across generations (Egri and Ralston, 2004; Huo and Randall, 1991; Kwon, 2012; Lin and Ho, 2009; Paik et al., 1996). Huo and Randall (1991) have examined values variances among China’s four representative regions – Taiwan, Beijing, Hong Kong, and Wuhan. They found significant variance within China on Hofstede’s cultural dimensions. Kwon (2012) also found that Shenzhen was higher in power distance and lower in long term orientation than Taiyuan. In explaining the difference they suggested that Shenzhen, as a special economic zone in China, was probably much more influenced by the market economy and foreign cultures than Taiyuan. Taiyuan is located inland and retains a socialist ideology. Egri and Ralston (2004) also showed the existence of value differences among Chinese generational and age cohorts that are larger than the differences highlighted between Chinese and American managers. Examining differences in the cultural values amongst Chinese people will therefore contribute to an understanding of China’s culture, leading to more precise, specific comparisons with Western cultures and societies. Ones that are less based on stereotypes in relation to Chinese cultural values. The notion is also plausible that different cultural values among the Chinese may differ according to the location of their work as the working environment itself does influence and can shape values through management socialisation processes and policies (Erez and Earley, 1993).

2.8 Cultural values

Cultural values have been defined as “consciously and subconsciously held collective beliefs and norms – often perform as standards of the morals, laws, customs, and practices of a society – that define what is right and wrong and specify general preferences” (Adler, 2002). They are used to explain and understand employee attitudes and behaviour within the

workplace (Gelfand et al., 2007; Taras et al., 2010). Previous studies have developed scales to measure the cultural dimension at the national level. They include the Hofstede's (1980b) VSM and the GLOBE study (House et al., 2004). Dorfman and Howell (1988) have adapted Hofstede's Values Survey Module (VSM) in developed scales to measure cultural values at individual level. Studies have also focussed on specific cultural dimensions. Singelis et al. (1995) went on to develop the horizontal, vertical individualism and collectivism scale to gain a deeper understanding of individualism vs collectivism. Hofstede's VSM has however the one most widely used in cross-cultural literature (Kirkman et al., 2006; Spector et al., 2001; Triandis, 2004).

Given that the focus of this study involves looking at Chinese cultural values at the country level, Hofstede's VSM has been applied in this study. Scales used in Hofstede's VSM measures fundamental differences in the way people across various countries perceive and interpret their worlds (Cohen, 2007). The VSM is composed of five dimensions: individualism-collectivism (IDV-COL), PD, UA, masculinity-femininity (MAS-FEM), and LTO. Generally, prior studies using the Hofstede's VSM have shown that Eastern and Western countries have different cultural values (e.g. Gelfand et al., 2007; Becton and Field, 2009). The five dimensions of Hofstede's VSM are as follows.

2.9 Individualism versus Collectivism

Individualism and collectivism refer to individual achievement or collective harmony and individual as opposed to group level performance (Hofstede, 2001; Oyserman et al., 2002). People in individualist cultures view themselves as autonomous and independent. They prioritise their own personal goals, success, control, and autonomy over the achievement of collective goals (Hofstede, 1994; Triandis, 1995). Those in collectivist cultures prioritise close ties with other group members, in which a higher value is placed upon maintaining harmonious relationships (Felfe et al., 2008; Oyserman et al., 2002; Triandis, 1995). Cross-cultural researchers have generally agreed that China has a high collectivist culture. The USA on the other hand has a high individualist culture (Cheng and Stockdale, 2003; Hofstede, 2001; Liu and Cohen, 2010; Wang et al., 2013).

2.10 Power Distance

Power distance is the "to which the less-powerful members of institutions and organisations within a country expect and accept that power is distributed unequally" (Hofstede, 2001, p. 98). In those cultures with high power distance, people generally are more accepting of differences in power, status, ability and wealth. Those who are of higher status are perceived to be entitled to certain privileges and command greater respect amongst those individuals considered lower status (Becton and Field, 2009). Within low power distance cultures there is a greater tendency towards resist these inequalities. There is a tendency towards expressing opinions, greater participation and involvement in decision-making, and pursuing opportunities for further advancement (Cohen and Keren, 2008; Taras et al., 2010). The findings on China's power distance are inconsistent. Whereas some studies have found that power distance was higher in China than in the USA, other studies (e.g. Spector et al., 2001) whilst others suggested the opposite.

2.11 Uncertainty avoidance

Uncertainty avoidance refers to "the extent to which a society feels threatened by uncertain and ambiguous situations and tries to avoid these situations" (Hofstede, 1980a, p. 45). In high uncertainty avoidance cultures, there is a tendency for people to opt for more stable careers and more certainty in how they live. Those in high uncertainty cultures tend to be more averse to uncertain situations (Cohen and Keren, 2008; Hofstede, 2001). There is a tendency amongst those in high uncertainty avoidance cultures to maintain the status quo Organisational affiliations and to stick and adhere to existing rules and regulations laid down by their employers (Clugston et al., 2000). People in low uncertainty avoidance cultures are

less apprehensive when faced with uncertainty and ambiguity. They are more willing to take risks, appraise alternatives and alter course (Hofstede, 2001). Previous findings have shown inconsistency in relation to China and the USA context regarding uncertainty avoidance: variously. Other research however suggests that China has higher uncertainty avoidance than the USA (e.g. Hofstede, 1993) and then suggested the opposite (Hofstede, 2001), whilst others suggest that they are in fact the same (Spector et al., 2001).

2.12 Masculinity versus Femininity

Masculinity is the extent to which a society subscribes to traditional gender roles. High masculine cultures tend to celebrate achievement, assertiveness and power. High feminine cultures, on the other hand espouse values such friendship, cooperation and job security (Hofstede, 2001). A high masculine culture is characterized by competition, assertiveness, material well-being and success, and is results orientated. High feminine culture stresses concern for people, and values such as quality of life, and close and positive interpersonal relationships (Clugston et al., 2000). As with previous findings the results on masculinity and femininity between China and the USA are mixed. Hofstede (1993) initially noted that masculinity in the USA was higher than in China, but then found that masculinity in both countries were very low (Hofstede, 1994), but then noted high scores for both the USA and China and the USA and very little variation between both countries (Hofstede, 2001).

2.13 Long term orientation

Long term orientation is the extent to which the culture has a future-oriented perspective as opposed to a historic or short-term perspective (Hofstede and Bond, 1988; Hofstede and Minkov, 2010). Countries with high long term orientation (LTO) strive towards change. They emphasize thrift as a way to prepare for the future. Cultures with low long term orientation tend to celebrate tradition, they look for stability, and engage in reciprocal favours and gifts in maintaining the status quo Becton and Field, 2009; Hofstede and Minkov, 2010; Taras et al., 2010). Studies indicate that China has a high LTO culture (Hofstede and Minkov, 2010).

3. Research purpose

Our study looks at the context in China, relating to recent developments in the University sector concerning undergraduates. The study looks at the career anchors, the occupational and job expectations and preferences of undergraduates, taking into consideration demographic and cultural factors concerning undergraduate students in China. We look at and explore and look at the following research questions and hypotheses, aimed at examining, exploring and measuring career anchors, occupational and job preferences of Chinese undergraduates.

4. Research Questions

1. What are the career anchors of undergraduate students in China?
2. What are the future occupational, job preferences and expectations of undergraduates in China?
3. How important do Chinese undergraduate rate various aspects of their future work environment?
4. Have the values of new graduates in China influenced their career anchors, and their future occupational and job preferences? If so how?
5. Are China's graduates' values collectivist or Individualist?

5. Appropriate methodology/analytical techniques

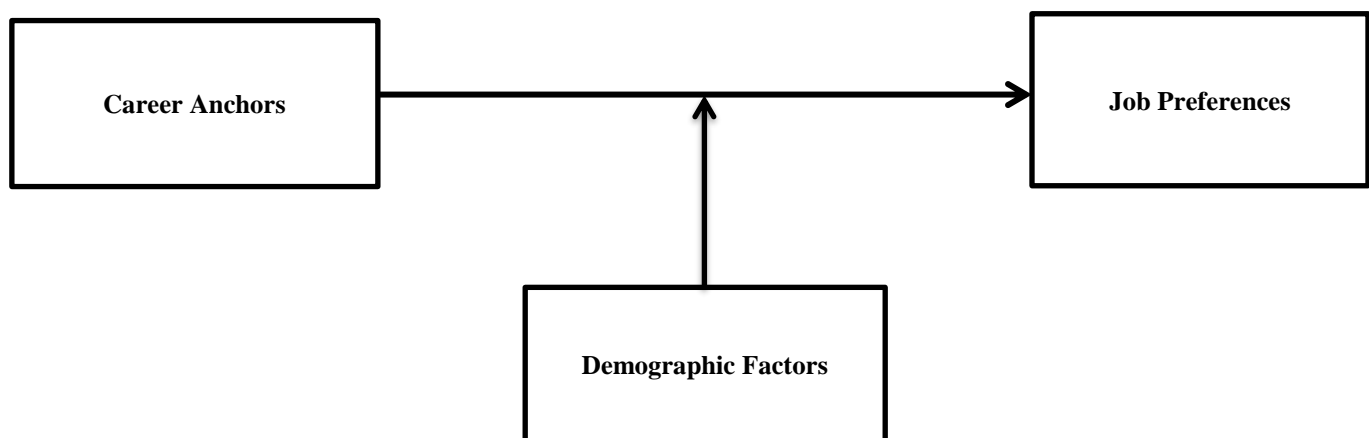
Utilising a number of measures including Schein career anchors scale (1980), Bond's Chinese work values scale (Bond, 1987; Matthews, 2000), and Hofstede's culture scales (2000), we test a mediated model that examines how career preferences influence work values and how

culture mediates this relationship. The study reports data gathered from 643 Chinese university students in 2018. Controlling for age and gender, we find significant mediating effects between in-group values and both managerial and entrepreneurial career anchors, and development of self and loyalty to humanity.

6. Findings/Implications for HRD practice/Conclusions/likely conclusions

The findings should be of interest to graduate employers, HRD academics and practitioners who want to better understand the occupational, job expectations and preferences of undergraduates in China. The findings look at and examine the interplay between the values of China's undergraduates with career anchors and future occupational and job preferences. They will help employers better understand how undergraduates in China evaluate and appraise different features of the work environment and what they consider most important to them. These have implications for graduate recruitment and selection, retention, training and development, performance and reward management. The findings should also be of interest to those who are curious as to the values of a new generation of undergraduates in China, the extent to which their values can be considered collectivist or individualist.

Figure 1: Proposed Model



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A qualitative study on employment motives and adjustment experiences of newly graduated overseas employees: Focusing on Southeast Asia

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Abstract

The purpose of this study is to understand and to clarify the motivation and experiences of newly college graduated Korean overseas employees in Southeast Asia. The qualitative study was conducted and a topical analysis method was applied to organize interview materials. Nine new overseas employees (four males and five females) who started working in Southeast Asia (six in Vietnam, two in Thailand and one in Indonesia) were interviewed. This study found that new overseas South Korean workers decide on overseas employment due to the difficult domestic job environment and the potential for development in the Southeast Asian market. The study participants were working as manager of local workers. The unskilled new employees were feeling the burden of managing experienced local workers in the business adaptation. And they experienced difficulties with Korea's vertical Organisational culture, excessive work and holiday shortages there. Based on the results, companies need to prepare sufficient job training for the newly graduated employees and afford welfare support and reduction of overtime work. The study findings could be used as basic data to government's overseas employment policies and educational programs implement.

Keywords: Overseas Employment, Southeast Asia Entry-level Overseas Employees, Local Adaptation, Qualitative Study

1. Paper's Importance

The unemployment rate of Korean college graduates has increased and has attracted strong public attention. As the overseas employment is seen as a solution to this problem, the South Korean government has run many overseas employment programs, which has led, in combination with the globalization of the employment market, to a steady rise in the overseas employment. In this study, qualitative research is conducted to better understand the purpose of overseas employment and clarify the experiences of newly graduated overseas employees in Southeast Asia.

This study found that new overseas South Korean workers decide on overseas employment due to the difficult domestic job environment and the potential for development in the Southeast Asian market. The study participants were working as manager of local workers. The unskilled new employees were feeling the burden of managing experienced local workers in the business adaptation. And they experienced difficulties with Korea's vertical Organisational culture. These newly graduated overseas employees in Southeast Asia were experiencing both happiness and difficulties as manager, but were under stress due to overtime work and lack of holidays.

Based on the results, companies need to prepare sufficient job training for the newly graduated employees in Southeast Asia branches and afford welfare support such as vacation system and reduction of overtime work. The study findings could be used as basic data to government's overseas employment policies and educational programs implement. We can support local adaptation of newly graduates who have chosen to get jobs abroad and to implement educational programs for them.

2. Theoretical Base

2.1 Overseas Employees' Adaptation

Many multinational companies and organisations sent employees abroad working with locally hired employees at their overseas branches but many transferees made early return from their overseas assignment. Black, Mandenhall, and Oddou (1991) tried to identify the challenges for expatriate professionals and their family living and working abroad and provide support at the Organisational level. Black(1988) classified the local adaptation of an expatriate(Overseas worker) as a multidimensional concept of foreign work and work interaction and adaptation to a foreign culture while living in the country, and included family related elements sent together in the local adaptation category of overseas resources. Kraimer, Wayne and Jaworski (2001) reported that only Organisational support factors have a significant impact on the adaptation of overseas resources through empirical analysis.

As the result of the globalization of business market, many South Korean overseas workers employed abroad. The attention paid by South Korean scholars to the topic of international adjustment recently increased. Choi (2017) focused on cultural adaptation of multinational company's South Korean expatriate. In a case study and pointed out that expatriates were exposed to unfamiliar local culture and suffered from it. Despite the importance of the local cultural adaptation of expatriates, companies did not afford them sufficient support and rather neglected them. Park and Jang(2008) also suggested that social and welfare support for expatriates were meaningful factors for local adaptation after examining individual factors(relation skill and self-efficacy) and Organisational factors(social support and logistic support) as predictors of multi-dimensional adjustment of expatriates. Han and Park (2012) confirmed through an empirical survey that the pre-deployment training and organisations support of overseas expatriates affected local adaptation. Research shows that the influence of an organisation's education and support is higher than local adaptation in the inflow of personal experience from overseas.

Choi, Kim and Kim (2008) surveyed the importance and satisfaction of overseas workers and intern experience abroad related to cooking and dining, and found that team work and language ability were the most important factor for men, compared to language ability and human relationships for women. In this study, adaptability to the new environment was rated as an important factor for those preparing for overseas job. Kim and Shin (2010) explored overseas working motivation, employed factors and satisfaction of overseas working South Korean women who employed at local foreign companies. They found that the personal factors of overseas employment were curiosity of living abroad, previous cross-cultural experience, foreign language proficiency, cultural adaptability. And social factors overseas employment were discriminating labour market practices for woman and rigid Organisational South Korean culture. Participants of the study satisfied with foreign companies' working condition and welfare support than domestic employment.

2.2 Relationship between South Korea and Southeast Asia

Asian countries have a wide range of cultures with many differences (Gwon, 2016). South Korea was strongly influenced by China and its Confucian and Buddhist cultures, but has grown rapidly into an economically advanced country since the 1960s by embracing Western technology and economic organisations. Southeast Asian countries have evolved the ASEAN organisations into a developing community and are working toward further economic development. Many foreign companies including South Korean are operating in Southeast Asia due to the low wages and high educational attractiveness (Rowntree, Lewis, Price, and Wyckoff, 2017). Vietnam is South Korea's largest trading partner in Asia (Kotra, 2018). Industrial exchanges with South Korean and other Southeast Asian countries such as Indonesia and Thailand are also on the rise.

3. Research purpose

The overseas employment of South Korean graduates has recently increased. However, they have come to work overseas after a difficult process. If they do not maintain stable lives overseas and return home early due to a lack of cultural and business adaptation, the businesses and the nation will suffer a huge loss. Most prior studies have been conducted on the local adaptation of overseas employment to expatriate employees, but the local adaptation differs between expatriates who are sent to overseas branches with related job experience and new graduates who have been employed overseas directly with little job experience. In order to promote job success for new overseas workers with little or no job experience in South Korea, the difficulties of local adaptation need to be examined. Understanding the motivation for new graduates' overseas employment will help us understand their local adaptation process.

4. Research Question

In this qualitative study, a topical analysis method was applied to organize interview materials, divide them into categories, and discover topics that appeared repeatedly in the data (Patton, 1990). The study participants were selected from new overseas workers employed in Southeast Asia South Korean companies using the Snowball sampling method. Nine new overseas employees (four males and five females) who started working in Southeast Asia (six in Vietnam, two in Thailand and one in Indonesia) were interviewed. All participants were new employees with less than two years of employment after graduating from college. Three study questions were postulated: "What are the motivations and expectations for getting a job in Southeast Asia?", "What are the difficulties you face when you work abroad and adapt yourself to it?", "How do you respond to the difficulties you face in your overseas work?".

5. Implication for HRD Practice

New overseas employees were experiencing many difficulties because they started their Organisational life as managers of local employees without sufficient job training. This highlights the necessity of sufficient job training before job commencement to enable the new overseas workers to play a stable manager's role without failing in local social life. New graduates chose to work in Southeast Asia due to the difficulty of finding jobs in South Korea and the potential for growth in Southeast Asia. But the new overseas employees experienced difficulties with South Korea's vertical Organisational culture and excessive workload at Southeast Asia branches of South Korean companies. In the emerging market they worked six days a week. New overseas employees were experiencing stress due to the lack of company's welfare support, such as vacation system and lack of overtime payment. The government also needs to prepare overseas youth employment programs, monitor companies and prepare various policies, including welfare. Companies and the government need to review various support policies together to help young people who have been employed abroad. This will have positive consequences for new overseas workers, business and countries alike.

5. Conclusion

The study findings suggest that sufficient job training is needed before starting the job so that new overseas South Korean workers can play a stable manager's role without failing in their local social life. Newly graduated young people decided on overseas employment in Southeast Asia with the expectation of their growth potential. But poor working environment in Southeast Asia such as excessive overwork and South Korea's vertical business culture made them agonize over long-term overseas settlement. The findings could also be meaningful for college students interested in overseas employment, for the government that runs overseas job programs, and for global companies that recruit overseas job seekers.

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Stealing learning paradigms from HRD scholars to develop the leadership agility: Theoretical guideline for integrative approach strategy

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Abstract

As assumption that agile leaders are the key for organisations to survive in this era, this paper reviewed concepts of leadership agility to find the linkage with HRD concepts through paradigms of learning for guiding to the leadership development. This paper applied the concept of ends-ways-means (Lykke, 1998) as the theoretical framework. After getting the *end* as an understanding of leadership agility from the integrative literature review, this result was discussed to provide the *ways* for being practitioners' strategy to create the leadership agility development application. Finally, the ways became the *means* that this paper suggested as the implication for the HRD contribution. In the findings, the researcher found meanings, models, characteristics, skills, levels, and competencies. In the discussion, it can be pointed in two axes. Some HRD and management concepts were matched with the level development as vertical development. Meanwhile, for the horizontal development, five traditional learning theories: behaviourism, cognitivism, social cognitivism, humanism, and constructivism are fit to the four leadership agility competencies on the agility compass. Furthermore, the learning agility construct was discovered as the critical success according to its linkage with experiential learning. Ultimately, this paper illustrated the model of integrative approach strategy for leadership agility development being academic and practical tools for designing training and intervention in the future.

Keywords: Leadership Agility, VUCA, Learning Theory, Leadership Development, Learning Agility

1. Introduction

As leaders are a strategic apex for any organisations (Mintzberg, 1989), leaders are the vital successor (Lussier and Achua, 2015). For Organisational alignment, leaders and human resource management (HRD) together perform as a driver of the process according to strategy, structure, and culture (Waterman, Peters and Phillips, 1980).

1.1 Problem Statement

At this global movement, it is the era of creativity, innovation and rapid change. The survive organisations have to be agile. Thus, the approach that is needed to adopt for driving performance is the agility of organisations, teams, and individuals (Kinsinger and Walch, 2012). Under the volatility, uncertainty, complex and ambiguity environment (VUCA), Leadership agility is the ability of leaders that create the Organisational congruence (Nadler and Tushman, 1997) to sustain the performance and high reliability overcoming these VUCA conditions by continuously shifting the perspectives of people, processes, technology and structure for the fast, focused, and flexible execution (Horney, Pasmore and O'Shea, 2010). Accordingly, the leadership development as one of the human resource development (HRD) themes has to play a role for the practical process to create the leadership agility for leaders, and for organisations, that are aligned to achieve goals for this complex, chaos and rapid-change era (Sender, 1997).

1.2 Purpose and Significance

As the role of HRD, the leadership agility literature was reviewed and analysed by learning theories for proposing the relational model or matrix to be a guideline for the leadership development strategy. The implications of this research contributing to the HRD field are the recommendations that practitioners or academics can adopt the guideline to design and establish their leadership agility development interventions or training (Swanson, 1995).

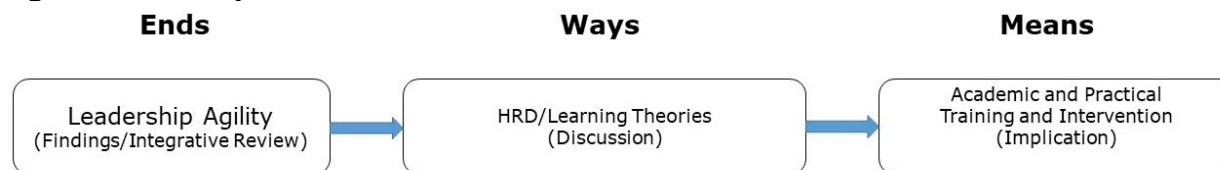
1.3 Research Question

Can the leadership agility concepts be related to the approach of HRD through concepts and theories of learning for leadership development as the theoretical guideline for further intervention and training? For the proposition, this paper hypothesized that the leadership agility concepts can be related to the HRD approach through concepts and theories of learning for leadership development as the theoretical guideline for further intervention and training.

1.4 Theoretical Framework

This paper applied with the Theory of Strategy to be the theoretical base for this review paper. The theoretical framework comes from the framework of ends-ways-means as illustrated in the concept of strategy (Lykke, 1998) (Figure 1).

Figure 1: Conceptual and Theoretical Framework



2. Methodology and Methods

According to the positivistic research methodology and design (Gliner, 1994), this study conducted the qualitative approach through integrative literature review research to understand concepts regarding leadership agility. After that, the study discussed the findings to affirm the proposition and answer the research question. The research result was aimed to find the linkage as the theoretical guideline for leadership development to HRD approaches. For the research method, this study conducted the integrative literature review of the leadership agility academic publications. This study searched the academic database, Google Scholar, with no specific the time period by using the keywords "Leadership Agility", "Agile Leadership" and "Agile Leaders". This is also the scope and limitation of this study that this paper intended to explore the existing term used of 'leadership agility'. The near terms related to agility or terms with similar meaning were excluded to prevent the unclear results that might affect what we could bring to the discussion. For discussion, this paper applied relevant learning theories in order to link the key concepts of leadership agility from the data collection for analysing the theoretical guideline of leadership agility development by HRD concepts and theories. The step of decoding like in the grounded theory method were also applied to codify what is the essence in the literature to be the themes matching with the HRD knowledge. Therefore, this guideline from the discussion is the 'ways' for further designs of intervention and training for practitioners in this area of interest which are the 'means' for leadership agility development. This integrative approach then was presented by the integrative model.

3. Findings

As a result, the author found only four papers in academic searching for "Leadership Agility" (Joiner and Joseph, 2007, 2006a; Passmore, 2010; McKenzie and Aitken, 2012), one for "Agile Leaders" (Joiner and Joseph, 2007) and the other one for "Agile Leadership" (Parker,

Holesgrove and Pathak, 2015). The author realized the limit number of academic publications related to leadership agility concepts. However, these literature are fruitful sources for providing the data of leadership agility concepts.

3.1 Leadership Agility Literature

For the research in the area of agile leaders and leadership agility, this paper found its two tracks. The first is the explanation of leadership agility meaning. Horney et al. (2010) proposed the AGILE model containing 15 leadership agility skills under this abbreviation. The second area also provided a valuable implication. Joiner and Joseph (2007) who have conducted empirical studies to discuss the levels of leadership that they think and behave differently in agile organisations leading to different Organisational performance.

Leadership agility is the ability of a person to lead effectively when a context changes rapidly and with uncertainty. Agile leaders have to consider multiple views and priorities in order to seek an Organisational goal. Within a VUCA world, this requires a process to enhanced awareness and intentionality to increase the ability to manage effectively. Focus, fast and flexibility are the keys (Horney, Pasmore and O'Shea, 2010). Leaders may have to revise from whatever they are focused on to see a broader view and bring a new perspective into what needs to be done in order to retain and grow their organisations (Joiner and Joseph, 2007).

Horney et al. (2010), furthermore, presented the study that compared the leadership and Organisational agility between high-performance and low-performance firms. The high-performance ones have 49 percent of responses in the ability to anticipate and initiate changes and 58% for the ability to recognize and respond to strategic. Whereas, the low-performance ones have just 20% and 30%, respectively. This represents the implication of agility of leaders and organisations that relates to Organisational performance.

3.2 The AGILE Model - Focused, Fast and Flexible

Horney et al. (2010) are the other pioneers of this concept. They developed the Agility Model in 2002. From multidisciplinary aspect such as psychology, management, manufacturing, and military through applied research for leadership study in the Organisational turbulent conditions (McCann, 2009), they presented five characteristics as anticipate change, generate confidence, initiate action, liberate thinking and evaluate results (AGILE) which reflect the alignment of process, people and technology. The underlying features of these five are *flexible*, *fast* and *focused*. From their perspective of human resources, this model is beneficial for talent management and the performance management system. Horney et al. (2010) used the action research approach to confirm their model. Their project is to develop the leadership agility for a consumer product company. This helps to provide more details in each characteristic. Additionally, this model has been tested and refined by the industrial and Organisational psychologists as the third party. They found the reliability, a Coefficient Alpha, above .90.

3.3 Leadership Agility Skills

As Horney et al. (2010) proposed, from five aspects of the AGILE model, skills under each one are mentioned. Overall, these fifteen skills are leadership agility skills which help to narrow down scopes. Also, it is clear to explain each ability needed for agility skills.

3.3.1 Anticipate Change

Leaders have to keep focusing on, sensing and monitoring the changes happening in their operations. Otherwise, it is impossible to anticipate them. Also, leaders can propose clarity visions by knowing how to apply or engineer them to be day-to-day actions of employees. For this, leaders need skills in visioning, sensing, and monitoring.

3.3.2 Generate Confidence

Horney et al. (2010) found connecting, aligning and engaging skills are critical for this issue. The meaning behind the term 'generate confidence' is about the ability to team up and gain the commitment of stakeholders. Leaders need these contributions for the future and expected success.

3.3.3 Initiate Action

This ability well reflects the fast feature. Skills of *decision-making* and *bias for action* explained by the OODA (Observe, Orient, Decide, and Act) loop concept is important for improving the speed (Osinga, 2007). Meanwhile, *collaborating* skills support that openness and inclusion helps for initiation.

3.3.4 Liberate Thinking

The agility feature of flexibility enables innovative abilities. The essential skills are *idea diversity*, *customer focus*, and *bias for innovation*. Leaders have the assumption that innovation is the worldwide expectation. Furthermore, the precise understanding of customers links to effective strategies.

3.3.5 Evaluate Results

For this ability, skills of *creating an expectation*, *real-time feedback* and *fact-based measurement* are the illustrations for the essence of performance management inside the being of agile leaders. Leaders internally have to set goals and indications. Then, the real-time or nearly real-time feedback should be provided together with the reliable measurement.

3.4 Levels of Leadership Agility

While Horney et al. (2010) studied and concluded model of abilities and skills in the business and management, Joiner and Joseph (2007) have researched the leadership agility in the aspect of the level differences. Based on the personal development psychologists such as Piaget and Erikson in the 1950s, Joiner and Joseph (2007) adopted the concepts of pre-conventional, conventional, and post-conventional stages to develop the leadership capacity effectiveness as human beings on both outside-in and inside-out perspectives. Joiner and Joseph (2007) concluded that the levels of expert and achiever are the "heroic" leadership and the rest of them are "post-heroic" leadership. Heroic leadership can be highly effective in certain situations relatively well for most companies. However, the post-heroic one is needed for the new era of rapid change and interdependence (Crevani, Lindgren and Packendorff, 2007). High collaborative problem solving, continuous Organisational change, and perceived responsible for things beyond their own area are the new demand for an organisations. From the research on the six hundred managers, they pointed the result that shows managers have developed through the following five mastery levels of leadership in a sequential manner, always retaining the capacities and skills that they gained at previous levels. At a higher level, it reflects more agility. The proposition of these levels came from a total of 604 participants of two studies in the field of developmental psychology. Joiner and Joseph (2009) presented the findings from the first 384 participants identifying the stage of ego development of their managers through the Sentence Completion Test (SCT) (Loevinger, 1985). The rest of them were in the other study that Joiner and Joseph (2007) conducted an in-depth interview in the case study approach. This study also provided the refined implication of leadership agility levels.

3.4.1 Expert

For the first level of leadership agility. *Expert* Leaders at this level use their technical and functional expertise to make tactical Organisational improvements. They supervise teams,

identify the problem and find solutions to others. This is the basic level of competitive leaders who works as an effective leader for teams in operations.

3.4.2 Achiever

Meanwhile, *Achiever* leaders at the second level will give clear Organisational objectives, strategically lead changes, and motivate team performance. They lead people to engage in challenging cross-boundary conversations. The result of the research shows that it is about 45% of managers operate at the expert level and 35% of the achievers.

3.4.2 Catalyst

For the higher ones, leaders at the third level as *catalysts* which are only 5% and in the post-heroic level. Their agility is visionary leading transformational changes, highly collaborative teamwork and effective leverage solutions for the difficulty in organisations. As the first step in the post-heroic leadership, they are open-minded for changes and able to rethink basic assumptions.

3.4.3 Co-creator

The research found the next level, the *co-creator* level, belongs to 4% of leaders who perceive their works beyond only business. They commit to common good such as corporate responsibility in their business mindset. These leaders have emotional resilience, creativity, and win-win strategies. The collaboration and Organisational relationships developed by them are very genuine with a sense of shared purpose.

3.4.4 Synergist

Finally, as the highest level, at 1% of synergists, these leaders differentiate themselves by the inside-out concept. Joiner and Joseph (2007) pointed out that, for this level, leaders are mindful and have a high quality of attention. They stated that "leaders who function at this level is their ability to enter fully into the moment-to-moment flow of their present experience. As this capacity for present-centred awareness develops, it gives leaders the ability, in contentious and chaotic situations, to stand in the eye of the storm" (p.11). These leaders can turn the conflicts to be solutions providing satisfaction for all stakeholders. Accordingly, this leadership agility level is the top one for this global situation.

3.5 Leadership Agility Compass: Four Agility Competencies

For developing leaders from one level to the higher levels, Joiner and Joseph (2007) discovered the four competencies of agility which were illustrated and models as the leadership agility compass. They were presented as the sub-agility for leadership agility. For each sub-agility, they are two capacities that are relevant. By their proposition, if these competencies are enhanced, the holistic aspect of leadership agility will develop to move up to the next stage. In the literature, they operationally defined the term 'competency' as it refers to knowledge, skills, and abilities. Apart from the agility levels that involve competencies reflecting leadership through the outside-in view, the inside-out aspect was represented by a model of compass. It is about competencies coming from the emotion and mental potentials creating sub-agilities in four areas.

3.5.1 Context-setting Agility

It is leadership agility competency to balance their awareness of the current situation and frame the initiatives they need to take. They also clarify clear goals they need to achieve. This can involve stepping back to determine the best move and seek for change taking place. Moreover, this type of leadership also enables the ability to determine the scoping initiatives into the magnitude and type of changes that are in the initiative of the individual. Also, Setting Direction could be tactical, strategic, or visionary from the depth of objectives that reflected

in the person's initiative. Therefore, this agility needs the capacities of *situational awareness* and *sense of purposes*.

3.5.2 Stakeholder Agility

For this competency, agile leaders can understand and create alignment visions related to the stakeholder and how to manage those visions and objectives when it comes into conflict with their concerns. This type of leadership agility also includes the ability to engage key stakeholders' perspectives on one's initiatives and resolving differences in the level of openness when trying to resolve conflicts with key stakeholders. The capacities needed for this sub-agility are *stakeholder understanding* and *power style*.

3.5.3 Creative Agility

By creative agility, leaders are able to analyse and transform from their habitual assumptions to deal with complex and novel problems. It also involves seeking for the root causes of the problem and developing creative solutions and then acting upon what the leader feels is the best course of action. It enables an awareness of the need for good data to test subjective judgment. In addition, leaders with this sub-agility enable their ability to analyse key problems and make connections between them and creating solutions. This causes the scope to test the ideas of problem-solving with various objective and viewpoints. Accordingly, it depends on *connective awareness* and *reflective judgment* capacities.

3.5.4 Self-leadership Agility

For this one, it is the competence to determine the type of leader they want to be, using everyday initiatives to experiment towards these aspirations. It is the ability that seeking feedback from their experience and how that experience motivates leader to further develop their skills which shaped by professional esteem. As this sense, leaders have to be equipped with capacities of *self-awareness* and *developmental motivation*.

4. Discussion

Also, the thought of agile leaders that Joiner (2006) (Joiner and Joseph, 2007) Horney et al. (2010) suggested to develop the agility by assessing agility levels, clarifying the aims, working with top executives, and facilitating change through coaching, executive leadership power, enhanced competency models, and proposing critical skills. Nevertheless, it is just the ends which are not obvious and systemic approaches as the ways to succeed it as what HRD field looks for. For this vague, Joiner and Joseph (2007) stated "The fastest and most reliable way is to use an integral approach, one that combines the usual outside-in approach to leadership development with an inside-out approach..... But what, exactly, does that mean?" (p. 31). As this paper found different views of leadership agility, the discussion on HRD can be made by two aspects.

4.1 Agility Level Development

According to the findings regarding agility levels, this study found there are key differences from one level to the next one. From the level of experts to achievers, the strategic leadership was noticed as a key to differentiate leaders from just experts to have visions and strategic thinking (Hambrick and Mason, 1984). From the achiever, this paper found that the concept of double-loop learning according to Organisational learning in the key changer of leaders to be the level of catalysts (Argyris, 1977). They can rethink and re-conceptualize their paradigms and assumptions which enable strategies used. From this point, the leadership agility begins to become the stage of post-heroic leadership which assists to initiate the paradigm shift (Kuhn, 1962) creating and sustaining the success for business in this era. At this post-conventional stage, leaders have to be more purposeful, more visionary and more resilient against changes and uncertainty.

Stepping up from being catalysts to be co-creators, leaders have to be equipped with the understanding of ethics perspective (Pakawat and Thanaporn, 2018). Beyond the business, they have to internalize the idea of life and communities. The goodness and success can be interpreted differently leading to various goals of people helping to achieve the win-win situations (Elkington, 1994). Finally, to become the highest level of agility, Joiner and Joseph (2007) described the criteria of leaders that match with the state of mindfulness (Weick and Sutcliffe 2006). This concept is the key to survive for high reliability organisations (HRO) (Roberts, 1990; LaPorte and Consolini, 1991). Preoccupation with failures, reluctance to simplify interpretation, sensitivity to operations, commitment to resilience, and deference to expertise are main characteristics (Sutcliffe, 2006) which can combine and become collective mindfulness or mindful organisations. Therefore, this concept can be the pillars to develop agile leaders at the synergist level. Eventually, this can be initial implications for HRD in the aspect of increasing Joiner and Joseph (2007)'s level of leadership agility. For this level of development, the mentioned existing concepts can help to scope the training needs for HRD that aims to create leadership agility in the aspect of the level growth. However, this is still not the engineering of the leadership agility concept itself.

4.2 Theoretical Guideline for Developing Leadership Agility Competencies

On the other hand, Joiner and Joseph (2007) then proposed the other aspect of leadership agility by discussing the inside structure of sub-competencies. This would be the other view to mention an HRD approach to fulfill the concept. From reviewing the leadership agility concepts and examine the linkage with HRD perspectives, it is consistent with Merriam and Bierema (2013)'s illustration of traditional learning theories. As the findings, the categorization of these traditional learning paradigm is beneficial for this research purpose in bridging the learning theories as to the primary knowledge on HRD field (Merriam and Bierema, 2013) to the development of leadership agility. Therefore, four competencies on leadership agility compass have analysed the linkages between the learning theories and the leadership agility compass.

4.2.1 Behaviourism and Humanism for Context-setting Agility

According to behaviourists' perspective (Skinner, 1971), human learning comes from the external stimuli and it affects human behaviour. Thus, stimuli and response connection with the principle of contiguity is the key (Guthrie 1930). People are passive and they are shaped by positive or negative reinforcement. Positive stimuli or rewards encourage the action, negative stimuli or punishments discourage the action. For humanism as a learning theory, people are free to act for fulfilling their own potential. They develop to be whatever they want and need controlling their own destiny. They have the right to make his own decisions focusing on potentials and motivation derived from human needs, feelings, the desire to grow and self-actualization (Maslow, 1970). Thus, this is the basis for andragogy and self-directed (Knowles, 1968). As this dimension of agility relates to two sub-capability that are situational awareness and sense of purpose, it is obvious to represent the essence of leadership agility that mentions the outside-in and inside-out perspectives (Joiner and Joseph 2007). This makes this paper proposes both traditional learning theories together to be the learning paradigm of the context-setting agility. The learning theories of behaviourism and humanism will help the design the process of leadership development in this competency of agility which is aimed to determine the needs under contexts. From the needs of both outside-in stimuli and inside-out consideration, leaders will find the ultimate outcomes, strategic goals or the beyond targets of the organisations through the understanding of situations happened (Joiner and Joseph, 2006b).

4.2.2 Cognitivism for Creativity Agility

According to this learning paradigm, practitioners and scholars focuses on how people think and gain knowledge through the understanding of internal processes and connecting stages

that occur during learning. Cognitivism involves examining learning, memory, problem-solving skills, and intelligence including mental development. It is about learning how to teach (Piaget, 1972). Creative agility means the competency of problem-solving and critical thinking that aims for two sub-capacities: connective awareness and reflective judgment. According to this type of agility matching with the cognitivism learning theory. Bloom (1956)'s learning taxonomy of the cognitive domain play a role as the structure of learning to create this agility. Learning the sequential order of human learning can point the process to build critical thinking skills inside leaders' cognition and thought. Therefore, the rapidly changing environment is learned and processed as a sequence. According to Bloom (1956)'s cognitive process, creativity agility will emerge from steps of remembering, understanding, applying, analysing, evaluating and creating. Therefore, the development for diagnostic and decision-making skills can be adopted the cognitivists' way to generate the intervention. For an aspect of judgment and speed of agility, as Horney et al. (2010) had proposed, the concepts called the model of OODA loop was brought to discuss. The model stands for to observe, orient, decide and act (Boyd, 1995; Osinga, 2007). It is the cognitive science knowledge of human in information processing and acquisition but the model has been used to emphasize the needs for the speed of making a decision. Especially, nowadays it helps to encourage organisations to deploy the technological assets for rapidly and real-time sensitive monitoring to achieve goals through decision making. According to this model, it is strongly needed for our concept in agility for the speed of creativity which is the foundation of problem-solving and also innovation as needed in this era (Sternberg and Sternberg, 1988).

4.2.3 Social Cognitive Theory for Stakeholder Agility

Social cognitive learners observe others in a social environment. People can learn and either change or not change their behaviour because they also learn, believe and concern the benefits or suitability of those outcomes (Schunk, 1996). Learning emerges from interaction and reciprocation of the self (person), the behaviour and the environment (Bandura 1986). On the other hand, Bandura (1986)'s theory of social learning provides additional insights into our focused phenomena. Social cognitive learning is also a theoretical foundation for leadership development. In this paper, it can explain well the situations that leaders have to face and learn from the new or changing environment and needs of stakeholders. This learning reflects that how leaders can learn through three factors: (a) leaders' personal factors such as their knowledge and attitude, (b) behavioural factors such as their skills and practices, and (c) factors derived from new contexts. Therefore, when leaders face new contexts or changes, their process of learning will be triggered not only the environment but also connect to their personal views and what they used to behave agilely. Its process includes attention to the social environment such as people, retention of the observed phenomena, behavioural rehearsal or imitation, and motivation which is the reasoning to initiate behaviour or not (Manz and Sims, 1981; Gibson, 2004).

4.2.4 Constructivism for Self-Leadership Agility

Under this paradigm, people learn by construct meaning from experience. The key concepts of this learning theory relate to the understanding of informal and incidental learning including perspective transformation. Human as the meaning maker constructs their own knowledge of the world through experiencing things and reflection. Human perception of things may change when encountering something new. Assimilation and accommodation are key words for this kind of learning (Vygotsky, 1978). Agile leaders can assimilate the information for their existing schemas and also have the ability to accommodate the information by adjusting their schemas (Neck and Houghton 2006). This adaptability of both outside-in contents and the inside-out cognitive structure helps leaders to examine their self-leadership and increase more agility (Manz, 1986). As mentioned, usual learning is not enough, leaders have to transform to the new environmental paradigm and even internalize the issues to the self. Scholars in adaptive leadership applied the concept of transformative learning to the discussion as a requirement for action (Nicolaidis and McCallum, 2013). The theory of

transformative learning (Mezirow, 1997) explains the difficulty experiencing phenomena of leadership. In this case, there are dilemmas coming from rapid change and complexity. Brock (2010) clarified ten steps of transformative learning as disorienting dilemma, critical reflection on assumptions, recognized discontent shared, explored new roles, self-examination with feelings of guilt or shame, tried on new role, planned course of action, acquired knowledge/skills to implement plan, built competence/confidence, and reintegrated to life. Accordingly, these steps explain the things that happen with leadership when they travel into a new culture. These hard times for leaders from rapidly changing digital era or VUCA world will also be a part of learning and understanding for transformation. A dilemma itself would shape a leader to find a new understanding of new contexts and rationales. It will be reintegrated to leaders' perspective for the goal of agility.

5. Implications

From what this paper discussed, the propositions for design the training and development of leadership agility were coined through the HRD concepts and theories underlying the theoretical structure of this leadership concept (Joiner, 2006; Joiner and Joseph, 2007; Horney et al., 2010). Training and development are one of the human resource functions which is in the group of HRD (McLagan, 1989).

5.1 Leadership Agility Level-up Training: Vertical Development

According to the finds and analysis, the HRD needed for leadership agility can be seen as two perspectives. The first is to enhance leaders from one level of agility to the other level. Obviously, by this perspective, the fulfillment of each step-up characteristics and capabilities can be converted to be the training needs assessment (Goldstein 1991). This is just usual approach after the HRD practitioners are able to identify needs that they are four fulfilments as mentioned in the discussion, for this case. Understanding of strategic planning and management, double loop learning, ethics, and mindfulness are the goals for moving up the level of agility in leaders. Also, the practical training design such as project-based learning or workshop activities and effective evaluations have to be prepared and considered to apply to them (Kirkpatrick, 2009). Therefore, various ways of training and development should be designed properly for their understanding, application, and synthesis (Bloom 1956). Each HRD intervention that would be provided to leaders is not only increasing knowledge but only shift the paradigm applied in their own thought for organisations to fit with the new better lens (Kuhn, 1962) for higher-level leadership agility (Joiner and Josephs, 2006). On the other hand, the second finding and what this paper had discussed is the structure of leadership agility itself that was explained through four competencies in the compass. For these four sub-competencies, they have to be developed differently. As discussed, they represent different paradigms in learning. They are traits, behaviours, and competencies that some should come from long-life experience, experiential learning and self-learning which are hardly trained formally (Merriam and Bierema, 2013).

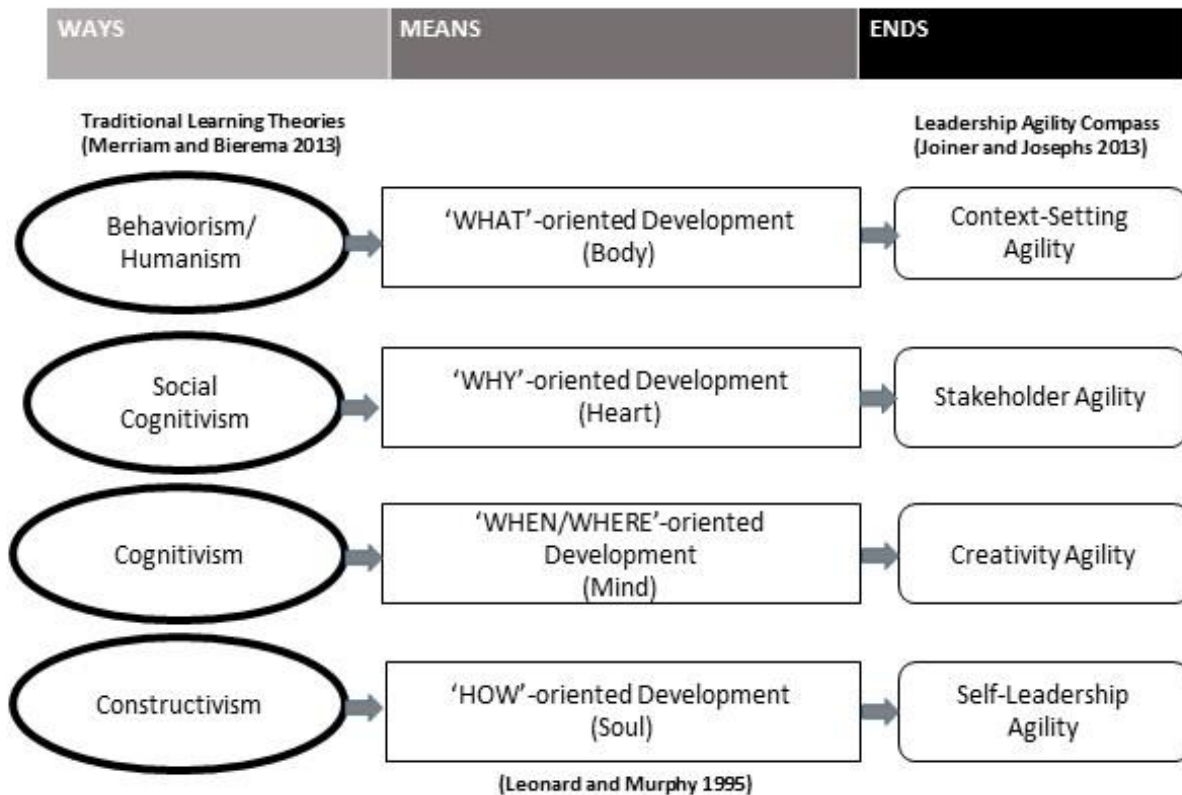
5.2 Integrative Approach for Agility Competencies: Horizontal Development

Accordingly, this paper proposes that the training or intervention approach for different four competencies should be based on the integrative approaches of learning. For context-setting agility, behaviourism and humanism approaches will lead to knowing 'what' agile leaders desire to pursue. For stakeholder agility, social cognitive theory approach will help to know 'why' agile leaders have to adjust and respond to the social environment and stakeholders. Then, for creativity agility, cognitivism approach will reflect the knowing 'where' and 'when' that come with the options for the solution that agile leaders have to make a judgment with the speed and precision.

Lastly, for self-leadership agility, constructivism approach will be the key assisting to know 'how' to act or consider the kind of agile leader that leaders want to be. Thus, these unique paradigms reflect the aim to develop the body, heart, mind, and soul which link to the

knowing what, why, when and where, and how, respectively (Leonard and Murphy, 1995). Therefore, this integrative learning paradigm is the vital concept for the leadership development for agile organisations and reliability seeking organisations in this VUCA era (see Figure 3). The integrative approach will complete the development of leadership agility through strengthening four agility competencies. Finally, these outcomes would help to survive under these chaos and rapid change conditions in organisations. The above discussion identified the importance of learning theories as to the fundamental of the ways to be a frame for the means of enabling the leadership agility. Finally, this paper suggests the Leadership Agility-HRD Strategic Matrix which provides a theoretical guideline as to the ways to further development for practitioners to plan their means for success in agile leadership development..

Figure 2: Strategy for Leadership Agility Development and Learning Paradigms



5.3 Learning Agility

This implication of this paper derived from findings and two points of discussion that are the leadership agility comes from the variety and difference types of learning. In the development of levels, the step-up fulfillers are vastly different: from a strategic thought to the paradigm shift, to ethics, and to mindfulness. This represents that the growth of leadership agility is not absolutely systematic. Rather, it seems to be the Khun (1962)'s paradigm shift is an aspect of the leaders. Meanwhile, the integrative learning paradigm reflects the various ways to make people learn. Apart from the training design that has to be generated for each learning paradigm, the learning might come from life-long learning and experiential learning.

As HRD approaches, training is not the only thing that represents the development of the human resource, but also the aspect of the learning studies which are different from the training approach (Antonacopoulou, 2001). Learning means the process involving acquisition of knowledge and skills through experience, study, or from teaching (Merriam and Bierema, 2013).

Therefore, for each of four directions for leadership agility, this paper focused on learning approaches. Accordingly, when it is not the training, it will not be the formal learning. Rather, informal learning plays a role for this developmental implication. Formal Learning and Informal Learning are different in the aspect of the ways and means for acquiring the knowledge of individuals (Eraut, 2004). According to this lens, the concept of 'learning agility' had found. The author discovered that the other implication of this paper is not only HRD intervention and training but also the strong link with the learning agility concept. Critically, it seems to be the central competency of leaders who pursue the leadership agility. In other words, leadership agility also comes from learning agility of leaders. As reviewed the concepts of leadership agility, the leadership agility compass that this paper brought to discuss by the four learning paradigms reflects the needs of understanding the various ways of informal learning, self-directed learning and experiential learning (Merriam and Bierema, 2013). The learning through individuals' life experience seems to be the natural key for creating the different characteristic of agility.

According to the essence of experiential learning, this paper's theoretical sampling discovered the concept of Learning Agility that mentioned the sources of experiential learning. This paper found this concept has much more academic information and it seems to be the core mechanism of leadership agility. Learning agility has five agility dimensions: mental, people, change, result and self-awareness (Lombardo and Eichinger, 2000). Lombardo and Eichinger (2000) defined it as "the willingness and ability to learn new competencies in order to perform under first-time, tough or different conditions" (p. 4).

As a result, this supports the learning agility is "the X factor" (Swisher 2013) inside the leaders to become agile leaders. Additionally, the five dimensions in learning agility are clearly linked to the four competencies of leadership agility compass. Change agility and result agility are similar to context agility. Mental agility links to creativity agility. People agility explains stakeholder agility. Lastly, self-leadership agility comes from self-awareness agility. Therefore, this explains the relationship between learning agility and leadership agility. Thus, to create leadership agility, on the other hand, building the learning agility in leaders is the alternative way for leadership development. Figure 3 summarized the paper findings, discussion and implication to be the model representing the horizontal and vertical ways to develop leadership agility and provide the guideline for means to the success.

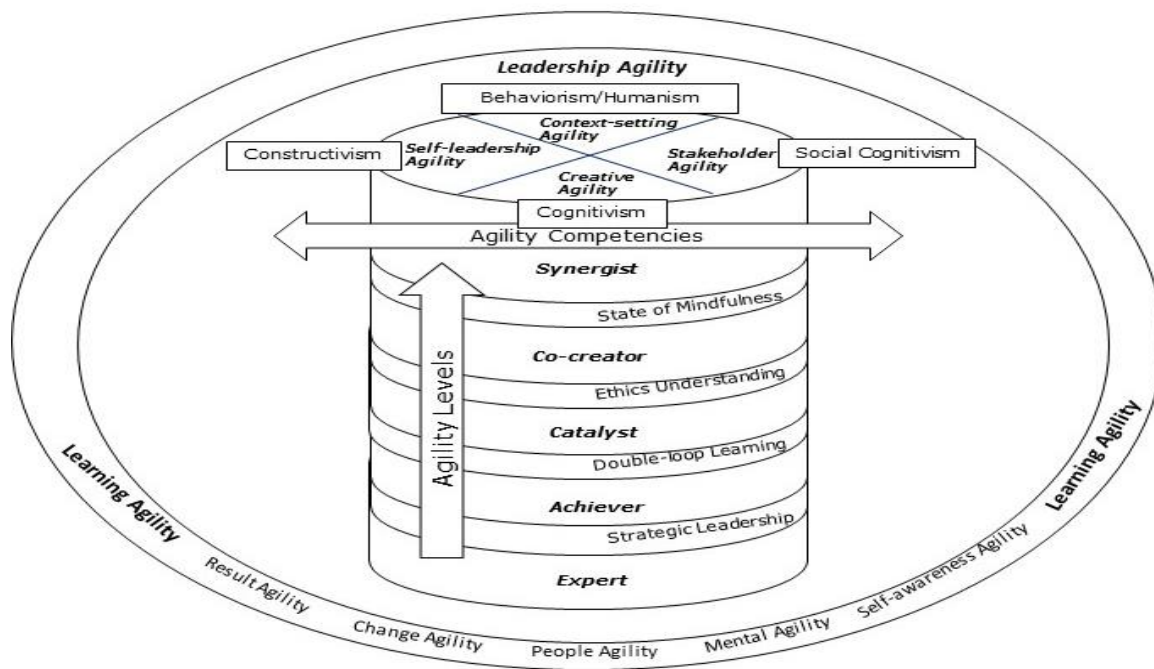


Figure 3: Integrative Approach Strategy for Leadership Agility Development

6. Conclusion

Leaders' agility has been focused recently for leading agile organisations. It would be a solution to get through the VUCA world. The paper conducted an integrative literature review of leadership agility concepts. The researcher found its definitions, abilities, skills, levels, competencies, and models from only nine literature. The levels can be developed by concepts of strategic thinking, double loop learning, ethics, and mindfulness. Then, five learning paradigms can link to four competencies in the leadership agility compass. The study proposed by the lens of HRD and the use of its concepts and theories, that leadership development practitioners should apply learning theory of behaviourism and humanism for context-setting agility, social cognitivism for stakeholder agility, cognitivism for creativity agility, and constructivism for self-leadership agility. After getting this as the ways to the ends, the paper implementation is the suggestion for the means as the integrative leadership development approach. The expected training or intervention for future practices and academic studies would be based on different learning paradigms to be the responses of agile leaders to know what, why, when/where, and how about phenomena in the digital age and rapid change situations for leading agile organisations through the challenge of this era. Lastly, this study found the learning agility is the critical construct for leadership agility. The future research focuses on learning agility of leaders or individuals in specific types of organisations are interested and recommended.

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Exploring Meaningful Career through “The Alchemist”: Cognitive, Social and Emotional Approaches to Management Learning

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Abstract

This paper analyses the celebrated novel “*The Alchemist*” of Paulo Coelho in context of career development and meaningful work. For doing so we elaborate on cognitive, social and emotional theories about management learning. Fictions and storytelling can offer new insights and knowledge to management learning like any real-life situation. Management learning through fiction has been debated amongst management scholars occasionally but there is dearth of research literature on this linkage. The authors agreed that the success of *The Alchemist* as bestseller might be related to the way it reflects the essence of some prominent career development theories, namely social construction career theory, career construction theory, life course development approach and psychology of working theory. The authors strongly believe that insights generated through qualitative analysis of the novel on the basis of selected career theories may be very useful for HRD managers in training of managers as effective mentors, coaches and counsellors and designing effective career development systems relevant to boundaryless career world.

Keywords: Fiction, storytelling, career development, management learning, meaningful work.

1. Introduction

In 1990 the world of literature was taken away by storm, by a small book by a previously not very known author. The book titled as “*The Alchemist*”, authored by Paulo Coelho with its focus on a young shepherd boy Santiago, who met different people in search of realization of his recurrent dream of a hidden treasure while he travelled from Spain to Egyptian Pyramids. This bestseller fiction is still very influential on people across countries and more than 65 million copies have been sold across the world so far. Management learning through fiction has been debated amongst management scholars occasionally but there is dearth of research literature on this linkage (Philips 1995; De Cock and Land 2005; Czarniawska 2012; McCabe 2014; Hindley, Ruth and Knowles 2017). Czarniawska-Joerges and Guillet de Monthoux (1994), De Cock and Land (2005), and Czarniawska (2012) argued that fiction can offer new insights and knowledge to management learning like any real-life situation. Czarniawska (2009:361) argued that we need to see novels as an “act of readings of the world, which in turn need to be interpreted”. Although “*The Alchemist*” is focused on dreams and wishes of people it connects those dreams with career aspirations of people which are in turn relate very much with their subjective realities. Hence, this fiction can be analysed under various theories of psychology, social psychology and management in order to understand the career development process happening in life course development of an individual. We strongly believe that robust theoretical analysis of this fiction can discover many new insights for management scholars especially to the field of career development research.

The reason of selecting “*The Alchemist*” was that both the research partners agreed on the relevance of this fiction in management learning in order to understand the career development process within the life course of an individual from the point of view of different career theories drawn from psychology, social psychology, sociology and other social sciences. We have identified some prevailing career theories for analysing this fiction e.g. Social Cognitive Career Theory (Lent and Brown 2013), Life Course Development Approach (Tomilson et al., 2018), Career Construction Theory and Life Design Approach (Savickas, 2002, 2005; Savickas et al., 2009; Savickas, 2013), and The Psychology of Working Theory

(Duffy et al., 2016), to name just a few. Most of these theories have roots in psychology, social psychology and sociology and are focused on individuals, individual-environment interaction, career self-management process, self-directed career behaviour, social pathways and patterns of career behaviours.

This research is aimed at exploring the relevance of subjective reality of the fiction “*The Alchemist*” in the context of career development process in life course of an individual and how can understanding of this subjective reality be useful for HRD managers in terms of employee coaching, mentoring and designing career development systems in their respective organisations. Since this is an exploratory study, both the authors, decided to begin our research journey from a blank slate, leaving the field open to any relevant theory from psychology/social psychology/other social sciences.

This paper aims to analyse *The Alchemist* as a case study in light of the following research questions:

- 1) What does *The Alchemist* specifically tell us from a career development perspective?
- 2) How does *The Alchemist* relate with the theories on career development especially with cognitive, social and emotional aspects of management learning?
- 3) Can we as scholars derive any new idea for research, practice or teaching from *The Alchemist*, in context of career development?
- 4) How can the analysis of *The Alchemist* contribute to the ongoing debate on the relationship between literature and management learning?

To find out answers to these research questions, we have adapted qualitative research approaches used by Czarniawska-Joerges and Guillet de Monthoux (1994), Czarinaawska (2009) Czarinaawska (2012), De Cock and Land (2006), Kociatkiewicz and Kostera (2012), and Knowles et al. (2017). This paper is presented in the following structure: 1) Introduction, 2) Literature Review, 3) Methods, 4) Theoretical Analysis of *The Alchemist*, 4) Discussion and 5) Conclusion. In our critical review, we have also used critiques of *The Alchemists* by other literary critics and excerpts of dialogues between different characters of the novel and incidences as illustrations to support our theoretical analysis.

2. Literature Review

In this section we describe the papers which, as far as we know, have been published on Paulo Coelho’s “*The Alchemist*” discussing career journey (Indraiani, 2010; Kotiah, 2016; Kumar and Sivapriva, 2014), spirituality (Suresh and Raja, 2017) and happiness (Indrajani, 2010). Muraleedharan (2011) gave a multidisciplinary analysis of the book which is also relevant, because careers and learning are multidisciplinary and holistic. Hart (2004) and Harya (2017) described magical and figurative language as the method brilliantly used by Coelho to convey the message – and given the book outstanding and remarkable success we believe this is also worth mentioning.

Within limited literature available to us, we have found the work of Indrajani (2010) most relevant. Its main objective is to see Santiago’s journey as a way of finding happiness as major goal of personal legend. Indrajani (2010) commented that the focus of Santiago in pursuing its goals proves to be decisive (Indrajani, 2010, p.231). Indrajani (2010, pp.218-230) argued that Nature, in various forms, namely as commodity, beauty, language, discipline, idealism, spirit, and prospect are very useful to make Santiago reach its happiness. Although we do not discuss that analysis, we believe that Nature is more a tool that enables Santiago to achieve his career development and his management learning. We consider that in fact, the most important circumstance in the development of Santiago’s career is the fulfilment of the “Personal Legend” (see below) and that the many steps of Santiago’s journey relate to the many steps of a successful career.

Kotiah (2016) critically commented on the topic of the pilgrimage in Coelho’s three books *The Pilgrimage*, *The Valkiries*, and *The Zahir*. In *The Alchemist* too, the fundamental notion of “Personal Legend” is if not a pilgrimage, at least a massive journey, without which Santiago would have never fulfilled his destiny and achieved enlightenment. However, *The*

Alchemist was not among those selected books of Paulo Coelho in that critique (Kotiah 2016: 29).

Kumar and Sivapriva (2014) acclaimed journey as a purifying experience in which the physical movement has deep spiritual consequences. The topic of spirituality is also addressed in Suresh and Raja (2017). We have found both scholarly papers very relevant to our perspective because career development and management learning imply a mental evolution and spiritual transformation in a life course development that can be described in form of a journey as presented in *The Alchemist*. In another critique, Muraleedharan (2011) argued that the book *The Alchemist* has put together a vast number of thoughts and knowledge related to "various disciplines namely History, Geography, Philosophy, Theology, Psychology and Mythology" in a beautiful story; and "the subsequent interdependence helps to satiate the quest and the deep-rooted desires of the individual". This idea is also interesting for us, because we have a holistic idea of career and of Career Development and management learning which is compounded in the multidisciplinary and interdependence.

Hart (2004) critically examined the implications of magical realism in the novel *The Alchemist*, with Gabriel Garcia Marquez's work. We have also observed "magical realism" as the dominant element in books of Paulo Coelho (*The Alchemist*, *The Pilgrimage*, and *The Valkyries*). Magical realism is the tool Paulo Coelho uses brilliantly to convey the message of his book – and this is, as we will show in the analysis section, to pass to the reader an idea that encompasses the best versions of academic theories. This is, in our opinion, a phenomenal achievement that deserves praises and explains the book's immense success. A similar message is conveyed by Harya (2017) that found that through images like simile, personification, metaphors and hyperboles, Coelho managed to make "the novel more interesting to read, and helps the readers to imagine the story, the character based on the illustration that the author has already given in the story".

3. Methods

We analysed conversations of main protagonist Santiago with different characters of the story. Although the story is imagined in a different historical period which was not technologically advanced as compared to 21st century society but the people, situations and conversations narrated in the story reflect our current social realities very well. In fact, we believe that when people read this story, they may identify their personality or life position very close to any character of the story, namely Santiago, the King of Salem, the crystal merchant, the camel driver and so on.

The story of *The Alchemist* is primarily focused on 'dreams of people' which may easily attract interpretations of characters and conversations from Freudian, Jungian or Adlerian psychoanalysis approaches which may be useful from clinical psychology perspective but not appropriate for HRD perspective. If we attempt to see relevance of this story to managers working in modern organisations, we can interpret people, situations and conversations from career development perspective.

In relation to HRD, it is worth mentioning that our career development process is very much inspired by our inner desires and dreams. There are many career theories that have drawn theoretical inputs from psychology, sociology, anthropology, economics and political science but for this paper, we have decided to interpret *The Alchemist* from Social Cognitive Career theory (Lent and Brown 2013), Career Construction Theory and Life Design Approach (Savickas et al., 2009; Savickas et al., 2013), Life Course Development Approach (Tomilson et al., 2018) and Psychology of Working theory (Duffy et al. 2016). All these theories share some basic tenets together. Firstly, these theories believe that individuals craft their career through social construction process as they move ahead in their life course development process. Also, these theories also acknowledge role of different social and psychological factors in career development process of an individual. Finally, these theories also talk about balancing role of contextual and individualistic factors in career development process. We strongly believe that these theoretical analyses may be very useful to HRD managers and

researchers in redefining career development process and mentor-protégé relationship in modern organisations.

To analyse the content of the book using these selected career theories, we first read the novel many times and identified relevant conversations focused on career, jobs, mentorship, counselling, coaching, learning, meaningfulness and human relationships. After extraction of relevant conversations, we analysed text of conversations from perspectives of selected career theories as mentioned above. Deconstruction is a way of reading and rereading texts using different contexts in order to expose their fundamental instabilities and multiple interpretations (Derrida, 1978). Our approach was focused on interpreting symbols, dialogues and cues in the story from symbolic interpretivism (Schütz, 1967; Berger and Luckmann, 1966; Weick, 1979; Geertz, 1973), post modernism (Foucault, 1972; Derrida, 1978) and discursive psychology (Edwards and Potter 1992) perspectives. Symbolic interpretivists believe on subjective interpretations of social reality and truth whereas postmodernists believe that knowledge cannot be accurate account of truth because meanings cannot be fixed universally. Discursive psychology focuses on interpretations of texts from psychological phenomena such as cognition, memory, emotions etc. (Edwards and Potter, 1992). We have used mix of these approaches to interpret conversations between various characters depicted in the novel. While interpreting text from multiple perspectives, we have observed different shades of power, knowledge, emotions and social norms in the story which we accepted objectively. In this research, we tried to use multiple interpretive approaches to understand meanings of conversations and discourses in the novel.

4. Theoretical Analysis of *the Alchemist*

4.1. Brief Synopsis

The Alchemist tells us story of a young boy Santiago from Andalusia, Spain; who decided to become a shepherd against wish to his father who wanted him to become priest. Like all young boys, Santiago's life was more made of dreams and aspirations. Santiago was disturbed with his recurrent dream of a church in ruins under a sycamore in which he is told to seek a treasure at the foot of the Egyptian pyramids by a child. Santiago approached an old gypsy woman who was a dream reader and fortune teller to know meaning of his dream. The old lady asked him to follow his dream and to go to Egypt for getting the treasure he had seen in his dream at the pyramids. What follows is a long journey, amounting to what in the book is called "The Personal Legend" of Santiago. In a crucial passage it is stated the "mantra" of the book: "*When you want something, the entire Universe conspires in helping you to achieve it*". The journey as at least seventeen notable episodes: Santiago met an old man, Melchizedek, the king of Salem in an old fort who asked him to pay fee in form of selling six sheep to him for his advice on realization of his dream of finding the treasure in pyramids. Santiago sold his sheep and went to Tangier. Santiago faced many hostile experiences in Tangier; he was almost robbed but saved by a good man at the port. Santiago found out a crystal shop in Tangier and he convinced the crystal merchant to give him job of a salesman in his shop. Santiago worked hard in crystal shop and learnt tricks of that trade. The sales in crystal shop increased significantly and Santiago's employer rewarded him with higher salary and incentives. Santiago became a rich person within a year; but on one fine day he decided to move ahead in search of his personal legend 'the treasure'. Santiago joined a caravan to go to the Pyramids; in the caravan Santiago met an Englishman who wanted to become an Alchemist. The Englishman was in search of an alchemist living somewhere near Al-Fayoum who was known for his proven competence of turning lead into gold. The Englishman taught some basic knowledge of Alchemy (e.g. the Philosophers Stone or the Elixir of Life) and gave him various book on different subjects to read and learn new things. As the caravan stopped in the oasis of Al-Fayoum, where an old alchemist lived; the Englishman attempted to find out the alchemist but he could not get any success in his attempts. In that oasis camp, Santiago met Fatima, a young tribal girl and fell in love with her. Santiago observed some strange phenomenon of fighting hawks and interpreted this as a possible attack on the tribal

camp. Santiago met the tribal chieftain at oasis camp and told him about his observation and interpretation. The tribal chief got very much impressed of Santiago and offered him job of the counsellor. In this long stay at oasis camp, Santiago met the Alchemist, who encouraged him to continue his Personal Legend and move ahead towards the pyramids. Santiago and the Alchemist left the oasis for the long journey to pyramids. They travelled across the desert under hostile conditions, and were captured by a tribal group of Arabs to whom Santiago had to give all his money. Santiago saved his life in a violent sandstorm by power of his confidence and prayers to the desert, sun and wind. Santiago was freed by tribal gang and he proceeded further on his journey to pyramids with the alchemist. Santiago and the Alchemist reached to a Coptic monastery, located close to the pyramids. In the monastery, the alchemist taught Santiago how to make gold using the Philosopher Stone. The Alchemist gives Santiago some gold and sent him off. Santiago met some tribal refugees who were robbers too. Santiago was beaten by two robbers after beginning to search for gold near the pyramids; Santiago told tells those men about his dreams, and their leader laughed at Santiago saying that he himself had such a dream – about a treasure hidden under a sycamore in a church. Santiago interpreted this clue correctly and he came back to Andalusia, dug under the sycamore and found the treasure. Then, finally he recalled Fatima, the lady he had fallen in love with in the oasis and he decided to go to meet her. These seventeen episodes compose the Personal Legend of Santiago. This adventure, or this path to enlightenment or to growth, is decisive to understand the relation between the Alchemist and HRD theories.

4.2. The Alchemist put in context of research questions:

In relation to question 1, we believe that the notion of Personal Legend may be related to the notion of career. The idea is explained by Table 1, below:

Table 1: The Personal Legend as a Career

	Career and life course	Personal Legend
Beginning	Transition from school to work	Andalusia
Steps	Career path.	17 steps as described in the synopsis, above.
Jobs	Jobs and work chosen by Santiago.	Shepherd, crystal seller, expert in reading nature's language.
Locations	Places where to work.	Andalusia, Tangier, Al-Fayoum, the Coptian monastery, the pyramids and church.
Knowledge and skills learnt	Tacit or explicit.	Shepherding (including shearing sheep and selling wool); selling crystal items; Using the Philosopher Stone in making gold; and magical powers of the Elixir of Life; Understanding language of Nature.
Success	Good business.	Getting rich. Acceptance of expertise by the tribal chief for sensing possible attack on the oasis by enemies.
Failures	Bad business.	Being robbed and kidnapped.

Helpers	Wise people who acted as advisors/mentors/counsellors; friends; powerful people who supported as employer or provided shelters	The old gypsy woman, The kind of Salem, The Alchemist, the Englishman, the camel driver, crystal merchant, the tribal chief.
Adversaries	People who pose problems	Robbers and kidnappers Tribal gangs engaged in war
Financial Goal	Money	Doing various jobs, Find the treasure
Non Financial Goal	Happiness and belongingness	Fatima
Purpose of Life	Realization of recurrent dream- finding a hidden treasure	Travelling to Egypt in search of hidden treasure

In relation to question 2, we believe that during the fulfilment of the Personal Legend path, Santiago effectively was made using with emotional, cognitive and social experiences, as described in Table 2, below:

Table 2: Learning Styles used by Santiago during his Personnel Legend

Type of Learning	Knowledge/skill/competency	Indicative behaviour	Situation and people
Cognitive	i) Learning about new knowledge areas e.g. Spanish language, science, history, culture, philosophy, art, alchemy.	i) Showing interest and gradual improvement in understanding of specific knowledge area with the relevant person	i) Conversations with the King of Salem, crystal merchant, the Englishman, the alchemist.
	ii) Learning new job skills	ii) Shepherding, selling crystal glasses, managing customers, crafting new business strategy, how to make gold using philosopher stone.	ii) Conversations with the King of Salem, crystal merchant, the Englishman, the Alchemist.
	iii) Learning creative skills	iii) Shared new idea on how to display crystal glasses in better way to attract customers at crystal shop.	iii) Conversations with the crystal merchant
		Shared new idea to the crystal merchant on how to attract more customers by selling tea in crystal glasses at the top of the hill.	

Social	<p>i) Learning to communicate effectively with different people (people with authority, people belonging to different cultures, people who are hostile to you).</p> <p>ii) Learning to negotiate effectively.</p> <p>iii) Learning to listen effectively and understand feedback objectively.</p> <p>iv) Learning to manage mentoring relationship with knowledgeable people</p>	<p>i) Santiago has shown his effective communication skills in his conversation with the King of Salem, crystal merchant, Fatima, tribal chieftains, the Englishman, the alchemist, and robbers' leader.</p> <p>ii) Santiago managed to get new job opportunities through effective negotiations (first with crystal merchant, second with tribal chieftain at Al-Fayoum)</p> <p>iii) Santiago has demonstrated gradual improvement in his social and emotional maturity in those conversations (first one with the old Gypsy woman to the alchemist).</p> <p>iv) Santiago developed effective mentor-protégé relationship with different knowledgeable people</p>	<p>The king of Salem, crystal merchant, the Englishman, the camel driver, tribal chieftain, the alchemist, robbers' leader.</p> <p>ii) the crystal merchant, the tribal chieftain.</p> <p>iii) The old Gypsy woman, the King of Salem, crystal merchant, the Caravan leader, the Englishman, the camel driver, Fatima, the alchemist.</p> <p>iv) Santiago's father, the King of Salem, crystal merchant, the Englishman, the alchemist.</p>
Emotional	<p>Learning self-control of negative emotions</p> <p>Learning to express positive emotions effectively.</p>	<p>Controlling expression of fear, guilt, depression, frustration, anger.</p> <p>Expressing love, happiness, optimism, hope, passion and inner desires to relevant people</p>	<p>The old Gypsy woman, the King of Salem, the Crystal merchant, the Englishman, the tribal chieftain, the alchemist</p> <p>Fatima, the crystal merchant, the camel driver, the</p>

	Learning to cope with crises and threatening situations.	Santiago faced robbers bravely in the desert. He did not lose hope and managed hostile situations not only once but twice	Englishman, the alchemist Robbers in the desert
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In relation to question 3 we believe the success of this book may be explained because it incorporates the most optimistic and positive ideas about Career Development in a most beautiful, some would even say magical way. Therefore the single big idea we derive from our analysis is that *The Alchemist* should be given to students that study Career Development as an example of success in practice and also in explaining what is Career Development. In one hand, and from what was said relate to questions 1 and 2, the book mirrors the development of a career. And in the other hand, the book explains using beautiful metaphors what a career is and what are its troubles and its successes? As it was already stated in previous work (Hart, 2004; Harva, 2017), there is something magical in the way the message is conveyed; the way the message is conveyed decisively helps the understanding of the message. We know that one of the problem of science is the difficulty of passing the message. We would say that Paulo Coelho did exactly the opposite in *The Alchemist*. As we state in answering question 4 below, it is possible to find application of career development theories e.g. Social Cognitive Career Theory (SCCT), Career Construction Theory (CCT) and Life Design Approach, Life Course Development Approach (LCDA), and Psychology of Working Theory (PWT) in the novel *The Alchemist*. The incidences and conversations between different characters of this novel provide beautiful insights to modern managers in course of career development, coaching, mentoring and counselling. The dialogues between characters are very powerful in inspiring and motivating people in the era of boundaryless career world where a person is responsible for one's own career development. Lawrence and Cranton (2015) argued that we learn through imaginary dialogues of fictional characters about their ideas and motivations. A progressive manager has to choose different roles in one's career as one move ahead. At the beginning of your career, you need a right mentor who can help you in finding out right direction of your career; but in later stages of your career when you are a mature person, you have to act as a mentor, coach and counsellor to someone who needs you for his career development. The powerful story of *The Alchemist* may serve as a very effective tool of management learning and career development. How often can managers use so powerful and celebrated mediums to convey their messages?

In relation to question 4, we believe that the *Alchemist* effectively contributes for the debate between Literature and Management because it raises a completely new issue – never before a novel has been seen as a show case, case study, for Career Development – *the Alchemist* is such a case. We believe that *The Alchemist* may be analysed by at least four theories, namely, Social Cognitive Career Theory, Career Construction Theory and Life Design Approach, Life Course Development Approach, Career Construction Theory and Life Design Approach and Psychology of Working Theory. The detailed analysis of the novel on the basis of these theories in the next sub-section.

4.3. Dialogue between Literature and Management: The Alchemist as a Case study

4.3.1. Social Cognitive Career Theory

Social Cognitive Career Theory (SCCT) (Lent and Brown 2013) is focused on individual's career self-management throughout the lifespan. It can explain very well why do some people choose a specific job, work or career but not other job or career? SCCT proposes that personal, behavioural and environmental factors play important role in influencing meaningfulness of work and well-being of individuals through self-efficacy, outcome expectations, personal goals

and optimal adjustment (Lent 2013). The SCCT provides a useful framework to explain and investigate factors that enable and motivate individuals in managing their careers through various self-directed career behaviours such as networking and upskilling.

The Alchemist hero Santiago is a very good example of a self-directed person who decided to become shepherd though his father wanted him to become a priest. Santiago later decided to work as a salesman in the crystal shop, developed himself as a businessman and later he also proved his capability as a counsellor to tribal chieftain at Al-Fayoum. Santiago's career journey explains to us how a person can craft his career in the desired direction as per situational demands, personal needs and individual capability. Santiago improved his job skills while working as a salesman with crystal merchant and by networking with the Englishman, the alchemist and the camel driver in his journey to pyramids. He always tried to identify meaningfulness in the work he opted under any situation. Santiago always demonstrated his desire to learn new things to all those knowledgeable people who acted as his mentors at different stages e.g. the King of Salem, the crystal merchant, the Englishman and the alchemist. All these experiences contributed to enhancement of his self-efficacy, creativity, intrinsic motivation and personal well-being.

4.3.2. Career Construction Theory and Life Design Approach

Career construction theory (CCT) and life design approach (Savickas, 2002, 2005, 2013) offers a framework for counsellors to help people in identifying meaning and a sense of purpose in their work and other roles. This approach suggests that deconstructing and co-constructing identities and connecting these identities with past and future experiences can create a sense of meaning and purpose in work and non-work roles identified by individuals. Life themes are narratives of individuals embedded in their career stories. Individuals' career stories narrate their career decisions in context of past, present and futures; hence these narratives help in constructing and deconstructing career identities of people in their life themes. Counsellors can use these life themes to help people in crafting and managing their career development process (Savickas et al., 2009).

The career story of Santiago presents a beautiful account of construction and deconstruction of multiple career identities in his life course development process. Contrary to his father's wish, Santiago wanted to become a shepherd because he believed that a shepherd gets more chances to see new places and explore unknown territories in the world than a priest. The second reason of choosing career of a shepherd was that he wanted to be very close to nature and natural environment. When Santiago had to struggle in an unknown city Tangier while he was on the journey to pyramids, he had to pursue the job of salesman in a crystal shop. Because of his high self-efficacy, he convinced the crystal merchant about his sales skills and got the job. Being salesman at crystal shop for one year transformed his identity from a simple shepherd to a smart salesman. At the next level of his career, he convinced the crystal merchant to open a tea shop at the top of the hill and convinced him about potential of his business strategy. Third, during his stay at Al-Fayoum, Santiago convinced the tribal chieftain about the forthcoming danger of attack from rival tribal armies. The tribal chief got very much impressed with the insight of Santiago and offered him to become counsellor of his tribal camp. This description of the story suggests that how Santiago transformed his career identity from a shepherd to salesman and then a counsellor.

4.3.3. Life Course Development Approach

The Life Course Development Approach (LCDA) (Tomilson et al., 2018), describes a 'flexible career' as the one that meets changing needs and preferences of individuals for flexibility and sustainability as their life course circumstances change. There are five life course stages in an individual's career development process: school to work, family and career, and retirement. Between school to work and family and career transitions, there is a process of ongoing education and training; and between family and career to retirement there are risks of employment and opportunities. The life course development approach integrates insights from sociology and social psychology to career development (Elder et al. 2004). Mortimer and

Shanahan (2004) define the life course as an age-graded, socially embedded sequence of roles that connect different phases of life. Elder et al (2004) argued that the life course development approach helps us in understanding the nexus between social pathways, development trajectories and social change events in the context of individuals' career decisions. Elder et al. (2004) strongly argued on the influence of social change events on the individuals' career development process at different life stages. Tomilson et al. (2018) argued that while age is a very influential factor in determining career path of men, it is not a very influential factor in women's work or career experiences. Women's career paths cannot be mapped similar to men's career paths. Women's career trajectories move in a very different pattern not a linear one as in case of men.

In *The Alchemist*, we find Santiago interacting with women characters on two occasions. First, when he visits an old Gypsy woman who used to tell fortune to people by interpreting their dreams. Santiago found discussion with the dream reader very frustrating but this conversation forced him to take the decision of moving out of Andalusia and visit the pyramids in a strange country (Egypt) in search of some treasure seen by him in his dreams. The conversation with the old woman helped Santiago in developing insights to read omens and changing signals of nature. Santiago enhanced his sensing capability later when he came into the coaching/mentoring relationship with the King of Salem, the crystal merchant, the camel driver, the Englishman and the Alchemist. The second most important interaction of Santiago with women happened with Fatima, who helped him to see the desert from a different point of view and to understand the language of the desert. Although Fatima could not be considered a case of a career-oriented woman, she also acted as a counsellor to Santiago and helped him in improving his creative insights, self-efficacy and emotional intelligence. Santiago's experiences with the caravan leader, the camel driver, the tribal chieftain and the robbers are those social pathways that helped in enhancing his self-efficacy and emotional intelligence and contributed to shape his multiple career identities during his journey to the pyramids and back to Andalusia.

4.3.4. Psychology of Working Theory

The Psychology of Working Theory (PWT) (Duffy et al., 2016) suggests a framework to understand how contextual and psychological variables affect an individual's ability to secure decent work and how doing so affects the fulfilment of individual needs. The PWT strongly considers influence of socio-cultural factors on individuals' career decisions and work experiences regardless to their background. This theory also focuses on how performing decent work leads to need satisfaction, work fulfilment and well-being. This theory considers work as essential aspect of life and important component of well-being. Work has potential to fulfil three important human needs- need for survival and power, need for social connection and need for self-determination, Individuals' work and non-work experiences intertwine with each other; thus help in achieving need satisfaction, work fulfilment and well-being.

The Alchemist narrates changes in socio-cultural environment of Santiago when he moves out of his hometown Andalusia to Egypt in search of a treasure as seen in his recurrent dream. During his journey, he is exposed to many hostile experiences and he learns to survive under those circumstances. Before entering to Tangier, he is a shepherd but in this new city, he has to work as a salesman in a crystal shop to earn livelihood for his survival. This work experience transforms him as a person. His self-efficacy, creativity and emotional intelligence improves significantly, and he also learns effective communication skills, negotiation skills and improves his decision-making process. He learns many new things from different people whom he meets in the caravan, the camp at Al-Fayoum and in the monastery near the pyramids. The story of Santiago tells us about his changing needs, behaviour patterns, personality transformation and career decisions taken under hostile circumstances. We also see in this story how effectively Santiago motivates himself to work in direction of desired goal, identify meaningfulness in the work chosen by him and achieves well-being despite having many hostile and frustrating experiences during his journey to pyramids. In this transformation process, roles of both types of people are very important:- (i) those who

directly helped Santiago in choosing his career path and improving different knowledge, skills and abilities related to his chosen jobs/work roles (the King of Salem, the crystal merchant, the Englishman and the alchemist); (ii) those who helped him in improving his creativity, futuristic insights, mindfulness, emotional intelligence and well-being (the old Gypsy woman, the King of Salem, crystal merchant, the Englishman, the camel driver, Fatima and the alchemist). This explains how work and non-work experiences of Santiago helped in improving his critical career decisions at different life stages.

5. Discussion

All the theories discussed above may hold true in perspective of Santiago-the protagonist of the story, Paulo Coelho- the author and the reader itself. *The Alchemist* is focused on the main story of Santiago's dream and his journey to Egypt in search of hidden treasure. 'The hidden treasure' can be interpreted as a symbol of ultimate goal in one's career and 'the caravan' as a symbol of organisations one chooses for career journey. We change our caravan in hope of finding out some hidden treasure in some unknown destination but we do not know how to reach there? Majority of people are unaware about their 'hidden treasure' which they see in their dreams but are unable to understand its meaning; hence they continue to work on the career which may be fulfilling their current needs but in that process they forget to pursue their intrinsic career aspirations. The Pyramids in this story also reflect those destinations which one has to target if one wants to dig 'hidden treasure' of one's career. Santiago could not have reached to that hidden treasure; had he not met the old gypsy woman, the King of Salem, the crystal trader, the Englishman, the camel driver, the tribal chief and the Alchemist in pursuing his dream? All these people played the roles of counsellor, guide, coach, mentor and teacher to him at different stages of his career and life journey. In this process, he had not only crossed geographical boundaries but also many social/cultural/psychological boundaries; and he learnt many new skills, knowledge, positive attitude and emotional intelligence from other people he met. This entire process helped him to understand importance of meaningful work when he had to find a new job in a strange city/country, he got trapped among hostile tribal gangs and he had to find out innovative means to survive his life. We also face similar hostile situations in our careers when we change jobs, shift to new locations and make a big switch over in our career. Our analysis on the basis of some selected career theories (social construction career theory, career construction theory and life design approach, life course development approach and psychology of working theory) in this paper can be useful in understanding cognitive and affective processes of career development and meaningful work. Managers can use these insights in shaping their own careers and achieve meaningfulness in their work and well-being. HRD managers can use these insights in designing effective career development systems as per needs of boundaryless career world. HRD managers can also use insights of this paper in training of managers as mentors, coaches and counsellors.

Having said that, the impact of *The Alchemist* in any reader may be explained because, fictions and stories are powerful tools to stimulate reflective and transformative learning (Jarvis, 2006, 2019; Jubas, 2005; Hogan and Cranton, 2015) for adults. Hence, fictions and stories can be effectively used in channelizing experiential learning of managers in organisations. Stories are narratives that help in understanding meaning and sense of coherence to complex sets of events and sense making of organisations (Gabriel, 2000; Boje, 2008; Dawson and Stykes, 2019). *The Alchemist* is primarily focused on recurrent dream of a young boy Santiago who decided to explore a new territory to make his dream come true. Freudian Psychoanalysis considered dream as the road to unconscious (Freud, 1900/1932, 1977). Freud argued that our id urges and unconscious conflicts push for expression while we are asleep. Our unfulfilled desires, id urges and unconscious conflicts are expressed in our dreams as different symbols. These symbols may have very personal meanings to the person in dream analysis (Freud, 1900/1932, 1977). Dreams are also personal narratives of individuals and dreams also tell some stories about life experiences of individuals. Hence, dreams can also be very useful in understanding psychological complexities of individuals and

Organisational sense making. However, for this paper we are keeping Freudian Psychoanalysis out of scope, perhaps we may write another paper on *The Alchemist* completely devoted to Freudian psychoanalysis of dream of Santiago.

In this context, it is worth noting that a psych biographical analysis of life of Paulo Coelho by Mayer and Maree (2018) revealed how magic, magical thinking, mystics, religious faith, meditation and spirituality have influenced Paulo Coelho's life and creative works. At age of 36, Paulo travelled to Santiago de Compostela in Spain for a pilgrimage and he wrote his first book *The Pilgrimage* (Coelho, 197/2003), followed by *The Alchemist* (Coelho, 1988/2003). Right from his childhood, Paulo was very much influenced with magic, Jesuit faith and mysterious rituals of magic and religion (Morais, 2009: 55, 58-59). He also travelled to Egypt before he wrote *The Alchemist* in 1988. Paulo's writings are very much influenced by his personal experiences e.g. he had mentioned that a mystical person 'J' sent him to pilgrimage of Santiago and he also got some magical/spiritual experiences in Egypt (Morais, 2009: 358; Mayer and Maree 2018). Paulo has attributed his successful career as a bestseller to his magical beliefs, mystical practices and spiritual experiences gained through religious rituals as integrated with his real life experiences (Sierra et al. 2015). Coelho also used Jungian psychoanalysis (Jung, 2001) concept of synchrony attributing meaningfulness to life situations in his writings (Mayer and Maree, 2018). Paulo's next book *The Valkyries* was also based on his magical and visionary experience in the desert (Coelho, 1992).

6. Conclusion

The journey described in *The Alchemist* as "Personal Legend" may be assimilated, as explained while answering to the first research question, to career development (see Table 1, above). Also, during the development of that career, Santiago, the main and essential characters of the novel, goes through cognitive, social and emotive experiences (as defined in Table 2, above). Furthermore we believe the success of this book may be explained because it incorporates the most optimistic and positive ideas about career development in a most beautiful, some would even say magical way. One limitation of this study is that this presents authors' narrative on the novel in context of career development theories and meaningful work. Finally, we believe that *The Alchemist* effectively contributes for the debate between literature and management because it raises a completely new issue – never before a novel can be seen as a mean to shape career development and meaningful work to managers of modern organisations.

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War/Sea Stories as Leadership Development: Storytelling in the US Military and its Implications for HRD

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Abstract

The use of storytelling aspects is prevalent in the US military; its impact clearly valued. Its usage is at times formal in training and learning environments or informal and casual as age-old adages, folklore, and mores. However, thus far its usage reflects little academic rigor nor is there much research aimed at storytelling as a leadership development tool within military service. As with any organisations steeped in tradition, history holds overwhelming influence over US military culture. Historical experiences become immortalized and utilized as folklore and epitomes for future leadership development within both academic and professional settings. These, along with a high dependence on case studies, have driven the predominance of US military leadership development. This is particularly prevalent in the military context where actual lived experiences can rarely simulate or prepare for the dynamic and volatile environments which military servicemembers may find themselves. The utilization of Organisational traditions, mores, and stories enables leaders to prepare the organisations and its members for such environments in more formalized and sterile learning environments. The author sought to provide conceptual analyses for storytelling and its relationship with US military leadership development and subsequently implications for the Human Resource Development community at large.

Keywords: Storytelling; US military; leadership development; war/sea stories

1. Introduction

"A thought experiment, a simulated reality- in short, a story" (Gaddis, 1997, p. 77).

A common scene across the globe: a unit of United States (US) military officers sit at a round table discussing the most recent published mishap report from their respective community of practice (pilots reflecting on an aircraft failure, shipboard officers recounting the details of the last vessel collision, field officers commenting on a misfire during engagement). This round table discussion often mimics the learning circles associated with leadership development. The use of storytelling aspects is prevalent in the US military; its impact clearly valued. Its usage is at times formal as in the aforementioned learning circles or informal and casual as age-old adages, folklore, and mores. However, thus far its usage reflects little academic rigor nor is there much research aimed at storytelling as a leadership development tool within military service.

Oral and written traditions abound throughout history as a means of conveying culture, experiences, and assimilating members. Certainly, the US military is no exception to this. As with any organisations steeped in tradition, history holds overwhelming influence over US military culture. This includes historical events and their associated effects from and on leadership. These historical experiences become immortalized and utilized as folklore and epitomes for future leadership development within both academic and professional settings. "Every organisations is awash in stories" (Tyler, 2007, p.559). These experiences, along with a high dependence on case studies, have driven the predominance of US military leadership development (Reily and Bloch, 2009). These approaches certainly fall under the broad spectrum of storytelling though they focus predominantly on third person narratives and impersonalized case studies aimed at developing virtues and values that are relatable and consistent across the services by developing leaders of character (Mcnally et al., 1996). Yet,

certainly the word storytelling is never utilized for it evokes feelings of informality and lacks the rigidity often associated with military training and learning. This unacknowledged usage of storytelling inhibits the ability to truly understand and capitalize on its strengths as a leadership development tool. Only in recent years has the US military become increasingly aware of storytelling as more than simply war and sea stories, though it has been relegated to the veteran realm as they cluster around the Veterans of Foreign Wars and the American Legion.

...Storytelling is a tool utilized nationally by other Veterans and military family organisations...aimed to help Veterans (and, in some cases, Veterans' families) to heal from combat stress and related issues. These diverse programs were developed by the military, the Veterans Administration (VA), private mental health agencies, individual therapists, and nonprofit projects" (Wilson et al., 2009, p. 394-396).

Research has continued to grow to enhance this new field and its reflective value for the veteran community particularly in the field of psychology (e.g. Posey's (2012) *Through Her Eyes*). Hitherto, storytelling has yet to encroach upon the active service domain in a formal capacity. Furthermore, little has been done to utilize such analysis on the active duty military from a leadership development perspective. Subsequently, researchers are left wondering: *How is storytelling utilized within the US to further leadership development?*

2. Methodology

In order to bridge the gap between storytelling and active US military leadership development, the author sought to better understand the landscape of existing, though generally unacknowledged, usages of storytelling within the military services. The focus was bound to the United States military services of Army, Marine Corps, Navy, Air Force, and Coast Guard. To distinguish it from the recent emergences of veteran storytelling as a coping and therapeutic tool, the focus was limited to active duty, reserve, and National Guard. Furthermore, since the prominent formalized professional leadership development programs are centralized on the officer corps, this limit was also incorporated. A review of the literature in both the fields of military leadership development and storytelling yielded a variety of references within a search of *military leadership development, military folklore, military tradition, and storytelling*. References were drawn from a scholarly review of the literature with multidisciplinary analyses. Search databases included ArticlesPlus, ProQuest, Sage, and Wiley Online, comprehensive and validated search engines available at the George Washington University Libraries, as well as Google Scholar, with focus on peer-reviewed research publications in the fields of business, social science, and humanities.

3. Storytelling by Any Other Name

Storytelling is a common subject for Human Resource Development professionals and Leadership educators. As an Organisational tool, it is often used as a means for knowledge transfer, developing Organisational identity, establishing Organisational codes of behaviour and modes of thought, and developing leaders (Cataldo et al., 2008). Stories themselves are "narratives through which events, at times major, at others trivial, become charged with symbolic significance" (Gabriel, 1991, p.858). The act of storytelling is immensely useful in translating models of behaviour and decision making by linking the story to personal experience or personal narratives. Narratives and stories that inform cultural and self-identity are bound by what the organisations tells itself and what members tell each other (Reily and Bloch, 2009; Schein, 1990; Terriff, 2006). However, this subsequent knowledge transfer is not solely relegated within stories; it too exists in traditions, norms, mores, and folklore. These interconnected and yet disparate subjects are verbiage far more associated with the military than that of storytelling. However, as with any organisations, storytelling by any other name, can provide models of behaviour and Organisational norms which bypass the necessary processes of personal experience and allow acquisition from observational and secondary learning sources (Tyler, 2007). This is particularly prevalent in the military context where

actual lived experiences can rarely simulate or prepare for the dynamic and volatile environments in which military servicemembers may find themselves (Campbell et al., 2010) and where servicemembers may utilize stories to cope with the harsh realities and experiences of military service (Drori and Gabriel, 2002). The utilization of Organisational traditions, mores, and stories enables leaders to prepare the organisations and its members for such environments in more formalized and sterile learning environments.

4. Landscape of US Military Leadership Development

"Culture perpetuates and reproduces itself through the socialization of new members entering the group" (Schein, 1990, p.115) Like any culture, US military culture incorporates certain attributes and traditions which distinguish it and its members. Over the course of a military career, cultural socialization remains integral to the development and sustainment of the collective military identity. "Members of military organisations, like the members of other occupational folk groups, are enculturated into characteristic behaviour patterns that identify them as group members, create solidarity, help them manage stress, and distinguish them from those not in the group" (Tuleja et al., 2012, p.1). These traditions and mores are passed on through a variety of means including training and leadership development. Leadership development, as a means of imparting knowledge and maintaining cultural continuity, is particularly intrinsic in the continuation of the nuances of military culture. Additionally, this serves to enhance and continue the institutional memory of the US military organisations.

Given the demands of military leadership in the US, responsibility and authority are often delegated down and as such require a high level of leadership amongst even the most junior of officers who are "routinely thrust into volatile, uncertain, complex, and ambiguous situations in which more is demanded of them in terms of intellect, initiative, and leadership" (McCausland et al., 2001, p.19). This highlights the utmost importance of strong and consistent military leadership development throughout the military. Traditional US military leadership development is a convoluted and multi-layered process comprised of both formal and informal components. It serves to mold servicemembers in the archetype of the warrior and instil both military virtues and cultural norms. The aim within the officer corps is to bridge the gap beyond rote memorization to true cognition and develop capable and innovative leaders. Formalized lessons and courses are provided from the very beginning of a commissioning source and continue throughout an officer's career. Similar pathways of learning exist for those in the enlisted ranks. Informal aspects such as gouge and war/sea stories encourage initiative and collaboration. For the formal methods, there are a number of storytelling components, though the word storytelling may never be used. These include the heavy usage of case studies and learning circles. As for the informal, they are numerous and variable from service, to community, to specialty.

4.1 Formal Storytelling Formats

Socialization into the US military culture occurs early and often. It begins with indoctrination via enlistment and commissioning sources such as boot camp, service academies, etc. These socialization processes are reinforced throughout a military career and an integral component of the experience incorporates the iteration of cultural norms and leadership development through formalized training. These training environments regularly utilize elements of formal storytelling such as case studies and learning circles amongst others.

4.1.1 Case Studies

Certainly, the most formalized and prevalent form of storytelling within current US military leadership development is the abundant usage of case studies; "commonly used... as a method to convey Organisational messages such as vision, mission, and goals, as a method Organisational leaders use to relate to their constituents, and as an instructional tool to engage... in formal learning settings" (Barnes et al., 2011, p.3). Case studies utilization reflects the usage of compelling cases to illustrate desired leadership and knowledge (Gordon

and Nack, 2005). Undoubtedly, no Army officer lacks experience with Ambrose's (1992) *Band of Brothers*; likewise, no Naval officer is unfamiliar with *A Message to Garcia* (Conrad, 2009). Case studies are used across the spectrum within US military leadership development from professional tactical decision-making challenges to ethics scenarios. Many leadership development programs are centralized around this usage, however the context of case studies utilized within the military is notably dissimilar to the business community and subsequently that with which the leadership development community at large is familiar. Military case studies may focus on the idealization of a given historical military leader such as Washington, John Paul Jones, Farragut, Patton, Eisenhower, Chesty Puller, or Nimitz or they may provide an event/scenario (e.g. My Lai, Tailhook) as the setting for study (Terriff, 2006). Generally, though they are historical in nature, they are not entirely composed of historical fact but rather mix fact with the apocryphal and the mythical. Should a case study be more recent, as with many operational and tactical case studies, it is largely sanitized for any personally identifiable information. Regardless, they are commonly impersonal accounts or formal after-action reports from the branches and occupations themselves. This is markedly distinct from the business community storytelling approaches which emphasize the value of first person narratives and the "reflective nature of storytelling" (Tyler, 2007, p.563).

4.1.2 Learning Circles

Learning circles are a common visage in military training, though certainly the term itself is never used. Officers encircled as some occurrence is discussed is prevalent throughout the military occupations though its usage and appearance may differ. However, their inherent nature reflects that learning circles involve "...all those who have an interest in promoting a particular piece of learning coming together to discuss the task" (Scriven, 1984, p.17). Whether this forum serves to discuss a newly learned skill, to analyse a mishap, or to discuss future learning objectives, learning circles serve military learners as they enable a multitude of learning styles, the sharing of experiences, and the development of proficiency in the skills of learning (Scriven, 1984). The utilization of learning circles within the military enables Service members to bridge the aforementioned gaps between personal experiences and those of others as well as the dynamic environments of the armed forces and those of the classroom.

4.2 Informal Storytelling Formats

"The implications for those seeking to cultivate effective leaders is that classroom leadership training can be more effective if coupled with practical examples—that is to say, stories—derived from the student's own experiences or the experiences of others" (Reily and Bloch, 2009, p.192). These stories may additionally take more informal forms often seen as war or sea stories told amongst members.

4.2.1 War/Sea Stories

While a number of informal storytelling forms exist, perhaps the most abundant are the war and/or sea stories, which members share. Such stories may be derivative of a larger branch of service, a rank/grade, or an occupational specialty community. These stories are utilized to convey Organisational norms and to continue leadership development amongst members. Reily and Bloch (2009) note the oft heard phrase 'so there we were' in their study of sea stories within the US Navy as a precursor to some Organisationally indicative story. These war and/or sea stories may be personal narratives or Organisational lore/folktales of commonly known warrior archetypes. "Such Organisational 'icons', and even 'mythological' heroes, serve as archetypes to be emulated, and hence their deeds and words persuasively inform what it means to be... and for what constitutes appropriate behaviour" (Terriff, 2006, p. 217). However, while these stories are abundant across the military branches and amongst its members their usage in leadership development is appreciated, there exists little tangible research on their utilization, effect, and development. "...While there is tacit recognition of the value of ...stories and informal respect for good storytellers, there is little overt attention given

to the role that... stories, story, or narrative in general, might play..." (Reily and Bloch, 2009, p.3).

5. Discussion

Similar to the human resource development community, the veteran psychology community has found profound value recently in the utilization of storytelling as a therapeutic tool, attempting to "turn a terrible experience into a constructive learning experience" (Wilson et al., 2009, p. 420). Yet, the active military services refrain from incorporating first person narratives in much of their formal storytelling formats for leadership development. This is likely a result of the pervasive zero-defect culture of the military and its associated fear of reprisals which inhibit openness and personal reflection amongst servicemembers. Unfortunately, such challenges prevent the military from effectively utilizing storytelling and associated personal reflection as a learning tool. Despite the fact that such abilities amongst leaders has significant training implications towards enhancing creativity and innovation (Reily and Bloch, 2009). This preclusion thwarts attempts to utilize stories as leaders seek to "build competencies such as creativity, self-reflection, negotiation, open-mindedness, problem-solving, and understanding others" (Barnes et al., 2011, p.7). Tyler (2007) notes that first person storytelling sheds light not only on the organisations but also on other members, allowing learners to better connect with the content and the organisations at large. For the military, this has particular implications; training future leaders is imperative to ensure that servicemembers are "properly equipped to make critical decisions in the pressure-cooker situations they encounter in the line of duty" (Anon, 2012, p.32).

6. Implications for HRD

First and foremost, leadership development, both civilian and military alike, must seek to further academic research which addresses the pre-existing military traditions that mimic storytelling for leadership development. Such research would serve to establish, enhance, and perhaps learn from the conventional utilizations of storytelling in the US military leadership development spectrum. "The extensive spread of activities and interventions now emerging to support leadership learning and development provides a challenge to HR professionals and academics, in advising on and selecting appropriate methods to include in leadership development programs" (Edwards et al., 2015, p. 282). Bridging the gap between the human resource and business communities and that of the US military with regards to storytelling requires particular insight into the distinctions of culture and language which the military possesses. "All of the activities that revolve around... socialization... and broader issues of Organisational design require an understanding of how Organisational culture influences present functioning" (Schein, 1990, p.118). Certainly, organisations possess a culture unto themselves and the military perhaps epitomizes this. Recognising the pre-existing foundations, which though they may not mirror at least reflect the concept of storytelling (e.g. traditions, stories, case studies etc.), is imperative to building such a bridge.

Leadership development represents the hallmark of the US military and reflects centuries of practice though often its methods and means are derived from tradition and experience rather than academic research. As the US military encounters more dynamic and unique domestic and international environments which lack the clearly defined lines of traditional warfare, the need for even clearer and exceptional approaches to leadership development is integral. The usage of storytelling as a means to this end is one which the military is particularly familiar, though its uses and means are vague and often unnoticed. Whether it be formal or informal, storytelling plays an unsung integral feature in military leadership development. As with any organisations, further research and understanding of storytelling and its usage, nature, and implications towards leadership development will continue to enhance military capacity and innovation as well as bridge the cultural divide so often seen between the military and civilian society at large.

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The future of packaging: A collaborative action learning approach

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Abstract

The retail packaging supply chain is experiencing intense scrutiny following increased public awareness of ocean plastic pollution and criticism of single use plastics. Industry must meet these challenges while maintaining standards in packaging functionality and food protection and remaining economically viable. Solutions are likely to require the input from all areas and levels, including manufacturers, retailers, government, consumers and campaign groups. The success of any innovation must take account of multiple future scenarios that could affect policy implementation and new product development. These complexities require collaboration between stakeholders and academic input is vital to evidence-based leadership and decision-making. This paper describes early findings from a new collaborative group, led by Leeds Beckett University, which is using the Futures and Foresight approach to develop collective goals for tackling the environmental challenge. It seeks to answer the question of how action learning can be used to create a collaborative approach to considering the future of sustainable packaging. The approach focused on allowing groups of stakeholders to find actions to take and questions for their futures against which learning could take place. The early findings report some initial agreements on the challenges that the industry currently faces.

Keywords: packaging, environment, collaboration, Futures and Foresight, action learning

1. Introduction

The retail packaging supply chain is experiencing intense scrutiny following increased public awareness of ocean plastic pollution and criticism of single use plastics (Schnurr et al., 2018). Despite many years of pro-environmental innovation in packaging, there are calls from consumers, campaigners and government for better, more radical solutions for reducing waste, pollution, littering and energy consumption (Martin-Rios et al., 2018). Industry must meet these challenges while maintaining standards in packaging functionality and food protection and remaining economically viable. Retailers and manufacturers are still coming to terms with this new level of attention and expectation to change. The UK Government has already pledged to limit single use plastics and further legislation is expected that will compel businesses to use more recycled materials (HM Government, 2018a). Consumers are also more empowered through social media and the increasingly competitive retail environment to express what they want and share what they find frustrating.

Solutions are likely to require the input from all areas and levels, including manufacturers, retailers, government, consumers and campaign groups. The success of any innovation must take account of multiple future scenarios that could affect policy implementation and new product development. It requires an understanding of potential market and governmental change along with a wide variety of technological solutions relating to materials, distribution and the waste infrastructure. There are also numerous questions relating to public understanding of packaging and effective communication that will ensure correct understanding and implementation of solutions.

These complexities require collaboration between stakeholders and academic input is vital to evidence-based leadership and decision-making. This paper describes early findings from a collaborative group incorporating the retail packaging supply chain, which is using the Futures and Foresight approach to develop collective goals for tackling the environmental

challenge. The question we seek to answer is: *How can we create a collaborative approach to consider the future of sustainable packaging through action learning?* We begin with a brief consideration of key features of the literature concerning this problem.

2. Literature Review

2.1 The problem of plastic packaging

The ubiquity of plastic comes from its usefulness. This means that solving the problems it has created is highly complex. Plastic's use as a food packaging material grew significantly from the 1950s onwards. It was not just an alternative material to paper, metal and glass. Innovations in plastics meant that previously unpackaged foods became wrapped in plastic and new food products and eating practices developed (Hawkins, 2018). Today, plastics still enables retailers to offer convenient solutions to consumers seeking ready-to-eat food or extended shelf life. In charting the history of plastic food packaging, Hawkins describes how plastic "acquired the capacity to suggest changed norms of behaviour and new meanings for the biological life of food from 'sealing in freshness' to extending shelf life" (p.401). She suggests that we are 'governed by plastic' in the way it has changed daily habits.

When 14 million UK viewers watched the BBC's *Blue Planet II* series in late 2017, the problems generated by plastic's ubiquity were broadcast to a mass audience and "captured the public imagination as never before" (Wright et al., 2018:163). Environmentalists who have long campaigned for measures to tackle ocean plastic pollution took the opportunity to increase public scrutiny of businesses responsible for plastic production. Since then, there have been regular calls for better, more radical solutions for reducing plastic waste, pollution and littering (New Plastics Economy, 2017; Walker, 2017). Research continues to emerge that catalogues the problems caused by plastic pollution, which has an estimated global cost of \$2.5 billion per year, with around 8 million tonnes of plastic entering the oceans annually (Beaumont, 2019; Martinko, 2019).

Anti-plastic campaigners state that the damage to marine wildlife and eco-system, along with the potential health implications for people ingesting micro-plastics, means that radical change is necessary. They argue waste collection will never be sufficient as plastic tends to end up in the environment and call for a shift from the onus on recycling towards putting an end to plastic production. There has been scrutiny of supermarkets with, for example, the consumer group *Which* announcing that 29 per cent of supermarket packaging is not recyclable (Simmonds, 2018) and a survey for campaign group *A Plastic Planet* which found that nine out of ten people want supermarkets to have a plastic free aisle (Johnston, 2017). In the UK, there are signs of government responding to the problem by pledging to limit single use plastics (HM Government, 2018a) and creating tax incentives for businesses to use more recycled materials (HM Government, 2018b). This has left industry – specifically businesses working in the retail packaging supply chain – faced with a challenge of changing current practices without there being ready-made alternative solutions.

The packaging industry appears frustrated at the prevalence of simplistic, emotional arguments to the detriment of evidence that demonstrates the benefits of plastic and ignores the protective function of plastic packaging (Wohner et al., 2019). Plastics may be the only viable option for providing some foods conveniently and safely and eliminating plastic could cause a huge increase in food waste, a fact not always acknowledged in the environmental assessment of packaging (Heller et al., 2018). As 30 per cent of food produced around the world is wasted, reduction in the use of plastics could increase that figure and remove potential solutions to the problem.

2.2 Potential solutions

Solutions are likely to require the input from manufacturers, retailers, government, consumers and campaign groups. The success of any innovation must take account of multiple future scenarios that could affect policy implementation and new product development. It

requires an understanding of potential market and governmental change along with a wide variety of technological solutions relating to materials, distribution and the waste infrastructure. There are also numerous questions relating to public understanding of packaging and effective communication that will ensure correct understanding and implementation of solutions. While there is evidence of extensive efforts by industry to maximise the sustainability of manufacturing operations (Mathiyazhagan et al, 2019), adoption of environmentally friendly processes is challenging. Barriers to adoption of Green Supply Chain Management include a need for adequate training, lack of progress monitoring and poor customer awareness (Wang et al., 2016).

Other solutions relate to improved communications between industry and the public so that consumers understand the environmental credentials of packaging and increase recycling rates. A WRAP (Waste and Resources Action Programme) survey looking into UK consumer attitudes to food waste and food packaging (Plumb et al., 2013) found that many consumers did not recognise that packaging protects food in the home and actually took the contrary view that products will spoil more quickly if they are kept in the packaging.

Companies need dialogue with consumers on the packaging functions and conveniences they are prepared to give up in the name of the environment. Lindh et al. (2016) found a tendency to favour the convenience attributes of packaging over others (including environmental), although *convenience* is partly concerned with ease of recycling. They also note that lack of awareness among consumers of the environmental status of certain packaging, meaning, "Consumer choices can unintentionally counteract environmentally sustainable intentions". Other research suggests that even the most environment-friendly consumers make their choices as a trade-off with various product attributes (Rokka and Uusitalo, 2008).

Eco-friendly products often have an associated cost, at least in the minds of consumers. Moral reasoning may only occur in choice of product packaging when environmental impacts are perceived considerable and no other characteristics (e.g. a high price) are seen as equally important (Thøgersen, 1999). Sirieix et al. (2013) observe that consumer awareness of an issue, followed by a belief in its relevance to society and themselves personally, are prerequisites of intentions and then actions. There is also the challenge of overcoming scepticism. For example, people might not trust claims on packaging labels seen as too general, such as 'climate friendly'.

2.3 Theoretical base

The term collaboration simply stated, and based on Latin terms, implies working together for some agreed purpose. Wood and Grey (1991) expand on this to suggest that "collaboration occurs when a group of autonomous stakeholders of a problem come engage in an interactive process, using shared rules, norms, and structures, to act or decide on issues related to that domain" (p.146). Such a definition would suggest that collaboration is unlikely to occur without a degree of facilitation, particularly where stakeholders are likely, initially at least, to have differing concerns and interests with a preference for autonomous decision-making. Gray (1989) argued for the need for organisations involved in collaboration to adjust their focus to interdependence and inter-organisation interests and this requires convenors with sufficient authority to act but also an ability to help create a mutually appreciated direction among different interests.

Key features of this process include identifying patterns of complexity (Majchrzak et al., 2015), nurturing and developing trust (Vangen and Huxham, 2003) and embeddedness and involvement (Hardy et al., 2003). One problem may be an uneven distribution of power between stakeholders (Hardy and Phillips, 1998), manifest in dominant voices and suppression of others, resulting in some stakeholder initiating action in a way that suits them but not others (Levy, 1982).

Some of the literature defines collaboration according to a continuum of increasing integration and complexity. Majchrzak et al. (2015) identify patterns of more or less increasing complexity. Greater complexity came from increases in the number of programme

characteristics, including actors in the process, differences between partners, organisational structure and decision-making control. Majchrzak et al.'s analysis of inter-organisational collaborations found that the more successful ones tended to exhibit greater complexity. Specifically, they experienced change in more characteristics. Differences between partners often led to proactive initiation of change and feedback loops, which involved initial effects leading to further changes in characteristics. Similarly, Gajda (2004) outlines a strategic alliance formative assessment rubric (SAFAR) that notes how features evolve as collaborators integrate further. She states that 'collaboration is a journey, not a destination', as partners move from sharing information and mutual support towards greater integration through collective goals and strategies. Gajda also notes Truckman's (1965) stages of group development (form, storm, norm, perform) as a useful reminder of likely collaboration dynamics. In addition to integration levels, the SAFAR rubric identifies four other areas of change as collaboration develops:

- There is increasingly shared purpose of activity.
- Strategy and tasks become more formal and structured.
- Leadership and decision making evolves from autonomous, to shared and then increasingly hierarchical.
- Communication becomes more frequent and formal and then both formal and informal. Meanwhile, the possibility of interpersonal conflict increases (Gajda 2004:71).

These features of collaboration are a guide for describing and analysing a collaborative group formed to develop strategic responses within the context of the Future of Packaging. This will provide insight into how action-learning approaches can generate joint understanding and mutual appreciation against the complex but vital problem of environmental protection.

3. Method

To respond to the need for stakeholder in the packaging sector to find a way of collaboration around a joint interest for their futures, whilst also seeking engender a spirit of together and comradeship, we designed a model of collaboration using a future search process to create a direction for action learning. Future Search (Weisbord and Sandra, 2000) is well-established framework to promote trust and democratic values for whole system improvement in an identified domain of activity. Our approach allowed 16 participants, all with an interest in the future of packaging, to surface key issues and questions from which action learning groups could formed. With an online support infrastructure, the groups could then seek to respond to questions and report back on findings leading to recommendation for action. We envisaged that the groups would meet together every two months for 10 months, and to date, three meetings have been held.

4. Findings

4.1 Session 1

The objectives for the first session were to identify the main issues that group members expected to face in the next few years and form some initial group actions. This involved the use of 'ask the oracle' question formation to set out what members most would like to know about the future of the retail packaging supply chain. All of the mutually agreed questions related to the environmental issues surrounding retail packaging or factors that could influence the issue such as governmental and regulatory change.

For example, the first question in Table 1 is about the potential availability of alternative packaging materials that could provide a viable pro-environmental alternative to plastics. Other questions concerned the recycling system and approaches for increasing recycling rates. There were also questions tackling conflicting evidence and opinions on which is the most environmentally friendly option. This reflects the plastics 'debate' and the claims of manufacturers that plastic offers many environmental benefits including lighter weight,

energy efficiency and minimising food waste compared with other materials. Although life cycle analysis and circular economy definitions offer answers to this question, the components of that analysis are also debatable. Therefore, the group sought greater clarity on this issue. Finally, the role of consumers in the design and use of packaging was a key area of interest. This concerns both the lack of consumer understanding of the environmental features of packaging and methods for communicating those features, along with encouraging improvements in recycling behaviour.

The agreed actions that followed these discussions aimed mostly at finding more information on the various topics. Some were to find existing knowledge on a particular topic or to assess what kind of information is available. A prominent task was to map the diversity of regional recycling systems and to identify good waste management practice within and outside the United Kingdom. Moreover, the group wished to gather statistics on the recycling of different materials. Other actions, such as gaining insights on how to influence consumer perceptions and agreeing a common industry message on plastic packaging were more general and effectively recorded as common interests rather than definable tasks. This reflects the fact that the collaboration process was still at a very early stage and firm priorities were not yet agreed. However, there was a sense of common agreement between group members on the kinds of issues faced by the industry.

Table 1: questions and agreed actions from session 1

Oracle questions (selected)	Actions
Will we make significant change in spread of packaging materials on our move from plastic to alternative materials?	Identify ways of ensuring that technology for innovative materials has a positive environmental impact.
Will we have an effective and well-working collection scheme for packaging in place?	Create a UK infrastructure map of what is and what is not accepted for recycling by regions in the UK and in different countries.
Will we have a definite answer to what is environmentally friendly?	Identify good practice in waste collection schemes in Europe, e.g. Germany vs UK comparison and comparison between incineration and landfill.
Will the government situation be significantly different?	
Will retailers still be looking to remove or reduce plastics?	Find out what percentage of packaging waste is flexible plastic and whether there is data on the composition of these materials.
Will consumers care sufficiently to drive change?	Get a common understanding of the working of the retail packaging supply chain.
Will consumers better understand packaging?	Gain brand and retailers insights on how to influence consumer perceptions.
Will there be nationwide standards for recycling/recyclability	Agree on common message to communicate affectively to create step change in how we deal with plastic packaging.

4.2 Session 2

In the second collaborative session, participants provided fuel to the discussion by presenting information gathered in advance of the meeting. The presentations covered topics such as data on packaging waste, individual member businesses' pro-environmental products, circular economy definitions and design for the circular economy. The presentations generated further discussion on the details behind the facts. This included the strengths and weaknesses of a potential deposit return scheme and the likely intentions of politicians with regard to waste collection. There was also exploration of the difficulties of producing food-grade packaging materials from recycled waste. The discussion involved members sharing knowledge and perspectives on the issues, anecdotal examples of good practice, questions about the reliability of some information and news of relevant business developments. The group then developed a new set of questions and actions to take forward to following session. These were gathered into the five topic areas in table 2.

Table 2: Session 2 topics and objectives

Group	Topic	Key questions/objectives
A	Chemical recycling	Understanding how chemical recycling can help plastic recycling
B	Waste Management	Looking at best infrastructure practice in the UK and abroad
C	Consumer Behaviour	How can consumer behaviour change? What are the most effective ways of influencing consumer behaviour?
D	Government Goals and Expectations	Do we have the infrastructure to meet the government expectations for recycling? What investments are needed to meet recycling goals?
E	Circular Economy	How do we make a circular economy financially viable?

Each participant chose a group in which to work. This meant that some groups (specifically the government goals and expectations topic) had no participants due to the popularity of others. This effectively focused the project's parameters further while acknowledging that other topics were still of interest.

4.3 Session 3

At the third session, the purpose was to convert the priority topics and questions into actions for the group. This involved further reporting on the agreed topics and discussion leading to agreed actions. The session focused on three of the five topics: chemical recycling, waste management and consumer behaviour.

Chemical recycling

Reporting on the chemical recycling topic identified it as a potential solution for recycling flexible plastics and other packaging that is currently difficult to recycle. Other benefits include the production of high quality virgin material, which could help to limit the use of fossil fuels, and no compromise in product performance. However, the technology is still at the prototype and testing stage, requires acceptance from both the market and regulators, and the waste collection infrastructure is not yet sufficient to supply the appropriate materials for recycling.

The group discussed implications including the potential degradation of the feedstock and consequences for food safety. Another issue raised was how to communicate the environmental benefits of chemical recycling. For instance, does it count as 'recycling' or 'renewing'? The group agreed that clear and consistent communication is essential to justify

investments. This should involve evidence to support claims and emphasis on a process of gradual improvement and learning rather than an immediate solution to the waste problem. Potential unintended consequences could include the encouragement of even more plastic products onto the market and difficulties forecasting the availability of chemically recycled plastics due to the tendency for some industries to take control of most of the feedstock. The emerging actions on chemical recycling were:

1. To push for a collection infrastructure
2. To gather more information about the costs of chemical cycling vs conventional recycling
3. To visit a chemical recycling plant
4. To investigate ways of increasing the collection of packaging materials such as confectionery wrappers

Waste management

Participants reporting on waste management focused on examples of good practice from Germany and Wales. The German model, which has an international reputation for efficiency, has made it easy for consumers by marking all recyclable packaging with a green dot. Until relatively recently, a single company has been responsible for collecting the recycling waste with smaller companies tendering to that business for the processing contracts. Industry prefers this system as it has control over costs and recycling performance has improved. However, some in the group challenged to claims of the German system, noting reporting differences to the UK (what is collected, rather than what is actually recycled) and lack of responsibility placed on the public to consume less.

Wales has much higher recycling rates compared with England and could overtake Germany in the near future. A notable difference with England is that Wales has a unified process, rather than differing between each local authority area. Good practices evident in Wales but not in England include collection of bio-waste, statutory collection targets and pay-as-you-throw charges. Further discussion considered challenges for local councils as their low budgets limit change or investment. There was uncertainty about the commercial value of recycled waste market perversities can affect the price of recycled plastic in relation to virgin plastic. Subsidies in some areas make waste more commercially viable than in others. Participants anticipated that the proposed new packaging taxation system could change the funding structure.

The impact of varying demographics and political structures were also areas of interest along with ideas to change the mind-set of consumers with regard to recycling. More needs to be done to normalise certain behaviours so that failure to recycle become more unacceptable socially. The emerging actions on waste management were:

1. Understand barriers to collection
2. Check the funding situation
3. Use the Welsh model?
4. Find out what works for consumers

Consumer behaviour

The discussion on consumer behaviour highlighted that organisations need consumers to change and to learn how to communicate with them effectively. The group considered the problems generated by making inaccurate environmental claims and the loss of trust in companies due to high profile scandals. This can undermine efforts to raise awareness to true environmental benefits of products and processes. Potential areas of research interest included the attitudes and behaviour of young people and the gradual growth of the pro-environmental consumer market. The latter includes overcoming the perception that pro-environment products are inferior to others.

Adding depth to this discussion, a presentation from one group member considered questions on consumer behaviour, willingness to pay and methods for encouraging behaviour

change. He suggested that there are lessons to learn from behaviour change ('nudge') theory, which involves identifying small actions or changes in context that make it easier (or harder) to make certain decisions. The challenge is to work out how governments and large institutions can spur 'wise' decisions at scale and consequently, make life better for everyone. On willingness to pay, consumers often state in response to surveys that they would pay extra for sustainability and this is especially true for millennials (Nielsen, 2015). However, the group acknowledged that transferring such attitudes into behaviour remains a challenge.

The group was also encouraged to look at the communications of organisations such as WWF, which gives advice to potential activists on how to promote change. There was also consideration of the viability of policies to influence consumer behaviour, such as deposit return schemes (DRS). This highlighted the problem of businesses having the responsibility for implementation but needing support from government to make it financially workable. Making recycling easier requires improvements to recycling infrastructure. The actions emerging from this discussion were:

1. Learn more about the communication of environmental claims to consumers
2. Consider consumer emotions and values in decision making

Priorities and feasibility

Having identified actions from the three topic areas, the group undertook the task of prioritising the actions according to relative importance and feasibility. There was general agreement that most actions were important. Some, such as pushing for infrastructure and getting materials back had low feasibility but very high importance. Therefore, working out options for moving towards these were tasks for further consideration. Other actions required clarification. For example, definitions of 'costs' relating to chemical recycling to include circular economy, efficiency and carbon/energy use. Overall, the actions reflect the group's continuing need for information and understanding to inform the development of collective strategies which, at this stage, were still to emerge.

5. Summary

At the time of writing, this project is still developing. The early findings reported here show that convening the group and the techniques used at each session have helped the group members to identify several areas of mutual interest. While most of the actions so far have focused on gathering knowledge, there is a clear intention to use that information in some kind of collective action yet to be defined. There is enthusiasm, especially among a core of group members, for the process to create some positive responses to the situation faced by their industry. However, they face many complexities within their own businesses as well as the social, economic and political context that call for a cross-industry collaborative approach. Those complexities have been the focus of discussion, enabled and given structure by the Future Search method. It has successfully established shared rules and norms. The greater integration and relationship complexity associated with successful collaborative outcomes is still emerging.

6. References

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Leader self-awareness: An integrative literature review and a conceptual framework for future research

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Abstract

The purpose of this study is to review the extant research concerning the concept of self-awareness, as well as related variables, from a leadership development perspective. To this end, 642 peer-reviewed articles were collected from library databases—Web of Science, SCOPUS, ProQuest, and EBSO—that included the term “leader self-awareness” in the abstract. After screening out duplicate papers, research on non-private organisations, and non-empirical studies, a total of 39 articles were analysed. This paper aims to provide an overview of the concept of leader self-awareness, including its theoretical foundations, its measurement, and its antecedents and consequences, in order to understand how good leaders envision themselves and their impact at their workplace.

Keywords: Self-awareness, leader, leadership development, integrative literature review, authentic leadership

1. Introduction

Does understanding oneself have any impact in the human resource development (HRD) context? Self-awareness is arguably the most fundamental issue in psychology, from both a developmental and an evolutionary perspective (Rochat, 2003), and is a fundamental factor in the career development of individuals. Self-awareness means having a deep understanding of one’s emotions, strengths, weaknesses, needs, and drives. People with strong self-awareness are neither overly critical nor unrealistically hopeful. Instead, they are honest with themselves and with others (Goldman, 2018). In an HRD context, an increase in the self-awareness of employees enhances their ability to know what competencies they have, as well as their potential to develop them, so that they can make conscious, strategic decisions regarding what they should be working on.

Self-awareness is a desirable quality, not only for leaders, but for every member of an organisations. It is advisable that both leaders and followers possess self-awareness. Followers with the ability to empathize with others, sometimes referred to as emotional intelligence, is based on self-awareness as a sub-factor. According to internal authenticity theory, self-awareness is a critical factor in determining the sincerity of a leader.

From the widespread recognition of the significance of self-awareness in the dynamics of the workplace, it is easy to conclude that the comprehension of oneself is a cornerstone of having beneficial relationships with others regardless of their position or role in the organisations. Self-awareness can help an organisations factionalized by hierarchies or split into leaders and followers by encouraging relationships that promote a unified mentality that overrides such distinctions.

The time when only an expert or specialist becomes a leader in an organisations is at an end. The overall character of the person who runs any kind of organisations has become more critical. Self-aware people know, and are comfortable talking about, their limitations and strengths. Indeed, they often demonstrate a thirst for constructive criticism (Goldman, 2018). As the world changes in the direction of breaking down barriers and encouraging greater inclusiveness, self-awareness becomes a more critical attribute for strengthening leadership. Nonetheless, the mechanisms by which an individual navigates the challenges of performing the roles of an independent actor and a leader have been the subject of considerable

discussion and debate. Therefore, with a focus on how to improve self-awareness, current findings need to be synthesized in order to arrive at an overarching definition of self-awareness.

2. Problem and Research Purpose

The study of leadership has a critical interest in self-awareness, and defining it begins with the underlying concept of “awareness.” Spear’s (1998) ten characteristics of servant leadership includes awareness—awareness in a general sense and, most particularly, self-awareness—which enables leaders to view situations holistically. Authentic leadership also encompasses self-awareness a core concept (Brown and Trevino, 2006). Other leadership theories, besides leadership theory, also emphasize a concern for others (altruism), ethical decision-making, role and so on, as essential characteristics of successful leaders.

Since the early 2000s, self-awareness has received more attention as a distinctive element in HRD. Self-awareness is considered a foundation for the self-organizing capabilities of informal communities, which enable a natural flow of knowledge creation, disruption, and utilization (Showden, 2002). According to researchers, self-awareness can be divided into internal and external aspects, and these are relevant to the specific qualities of the self-aware person that contribute to leadership development. People who know how others see them are more skilled at showing empathy and taking others' perspectives. Many leadership interventions, including 360-degree feedback, have been designed in such a way as to enhance leader self-awareness as a sequence of internal and external perceptions.

Furthermore, self-awareness, such as the ability to recognize one’s own emotions, strengths, and limits, also contributes to an individual’s own career development. Self-awareness, in either self-serving or leadership contexts, has the same logic but may bring about different results. Besides, authenticity, which is the foundation of authentic leadership, means accepting individual experience (values, ideas, feelings, beliefs) and behaving in a manner consistent with one's true self (Harter, 2002). In their conceptual framework for authentic leader and follower development, Gardner et al. (2005) suggest that self-awareness is a critical component of authentic leadership, and that leaders who are familiar with their values, identities, emotions, motives, and goals, have corresponding self-regulatory behaviour. This serves as a positive model for followers who ultimately reciprocate with trust, engagement, and performance.

In response to the varied perspectives on self-awareness (self-other congruence, emotional intelligence, authentic leadership, etc.), it is vital to clarify how self-awareness ought to be conceptualized and operationalized in terms of what specific sub-factors are in play. This paper is primarily conceptual in focus and is informed by an extensive review of the existing literature that examines how and why the concept of leader self-awareness has become more ubiquitous in HRD studies. The purpose of this article is to review the beginnings of leader self-awareness in HRD research, and how the concept has changed over time. First, various definitions and perspectives on self-awareness are presented based on the literature review. This is followed by a discussion of three topics relevant to self-awareness research: the measurement of self-awareness and its constituent sub-factors; antecedents of self-awareness; and the consequences of self-awareness. The following research questions summarize these concerns of interest:

- 1) What is the definition of leader self-awareness?
- 2) How can leader self-awareness be measured?
- 3) What theories/frameworks explain the basis for the development of leader self-awareness?
- 4) What are the antecedents and consequences of leader self-awareness?

This review examines only the empirical research on leader self-awareness; it synthesizes the literature that was published up to and including 2018. Finally, this study concludes by providing a conceptual framework to stimulate more rigorous research on leader

self-awareness in HRD. Based on an integrative approach, we offer suggestions for potential constructs in HRD leadership research that include leader self-awareness as a critical component.

3. Transitions in Self-Awareness Research

3.1. Origins and Definitions of Self-awareness

Leaders' self-awareness (SA) has received substantial attention from philosophers, social scientists, medical doctors, and academics (Ashley and Reiter-Palmon, 2012). The ancient Greek aphorism, "Know thyself," expounded upon by Socrates, suggests that accepting the limitations of one's capabilities is an essential component of self-knowledge. In *The Art of War*, an ancient Chinese military treatise dating from the 5th century B.C., Sun Tzu discussed the importance of intelligence and espionage operations, implicating self-knowledge as an important contributor to success. Among more contemporary social psychologists, the "self" has been understood as a fundamental concept in explaining individual attitudes and behaviours.

In *The Principles of Psychology*, William James (1890) first proposed a concept of "self" with the three components: the material self, the social self, and the spiritual self. The 1960s were the glory days for social psychology; this era included the introduction of the looking-glass self (Cooley, 1902) and symbolic interactionism (Mead, 1934; Blumer, 1986). These approaches emphasized one's awareness of self and others' cognition of one's self, and the way these phenomena influenced the relationship between an individual's self-concept and behaviour. The field of social psychology continues to generate academic interest in the concept of self, while the field of cognitive psychology brought new insights into the relationships among cognition, thinking, behaviour, decision-making, and self-improvement. Accordingly, self-knowledge has been of paramount importance in discourses about career-building, counselling, motivation, and Organisational behaviour.

Pioneers in the practice of vocational guidance, such as Robinson and Parsons, explained that knowledge of one's personality and aptitudes is fundamental to career decision-making. Robinson (1922) developed and operated the Find Yourself Idea program for mentoring young people making career decisions. Parsons (1909) recognized early on that the demand for skilled professionals provided young people with numerous new career choices and developed testing tools to help them gain a real understanding of themselves and their jobs based on a scientific approach. Understanding one's own interests, aptitudes, abilities, preferences, and values is still regarded as essential for decision-making, career guidance, and career counselling among job-seekers today. Individuals can only make effective career decisions based on a clear understanding of themselves.

The introduction of the theory of objective self-awareness (OSA; Duval and Wicklund, 1972) started the active discussion of the concept of SA. The underlying assumption of OSA is that conscious attention is an essential component of self-assessment. When people are able to recognize themselves objectively, comparisons between themselves and external standards will automatically take place. If inconsistencies exist between an individual's self and external standards, efforts to reduce the inconsistencies will ensue. Actually, there are two possibilities. An individual may either choose to change their attitudes, behaviours, or temperament in order to conform to the standards, or the individual may avoid certain stimuli or environments in order to stick to who they already are. Duval and Wicklund's OSA theory has shown that it is possible to change attitudes, attributes, and behaviours in the process of reducing the gap between the self and external standards.

The OSA approach defines SA as the ability to distinguish self (internal or subjective perceptions) from self as perceived by others (external or objective perceptions). This division emphasizes the capacity of SA to resolve discrepancies between these two kinds of perceptions. SA studies in the workplace context support this definition. Sosik and Megerian (1999) defined SA as the agreement between self-rating and other leadership ratings. In particular, an approach that emphasizes the degree of agreement between self-evaluations and those of others has become an essential premise of 360-degree feedback, which is based

on an accurate self-perception to enhance leadership performance (Dierdorff and Rubin, 2015; Fletcher and Bailey, 2003). Generally, many studies have revealed that leader SA predicts a desirable Organisational attitude and behaviours, and increases leadership effectiveness (Bratton, Dodd, and Brown, 2011).

In the *Harvard Business Review*, Eurich (2018) proposed four SA models to explain how well an individual understands how others see them. Eurich classified individuals into four categories based on their degree of both internal and external SA: Aware-er, Introspectors, Seekers, and Pleasers. Aware-er refers to an individual who has high levels of both internal and external SA. Aware-ers perceive who they are, what they want to address, and seek out and value the opinions of others. Eurich explains that the Aware-er type of leader represents the realization of the full benefits of SA. Introspector refers to an individual with high internal SA but low external SA. Introspections are clear on who they are, but do not often question their views or search for blind spots by receiving feedback from others. As a result, their relationships and opportunities for success may be limited. Seeker refers to an individual with both low internal and external SA. Seekers have yet to know who they are, what they stand for in the work context, or how their companies see them. Therefore, Seekers are likely to feel unfulfilled or discouraged with their performance and relationships at work. Pleaser refers to an individual with high external SA but low internal SA. Pleasers can be focused on meeting the expectations of others while overlooking what matters to them. Over time, they tend to make decisions that do not accentuate their own achievements. Eurich realized that genuine SA was not just about understanding oneself, but rather reflected a balanced development of internal and external SA. She emphasized that "SA is not one's truth," rather it represents a delicate balance between two distinct, even competing, viewpoints.

A self-based model of authentic leader and follower development (Gardner et al., 2005) introduced the concept of "authenticity" in leadership. Authenticity was defined as owning one's personal experiences, including thoughts, emotions, needs, wants, preferences, or beliefs—all phenomena captured by the injunction to "know oneself." Authenticity involves both owning one's personal experiences (values, thoughts, emotions, and beliefs) and acting in accordance with one's true self (expressing what one really thinks, and believing and behaving accordingly; Harter, 2002). Kernis (2003, p. 1) defines authenticity as the unobstructed operation of one's true, or core, self in one's daily enterprise. For Kernis, authenticity is the result of optimal self-esteem. According to his definition, authenticity consists of four sub-dimensions: awareness, unbiased processing, action, and relational. The idea of being true to oneself has been influential in widening the influence of positive psychology in recent times. Authentic leaders provide a positive process for ensuring that followers have authenticity.

Empirical evidence suggests that when leaders are aware of their values and advantages, they are more likely to achieve high levels of performance and lead others to accomplish the same (Ryan and Deci, 2001). When a leader engages in authentic behaviour, followers are more likely to express greater satisfaction with leaders, which is often consonant with increased job satisfaction (Jensen and Luthans, 2006). Thus, leaders who are perceived by workmates to make moral decisions and be more ethical will be perceived as caring and embracing (Brown and Trevino, 2006) and will likely inspire increased levels of contextual performance. The results of a meta-analysis by Banks et al. (2016) reported that authentic leadership is a better predictor of Organisational performance and Organisational citizenship behaviour than transformational leadership.

Recently, SA was revealed to be a sub-factor of learning agility. The concept of learning agility is defined as a willingness or capability to learn from experience, as well as the ability to apply that learning successfully even in new situations (Lombardo and Eichinger, 2000). Lombardo and Eichinger determined that a high level of learning agility (LA) indicates a high potential to become a leader. De Meuse et al. (2011) developed a diagnostic instrument to measure LA. In their instrument, LA consists of mental agility, people agility, change agility, result agility, and self-awareness. They defined SA as the depth to which an individual knows oneself, with the ability to recognize one's own skills, strengths, weaknesses, blind spots, and hidden strengths. They also noted that SA was traditionally an indirect type of assessment

that measured the difference between self-rating and rating by others (i.e., the larger the difference, the less self-aware). By disentangling SA from the People Agility factor and measuring SA directly, their instrument provides individuals with real feedback about how aware they are of their environment and themselves.

This review of the origins and development of the concept of leader self-awareness indicates that there are two general approaches to the analysis of leader self-awareness: (1) the congruence of internal and external SA; and (2) the acquisition of authenticity by being true to oneself by understanding oneself. A synthetic approach that integrates these two approaches in the definition of leader self-awareness and its measurement, along with a comprehensive review of the antecedents and consequent variables is in progress.

3.2. Empirical Research on Self-awareness

The following procedures were followed in conducting the review of the literature.

First, 642 studies related to leader self-awareness were recovered through search of the WIS, EBSCO, ProQuest, and SCOPUS databases. After screening the results for duplicates, 202 papers were excluded.

For the remaining 440 papers, a paper was retained for the review if the study met the following criteria:

- 1) Quantitative research on self-awareness
- 2) Research conducted in a private Organisational context

Based on the above criteria, 401 out of 440 papers were removed. The remaining 39 papers provided the basis for this review. The studies included are listed (in chronological order) in Table 1.

Author	Year	Article Title	Journal Title
Velsor, Ellen Van, Taylor, Sylvester, and Leslie	1993	An examination of the relationships among self-perception accuracy, self-awareness, gender, and leader effectiveness	Human Resource Management
Martin and Campbell	1998	Development and validation of the Guided Group Discussion Self-Estimate Inventory (GGD-SEI)	British Journal of Guidance and Counselling
Sosik and Megerian	1999	Understanding leader emotional intelligence and performance - The role of self-other agreement on transformational leadership perceptions	Group and Organisations Management
Weierter	1999	The role of self-awareness and self-monitoring in charismatic relationships	Journal of Applied Social Psychology
Wildermuth and Wildermuth	2006	Beyond rule following: Decoding leadership ethics	Industrial and Commercial Training
Berson and Sosik	2007	The relationship between self-other rating agreement and influence tactics and Organisational processes	Group and Organisations Management
Walumbwa, Avolio, Gardner, Wernsing, and Peterson	2008	Authentic leadership: Development and validation of a theory-based measure	Journal of Management
Tiuraniemi	2008	Leader self-awareness and its relationship to subordinate assessment of Organisational atmosphere in the social welfare sector	Administration in Social Work
Tekleab, Sims, Yun,	2008	Are we on the same page?: Effects of self-awareness of empowering and transformational leadership	Journal of Leadership and Organisational Studies

Tesluk, and Cox			
Caldwell	2009	Identity, self-awareness, and self-deception: Ethical implications for leaders and organisations	Journal of Business Ethics
Bratton, Dodd, and Brown	2011	The impact of emotional intelligence on the accuracy of self-awareness and leadership performance	Leadership and Organisations Development Journal
Taylor and Hood	2011	It may not be what you think: Gender differences in predicting emotional and social competence	Human Relations
Greg and Reiter-Palmon	2012	Self-awareness and the evolution of leaders: The need for a better measure of self-awareness	Journal of Behavioural and Applied Management
Axelrod	2012	"Self-Awareness": At the interface of executive development and psychoanalytic therapy	Psychoanalytic Inquiry
Malik, Danish, and Munir	2012	The role of transformational leadership and leader's emotional quotient in Organisational learning	World Applied Sciences Journal
Taylor, Wang, and Zhan	2012	Going beyond self-other rating comparison to measure leader self-awareness	Journal of Leadership Studies
Sturm, Taylor, Atwater, and Braddy	2014	Leader self-awareness: An examination and implications of women's under-prediction	Journal of Organisational Behaviour
Alok	2014	Authentic leadership and psychological ownership: Investigation of interrelations	Leadership and Organisations Development Journal
Joo and Nimon	2014	Two of a kind? A canonical correlational study of transformational leadership and authentic leadership	European Journal of Training and Development
Butler, Kwantes, and Boglarsky	2014	The effects of self-awareness on perceptions of leadership effectiveness in the hospitality industry: A cross cultural investigation	International Journal of Intercultural Relations
Li and Zahran	2014	Influences of emotional intelligence on transformational leadership and leader-member exchange in Kuwait	International Journal of Human Resources Development and Management
Beddoes-Jones and Stephen	2015	Authentic leadership: Development of a new three pillar model	Strategic HR Review
Horowitz and van Eeden	2015	Exploring the learnings derived from catalytic experiences in a leadership context	SA Journal of Human Resource Management
Hernandez, Luthanen, Ramsel, and Osatuke	2015	The mediating relationship of self-awareness on supervisor burnout and workgroup Civility and Psychological Safety: A multilevel path analysis	Burnout Research
Conn, Bali, and Akers	2016	Multi-professional clinical leadership training in healthcare A peer-led evaluation of the experience and benefits of the "Darzi Fellowship"	International Journal of Public Leadership
AL Zaabi, Ahmad, and Hossan	2016	Authentic leadership, work engagement and Organisational citizenship behaviours in petroleum company	International Journal of Productivity and Performance Management
Coxen, van der Vaart, and Stander	2016	Authentic leadership and organisational citizenship behaviour in the public health care sector: The role of workplace trust	SA Journal of Industrial Psychology

Commodore, Freeman, Gasman, and Carter	2016	How it's done: The role of mentoring and advice in preparing the next generation of historically Black college and university presidents	Education Sciences
Abuzid and Abbas	2016	Role of self-efficacy beliefs and its relationship with emotional intelligence to developing leadership capabilities	International Journal of Applied Business and Economic Research
van Droffelaar and Jacobs	2017	The role of wilderness experiences in leaders' development toward authentic leadership	Leadership and Organisations Development Journal
Duncan, Green, Gergen, and Ecung	2017	Authentic leadership--is it more than emotional intelligence?	Administrative Issues Journal: Education, Practice and Research
Semedo, Coelho, and Ribeiro	2017	Authentic leadership and creativity: The mediating role of happiness	International Journal of Organisational Analysis
Baral	2017	Role of emotional intelligence to handle conflicts and team building: An analytical study	Splint International Journal of Professionals
Dartey-Baah and Mekpor	2017	The leaders' emotional intelligence	African Journal of Economic and Management Studies
van Breukelen and Sips	2017	Leaders' self-evaluations and their evaluations by superiors, peers and subordinates in the context of 360-degree feedback	Gedrag and Organisatie
Landesz	2018	Authentic leadership and Machiavellianism in young global leadership	ISM Journal of International Business
Marieta and Boshoff	2018	The role of psychological capital in the relationship between authentic leadership and work engagement	SA Journal of Human Resource Management
Semedo, Coelho, and Ribeiro	2018	The relationship between authentic leaders and employees' creativity	International Journal of Workplace Health Management

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Analysing maritime employment through the lens of career research and Human Resource Development

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Abstract

The purpose of this working paper is to explore maritime careers, focusing on contemporary career research debates, while also investigating potential HRD implications. With the emergence of extensive literature focuses which suggest numerous limitations in relation to the conceptual building blocks of career models, such limitations pose a number of challenges, particularly for idiosyncratic careers such as the maritime sector. This paper therefore applies these debates to maritime contexts in order to determine their relevance and identify how HRD considerations can play a role in addressing the aforementioned conceptual shortfalls. Career concepts are discussed, placing a key emphasis on career identity, as the proposed conceptual limitations associated with career research centres extensively on an inability to consider the complex and multifaceted nature of an employee's experience as they transition the various stages of their career journeys. Talent development focal points and the potential role they play in self-constructed identities and career experiences are discussed, providing HRD considerations. The paper briefly investigates the proposed "diametric" relationship between career and talent development, and how such a relationship can potentially influence career and professional identities. Finally, the paper combines career and talent development with maritime specific considerations, while also presenting specific HRD implications.

Keywords: Careers; Maritime; Career Boundaries; Identity; Talent; Development

1. Introduction

As career and professional identities become more subjective and self-directed in nature, idiosyncratic careers such as those experienced within the maritime sector are likely to encounter similar perspective transitions (Gubler et al., 2013; Rodrigues et al., 2016; Tomlinson et al., 2018). While 90% of global transportable trade is completed by the maritime transport industry, with a global workforce equating to circa 1.65 million employees (BIMCO 2015; IMO 2012), the sector continues to receive limited research focuses in the context of HRD (Human Resource Development). This working paper therefore sets out to investigate and review the prominence of such career theory transitions, making use of CD (Career Development) and TD (Talent Development) perspectives to review their HRD implications, and present novel contextual considerations from the maritime sector. The paper is therefore structured as follows. Firstly, career concepts are discussed, presenting contemporary career debates in relation to proposed theoretical shortcomings and their prominence within the maritime sector. Career identity concepts are reviewed, discussing the proposed increased prevalence of subjective non-organisational career and professional identities, and how idiosyncratic careers such as the maritime are proposed to be associated with increased subjective identity construction. Secondly, TD and its proposed relevance to CD is discussed, presenting how suggested varying perspectives between the concepts are resulting in a "diametric" relationship between the two (Garavan et al., 2012). The review briefly presents proposed rationales for aligning CD and TD perspectives, with a significant emphasis being placed on vertical development contexts. These perspectives are applied to the maritime sector, outlining potential challenges likely to be experienced within a traditional hierarchical industry, which focuses extensively on technical competency development, in an age where workers experience greater levels of subjective, self-constructed career identity and

experiences. Finally, in terms of the broader research focal points, the paper presents some proposed primary research methods and rationales for selection, while also discussing some preliminary review findings.

2. Theoretical Base

Dualities between bounded and boundaryless careers are heavily discussed and debated throughout the careers and HRD literature (Arthur, 1994; Currie et al., 2006; Clarke 2013; Kirk 2016; Rodrigues et al., 2016; Presti et al., 2018). Research suggests that bounded careers are associated with traditional organisational models linked with hierarchical reporting or progression, with boundaryless careers suggested to be “antonyms” of bounded models, transcending organisational hierarchy and spanning across multiple employers (Arthur, 1994). Additionally, extensive empirical investigative efforts have focused on career boundaries themselves, with research suggesting that examples of these boundaries include physical, temporal, emotional, and cognitive (Ashforth et al., 2000). While numerous sources cite Arthur (1994) and their early efforts to present debates on this matter, more recent discussions focus on the relevance of such dualities or need to distinguish between career models, with numerous sources suggesting that such a perspective is too simplistic within an area steeped in complexity (Briscoe and Hall, 2006; Gubler et al., 2013; Rodrigues et al., 2016; Tomlinson et al., 2018). This section therefore reviews contemporary debates in relation to career concepts, their prevalence within idiosyncratic careers such as the maritime, and presenting HRD considerations.

2.1 Career Concepts

Gubler et al. (2013) highlight a significant emergence of career research concepts throughout the last twenty years, citing the inception of multiple career theories throughout this period and presenting numerous suggested shortcomings within these concepts as a result of theorists applying a categorisation approach, and failing to recognise the complexity of perceptions and awareness. Furthermore, theorists suggest that the proposed bounded versus boundaryless perspective to be “*simplistic*” in nature as a result of the proposed subjective nature of the career boundaries themselves due to variability in attributes and perceptions between employees (Briscoe and Hall, 2006). Rodrigues et al. (2016) lend further support to the proposed subjective nature of boundaries, suggesting that current efforts to categorise boundaries and support their existence, do not take into account the complex and multifaceted nature not only of boundaries, but variability in perceptions and awareness within employees.

While evidence of direct career concepts within maritime literature would appear to be limited, trace elements of career research can be found. Barnett et al. (2006) presents maritime career frameworks which suggest the presence of two primary employment models; 1.) A traditional organisational type career similar to that described by Arthur (1994); 2.) A boundaryless type career in which employees experience career journeys which span multiple organisations and locations. With regards career boundaries, evidence of such focuses exist with research suggesting that a range of physical, psychological and mobility factors influence maritime career journeys (Barnett et al., 2006; Cahoon et al., 2014; Caesar et al., 2013; Caesar et al., 2015). However, research suggests that similar discussions highlighting the need to develop frameworks which recognise the proposed complexity of career concepts would appear to be present within the maritime context (Honore, 2010; Albert et al., 2016).

While defining or categorising career concepts within the industry may be a challenge, the idiosyncratic nature of employment has been widely acknowledged within the literature (Barnett et al., 2006; Cahoon et al., 2014; Caesar et al., 2015). Characteristics such as prolonged periods from home, working and socialising in confined and isolated places, perceived dangers associated with maritime employment, industry local knowledge, and a “*rite of passage*” type approach to entry and development all being cited as idiosyncratic components (Barnett et al., 2006; Cahoon et al., 2014). While career concept identification challenges may exist similar to those discussed within mainstream career literature,

identifying career stages and road mapping career developmental and advancement milestones are possible as a result of the hierarchical regulatory nature of the sector (Manuel, 2017; Ruggunan and Kanengoni, 2017; IMO, 2019). As the entry, developmental and advancement requirements and timelines are set by a global overarching regulatory body, each career stage and the necessary developmental and experiential steps required to reach a stage are clearly set out at a global level (Caesar et al., 2015; Manuel, 2017; Ruggunan and Kanengoni, 2017; IMO, 2019). While variances may occur within certain developmental and experiential stages, in theory a worker entering the maritime labour market within the deck officer career strand could advance to the pinnacle senior position of Master Mariner within 10 – 15 years from the point of entry (Caesar et al., 2015; Manuel, 2017; Ruggunan and Kanengoni, 2017; IMO, 2019). Merchant Navy deck officers could therefore in theory reach and remain in the position of Master for over thirty years, in effect reaching a career plateau within an early stage of the career lifecycle.

2.2 Career Identity

Research suggests that career identity concepts consist of the manner in which employees conceive or conceptualise themselves throughout the course of their career lifespan, and the various changes and evolutions which occur in perceptions (Bayerl et al., 2018). As career and employment models evolve to forms which are less secure and exhibit increased levels of dynamism and change, so too will perceptions in relation to career identity and self-construction (Bangali and Guichard, 2012; Bayerl et al., 2018; Sugiyam et al., 2018). Furthermore, contemporary theorists suggest that a transition in mainstream career identity mind-sets is taking place, proposing a shift in identity from traditional organisational/objective perceptions, to more self-directed construction or identification based on subjective perceptions and experiences (Obodaru, 2017; Bayerl et al., 2018). While numerous sources discuss and review these transitions through the lens of potential challenge (Bayerl et al., 2018; Sugiyam et al., 2018), theorists such as Baruch (2006) present potential opportunities, suggesting that such perspectives may alleviate certain workforce management obligations for employers. Additionally, more recent work completed by Tomlinson et al. (2018) criticises the proposed contemporary viewpoints of organisational hierarchical career identities versus individual career self-construction, highlighting a suggested need for organisations to consider both perspectives due to the complex multifaceted and multi-stakeholder dynamics associated with contemporary work. While the context of this research is career theory concepts as opposed to identity, Tomlinson et al. (2018) propose that organisations play such a significant role within an employee's development, that the assimilation of trace elements of the organisation's hierarchical model is simply unavoidable by the employee. Additionally, research suggests that in considering both organisational and subjective self-construction of professional and career identities, employers can gain a more collective perspective of subjective self-construction considerations and perspectives (Horton et al., 2014; Cohen and Duberley, 2015).

While empirical investigative efforts in relation to career identity would appear to be limited within the maritime sector, career research theorists have presented findings which suggest increased levels of career and personal identity synergies within idiosyncratic careers (Van Dick, 2001; Ashforth et al., 2008). Van Dick (2001) suggest that such synergies exist as a result of a proposed increased personal commitment required to undertake an idiosyncratic career. Such synergies may therefore suggest an additional layer of complexity when considering career identity within the maritime sector.

2.3 Talent Development

The study of careers in the context of talent has experienced significant attention, highlighting a proposed synergistic relationship between these concepts (Currie et al., 2006; Collings and Mellahi, 2009; Garavan et al., 2012; Mehdiabadi and Li, 2016; Kirk, 2016). Defillippi and Arthur (1994) present early examples of such focuses, discussing how organisations focus on the development of a number of identified key competencies when guiding and informing their

TD efforts. More recent work by Rezaei and Beyerlein (2018) lends support to the proposed synergies between career and TD, while also highlighting the need for such initiatives to consider and align both individual and organisational development. Additionally, DeVos and Dries (2013) suggest an alignment of interests, particularly within organisations that demonstrate elements of more traditional career models. Conversely from a research perspective, DeVos and Dries (2013) propose the existence of a certain "*diametric*" relationship between talent and career research. The source of this divergence is centred on the prevalence of focal shifts as career concepts are demonstrating more subjective individual employee perspectives, while the talent literature focuses and prioritises the organisational perspective and challenges – the attraction, development and retention of talented employees. Dries (2011) further supports the proposed diverging perspectives, citing current and future talent shortages as the primary driving force behind organisations managing CD through a collective lens. Garavan et al. (2012) highlight the need for alignment in talent and career development, citing the proposed need to develop key organisational competencies as organisations strive to achieve competitive advantage (Garavan et al., 2012; Mehdiabadi and Li, 2016). It is proposed that if development efforts focus primarily on technical competencies, they will merely address an employee's horizontal development specific to their current role and career life cycle stage. It is therefore proposed that a focus should also be placed on 'generic' competencies which address potential career advancement development components (Garavan et al., 2012; Mehdiabadi and Li 2016). Garavan et al. (2012) suggest that such competencies are contextual in nature depending on the organisation and industry, and can include skills such as problem solving, analytical skills, communication, and team work. Although the research highlights certain ambiguities, the prominence of development opportunities, and competency based development in the context of talent cited by Garavan et al. (2012), at the very least suggest a prevalence of such considerations within the careers research context. While the presented suggested overlap of interest addresses a potential link between TD and CD, the horizontal developmental nature of competency focuses do not address the career transitions of such efforts whether it be in the context of forward or upward trajectory. Efforts have been made to address such transitions in the context of MLD, in which the focus is very much on 'vertical' progression, Peters et al. (2011), however research suggests that the current literature fails to address the complex and multifaceted nature of such transitions (Matzler et al., 2015; Zeng and Muir, 2015). As vertical or linear progression can be associated with generic competencies which are suggested to be contextual in nature, focusing on TD through a CD lens may provide the necessary insights to progress vertical development theoretical standpoints.

Similarly to career theory concepts, research suggests a prevalence of perception and self-identity construction in relation to talent management and development within organisations (Blau, 1964; Dries and De Gieter, 2014; Sonnenberg et al., 2014; Mensah, 2018; Sherman and Morley, 2018). Traditional sources such as Blau (1964) and more recent work completed by Mensah (2018) suggest that origins of such perceptions can be attributed with psychological contract and social expectancy theories, in which employees develop perceptions in relation to their place within an organisation and how they are valued relative to the experienced TD frameworks. Furthermore, Sonnenberg et al. (2014) present findings which suggest that the presence of incongruences will further contribute to the development of self-directed construction which can pose a number of challenges in relation to engagement and retention. While these sources do not make direct references to CD or identity theories, the presence of identity and self-constructed perceptions suggest a potential common theme which continues to be approached from varying perspectives.

From a maritime perspective, a limited empirical focus on TD and CD poses a number of challenges in presenting definitive evidence, however trace elements do exist within the literature which offer certain insights. In terms of prioritisation of competency development, from an industry regulatory standpoint, the research suggests that horizontal competencies are the primary focal point from a developmental perspective, in which the resultant factors are linear career advancement to a certain point (Barnett et al., 2006; Caesar et al., 2015; Manuel, 2017; Ruggunan and Kanengoni, 2017; IMO, 2019). The overarching global

regulatory bodies clearly present a framework which suggests that upon completion of specific developmental initiatives which focus on the development of technical competencies, merchant navy deck officers will advance to clearly defined career stages. However, empirically, a small body of literature suggests that the current competency based approach of maritime learning and CD to be 'narrow' in focus, aligning itself solely with industry regulatory standards, and focusing specifically on technical competency development (Manuel, 2017). Ruggunan and Kanengoni (2017) suggest a prevalence of technical competency development, while also highlighting CD challenges in relation to retention, as findings from their study suggest that nearly 78% of participants within the merchant navy deck officer career strand do not anticipate a seagoing career which will be any longer than 10 – 15 years in duration from the point of entry. Although this study focused on a very specific geographical data pool, numerous other sources cite challenges in relation to long term commitment and retention within the workforce (Bhattacharya, 2014; Caesar et al., 2015; Papachristou et al., 2015). Furthermore, Caesar et al. (2015) suggest a prevalence of seagoing career plateaus for deck officers, suggesting that maritime professionals reach career pinnacles during early career life stages which can further add to engagement and retention challenges. Such challenges may also be as a result of the proposed increased levels of personal identity associated with idiosyncratic career types due to the increased personal commitments associated with them (Van Dick, 2001; Ashforth et al., 2008). Additionally, as the maritime literature proposes a significant emphasis on technical competency or horizontal development, the absence of generic or vertical progression development pose a number of questions in relation to how workers within these career tracks self-construct career identities.

3. Methodology

This working paper presents some of the early stage focal points and review findings of a broader career research effort, and as a result methodological approaches are still under development. The research focal points proposes to investigate areas which will seek to gather a certain depth of knowledge in relation to the respondents self-constructed perspectives. Furthermore, the research sets out to address novel industry and theoretical concepts which have received limited empirical investigative efforts. It is therefore intended to make use of inductive or qualitative research methods in order to gather the necessary depth of knowledge to present self-constructed identity findings.

In terms of specific methodologies, Bryman and Bell (2011) suggest that the flexibility associated with semi structured interviews assist the researcher not only in effectively answering the research question, but also in discovering depth or knowledge not considered previously by the researcher. Additionally, Bayerl et al. (2018) suggest that the 20 statement test is a validated measure by which to investigate and present self-description findings, with an inductive content analytic approach being proposed as an effective means to analyse the data. It is therefore proposed to develop data collection methods based around these qualitative approaches.

With regards sampling methods, research suggests that purposive sampling, a method which features significantly in qualitative research, is concerned with the strategic selection of those being sampled in order to ensure that the data collected is relevant to the research (Bryman and Bell, 2011). A purposive sampling method will therefore be applied in order to strategically target the relevant respondents in which career identity perspectives will be gathered, focusing on respondents from the various CD stages including:

- New entrants to the labour market
- Junior Deck Officers who have recently completed their training
- Deck Officers returning to complete CPD for career advancement
- Early stage Master Mariners
- Established Master Mariners within the sector

4. Discussion

While specific maritime career research efforts appear to be somewhat limited, the cited unique employment characteristics of isolation, nature of work, and level of personal commitment would all appear to support the proposed idiosyncratic nature of maritime careers. Although not directly cited within the literature, the research suggests a prevalence of traditional organisational and boundaryless careers within the sector. However, while some workers may experience more mobility than others, the prescriptive nature in which the industry governs entry and developmental stages would suggest a career type and employment model which is more hierarchical and traditional in nature as regardless of the organisation, all merchant navy deck officers must fulfil certain fixed mainstream criteria before they can advance to their next career stage.

With career research focuses shifting from fixed objective organisational to more subjective and self-directed perspectives, industries or organisations which adopt hierarchical or traditional organisational perspectives are likely to experience challenges as workers become more self-directed in their approach to identity development. The maritime literature, albeit limited lends support to this proposed challenge. As an industry which is hierarchical in nature by virtue of global governance systems, which involves idiosyncratic employment models resulting in potential increased levels of personal commitment from the workforce, these unique contextual dynamics present an opportunity to review and investigate how traditional hierarchical organisations and industries are effected by subjective career identity development. The industry itself also provides novel contextual career identity perspectives, particularly in relation to those fulfilling Master Mariner roles. Having experienced 10 – 15 years of prescriptive development and hierarchical advancement, Master Mariners can reach career pinnacles at early life stages, potentially remaining within those roles for over thirty years or the majority of their working life. The retention and engagement challenges suggested to exist throughout these periods may offer some explanation in this regard.

The research suggests that TD priorities within the maritime sector focus primarily on horizontal or technical competency development. While the industry employment frameworks may be hierarchical or indeed vertical in nature, the prominence of horizontal development would suggest that the development priorities at the various career stages are to develop the technical competencies associated with specific roles. Furthermore, the cited "*rite of passage*" approaches to development, and fixed time periods at each career stage suggest that the focus is very much on ensuring that a worker has attained the necessary knowledge, skills and attributes for a specific stage, while not necessarily experiencing vertical development or indeed preparation.

From a theoretical perspective, the proposed need to focus on "generic" or context specific competencies may offer a solution in addressing the "diametric" relationship between TD and CD. In focusing on development which transcends horizontal development and also prepares an employee for their next role, such a perspective could present an opportunity to align TD and CD focuses. Furthermore, such a perspective would by its very nature be dynamic and adaptive as it would take into account the objective and subjective development considerations of employees and may also contribute in addressing the proposed simplicity of approaching CD in either objective organisational or subjective non-organisational terms. While a focus on the maritime sector cannot necessarily address this concept in its entirety, the novel and somewhat fixed hierarchical domain in which the maritime sector operates within can at the very least contribute to career identity self-construction considerations. Furthermore, it may also offer insights which could align certain TD and CD perspectives, and potentially develop more dynamic and adaptive employment frameworks which could be applied in a multitude of contexts.

5. HRD Implications

In broad terms, the increased prominence of awareness, subjective perceptions and self-constructed identities pose a number of implications for HRD theorists. Although this research presents a snapshot of CD and TD literature, the increased focuses on subjective

considerations such as career boundary perceptions, self-constructed identity and social expectancy theories in TD suggest that while the literature highlights diverging priorities, both CD and TD are focusing more and more on subjective perceptions based on what employees experience throughout their careers. Although this area would benefit from additional research, the alignment of CD and TD perspectives may offer opportunities to address some of these challenges.

In terms of career models, the proposed limitations in relation to labelling careers in either organisational or non-organisational terms suggests that HRD perspectives will need to become more flexible and dynamic as employees perceive themselves less in organisational terms. Proposals such as those outlined by Tomlinson et al. (2018) which suggest that workers will develop both objective organisational identity and subjective perceptions highlight a need for HRD theorists to adopt more dynamic career frameworks. The maritime literature lends support to this proposal, suggesting a need for more dynamic career management approaches which consider the idiosyncratic employment characteristics of the industry.

The proposed limitations of career models and increased prevalence of subjective construction developments pose a number of novel and unique HRD considerations for the maritime sector. The proposed unavoidable development and progression hierarchies associated with maritime employment, and the outlined greater prevalence of self-constructed identities associated with idiosyncratic careers would suggest the presence of a workforce which is seeking subjective career identity experiences, while being managed by an objective hierarchical framework. Such diverging perspectives have the potential to pose numerous human capital development and retention challenges.

The proposed prevalence of technical competency development and fixed entry and advancement points within the maritime sector suggests that Human Capital development efforts focus primarily on horizontal development. While the maritime specific research suggests that employees will experience organisational hierarchical or more mobile flexible type careers depending on the sectoral component in which they are employed within, the overarching industry governance will in essence dictate development focal points and career advancement milestones.

6. Conclusions

This working paper aims to apply HRD perspectives to career and maritime literature with a view to present maritime career models, characteristics and TD considerations which may influence CD. The proposed prominence of perceptions and self-constructed identities and expectations cited throughout the CD and TD literature, two workforce management concepts with proposed diverging perspectives, reinforces the proposed significant influence in which these subjective experiences can have on workforce management. In the context of maritime, given the apparent idiosyncratic nature of employment, the research suggests that such subjective perceptions and expectation developments are likely to be a significant factor and indeed challenge, regardless of the traditional, hierarchical manner in which HRD is governed by overarching industry regulatory factors. As such, the maritime sector provides a novel context in which to investigate a contemporary HRD challenge as organisations are limited by the manner in which they can adapt CD and TD initiatives.

The proposed need to develop more dynamic CD and TD frameworks which go beyond horizontal or technical competency development could provide a mechanism through which the proposed "*diametric*" relationship could become more synergistic in nature. Such alignment could be achieved by ensuring that HRD initiatives consider competencies which set out to address vertical development as well as horizontal. In the context of maritime, in a HRD seascape which focuses primarily on horizontal technical competency development in order to achieve linear career progression, there is potential to identify and capture novel HRD insights.

7. References

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A Critiquing of masculinity leadership syndrome in African organisations: A lens from kitchen to the palace

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Abstract

Leadership is simply defined as, "a process whereby an individual influences a group of individuals to achieve a common goal." (Northouse, 2016). This simply explains why the analysis of leadership should neither be taken to mean trait nor behaviour since it involves some deliberate efforts or processes that could be followed to command and propels the influence of others. This paper is an examination and critiquing of the masculinity leadership syndrome in African organisations where by traditions, which Africa and Africans perceived leadership as mainly the affairs of the men folks in which the women are alienated; hence the delineation of the roles of women in the Kitchen while the men have to sit at the palaces to make decisions on rulership and governance and that man is greatly chosen by nature to lead and govern his environment. This they strongly believed in the "Great Man Leadership Theory" Popularized by Carlyle (1940). Africans believed that leadership is an exclusive reserve of the great men and not great women. This age long dogma has adversely retarded the development of creative and innovative skills and abilities of women in most African private and public organisations. We therefore attempted a critiquing of the dogma and fused in a debate that advocates for leadership inclusiveness that will tap-in the reservoir of Human Resource endowments in various African organisations for sustainable development.

Keywords: Leadership, Biases, Organisations, Power, Inclusion, Africa.

1. Introduction

The term "Leadership" is a broad concept that has been given different meanings by different scholars and practitioners. In everyday usage, the term permeates our human activities, organisations and other social settings. Organisations have leaders that pilot the affairs with the aim of achieving specified goals and objectives. Groups and sub-groups within the organisations have their leaders. Communities have their leaders, labour unions, political groups, market women associations, students' associations all have their leaders with whom, authority and power is vested on them to direct the lead the members toward achieving predetermined goals and these goals may or may not be Organisational. Hence could sometimes be individual oriented goals which the leader may sometimes impose on the members. This is however dependent on the type of leadership style being applied. Leadership therefore involves working with and through people to accomplish specific goals which sometimes may not necessarily be Organisational goals (Umoh, 2002). All that is required for the leadership function is the possession of some competencies. These competencies include, technical skills, conceptual skills, human skills, motivation skills, creativity skills, endowment of wisdom as this list is inexhaustible. This therefore follows why most scholars have defined the term as the process of influencing the activities of individual or a group in efforts toward goal achievement in given situation. From this definition it means that the leadership process is a function of the leader, the followers and other situational variables (Blanchard, 1972; Umoh, 2002).

From the basic and fundamental analysis, there merge, some critical questions that are germane to this study. Frist and foremost, one would ask, do the leadership competencies outlined above suggest any exclusivity in their natural endowments to men or that the men may be more robustly endowed them the females? Would a woman be less creative, less

skilful or less technically sound than a man due to gender disposition? These few questions enable us to address our context of masculinity leadership syndrome in the African organisations. Having earlier defined, leadership, it is important to define the term "masculinity" in the light of this paper. "Masculinity" which is also called manhood or manliness is a set of attributes, behaviours, and roles associated with boys and men. As a social construct, it is distinct from the definition of the male biological sex. Standards of manliness or masculinity vary across different cultures and historical periods. Both males and females can exhibit masculine traits and behaviour. So also, they can equally exhibit feminine traits or behaviour.

Traits that are commonly and traditionally viewed as masculine from the African continuum which are akin to the general beliefs in the Eastern and Western societies include strength, courage, independence, leadership, violence, and assertiveness. While in the African context overarching emphasis is placed on the exclusivity of leadership for the manhood. Similarly, "Machismo" is a form of masculinity that emphasizes **power** and is often associated with a disregard for consequences and responsibility thereby stressing the virility of manliness. The term 'Virility' which originates from the Latin word '*vir*', "man") is similar to masculinity, but especially emphasizes strength, energy, and sex drive. These common features and or characteristics drive the total manliness attributes of the African management world which negatively interpose the medieval and modern management system in African organisations.

Therefore, the term "masculinity leadership" is a system of leadership that reposes leadership position exclusively on the male folks to which the female is and should be subordinated to the man's authority and dictates. As is most commonly found within the African Organisational systems that are mostly influenced by African cultural norms. Masculinity leadership does not foster leadership inclusiveness and therefore is completely patriarchal and kleptocratic. Hence is discussing the ensuing debate of this paper, diversity and inclusiveness are essential variables that demand conceptual clarifications.

There is a big difference between diversity and inclusiveness. Diversity is about counting the numbers. Inclusiveness is about making the numbers count. Whether it is about individuals or companies or countries, the conversation has to shift from talking about whether diversity affects performance to talking about the conditions under which you'd expect diversity to have a positive effect on performance" (Groysberg, 2013). Women make up half of the human resources available to any country. If that half is not being channelled into the economy and not being made part of decision-making processes, then that country's economic potential is bound to suffer, by losing 50% of its capacity. As business leaders and policy-makers seek to navigate their way through the current economic crisis, they need the aggregate talents of both women and men more than ever to come up with the best solutions; (Zahidi, 2012; Patel and Buiting, 2013). Hence the thrust of this present research effort is to present a scholarly "critiquing of masculinity leadership syndrome in African organisations using analytical and logical lens of critique from African traditional Organisational settings to modern Organisational system viewing activities from the kitchen to the palace of broader Organisational context.

1.1 Paper's importance

The importance of this paper is based on the fact that: The role of women in African political and economic development is crucial as gender discriminations have hindered the growth of so many economies of the African continent. Leadership inclusiveness is an important parameter for building a strong and vibrant economy of any region in the world. The paper is important because few of the women leaders in African organisations have proved their capabilities in most of their areas of specializations over time, and there is need to balance the gender disparity gap that is currently limiting growth of human capital index in Africa. This paper is presenting scholarly position on the need to bridge the gap.

1.2 Research purpose

The research purpose includes:

- To determine the barriers to women leadership in African organisations
- To determine the influence of gender discrimination on women leadership participation in African organisations
- To critically determine the impact of masculinity leadership on heterogeneous employees' performance in African organisations
- To ascertain how the men-men leadership syndrome in African organisations can be eradicated

1.3 Research questions

We are being confronted by the following research questions;

- What are the barriers to women leadership in African organisations?
- What are the major influence of gender discriminations on women leadership participation in African organisations?
- What are the impact of masculinity leadership on heterogeneous employees' performance in African organisations?
- How can the men-men leadership syndrome in African organisations be eradicated?

2. Review of related literature

2.1. Theoretical base

The theoretical underpinning for this study is based on the "*Great Man Leadership Theory*" Popularized by Carlyle (1940). the Central thesis of the theory is that, Great leaders are God-gifted, not man-made" This portrays the view of the Great Man Theory of Leadership, in such dimensions that it relates to the fact that leadership traits are inbuilt. In other words, there is a binary answer to the question of knowing whether you are a leader or not, meaning that you were either born as a great leader or not! Factors such as your up-bringing, education, experiences are only modelling your leadership abilities; they aren't responsible for making you a leader. The Great Man Theory of Leadership became very popular in the 19th century when it was formulated mainly and used for analysing the behaviours of mainly military figures of the time. In the 1800s, authoritative positions were held solely by men and were typically passed on from father to son.

Africans believed that leadership is an exclusive reserve of the great men and not great women. We fussed our argument by advocating for the application of transformational leadership style in African organisations.

The concepts of transformational leadership were brought to prominence by political sociologist James MacGregor Burns, in the late 1970s. Burns identified two types of leadership,

- *Transactional*: where a leader influences others by what they offer in exchange, the transaction;
- *Transformational*: where a leader connects with followers in such a way that it raises the level of motivation and morality.

Those two words – motivation and morality – are important, as it demands that transformational leaders be committed to a collective good. This may be a societal good, such as starting a community centre or improving air quality, or a more personalized good, such as helping direct reports reach their own potential. This is all encompassing irrespective of gender or race.

2.2. An Overview of Women in Political Leadership in Pre-colonial and Post-colonial Nigeria

Before the advent of modern politics in Nigeria, which started with political activism in the build-up to independence, and matured in 1960 at independence, Nigerians had not been without political leadership. Traditional political structures had always existed and through them, the people had always got political leadership. In the centralized states, among the Hausa and Yoruba, the women's place in political leadership was prominent. Similarly, in some decentralized societies, especially among the Igbo of South-East Nigeria, the women also had a place in politics (Adoko 2012 cited in Ukpata and Onyeukwu, 2014). Some of these positions of women in the traditional political leadership are shown in the table below.

Table 1: Names of Women in Political Leadership in Pre-colonial Nigeria

S/N	Name of Leader/Ruler	Town or Village	Local Govt. Area	State	Type of Rulership	Pre-colonial Era or days	Post-colonial Era or days
1	Luwo Gbadiaya	Ife	Ife Central	Osun	Oni of Ife	Pre-colonial	None to date
2	Iyayun	Oyo	Oyo	Oyo	Alaafin	Pre-colonial	None to date
3	Orompoto	Oyo	Oyo	Oyo	Alaafin	Pre-colonial	None to date
4	Jomijomi	Oyo	Oyo	Oyo	Alaafin	Pre-colonial	None to date
5	Jepojepo	Oyo	Oyo	Oyo	Alaafin	Pre-colonial	None to date
6	Queen Amina	Zauzau	Zaria	Kaduna	Emir	Pre-colonial	None to date
7	Daura	Daura	Daura Emirate	Katsina	Queen	Pre-colonial	None to date
8	Kofono	Daura	Daura Emirate	Katsina	Queen	Pre-colonial	None to date
9	Eye-Moin	Akure	Akure	Ondo	Regent / Monarch	Pre-colonial (1705-1735 AD)	None to date
10	Ayo-Ero	Akure	Akure	Ondo	Regent / Monarch	Pre-colonial (1850-1851 AD)	None to date
11	Gulffano	Daura	Daura Emirate	Katsina	Queen	Pre-colonial	None to date
12	Yawano	Daura	Daura Emirate	Katsina	Queen	Pre-colonial	None to date
13	Yakania	Daura	Daura Emirate	Katsina	Queen	Pre-colonial	None to date
14	Walsam	Daura	Daura Emirate	Katsina	Queen	Pre-colonial	None to date
15	Cadar	Daura	Daura Emirate	Katsina	Queen	Pre-colonial	None to date
16	Agagri	Daura	Daura Emirate	Katsina	Queen	Pre-colonial	None to date
17	Queen Kanbasa	Bonny	Bonny	Rivers	Queen	Pre-colonial	None to date

SOURCE: Adapted from Olasupo, F.A. 2006; cited in Adoko, O. E. (2012), in Ukpata and Onyeukwu 2014). *Empowering Women in Agri-Business and Agri-Preneurship: The Dialectics of Socio-cultural Impediments on Economic Development in Nigeria. European Journal of Business and Management*

From the overview of the women participation in political leadership in Nigeria from the pre-colonial era to the present day political system, it is obvious that women were more recognized in political leadership during the pre-colonial time than what was in practice during the colonial period to this present day traditional leadership structures. Even at the pre-colonial period traditional political power sharing between men and women was only

noticeable in five (5) states of the federation – Osun, Ondo, Oyo, Katsina, Kaduna and Rivers states respectively. Whereas, women involvement in political power seems not to be a norm in other heterogeneous cultural settings in Nigeria.

However, according to Okonjo (1988), among the Igbo, the power of women is reflected in the dual traditional system. A political structure that was equivalent or parallel to those of men existed for women. The villages and towns were ruled jointly by the Obi (the, male ruler or chief) the Omu (the female equivalent of the Obi). The Omu was not the wife of the Obi or related to him in any way. The Omu ruled in conjunction with the Obi (Okonkwo 1975). There seems to be a clear division of functions between them and none is superior to the other. The Omu ruled the women while the Obi ruled the men (Adereoti 2007). Ukpata and Onyeukwu 2014 presented a debate that centred around the hypothesis that whether the existence of women traditional rulers in the pre-colonial era represents a fair recognition of women development and empowerment in social, political and economic matters amongst multicultural ethnic cleavages in Nigeria. In another hand; whether it is a patchy selected window-dressed representation of few ethnic origins as majority having the political and economic power? At whatever angle taken on the debate it is conjectural and need empirical validation.¹

2.3. Masculinity versus Femininity Leadership in Africa

The "*Great Man Leadership Theory*" Popularized by Carlyle (1940). The Central thesis of the theory is that, Great leaders are God-gifted, not man-made" This portrays the view of the Great Man Theory of Leadership, in such dimensions that it relates to the fact that leadership traits are inbuilt. This theory became popular in 19th century when the mythology behind some of the most famous world leaders formed the nucleus and basis of theoretical conceptualization. Some of such leaders includes, Abraham Lincoln, Julius Caesar, Mahatma Gandhi, and Alexander the Great. The theoretical proposition helped by contributing to the notion that the great leaders are born and not made. (Cherry, 2018). This position implies therefore that human intellectual capabilities and skills for performance in any specific duty is an exclusive reserve of some individuals who are naturally and divinely born great. However, viewing the "theory of multiple intelligence" propounded by Gardner, (1983) cited in Cherry, (2018) posits that, all people irrespective of gender, have different kind of intelligences.

The position of the Great man leadership theory most perhaps laid the foundation for the Masculinity leadership system in the African continent. In most African countries, Jobs that are usually labour intensive are considered as men jobs so also issues of leadership. It is a popular tradition in Africa that women should have their authority stamped in the kitchen and not in the leadership position such as Palace where critical decisions are made about governance and leadership. In fact, in some cultures in Africa for instance, women are prohibited to engaging in occupations such as, Armed forces or military, Police force, Airforce, Navy, and jobs like Engineering, Security services, etc. Some cultures also prohibit women from going to schools claiming that women are meant to be given out in marriage and are for procreation of children. While when it comes to critical decision making in some of the cultures, men usually gathered in the town halls to make such decisions and then transmit same to the women group who are bound by such decisions. In fact in the African traditional Organisations, such as Kingdoms and chiefdoms, women are never allowed to form part of cabinet of the king and therefore have nothing to say about what rules have been promulgated to govern the subjects in the kingdom. *Few of the kingdoms in the Nigeria however have different set up prior to colonial administration where women were made to sit on the thrones as Queens, (Alafins in Yoruba land).*

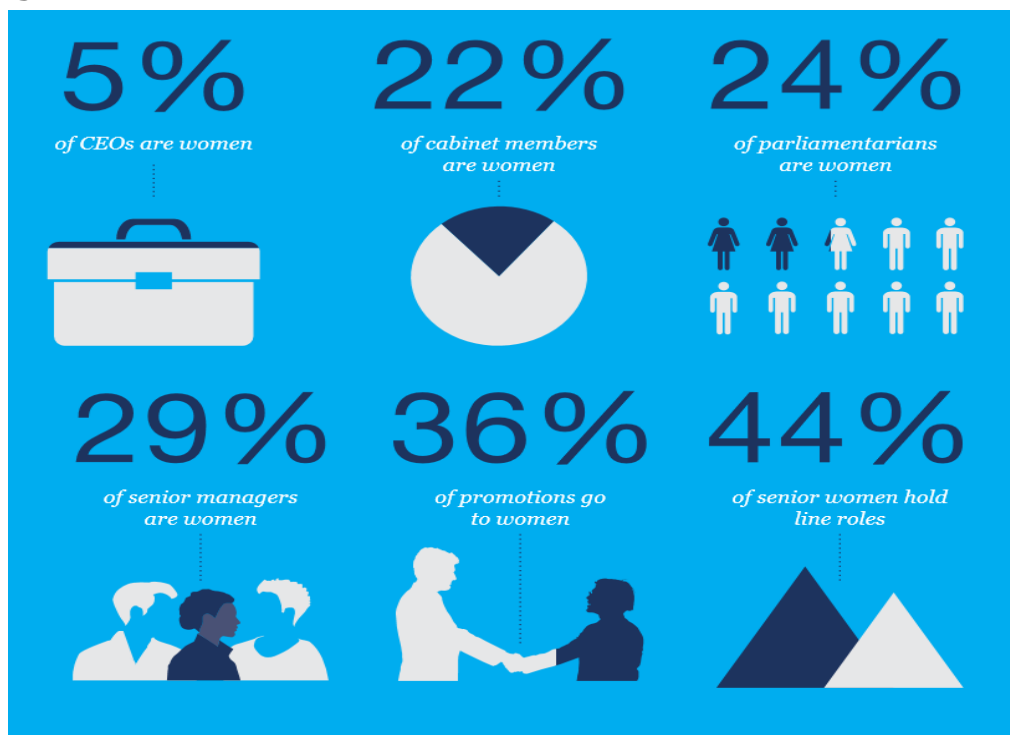
2.4. Feminist Leadership Roles in Modern day Africa

Recent development has shown significant improvement in the old African tradition of men-men- leadership syndrome in almost every organisations. According to Omarjee, (2016), From South Africa, Johannesburg – There is a business case to have women in leadership.

According to the McKinsey and Company Women Matter Africa report, released recently, there is a link between companies which perform better financially and that have gender diversity.

The report shows that in the past 10 years Africa has made progress in terms of gender diversity in leadership. However, only 5% of CEOs in the private sector in Africa are women, compared to 4% globally. This indicates that achieving gender equality is still an issue, according to Lohini Moodley, partner at McKinsey cited in (Omarjee, 2016). However, in terms of gender diversity, one of the key findings is that we in Africa are doing well compared to the rest of the world and we have made progress but we are not making the most of the opportunity, as explained by Moodley. Organisations (2016) with a greater share of women on their boards tend to have higher operating margins, return on equity, and total return to shareholders. The report also found that Earnings Before Interest and Taxes (EBIT) for companies with at least a quarter share of women on boards was on average 20% higher than the industry average. (Omarjee, 2016). Furthermore, when more women are involved in decision making, the dynamics of how a decision is reached are different, (Holt 2017), partner at McKinsey. Research shows that 70% to 80% of global consumption is influenced by women. Having more women in the decision making process can help organisations relate to customers better. Empirical findings equally showed that female representation also varies by industry. Representation of women in industries traditionally dominated by men are lower. "Historically, few women studied in these areas... the pipeline of women is smaller than men than in other areas," Moodley (2015 in (Omarjee, 2016).

Figure 1: A comparative Analysis of Women CEOs and other senior Level in African Organisations

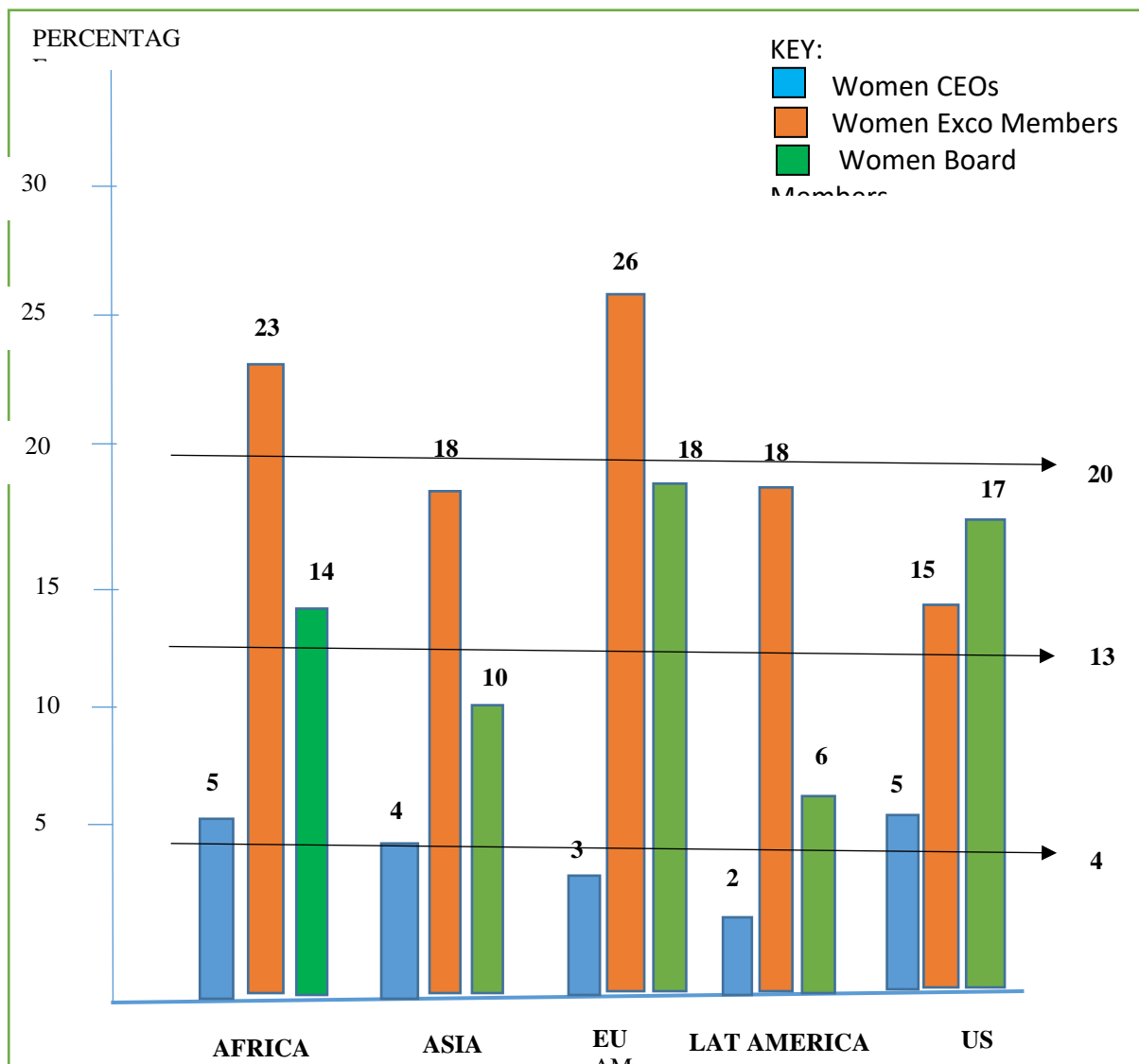


Source: Omarjee (2016). Only 5% of CEOs in Africa are women – McKinsey. www.fin24.com retrieved, 29, April, 2018.

Although there are more women in leadership positions, women do not necessarily have more power. In the private sector, more than half of senior women occupy staff roles, which take a support function in business, including communications, human resources, legal and corporate social responsibility. In government the equivalent would be roles in social

welfare, with limited political influence, added Holt. "We need to look at the roles of women to allow them to reach higher levels," she said. (Moodley, 2015).

Figure 2: A comparative Analysis Women Representation at Senior Management level in private Sector Companies Worldwide



1. Africa: all listed companies in South Africa, Nigeria, Kenya, Botswana, Ghana, Cote d’vore, USA, Fortune 500 companies 2014, EU. Top 613 EU-28 companies, South Korea, China, India, Japan, Latin America, Honduras, Nicaragua, Panama, Costa Rica, B Salvador, Argentina, Chile, Bolivia, Peru, Ecuador, Colombia, Venezuela, Guyana, Suriname, Paraguay, Uruguay Mexico.

Source: ADB, where are the Women? Inclusive Boardrooms in Africa’s Top listed companies, 2014; Otis Database 2014; Catalyst 2014; EC Gender Balance on Corporate Board 201; Fin24.com 2019.

In the companies surveyed, statistics in Africa show that 56% of female senior managers hold staff roles. A substantial pay gap between men and women holding senior positions in private sector companies still exists. In South Africa, women board members earn 17% less than their male counterparts. At executive committee level, African women hold 23% of positions, compared with a global average of 20%. At board level, African women hold 14% of seats compared with a global average of 13%. In the Southern Africa region, 20% of board positions are held by women, compared to the 14% average on the African continent. (Moodley, 2015; Omarjee, 2016).

Even though women in Africa are seen to be involved more as executive committee members, comparatively with what is obtainable in EU, and in most cases they function in sedentary roles, statistics have shown that less number of women are involved as Chief Executive Officers of Organisations in Africa. This is reflected by the 5% figure shown on figure 2 above. This therefore has no correlation with the total number of women population in Africa that is usually above the men population in all the countries in the continent. By this implication, men would continue to dominate most of the executive positions in African organisations. A case of the percentage number of women in parliament in Nigeria is presented below.

3. Methodology

This research being a working paper, is structured into two phases using a combination of qualitative and quantitative methods. Under the Phase I, a phenomenological contents analysis of extant literatures was adopted to extract concrete theoretical formation on the subject of our investigation. This was supported with a qualitative survey with the use of questionnaire to generate information from 50 female Organisational leaders selected from amongst high listed private companies and public sector organisations in Nigeria as a pilot test for the phase II of the research which shall basically be quantitative.

Under the phase II, a descriptive survey method shall be employed with the use of structure questionnaires that would be administered to senior female managerial leaders of private endogenous and international organisations that have their country offices in Nigeria. Such firms shall be drawn from Nigeria, Ghana, Cameroun, South Africa, Kenya, and cote d'voire respectively.

Table 3: Questionnaire Distributions

Category	No. Distributed	No. Returned	Percentage
Female CEOs	10	10	20
Female Board Members	15	15	30
Female Senior Managers	25	25	50
Total	50	50	100

Source: Field Survey (2019)

From the table 3 above, a total of 50 questionnaires were distributed to 100 women within the ranks of Female Senior Managers, Board members and Female Chief Executive Officers selected from within big private and public sector organisations to sample their opinions on the perception of women participation in leadership roles in Africa and to draw inspiration as to what constitute major barriers to women leadership generally. The analysis shows that 20% were distributed to Female CEOs, 30% to Female Board Members and 50% to Female Senior Managers respectively. All were filled and retrieved as indicated above.

4. Results and Discussion

Table 4: Perceptions of Respondents on Variables Affecting Women Leadership in African Organisations

Variable	Outcome determinant	Percentage Per Women Leadership Category		
		CEOs	Board Members	Senior Managers
What are the Barriers to women leadership in African Organisations?	1. Cultural Barriers	60%	56%	85%
	2. Religious Barrier	57%	67%	69%
	3. Low women education	82%	80%	55%
	4. Lack of confidence and courage	72%	77%	64%
	5. Lack of political will	80%	82%	67%
	6. Gender discrimination by men	85%	88%	94%
	7. Pull-down syndrome	56%	66%	70%
	8. Family background	68%	76%	90%
	9. Lack of support amongst women	89%	76%	55%
	10. Fear of failure	77%	88%	91%
Does gender discrimination affect your leadership ability negatively? (Yes=Y, No=N)		85% (Y) 15% (N)	64% (Y) 36% (N)	83%(Y) 17%(N)
Does Masculinity Leadership affect performance of heterogeneous workforce groups in African organisations? (Yes=N, No= N)		86% (Y) 14%(N)	71%(Y) 29%(N)	92%(Y) 8% (N)

Source: Field Survey (2019)

From the analysis of the results presented in table 4 above, respondents were asked to outline what constitute barriers to women leadership in African organisations. On Cultural barriers, 60% of CEOs listed cultural barriers while 56% of Board members and 85% of Senior Managers listed same. Similarly, 57%, 67% and 69% of CEOs, BMs, and SMs respectively listed religious barriers as one of the major barriers. On low women education 82%, 80% and 55% respectively attested to women low educational background as hindrance to women leadership participation. Other factors listed and highly rated by the respondents include:

- Lack of confidence and courage
- Lack of political will
- Gender discrimination by men
- Pull-down syndrome
- Family background
- Lack of support amongst women
- Fear of failure

Similarly, to determine whether gender discrimination affect the leadership abilities of the women executives surveyed, 85%, 64% and 83% said they were negatively affected while 15%, 36% and 17% respectively said they were positively affected. There is also a correlation on the perceptions of the women Executives interviewed on how Masculinity Leadership affect

performance of heterogeneous workforce groups in African organisations with result indicated by 86%, 71% and 92% of the CEOs, BMs and SMs respectively.

4.1 How to eradicate the men-men leadership syndrome in African organisations

From the result obtained from the field, both the female chief executive officers, Board members and the female senior managers interviewed all toed a common front on how men-men leadership syndrome in African organisations can be eradicated or eliminated. The respondents collectively outlined the following strategies as fundamental in reducing masculinity leadership and ensuring women inclusiveness in both private and public organisations.

1. Strong legislative instrument to ensure gender equality in Organisational management and power politics in Africa
2. Traditional leadership system cross African countries should advocate for women inclusion in their cabinet seats. Possibly fashioned in line with each country's parliamentary system. This will eliminate cultural barriers inherent in traditional governance system where women are used as second-fiddle merely for cooking food, servicing and entertaining guests in the palaces.
3. Companies registration bodies such as the Corporate Affairs Commission (CAC) in the case of Nigeria should make it mandatory for certain number of women to form part of the company's Board of Directors before such company can be licensed to operate as a legal entity.
4. Women should be given equal access to quality education in all countries of Africa. Regional legislation should be put in place to prohibits religious and cultural prohibitions of women of access to education
5. Constitutional reviews of African countries should make it mandatory for Men-Women ticket to all elective positions in their general elections to encourage compulsory participation of women in politics and governance.
6. Strong woman organisations should sensitize women all over the continent towards developing strong interest in leadership and politics.
7. African women leadership organisations should constantly and regularly come together in a forum to dialogue and provide training for its members on leadership and governance in Africa. Such forum should present a strong and virile women voice to be heard in African Union congress. Leadership of the AU and ECOWAS should advocate for women inclusion in their Executives.

These views expressed should be radically be looked into by recruiting and hiring employers if they want to maintain global competitive edge. As success start with hiring the right kind of staff. In the same line of thinking, employees from disadvantaged backgrounds tend to be neglected when it comes to promotions as well (Lau Chin, 2010; Groysberg and Connolly, 2013), which implies that diversity also needs to be in focus when it comes to selecting which candidates should be included in the talent pool or promoted to key positions, as well as who should be eligible for developmental programs. Groysberg and Connolly (2013) suggest that representation is one factor that should not be used too lightly.

5. Implications for HRD practice

This study potent the following implications for Human Resource Development Practice globally and specifically to the African continent:

1. There is a global shift from gender stereotype to workforce inclusiveness that which this paper seeks to address
2. More Women in leadership positions in African organisations are likely to make stronger impact in both political and economic development
3. There will be a level playing field that will encourage higher employee productivity as females will no longer play second-fiddle roles in their organisations.

4. Corporate governance will be more transparent and more of the women assuming leadership roles will break gender gap barriers
5. Religious organisations should encourage women participation in religious leadership as well as secular leadership. This should also include creating strong awareness for women inclusion in politics and governance.

6. Conclusions

Our debate presented in this paper aimed at reducing or even totally eradicating the age long dogma which has adversely retarded the development of creative and innovative skills and abilities of women in most African private and public organisations. As we therefore advocate for leadership inclusiveness that will tap-in the reservoir of Human Resource endowments in various African organisations for sustainable development, there will be greater economic and political recovery in the African continent. The debate in this study is therefore advocating for undistorted, non-racial, non-religious, and nonpartisan inclusiveness as a paradigm shift for African Organisational revolutions and transformation. This is a must to checkmate corruption pendulum and corrupt practices of narrow-minded men in the boards of our private and public organisations in Africa. This position is pointedly supported by Groysberg and Connolly, (2013), that, diversity has been known to increase overall Organisational attractiveness, since it appeals to skilled workers from various social groups. It should be noted that in terms of employer branding advantages, it is how the potential recruits perceive the firm's diversity that counts (Garib, 2013; Allen et al., 2008). Therefore, inclusiveness should be adopted to halt the growth of masculinity.

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Jazzing up the classroom: Developing a critical pedagogy in M level teaching

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Abstract

The intended focus of this research is to explore the relationship between the teaching approach of a postgraduate module and the development of a critical pedagogy. The paper reports on the views of three academics reflecting on the development of a new module, two years into delivery. The focus of the paper is on the impact of using an alternative delivery model to attempt to generate a more transformational learning environment while developing students' approach to scholarship, research and writing. Key findings point to the notion of shock for both students and staff. In particular students found the change in teaching techniques to be a challenge. However, the anecdotal evidence seemed to suggest improved engagement culminating in improved results. The article therefore offers an opportunity for fellow academics to consider their approach to teaching and learning and whether such an adaptation would work for them, in their setting.

Keywords: critical pedagogy; postgraduate; business education

1. Introduction

A recurring theme for the past decade (and probably before that) has been how we can develop greater criticality in the teaching and learning process, in particular at postgraduate level. Perriton and Reynolds (2018) call on the critical management education community for more research into critical management education pedagogy if the classroom is to remain an important site for criticality. This call is in the context of structural changes in UK Higher Education (HE) acknowledging the impact of internationalisation on student cohorts. By critical management education Reynolds previously cites this as a concern for critical content i.e. the use of critical theorists in lectures and readings that require thinking and critical processes that Perriton and Reynolds (2018) refer to as *criticality expressed through classroom practice and educational design* (Perriton and Reynolds, 2018, p.49).

Giroux (1981, 1988) and Ellsworth (1989) support the idea of critical pedagogy and radical education. We follow Giroux's definition of classroom relationships that 'challenge, engage and question the form and substance of the learning process' (Giroux, 1983, p.202).

For some time academics have attempted to review and reflect on the notion of critical pedagogy across a range of curriculum areas. As far back as 2007 Lambert et al. (2007) called for a more critical exploration of concepts suggesting that the commodification of higher education was somewhat diluting the product. Subsequently McArthur (2010) considered the multi-faceted nature of critical pedagogy, while Bali (2014) discussed the complexities of implementing critical pedagogy in the classroom environment. More recently Menis (2017) focussed critical pedagogy with a broad range of students from non-traditional backgrounds. This article complements these and the many other articles focussing on the reflections of three academics who consider the attempt to develop a critical pedagogy within the teaching of one particular module on a postgraduate programme.

A foundation for these reflections can be found in the jazz metaphor. As cited in Dennis (2015, p.967) the jazz metaphor is no stranger to management education, and has been applied in areas such as leadership (Barrett, 2012, Newton, 2004); organisation improvisation (Kamoche et al., 2003), organisation theory (Lewin, 1998), strategic fit (Neilson, 1992) innovation and new product development (Moorman and Miner, 1998, Kamoche and Cunha, 2001), strategic marketing (Dennis and Macaulay, 2003) and social intrapreneurism (Grayson et al., 2014).

Concepts such as collaboration and trust, collegiate dialogue, innovation within boundaries and tradition, tolerance and supporting and sharing ideas can clearly link the practice of jazz and higher education (Dennis, 2015). Jazz brings together a sprawling diversity of styles and synthesis of cultures and traditions within a lifelong and continuous learning process, involving trial and error, risk taking and both harmony and conflict (Dennis 2015). The history of jazz is marked by an evolutionary approach which has the ability to merge different cultures and traditions to ensure continuity and development while constantly innovating (Gioia, 1998). In higher education, as with jazz, educators make choices within established curricula constraints but are relatively free to innovate and improvise to improve based on past experience. Like jazz higher education can be rooted in conformist or radical social ideas. Education like jazz involves practice, the blending of art and science and developing a 'voice' (Dennis 2015).

There are dangers of over-extending the metaphor. Educators often tend not to stray too much from tradition, are more tightly bound by structural and professional constraints and may not be collegiate or risk taking (Breault, 2006). While the jazz-business link metaphor can be over-extended it remains valid in examining and understanding the nature and complexity of Organisational improvisation (Kamoche et al., 2003; Dennis, 2015). This is a sound metaphor for what we hoped to achieve with the introduction of the new Master's research module.

The module has seen different academics come together with diverse backgrounds in and divergent approaches to conducting research but all with an enthusiasm for 'their' research. Our experience was that research was 'taught' in a 'how to' way which encouraged students to see research as something with a pattern to be followed to produce a uniform 'product'. This did not fit with 'our' experience of research where researchers develop different but equally valid approaches to gaining new knowledge. The module has been established, with a foundation in critical pedagogy, to embrace and bridge the approaches of different academics, and what they bring to research, merging academics and students into an evolving, innovative and creative research community, where different approaches and improvisation around the main requirement of writing a master's dissertation are accepted, encouraged and supported. This has entailed different people with different ideas working on the module at different times, changes in the numbers and diversity of the student cohorts and changes in the design and format of the module and assessment.

When we revalidated the Postgraduate Suite one of the challenging issues was how to engage students more to make them more research focused. Traditionally the programmes are populated significantly with international students who have experienced a traditional pedagogic approach and who are not perhaps as engaged with the research and literature as we may hope or expect.

The delivery of research methods had under the previous iterations of the programme been repositioned on a number of occasions to try to ensure that the students' developed the skills to succeed on the course but also to be able to successfully undertake the dissertation. Initially it had been attempted as a term 2 module delivered over a 10 week period and subsequently as a full block week at the commencement of term three. Over the 10 week period many students failed to connect with the content and the requirements of the dissertation, seeing the assignment, the research proposal, as a means to an end and not the start of the dissertation. The one week block did not give the students the opportunity to consider the ideas and methodological processes to fully inform their decisions and as such dissertations became rushed. As such under either delivery pattern it was a struggle to maintain student engagement and focus.

The revalidation provided the opportunity to start with a blank canvas and the decision was taken to put the research module at the centre of the programme, to make it interdisciplinary (within the context of business) and to use it as an attempt to embed higher level scholarly skills amongst the student body, thus embedding research at the core of the programme with the hope to develop a research culture amongst the students. Crucial to the change was the attempt to embed a critical pedagogic approach to teaching and learning which would lead to improvements in student engagement (Shultz et al., 2013), encourage

students to question and challenge perceived wisdom (Reynolds, 1999) in the hope that students would have a more “transformational educational experience” (Scorza et al., 2013, p.16)

The approach was to design a module where content and practice challenged traditional practice, questioned assumptions, critiqued power and ideology and disputed the spurious rationality of traditional business ideas and teaching. In line with the department’s commitment to Corporate Social Responsibility (CSR) and the United Nations Principles of Responsible Management Education (PRME) this aimed to produce not only more critically reflective managers capable of developing better business management working practices but also socially responsible managers capable of creating a fairer and just society. The students were internationally diverse which highlighted the relevance of this critical and inclusive approach.

The module was established as a preparation module linked to a more conventional dissertation module, which involved the completion of a research proposal, dissertation and presentation of the final dissertation, with academic supervisory support from a tutor within the school. The structure for the new module, rather than adopting conventional didactic knowledge transfer sought to involve students, staff, guest professors and senior researchers in a more open ‘community’ of critically reflective researchers. The initial vision for the module was to develop research awareness and bring criticality into the student body. Fundamental to the design was adopting an inter-disciplinary (within a business management context) approach to research and research design. Once validated and in the run up to the start of the module, several prominent researchers were approached to present papers, so as to provide a status to the module and give gravitas to self-criticism and critical reflective practice.

At the same time as we developed the module for delivery we decided to take a critical pedagogic approach and one that encouraged the students to reflect on their understanding of research and what it meant for them and what they would and could do from a research perspective. In particular we were keen for them to explore their epistemological and ontological positions and their philosophical stance. Changes after the first year of running of the module were made with a change of module leader. The model for the teaching of open, participative professorial and experienced researcher presentations followed by critical learning set discussions and reflection on content combined with traditional taught ‘how to’ research sessions was largely kept. The main change was the taught sessions had initially been in a workshop conference but it was agreed these sessions should be taught on a more regular basis during term to ensure maximum attendance. This is subject to ongoing redesign with recognition of the need to sharpen the traditional element to support the effectiveness of the critical pedagogic element.

The professorial and senior researcher led presentations continued to be deep and critical in content, critical of conventional business management and management learning practice, in methods, critically reflective on the quality of research and diverse methodological approaches, and in teaching style, with different professors bringing different ways of engaging. The presenters drew on a wide range of disciplinary, theoretical and methodological backgrounds and approaches. Following stimulating presentations students were encouraged to ask questions and challenge concepts and ideas.

The professorial sessions were followed by workshop sessions with critical discussion in student learning sets. In the 2015-16 iteration these had not been facilitated and were student led but it was felt by the teaching team that this had not worked well. For 2016-17 facilitated action learning sets were introduced with tutors leading the discussions but encouragement was given to students to form pragmatic self-selected groups. Once groups had formed tutors facilitated the group discussions but students were encouraged to participate and share their views of the presentations in open and honest dialogue.

2. Literature Review

Critical management education pedagogy provides the theoretical foundation for this research when acknowledging the ability to think critically as an essential skill for Masters level students. Reynolds (1998) explains critical pedagogy as an approach to teaching characterised by radical content and radical teaching methods, as opposed to traditional pedagogy which he describes as uncritical content and uncritical processes. He suggests a critical approach to teaching can support students in developing skills of reflection, important when noting that students are encouraged to reflect on different research methods as part of the module delivery. Reynolds (1998) explains how critical management education pedagogy is in the structures, procedures and methods of delivery chosen by academics, suggesting critical content allows students opportunities to form their own opinions on learning when supported and encouraged to participate in class through discussion and dialogue. Taking this approach can help to remove some of the hierarchical structures found in the 'traditional classroom', a classroom situation where academics are in control of the content and the processes of learning, with students having little opportunity to influence the development of ideas and ultimately the learning process. Elliott and Reynolds (2014) suggest group work and self-directed learning opportunities are ways of making learning more critical, Reynolds (1998, 1999) having previously developed the case for critical pedagogy in critiquing literature and developing reflexivity; reflexivity that involves applying critical perspectives to students understanding of their own learning. Critical pedagogy, reflection and reflexivity are the focus of this research as the teaching team reflect on the delivery of the research module.

Cunliffe (2002, 2004) supports Reynold's case for adopting critical pedagogy as a way of developing students' ability to critically reflect. Her approach to critical reflexivity, sees learning as an embodied process, one in which students learn about themselves in the context of others. This view was influential to the delivery team when we accept that individuals think, act and respond differently to different contexts and different situations. Therefore learning and reflection is dependent upon an individual's unique value and belief system. Teaching people to be reflective in their practice requires tools and practices that cannot be taught. In order to create an environment whereby learning has impact students must experience the learning or relate it to themselves and their own contexts. Cunliffe (2002, 2004) suggests learning comes from an individual's internal practices and internal processes rather than externally learnt from tutors delivering lectures. She believes we learn from the embodiment of our ideas and our experiences of practice. The team embraced Cunliffe's (2002, 2004) view that each individual learns in their own unique way and therefore students are less likely to learn critically from ideas delivered by tutors in a prescriptive manner. That is not to say there is no place for academic models, principles and techniques, these help in providing contextual frameworks, however it is through application, analysis and critical reflection that students learn.

The team therefore accepted that learning from experts and guest speakers about their research practice can stimulate a critical approach to learning research techniques in preference to a traditional didactic instructional style that had previously been the practice. There was however a growing acceptance over time that some elements of traditional content may help to get students started. This meant there was a need to support students early in the programme adapt to critical pedagogy, particularly noting many students came from a Confucian Heritage Culture (CHC) learning style with expectations based on a traditional teaching approach, one whereby the teacher tells and students learn. And to some extent, noting students' initial confusion with this new way of learning, which was apparent from early student feedback, it would have been the easier to give students what they expected and revert to traditional teaching methods.

Despite the academic team's concerns we built on views expressed by Cunliffe (2004) based on what she terms the 'inside out' approach, one rooted in personal experience, emphasising the nature of our being in relation to others and acknowledging the creative and responsive manner in which our identity, experiences and opportunities for action are shaped. This approach respects the rights of others to speak, and understands how our use of words

orient responses and ways of relating which impact on how we learn. She explains this as a way of knowing 'how' - knowing how to live, how to listen, how to take part and how to contribute, these factors representing more the instinctive aspect of what we do within a workplace setting. Cunliffe's 'inside out' approach resonated well with our philosophy for delivery of this module, as a means of supporting postgraduate students to develop their own ideas, their own language and to go away and read more about parts of the guest speaker's session that interested them which could then be related to their individual research projects.

Furthermore Cunliffe (2004) in talking about learning from within develops the idea of engaging in dialogue and dialogical conversations as a way for individuals to understand aspects of who they are and who they want to be, in the context of their relationships and interactions with others. This learning from within is therefore about developing a more reflexive self, one able to work with others in a critical way and in order to do this students engage in dialogue with others to become more critically reflexive learners.

It was through action learning sets we sought to develop student's dialogical skills, helping them take a more critical stance to learning about research with action learning sets a means of facilitating students' engagement in dialogue with others about their learning. Initially students were expected to direct the learning sets themselves, however building on our observations and student feedback we modified this part way through the research adding academic facilitation to the action learning sets. Elliott and Reynolds (2014) confirmed introducing more participative pedagogy a way of stimulating engagement in the international classroom, encouraging students' to learn from each other's ideas and from a critical perspective supporting development of democratic values. However Elliott and Reynolds (2014) confirm when encouraging international students to be self-directed guidance is needed on how to question and how to be more critical of the knowledge they encounter. We saw action learning sets as a way of supporting students to engage in dialogue to reflect critically on their own and others' use of different research methods. On reflection we questioned whether our original expectations were unrealistic as most of the Masters level students were international and from a CHC prior learning experience,

Despite the conceptual support for a critical approach to learning for postgraduate management students there are clearly issues for both students and academics in teaching utilising a critical pedagogy. Currie and Knights (2003) note that whilst there is a level of disenchantment with traditional pedagogy, there remains discomfort with critical pedagogy for both staff and students.

More recently, Ford, Harding and Learmonth (2010) confirm their concerns with the concept of critical pedagogy surfacing discomfort when they 'turn the lens' on themselves, in questioning how they make business schools more critical, opening up discussion as to who they are to term themselves 'self-styled critical management theorists' (Ford et al., 2010, p.74). This questions why they seek to make business schools more critical, posing the question of whether it is right to do so (Ford et al., 2010, p.74). However from our observations of student performance and from student comments the academic team agreed generally that critical pedagogy does support development of critical questioning, critical thinking and critical analysis and helps students' develop the skills to synthesise key concepts in the context of their research investigations.

We can however see the dilemma portrayed by Ford et al. (2010) in questioning claims of whether critical pedagogy makes learning more valuable than traditional learning. We agree that introducing critical pedagogy is complex and challenging. We therefore agreed to share our reflections and observations based on our interactions with the students introducing a critical pedagogy when working with postgraduate international business students using our reflections as data.

A contextual feature of the research relates to the participants' international status and also in the context of them being postgraduate business management students. In line with this, Abhayawansa and Fonseca (2010) contend that many international students encounter "culture shock" (Abhayawansa and Fonseca, 2010, p.532) upon entering western style education systems. The need to adjust to an unfamiliar home environment, one far from support networks and where the social and cultural norms are different to anything they have

experienced before. Students who experience these symptoms can find it has a detrimental effect on their learning, particularly in the early stages of their programme, research suggests many international students can take around 8 weeks to adapt to the new culture (Hills and Thom 2005), the new learning environment and new ways of learning. This can be particularly problematic for Masters level students enrolled on a one year full time programme, with modules delivered in 10 week blocks followed by an assessment, with the assessment contributing to the overall award.

There were clearly challenges working with international students in delivering this 30 credit module utilising critical pedagogy in the form of guest speaker presentations, learning sets to discuss the research papers of the presenters and assessments based on student presentations and reflections. Furthermore we acknowledged that most students came from a CHC prior learning experience, one which focused on examinations and assessments that lacked criticality and application to practice. However, it is important to recognise with increasing internationalisation these views are changing, students and academic staff are now more aware of the implications of a cultural shock for postgraduates and a programme of academic skills support was incorporated into the teaching programme at the same time as the new module was developing.

3. Methodology

The research takes a combined constructivist (Easterby-Smith et al., 2015) and reflective approach to consider the changes made and whether in the opinion of the teaching staff the vision was being achieved or at least being moved forward. Feather (2012) suggests that the use of combined philosophies and their resultant triangulation adds extra validity to the research process and justification of the results found. This research is based on the reflections of three academics involved in the development and delivery over 24 months. As such it is important to recognise these reflections are flawed by the subjective nature of interpretation and evaluation. However that does not remove the validity of the reflection which is influenced by individual epistemological and ontological beliefs (Saunders et al., 2009) and our perceptual filters (Voros, 2005).

Although the study follows a level of fluidity through a range of different students, it remains a single case study (Yin, 2014) as the three participants of the study are consistent and as such are the focus of the study through their reflections. The designation of this as a case study is compatible with the ideas of Thomas (2012) and Ridder et al. (2014) who comment on the flexibility of case study philosophies. Despite this however there remains a need for ensuring that the research has both practical relevance and academic rigour (Saunders et al., 2009).

Data Collection takes the form of the reflections of staff in an auto-ethnographic (Easterby-Smith et al., 2015) account reflecting on the success or not of the initial achievement after 24 months of the new module. In particular, the three academics consider the key areas identified within the literature review. The subsequent reflections have then been analysed using thematic approaches, which allow the authors to provide key learning and development points.

This research builds on the debate around the problematic nature of much teaching and research in the university business school and adopts a critically reflective stance by academics through observing practice. This is critically reflective whereby the academics enter into a subjective account of how they believe the module has developed over time, a process of questioning our assumptions and 'taken for granted' and reflecting on the wider social, political and cultural processes within which the experience takes place, namely a postgraduate international business management classroom (Reynolds, 1998). Our concerns as management educators and our commitment to critical pedagogy as a form of supporting develop students critical thinking and critical writing skills prompted us to reflect, evaluate and developing a critically reflexive stance on the operation of the module over two academic years of delivering research methods.

4. Findings and Analysis

Self-reflection and critical reflexivity provided three academic staff (AS) the opportunity to learn from involvement at different stages in the delivery of the module and its ongoing development. The themes developed from these reflections are the student journey, from confusion to acceptance and finally engagement, how we as academic staff felt initially: how our confidence developed in utilising critical pedagogy and generally our learning points along the way. These are some of the reflections drawn from the three academics involved in the development and ongoing delivery of the module.

Initial shock and confusion

"I understood their [student] confusion when encountering features of critical pedagogy knowing they had come from a learning background characterised by traditional teaching approaches, confusion with new ways of learning and new types of assessment involving presentations, discussion and dialogical processes.....I was therefore unsurprised by student's initial confusion and initial reluctance to engage in classroom activities when presented with teaching methods such as action learning sets and reflection, practices largely unfamiliar to them. I realised students would need support in helping them engage with the module and prepare for the assessment presentations and reflective portfolios" (AS1).

Improved confidence over time: Students and staff

We concurred how over time both students and we as academic staff gained confidence with critical pedagogy.

"What was clear, part way through the module, was the difference in confidence and ability of these students in comparison to the previous years' students, the previous year's students who had studied the research investigation module delivered through traditional content and traditional learning processes. This was particularly evident during the first formative assessment, the group presentation" (AS1).

This was supported by AS3. Though facilitated, the learning sets worked well, stimulating self-directed learning and critical reflexivity and as time went on the students increasingly took the lead in the discussions and were independently critical of the professorial presentations (AS3).

Development of critical thinking and application of theory to practice

It was clear from student responses to questioning that our research participants were able to think through their answers more critically than their predecessors had done. This encouraged us to persevere with the new approach.

"In the early stages the students were generally confused about the teaching and learning process but as the module went on there was a lot of engagement and the students seemed to enjoy it. Terminology was one of the key issues as students didn't really know or understand some of the more technical terminology used and although the easy answer was always to say look it up, they often needed greater explanation" (AS2)

Academic staff feelings

The literature (Reynolds, 1999; Cunliffe, 2002,p.4) confirms that adopting critical pedagogy, both in content and process, can be challenging for academics as well as for students, Academic 1 and 2 supported this view.

"The first term was challenging but we acknowledged this openly with our students, reassuring students that at times they may find some sessions confusing however we believed that the results from adopting this approach would be beneficial particularly preparing them for work in a complex and fast changing workplace" (AS1)

"Initially there was somewhat an alien feel to the delivery and there were times that I felt less in control than I would have liked. In particular, in the early stages not knowing if students would read the articles could be quite worrying, as it was difficult to have a discussion if no one has read them" (AS2).

Furthermore, this is built on by Academic 3 who shares his reluctance to engage in critical pedagogy based on his experiences of teaching via the more traditional methods.

"I approached the module format with some scepticism, due to my traditional experience in teaching research, and also experience in supervising iteration one student dissertations" He goes on to say "While some students were enthusiastic in challenging presenters most, especially international students, were not confident in challenging professor's ideas. It was often left to the tutors to fill this gap in asking critical questions of presenters and stimulating questioning. However, the professorial presentations were clearly stimulating students and were based on the researcher's own experience of conducting research and their willingness to share and discuss their success and failings" (AS3).

In terms of impact however we can see that academics were enthused to find that students found the experience of learning on this module challenging yet engaging and contributory to development of more critical thinking and analysis as well as improved results.

Impact

"Discussion with students suggested they had enjoyed the module using words like stimulating, challenging and helpful, but for me the big change was a 2% increase in the average mark for this module over its predecessor module. Importantly the dissertation module average mark also rose by just over 2% but most significant was the actual written dissertation component of the module rose by over 5% suggesting much of the initial aims of the change were being met" (AS2).

5. Discussion

Despite the efforts to build a critically reflective and open environment, as highlighted in critical pedagogy theory, many students found the concepts in presentations and critical group discussions challenging. Some students complained that when listening to presentations they could be frustrated as they could not comprehend what the researchers were talking about. This reaction varied among students and for some was an initial reaction and they adapted to the content and teaching approach as time went on. Students have to be pushed to overcome the fear of criticising those in authority but once they realise that this is acceptable, and even beneficial in developing their knowledge and understanding, they overcome their fear and reticence.

We found there is more evidence of engagement and learning about research as a result of this approach than when using traditional methods but feel this approach to learning needs to be effectively combined with traditional teaching approaches to maximise student learning and benefit all students. Achieving a good balance between a critical reflective approach and a taught textbook approach is a work in progress. However, students seemed to gain great insights into how researchers identify their research topics and ideas, and in the process gained greater understanding and respect for the research process, although some students from professional backgrounds were critical of the theoretical nature and lack of practicality of some academic research.

Though students found the critical pedagogy approach challenging at the start, over time, as their understanding of the research process grew, their confidence in developing their research topics and approaches for their own research projects and dissertations also seemed to grow.

As with developments in jazz there has been continual improvisation, adaptation and change with changes in tutors, guest professor presenters and student composition and numbers. The guest professor presentations, with encouragement to question and criticise through questions to the speakers and reflect individually, through reflective diaries, and through group action learning sets have and continue to work well stimulating critical engagement and ideas which contribute to dissertation success. The taught 'how to' sessions continue to work less well. The tutors, or performers, change which affects how well the module works each subsequent year. When tutors 'get it', or act more like a jazz improviser than a classical teacher it works (Dennis, 2015). When tutors don't 'get it' they tend to leave the module. This parallels the jazz experience where no repeat 'performance' is identical. This is mirrored in the student groups which change in size and percentage of international students each year, as different perspectives and cultures emerge (Gioia, 1998). Often a number of students emerge who 'get it' and go on to enthuse and engage other students. The format of reflection and feeding back continues to develop. Sometimes students choose to use flip-chart paper notes posted on Moodle. Other times students are enthusiastic in presenting their feedback from the learning sets to the wider group. The video recording of guest professor presentations for reflection remains popular each year in aiding reflection and developing criticality.

We are confident that ongoing adaptation based on experience improves the quality of dissertations and overall grades and the module continues to morph and develop. Self-direction and critical reflection is undoubtedly a challenge, especially for international students who are ingrained within traditional didactic teaching approaches and is undoubtedly uncomfortable for staff and students but the rewards from persisting with this successful approach are refreshing.

Drawing on Perriton and Reynolds (2018) recent call for the critical management education community to review the basis of its critical work with students, acknowledging particularly when the classroom remains the site for criticality, these academic reflections on teaching approaches developed over 2 years observation add to the debate in the following way.

The key challenges remain for both students and staff, specifically the ones observed related to international students and their confusion and concerns adapting to a critical pedagogy and the challenges for academic staff and professors working to support these students in this new way of learning for students and for staff.

Once students and staff adapted to this new way of learning other benefits were observed, one of these being the self-directed nature of the student population, how through peer support students were able to help each other. Also module results saw year on year improvements and anecdotally staff cited better engagement of students in the research process.

These students found it difficult initially adapting to a critical pedagogy but with perseverance most commented that the approach had helped them develop more critical research skills. Currie (2007) supports the concerns students have adapting to critical pedagogy suggesting that learners often experience 'significant anxiety when dependency moves from the lecturer to the learner themselves' (Currie, 2007, p.549) although he advises caution here not to consider learner anxiety a negative outcome reminding us that disruption to a certain degree can facilitate learning.

A further theme arising from the reflections and from observing responses of the learners relates to the concerns students have adapting to forms of assessment they are unfamiliar with, so their anxiety is not just caused by the different teaching and learning processes, i.e. the guest speaker presentations, but by the form of assessment i.e. the reflective research file, group presentations and individual presentation of their research proposal. The idea of the reflective portfolio is often new to many of the learners. Hills and Thom (2005) highlighted that international students often struggled to understand the term assignment, students are confused by what we mean by an assignment and even if they understand the requirements of the assignment, they are often confused by the format we ask them to present their work. Hills and Thom (2005) suggest academic staff also need

support understanding the challenges for international students adapting to critical pedagogy, noting the need for extensive support strategies, academic and non-academic when helping international students make the transition to UKHEI's teaching and learning processes.

It was therefore important to note the need for extensive reassurance for students helping them understand the nature of the assessments and to support academic staff understand the challenges for international students adapting to a UKHEI as well as engaging in critical pedagogy. The module was about delivery utilising critical content and critical assessment processes creating a non-hierarchical learning environment underpinned by critical reflective practice. Engaging in self-directed learning was a challenge for many international students, as well as at times uncomfortable for staff. Elliott and Reynolds (2014) confirm that tutors working in the international classroom who are not used to teaching outside their own national context often had issues teaching international students particularly when adopting a critical pedagogy. It was important for the academic teaching team to share their concerns with each other and where and when appropriate with the learners.

A further partner in the Masters level classroom were the visiting professors who were also required to engage with the pedagogical approach adopted. Senior researchers/professors had to be confident with criticality from students and academic staff in presenting and reflecting on their own and others work. Briefing them on the modules pedagogical intentions was paramount to the success of the presentations in that they had to be prepared to be open to criticism and challenge of their work.

What became evident as the module progressed was the relevance and importance of peer support to students in developing their critical understanding. There were two cohorts in each academic year, a September and January intake. In the first term students were not part of a group where peer support of more experienced students were able to help them adjust to this new way of teaching and new way of learning. In so much as in the second term, the new intake of January start students were able to benefit from hearing accounts of peers from the previous term. Subsequently the following intake of September start students were able to benefit from hearing accounts of peers from the previous January start cohort and so on. This allowed for peer assisted learning and reflection. Also from the January start onwards examples of previous student work was available for incoming cohorts. This also assisted the peer groups in passing on their experience, building their confidence in critical pedagogy and helping students become more reflective and about their own development and learning needs, supporting development of the critical communities of learning we sought to create. Peer support can be formal or informal. Bamford (2008) reports on the success of a peer mentoring scheme adopted in a post-1992 university as a means of supporting international students engage in learning processes. This was certainly found to work during the research period by encouraging informal peer support – new and students 6 months into their 1 year Masters programme - benefitted from the process.

A further factor observed by the academic team was how developing the action learning sets from self-directed learning sets to academic facilitated learning sets improved student engagement in the module and improved student learning outcomes. The dialogue that ensued as part of the facilitated learning sets, with academic staff questioning and probing students about the research papers and the professorial presentations, stimulated student reflections, on not just their choice of words and worldviews but to question why they would chose to use a particular research method. The facilitation of learning sets suggested by Warhurst (2011) confirms that facilitating action learning sets was a positive move in the development of this module, being valued by the students and staff alike. Academic staff observed that facilitated action learning sets helped support students learn to critique other researcher's techniques and to relate learning from this to their own research. This was particularly apparent when students were prompted and questioned by academic staff and other students, students gained new insight influential to their own individual research investigations.

6. Conclusion

There are clearly challenges for adopting a critical approach to learning for participants and for academics. For international students this involves moving from a prior educational system in which teachers teach and students learn, to one in which students shape and influence not only what they learn but how they learn. For academics introducing critical pedagogy this can be equally daunting when the base of power in the classroom moves from the academic to the students, particularly in respect of students' willingness and abilities to partake and lead the discussions resulting from the professorial speakers. Nevertheless, it remained a strategic choice of the teaching team to progress the concept of critical management education pedagogy in the delivery of the new MBA and MSc module. Fundamentally, this research seeks to further develop and reflect on our approach to developing a critical pedagogy and whether it was meeting the under-pinning principles of the redesign. Experience and reflection on the module also confirms that the jazz metaphor remains valid in examining and understanding the nature and complexity and value of Organisational and pedagogical improvisation.

7. Limitations

Although this is a small scale research project based on 2 years of cohorts of students and 3 academics involved in the delivery of the module the observations support existing literature relating to the challenges of adopting a critical pedagogy. The developmental nature of the reflections and ongoing module developments support the value of sticking with critical pedagogy for this module, particularly the use of critical processes such as facilitated learning sets and encouragement of peer supported learning.

8. Implications for Practice

The changing nature of the student population at the case study university may impact on the take up of critical pedagogy, whilst also acknowledging the impact of internationalisation on the business school product. Initially we found the student body comprised predominantly students from the Far East, China and Thailand, students from these countries making up over 50% of the programme at this time. The composition of students continues to change as some years there has been an increase in home/ UK postgraduate students while others the module is weighted more too international students. It has been noted that this impacts on the development in critical pedagogy but also demonstrates the strength of a flexible, critical improvisational and adaptive approach. As an institution signed up to the United Nations Principles for Responsible Management Education we see an increasing case for critical management education pedagogy. In developing our practice in this vein we see this as a significant force in our commitment to developing the critically reflexive, responsible managers of the future. The need to empower our graduates to be self-directed critical thinkers requires appropriate pedagogy, critical management education pedagogy being one ways of doing this.

9. Implications for Future Research

This research concentrates on academics' perception in relation to developing critical pedagogy and the impact of utilising a critical pedagogy supporting the education of managers of the future. The research supports the claim that teaching utilising a critical pedagogy can help prepare postgraduates for global business, helping them become self-directed learners and critical thinkers worthy to take their place in society responsibly. Future research will involve collecting both qualitative and quantitative data from students in a longitudinal study to gain student perceptions on whether the module redesign has met its stated aims.

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Enabling the acceptance of predictive policing technology: A Grounded Theory approach

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Abstract

This paper examines the processes at work in the introduction of predictive policing technology (PPT) in a large UK police force, and proposes a conceptual framework of the factors influencing the adoption of such technology. The research project was funded by the Home Office and supported by the College of Policing. Collaborative working with the police force enabled us to access a wide range of events and participants, and enabled us to adopt a Constructivist Grounded Theory approach. PPT has been adopted by a number of law enforcement agencies in the USA as a crime prevention and detection measure, but its use by UK police forces has been limited, and limited research has been carried out about processes of adoption, and the potential benefits and risks. This paper reviews relevant literature on the adoption of technology by police forces, and the issues concerning PPT in particular. During the field research, 11 themes emerged, which we collected in six categories that interactively influenced the adoption of the technology: these are Strategy; Technology and information systems; Supervision; Roles; Performance; and Outcomes.

Keywords: Technology adoption; Police; Predictive analytics

1. Introduction

Although still relatively new, the use of predictive analytics by police forces is beginning to become recognised, principally in the US but also in Japan, Germany, China and the UK. Based on the view that resources in policing can be allocated more effectively to enhance a preventative approach to law enforcement, combined with technological development, predictive analytics allows the prediction of particular crimes and/or the criminality of individuals, based on similar data sets and the working of algorithms (Baraniuk, 2015). When police forces can improve their ability to identify where and when crime might occur, resources can be more carefully allocated to prevent or deter crime 'targeted police presence and enabling response by pre-positioning police assets when and where they are likely to be needed' (Beck and McCue, 2009, p.22). Clearly, at a time when police resources are stretched, expectations are being raised that predictive policing technology can achieve improved outcomes through 'Intelligence-led Policing' (ILP), (Ratcliffe, 2016). However between the introduction of new technology and acceptance of the technology by officers in the police, lies a complex range of factors and linkages such as culture, structures and the very situational speed of police work. These can all work to constrain acceptance (Lum et al., 2017; Sanders et al., 2015).

In this paper, our aim is to unravel the key factors and linkages at work in the introduction of predictive policing technology (PPT) in West Yorkshire Police (WYP), one of the largest police forces in the UK. Working within a project, funded by the Home Office and supported by the College of Policing, our interest was in the acceptance and use of PPT over one year, following a pilot year that tested the technology. Our collaborative working with WYP provided us with access to a range of events and participants, and enabled us to adopt a Grounded Theory approach. We will begin with an overview of the literature on technology acceptance and PPT before outlining the methodology then reporting our results.

2. Technology, the Police and Predictive Policing Technology

The introduction of technology and the change required for implementation in any organisation is seldom a neutral process. As Barley (1986) highlighted, technology may well be adopted for an objective purpose based on what the technology can achieve. It might be assumed that the presence of technology will cause humans to act in particular ways requiring the learning of particular techniques and ways of behaving. This represents a materialist conception of technological acceptance. However, any technology and its acceptance will be subject to social responses, and meanings made, often based on cultural and historical interpretations. Barley offered the term 'interpretive materialism' to enable the consideration of the meanings made in local context and there might be a variety of interpretations made and actions formed. Orlikowski and Gash (1993) build on this to consider the interpretations as 'technological frames', where different groups in organisations might hold very diverse views of a technology. Such views can play a key part in what people expect and assume from a technology, often based on knowledge from past efforts to apply technology and stories of success or otherwise of the application. In many cases, there may be enough overlap or 'congruence' between groups to allow a technology to be applied but this may be insufficient to prevent tensions, difficulties or just apathy in the face of efforts to bring about the change desired or expected. At the very least, this would suggest the need for identifying the interests of different groups who are involved in a technology and finding a way to allow articulation of expectations and responding to concerns and fears.

With respect to the introduction and use of technology in the police, it has been argued that despite the potential of technology to help deal with problems, traditional and bureaucratic structures and culture do play a key role. In particular, there can be a reactive tendency to how policing responds to and deals with demands for service (Manning, 1992). The introduction of technology may not change practices that can then affect the measurement of performance. For example, Garicano and Heaton (2010) completed a study relating to the introduction of information technology in police forces over a 16-year period. There was no association with measures such as crime reduction and increase clear up rates. Indeed, computing technology which allowed more accurate reporting could also result in the manifestation of lower productivity. However, where technology led to identified changes to practice, a link to increased productivity could be made. Nunn's (2001) analysis related to high levels of computerization in 188 US cities, involving high investment and more staff in technical positions, but with uncertainties relating to impact on measurable indicators such as crime levels and arrests.

More recently, Lum et al. (2017) completed a case study analysis of the use of IT systems and related analytics technologies in two US police forces. They use a mixed methods approach including interviews, surveys and focus groups, employing an interpretive analysis of data gathered. Over 240 staff were interviewed or were involved in focus groups and surveys recorded 40 and 46% response rates. Results clearly showed that use of IT and analytics technology was mainly for retrieving information when officers were reacting and responding to calls for services, stopping individuals, situations or investigating crimes. Lum et al. (2017) found that this use conformed to what officers saw as everyday policing by reacting to what was required. The research found that such uses matched what officers considered as the standard use of technologies and how they understood efficiency and effectiveness. Indeed, it was found that if technologies did not help officers do their work, there could be resistance to technology and avoidance of how the technology might help improve performance. There were doubts about how technologies might prevent crime and little attempts to explain how this might work. Officers might sceptically view crime 'hot spot' analysis as a requirement to 'fight dots with cops' and telling officers 'what we already know' Lum et al. (2017, p.154). In one small unit in one force however, there were officers who viewed technologies as a way to be 'smarter' and 'intelligent' and to work proactively towards preventing crime. These terms also feature strongly in the narrative for predictive policing.

There has been little research into why police officers accept new technology or not but the little there is points us in the direction of four factors that are important to technology

acceptance by police officers. Namely, perceived ease of use; perceived usefulness to their role; the attitude of first line supervisors and management support and leadership (Lin, Hu, and Chen 2004; Colvin and Goh 2005; Lindsay, Jackson, and Cooke 2011, 2014). The role of sergeants has been noted as particularly important for operational effectiveness and organisational change but remains an under-researched area of interest (Butterfield et al., 2005; Hay and Reynolds 2016; Lindsay et al 2011; Walker 2014). Fuller research on technology acceptance models (TAMs) is yet to emerge. However, Lindsay, Jackson and Cooke (2011, 2014) go some way in providing a TAM for mobile policing. This was used as a basis for a predictive policing TAM (PPTAM) identified by Watt et al. (2017). Predictive policing is closely linked to intelligence led policing (ILP) for the purposes of prevention. Recent years, with advances in technology and recognition of the power of crime analytics, have given momentum to ILP, with claims of a scientifically-based approach that can provide value by moving intelligence to action, i.e. preventing crime (Lavallo et al., 2011).

2.1 Predictive Policing Technology

According to Beck and McCue (2009) predictive policing allows the leveraging of 'advanced analytics in support of meaningful, information-based tactics, strategy, and policy decisions in the applied public safety environment' (p.18). As a result, the police service can 'anticipate the time, the location, and the nature of crime', so can allocate resources to prevent crime by providing a deterrence 'through targeted police presence' (p.22). Officers and others 'assets' can be pre-positioned, 'when and where they are likely to be needed' (p.22).

This explanation refers to location-based predictive analytics, highlighting where and when certain crimes are likely to take place. Police forces have also used predictive analytics to identify individuals at highest risk of being offenders or victims of crime (Santos, 2016). It is the latter form of predictive policing that has attracted most controversy and even civil litigation, particularly in the USA. Two of the most comprehensive reports outlining and evaluating predictive policing identify the benefits and pitfalls (Perry et al., 2013; Babuta 2017). Perry et al. (2013) point out how predictive analytics has gained currency in the USA as a crime prevention and detection measure. They caution that developers should not overpromise whilst outlining the usefulness of these applications when combined with tactical interventions. Predictive analytics is a means of creating better awareness rather than precision in prediction. It needs to be recognised that predictive policing is still relatively new for forces and even controversial. Babuta (2017) describes how the use of big data by UK police forces has been limited and so has research around these issues and the potential posed. He identifies fundamental limitations to the adoption of predictive policing in the UK: not least the fragmentation of databases and software applications being a significant impediment to the efficiency of police forces, as police data is managed across multiple separate systems that are not mutually compatible. He points out that there is little funding available for new technologies whilst there are significant legal and ethical constraints governing the police's use of data. However, he acknowledges that these barriers are not insurmountable and urges new investment in this area as the costs of the initial investment will be more than recuperated by the efficiency savings made in the long term.

Recently Andresen and Weisburd (2018) provide a range of cases to consider place-based policing in diverse contexts and issues such as juvenile and youth crime, patterns of harm, offender-focused interventions, data quality standards and mental health calls with respect to drug and violent crime. Each add to our understanding of place-based policing, possible tensions and difficulties with respect to structures, cultures and resources but also the potential for impact and improvement of services.

Although it is still a relatively new area of research, predictive policing has been widely publicised in the USA with a wide variety of police departments adopting it for use. For example, the Place-Based Investigations of Violent Offender Territories (PIVOT) programme in Cincinnati involved mobilising the community towards reducing chronic and sustained violence in specific neighbourhood locations. The programme sought to disrupt the ability of offenders to cause harm through deterrence and interventions that were focused (Isaac,

2016). The Philadelphia Predictive Policing Experiment was a city-wide, place-based, randomized experiment to study the impact of different police strategies on violence and on property crime in predicted criminal activity areas (Groff et al., 2015). The experiment was designed to test two theoretically-relevant operational questions about police patrols. If police are able to dedicate a car to predicted crime areas, would it be better to use a marked car or an unmarked car? The visible police car would emphasize deterrence and prevention. The unmarked car would allow officers to conduct surveillance and approach to criminal activity undetected. The experiment also examined if it was effective to simply raise officers' awareness of where the predicted grids were for the day without having a car dedicated to the task. These three interventions were compared to control areas where 'business-as-usual' policing was conducted. When examining both predicted high-crime grid cells and the grids cells immediately surrounding them, the marked car patrols resulted in a 31% reduction in property crime counts, or a 36% reduction in the number of cells experiencing at least one crime. There were also signs of a temporal diffusion of benefits to the eight hours following the property crime marked car patrols. While the percentages were substantial, the results were not statistically significant. There were no reductions in relation to violent crime, nor were there any benefits with the property crime awareness or unmarked car interventions. In summary, it appeared that marked police cars dedicated to predictive policing areas were effective at reducing property crime. Unmarked cars and efforts to combat violence were not shown to be effective in the Philadelphia Predictive Policing Experiment.

Some of the most useful critiques of predictive policing in the USA can be found in the work of Andrew Ferguson (2012, 2015, 2017, 2017a), who offers a socio-legal perspective on the use of predictive analytics. In the UK, Kent Police have been running PredPol, a predictive analytics programme purchased from the US and focusing on burglaries and anti-social behaviour since 2013 (Statewatch, 2013). The major difficulty they encountered has been with sustainability of the patrols but the force claims that PredPol is now well-established (HMIC 2016). One issue concerns over-reliance on the predictions of software at the expense of understanding complex and dynamic factors at work in some places (Babuta, 2017). This has given rise to a debate about the ethics of predictive policing and the need for more attention to be given to governance and control relating to use (Karppi, 2018; Patel et al., 2015). It is argued that algorithms and the technology that mediates delivery provides a cultural technique that forms people in a particular way who in turn come to understand themselves in such a way (Parikka, 2015). One possibility, for example, is the perpetuation of racial or ethnic minority stereotyping where an algorithm can repeatedly send patrols to areas with higher concentrations of certain types of community. While Brantingham et al. (2018) found no evidence of racial-ethnic bias in arrest data in predictive policing areas of Los Angeles, the concerns about the potential of algorithms to learn to continue the targeting of minority communities will continue. Already, there is evidence that secrecy and failure to release information about predictive policing is leading to legal challenges in the US (Collins, 2018). Egbert (2018) argues that the introduction of predictive analytics in Germany has played a political role by shaping crimes such as burglary as a 'security problem'. This then allows predictive tools to be used to respond as an effective innovation. There are also reports also of the use of predictive analytics by authorities in China and Japan with Human Rights Watch (2018) concerns being expressed with respect to the former.

These concerns point to growing power and pervasiveness of algorithms in our daily lives, where claims of precision, accuracy, impartiality and reliability (Elmer et al., 2015) suffer from a lack of critique to allow evaluation and a debate on how they work (Kitchen, 2017). It also highlights the continuing need for human judgement to be retained and the employment of discretion in practice in responding to the outcomes of an algorithm driven predictive process. In policing, this points to the need to exercise 'professional judgment' as indicated by Dencik et al. (2018) in relation to the use of predictive data in policing demonstrations in the UK.

Against such concerns, and accepting that at a time when police resources are limited to meet public expectations to prevent crime as well as solve crime, it is clear that technologies such as predictive analytics will need to be embraced, albeit under caution. To

date, we have found little evidence relating to how predictive analytics approaches have been introduced and embedded with respect to cultural and structural features. This remains a fruitful area of research to which this paper seeks to contribute.

3. Methodology

Our study seeks to add to an understanding of how those working in police services make sense of ILP technologies such as predictive analytics. Similar to the work of Sanders et al. (2015) in Canada, any attempt to reveal the process of sense-making needs to consider the varied police cultures and the values and norms that shape and enact responses to innovation. With support from the UK Home Office and Police College, we were able to embed a postdoctoral researcher in situations and locations as a project unfolded. The project, entitled 'More with Less: Authentic Implementation of Evidence-Based Predictive Patrol Plans', had the aim of 'Successful implementation of predictive analytics for preventative patrol through innovative approaches to selecting the appropriate technique, creating a dynamic culture that embraces evidence-based practice, real-time supportive systems and management processes'. The project took place from April 2016 to August 2018 in collaboration with West Yorkshire Police (WYP), the fourth largest police force in England, employing around 5000 officers in a workforce of around 8000. The development of an app for a mobile phone to connect with an evidence informed algorithm took place in the first year, allowing for a pilot phase for patrols from December 2016 to February 2017, the results of which were reported by Watt et al. (2017). From April 2017, the programme was rolled out across the 5 geographic divisions of WYP. In each case, we followed a developed protocol to help acceptance, consisting of:

1. Meeting with senior officers to set indicators of success
2. Briefing of sergeants and other supervising officers
3. Briefing of patrol officers and reviews

Our team was able to gather data at each point and subsequently at reviews. This meant we could access the views of over 50 officers covering Police Community Support Officers (PCSOs), Special Officer and regular Police Constables. We also were able access sergeants in division and senior officers up to the rank of Chief Superintendent. As with other studies of police work, such as Sanders et al. (2015), we employed a Grounded Theory approach, in particular the constructivist version developed by Charmaz (2006) where we could employ a move beyond description of our findings into an 'interpretive portrayal' (p.10) and knowledge emerges through theoretical conceptualisation but grounded in empirical observation. Working with a constructivist epistemology allows consideration of knowledge as result of processes of interaction between participants and participants and researchers (Guba and Lincoln, 2005).

Data was collected throughout the project through our interactions with officers at different levels. In addition, an embedded researcher was able to observe events such as patrol briefings as well as participating at reviews and focus groups in each district. A key feature of our sense-making occurred through the process of memo-writing, which took the form of Logs. Charmaz (2013) suggests that memos allow the 'capture of ideas in process and in progress' (p.166) and this enabled analysis and the posing of speculative questions as a form of adductive theorising leading to various 'hypotheses on probation' (Gold et al., 2011) which prompted further avenues of inquiry. As data was collected, we began coding to reveal themes from what emerged, prompting further and speculative questions to develop concepts as categories allowing integration as a potential model of the factors relevant to enabled accepts of predictive policing technology.

4. Findings

From the various events attended and writing of memos as logs, we began an initial coding of data to capture the 'beneath the surface' detail (Charmaz, 2006 p.19).

4.1 Form of Intelligence

One of first issues to emerge was concerned with the form of intelligence that was available in the maps of the areas for patrols. The log showed that:

Officers were keen to know how intelligence would fit in with the production of maps. They mentioned that currently up-dates of intelligence were slow. The officers would like the maps to link with offender-related intelligence allowing them to know who was imprisoned or released and assist with offender management.

For ongoing data collection it would be helpful to find out:

- What intelligence would officers want with the production of maps?
- How would this help with crime prevention and problem-solving?
- Do they envisage any negative issues with the integration of offender-related intelligence and predictive analytics?

We observed that officers seemed keener on achieving detection and apprehension than they were on crime prevention and problem-solving. They also wanted offender-related information in contrast to what the app – called Patrol Wise (PW) – provided, which is location-based. PW was seen as a replacement for the existing intelligence report on ‘hot spots’, Optimal, which has been seen by some as ‘enforced’ and a ‘must do’. PW and the associated maps are seen as more meaningful. Thus, while officers were on board with the Force moving towards alignment with intelligence-led policing (ILP), PW’s initial acceptance based on ‘confidence in the technology’ had suffered due to scepticism of its presentation and the analytics that purported to provide its rationale. In a criminological study of two UK police forces, analysis was identified as often under-valued because officers lacked the analytical understanding and there were perceptions of a lack of fit between the analysis and the rest of the organisation (Cope, 2004). The form that officers associated with ILP was probably what they regarded as current. The analysis was done but presented in paper form and had a lag in time between its formation and presentation of more than one week. In recent years, advances in technology and recognition of the power of crime analytics have given momentum to ILP, with claims of a scientifically-based approach that can provide value by moving intelligence to action, i.e. preventing crime (Lavalle et al., 2011). The PW project was predicated on the working of an algorithm composed of complex mathematical formulae that, for most, represents something of a ‘black box’, which is closed to non-experts. It therefore lends to ILP a ‘veil of objectivity’, which feeds an ‘organisational rhetoric’ of value and use (Sanders et al., 2015). However, while long used to the ‘top down’ approach of innovation in policing, we recognised that cultural acceptance required a response to scepticism towards PW that allowed meaning to be made within local situations. The PW app could be supplemented by another app, Neighbourhood Profiler, containing up-to-date intelligence but this app was little known across the Force. This could allow officers to use the maps to link with offender-related intelligence allowing them to know who was imprisoned or released and assist with offender management.

4.2 Visibility

Officers to some extent still seemed keener on achieving detection and apprehension than they were on crime prevention and problem-solving through their visibility and this revealed a second theme. A review of the literature highlights two issues connected to the topic of police visibility: namely, public confidence and crime reduction. Skogan (2009) conducted research that stressed the reassurance effects of policing. Sindall and Sturgis (2013) used administrative data linked to the British Crime Survey in order to assess the relative importance of police numbers and police visibility in determining public confidence in the police. They found, as expected, that visibility has a significant and positive effect on confidence. However, they also found a significant and positive effect of police numbers over

and above the effect of visibility. The British Crime Survey asks questions about visibility of the police. The 2013/14 Crime Survey for England and Wales (CSEW) shows that adults who reported high visibility of the police gave the local police a positive rating 71% of the time. This compared with 61% of adults who reported medium visibility of the police and 53% of adults who reported low visibility of the police. Bradford, Stanko and Jackson (2009) found that high visibility and feeling informed about police activities are both associated with greater confidence in policing. HMIC (2011) points out that "Both previous research and the new analysis of the British Crime Survey contained within the body of this report indicate that visible policing is linked to public confidence in the police. If the public have confidence in the Service they are more willing to engage with both the police and the wider criminal justice system". Haggerty and Sandhu (2014) give an account of how police visibility has shifted with the burgeoning of filming both by the police themselves and others. They comment that, "Changes in the police's visible field have put them in the midst of a new and quite different crisis of legitimacy. Hawdon and Ryan (2003) found that the visible presence of officers in a neighbourhood improved residents' opinions of the police.

Thomas and Williams (2013) assert that police visibility deters crime and that because they are an extension of law enforcement officers, police cars serve to prevent crime. Homel (1994) points out that "It is clear that in most cases police can't do the crime prevention job on their own, but need to cooperate with or be supported by other government and community agencies; that the most powerful crime prevention strategies actually depend on informal rather than formal control processes; and that a major aim of formal preventive policing should be to strengthen informal controls - provided these informal controls are consistent with civil liberties and human rights - to the point where the formal controls are less necessary or can be dispensed with altogether". The National Academies of Sciences, Engineering, and Medicine (2018) reviewed various crime prevention strategies and describe how increasing patrols in hot spot areas can deter crime. "Although individual offenders at a hot spot may vary in their perceived risk of apprehension (and that perception may also vary for different types of crimes, times, locations, or situations), hot spots policing is believed to alter offenders' average perceived risk of apprehension, resulting in fewer offenders exploiting opportunities at that hot spot and lowering the crime rate at that location". Cook and Whowell (2011, p.611) comment that "Whilst geographers and others have often referred to the relations between visibility and the policing of public space, this work has yet to be synthesised and critically reviewed." They endeavour to do so in their paper examining the issue of visibility and the policing of public spaces.

4.3 Sergeants

The role of sergeants was recognised as being important:

Briefings by sergeants gave officers direction to follow the PW maps and conduct crime prevention and problem-solving activities in the PW areas. Research to date has highlighted the importance of sergeants for operational effectiveness but this remains an under-researched area of policing.

Our speculation was summarised as a hypothesis on probation (HOP1):
Briefings by sergeants are vital for technology acceptance and adherence to patrols by officers.

This is supported by earlier research into the role of sergeants in UK policing (Butterfield et al., 2005). They are responsible for start of shift briefings and mention of the maps was seen as helpful in getting officers to follow them. The most significant barrier was around resources and the high demand on calls for service. It was acknowledged that in some cases PW was put to one side in the face of a high level of calls for service as resources were stretched. However, as recent research has shown, police concern with calls for service often results in resources spent on demands which do not necessarily require a police response, e.g. mental health issues, substance abuse and issues which would have required a response from other agencies. The research suggested that demand calls for service could be reduced

by partnership working and early intervention (Boulton et al., 2017) and these were possible with PW. In 2014 HMIC (HMIC, 2014) also highlighted preventative activity as a way of avoiding a vicious spiral of reactive responses and spiralling demand in the face of ongoing cuts. If there was a push from sergeants, it was felt that PW was actioned. Sergeants reported that PW was useful in facilitating the targeting of officers and their input toward crime prevention. The importance of sergeants was well recognised by some of the senior leaders involved in PW and they facilitated the availability of sergeants for initial briefing sessions to enhance “buy-in” at that level of the organisation. The importance of sergeants has already been identified in earlier research looking at the acceptance of new technology amongst police officers (Lindsay et al., 2011).

4.4 Engagement

Leaders have claimed that patrols have ‘bought into PW’ and, in some cases, is being linked to reductions ahead of target. There is evidence that leaders are using PW patrols as part of a focus on crime type reductions. It was stressed that when the time of certain officers was dedicated to PW, patrols of the maps were maintained, but once resources became stretched again officers were redeployed to other tasks and PW was temporarily abandoned. When it was used on the patrols, it was acknowledged that PW assisted with crime prevention aims. It was felt that PW fitted well with neighbourhood policing teams (NPT) and a time when officers could be dedicated to ward areas. NPT was relaunched across districts in March 2018. PW was seen as working best when officers could be assigned to it, but that it was less effective when officers might be redeployed to other tasks, a process referred to as ‘dosage diffusion’. This might lead to the impact of the PW intervention to become diminished and to be perceived by officers as counter-intuitive (Sorg et al., 2017). This would suggest the need to maintain PW as a random process with short-term rotations on a regular basis. Once engagement had been secured through initial briefings, officers with more experience reported using the maps more confidently and regularly than those with less experience in service.

Research elsewhere has found that collaborative leadership practices that involve employees in workplace decision-making have been shown to increase commitment, but have not been widely adopted within law enforcement organisations (Steinheider and Wuestewal, 2008). It has been found that although technology investment was a preferred means of communicating knowledge about performance, without addressing cultural barriers, an investment in technology may not yield the appropriate changes in behaviour (Collier et al., 2004). Consequently, technology needs to be integrated with working practices in order to reduce Organisational reliance on informal methods of communication. Police officer acceptance of technology is enhanced in relation to perceived ease of use and perceived usefulness to their role (Lindsay et al., 2011).

4.5 Measurement

There was much interest amongst leaders, sergeants and officers as to how success was to be measured. How could crime reductions be attributed to PW? What do officers view as a successful outcome? Our hypothesis on probation (HOP2) was: Officers view a reduction in crime as a successful outcome. An issue in the use of the technology for crime prevention – and for crime prevention more generally – is that the results of police activities are not apparent at the time that actions are taken. This contrasts with activities such as managing and recording incidents, or making arrests. With crime prevention, only retrospective analysis of crime figures can indicate the impact of the activity, and even then there can be scope for arguing issues of causality.

The reduction in burglaries for the first pilot area in Bradford East was taken as encouraging but there were questions as to how this could be sustained and attributed to the specific technology. Officers felt that they were being measured on different things. Research suggests that the measurement of police performance can be contradictory and in flux.

Officers can be caught between targets for solving problems and the quality of how they work (De Maillard and Savage, 2017). There was interest in how officer engagement was being tracked and the triple A (automated activity analysis) monitored. Police management of performance is a rapidly developing area, which will continue to evolve for the foreseeable future (Ho and Cho, 2017). Central government is advocating a change in the balance of accountability that has grown up over the last few years, with a shift away from central direction combined with a greater emphasis on tackling local issues and promoting stronger local accountability (National Police Improvement Agency, 2010). Her Majesty's Inspectorate of Constabulary (HMIC) conduct inspections looking at police effectiveness, the effectiveness inspection is very broad, covering the wide mission of policing – from preventing crime and anti-social behaviour to tackling the most serious elements of criminality that can blight our communities (HMIC, 2014).

Officers reported that their role had become far more reactive than preventative in recent years. The positive impact of PW could therefore represent a significant step forward in crime prevention and police effectiveness. This would, in turn, complement the Force's emphasis on Neighbourhood Policing Teams and its Early Intervention strategy. Research points to the positive impact of predictive policing if sustained. A key element, recognised by leaders, is to get regular feedback on 'dosage data' versus crime reduction. This becomes particularly useful for decision-making where PW is used for tackling different crimes. Availability of such measurement would enable better understanding of the validity of PW and help reinforce the use of PW, ensuring that it becomes embedded. Research supports such a move (Weisburd et al., 2017).

4.6 Displacement

Officers and managers were keen to know whether there had been displacement of crime to other areas and whether this was being measured. This was something that officers would like to receive information on and was not something they could report.

- Is there evidence of a displacement effect following PW?
- A diffusion of benefits is as likely to occur as displacement (HOP3).

Management were the ones who queried displacement most often.

The issue of displacement is a long-standing one as is demonstrated by the College of Policing's report, which argues for monitoring over the long term to consider evidence not only of displacement but also diffusion (College of Policing, 2013). There is evidence that intervention in one area can also have a positive effect in adjacent areas (Morgan, 2014). Officers confirmed that as a disruption tactic, there are recognized benefits to offenders being 'pushed out' of their comfort zone.

4.7 Mapping

How easy were the maps to be used? Officers found the maps easy to use (HOP4).

With the exception of initial teething problems, occasional server problems and misallocation of maps (e.g. on one occasion, the maps attached were for Bradford area and not Calderdale), officers considered that access to maps was easy.

Ease of use and usefulness to their role have been identified in earlier research as factors promoting acceptance of new technology amongst police officers (Lindsay et al., 2011). It was acknowledged that maps had improved as a result of the initial pilot phase and the changes incorporated following feedback. By giving attention to feedback, the project benefited from the possibility of both single and double-loop learning (Argyris, 2002). Single-loop learning allowed the correction of errors, such as maps not opening or too many maps produced by the algorithm. However, double-loop learning occurs when underlying features and values are revealed and challenged. For example, officers preferred to have times shown

on the maps - even though it was mentioned that these were only guides that should be taken alongside their own experience - as they could target their patrols. Officers wanted other offender-related information to be overlaid onto the maps so that they could target their activities in relation to offender management. Here officers seemed to be aligning with research suggesting that offender-focused policing that is combined with intelligence can act as a deterrent and reduce crime, by increasing the risk of capture in particular localities (Groff et al., 2015).

4.8 Police Community Support Officers

It was acknowledged that PW fitted well with the role of PCSOs, who were taken on to patrol and provide high visibility and reassurance policing within communities. However, due to staff shortages, PCSOs were being used for other tasks. It was felt that PW was good for allocating PCSOs to specific areas, which was especially helpful for new PCSOs getting to know an area.

Are PCSOs able to engage with PW and follow the maps?

PCSO's were able to follow the maps in the course of their duties (HOP5).

PCSOs reported using the maps regularly. PW was seen as being more readily part of PCSO duties as they were responsible for patrols and visibility and reassurance policing. PCs were used more for calls for service. However, it was noted that when demand was high, PCSOs were being used as "mini PCs".

PCSOs provide a form of 'soft' police power with fewer arrest powers and no weaponry whose presence in hot spots has been correlated with crime reduction (Barak et al., 2016). It was acknowledged that there was a difference between PCSOs with some being more proactive than others. Nevertheless, it was felt that PCSOs had more opportunity to follow patrol areas than PCs due to high demands placed on the latter with respect to calls for service. The College of Policing provides an operational handbook covering the role and deployment of PCSOs (College of Policing, 2015).

4.9 Specials

What barriers were encountered by specials in engaging with PW?

A lack of supervision and alternative direction impeded specials from engaging with PW (HOP6).

The dedicated website for specials - <http://www.policesspecials.com/> - describes their contribution: "The Special Constabulary is the United Kingdom's part-time police force. It is made up of volunteer members of the public who when on duty wear a uniform and have full police powers. There are nearly 20,000 Specials serving with police forces across the UK, working in all aspects of policing". There has been acknowledgment of a dearth of research into the role of specials with consideration of how they could provide more value for money, and how to increase retention (Wittle, 2014).

4.10 Officers

Officers were keen to know that times on the maps did not overrule their discretion based on experience. It is a traditional feature of front-line police that officers make use of their discretion in making assessments, based on the variables of the situation, the system and offenders. Research has also highlighted the importance of officer characteristics, including norms and moral beliefs (Buvik, 2014). A key question to be considered is how far predictive policing will reduce discretion plus whether we want to reduce discretion? Since norms and

moral beliefs are involved in discretion, this might result in varied practices between officers (Brayne et al, 2015).

In this project, it was emphasised that PW was an additional tool for crime prevention and did not replace the discretionary role of officers and their vital contribution to problem-solving in the community. There is a need to find a balance between departmental and community interests (Glaser and Denhardt, 2010). Officers reported residents voicing concern over what was happening after noting increased patrols in the neighbourhood. PW was seen as fitting well with NPT, which was initiated across districts in March 2018. Although PW is an example of location-based predictive analytics approach in policing, officers expressed more interest in detection and apprehension as well as offender management than crime prevention. Generally, officers felt that PCSOs were better-placed than them to follow the maps. This was due to a high level of calls for service putting pressure on officers to respond.

4.11 Force Approach

Officers were keen to know what approach was being taken for PW across the Force and also whether predictive analytics were being used by other forces. There was some scepticism around the quality of new technology and equipment allocated by the Force and also about new initiatives. Management support and leadership has been identified in earlier research as one of the significant factors promoting acceptance of new technology amongst police officers. There was evidence that the Force had not implemented new technology as well as it could have done in the past. This was demonstrated not least by the fact that information held on Neighbourhood Profiler was of significant value to officers of all ranks in districts but hardly any of them reported awareness of its existence.

5. A Model of Technology Acceptance

Having allowed themes to emerge based on an iterative process of consideration in responses to various hypotheses on probation (HOPs -1-6), we began to tease out the formation of categories. This recognises how categories are 'multi-dimensional and may consist of a number of sub-categories that together explain the broader concept' (Birks and Mills, 2011 p.98). The results of the process of categorization are shown in Table 1.

Table 1: Categories and Themes

<u>Themes</u>	<u>Categories</u>
Form of Intelligence	Technology and information systems
Visibility	Performance
Sergeants	Supervision
Engagement	Performance
Measurement	Outcomes
Displacement	Outcomes
Mapping	Technology and Information systems
Police Community Support Officers	Roles
Specials	Roles
Officers	Roles
Force approach	Strategy

The emergence of categories from the data provides help in the creation of a grounded theory that provides an understanding of how to enable the acceptance of technology in a police context. Figure 1 shows a model for enabling technology acceptance that emerged from our analysis. Of course, as a constructivist presentation, it also represents the views of the researchers.

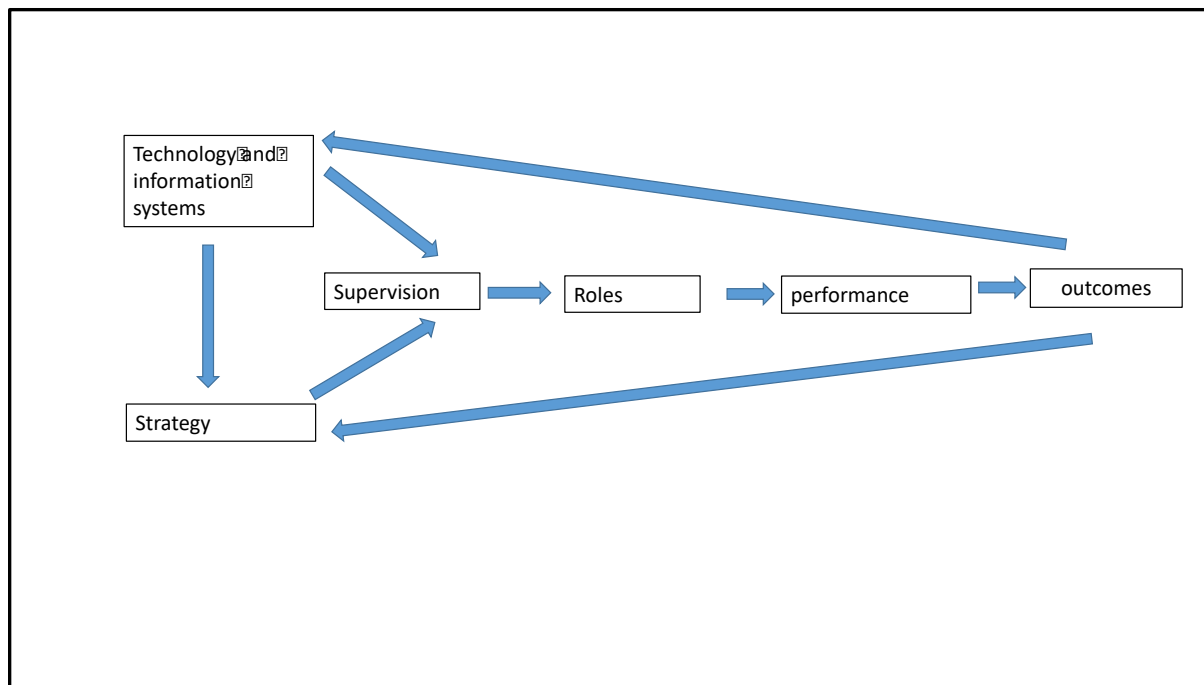


Figure 1: A Model to Enable Technology Acceptance in the Police

Based on this model, we sought to consider how it extends understanding in this emerging area of police activity (Charmaz, 2006). The link from Technology and Information Systems to Strategy reflects the importance to the police of increasing efficiency through the use of fewer resources while maintaining or increasing outputs (Lum et al., 2017). The WYP Police and Crime Plan (2016) acknowledges the limitation on resources and the role of technology and information to make decisions ‘to ensure community safety’. Less prominent in this process is the role of PPT and particularly the potential of the link from Outcomes in Figure 1 to create ongoing machine learning within the predictive algorithm. As more outcome data is provided from the use of PPT, the algorithm works to classify and categorise thereby adding to its power (Burrell, 2016). This dual process is facilitated within the algorithm by models such as neural networks and logistic regression. Marchant et al. (2018) show the consideration of Bayesian Optimization for police patrols. However, the translation of such information into strategic decisions on resource allocation needs to ensure that there is a degree of critique and ethical reasoning concerning the neutrality, objectivity and quality of what emerges from the ‘black box’ of the machine. As Joh (2017) argues, the Police are ‘not simply end users of big data’ (p.289), they also play a part in generating data through the recording of Outcomes and this can produce distortions such as race bias.

The link from Strategy to Supervision, if enacted smoothly, carries the traditional assumption within policing of a rank-authority and command and control within a rank structure so that a clear direction is established (Herrington and Colvin, 2016). While there have been efforts to reduce the number of levels within police structures, there continues to be concerns about the potential for confusion and poor communication and the impression by front-line officers that higher levels do not understand their work (College of Policing, 2015a). The implementation of strategy and communication to front-line officers falls to sergeants. In addition, for the link from Technology and Information Systems to work in PPT, sergeants are key in ensuring that the information for patrol plans is translated into action. However, faced with daily requirements from different sources, sergeants can distort or affect the message and even resist new work methods. It is suggested that sergeants’ briefing sessions can adopt a tone that creates an atmosphere against change including the use of technology (Hitchcock et al., 2017) and there may be times when rank-authority is required to ensure the message for PPT is ensured among sergeants.

Supervision impacts on the Roles completed by front-line officers that leads to Performance in the use of PPT to obtain Outcomes of use. Such roles cover regular officer, PCSOs and Special Constables. Research points to the positive influence of supervisors on front-line officer behaviour and attitudes (Cronin et al., 2017) so it is expected that if sergeants provide the mediation between Technology and Information Systems and Strategy for the use of PPT and the following of routes indicated by maps, this will produce the Outcomes that provide evidence or otherwise of impact. Of course, as has been strongly indicated by research relating to discretion, officers might choose to direct their efforts beyond patrols indicated by maps. While predictive policing might cast officers as users or consumers of big data, as represented in artefacts such as maps, and a limit on discretion, it is also suggested that officers have a part to play in providing information as outcomes which then become inputs. It is also suggested that such inputs may contain limitations which affect the reliability of information (Joh, 2017).

6. Conclusion

The research indicates the importance of six interacting factors in the adoption and use of PPT:

- Strategy sets the context for adoption and use
- Technology and information systems provide the means and opportunity
- Supervision influences the attitudes, actions and roles of the front line users
- Roles of different potential users are developed
- Performance indicates the actual use (or non-use) of the technology
- Outcomes concern the impact of the use of technology – which may be contested – and which influence future strategy and the development of the technology

In addition, feedback from Outcomes will enable to the Force to make adjustment to priorities and resource allocation as well as the potential for machine learning. The adoption of PPT across the Force allowed the data on use from Outcomes to be assessed. They showed for key areas of Burglary, Criminal Damage, Vehicle Crime and Anti-Social Behaviour across the areas where PPT was employed that crime figures fell for these categories by between 5% to 23% over a year (to October 2018). In nearly every case, the figures for PPT were better than districts that did not use PPT. So far then, PPT has proved successful and officers at all levels have accepted and valued its use. However, given some of the critique that has already started to appear in relation to PPT and predictive analytics generally, it also become important for the Force to progressively ensure that governance structures are in place and that the system is monitored and reviewed. It also suggests that as the Force moves in the direction of employing Web 4.0 technologies, it ensures that embraces what Schwab and Davies (2018) see as the need for collaboration among diverse stakeholders and the embedding of human values.

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Getting a better understanding of our BAME students – we can get them in, but how do we encourage them to stay, progress and attain?

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Abstract

This study is aimed at getting a better understanding of our BAME (Black, Asian, Minority, and Ethnic) students in terms of their early student experiences. Recognising that the Higher Education sector is becoming increasingly diverse, it is still surprising there is such a large attainment gap between BAME and white students in relation to 'good degree' outcomes. Not only this, there are huge differences in terms of BAME students retention and progression rates. This study aims to find out from analysing 100 first year student reflective essays, how they felt in their first 4 weeks, what factors helped and hindered them in their first semester and what additional support they felt they needed. It is hoped that common themes will emerge for all students but that specific themes will emerge for BAME students which will give further guidance to Higher Education Institutions towards reducing this shameful gap. It is also hoped that the results will give helpful insights to HR practitioners, in relation to factors that matter for BAME employees when they first join an organisation and factors which may better support their progression and attainment too.

Keywords: Higher Education, BAME, attainment, retention, belongingness

1. Introduction

BAME students now make up 26% of the UK Higher Education (HE) full time undergraduate student population (HESA, 2019). Yet, they still do not stay, progress and attain as well as their white counterparts. If we want our UK HE education system, and indeed our workplaces, to be truly diverse and inclusive, we need to look into why this is happening and what we can do about it. This research is important because as Amos, as cited in Bushby (2018), stated 'we need to understand the barriers to BAME student success so we can eliminate these gaps. We must ensure that students from all backgrounds can succeed.' (p.1)

2. Theoretical base/Literature Review

2.1 The changing face of HE

'Modern universities have become big businesses' (Bosetti and Walker, 2009, p.16). More recently, this has been further fuelled by competition from private providers, an increased focus on what employers want and employability skills (CMI, 2018), rapid technological advances (Bolden et al, 2012) leading to increased use of technology and innovation with delivery methods e.g. e-learning and thus opening up more international, offshore opportunities coupled with more international competition, and additional non-traditional HE qualification routes, e.g. apprenticeship programmes. This and the shift of funding away from the Government grant and tuition system to student owned tuition fees, plus the lifting of student quota controls has created an expansion in the higher education system (Boxall, 2016). This more competitive and diverse environment has led to changes within the landscape of which higher education is provided, the support that is given, the way in which teaching and learning is delivered, the way in which Higher Education Institutions (HEIs) are being led and managed, and the way in which students are supported and managed too (Ashwin, 2005; Brown, 2013).

As much as the number of universities or equivalent providers and higher education options, have increased over time, so have the number of students studying in higher

education. Moving away from an elite system whereby approximately 2% of school leavers went to university, we are now moving towards a mass education system aimed towards encouraging 50% of all school leavers to go to university (Dept. for BIS, 2016; Adams, 2017). As more people have entered university, this has created a move away from the 'traditional student' to a greater diversity and widening participation within the student body; many more female students, more mature students, more working students, more non-UK students, and more BAME students.

It is a positive move to widen participation within higher education but there are still huge questions about the attainment of certain groups, for instance students from a BAME background, those with disability and those from working class backgrounds (Equality Challenge Unit, 2018).

More recently the Teaching Excellence Framework (TEF) has been introduced to assess excellence in teaching quality and the learning environment at universities and colleges, and to measure the student outcomes and learning gain in terms of highly skilled employment or further study (Office for Students, 2018.) Much has been written about the TEF and its measurement since its launch in 2016. 'People are bashing it, praising it, arguing about the metrics it uses, and prophesying about how it will shake up higher education for good' (Anon, 2016, p.1). The National Union of Students (NUS) were and remain unconvinced (NUS, 2016a and 2016b), yet the Times Higher Education sees it as a positive step towards recognising quality with academics at all levels having differing views on the metrics proposed and used (Cryan, 2018). Nevertheless, the aim of the TEF is to increase transparency, choice and competition and by doing so 'drive UK productivity by ensuring a better match of graduate skills with the needs of employers and the economy. It will ensure better outcomes for all students, including those from disadvantaged backgrounds.' (Dept. for BIS, 2016, p.5.)

Whatever the vehicle, it is a positive move to work towards better outcomes for all. However, as previously mentioned, if there are still questions about the attainment within HEIs of certain groups, for instance students from a BAME background (Equality Challenge Unit, 2018), then there must clearly be a relationship between the attainment of these groups within HE and their ability to attain highly skilled graduate jobs, once they leave HE. The TEF has helped to highlight through their race-based split metrics the attainment gaps of different HEIs but have not yet started to penalise those HEIs with the larger gaps. For instance, over a quarter of institutions with the worst attainment gaps are rated through the TEF as 'gold', and over half are rated as 'silver' (Buckley-Irvine, 2017).

2.2 The shame of HE

It is shameful to admit that there continues to be a considerable gap between the proportion of white UK students receiving 'good degree' outcomes (first class and upper second class honours) compared to UK BAME students. This attainment gap has persisted at least for the last decade (Advance HE, 2018) with Buckley-Irvine (2017) stating that this is a long standing issue that HEIs are still struggling to treat with the urgency that it deserves.

In 2017/2018, according to the HESA statistics (2019) there were 1,505,065 full time undergraduate students in the UK, of which 930,230 were white students (approx. 74%) and 26%* BAME students (*% figures for BAME include BAME and other). Within the first year full time UK undergraduate student group, there were 442,240 full time UK domiciled students overall, of which 72% were white students and 28% were BAME. In the final year of their undergraduate studies, the figures show that 345,635 completed their degree studies with 262,415 of those being white students (76%) and 83,220 being BAME students (24%).

Of these 2017/2018 full time final year undergraduate students, 252,880 attained a good degree outcome with 200,575 of those being white (79%) and 52,305 being BAME students (21%). These results show that 76% of all white students attained a good degree outcome and 63% of BAME students did, showing an attainment gap of approx. 13%. (This gap has been averaged out across the BAME group, as for black students their good degree attainment was 55%). In 2015/16, a 15.6% attainment gap was reported between white graduates and BAME graduates (Advance HE, 2018). Again, outcomes vary by ethnic group,

with the biggest gap being again between black and white students. 'Unfortunately, the crisis is not a new one, and we should be asking ourselves how to make an equitable university system, where your grade is not influenced by your skin colour.' (Buckley-Irvine, 2017 p.3)

In addition to the much-reported attainment gap, equally worrying are the vast number of BAME students who leave HE within and/or at the end of the first year due to the complex challenges they face. For instance, the non-continuation rates for black students is almost 1.5% higher than white or Asian students (Sellgren, 2017). This attainment and retention gap within education has been put down to an implicit bias towards white students (from staff and students), a lack of cultural connection through the 'white curriculum', difficulties developing connections and building relationships with academic staff and students from different backgrounds and additional financial and mental health stressors (Williams, 2016; Lawton, 2018). Increasingly, these factors are pushing our BAME students to being less satisfied with their student experience than their white peers, and so increasingly feeling more isolated and more excluded than others, and thus increasing their chances of withdrawing. According to Connor et al (2004) 'the minority ethnic population does not participate in HE in a uniform way...a range of factors affect their HE entry, but aspirations and expectations of the value of, and benefits from, higher qualifications is a more significant positive 'driver' for minority ethnic students...This combines with greater parental and family influence' (p.xiii). This suggests that BAME students join HEIs with a different set of expectations and motivations to be there, than their white counterparts. However, the temptation is to treat them all the same and as such Berger and Wild (2017) state that BAME students are at risk of receiving a substandard University experience and ultimately a substandard chance of being employed, once they have graduated; especially if employers are asking for a minimum of a good degree outcome. All of this ultimately compounds their chances of higher level employment and career success in the labour market.

Advance HE (2018) state that students must be at the centre of correcting this issue but should not be the centre of the issue i.e. the focus is not on 'fixing' the student but on 'fixing' the institutions. They state that action needs to focus on the barriers within the HEIs; created by the organisational culture, the teaching and learning provided and the curriculum, in order to address the inequalities in the student experience.

In summary, notwithstanding the complexities and interconnections with other variables e.g. age, gender, disability, socio-economic background and educational background etc., it is clear that HEIs need to get a better understanding of BAME students and the barriers they face. This will then help to provide them with an appropriate level of support in order for them to get the most out of their HE experience early on, in order to improve their chances of staying and attaining in the future. Recent work has linked belongingness with student retention and student success (Cousin and Cureton, 2012; Thomas, 2012; Thomas et al., 2017). This research proposes that belongingness starts at induction, encourages friendship forming and engagement, which in turn increases students likelihood of staying and succeeding. Further research has shown how belongingness differs amongst ethnic groups (Cureton and Gravestock, 2019), highlighting that choosing to 'opt out' of 'belonging' is less available to BAME students.

3. Research question/s

Based on the insights driven by the literature review, the key research questions are:

- (1) What are our (BAME and white) students thinking/feeling in their first few weeks at university?
- (2) What are the differences between BAME and white student reflections? What are the key themes?
- (3) What do our students perceive we do at our university to help and hinder their early journey into HE?
- (4) What more do our students think we could we do to support their early journey into HE?

4. Methodology

To address the research questions the study adopted a critical realist position and an interpretivist theoretical perspective; the central purpose being to understand the lived human experience and subjective world of our first year students (Cohen, Manion and Morrison, 2017). Notwithstanding the risk of 'participant error' (Robson, 2011), it was considered most important that the student voice was captured as the focus is on their perceptions of their personal experiences.

The research participants were all first year students attending a business management related undergraduate degree (UG) in a UK HEI Business School. Creswell (2007) recommends a range of 20 to 40 participants within a sample for qualitative studies. The sample size for this study was determined by the number of UG students who had studied a core business management 20 credit module entitled 'Learning for Business Success'. All these UG students were full time, first semester students. There are two reflective assessments for this module. As part of their first reflective essay (assessment 1), they are asked to reflect on their first 4 weeks with us at University. As part of their second reflective essay (assessment 2), they are asked to reflect on what has helped and hindered their HE journey so far. Only those essays that had reflections in both areas i.e. their first 4 weeks and factors that helped and hindered, were included in the empirical data set. The pass mark was not a determining factor. The background characteristics of the students e.g. whether there were white or BAME students was key to this study and so the students work was selected based on the 5 HESA categories; White, Black, Asian, Mixed and Other. The aim was, where possible, to have an equal split.

Collecting an empirical data set comprising of 100 reflective assessments, allows comparisons to be drawn and to assess whether generalisability between types of student can be reached (Saunders, Lewis and Thornhill, 2016). With this amount of essays, there should be sufficient data to triangulate and explore the findings further, and to strengthen the assumptions being made, which in turn will help to ensure validity, reliability and credibility of the results (Farquhar, 2012).

The first stage was to select the 100 students based on their characteristics and then download their two sets of essays and to extract the sections that related to the first 4 weeks and the helping/hindering factors. The second stage will be to upload these extracts onto NVIVO and to read and code the detail. In the final stage of analysis, the codes will be collapsed into key themes and comparisons will draw between the two different groups of students. It is hoped that this analysis will be done in time for the UFHRD Conference, so that the results can be shared. The plan is to then carry out some follow up group discussions with a mixture of students around the key themes/results to understand their experiences more deeply and to gain insights into what the enabling factors and barriers might be, in order to better support their transition and progression further along their student journey.

5. Implications for HRD theory and practice

It is expected that this research will highlight that all students, both BAME and white students, have a similar perception of their early HE experiences but that there are BAME-based differences in terms of the impact of these. It is also expected that the barriers faced by white students are not as complex as those faced by BAME students. It is also expected that the results will help to reaffirm the importance of creating an early sense of belonging (Cousin and Cureton 2012; Thomas, 2012; Thomas et al., 2017) and the need for HEIs to work directly and proactively with students to ensure belongingness is open and accessible to all.

It is hoped that having a better understanding of our BAME students expectations, their worries and concerns and reflections on what has helped/hindered their early HE journey, will give us some ideas towards being more innovative and creative when supporting and preparing them early on, to ensure they settle in more quickly, are more likely to stay and are more likely to successfully progress.

As previously mentioned, and reaffirmed by Advance HE (2018) it is about 'fixing' our institutions, not our students, and so with this in mind, it is hoped that the results will be

particularly important to learning and teaching practitioners (as teachers/academics and researchers) as they will be responsible for shifting the HE landscape towards a more inclusive culture in the future.

Also, it is hoped that these results will also be interesting to those outside of the HE context, within a HRM and/or HRD type role, as there are implications from a recruitment and selection, induction, learning and development point of view in terms of how we develop a more diverse workforce. Recognising that there are currently less BAME employees in the workforce with undergraduate degrees and those that have these degrees may not come with as good a degree outcome as their white counterpart's do, then perhaps there needs to be some flexibility in our HR practices and a better understanding on how these employees may be better supported and encouraged when they join an organisation but also how we could better encourage and develop them to stay.

The CIPD (2018) recognise that there are less BAME employees in highly skilled jobs, in turn this is limiting the number of BAME employees in the talent pipeline of organisations and as such is reducing the number of BAME role models at more senior levels. Anything that HR, employers and HEIs can do to better understand how to encourage BAME employees and/or students to stay, progress and attain, beyond just recognising that a gap exists, has got to be better for our student-base, workforce and economy moving forward.

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Integrating transformative learning with Northeastern University's self-authored integrated learning (SAIL) tool: Implications for HRD

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Abstract

The purpose of this working paper is to present critical inquiry into the connections between Transformative Learning and Northeastern University's Self-authored Integrated Learning (SAIL) Tool. Through the theory overviews and case analysis, a model is proposed with applications for teaching and implications for HRD.

Keywords: transformational learning, agility, HRD

1. Challenge for Higher Education

Higher education (HE) has gone through a sea change due to advances in technology, including disciplines that credential Organisational leaders and aim to transform thinking (Bennett and Gorman, 2017). This sea change is necessary given a future that threatens replacement of human jobs with new technologies and artificial intelligence (Lee, 2018), possibly as high as half of the jobs we know today lost in the next decade. Many programs intentionally incorporate elements that prepare students for the future workforce or to help existing workers upgrade knowledge and skills, or to career transition. HE has functioned as an important context for training and credentialing people, thus an important part of the human resource development's (HRD) pipeline into the work world. When schools incorporate skills for the sake of future employability, the term pre-HRD has been coined (Bennett and Burkhardt, 2017). The nature of learning has changed as students construct new knowledge based less and less on rote memorization of facts and more on experiential learning and application of ideas to contemporary problems. This transition is necessary to prepare the upcoming workforce to navigate quickly changing knowledge in the current economy. HE has long held that advanced thinking skills are an important outcome of degree programs, though graduates sometimes fall short of this ideal.

2. Transforming Educators and Learners

In this new era of higher education, and the push to create robot-proof learners and workers (Aoun, 2017), educators must navigate the pull between students' desire for clarity, or spelling everything out, and fostering opportunities to sharpen thinking through ambiguity that can deepen insight and change student perspectives; however, the burden of learning transfers to students as active producers of knowledge. Instructors have to be willing to incorporate greater ambiguity and a measure of chaos into course design, which is uncomfortable for student and teacher alike. For teachers, fear that student frustration with nebulous, messy, problem-based assignments will negatively impact teaching evaluations may be risk-averse to leveraging HE to promote learning and intellectual agility. The purpose of education moves from giving pre-determined answers to helping learners discover answers through signature assignments and intensive field projects. Educators may wonder, "*If class isn't fun with quick bites of learning, will students ding high stakes course evaluations*?" Truly transformative education is a boon to HRD, but it means educators must be willing to exist in a state of discomfort by incorporating ambiguity and demonstrating its worth to students and future employers. Transformative education not only prepares students for the messiness of Organisational work, but it may foster transformational learning. The purpose of this paper is

to discuss Northeastern University's tool for exploring and capturing the development of competencies through a new tool called the Self-authored Integrated Learning (SAIL) and analyse it using Mezirow's (1981; 1985; 1990; 1991; 1994) transformative learning theory. We provide the background to SAIL, theoretical basis for transformative learning, a model overlays TL and SAIL dimensions, present instructional mini-cases that represent the model, and address implications for HE and HRD.

3. Background

Various areas of HE are struggling with these issues and to demonstrate worth at a time when the value of formal degrees is being questioned (Isopahkala-Bouret, 2015). Northeastern University developed in the late 1800's under the auspices of the Boston YMCA (Young Men's Christian Organisations), which aimed to provide education a high immigrant population in Boston with education so often reserved for the elite of society (see: <https://www.gradschoolhub.com/colleges/northeastern-university/>). The YMCA's focus on adult education can be recognized in the story of Malcolm Knowles who popularized andragogy (Knowles, Swanson, and Holton, 2005) and who was the director of the Chicago YMCA for a time. In keeping with Northeastern's educational mission, the university has developed an approach that helps students foster skills and competencies across courses and content areas, which fits its history of cooperative education that matches students and employers for hands-on industry experiences. By drawing on a holistic learning philosophy, SAIL was developed to help students capture and share dimensions of learning that accrue over time into various masteries. This tool is meant to help educators and learners recognize important learning moments and competencies that can be used to assess development over time. Additionally, learners can articulate their skills or competencies gained to build a portfolio for employers.

3.1 Brief Overview of Mezirow's Transformative Learning

Based on an empirical study of adults returning to school, Mezirow developed the theory of Transformative Learning (TL) that starts with a disorienting dilemma (Mezirow, 1990, 1991, 1994), which can occur in the midst of uncomfortable assignments when constructive criticism could be viewed as judgment. For a recent example, students struggle with and come to a new understanding of personal privilege in a service learning experience (Fritze, 2017). Mezirow stresses the need for critical reflection in these moments, which empowers perspective transformation that changes fundamental meaning schemas or knowledge structures within a learner. Meaning schemas are often based on knowledge received uncritically (Mezirow, 1995) and they affect how new knowledge is interpreted and acquired. When new learning does not fit old schema, the learner can ignore the information or wrestle with it by addressing potential flaws in meaning schemas when compared with the new. This is different from additive knowledge because TL forever shifts how learners view the world. Transformative learning depends on mature cognition called critical reflection, a premise that has been criticized in adult education literature (Merriam, Caffarella and Baumgartner, 2014). In 1991, Mezirow introduced three types of reflection: *Reflection*, *Process Reflection*, and *Premise Reflection* triggering transformational learning.

3.1.1 Overview of SAIL

As previously introduced, SAIL was generated to support and promote holistic learning and growth of professional goals (Talgat et al., 2017). The SAIL framework is a means for the learner to explore epistemological and ontological opportunities for recognition of cumulative learning moments. The design of the framework has an inner-ring of Foundational Masteries including: intrapersonal skills, interpersonal skills, attributes, and strategy (See Figure 1). These Foundational Masteries describe the metacognitive grounding for the learner. Each mastery can be further defined as intrapersonal skills comprises autonomy to resilience, interpersonal skills encompasses communication to teamwork, attributes embraces humility to integrity, and strategy incorporates critical thinking to innovation.

The next ring in the model moving from the inner Foundational Master is Discipline Specific Competencies to be defined by the learner's professional field. Moreover, the Foundational Masteries and Discipline Specific Competencies can be practiced in any of the five learning dimensions. The richness of the model is associated to the opportunities of learning through Intellectual Agility, Global Mindset, Social Consciousness and Commitment, Personal and Professional Effectiveness, and Well-Being. The five learning dimensions are purposefully constructed to intersect and overlap illustrating the interdependence of skills, literacies, and proficiencies.

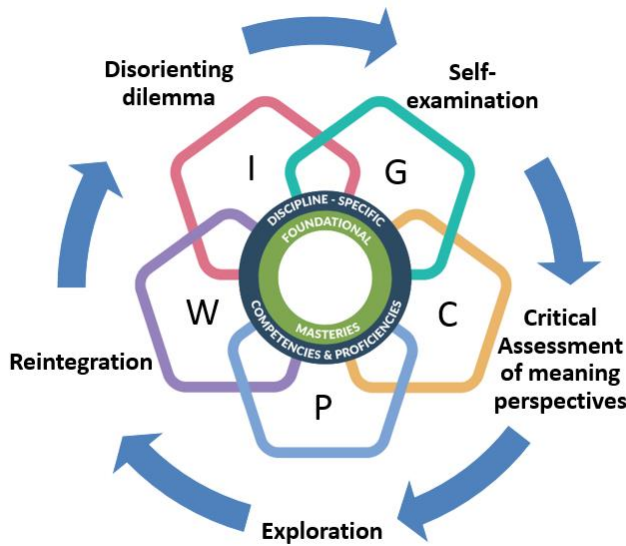
In the following, explanations and examples will offer greater depth into each SAIL learning dimension. Intellectual Agility is described as constructing, thinking, and behaving through flexibility. An example of Intellectual Agility would be a learning developing a project plan, then adjusting the plans when faced with a limitation of resources. Global Mindset encapsulates the dynamic cognitive and behavioural activity associated to awareness of the other. An illustration of Global Mindset would be realigning the marketing campaign to distribute free trial size cereal bars in a Muslim community during Ramadan. Social Consciousness and Commitment engages the intersectionality of society and community with awareness of social justice and empathy. Opportunities to build knowledge and learn through social consciousness and commitment can be experienced through mentoring in a local immigrant community to support their acculturation and advocate for their needs. The remaining dimensions, Personal and Professional Effectiveness and Well-Being have a broad understanding. Personal and Professional Effectiveness leverages career and life goals. Well-Being supports the recognition of balance to fulfil life purposes.

The institutional strength in the SAIL framework is the ability to build a common language throughout the institutional community by sharing the concepts during instruction, discussion, coaching and feedback (See <https://sail.northeastern.edu/about/>). There are opportunities for learners to self-assess their type and level of participation in the holistic learning framework. If there is a feeling of an under-developed dimension, one could seek out opportunities to experience activities identified as supporting specific dimensions. The criticism of the SAIL research has centred around the lack of causation and correlation of the learning dimensions as separate entities as there can be overlap between the Foundational Masteries as well as the competencies and dimensions. This criticism does not prevent the positive recognition of evaluating learning.

3.2 Framework of TL Overlaid with SAIL

The framework demonstrates how all learners, including educators, utilizing the TL processes connecting with SAIL may generate more critical thinking and resiliency becoming comfortable with discomfort (Figure 1). The key is for educators and students to recognize dilemmas that cannot be explained by current understandings (meaning schemas) and encourage learners to process them rather than reject them due to discomfort. The model of TL processes overlaid with SAIL offers continuous learning through resiliency, mindfulness, and ethical reasoning that can be incorporated into curriculum design through learner well-being.

Figure 1: Framework of TL Overlay with SAIL



SAIL Dimensions Legend

I – Intellectual Agility
 G – Global Mindset
 C – Social Consciousness and Commitment
 P – Personal and Professional Effectiveness
 W – Well-being

One mini-case comes from a learning activity, *Target Expansion - Bridge Building*, is a class activity with learning outcomes from Foundational Masteries of intrapersonal skills and interpersonal skills, along with a focus on Intellectual Agility and Personal and Professional Effectiveness. At the beginning of a graduate capstone class, student teams are faced with a challenge. The Facilitator offers a storyline that the Husky Company wants to expand their target audience to communities that are across the river. They are asking for a bridge to be built for quick product distribution to another community. The parameters are that each team has limited resources and time. Resources provided are 1/8 of a 16oz box of spaghetti, two plastic cups, four marshmallows, two pieces of paper, and two rubber bands. The team can use their electronic devices to research engineering and construction of a bridge. The bridge must hold a cell phone and will need to withstand being moved to the evaluation table. After constructing the bridge, teams reflect on the experience by generating a presentation responding to the following prompts. Identify why your bridge meets the company's need. What was a concept that was valuable or employed? Articulate the criteria employed and the greatest learning gain through the team process. Provide evidence of your work. What was the objective for the Husky Company? Does this bridge meet the objective? After all the team presentations, the facilitator poses an opposing question. Why did you build a bridge, could trucking the products have been an effective option?

At the next gathering, the learners are asked to complete a worksheet listing the SAIL framework. They select the related skills, attributes, and competencies employed to accomplish the *Target Expansion - Bridge Building* activity. The students self-assessed their learning through critical thinking, creative thinking, teamwork, conflict resolution, resourcefulness, and resilience, to name a few. The activity potentially promotes a transformative learning opportunity as the students are faced with the disorienting dilemma, recognising they blindly followed instructions. They critically question their actions and assess their process gathering more inputs, then exploring alternatives for future decision-making.

A second mini-case from the Educator's perspective is associated to facilitating the creation of a Cultural Audit. Within a graduate cross-cultural communication course, students explore their selected cultural field for in-depth analysis, calling for humility (Foundational Mastery). As the instructor recognized that they could not be an expert in each student's cultural field, the instructor struggled in questioning possible biases or my own unconscious bias. After some internal questioning and discovery, the instructor provided the students with constructive feedback emphasizing the value of exploring all sides of the cultures history,

politics, and linguistics. Ultimately, the learning and end products were richer with discovery. The instructor claimed strengthening in their own SAIL dimensions of Intellectual Agility (I), Global Mindset (G), and Social Consciousness and Commitment (C).

3.1.2 TL and SAIL in Scholar-Practitioner Research

Northeastern's Doctor of Education program in Organisational Leadership studies is almost wholly online and it is focused on scholar practitioners. Reflection is a fundamental competency as students apply theory to practice over their course work and on into thesis research. Students can experience TL while exploring their subjectivities, building logic and rationale for researching their problems of practice, and conceptualizing findings that have the capacity challenge and change their worldview. Though some may question the value of a terminal degree for practice, Bennett and Gorman (2017) advance the notion of research as critical for transformation of thinking patterns, which have the power to transform practice. Some aspects of research cannot be fully understood until they are experienced as doctoral candidates' journey through and eventually defend the thesis. Many of the research studies in the program are qualitative, which are highly applicable to local and particular problems of practice. They also challenge students to see problems through the eyes of other people, leading to great surprises.

The coursework in the program often has both content objectives and doctoral objectives that help prepare students for thesis work. For example, *Global Perspectives on Organisational Culture* is a required course that integrates an experiential field project. The field project involves students working on virtual teams to develop an interview guide based on Organisational culture theory. Each student on the team must conduct two interviews at one organisations, and the team then analyses the data for findings and recommendations to the respective organisations. The purpose is not to receive theory uncritically, but apply theory to build understanding of practice environments and conversely use the findings from the practice environments to interrogate theory. In this manner, the assignment holds potential for critical reflection that can lead to transformation. Though not a full-blow culture analysis, students try out research skills, sometimes finding great contrast and other times finding similarity in patterns across sites.

Periodically, students report learning moments that incorporate into their own practice and represent potential for transformative learning. One student indicated perspective change after an interview assignment that improved his sensitivity to employees he manages. He stated:

This was the second class in a row where I had to conduct an interview. On one hand, it's starting to get much easier, but, it never ceases to amaze me how easy it is to forget the humanity behind the worker. The passion, the honesty, and the earnestness of the interviewees is stunning; so many people are so entrenched in their work, they just want to be heard and appreciated. I can honestly say that I've become a much more sensitive manager as a result of these interviews. People who I don't normally "appreciate" other than for their productivity, now look different to me. Plus, I listen to them differently, too. I manage better because I manage the holistic person, not just the "social security number that produces a revenue number". The actual interview creates a sudden level of intellectual intimacy which can be a little disconcerting at first, but it's great practice and very professionally developmental.

The instructor connected with the student discuss the transformational aspects of his experience, and to indicate the connections to SAIL. The student also granted permission to share this quote. The most obvious connections were to Intellectual Agility (I), Social Consciousness and Commitment (C), and Personal and Professional Effectiveness (P). The student indicated disorientation and a flawed meaning schema. His direct management practice was not the subject of the assignment, but was enhanced to become more humanistic and appreciative of others in the course of field work. More formal integration of SAIL is being implemented, especially since learning in this course could also score high on developing

Global Mindset (G) given the content area. SAIL can help track doctoral development through course work and culminating thesis work, giving them language to discuss the value of the degree in new ways.

4. Summary

The above mini-cases offer evidence to illustrate the overlay of TL and SAIL. Learning components emphasized Foundational Masteries along with dimensions pairing discipline knowledge to create opportunities for transformative experiences. As a further example, an educator employing empathy (interpersonal skill) is a vital part of design thinking (Bennett and McWhorter, 2019), which is Intellectual Agility (I). Utilizing TL processes demonstrated in Figure 1, learners may think more deeply, flexibly, and become comfortable with ambiguity. The key is for educators and students to recognize dilemmas that cannot be explained by current understandings (meaning schemas) and encourage learners to process them rather than reject them due to discomfort. There is rarely a prescriptive “right” answer in these learning cases. Figure 1 illustrates how TL processes overlaid with SAIL offer a continuous learning model through resiliency, mindfulness, and ethical reasoning. Ultimately, this can be incorporated into teaching, allowing students to self-assess progress on SAIL dimensions.

5. Implications for HRD and Higher Education

As HRD practitioners grapple with a world in transformation due to globalism and the advancement of technologies, there are several 21st Century demands. It is critical to address the HE to workforce continuum and to address talent strategies for building innovation and creativity necessary for employability, as AI becomes fully integrated into industry (Bennett and Gorman, 2017; Bennett, 2018). Organisations will need to analyse the value of tools like SAIL to assist with recruitment, especially since they represent competencies that often do not show up on degree transcripts. Increasingly, HE students may present portfolios to employers that demonstrate critical thinking, creativity, and flexibility, but also evidence of social and collaborative skills needed for teamwork.

The SAIL model overlaid with TL can help both arenas recognize and document important learning moments and the development of competencies over time. Models of this nature can be applied to talent management systems, including adding dimensions that make sense in the work world. HRD can also critique and communicate missing elements to HE so that pre-HRD functions are met. They may also help articulate the value of metacognition, intuition, and creativity that are characteristic of human work, and not yet fully replicable by technology.

The dimensions and foundational masteries in SAIL could help advance virtual HRD (VHRD) (Bennett, 2009), particularly technology development that combines HRD tools, techniques and theories with technology to improve an organisation’s learning capacity (Bennett, 2014; Bennett and McWhorter, 2014). It can also assist empathy, creativity, and learning agility used in design thinking for Organisational and social innovation (Bennett and McWhorter, 2019). Additionally, VHRD incorporates cultural relevancy (Bennett, 2009), which aligns nicely with SAIL. Though some believe that AI elucidates the human learning process (Lee, 2018), there are many aspects of human learning to be explored and leveraged to keep people thriving in the future.

6. Instructor Development within HRD

Instructor development is a special kind of HRD. HRD within HE can address how new instructional models can help educators meet important learning competencies and outcomes, whether online or on ground. Future iterations of the TL Overlay with SAIL model applied to teaching practice may be able to incorporate more types of critical reflection to further student development.

- Assess readiness to learn early (I,G,C,P,W)
- Articulate expectations. Example: “A” means Above and Beyond! (I, P)

- State the goal of enhancing critical thinking (I,P)
- Incorporate experiences with high potential for perspective change, but remain ethical (e.g. recognize signs of unhealthy stress – W)
- Make room for exploring disorienting dilemmas, and act as a thinking partner with students using cognitive presence (I, C, W)
- Supply emotional support for discomfort (W,C)
- Evaluate outcomes for accurate learning impacts and reflection on change in worldview (I,P)

Furthermore, research could focus on learners Well-being (W) associated to course/teaching evaluations, along with the TL process for the educator. Additionally, research is needed to explore the impact of Well-being (W) from the educator's perspective in challenging students for long-term growth over short-term ease. How can facilitators balance between student learning through evidence and transferability of concepts with the need for popular positive evaluations (Harward, 2016; Houghton and Anderson, 2017). In conclusion, SAIL integration offers methods for deeper thinking and reflection for TL. Truly, transformative education means engagement with learners and leveraging disorientation. Educators can use SAIL language and processes to promote self-examination. Promoting a framework as this helps to tackle the development of students and employees so that they remain employable as AI unfolds being one of the major focuses for HRD in the coming years.

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The experience of undertaking a part-time, postgraduate, professional course without an undergraduate degree: Preliminary findings from interviews

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Abstract

Recognition of prior experiential learning (RPEL) is the process that accepts work experience as a proxy for academic attainment in university admission. This working paper presents the preliminary findings from five interviews of RPEL students. All were students at Leeds Business School, studying for postgraduate qualifications in Human Resource Management (HRM) and Level 7 membership of the Chartered Institute of Personnel and Development (CIPD). It forms part of a hermeneutic phenomenological study into the experience of undertaking a part-time, postgraduate, professional course without an undergraduate degree. This working paper presents the first opportunity to explore the data and engage with Van Manen's (1990) six stage, hermeneutic phenomenological research framework, in particular the second stage, *investigating experience as we live it*. Key themes emerging from this preliminary analysis relate to participant backgrounds or biographies, motivation, the existence of a community of practice, the significance of a student centred approach to learning in the andragogy, barriers and enablers to learning for the RPEL student, an enhancement of self-awareness, an initiation of reflective practice, which mitigated against feelings of imposter syndrome.

Keywords: RPEL, postgraduate, hermeneutic phenomenology, interview data

1. Introduction

My thesis for my professional doctorate in education is a hermeneutic phenomenological study of the experiences of a group of non-graduate adult learners admitted to their programme, through Recognition of Prior Experiential Learning, which is defined as:

The process for assessing and awarding credit for learning that has been achieved through experience and/or training that has not been certificated or formally assessed, (Leeds Beckett University, 2016, p. 2).

Writing this working paper, offers an early opportunity to engage with the data and undertake preliminary analysis, identifying emergent themes and provide engagement with the second stage of Van Manen's (1990) framework for hermeneutic phenomenological research, (see below). For my thesis, the data will be interpreted through the lens of affinity identity (Gee, 2007), but this paper stops short of interpretation from any theoretical perspective, as this is an activity to be engaged in the future when the remaining data has been collected. The paper is presented as follows. First, the background to the research and my motivation for undertaking the study is explained. Second comes an outline of my methodology and an explanation of the interview process. My findings are presented with reference to literature and I have used selective quotations to add emphasis to particular points of interest. The final section makes some initial, concluding observations.

2. Background to the Research

As an academic, I had always appreciated the particular value that mature and practised students brought to the classroom. The students had learnt their profession through real-world experience, adding value to the learning experiences of students and tutors alike. It facilitated an environment, which embodied some of the most positive aspects of experiential

learning, such as fostering critical thinking and problem-solving skills (Kennedy, Lawton and Walker, 2001) and positively impacting student learning (Warren, 2012). On embarking on my study, I discovered that the experiences of older students (Baharudin, S., Munira, M. and Mat, 2013), female students (Shepherd and Mullin, 2012) and those returning to education after a significant gap (Roths, Lemos and Gonçalves, 2014), were well documented. However, the learning experiences of students on taught post-graduate courses, were not widely discussed in the literature on higher education (Ho and Kember, 2018). There were some studies focusing on the student pursuing a part-time post-graduate degree (Cohen and Greenberg, 2008), (Burrow et al., 2016), but there was very little literature examining the additional challenges faced by those entering postgraduate study with no prior experience of higher education. My study is intended to address this absence.

3. Methodology

I sought a methodology that would facilitate achieving the project aims and accommodate my epistemological perspective as a subjective, insider researcher; that is someone who is researching in an area focused on the setting in which they work (Robson, 2002). Hermeneutic phenomenology was concerned with examining how a phenomenon appears, and significantly, "the analyst is implicated in facilitating and making sense of this appearance" (Smith, Flowers and Larkin, 2009, p.29). Additionally, in hermeneutic phenomenology, the researcher is integral to the research process and their previous understanding and knowledge enables interpretation, (Finlay, 2008) (Tuohy et al., 2013).

My methodological approach is based on Van Manen's (1990) six stage, hermeneutic phenomenological research framework, "a dynamic interplay between six research activities" (1990, p.30). The first activity is *turning to the nature of the lived experience*. Here the researcher selects the phenomenon of interest and commits to research it. Second comes *investigating experience as we live it*. It means turning to the things themselves, exposing oneself to the fullness of lived experience, actively exploring it in all of its nuances. The third activity is *reflecting on essential themes*. This is necessary, in order to get an insight into the essence of the lived experience. The fourth stage is *the art of writing and rewriting*. Hermeneutic phenomenological research was considered to be fundamentally a writing activity (Gadamer, 1975). The fifth stage is termed *maintaining a strong and orienting relation*, where the researcher must strive to remain true to the fundamental question and avoid mistaking opinion, perception or preoccupation for essence. The sixth and final stage is *balancing the research context by considering parts and whole*. One has to avoid becoming so engrossed in the writing, as to "get stuck in the underbrush and fail to arrive at the clearings that give the text its revealing power" (van Manen, 1990, p.33).

The last three of these dynamic interconnected research activities constitute Heidegger's *hermeneutic cycle* (1962). This is the process where understanding is sought by examining the parts of a text individually and how they inform the whole and by examining the impact of the whole on the individual parts: that is the overall phenomenon of undertaking postgraduate study without an undergraduate degree and all this comprised.

Presenting the preliminary findings from my data presents an opportunity to engage with the second stage, *investigating experience as we live it*, seeking illumination of the data by reference to literature.

3.1. The Interviews

For my study, a purposive sample of participants was recruited, with one initial inclusion criterion: that participants had enrolled on their master's level programme without first having undertaken an undergraduate degree. Data was collected via interviews as this method allowed participants to discuss their interpretations of the world in which they lived, and to express how they regarded situations from their point of view, (Cohen, Manion and Morrison, 2011). Interviews were recorded and comments typed up into transcripts. A semi-structured interview approach, using the research questions as scaffolding, was taken because of the

opportunities it offered for interviewer control and limiting discussion to the phenomenon, yet still allowing scope for flexibility in response, (Bryman and Bell, 2007).

4. Findings and Discussion

The findings are presented with discussion of relevant literature and illuminated with quotations from interview transcript. Cordon and Sainsbury (2006) found that participants liked having verbatim quotations included in the text (assuming anonymity) because it made the text more convincing and authentic and that seeing their thoughts as they expressed them made them feel that their ideas were important and being taken seriously. Although I have identified participants as Interviewees A-E in my records, I have chosen not to 'name' each one here, but have included a wide range of quotations from all participants. To enhance visibility, verbatim quotations from interviews are shown in italics.

4.1. Participant Biographies

Interviews revealed that participants could be described as non-traditional students, in that they were mature students and often among the first in their family and/or friendship group, to participate in higher education (Crosling et al., 2008). Maras (2017) cites the instrumentality of social identity in determining participation in education. Although, the prospect of attending university had previously been considered by some, it had been discounted for reasons including following a traditional apprenticeship or seeking full-time work to pay off outstanding debts. Other participants had not considered university, having no tradition of entering higher education in their family or peer group:

I'm 42 now, nearly 43. But I think then a lot of, more people didn't really carry on studying. They didn't in my school. They tended to go out and get a job.

Acquiring a job with security and prospects was seen by the participants and their families as a major achievement and more significant than continuing in education. Hill et al. (2004) found that parental involvement was directly associated with young peoples' aspirations, and several participants had started but not completed post-compulsory qualifications, having been encouraged to leave education to pursue job opportunities:

I did go back to do a sixth form to do travel and tourism. I left halfway through because I managed to find a job.

Academic attainment levels were mainly either Level 2 or Level 3, equivalent to GCSE or A-level respectively, (Quality Assurance Agency, 2019), although one participant had attended FE college to attain the CIPD Level 5 Diploma. Level 3 qualifications were mainly in vocational courses, rather than the more academic A-levels. Most participants were in management roles, having worked their way up from junior positions. Most had had been employed by their organisation for several years:

So, I was 17 and then I started in payroll. I worked in payroll for about 14 years and then I went into HR admin so I've worked in HR admin. I've been a team leader and then most recently I got the manager's job on the attendance team.

4.2. Motivation to do the Course

Participants reported both extrinsic and intrinsic motivations for undergoing the course. For some it would fulfil either an occupational requirement and/or a personal ambition for a professionally recognised qualification and be a means of acquiring and demonstrating competence and achieving recognition in their professional role:

*I've always wanted to do a CIPD anyway
they may think differently and think I definitely know what I'm talking about now
I've got a Masters. I've got the badge.
I think a Level 7 would stand me in really good stead.*

The participants might be termed instrumental learners according to the definition of Ottewill (2003), who argued that instrumental learning is defined by extrinsic motivation and learners are motivated exclusively by external goals such as money, promotion and prestige) practice instrumental learning regardless of subject or reasoning. Education could be seen as a means to an end. This motivation is not confined to postgraduate students studying part-time and is evident in Maras' (2007 study of undergraduate students. She suggests that the days of learning for learning sake have passed and that academics need to realise that for most the focus is on 'earning rather than learning' (p.82).

Houle's (1961) study on motivations for adult learning, identified three orientations; goal, activity and learning. *Goal-oriented* learners were instrumental learners, using learning for specific, concrete, extrinsic objectives. *Activity-oriented* learners were involved for the activity itself, perhaps to amass credits or uphold a family tradition. *Learning-oriented* learners were pursuing learning for its own sake. All participants demonstrated goal orientation; none was activity-oriented – perhaps due to the nature of the course and the circumstances under which they were undertaking it. However, some participants displayed evidence of learning orientation and a desire to have the opportunity to study and to be challenged academically:

I've always enjoyed learning.

I think for me to give me more confidence and I've never sort of really studied so yeah.

Securing the funding from their organisation had been a competitive process for some, so actually gaining permission from their employer had boosted their confidence and motivation, prior to even entering the course:

you could kind of just put this rationale together for the funding. I got it second time. Its quite competitive to get the funding and the time out of work

Although participants often lacked family and friends with experience in higher education, they were not without encouragement. Support from managers and co-workers who had undertaken similar qualifications was apparent as an incentive to enter the course. Rubenson (1977) observed that co-workers often served as a relatively stronger reference group for adult learners, than peers from other sources.

In addition, although the value of the qualification was primarily individual, several respondents commented on the wider organisational benefit of their achieving Level 7: a fact recognised by their managers before themselves:

You obviously understand and you know you've been managing for long enough why don't you do the Level 7

but they kind of offered me to do it straight after my (Level 5)

4.3.A Community of Practice

All participants cited the opportunity to mix with fellow HR professionals from different organisations, in varying roles, as amongst the most positive aspects of the course:

The course is the students

I've enjoyed interacting with people from different backgrounds

you learn different things from everybody else

so it is a really, really lovely group

An spirit de corps had developed, that was extended outside the classroom through social media apps such as Facebook and WhatsApp and it helped create and sustain a mutually supportive environment. This phenomenon is recognisable as a 'community of practice, comprising the three components of *domain*, *community* and *practice* (Wenger, 2004). The domain is the "area of knowledge that brings the community together, gives it its identity, and defines the key issues that members need to address" (para 13). For the students the domain was both the existing knowledge their experience had equipped them with, and the

knowledge they needed to acquire to complete the course successfully. The community was the group of people for whom the domain is relevant, (para 14), that is the students on the course. The practice was all that comprised the HR “body of knowledge, methods, tools, stories, cases, documents, which members share and develop together” (para 15).

4.4. The Impact of the Andragogy - Student Centred Learning

Tutors were aware of this learning community amongst the cohort and had sought to capitalise on it by taking a student centred approach to learning with active learning, cooperative group situations, and student led discussion (Turner, 2006). Feedback suggested this was beneficial for learning:

*I mean I must admit I kind of thought one of the expectations I had was that we might have been in bigger lecture theatres and it was just somebody talking at you but the classes haven't been like that, they've been a bit more interactive so that's quite a positive.
the students and what people like yourself bring into the classroom and share together. It just makes it interesting
I feel like my forte is in the class and I'm really good in the class, I feel like I can speak quite well*

These comments accord with Baharudin et al. (2013), who noted that teaching methodologies and the role of lecturer were perceived as crucial in making the class an inclusive forum for discussion and participation. To facilitate learning, adult learners required an environment, which met needs for relevancy in content, recognition of prior learning and respect from others (MacKeracher et al., 2006). By adopting strategies that put the students' own occupational practise at the core, it was intended to create an authentic learning experience and foster a community of experiential learning. This was defined by Kolb (1984, p.21) as “a holistic integrative perspective on learning that combines experience, perception, cognition and behaviour” where students and tutors could benefit from shared knowledge and experience.

4.5. Barriers and Enablers to Learning for the Participants

Participants cited both positive and negative impacts of entering a postgraduate course through prior experiential learning rather than through the traditional undergraduate route. Most felt that their professional experience helped illustrate the theoretical bases of the teaching content, helping bring understanding to themselves and other students more academically qualified but with less professional experience:

*I think all the experience probably is what helped really.
I think doing the job as well helps because I was able to put some of my own interpretation in naturally say from experience
I think I would have struggled more not doing an under grad degree and then coming straight doing this without having worked for so many years.*

Cross (1981) identified three main inhibitors to adult participation in formal learning, named accordingly as *situational*, *institutional* and *dispositional* barriers. Situational barriers may arise from the individual's life situation. Work and family responsibilities may mean there is little time left for study. Institutional barriers may inhibit participation in formal education, for example inconvenient timetabling or the attitude of university staff. Dispositional barriers related to attitudes and self-perceptions about oneself as a learner. All three barriers were apparent in the testimonies of the participants. Situational barriers related to the demands of managing their studies with busy working lives and family commitments:

Yeah, it's been challenging. So, there has been like you say moments where I've had quite a lot of things going on, so it has been hard work trying to fit the study in.

A key institutional barrier was the lack of prior exposure to academia. Some respondents cited unawareness of academic demands of a postgraduate programme and the attendant level of difficulty of their studies:

It's been intense. There's been lots of different things. It's covered ground quickly. I was sat there thinking oh, I can't do this 'because I've not got that previous academic underpinning.

I think on first assignment I don't know if I just didn't have that confidence to ask and obviously that might have shown in my failing

'Cause I think on the course as well there's a few, well there's quite a lot where they've just come out of doing a degree haven't they so they're used to it.

Obviously I'm not used to writing essays and reports and things like that.

That non-graduate students were thus challenged is unsurprising. Participants were previously educated between Levels 2 and 5. With one person qualified to Level 5 having undertaken vocational CIPD qualifications. At the extremes, the gap to be bridged between Levels 2 and 7 was obviously significant. It is demonstrated by the official government descriptors. Level 2 "recognises the ability to gain a good knowledge and understanding of a subject area of work or study, and to perform varied tasks with some guidance or supervision", (Qualifications and Credit Framework, 2015). The requirement at Level 7 is "for conceptual understanding that enables the student ... to evaluate critically current research and advanced scholarship in the discipline", (Quality Assurance Agency, 2008). The attitude of a minority of academic staff, who failed to appreciate the students' status, constituted a further institutional barrier to some respondents:

The only thing was we started this new module and it was each week it was like you need to be doing 15 hours, ... that really sort of freaked quite a lot of people out. part of the assumption of part of some of the module leaders is that you'd be able to do that because you'd done it before .

Dispositional barriers were apparent in comments indicating a lack of confidence, a complacent attitude, or poor motivation to study:

It was just a little bit of self- confidence in myself... everybody else was introducing themselves and some had degrees

I felt that I could get set an assignment...and you know if you had something about you, if it was due in on the Sunday you could start on the Friday and crack it out over three nights.

It's just putting the time in. Once I get started I'm fine but it's getting motivated to get started on a weekend.

Occasionally a respondent admitted a disinclination towards a particular learning mode, had inhibited progress:

I think the reading as well cause I'm not really a reader. I don't read books. So, that at first were just picking up books and reading cause it's not something I generally do.

A further dispositional barrier in terms of a consumerist attitude to education was evident in the comments of the participant below:

Essentially what you do is you pay for this bit of paper and for the line on your CV and that's essentially what you're paying for

4.6.Enhancing Self Awareness, Initiating Reflective Practice and Mitigating Against Imposter Syndrome

The student-centred learning environment fostered by the community of practice, impacted positively on the self- awareness of some participants, initiating reflection on their day-to-day activities. This concurs with Rowlands and Avramenko (2013), who posited that "a teaching

approach based on a combination of situational analysis of workplace data relevant to the syllabus with guided reflective practice” (p.154) enabled more engaged learning in part-time, professional HR students. Participant comments included:

*I actually had to stop and listen to somebody else’s point of view before...not challenging it with my own but putting my interpretation on that.
So, it’s trying to learn to phrase my...how I’ve done things in a different way so it doesn’t come across a bit challenging or aggressive.
I think the learning, the reflective practices that it gives us to actually look at ourselves and go there’s something in there that you could learn from all of them
I really enjoyed the developing skills reflective workshop.*

Clance and Imes (1978) first defined impostor phenomenon (or syndrome) as an individual experience of self-perceived intellectual fraud, of being in some way underqualified to be in an environment. The ability to share their knowledge and experience with their fellow students helped validate the participants’ presence on the course, enhancing their status and mitigating against any sense of ‘imposter syndrome’ that might have been experienced:

I think it would be useful for people to understand that there’s lots of other learning that you can do.

This status then helped foster a sense of entitlement and belonging that would help them develop a ‘student identity’, (Chapman 2013). For some respondents the effect of imposter syndrome was further ameliorated by early positive assessment results:

I got 71 out of 100. I can do it!

Interestingly, the converse does not appear to be true and students who achieved less favourable results in early assessments, reported determination and resilience in their attitudes:

*it’s challenging.....but it’s enjoyable. Yeah, I’m not wanting to give in now.
I want to do this*

Indeed, a sense of pride, palpable in audio recording, but less obvious in the transcripts, was expressed in the comments of some participants:

I think cause it’s up to...it’s for me to do that additional learning and get up to that level. Yeah, ...I’m really proud.

5. Conclusion

Postgraduate, professional, part-time education was a significant undertaking for all of the participants. Some of the challenges they faced may be attributable to this status alone. Others may be due to the non-graduate’s unfamiliarity with the education system. It may be a combination of the two factors, with the former being exacerbated by the latter. Although the primary motivation was often extrinsic, and focused on career development, some participants were either initially motivated by an interest in learning or became so, as an outcome of joining their course. This can be attributed to the community of practice that developed amongst their peers and the student centred approach to learning employed in the classroom, both of which allowed the participants to share their learning with the wider community. Shepherd and Mullins Nelson (2012, p.10) described the adult learner as having “transitioned...to a life inclusive of family, career and other duties such as civic or volunteer services”. King et al. (2014) found that for adults studying part-time whilst in employment, their prime identity was not that of “student”. It is too early in my study to make judgements or recommendations but it is worth reflecting on these points, celebrating their contribution and identifying the barriers that might inhibit their progress.

6. References

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Through what processes might Laurillard's conversational framework support the development of Praxis in professional students?

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Abstract

This paper critically evaluates the effectiveness of Laurillard's approach to the construction of blended learning and will interrogate the presentation of a Masters level module on comparative employment relations to identify the extent to which it supports learners in developing praxis. Laurillard's conversational framework (2009) identifies a technology enabled structure designed around communities of practice of learning which focuses on the specific processes for learning and the most appropriate learning tools for each stage. Its importance is in its contribution to an understanding of the development of professional skills, behaviours and values in higher education, evaluating an active blended learning pedagogy combined with authentic assessment. The results show that students have an ongoing preference for face to face interaction and further scaffolding and support is needed to encourage a more balanced use of on-line resources. The use of a case study with experiential learning elements has developed some degree of praxis. Further investigation of the second cohort and longer term response from the first cohort will support identification of the longer term impact on Praxis.

Keywords: Blended Learning, Praxis, conversational framework, case study

1. Introduction

Professional practitioners in HRM, particularly those focusing on a specialism in employee relations may be thrust into volatile, uncertain, complex and ambiguous (VUCA) situations (Seow et al., 2018) in which they are required to rapidly assess and act making use of Praxis. Choices they make can have a significant impact on employees and the organisation (Conway et al., 2016). These need to be communicated with care and clarity to build a positive employee relations climate. The CIPD professions map includes many elements evidencing the need for judgement, for example, situational decision making and has purpose as its core. This speaks to the underlying values of the profession as a whole and demonstrates a pressing need for learners to develop praxis. The development of this capability requires the rapid development of confidence based on praxis. As educators we have a short window of opportunity through which to begin to develop both knowledge of the content as well as the skills of handling the practical, often sensitive and tense situations which this profession requires. One of the key questions addressed in preparing this module was the extent to which the process of development through to competent professional was even possible in the short six week window that this module offered. To what extent could education speed up the development of a practical, intuitive knowledge, grounded in both a theoretical understanding as well as a practical skills and behaviours, i.e. some degree of praxis?

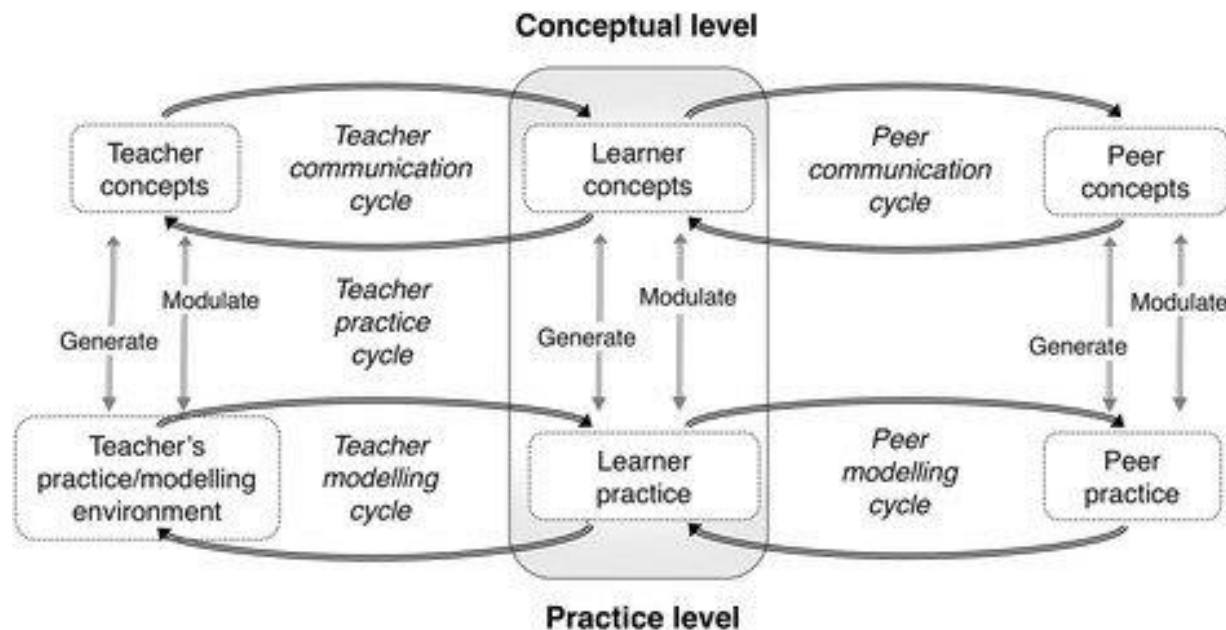
Blended learning has become a common pedagogical approach in business schools due to its perceived benefits in terms of real world learning. Smith and Hill (2019) list its benefits as *"increased flexibility for staff and students; personalisation; enhanced student outcomes; the development of autonomy and self-directed learning; opportunities for professional learning; cost efficiencies; staff and student satisfaction; and increased interaction between staff and students, and between students"* (p.383). They go on to identify the complexity of providing definitions for blended learning due to its variability of use in practice. They select the definition of Garrison and Vaughan (2008) which identifies blended learning as "thoughtful

fusion of face to face and online learning experiences" (Smith et al., 2019, P383) as providing a balance of specificity and breadth to include a range of practice around blended learning. Certainly this incorporates the range of experiences of students in this module, including WhatsApp groups, face to face taught sessions, on-line research for example of comparative employment law frameworks and group employee interviews as well as face to face taught sessions. However, it is so broad that it is difficult to see what his definition excludes, particularly in higher education with the ubiquitous use of virtual learning environments. However, this does include the use of both synchronous and asynchronous ways of interacting with content in groups to allow socially constructed learning, including "more flexible modes of education, and personalized learning trajectories" This module attracts a particularly diverse population of local and international students with a broad range of previous experience with Boelens, Voet and De Wever (2018). Boelens et al. (2018) also describe the development of blended learning to build personalised learning such as *"the popular flipped classroom approach to blended learning aims to free up classroom time for student questions, in-depth discussion, and personal feedback, by requiring students to prepare for learning activities online, according to their own levels of understanding"* (p.198) which is used in this module, integrated into group activities.

While Blended learning apparently has much to offer, it has only relatively recently started to attract scholarly attention for theoretical development (Drysdale et al., 2013) the translation to praxis learning gains may be considered to have also lagged, particularly in the business domain. Research has also revealed how the application and success of blended learning is significantly impacted by instructor confidence in designing and delivering blended learning (Holmberg, 2017). A core aim of this paper is to apply Laurillard's (2009) conversational framework for blended learning, as a means of providing greater theoretical rigour to blended learning approaches.

Blended learning designs that incorporate the use of technology shift the instructor focus to learner focused activities (Laurillard, 2009) which enable the learners to construct their own learning for greater comprehension and depth of understanding as well as access to the higher capabilities such as critical evaluation. Laurillard's (2009) framework is based on the belief that the component parts of a system can best be understood as socially situated learning in the *context of relationships with each other and with other systems, rather than in isolation*, and proposes that the only way to fully understand *why a problem exists*. As a framework for pedagogic design, therefore, the Conversational Framework goes beyond providing a description of the components of a collaborative process, to an account of how the different components of the pedagogic design interrelate to motivate the learner to conceptualise, adapt, act, reflect, revise, negotiate, share and produce, i.e. to rehearse and repeat what it takes to learn. Laurillard (2009)

Figure 1: The conversational framework (Laurillard 2012)



Laurillard's conversational framework (2009) proposes a technology enabled structure of learning which focuses on the specific processes for learning and the most appropriate tools for each stage. This study interrogates the effectiveness of each stage within a case study of a Masters level comparative employee relations module. For many learners this was the first module they undertook, which added additional complexity for both learner and lecturer. It could be suggested that the focus of Laurillard's work is VET and enabling the work based learner to access and apply educational materials in a socially situated environment. This paper assesses the potential for this process to be applied to professional Masters level students, including those who are studying full time in education and need to learn to apply theory to practice in order to develop praxis.

Praxis is defined here as the underlying capability to combine theory and practice for values based action and impact on the organisation (Friere, 1970). It involves the combination of knowledge, reason and practice, combining and adapting what actions are possible with the desired outcome. Praxis additionally contains the sense of working with values and towards a practice which integrates appropriate values to their fullest. This incorporates a criticality in action and thought (Lawless, 2008) to be initiated through socially situated learning. This may be achieved within the conversational framework as one of its primary processes is group and individual based questioning and responding both by lecturers and learners to enable learners to construct their own mental models through the iterative questioning process of meaning making (Zittoun and Brinkmann, 2012) which may also enhance criticality. Underpinned by reflection and encouraging reflective practice (Reynolds, 2011), this questioning and criticality underpins the development of praxis.

Communities of practice (Lave and Wenger 1991) provide a socially situated context for learning to be extended and so mirror more closely the workplace, enhancing authenticity of the learning experience. This is continued through the use of technology enabled learning which allows groups independence in communicating and completing tasks at will rather than simply in the classroom. This extends the student to student dialogue opportunities with the support of lecturer guidance to promote group directed learning as a halfway house between self-organised and other organised learning (Scott, 2001), supporting the development of reflection in the workplace (Griggs et al., 2018) and the use of praxis.

The purpose of this research is to inform the educational practice for professional students in higher education studying professional courses. It aims to identify the specific enablers and blockers of learning through addressing as many elements of the learning experience as possible. This will allow the construction of more effective learning experiences and the potential for a modification of dominant pedagogy for the professions. This paper will critically evaluate the effectiveness of Laurillard's approach to the construction of blended learning and will interrogate the presentation of a Masters level module on comparative employment relations to identify the extent to which it supports learners in developing praxis in order to support future module and programme design choices.

2. Research questions

1. What extent does Laurillard's conversational framework support the development of Praxis in Masters level HRM students?
2. How do students interact with the blend of the module?

3. Case study approach

There are two types of case study involved in this research. The first is the case study that provides the content for students to work through. This will be referred to simply as content. The second is the case study methodology which was selected to interrogate the effectiveness of learning on this module. This will be referred to as the case study. The case study approach was selected for its accessibility as well as the potential for an in-depth interrogation of the learning journey for students. It enables the identification of rich data from multiple sources, providing an integrated understanding of a learner's journey and immediate outcomes from this module. Despite this, the case study approach In his seminal article, Yin (1981) acknowledges that the case study is a method of inquiry that has many challenges associated with it and proposes a number of advantages including the use of multiple sources of a range of types of data. This is the case in this research in which diary, student feedback, and students' communication are examples of qualitative data and results, time spent on each exercise in Moodle and attendance records are examples of quantitative data. Certainly, the sampling is a simple convenience sample and the material used during the learning is also situation specific. However, the intention is that through the use of comparison with contemporaneous and longitudinal cohorts that some generic lessons may be identified to support the development of a content based case study as part of blended learning as a valid and rich learning opportunity.

4. Data gathering/ Module delivery

The module was delivered to two different cohorts over the autumn of 2018. It consisted of 6 sessions of three hours each. The material was presented to learners in a blend of a case study with interspersed short lecture sessions. Students were organised into groups of up to 8 learners on the first lecture. These groups were intended to be stable and provide an action learning model as learners worked through the various tasks. The case study was that of a functional food and drink international FMCG organisation of 9,000 employees, headquartered in India with a focus on healthy eating and fresh products. The students were presented with a series of employment relations issues and difficulties across the six weeks. This included a complex difficult conversation which could progress into either a disciplinary, grievance or mediation that was conducted as a live session with an actor who is also an employment relations practitioner. This gave the opportunity for learners to reflect on the conduct of their interview immediately after the interview itself. There were also challenges around introduction of robots into warehouses with accompanying employee relations issues, considering the implementation of zero hours type contracts at a number of global sites where

the legislative regime might prove problematic, employee conflicts. Data to evaluate the effectiveness of this module was gathered in a number of ways.

1. Moodle – assessment of students engagement with Moodle resources
2. Module feedback sheets
3. Module assignment grade, (compared with previous presentations)
4. lecturer contemporaneous reflections
5. observation of a session
6. students' self managed nominal focus group

5. Results

The results are divided into two broad sections. 1. The various processes identified by Laurillard (2012) which comprise the process of learning. These are acquisition, inquiry, discussion, practice, and collaboration 2. Analysis of the extent to which praxis has been developed.

5.1 Process of learning

Learning as a construct is highly contested and measured through its results rather than through its presentation.

- **Acquisition:** This is the first stage of learning that Laurillard discusses which she suggests is quite passive and about reception of learning (2012). They include elements such as reading, watching a video, listening to a lecture or a podcast. Within the module there are many points designed for acquisition. This relates to the complexity of the content that students need to acquire as well as their relative inexperience of international employee relations. The largest section driven by acquisition is a collection of readings and articles relating to the employee relations climate and process in various regions and countries worldwide. This section acted as a library to support in class exercise, group work and assignment preparation. Of 17 items, the range for student views was 1 up to 20 out of a class of 44 with the maximum number of views for one article being 57. Therefore, each element of this key resource was used by 4% - 45% of students. It was scaffolded and referred to frequently during the face to face sessions. Some of the nominal focus group comments referred to the reading and amount of content in the module negatively.
- **Inquiry:** The module structure was different from anything students had experienced previously and a constructive approach was taken to allow students the space to inquire. One student's feedback concerning this was "*The challenge and confusion made you think and was energising made us inquisitive – we thought - what is she trying to say, not being spoon fed led us to be inquisitive. I experienced a little frustration but worked through it I thought calm down, let's see what this really is*" This is confirmed after week 4 in the contemporaneous notes "There is a sense that learners have started to make more sense of the module and are satisfied to work in an exploratory manner" This was subject to individual differences, as demonstrated by a separate contemporaneous comment that "*One learner describes herself as very black and white and is struggling with the ambiguity in the case...specifically using a strict definition of zero hours contracts to conclude that they do not exist outside the UK*".

6. Discussion

Discussion was enabled through the setting up of groups in which the whole module was presented. These groups were disrupted by significant timetabling issues in which students were not allocated to the correct presentation until week 3. Reflective notes identify *"The teams have not been stable which an added stress is for some learners and the initial emphasis on the importance of teams won't have helped"*. Therefore, any conclusions on the usefulness of groups as a learning tool need to be read with caution. The groups worked both in and outside class using Whatts app as a tool, with the lecturer included on the Watsapp group. The usage of this tool was extensive with organising meetings, clarifying concepts etc. The groupwork was not universally welcomed with one student noting *"Often working on my own and doing my own research helps me remember information better, " Working in a team is only good when there is excellent communication"* Certainly, there were a number of reflections concerning difficulties with language, confidence and cultural differences which impacted students differentially. One student commented very honestly *"Language barrier has affected me negatively "and another "The accent prevented my learning"*.

6.1. Practice

Two sessions focusing on practice were integrated into the module. Each of these was based on an interpersonal conflict that was impacting the business and could be interpreted as grievance, disciplinary or opportunity for alternative dispute resolution depending on how the meeting was conducted. The second was moderated by an actor who is also an HR generalist. The student feedback on these was particularly positive. The role play exercises sought to develop learning through practice, which was particularly challenging for some learners who were less confident. Reflection was incorporated in the summative assessment to bolster reflexivity and enable students to capture their learning, the role plays took a central part of the module, in time, focus and resources. This paid off in comments from students such as *"After the whole interview, we got room for reflection... our main initial learning was don't ask leading questions. If we had that session taking place at work we would ask leading questions and put words into the mouth of the people we were investigating and it would go wrong so we understood the importance of this"* The contemporaneous tutor notes confirm that *"role play feedback was equally productive ...with the role player reporting that there was a clear difference in the behaviour of some learners who were not so engaged"*

6.2 Collaboration

Laurillard (2012) describes this process as including shared learning within a group. She notes Slavin's (2003, P287)'s approach which identifies three learning activities involved in collaboration (p.188)

Process	Example in module	Evaluation
Peer modelling	This was conducted primarily in groups with more experienced learners, including those with prior experience of HRM as well as those half way through the programme modelling positive student behaviours as well as knowledge and skills in HRM	<i>One student comment exemplified peer modelling- "Very supportive classmates always willing to share their knowledge"</i> , Care was taken to ensure that all students could benefit, so, for example, groups were constructed to be as diverse as possible and regular meetings with the tutor were held.
Cognitive elaboration	360 feedback – As part of the process of reflection students were asked to give feedback within their groups, of "3 things I value about working with you and 3 things you could work on"	This exercise was completed by the majority of students and reported in assignments where the existence of themes of feedback indicated that students had achieved a shared construct of performance levels among the group.
Practice with one another	The groups worked through two role plays exercises, preparing, enacting and following up.	Many learners could be seen practicing together in order to prepare for the role play exercise.

6.3 Development of praxis

Assessment of Praxis was embedded into the summative assignment. Following the role play exercise students were asked to write a formal letter to one of two employees to give their judgment on the outcome of the situation. This letter should be short, direct and clear but also humane as for both employees the situation was complex. This can be understood as praxis because it is a highly relevant and practical exercise which mirrors a typical HRM activity in the workplace. The quality for these letters varied in direct proportion to students' previous work experience. For those students already working in employee relations the incremental learning from this exercise was minimal. However, for those students with some understanding, appropriate and effective letters were produced. Students with a big cultural gap and no practical HRM experience were those who struggled most with this exercise, indicating that the development of praxis is complex and perhaps suggesting the need for greater input or greater scaffolding of the exercise to enable a genuine praxis. This is perhaps demonstrated by a comment from the nominal focus group of an evening student in the workplace who commented "I enjoyed the comparative employer reflection. I compared note with my work-place". The inference is that this student was using the opportunity to integrate his / her learning with workplace practices, i.e. developing Praxis. Assessment results were enhanced when compared with the previous module iterations. These were more traditional lecture based pedagogies in which a final assessment of an essay resulted in significantly lower grades. One fascinating insight is that one third of students attempted the multiple choice questions. These were embedded into the consolidation element of the module as the final stage for each week. They were clearly signposted as for personal assessment of learning. Assessment of those who completed the quiz indicated that they were overwhelmingly home students, often those who had progressed from undergraduate studies in the same institution. Reflection and self - assessment for learning may be considered core elements for the development of praxis.

7. Conclusions

- *To what extent does Laurillard's conversational framework support the development of Praxis in Masters level HRM students?*

The results indicate that in comparison with previous module presentations following a more traditional lecture format, the case study approach following Laurillard's conversational framework has supported some of the processes of learning. This is particularly indicated in the enhanced assessment results and positive module feedback. However, Praxis is I construct related to current competence and follow up id needed to identify whether students retained the perception that the module was helpful on engaging with employee relations issues in the workplace.

- *How do students interact with the blend of the module?*

This has been moderated by individual differences and there has been an apparent focus on communication and discussion with less time focusing on acquisition. The module will be adapted for it second presentation and it will be interesting to identify how responding to feedback will develop the learning experience for the next cohort. There is significant focus on the face to face discussion and synchronous acquisition of information and less interaction with the on-line materials provided. The Whats-app was an apparently useful route to continue discussion and organise groups outside class. More scaffolding and signposting may enhance student use of the on-line resources.

8. Next Steps

1. Adapt the module based on feedback received and continue with a longitudinal case study approach to
 - a. assess ways of enhancing the learning journey
 - b. identify why learners avoided multiple choice questions
 - c. create further reflexivity in the module through specific decision points in the content case study
 - d. assess the development of group working through enhanced points of interaction
 - e. An assessment of the extent to which this approach enables differentiation to support the diverse learner population
 - f. Boelen's et al (2018) results indicated that instructor beliefs are a primary mediator for the use of blended learning and that beliefs vary on a institutional basis. This could provide a rich seam of future research to explore the reasons for differences in use of blended learning.

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Artisanal creativity and innovation as a panacea for HRD, change and economic transformation in Nigeria

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Abstract

Artisanal creativity, skills and innovations have remained as very reliable vehicles for providing solutions to so many worrisome human problems within the rural communities as well as the urban cities all over the world. Artisanal businesses exist under the small and medium scale enterprises (SMEs). This study evaluated how the ambidextrous functions of Artisans are critical in the concept of human resources development in the formal and informal sector of the Nigerian economy; and yet, the government and corporate agencies are seemingly unwilling to integrate them into technical and formal education for better learning and socio-economic transformation? The study adopted a descriptive research survey by conducting oral interview across 800 heterogeneous ethnic male and female groups of artisans selected randomly within Makurdi metropolis – the State capital of Benue State of Nigeria. The study was founded on two fundamental theories: 1. Creativity as a creation of new meanings (Nietzsche, 1988; Darrida, 1967, 1972); and 2. The theory of User driven innovation by Von Hippel (2005) which focuses on the individual innovator who tends to be an end user with an idea to improve a product or service. The study concluded that the training of the artisans through formal and informal learning methodology will enhance human resource development in both SMEs and the formal organisations alike. As Artisans functions in ambidextrous parlance and are symbiotic and mutually reinforcing in the discourse of HRD concept in the formal and informal sectors.

Keywords: Artisans, Ruralites, Communities, Skills and Innovations

1. Introduction

It is no gainsaying the abundance of the availability of the artisanal creativity, innovations and skills in Nigeria are enough to transform the industrial fortunes of the country if properly and adequately harnessed. Artisans within and around the Nigerian rural communities remain the most dependable vehicles for tackling human problems over time. As every aspect of activity is known to be propelled by one artisan or the other who for over a period of time have made their skills and innovative ability reputable by members of the community. These Artisans range from Vulcanizes, carpenters, bricklayers, painters, motor and bicycle mechanics, panel beaters, cobblers, watch repairers, blacksmiths, phone handset repairers, machine-fabricators, welders or iron benders, sculptors, Gardeners, farmers, local electricians, auto-mechanics, fishermen, etc. The list is inexhaustible as can be seen from one community to another; these groups of artisanal operators provide a wide range of services that have saved the lives of people of different communities in Nigeria. They are naturally endowed with in-born traits and certain God-given abilities that seldom do they undertake any form of training before venturing into these lines of businesses. Their roles in the industrial and economic transformation of any society in the world are indispensable. These categories of businesses are classified as arts, crafts, and design technologies which cut across the depths and breathe of all categories of human learning and developments.

UNESCO, UNCTAD, and WTO in Vinodan (2019) define artisanal products as those produced by artisans, either completely by the hand tool or even mechanical means; as long as the direct manual contribution of the artisans remains the most substantial component of the finished product. These are produced without restrictions in terms of quantity and using

raw material from sustainable resources. The artisanal businesses have remained a hallmark for the economic prosperity and transformation of the advanced economies of the United Kingdom and the United States of America. For instance, between 2015 and 2016 it was reported that, the creative industries had contributed £84.1 billion a year to the UK economy. The UK's creative industries grew by 8.9 per cent in 2014, almost double the UK economy as a whole, and generate nearly £9.6million per hour; while 2016 was clearly classified as another blockbuster year for UK's music, film, video games, TV and publishing sectors, and British films, video games, crafts and publishing are taking a lead role in driving the UK's economic recovery, according to the latest government statistics, (NSEAD, 2016). Talking about the business of creativity or the Arts and Crafts Industry, Dobush (2017) puts that the US creativity market is a \$44 billion industry. According to her, the total size of the US creative industry is now \$43.9 billion, according to new research from the Association For Creative Industries, until recently known as the Craft and Hobby Association. That's an increase of 45% from the \$30.1 billion measured last time the study was done in 2011, using different methodology. These categories of businesses have become the hub of economic fortunes of many communities in Nigeria and the operators are clearly people who are directly or indirectly responsible for the payment of school fees for so many educated elites today in Nigeria. They themselves are not given the opportunity and support to acquire the needed education that will help them improve on their business skills.

In some other communities and even big cities in Nigeria, these groups of artisans are usually responsible for constructions of local bridges across or linking roads to different villages and communities. They are engaged in machine fabrications and construction of auto spare parts for different vehicles. For instance, in the Nnewi town of Anambra State in the South Eastern Nigeria, Automobile spare parts are widely constructed by these group of craftsmen which are comparatively very reliable and durable to those imported from, America, Europe, Japan China etc. This is clearly evident by the slogan of one the foremost automobile company in Nigeria – The Peugeot Automobile Nigeria Limited popularly called PAN; which states: *"built by Nigeria, and meant for Nigerian road."* The Peugeot Automobile Nigeria (PAN) in joint venture with the Peugeot Automobile France was incorporated in 1975 during the military administration of General Yakubu Gowon. Most of the workforce who were involved in the Assembly line of the PAN in those days were creative and talented artisans or craftsmen who had never pass through any level of basic educational training to be certified either as engineers or automobile specialists but have demonstrated high level of skills, creativity and innovation in bringing the company to its present status in Nigeria as the best indigenous automobile outfit that has stood the test of time. Today, these Artisans are the ones responsible for the productions of the Peugeot Cars spare parts all over the Nigerian Markets. The hub of this creative workforce is mostly concentrated at Nnewi, Anambra State of Nigeria. Nnewi a very small town in Nigeria has been described by scholars as the Japan or China of Nigeria in terms of innovations, skills and creativity of young people. Yet, it has never been considered by the successive administrations in Nigeria to think of developing the talents endowed by the people of this community.

It is against this backdrop that the paper is set to examine the need for "Synergizing the Untapped Artisanal Entrepreneurship Innovations in Formal and Informal Education for Sustainable Development in Nigeria". Geez (2012) puts it forth. "Go ask people in USA, and Europe. It is the middle class that is the engine of the economy and not big corporations. Government that go about killing the middle class and small businesses and denying them the competitive ability is evil". Here, we made a comparative analysis of the artisanal operations across the specific ethnic groups in Nigeria that are known for developing their rural economies through various skills and trades over time. These groups of artisans were drawn from among the Igbos from the South East, Tiv, Iggede and the Idoma from the Middle Belt region, the Hausa from the core Northern region and the Yoruba from the South West.

1.1 Importance of the Study

Artisanal operation is a method by which goods and services are produced in limited quantities by an Artisan through the use of traditional methods. Therefore, an artisan could be seen as a craftsperson that by sense of creative and innovative abilities uses traditional method to produce a particular product or services (Obunike, 2016). They range from Vulcanizes, carpenters, bricklayers, painters, motor and bicycle mechanics, panel beaters, cobblers, watch repairers, blacksmiths, phone handset repairers, machine-fabricators, welders or iron benders, sculptors, Gardeners, farmers, local electricians, auto-mechanics, fishermen.

The paper's importance is hinged on the fact that:

- Artisans are very significant part of the compendium of the human resources of the society and therefore require further formal training
- Their contributions to human development index is highly significant in national economic development and transformation
- They contribute to the economic development through self-reliance and poverty reduction

Artisans provide immediate rescue response to individuals and corporate needs through technical supports in form of provision of services and or product substitutes.

1.2 Research purpose

The purpose of the paper is to:

- Propel a redefinition of the formal and informal education system towards creating a synergy for incorporating artisanal skills, creativity and innovation in the teaching and learning model for sustainable development in Nigeria.
- Evaluate how the formal and informal training of artisans could help to improve SMEs operation in Nigeria.
- The paper is also set to harness the untapped creative and innovative abilities of artisans spread all over urban and rural communities in Nigeria by enhancing their skills through more defined formal and informal training system.

1.3 Research questions

Artisans are widespread all over the Nigerian communities; they provide immediate response to the needs of the people during disaster period and during individual family and community needs and yet, no significant effort has been made by the Government or corporate agencies to provide Artisans access to formal education, training and development. Therefore, this study is confronted with the following questions:

- Why is the government and corporate agencies seemingly unwilling to integrate them into technical and formal education for better learning and socio-economic transformation?
- To what extent would the formal and informal training of artisans helps to improve SMEs operation in Nigeria and other emerging economies?
- 3. Under the SME funding support by government why is most interventions centred on medium enterprises at the expense of artisanal operations? How best can skills in this line of trade be acquired?
- Artisans seem to have better practical technical abilities more than skilled workers who have passed through formal education. How can their qualifications be recognized for formal employment purpose especially by the government ministries and institutions?

2. Literature Review

2.1. Theoretical Underpinning

The study is founded on two fundamental theories: 1. Creativity as a creation of new meanings. Generation of new meanings through a free interpretation Individual attaches the subjective meaning to their actions and intends the meaning on a particular historical occasion (Nietzsche, 1988; Darrida, 1967, 1972) and 2. The theory of User driven innovation which is

one of the contemporary theories of innovation by Von Hippel (2005) basically focuses on the individual innovator who tends to be an end user with an idea to improve a product or service. According to von Hippel (2005), user driven innovation explores the user-experts, such as surgeons who develop their own instruments. The user develops a product but freely reveals it to some other stakeholder, who then takes care of the commercialization. These users are often interest-driven instead of being entrepreneurship-driven; they do not necessarily look for economic benefits. User driven innovation can also be defined as a process of tapping into user knowledge (Wise and Högenhaven, 2008). This has been pointedly stated by Geez (2012) that "Go ask people in USA, and Europe. It is the middle class that is the engine room of the economy and not big corporations. This suggests the need to develop the middle class as well as the lower class of artisans through formal training system that will make them competitively relevant to the national and international economy. In many part of Nigeria most artisans serve their masters having a defined period of training that would lead to graduations or freedom to be independent while in some places this provision is not available; as Mukhtar (2011) comments that this is against the practice found in the northern part of Nigeria, where one serves his "master" for as long as he lives without any plan put in place to make the "servant" independent. Bennett (2017) posits that, Studying Craft 16 also indicates that whilst the number of students taking entry level courses in further education has boomed to 67,340 since 2007/08, only 8% of these students progress to more advanced courses indicating a decline in the development of new professional talents. And it was equally reported that the 'Craft skills and knowledge have a strong economic impact and significant potential to drive further growth and innovation in other sectors (Bennett, 2017).

2.2 The Post-Industrial Artisanal Economy

According to Ponder (2010), researchers responsible for the third instalment of the Intuit Future of Small Business Report (IFSOB, 2008) have contended that over the next ten years, a general 're-emergence of artisans as an economic force' will happen in the US. They ground their forecasts calling for the renewed vigour and economic importance of artisanal activities in the ongoing progression of market and production process fragmentation, and increased rates of technological change. Viewed through the lens of theories of economic development, this perspective may at first appear quite singular - as many scholars viewed it (Saxenian 2006; Crafts and Venables, 2001,) typically link these two forces with the growing importance of high-tech and services oriented economic 'clusters' in developed nations, and the concomitant initiation of industrialization in developing economies - not to the revival of the craft-like production methods in developed economies. However, according to the IFSOB (2008,)), not only have economies of scale become 'less important' in the US, with 'mass production no longer determining business success in many markets' - but the structural distribution of firm size within most industries is changing as well - into a 'barbell' like structure, with a 'few giant corporations on one end, a narrow middle, and a large number of small businesses balancing the other end'. This change, together with the reductions in overhead costs produced by technological advances, is the general basis for the IFSOB's call for the re-emergence of the artisan in the US. Even so, one may still tend to consider - with just skepticism - that their use of the term 'artisan' is a somewhat hyperbolic and anachronistic.

The rise of small businesses dedicated to producing 'specialty', small batch, or customized goods is not limited to the baking world alone. In small farming and urban agriculture, there is both resurgent interest and demand for non-mass produce-able heirloom varieties of fruits and vegetables; beer and wine producers have seen a soaring demand micro-brews' and locally produced small vineyard wines⁵; the custom built bicycle sector is also quickly growing, as is the small manufacturing industry in general; the handmade beauty, health, and homecare products industry is growing by leaps and bounds (Ponder, 2010). In fact, the tide of the rapidity with which small-batch production system is taking the centre stage in the Nigeria small scale industries is alarming. Especially consumable products that are require for the immediate consumption by customers are usually ordered to be produced

using handmade and no mechanized system of production. The reason behind this over time is added to the fact that such products are more durable and of high quality than those produced with modern high-tech production equipment that requires mass production system. In Nigeria, we can see these in the footwear firms, textile industries, fashion and design, automobile spare parts, where customers placed demands for items produced locally without the aid of machine that handmade own are usually of higher quality. In Johannesburg, South Africa, it was reported that, a simple Google search on the lack of artisans has shown that it's not just a South African issue, it's a global challenge. With so many industries using mechanized manufacturing processes, people who work with their hands have been sidelined. The problem is often exacerbated by the belief that a degree will solve unemployment, as well as the lack of good training and mentorship in specific skills. (Samsung New Room, 2018).

Similarly, in 2012, the Human Resource Development Council (HRDC) established the Artisan Development Technical Task Team in an effort to improve the quality of artisan training as well as explore the main blockages facing artisan development systems. According to the HRDC, 'The lack of apprenticeship opportunities is one of the main obstacles facing artisan learners, which means that while a young person may achieve a suitable qualification at a TVET college, he or she may subsequently discover that they cannot obtain the necessary work experience to enable them to take a trade test. The poor quality of teaching in many of the TVET colleges also results in a high dropout rate among learners. However, a great deal of work is being done to address these challenges.

3. Methodology

The methodology adopted for the study is a descriptive research survey which oral interview was employed across a heterogeneous ethnic male and female groups of artisans selected randomly within Makurdi metropolis – the State capital of Benue State in Middle-Belt region of Nigeria.

3.1. Area of Study

The study was conducted in Makurdi town the capital of Benue State. Makurdi Local Government has an area of about 4348km² and shares common boundary with Guma, Gwer West and Gwer East local government areas respectively. Benue state is generally bordered by Kogi, Nasarawa, Taraba, Cross-Rivers, Ebonyi and Enugu states respectively. The inhabitants of Makurdi are predominantly farmers and civil servants - which is why the state's national identity is known as the "Food Basket of the nation." Benue state has a compendium of different artisans drawn from all part of the Federation who are mostly residents in the State Capital carrying out their crafts operations of different kinds.

3.2. Study Design

The study is a qualitative research design in which a cohort study was applied to determine (1) the level of government effort in providing artisans access to formal education (2) How such level of education has improved the artisans' performance in their various businesses (3) what funding opportunities have the artisans received from the government and other agencies. (4) If artisans have been employed in the formal sector organisations. By this, the design was segregated into two major cohort groups of Male and Female Artisans drawn from the following line of business operations:

- Automobile mechanic
- Bricklaying
- Carpentry
- Electrical/Electronic repairing
- Handset phone repairing
- Painting
- Plumbing

- Tailoring
- Weaving
- Welding/Iron bending

3.3. Population of the study

In each Cohort, there are 10 Focus Groups drawn from the delineated trades in the cohort groups through which structured oral interview was conducted in each group and data were generated from their responses and analysed using simple percentages which helps in the robustness of our generalization in this study. The total population of artisans in Makurdi Local Government Area of Benue State is estimated at 1,640 from which we drew a sample of 400 artisans each from female and male cohort groups giving a total sample size of 800 interviewed in the 10 focus groups of trades. The number represents a total sample size of 49% of the total population under study which is considered adequate representative sample.

3.4. The Justification for this Method

Basically, focus group interview aims at collecting high-quality data in a social context (Patton, 2002), which primarily help understand a specific problem from the viewpoint of the participants of research (Khan and Manderson, 1992). This method is considered most appropriate due to the poor educational levels of these groups of artisans whom amongst them were so many that are completely illiterates and would be impossible for such artisans to respond to questionnaire. Secondly, due to the heterogeneous nature of the study groups and cultural diversities, it was important to separate the female cohort groups from the male as some culture do not permit women sitting together with the male counterpart to discuss and answer certain questions relating to businesses and social affairs.

4. Data Analysis

Table 1: Distribution of Participants in Focus Group according to Cohort

FOCUS GROUP	COHORT GROUP		TOTAL NO OF PARTICIPANTS
	Females	Males	
Automobile mechanic	40	40	80
Bricklaying	40	40	80
Carpentry	40	40	80
Electrical/Electronic repairing	40	40	80
Handset phone repairing	40	40	80
Painting	40	40	80
Plumbing	40	40	80
Tailoring	40	40	80
Weaving	40	40	80
Welding/Iron bending	40	40	80
TOTAL	400	400	800

Source: (Researchers' Field Survey, 2019)

From the Table 1 above, Artisans were identified in focus groups of 10 different trades/skills according to two cohort groups of Females and Males. Each focus group has 40 participants that unanimously respond and provide answers to interview questions as applicable to their line of business operations. While the cohort groups of females and males have a total of 400 participants each that were interviewed in the cohort.

Table 2: Number of Respondents in specific Trade by Gender

S/N	Type of Trade	Total Respondents	Number of Females	%	Number of Males	%
1	Automobile mechanic repairing	80	7	9%	73	91%
2	Bricklaying	80	13	16%	67	84%
3	Carpentry	80	22	28%	58	72%
4	Electrical/Electronic repairing	80	16	20%	64	80%
5	Handset-phone repairing	80	28	35%	52	65%
6	Painting	80	3	4%	77	96%
7	Plumbing	80	0	0%	80	100%
8	Tailoring	80	55	69%	25	31%
9	Weaving	80	60	75%	20	25%
10	Welding/Iron bending	80	0	0%	80	100%

Source: (Researchers' Field Survey, 2019)

From the information provided on Table 2 above, it indicates number of respondents who are engaged in specific trade by gender delineation (Females and Males). The results showed that the Automobile mechanic repairing, only 7 females are into the business while men were 73 representing 9% and 91% respectively. In the Business of Bricklaying, 13 females are in the trade while 67 males dominated the trade – representing 16% and 84% respectively. For Carpentry business, 22 females are involved while men were 58 representing 28% and 72% respectively; whereas for the Electrical and Electronic repairing, we have 16 females and 64 males, representing 20% and 80% respectively. However, when we examined gender participations under the Handset phone repairing business there is improved females' participation of 28 while males were 52 – representing 35% and 65% respectively. The female level of participation worsened in the Painting, Plumbing and Welding/iron bending where we have the total of 3, 0, 0 females and males 77, 80 and 80, representing 4%, 0%, 0% and 77%, 100% and 100% respectively. These three lines of Artisanal businesses have the greatest dominance of male artisans. However, in the business of Tailoring, and Weaving we recorded female dominance in the trade. This is shown by a total number of 55, 60 females and 25, 20 males – represented by 69%, 75% and 31% and 25% females and males participations respectively.

5. Discussions

Table 3. Respondents Perceptions of Government Effort in Providing Artisan Access to Formal and Informal Education

S/N	Variables and Parameters	No of Respondents	Response options	
			Yes (%)	No (%)
1	Have you been to any school?	800	650 (81%)	150 (19%)
2	What type of School have you attended?	**800		
	• No type of schooling at all	150	(19%)	
	• Informal Skill training	350	(43%)	
	• Primary School	160	(20%)	
	• Secondary School	132	(17%)	
	• Post Secondary School	8	(1%)	

Source: (Researchers' Field Survey, 2019)

From Table 3 above, out of the 800 respondents, 150 (19%) attested that they have never been to any type school before. While 350 (43%) had informal skill acquisition training, 160 (20%) attended only primary school education, 132 (17%) attended secondary education and only 8 (1%) had post-secondary education. This result shows that the majority of the artisans did not experience any form formal education. This is represented by a total number of 500 artisans representing 62%.

Table 4. Respondents Perceptions of How such level of Education has improved Artisans' Performance in their various businesses

S/N	Variables and Parameters	No of Respondents	Response options	
			Yes (%)	No (%)
3	Do you find the knowledge gained from school or skill acquisition training helpful in your business?	800	800(100%)	0 (0%)
4	Do you desire to still attend higher school?	800	713 (89%)	87 (11%)

Source: (Researchers' Field Survey, 2019)

From Table 4 result obtained showed that all the 800 (100%) respondents confirmed that they found the knowledge gained through formal schooling as well as informal skill acquisition training and development very useful in the operation of their businesses. Similarly, 713 (89%) of the respondents equally desired that they still need to attend higher schooling while 87 (11%) said that they do not desire to attend any further higher schooling.

Table 5. Respondents Perceptions of Types of Funding Received by Artisans in their various businesses

S/N	Variables and Parameters	No of Respondents	Response options	
			Yes (%)	No (%)
5	Did you Obtain funds from Government?	800	(0%)	800 (100%)
4	Did you Obtain funds from commercial bank?	800	87 (11%)	713 (89%)
6	Did you Obtain funds from Microfinance bank?	800	220 (27%)	580 (73%)
7	Did you receive funds from family and friends?	800	180 (22%)	620 (78%)
8	Were your business funds from personal savings?	800	400 (50%)	400(50%)

Source: (Researchers' Field Survey, 2019)

The Table 5 attempted to seek opinions of the respondents concerning the types of funding opportunities they had ever received to finance their businesses. 800 (100%) confirmed that they had never received any form of funding from the government. 713 (89%) confirmed not receiving any funding assistance from commercial banks; whereas, 11%) said they had financial assistance from the commercial banks. 220 (27%) attested receiving funding from microfinance banks, 580 (73%) did not access any funding from the MFBs. Similarly, 180 (22%) got some funding helps from family and friends, 620 (78%) did not receive any financial help from family and friends. On financing through personal savings, 400 (50%) said they got their business money from personal savings while 400 (50%) said they did not get their business money from personal savings.

Table 6. Respondents Perceptions of whether they have been employed in formal organisations

S/N	Variables and Parameters	No of Re.	Response options	
			Yes (%)	No (%)
9	Have you ever worked in any government office, agency or company?	800	22 (3%)	778 (97%)
10	Were you engaged as permanent or contract staff?	800	0(0%)	800 (100%)
11	Were you hired to do only paid technical job?	800	800 (100%)	0 (0%)

Source: (Researchers' Field Survey, 2019)

From the table 6 above, we attempted determining whether respondents have ever been employed in any formal organisations before. 22 of them confirmed they had worked in government offices or related agency and companies before and 778 said they had never been employed in any formal Organisational setting. This represented by 3% and 97% respectively. Also, 800 of the respondents (100%) confirmed they had never been engaged in any permanent or contract paid jobs. However, 800 (i.e. 100%) attested that they had at one point or the other hired by government offices, agencies and companies to carry out some technical jobs for them which they paid off after completing the work.

5.1 Government Effort in Providing Artisans Access to Formal and Informal Education

The term "education" means, the process of receiving or giving learning through detail and systematic instruction for the purpose of improving and enhancing deeper understanding of a given phenomena in and communicating the acquired knowledge or understanding to the environment - which is, especially done through a school or university. In Nigeria, with the government introduction of the 6-3-3-4 system of education in Nigeria, the child or the recipient of the education services is expected to spend six years in primary school, three years in junior secondary school, three years in senior secondary school, and four years in a tertiary institution; giving a total of 16 (sixteen) years that the learner is expected to complete a reliable formal education. There are basically three main types of education practiced in Nigeria, namely, Formal, Informal and Non-formal. Each of these types is discussed below.

- **Formal Education:** The formal system of education is usually obtained in school, where a person may learn basic, academic, or trade skills.
- **Informal Education:** On like the formal education, Informal education takes place outside the classroom, in after-school programs, community-based organisations, museums, libraries, or at home. In this case the learner does not have access to classroom learning methodology.
- **Non-Formal Education:** Non-formal education opens one's intellectual capacity in the acquisition of competences and skills necessary to handle effectively the forces of nature. It arouses and empowers the spirits of research and entrepreneurship among Nigerian youths that engender self-reliance.

5.2 Developing Artisanal Skills, Creativity and Innovation Through Synergy of Formal and Informal Education in Nigeria

In 2012, the Human Resource Development Council (HRDC) in South Africa established the Artisan Development Technical Task Team in an effort to improve the quality of artisan training as well as explore the main blockages facing artisan development systems. According to the HRDC, 'The lack of apprenticeship opportunities is one of the main obstacles facing artisan learners, which means that while a young person may achieve a suitable qualification at a TVET college, he or she may subsequently discover that they cannot obtain the necessary

work experience to enable them to take a trade test. The poor quality of teaching in many of the TVET colleges also results in a high dropout rate among learners. However, a great deal of work is being done to address these challenges. (HRDC, 2012)

According to the National Bureau of Statistics (NBS), Education remains a potent tool for self-reliance and national development in Nigeria. Studies show that education or human development is at the core of every socio-economic development program for any nation. (NBS, 2015). Despite the importance of education in national and human development, there still remains huge challenge of how citizens can have equal access to quality and affordable education. As shown in the number of Artisans interviewed in the study, a total number of 800 Artisans sampled for interview, 150 (19%) attested to the fact that they had never experience any form of education be it formal, informal or non-formal in their whole lives. Furthermore, there are regional variations as the percentage of the population that attended schools in the year 2010 was higher in urban areas (91.4%) than in rural areas with 80.7%. Also, gender variation still exists in school attendance in Nigeria. In the aforementioned year, females' attendance stood at 81.2%, lower than that of males' with 88.1%, (NBS, 2015). It must be stressed here that, Artisans formed a very strong cord in the development of any economy in the world. Creating enabling environment and opportunities for them to acquire good education will not only enhance their thinking and reasoning abilities in terms of creativity or innovativeness, it will also translate into product development that would create more value additions in the market place and more aesthetically satisfying to different classes of consumers.

For example, Artisans who are well educated now are being able to deploy modern technology in the production of their products or services using the information and communication technology (ICT) tools as major service delivery-enabler. For instance, computers are now being used to create aesthetic designs in crafts such as painting, tailoring, internal decorations, bricklaying – even with the use of auto cad for architectural drawings in which Bricklayers are to interpret the drawings, there is absolute need that such Bricklayer must be reasonably educated. It is a truism that critical learning, reasoning, communication, decision making come through continuous reading, writing and logical thinking that enables one to create new things from new found ideas. It is education that does that.

5.3 The Place of Artisanal Operation in Economic Development

Ponder (2010) posits that there is the rise in American Economy, of small businesses dedicated to producing 'specialty', small batch, or customized goods is not limited to the baking world alone. In small farming and urban agriculture, there is both resurgent interest and demand for non-mass produce-able heirloom varieties of fruits and vegetables (Amin 1994); beer and wine producers have seen a soaring demand for 'micro-brews' and locally produced small vineyard wines (Beyl, 1992); the custom built bicycle sector is also quickly growing, as is the small manufacturing industry in general ; the handmade (Boyer, 1990) beauty, health, and homecare products industry is growing by leaps and bounds; and Etsy, the social commerce website dedicated to buying and selling all things handcrafted, reports gross monthly sales figures of between 10-13 million USD (Bresnahan, 1995). Moreover, these are just a few of the more obvious areas in which small firm size and craft-like production methods are successfully managing to go hand in hand. (Ponder, 2010). In today's Nigerian economic historical analysis, the upsurge in the development of artisanal businesses cannot be ignored with a wave of hand as most of the valued products being showcased in the local, national and international markets are produced by creative and innovative Artisans who are already taking the business scene by storm. Even though, with their low educational background notwithstanding.

From the result of the current study, 713 (89%) are eagerly expecting government to pragmatically create enabling opportunity for them to access quality formal and informal education which they believe will in no doubt go a long way in boosting their level of skills, creativity and innovation which ultimately will translate into thinking out-of-box in developing new products and services. Despite the fact that about 87 (11) of the respondents who

believed do not need any other formal education to improve on their business acumen were basically older men and women who felt that talking of going for formal education at this point of their businesses is a waste of time. During the oral interview, some among them exclaimed, "Ah! What is old man/woman going to do in school at this age?". That's not withstanding, education is a key determinant in artisanal operation in any nation and therefore, must be treated with every seriousness as such.

5.4 The Ambidexterity of Artisanal creativity and Innovation in Human Resource Development: Formal Vs Informal Sector Paradigm Shift

Gone are the days when the old village Headmaster is said to be the lord of knowledge, learning, wisdom, creativity and is called, 'Akraa', or, 'Oñodupwu' meaning, (the Secretary, writer or person of pen in *Igede* dialect of Benue Region Nigeria). Being a man or person of the Pen, he is responsible for moving from house to house in the city to write and read letters for people who have communication needs to send messages by postages to either their children who are in faraway cities. Then artisans are to invite the 'Oñodupwu' to write and read letters for them. After writing, he reads back what he has written for them to hear and they keep wondering at mystery of such intellect to be able to capture all that they said earlier on. Whereas the 'Akraa' or 'Oñodupwu' would look for any of the artisans that he needs his services either to build his house, repairs his bicycle, motorcycle or car, and may use his fees for letter writing and reading to settle the artisans' bills. The Occupation of the Artisans and the Headmaster who is the letter writer is seen as transverse parallel skills that would not connect nor meet. The headmaster is seen as a person highly placed that would not do any such jobs of artisans which are seemingly demeaning.

In today modern Organisational conventions Artisans creativity, innovations, knowledge and skills have challenged this traditional medieval dogma that have led to major technological breakthrough. For instance, in some Nigerian organisations, there is a paradigm shift where professional engineers in some big corporations are classified as theoretical professionals while artisans are responsible for bringing their skills and innovations into reality in major project designs and implementations. Artisans would be hired to do all the technical jobs while the engineers sit in the offices with pen and papers to make financial claims on the accomplished projects. At the end, artisans are paid peanuts as casual hired workers and are laid off. It is no gainsaying, artisanal roles are ambidextrously complementary to the portfolio of modern Organisational workforce and therefore should be seen to function in dual formal and informal sector Organisational transformation. This position is in line with the Intuit Future of Small Business Report (IFSOB, 2008) which asserts and contended that over the next ten years, a general 're-emergence of artisans as an economic force' will happen in the US. The dawn is here in both developed and developing economies of the world that the Human resource development of nations are first, a function of artisanal formation through a coalesce from pools of creativity, innovative skills and novel human natural endowments from the genetic formation in the informal sector to the migration of acquired pool of human resource development for the formal sector through education attainment and qualification. In such direction, paper qualification is emphasized at the detriment of the pool of natural endowment drawn from the former. Second, this implies therefore that human resource development of the formal sector cannot be said to exist in isolation of the genetic human resource pool drawn from the informal sector, but rather they function in ambidextrous parlance to which organisations should leverage in as symbiotic and mutually reinforcing in a unique relationship for overall Organisational success.

5.5 Implications of the Study for Human Resource Development (HRD) Practice

The Study implications on HRD practice is by no means a finality but rather an emergence of a new front for scholarly debates and researches as matters raised here implicated the HRD by:

- Creating a synergy between Artisanal learning methods and the formal human resource training and development will enhance the needed creative and innovative

abilities needed in the stock of organisation's human resource practice as proxy to function in ambidexterity

- Artisans will challenge the conventional modern human resource practices as their creative abilities are inherently compelling and most times inborn. Therefore, there seem to be more efficient than the workforce trained through formal education.
- Sense of belonging created through formal development and training of artisans will enhance human resource productivity and strengthen mutual inclusiveness of Organisational workforce
- Training of the artisans through formal learning methodology will enhance human resource development in SMEs and the formal organisations alike.

6. Conclusions

All about human resource formation in organisations is to identify the human resource requirement needs, select the right persons with the right skills at the right time for the right purpose. We therefore proposed in this study that Artisans are part of the right skilled workforce that cannot be avoided by any organisations. A blend of their method of training with the formal training methodology is highly advocated in this study. Therefore, this paper raises a concern and spur further interest for study in the area of interface regarding the methodology used for capacity building and development in the artisanal operations and how they can be synergized with the learning and training methodology adopted for HRD in the formal organisations.

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Training and development investment of what and how? T&D investment determinants among South Korean SMEs

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Abstract

This study explored the determinants of training and development (T&D) investment in SMEs. To analyse, we divided investment factors into four characteristics; job, organisation, financial, and learner characteristics. What we have found from this study are as follows. First, Korean SMEs conduct all-inclusive types of T&D. There were no boundaries in the curriculum, from general skill to job specific skill development. Besides, the T&D provider is not only the corporate itself but also Employee Skill Development Policy, the support at the national level. The company provides financial assistance for investing in T&D as well. Second, the literature review regarding investment in T&D showed that most of the studies were qualitative research. Most studies divide investment features into four shares; job, organisation, finance, and learner characteristics. On the other hand, studies method on T&D investment outcomes vary, but a few studies show that relatively few corporates consider investment features before conceded the T&D program. Third, the determinants of the T&D investment of SMEs vary. The determinants in every four areas show each critical findings. Even it is for SMEs; there is no universal reason to invest in T&D. It differs in size, finance structures, and related tasks. Individual corporates have different stories to tell. However, the overall trends in determinants are that they are emphasizing on diversity in recent years. SMEs are making efforts to provide training that meets the needs of corporates and employees both.

Keywords: SME, training and development, T&D, ROI, the Investment decision factor

1. Introduction

What makes a company to open its pocket on training and skill development? Investment in employee training is indeed working? As the knowledge-based economy is rapidly approaching, the primary source of national competitiveness has become, not the physical capital of machines and equipment, but HR with the ability to develop and utilize information. In this context, HRD is being carried out holistically through T&D in schools and corporations, and other sites – stem from employees own skill development needs. The T&D supply in the organisation has a direct linkage to the improvement of the specific job skill and proficiency required at the company (Kim, 2008). Nowadays, corporates are investing a considerable amount of money in training employees (Ongori, 2007). As a result of examining the educational performance of enterprises, it can be seen that investment in T&D supports the organisational performance, the employees' satisfaction - result from raising wages - and other substantial benefits (Bartel, 1991; Black and Lynch, 1995; Bishop, 1996; Barrett and O'Connell, 2001; D'Arcimoles, 1997).

Many studies had a considerable interest in the performance of training and development (T&D) in the corporates. In other words, investment in T&D can enhance organisational performance (Bartel, 1991; Black and Lynch, 1995; Bishop, 1996; Barrett and O'Connell, 2001; D'Arcimoles, 1997; Kim, 2001; Park and Kwon, 2002; Shin, Jeong, and Kim, 2003), and from an individual's point of view, it is possible to gain a wage increase through T&D (Brown, 1989; Lillard and Tan, 1992; Frazis, Herz and Horrigan, 1995; Krueger and Rouse, 1998; Lynch and Black, 1998; Loewenstein and Speltzer, 1997; Lee, Shin, Yoon, and Kim, 1994; Lee, 1998).

In this way, although HR is essential and investment is necessary, investment in T&D

in Korean companies is low. Not only are direct investment costs in T&D low (Ryu, 1997; Kang, 2002), but workers' participation in vocational skills development is also low. However, Korean companies' interest in human resource development has steadily increased. In recent publications, the ratio of education expenses to sales of the top 50 group companies in Korea is higher than the average of 42 companies in the US in 2006 (KOCHAM, 2008).

Multiple factors can determine the T&D that brings numerous effects. There is a straightforward process that may not require T&D, and because of the decrease in productivity caused by the dropping of the human resources during the T&D, the T&D may not be possible. Besides, there may be management strategies and mindsets of management training and training, the introduction of new technology, and commitment to training and training of workers (Kim, 2008). There are various studies on determinants of particular T&D investment (Acemoglu and Pischke, 1998; Macduffie and Kochan, 1995; Green, 1993; Lynch and Black, 1998; Smith and Dowling, 2001; Bae and Rowley, 2004; Hughes et al., 2004; Katz and Ziderman, 1990). In Korea, however, there are not many studies on what factors determine the corporate T&D and the size of the investment (Kang et al., 2002). Also, existing studies have limits to specific situations in Korea, such as investment in T&D, relationship with labour and management, and investment in T&D by government intervention (Kim, 2008). There are cases where the needs of organisations are varies depending on the business context of the company, and the sensitivity of the training in high demand, the management strategy, or the introduction of new technologies. The industrial scene is changing rapidly, and constant re-training is required to cope with these changes. Therefore, it is necessary to review the literature on the determinants of T&D in the enterprise, so that T&D can act in the right place.

2. Purpose and method

There is much evidence that T&D policies have positive effects on organisations, but their priorities are mostly low. Their impact also differs depending on the size of the company - large firms, higher impact (OECD, 2013). In Korea, the gap between large firms and SMEs is significant interest, especially in SMEs. Therefore, this research is to try to figure the determinants of training investment in SMEs and see what barriers exist to seek policy implications on SMEs and create a better training circumstance for SMEs and their workers.

Research questions

- What are the determinants of T&D investment according to the job characteristics of SMEs?
- What are the determinants of T&D investment according to the organisational characteristics of SMEs?
- What are the determinants of T&D investment according to the financial characteristics of SMEs?
- What are the determinants of T&D investment according to the learner characteristics of SMEs?

This study is a study that derives integrative conclusions from literature analysis related to the subject of education and the training investment decision of SMEs. For this study, we searched the articles related to T&D investment of SMEs (local and foreign context) with Keywords such as 'enterprise,' 'T&D,' 'T&D investment,' 'investment decision factors.' We searched the target papers via The Journal of Korean Educational and Scientific Information (www.riss.kr), Journal Storage (www.jstor.org), Google Scholar Search (www.scholar.google.com), and the policy research report utilized data from the website of each policy institute. The collected data were divided into the job (JC), organisational (OC), financial (FC), and learner characteristics (LC). The four areas were used as investment

decision factors in previous studies through review and synthesis. JC refers to the types of jobs and specialization of jobs in SMEs, and OC refers to features, including organisational openness and organisational culture. FC includes the degree of return of SMEs and profit structure. LC is analysed based on the learner's learning orientation and loyalty to the organisation. However, when analysing each characteristic, positive and negative investment factor was considered that inducing and impeding investment in SMEs.

Table 6: Analysis framework for T&D investment factor of SMEs

Characteristics	Investment factor (positive)	Investment factor (negative)
Job characteristics (JC)		
Organisational characteristics (OC)		
Financial characteristics (FC)		
Learner characteristics (LC)		

3. Evidence from the Literature

3.1 T&D in South Korea

Most large corporations have a systematic education system, but SMEs have a relatively weak investment in T&D due to the constraints of cost and resource investment. Compared to large corporations, SMEs' T&D costs are one-seventh in terms of amount, and they are only 1/4 of the total cost of T&D. According to the data of the Ministry of Labour in 2002, the T&D costs of SMEs with less than 100 employees were 5.6 million won, which is less than one-tenth compared to 64.8 million won of large enterprises with 1,000 or more employees. The following data also proves inequality in vocational training opportunities: 15.5% for men and 8.9% for women, 23.3% for college graduates, 13.8% for college graduates, 9.7% for high school graduates, 4.2%. The gap in the participation rate of vocational training by gender and education level was large. Also, the effectiveness of vocational training for vulnerable classes was insufficient, and there were also vulnerable groups in vocational training blind spots. In other words, although vocational training for the vulnerable classes such as the unemployed and the poor are being carried out, lack of training effectiveness such as the employment rate is insufficient. Non-insured workforce development for non-regular workers was almost impossible. Inefficiency due to supplier-oriented vocational training delivery system has also been pointed out as a crucial issue. In particular, the training contents at public vocational training institutions such as functional universities and vocational training schools do not adequately reflect trends in technology and training demand in the workplace, and this has been a problem to solve since the 1990s. Also, the qualification system, which is the social certification system of skill, is also inferior in its verification of the latest performance.

The problems and causes of vocational competency development are complex, but the leading cause is the inefficiency and rigidity of the government - led vocational competency development system. In particular, it was one of the concerns of the concerned experts at the time that the authority of the central government in the operation of public training institutions and qualifications systems was not able to secure the autonomy and flexibility of operation in excessively large proportions. However, it is difficult to say that all causes stem from the central government - led the vocational ability development system. In Korea, job standardization in the industry is relatively underdeveloped, and the cooperation and decision-making structure at the supra-enterprise level that goes beyond individual companies is not well established. The tricky thing is reality. Pointing out only the supply side issues while overlooking these structural weaknesses on the demand side can be considered only one aspect of the problem. Faced with this reality, the Participatory Government tried to solve the problem through various policy attempts. First, we expanded financial investment in life skills development. As shown in <Table 1>, vocational training financial investment

increased from 720 billion won in 2001 to 930 billion won in 2005.

Table 7: Annual T&D Funding trend in Korea

Budget type	2001	2002	2003	2004	2005
Overall	7,212	7,655	8,062	8,584	9,348
Employment Insurance Fund	5,121	5,593	5,921	6,424	6,864
General budget	2,091	2,062	2,141	2,361	2,484
Source: (Ministry of Labour, 2005). National PES Innovation Seminar)					

There were many efforts to promote the development of the vocational ability of workers in SMEs. First, by expanding the SME consortium project implemented since 2001, we strengthened the cooperative training program of large enterprises-SMEs to expand the investment of vocational training for SME-occupied workers. Besides, in order to promote private human resource investment, the 'Human Resource Development Excellence Company Certification System' was introduced and implemented from 2005. The project provided HRM and HRD consulting for some of the SMEs that fail to pass the certification screening. Policy efforts continued to enhance participation in training for vulnerable workers. In order to expand the training opportunities for SMEs, SMEs have expanded the level of support and relaxed the requirements, raised the standard training fee (90% → 100%), expanded the subsidy for students (less than 50 → less than 300) (270% → 360% of payment premiums). Also, we tried to expand training opportunities for small business owners and non-regular workers.

Table 8: Training outcome of SME consortiums

Item	2001	2002	2003	2004	2005	2006
Training Center (Launched)	6	8	19	30	47	57
Trainee (numbers)	8	10	20	38	71	143
Participating SME (K)	1	3	8	15	33	63
Budget (Bn)	32	61	141	168	399	450
Source: (Ministry of Labour (2007). Korean Labor White Paper)						

Approximately 820,000 people are working, as the HR, training, and labor relations managers and experts, as described in the 2007 US Job Prospectus. The employment status of these specialists is as follows, and more people are engaged in business training and training. The larger the size of the organisation, the more HRD personnel are in charge (Joo, 2003). Adversely, if the organisation size is small, there are many cases that personnel dedicates to the tasks with no boundaries. The larger the organisation size, job assignment is clear unto where there is no dedicated organisation or other tasks, and the larger the scale, the more the dedicated organisation and the dedicated person are in charge. The organisation divides complex tasks into featured activities, assigns the activities to specific roles, and organisational members perform their work through roles. Leading them to plan and implement learning and performance improvement strategies that can support an organisation's strategic direction, based on an analysis of the effectiveness of learning and performance enhancement, as well as how to determine how to bring value to meet organisational needs it is. Through the table below, we can also look at the operational status of Korean companies' investment in human resources.

Table 9: HRD personnel by organisation size

Item		Organisation size					Total
		>49	50~299	300~999	1000~4999	5000<	
HRD Personnel	Yes	31 (75.6)	15 (53.6)	3 (13.0)	3 (5.0)	-	52 (27.4)
	No	10 (24.4)	13 (46.4)	20 (87.0)	54 (94.7)	41 (100.0)	138 (72.6)
HRD Organisational morphology	Adjunct	4 (44.4)	7 (53.8)	3 (15.0)	1 (1.9)	3 (7.5)	18 (13.3)
	HRD personnel (no team)	2 (22.2)	2 (15.4)	5 (25.0)	7 (13.2)	1 (2.5)	17 (12.6)
	HRD responsible team with members	1 (11.1)	-	6 (30.0)	15 (28.3)	3 (7.5)	25 (18.5)
	HRD responsible upper division with members	2 (22.2)	4 (30.8)	6 (30.0)	21 (39.6)	17 (42.5)	50 (37.0)
	HRD center with board member and personnel	-	-	-	9 (17.0)	16 (40.0)	25 (18.5)
Total		9 (100.0)	13 (100.0)	20 (100.0)	53 (100.0)	40 (100.0)	135 (100.0)

Source: (Joo (2003). Strengthening the role of the human resource development manager in the enterprise (p.23). Sejong: KRIVET).

3.2 Empirical Research on Investment effect of enterprise

3.2.1 Organisational Context

Several studies show that corporate education directly affects financial performance, but some studies have had a negative impact. However, the number of studies is insufficient to generalize, and other potential variables may be a significant factor as well. First, the productivity effect of general T&D is analysed to be somewhat useful in the study of corporate productivity. However, the impact of productivity improvement is not apparent in the case of enterprise specialized in training. Black and Lynch (1995) found that the higher the number of participants in the manufacturing industry, the more productive they were, while the non-manufacturing sector found that computer training had a significant positive effect on productivity. Bishop (1996) demonstrated that when personnel is well-trained, productivity increased by 26-30% in the first month and 19-25% during the rest of the year. Barret and O'Connell (2001) found that employer survey data from Ireland showed that the productivity of firms' general training was adequate, but the productivity improvement of training specialized enterprise was not significant. Bartel (1991) analysed the productivity improvement of T&D by increasing sales per capita, and proved that the productivity effect of T&D is at least 17%. Bartel (1995) used data from two large firms to demonstrate that the return on the training for professional and technical workers is 34.6% for employee development training and 36.6% for technical training.

In Korea, the results of empirical studies show that the productivity and profitability of firms increase due to T&D. Kim, Kim (2001), and Ryu (1997) found that T&D has a positive effect on the investment cost of T&D, per capita turnover, machine area ratio, per capita added value and per capita labour cost. However, the effect of T&D on company performance

is not significant. Kim (2001a) constructed panel data for fifteen years of 256 companies using corporate management analysis data and demonstrated the results of training and training of companies through panel analysis. When using a panel data was analysed the economic performance of a company's training, training in enterprises were having a positive impact on both productivity and profitability, the effect is found to be three years for productivity, duration two years Profitability Respectively. At the same time, we found that corporate T&D have a positive impact on organisational productivity. Also, the study found that investment in T&D has a positive effect on net profit in a study that examined the relationship between investment, turnover rate, and cooperative performance in human resources development in the manufacturing sector. On the contrary, Ryu (1995) pointed out variables, such as the ratio of capital to the firm as the cause of deciding on T&D by combining enterprise management analysis data and wage survey report data by occupational group.

There are some difficulties in interpreting T&D as a direct factor on increasing productivity of the organisation because it is highly possible that potential and non-T&D variables also can affect organisational productivity (Dearden, Reed and Van Reenen, 2006). Also, proficiency as a result of T&D is not a company-specific skill but a general skill (Acemoglu and Pischke, 1998; Loewenstein and Spletzer, 1998). This relevance leads employers to get caught up in the idea that if a trained worker turns up, the former employer ultimately pays for another company (Jeong, 2008). There may be other variables that mediate the impact of investment in T&D on organisational performance. If the quality of the educational program is not low or is not in the proper format, or if there is no suitable condition to transfer the learning after the completion of the program, the performance may be halved (Jung, 2008).

3.2.2 Individual Context

A previous study analysing the performance of the T&D system and analysing the performance of the education system, analysed the tendency of training contents and training experience by using the census and company data, and analysed the wage effect it brings (Brown, 1989; Lillard and Tan, 1992; Frazis, Herz and Horrigan, 1995; Krueger and Rouse, 1998; Lynch and Black, 1998; Loewenstein and Speltzer, 1997). However, the effect on wages varies. Frazis and Loewenstein (1999) demonstrated that the individual wage effects of T&D lasted for three years. As a result of analysing data from the Korea Labour Panel in 1998, Job training overall has a positive effect on current employment (Kang and Noh, 2001). The results of this study are summarized as follows: First, the wage effect of T&D was found to have a positive impact on all industries. On the other hand, the impact of the individual wage of workers on T&D analysed by cross-sectional data was not significant. The lack of wage effects of individual T&D has argued that personal characteristics are due to the limitations of cross-sectional data that are difficult to control (Kim, 2001).

In the meantime, vocational training is related to the movement of the individual such as the turnover of the individual, the deviation of the labour market (Park, 2002; First, studies on the turnover of individuals show conflicting results. Yoon (1997) found that those who received public job training had a higher turnover rate than those who did not. Jung (2008) also proved that there is a negative relationship between investment in T&D and turnover rate. He explains that if one's job skills properly improved via T&D, but there is no recognition returns, their desire to be recognized for his improved job ability by choosing another job or resignation (self-employed). On the other hand, most of the previous studies on the relationship of turnover (Park and Kwon, 2002; Loewenstein and Spletzer, 1998; Owens, 2006) show that investment in T&D harms employee turnover. Besides, T&D has been effective in preventing individual deviation from the labour market and improving the quality of employment. The results of a follow-up survey of 1,000 unemployed and unemployed showed that vocational training not only enhanced job performance but also prevented the unemployed from leaving the labour market (Lee, 2000).

3.3 Theoretical studies on TandS investment determinants

3.3.1 Training and development investment theory

Barker's human capital theory (1975) distinguishes between general education that fosters the ability of companies to utilize other companies and enterprise-specialized training that is required only by specific companies. Since general T&D can be used equally in other companies because of the formation of general skills, workers who have received general T&D have the benefit of T&D in different companies; the trainee (worker) bears the cost. In contrast, since the enterprise-special training is used only in the company concerned, the incentive for the employee to complete the training is minor, but the company can monopolize the benefit of the improvement of the skill of the worker, and the corporation incurs the cost. Realistically, the skills that are formed by corporate training are not entirely general or corporate-specific, so there is a problem surrounding the decision to invest in training. Acemoglu and Pischke (1998c), however, argue that as a result of T&D in the US empirical studies, the skills of any education are not enterprise specific, but industry-specific (general skill). In Korea, the skill of T&D is generally a general characteristic (Park, 1992). Kim (2001a) shows that generalities of skills are more evident in high-tech industries, and 63.4% of them develop the ability to move to other sectors or industries.

In practice, however, companies typically pay training costs. There are many precedent studies that the formal training that enterprises pay is mostly general training, and general training is more often for general technical improvement (Loewenstein and Spletzer, 1998; Bishop, 1996; Barron, Berger and Black, 1997). In Korea, too, corporations pay most of their expenses regardless of the contents of training. Studies that examine the reality of corporate T&D, which contradict the human capital theory, have emerged since the 1990s. International studies explain the reason that firms are paying for training for general skill as that general skills are the foundation of firm-special-skills and the labour market for skilled HR is unstable. Steven (1996) argues that there is a fundamental relationship between training and incomplete competition in the labour market. Let us say a worker has a skill set that is partially general, partially specialized, that only rare companies buy that competency. This exceptional combination of skills makes them different from other workers. Thus, the more training the employee receives, the more employee decreases the number of firms that want the worker. Training alone, in itself, reduces labour market competition, and general skills turn into enterprise-specialized skills.

In similar logic, even in general skill, a corporate invests in general skills training because workers have different general skill combinations and this combination is more relevant in the current employer than in another employer (potential) (Bishop, 1996). Also, the skills learned in the company are tailored to the internal communication style of the company, and if productivity is not maintained, the general proficiency will be adjusted to suit the situation of the company. Becker's theory can only be applied if the labour market is competitive and the workers are willing to pay for them at a constant interest rate for general training investment, and other companies can cheaply favour general skills. Katz and Ziderman (1990) argue that Becker's theory is valid only when full information is available on the training contents that corporate provided. If the training content and the outcome (e.g., skill level) are unverifiable information to outside companies, the employer will invest in general training. The general skills gained from T&D consist of the current value and other optional values for performing jobs, which are expected to utilize the skill. They particularly emphasize the importance of option value. The option value is that general skills serve as the basis for the next level of training, and skills for one job provide the company with the relevant skills that enable the worker to use the other job. General skills include improving the ability of workers to handle new technologies. However, the information about the option value of workers who receive general T&D is not known to outside companies.

Incomplete information of the external company about the skill of the trained workers gives the training and training enterprises the monopoly power of production demand. Acemoglu and Pischke (1998) find that the superiority of firms providing training for employees' abilities creates the monopoly power of post-production factors, which is a factor

that provides users with general training and burdens their costs. The skill resulting in training is non-competitive in the labour market. In a wage structure that is favourable to less skilled workers, firms are more likely to increase productivity than to increase wages through training, so firms invest in general training. This non-competitive nature of the labour market, that is, the distortion of the wage structure is the result of job matching and the existence of transaction costs in search, asymmetric information existing between current users and other firms, asymmetrical information between workers and users, And intergenerational skills, minimum wage system, and unions. Even if the minimum wage rate is increased, if the workers with less than the minimum wage receive training, the productivity increase can be taken by the company without paying the wage increase. Except for wages of high skilled workers such as labour unions, the strategy of raising the wages of low skilled workforce can invest in the training and bring the profits to the enterprise profit.

The results of investment in T&D are also profoundly related to the T&D evaluation model. A representative example of the evaluation model is Kirkpatrick's Model of Four Levels in the 1950s. According to him, stage 1 evaluates the opinions and satisfaction of workers on T&D through the evaluation of reactions, and whether there is progress in their knowledge, skills, and attitudes as a result of T&D. The third step is to evaluate whether there is a change in the actual performance of the workers as a result of T&D in the transition evaluation. Finally, the fourth step is to evaluate whether T&D is practical in actual management activities (e.g., Sales growth, and cost reduction). However, the 5-step model developed by extending the 4-step model. Hamblin (1974) assessed whether the organisation's productivity, quality, or employee morality improved in the fourth step, and suggested a model that assessed the organisation's overall performance in terms of ultimate value: profitability, survival or growth. Kaufman and Keller (1994) assessed how much the training contributed to the company's profits in Phase 4 and proposed a model to assess the impact on society in Phase 5. Phillips (2012) developed a model that measures performance achieved by the organisation, such as quality or customer satisfaction, in Phase 4, and performs cost-effectiveness analysis in Phase 5. From the organisation's perspective, four of Kirkpatrick's models can ultimately provide the most meaningful information, given the company's ultimate goal of profit-seeking.

3.4 Proof studies of Human Capital Theory

In the United States, many studied corporate training and its outcome since the 1990s. Since the 1980s, we have come to recognize the fact that we cannot compete with low wage countries in terms of labour costs, and we have come up with ways to foster a high-quality workforce. Besides, the economic performance of Germany and Japan in the 1980s and the economic sluggishness of the US and UK have disparity with each other. Although there was significant importance addressed, there were not quantitatively many studies brought result. The biggest reason is the data problem. In the US, where empirical research on T&D is most active, there is not much data on T&D investment. According to Bassi, Gallagher and Schroer (1996), which comprehensively summarizes the size and nature of investment in corporate T&D in the United States, the reasons for lack of investment in T&D in the United States are as follows. First, Secondly, government-led surveys that can obtain very high-quality data are rarely performed in this field. Third, most of the private sector surveys in this field have been conducted on fewer samples or in some sectors. It also points out that it is difficult to trust because of its shallow response rate.

Past HR research has focused on the impact of training investment (pre-employment) on labour market experience on various outcomes. However, in recent years the assumption that the employer-provided training is a crucial factor in determining the amount and type of skill increase among workers in the firm; the analysis of the size, type, and effect of enterprise-provided training. In Korea, there was much interest in the present situation of the skill level and the direction of change. However, there were fewer studies on the actual conditions of corporate T&D that form skills and the factors that determine corporate T&D. However, since the latter half of the 1990s, the economics of investment in T&D has begun to be studied based on personal capital and personal factors and organisational factors. There are studies such as the relationship between wage increase and job promotion (Lee et al.,

1994; Lee, 1998) and turnover rate (Kim, 1999; Jung, 2008), per capita sales, machine equipment ratio, value added per capita, labour cost per capita (Ryu, 1997), value added per capita (Kim, 2001), labour productivity (Park and Kwon, 2002), gross profit margin and recurring profit (Shin, Jung, and Kim, 2003).

The theoretical analysis of the implementation of training has understood from the aspect of labour theory and social institution. Stevens (1996) tried to identify the burden of general T&D in the constraints of labour mobility, and Bishop (1996) found the cause in enterprise specialization of general T&D. Acemoglu and Pischke (1998) found that the labour market structure, which gives wages less than the marginal product value of skilled workers, Therefore, It also suggests that the higher the labour market's tensions, the more likely it is to invest (Hughes et al., 2004). From the viewpoint of transaction costs, Katz and Ziderman (1990) found the cause of the corporate training cost burden on the information asymmetry between training provider and other companies. Acemoglu and Pischke (1998a, b, c) explain that firms bear the cost of training and training because of the labor market structure that gives wages less than the marginal product value of able skills resulting from training.

On the other hand, Macroeconomics and Macroeconomics (Macduffie and Kochan, 1995), rather than exogenous factors such as macroeconomic conditions, labour relations systems, and technological factors, persisted in terms of firm-level strategy and choice strategy. (Smith and Dowling, 2001), the more substantial capital investments (Lynch and Black, 1998), and the better the perception of change in external skill needs (Hughes et al., 2004).

In addition to the strategic characteristics of firms, research has also been suggested that the size of the firm determines investment factors in T&D, the characteristics of the workplace, working environment, strategy, automation level, autonomy, labour management, and management mind (Lynch and Black, 1998; Smith and Dowling, 2001). The longer the manager has a long-term perspective, the higher the level of automation of the enterprise, and the more autonomous the worker organisation, the higher the quantity and quality of T&D (Smith and Dowling, 2001). Also, research has shown that the size of firms and the empowerment of employees are the main determinants (Bae and Powley, 2004; Hughes et al., 2004). Concerning foreign ownership, Bartel (1989) finds that the large firms have access to capital markets and have a broad internal labour market, And the higher the benefit of screening to identify more skilled workers, the higher the investment in T&D. On the other hand, corporate unions are aiming to determine the wage level of lower-grade workers. Therefore, there is a possibility to increase the training and training of enterprises if there is no turning-off of the trainees. Also, if the union chooses T&D as the agenda of collective bargaining for the interests of the worker, there is a possibility that the T&D of enterprises will increase. In the empirical study, Osterman (1995) showed significant positive effects on firms' investment in T&D, while Ryu and Kim (1997) and Whitfield (2000). Ryu (1995) pointed out variables such as the capital equipment ratio of firms as the reason for deciding on T&D by combining corporate management analysis data and wage survey report data by company.

A study was also made to explain the investment factors of T&D by individual characteristics. (Green, 1993), the higher the worker's education level (Lynch and Black, 1998) and the lower the percentage of skilled workers (Hughes et al., 2004). While the number of vocational training for employed workers is very high, the number of vocational training for vocational and temporary workers is deficient. Therefore, the selection of training subjects by employers is structurally tended to allocate less training opportunities to vulnerable groups (Kim, 2008). The sexual difference in T&D investment also shows that male employees invest more in training, and this results from the fact that female more engaged in part-time jobs. Women are more demand-centred than men because they participate more in private training.

Table 10: T&D investment determinants analysis subjects, determinants, research methods

Authors	Subject	Determinants					Method
		Organisation	Task	Finance	Employee	Others	
Ryu (1997)	corporate			o		o	Quan.
Kim (2001)	corporate (256)			o			Quan.
Shin, Jung, Kim (2003)	corporate (241)			o			Quan.
Kim (2008)	corporate/government				o		Quan.
Bartel (1994)	corporate (495)	o					Quan.
Osterman (1995)	corporate					o(union)	Quan.
Huselid (1995)	corporate (968)		o	o	o		Quan.
D'Arcimoles (1997)	Corporate (61)			o			Quan.
Lynch and Black (1998)	Corporate	o			o	o(Working Condition)	Quan.
Hughes et al. (2004)	Corporate	o	o		o	o(labor market)	Quan.
Bassi et al. (2002)	Corporate(575)			o			Quan.
Smith and Dowling (2001)	Corporate	o	o	o	o	o(labor relation)	Quan.
Aragon-Sanchez, Barba-Aragon and Sanz-Valle (2003)	SME(457)	o		o			Quan.

4. Result and discussions

4.1 Job characteristics

In SMEs, the task can be roughly divided into general skills and corporate-specialized skills. This definition can lead to changes in investment in T&D in SMEs. In a study on the determinants of corporate investment, it is common for general skills training that can be utilized by various organisations and companies to have little corporate investment (Acemoglu and Pischke, 1998; Loewenstein and Spletzer, 1998; Becker, 1964). In other words, general skill is an ability required in all companies. Therefore, if a company pays a certain amount of budget for its improvement, it helps in the short-term profit of the funding company. From a long-term viewpoint, it increases an adverse effect because it increases the employability of the employee (trainee), which expand the probability of leaving the company and increase in wages request for their increased capacity (Jung, 2008; Winterton, 2004; Peterson, 2004). On the other hand, when conducting specialized job training (which can benefit the funding corporate only), trained workers increase their professionalism only in that field, and improve corporate professionalism and loyalty to the organisation. Therefore, many companies actively conduct special field education and training (Ongori, 2007; Owens, 2006; Hacker, 2003).

However, in recent years, there is a limit to classify the degree of T&D investment decisions based on such general skill and enterprise-specific jobs. In particular, in the US, there is a view that firms are less likely to invest in general T&D because of the relatively high mobility of the labor market (Acemoglu and Pischke, 1998). In Korea, conversely, it is unlikely that the T&D and skill development will adversely affect (e.g., turnover) the organisation due to the rigid labour market and morality (Kim, 1999). There is a limit to divide the degree of investment by merely dividing the job into general and special duties. In other words, the proportion of general and specialized training increases as the number and complexity of the task in the firm, and hence the total amount of general and specialized jobs required (Loewenstein and Spletzer, 1998). Therefore, companies invest in general skills at a level that underpins specific business functions. It is also possible to invest for companies with general skills when companies monopolize the demand for labour (e.g., the tasks is in the high

technology sector, the training formats a unique corporate culture) (Kwak et al., 2003; Acemoglu and Pischke, 1998, 1999; Autor, 2001). In other words, if a company owns its technology in the corporate operation and owns all of the necessary personnel, i.e., there are no other companies that can turn over, regardless of the specificity of the job, they invest in T&D. As a result of T&D investment, it was dominant that job specificity determines the job characteristics. However, according to various factors such as differentiation of work in the company, a difference of tasks to be performed by each company, the cultural difference of each company, the basic necessity of general skill to perform the specific job of the enterprise, It exists differently.

4.2 Organisational characteristics

In terms of organisational characteristics, there is a difference in investment in T&D depending on the size and complexity of the organisation's culture and organisation. In the case of organisational culture, first of all, the number of years of service of the organisation is small, and the SME has a high investment in T&D (Whitfield, 2000). It is because start-up companies can educate and utilize the workforce needed by companies on time without being tied to social structures or practices. However, there is also some research that relatively new investments in T&D can be insufficient (Kim Dong-bae, Roh Yong-jin, 2002). Besides, in the case of domestic SMEs, OJTs are often carried out among small-scale organisations rather than in separate training and education (Bae and Powley, 2004). The larger the scope of the company's activities, and the more complex the organisation, the higher the investment in T&D. In other words, as the organisation has a wide range of activities and the complexity of the organisation, various training programs are conducted to support it (Wagar, 1997; Frazis et al., 2000; Whitfield, 2000). Besides, as the scope of activities increases, the competitive pressures of competitors become worse. Therefore, to survive in such competition, efforts are made to strengthen professionalism through T&D (Knoke and Kalleberg, 1994; Smith and Dowling, 2001). Besides, there is a view that as the size and scope of a company becomes more complicated, it is impossible to grasp the needs of individual workers and jobs, and that there is a limit to practicing a large amount of T&D (Knoke and Kalleberg, 1994; Osterman, 1995; Felstead and Green, 1996). An open corporate culture affects investment in T&D. In particular, the higher the empowerment of workers, the more they can find and implement additional training needs in their work situations (Bae and Powley, 2004; Hughes et al., 2004). The culture increases the T&D demand by allowing employees to have the mind that they are not merely working for the company's profit but working to improve their abilities at the same time as doing their jobs. Investment can increase.

4.3 Financial characteristics

Redding (1996) sees training investment as a result of coordination between workers as human capital investors and firms as new technology investors. Human capital investment and new technology investment are complementary, but there are multiple balances, and no one invests in the sub-optimal balance (Bae and Powley, 2004; Hughes et al., 2004), because large firms are more likely to have access to capital markets and a broader internal labour market. The results of this study are as follows: First, the higher the job turnover rate, the lower the cost of training and supervision, and the more significant screening benefit of more skilled workers (Bartel, 1989), because SMEs lack expertise in the preparation and implementation of T&D, they are more likely to have systematic T&D (Korea Labour Institute, 2001).

Besides, government policy support is a determinant of T&D investment. The national workforce development project launched in earnest in 2001 and various national financial support projects have been developed to nurture workers in response to industrial demand. Specifically, there are training programs for existing employees, technical training for new employees, and adaptation to labour for the vulnerable class (Park, 2007).

4.4 Learner characteristics

The individual characteristics of the worker classified into factors such as gender, age, academic ability, inclination - that sets before joining a company, and factors determined after admissions such as work proficiency, working style, and longevity. When we look at the determinants which firms before entering the company, the higher the male (Green, 1993), the older the age (Park et al., 2007), the higher the educational level (Lynch and Black, 1998), the better the training. The sexual difference in T&D spending arises from the fact that the proportion of women participating in the labour market is lower than that of men and that women are more engaged in part-time jobs than men do not invest relatively. Also, vocational training is more demand-oriented for women because of the more burdened education for women than for men. Also, as age increases, it is expected that T&D will contribute significantly to enhance the competitiveness of the company (Park et al., 2007). In the case of personal characteristics, individuals with open tendencies and those who are actively demanding individuals tend to have higher expectations for T&D and have a significant impact on actual T&D investment (Whitfield, 2000). On the other hand, studies by Ryu (1997) and Whitfield (2000) showed no significant effect (Kim and Roh, 2002). The lower the proportion of skilled workers (Hughes et al., 2004). The higher the number of full-time workers, the longer the period of tenure, the higher the percentage of job training completed (Kim, 2008). Because of the strong social demand for skilled workers, if they are sensitive companies, they will allocate many budgets for T&D to nurture skilled workers. Besides, the selection of training contents is mainly for regular workers who can contribute structurally to companies for a long time and tends to allocate undue training opportunities to vulnerable groups (Kim, 2008). In other words, the number of vocational training for irregular workers is meagre. The longer the period of tenure, the more active the T&D. In other words, the longer the tenure, the greater emphasis is placed on the job training of the company. In recent years, however, there is a limit to distinguishing between T&D investment decisions based only on the characteristics of the inherent and acquired individuals.

5. Summary of Key findings

In this study, the determinants of SMEs' T&D investment explained in four characteristics; Job Characteristics (JC), Organisational Characteristics (OC), Financial Characteristics (FC), and learner Characteristics (LC). The conclusions are as follows. Korean SMEs have been conducting various types of T&D. There were no limitations on the type of job, such as general skill, job-specific skills such as company-specific skills, and scope of the job application. Also, the subject of T&D was not only the company itself but also the support such as the development of National Employees' Skill Development (credit card for training expenses), besides, financial support to companies investing in T&D. The analysis of previous studies related to investment in T&D showed in the qualitative method. Also, most researches clarify in job, organisation, finance, and learner characteristics. On the other hand, studies on investment outcomes of corporates' T&D investments conducted in a variety of ways, but there are relatively few studies on factors determining T&D before education. Also, the determinants of T&D investment of SMEs are diverse. Notably, this study divided into four areas, and each area has a certain amount of determinants. Korean SMEs do not have a consistent characteristic; they have diversity in size, finance, and related tasks. Therefore, various factors may exist depending on individual companies. However, the overall determinants are that they are emphasizing diversity in recent years and are making efforts to provide training that meets the needs of workers.

6. Conclusion

As SMEs are less likely to be a funding actor in T&D than large corporations, T&D is a term of "welfare" only for the employees who want training at a micro level. Therefore, it is difficult

to contribute to enterprise productivity and efficiency directly. Based on the determinants of T&D investment of SMEs presented in this study, further empirical studies are needed to understand the situation in South Korea. It is necessary to study and compare the determinants of T&D investment of large enterprises and SMEs. It is necessary to produce and utilize analytical data for decision-making on EandT investment by companies using research results.

Based on the determinants of T&D investment of SMEs presented in this study, empirical studies are needed to understand the situation in Korea. The results presented in this study include contents that are appropriate to domestic circumstances, but most of them are based on studies. Of course, the implications of international research can be fully appreciated in the historical aspects of research on T&D investment and the quantitative aspects of research. However, it is necessary to carry out quantitative empirical studies based on the synthesized contents because there are unique characteristics of domestic companies, unlike the situation of foreign companies that emphasize individual-oriented and interests. Also, it is necessary to compare and analyse the determinants of investment in the T&D of large corporations and SMEs. This study focuses on SMEs and analyses the determinants of investment in T&D. However, additional research is needed to determine whether the results of this study apply to SMEs or all companies, including large corporations. Therefore, it is necessary to further analyse the environment of SMEs and large corporations in the future and to analyse the common points and the different contents of each organisation. In this study, the factors that determine T&D investment in each area were consequential according to the characteristics of job, organisation, finance, and learner. Therefore, each company can determine the location of its own company according to the area and can make an investment based on this study.

In South Korea, SMEs provides distinctive T&D for each job and T&D subject. Depending on the company-specific technology and the scope of utilization of the job, the company voluntarily conducts T&D by state support. The study on investment in T&D has carried out the integrative review according to the characteristic of the company and specific situation. As a result, SMEs' T&D investment determinants are wide-ranging according to their size, finances, and related jobs. Nonetheless, the overall determinants of training are initiated to the worker (training consumer) needs.

7. References

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National Accounting for Human Capital

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Abstract

Human capital, the potential to produce goods and service, is an intangible asset that contributes to economic growth and prosperity just as tangible assets do, such as land or capital. Yet, the inability to account for intangible assets such as human capital has resulted in under appreciation of the role of investment in these assets in promoting growth and prosperity. In this paper we outline cost-based, income-based, and the indicators approaches to conduct national accounting for human capital investments.

1. Introduction

Systems of National Accounts (SNA) are the most important measures of overall economic activity of a nation. SNA present the value and composition of national output and the types of incomes generated by tangible assets in production. SNA are incomplete and misleading because they omit the contributions of intangible assets to the economy. Reviewed in this presentation are theory and research related to human capital accounting at the macro-level. Human capital accounts are emerging as important supplements to SNA to indicate the importance of intangible assets, such as human capital, in economic growth and performance.

2. Theoretical Base: The Concept of Human Capital

2.1 Origins

The concept of human capital originally was articulated by prominent economists and political theorists such as Adam Smith, John Stuart Mill, and Alfred Marshall. For example, in 1776, Adam Smith wrote that labour inputs to the economy included “the acquired and useful abilities of all the inhabitants or members of the society” (1952, p. 119) as well as “the state of the skill, dexterity, and judgement with which labour is applied (1952, p. 1).” Although the importance of human capabilities continued to be acknowledged, economists, such as Abramovitz (1956), began to determine that traditional factors of production — land, labour, and capital goods — failed to explain fully economic growth. According to Schultz (1961), “The income of the United States has been increasing at a much higher rate than the combined amount of land, man-hours worked and the stock of reproducible capital used to produce the income (p. 6).” The unexplainable residual left between actual and predicted economic growth was attributed to the influence of an intangible economic asset, human capital. Human capital has a long intellectual history during which it has been defined in many ways (Kiker, 1966).

2.2 Simile with Capital Asset Management Theory

However, we hold a simple point of view that human capital theory can be derived as a simile from capital asset management theory (see, e.g., Ngwira and Manase, 2016). Capital in this theory is a tangible or an intangible entity that holds the potential to generate value for its owner. Liquidation of capital exchanges the capital for its current market value in currency or trade. Investment in capital involves foregoing current liquidation of the capital in anticipation of a profitable return beyond the original capital investment in the future. Maintenance of capital often is required to avoid or reduce capital depreciation over the investment period.

Capital assets are defined broadly as tangible or intangible property of any kind. Capital assets can be held as permanent wealth, but investors in capital assets typically are motivated to maximize profit. For instance, a financial investor purchases financial

instruments in anticipation of a positive financial return in the future on the original capital investment. Or, a manufacturer buys physical capital in the form of a machine tool in the hope of earning a stream of income from the products built by the tool over its life that exceeds the lifetime cost of acquiring and maintaining the tool. Assets can gain or lose liquidation value as a result of change in markets for the assets. Financial instruments might vary in value. The machine tool might continually and reliably form a product well, but demand for the product might wane, resulting in a loss of liquidation value. Investment involves risk and uncertainty.

By extension from concepts of *capital* and *capital assets*, *human capital* is an asset embodied in the stock of knowledge, skills, experiences, or any other characteristics (e.g., strength, beauty, innovativeness, health, judgment, wisdom, creativity) possessed by a human that can produce value. In short, human capital is the capacity to produce goods and services.

2.3 Human Capital Investment at Micro, Meso, and Macro Levels

Investment in human capital involves forming or maintaining human capital to increase human productive capacity in the future. For example, obtaining training and education, seeking nutrition and healthcare, becoming drug-free, migrating to a geo-political location better aligned with opportunities, and establishing friendships are among the varied investments in human capital that are possible. The assumption is that people make these human capital investments to enhance their productive capacity (i.e., that they are profit maximizers), and that they are not engaging in these activities as consumption (e.g., education for personal enjoyment, development of a hobby, or acceptance of a Zen-like symbiosis with the universe), although discrimination between investment in human capital and pure consumption is a practical difficulty.

Investment in human capital is not made solely by individuals. Families invest in the human capital of their members to solidify family well-being. Firms invest in workers to bolster productivity by creating firm-specific human capital that generates a return on investment only for the firms themselves due to the firm's unique production function. Firms also create general human capital that is necessary for their operations, but which could be useful to any firm (e.g., blueprint reading; operation of standard testing equipment). Firms making investments in general human might not capture the full return that the investment creates because general human capital is transportable to many firms. Becker (1994, Ch. 3) suggested that possession of both general and firm-specific human capital is a central driver of firms' competitive advantages.

Countries also invest in human capital to promote national economic growth. These investments occur in public goods and services such as education, training, nutrition promotion, housing assistance, and health care. Understanding and accounting for human capital at the national level is the focus of the remainder of this paper.

2.4 The Potential of Human Capital is Realized When it enters the Market

Human capital is intangible and cannot be not measured directly. Its value is known only by its price in the market. Some human capital might be scarce, so its use in production commands a relatively good wage. However, human capital that is common or not required in current production — no matter how costly to acquire, no matter how long in development, no matter how well maintained, even if developed to an elite level — either is not purchased or does not command a relatively high wage.

Consider what happened when sound was added to formerly silent motion pictures, creating so-called "talking" pictures. The projection of silent films usually was accompanied by music played by local, live musicians. Some movie houses featured only a pianist or a violinist, but some movie "palaces" engaged full orchestras. In 1925, a major movie studio introduced a movie, *Don Juan*, with an accompanying sound track because the studio believed that movie houses would be motivated to screen their movies to save the expense of hiring musicians (Bix, 2000, p.93).

The movie-going public embraced talking pictures. The change was a huge financial success for both movie studios and movie houses. Of course, this technological shift unnerved musicians, who had trusted that their artistic skills always would be in demand. After some trepidation about upsetting tradition as well as the musicians' union, all large Hollywood producers had abandoned silent movies by 1931 (Walker, 1978, pp.6-7).

Between 1929 and 1931, 9,885 musicians, one-half of musicians working in movie houses, lost their jobs, with a high proportion not finding jobs in music performance again (Bureau of Labor Statistics, 1931). The lesson is that human capital is an asset that exists independent of any consideration of its asset value. It just is. Human capital represents the potential to produce goods and services. The value of human capital is defined only when its potential is actuated by its employment in production. Human capital that is in demand can generate positive returns on investment. Human capital that is degraded or has no fidelity with production needs generates a loss.

2.5 Systems of National Accounts (SNA)

Many of the key aggregate variables used to describe an economy are presented in a country's SNA. SNA concepts are used to describe the functioning of economies throughout most modern nations.

In most SNA, national income represents the total amount of money that factors of production earn during the course of a year. This mainly includes payments of wages, rents, profits, and interest to workers and owners of capital and property. The national product refers to the value of output produced by an economy during the course of a year. National product, also called national output, represents the market value of all goods and services produced by firms in a country.

Because of the circular flow of money in exchange for goods and services in an economy, the value of aggregate output (the national product) should equal the value of aggregate income (national income). The economy is composed of two distinct groups: households and firms. Firms produce all the final goods and services in the economy using factor services (labour and capital) supplied by the households. The households, in turn, purchase the goods and services supplied by the firms. Goods and services move between the two groups. Exchanges are facilitated with the use of money for payments. When firms sell goods and services, the households give the money to the firms in exchange. When the households supply labour and capital to firms, the firms give money to the households in exchange. In this way, money circulates between the two groups.

National product measures the monetary value of goods and services produced by firms in the economy. National income measures the monetary value of all factor services used in the production process. As long as there are no monetary leakages from the system, national income will equal national product.

The national product is commonly referred to as gross domestic product (GDP). GDP is defined as the value of all final goods and services produced within the borders of a country during some period of time, usually a year. GDP measures all production within the borders of the country regardless of who owns the factors used in the production process. GDP is a measure of the size of an economy, and its growth or reduction are used as signs of the path of prosperity and strength of an economy.

2.6 Accounting for Human Capital within SNA

The U.S. Bureau of Economic Analysis produces SNA called the *National Income and Product Accounts* (NIPA) that contain a comprehensive accounting of the value and composition of national economic output and the types of income generated in its production (Bureau of Economic Analysis, 2015). The NIPA feature some of the most closely watched economic statistics that influence the decisions made by government officials, businesses, and households in the United States. The NIPA focus solely on tangible assets. However, intangible assets have shown their importance in actual national economic growth. Therefore, the

Bureau has developed “satellite accounts” to provide deeper detail than the NIPA to allow analysis of particular intangible national assets. Accounts are being tested for arts and culture, travel and tourism, health care, the digital economy, outdoor recreation, and human capital.

Christian (2014) and Farumeni, Christian, and Samuels (2017) summarized recent work by the U.S. Bureau of Economic Analysis in the establishment of a satellite account for human capital to supplement the NIPA. In 2009, the human capital stock of the United States in 2009 was equal to about three- quarters of a quadrillion dollars. Net investment in human capital from education, net of the aging of persons enrolled in school, was equal to \$7.0 trillion. The inflation-adjusted growth in net investment in education is equal to 1.6 percent annually. Although satellite accounts for human capital still are undergoing testing and currently provide somewhat limited information, they represent an opportunity for HRD researchers to examine a wide range of human capital investments at the national level.

In general, though. Le, Gibson, and Oxley (2003) identify three major approaches to measuring human capital: the cost-based approach, the income-based approach, and the indicators approach. The indicators approach is the simplest; it uses an indicator or combination of indicators, such as years of schooling or the rate of literacy, to measure a country's human capital.

The cost-based approach values the human capital stock at the cost of producing it. A frequently cited text on the cost-based method is Kendrick (1976), which measures human investment using the cost of rearing children, educating people, and other human-capital-related activities.

The income-based approach values the human capital stock using the earnings of the persons in that stock. Jorgenson and Fraumeni (1989, 1992), which measure human capital using lifetime incomes in present discounted value, are seminal applications of the income-based approach. The income-based approach has been the most popular approach in recent applications, having recently been employed to create human capital measures for China (Li et al., 2010), the United States (Christian, 2010), the United Kingdom (Jones and Chiripanhura, 2010), Canada (Gu and Wong, 2010), Australia (Wei, 2008), New Zealand (Le et al., 2006), Sweden (Ahlroth et al., 1997), and Norway (Liu and Grecker, 2009). The income-based approach also was used for the human capital project at OECD, which aims to produce human capital accounts across eighteen countries for international comparisons (Mira and Liu, 2010).

Abraham (2010) identifies the cost-based approach and the income-based approach as analogous to the income and production sides of a national income and product account but notes that, unlike the two sides of a national income and product account, cost-based and income-based human capital accounts should not necessarily lead to identical results.

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Causal relationship between HRM and Organisational performance: Evidence from the public service organisations

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Abstract

The relationship between human resources management practices and Organisational performance has been invigorated by the notion that these practices results in enhanced individual and Organisational performance. None the less, the literature on HRM-performance relationship has focused on private sector organisations and there has been very limited research on public service organisations. This article focuses on the relatively understudied public organisations. On the basis of a large public-organisations-wide survey, the impacts of HRM practices on organisational performance are assessed. This mixed-methods study examines the effects of HRM practices on individual worker attitudes in public organisations by reporting the results of a staff survey and follow-up interviews conducted on a cross-section of one of the largest UN agencies. The agency has a quasi-governmental role, delivering essential public services including education, healthcare, social services, and emergency aid. The empirical evidence has shown that the effects of specific HRM practices, such as training and development, outperform other practices, such as staffing and recruitment. The results also indicated that HRM practices have synergistic and complementary effects on each of the employee attitudes that exceed their individual effects. The paper concludes that although there are significant positive effects of some bundles of HRM practice and worker attitudinal outcomes, there are other factors that may positively or negatively moderates the effectiveness of these practices, raising thus the question of reverse causality.

Keywords: HRM; performance management; public sector

1. Introduction

Organisational performance is a matter of utmost importance to scholars and practitioners in the field of public administration. Especially with the new waves of Organisational reforms and the adoption of new public management, performance management is one of the core elements is that organisations should measure, and actively implement (Saridakis, and Cooper, 2016; Swart, and Kinnie, 2015; Boyne, Entwistle, and Ashworth, 2010). A growing number of public management scholars have focused on research aimed at understanding the effects of management on performance in public organisations (Boyne, 2010). Much of this research has shown a positive link between adopting specific management practices such as HRM, leadership, and performance management, and Organisational performance (Katou, Budhwar, and Patel, 2014; Macky and Boxall, 2007; Datta et al., 2005; Appelbaum et al., 2000; Guest, 2002). The majority of these studies demonstrate a positive association between HRM practices and Organisational performance. (Marchington and Wilkinson, 2005). This link has its roots in behavioural studies and Organisational psychology and is based on the notion that these management practices foster employee attitudes measures such as employee commitment, job satisfaction and motivation, at the individual level, which ultimately results in enhanced individual and Organisational performance (Katou and Budhwar, 2010; Paauwe, 2009; Harley, 2002). Although there is a growing body of evidence demonstrating this positive relationship, some important theoretical and methodological issues are missing in this line of research (Boxall et al., 2011; Paauwe, 2009). The literature on HRM has focused on private sector organisations and there has been very limited research on public service organisations.

Despite the substantial differences between public and private organisations, there is no clear distinction within HRM literature addressing how these differences may impact the practice of HRM in these different work environments (Vanhala, and Stavrou, 2013). Some scholars stated that HRM literature “disregard[s] or give[s] only some acknowledgement of HRM within the public sector, relying instead on appropriating a business model of firms as the general context for HRM scholarship” (Brown, 2004, p. 305). Others disagree, arguing that the “available evidence does not provide clear support for the view that public and private management are fundamentally dissimilar in all important respects” (Boyne, 2012, p. 118). Despite this disagreement on the similarities or differences between public and private organisations, there is agreement that the last three decades have witnessed “waves of reform reshaping public service delivery across the globe” (Boyne, Entwistle, and Ashworth, 2010, p. 4).

2. HRM in the Public Sector

In many countries, HRM displaced the traditional model of personnel administration within the public sector, shifting the culture from “rule-bound” to “performance-based” (Shim, 2001). Thus, newly adopted HRM practices allow a more flexible approach to staffing and recruitment, training and development, and pay and performance appraisals. Many public sector agencies developed a distinctive approach to HRM, and the public sector has been perceived as the model employer with a generous pay system, high levels of job security, and superior entitlements (Walther, 2015). The interest in this new approach to employee management has coincided with, and been reinforced by widespread belief in the impact of HRM on the performance of public organisations at both the Organisational and individual levels (Gould-Williams, 2010). The key idea is that there is a synergistic effect of HRM practices, with the potential to bring about improved Organisational performance through providing more flexibility of work structures, extensive worker participation, and more co-operative relationships between managers and employees (Appelbaum et al., 2000). Accordingly, the combination of several HRM practices into a bundle has systematic and synergistic effects aimed at selecting, developing, retaining, and motivating employees with better abilities in work-related activities, leading to improved Organisational performance (Boxall, 2012).

The concept of HRM has primarily evolved in private sector organisations in the US, emphasizing a new managerial focus that embraces people management (Croonen, Grünhagen, and Wollan, 2015; Doherty, and Norton, 2013). Many academics on both sides of the Atlantic have become more interested in this field; numerous papers have been presented and many others have been published in special issues of respected academic journals that emphasize the effects of the application of the concept of best practices HRM on Organisational performance (Paauwe, Wright, and Guest, 2013). The HRM–Performance relationship has been researched from different perspectives rooted in Organisational behaviour, sociology, economics, industrial relations, and Organisational psychology, with a particular emphasis on the impact of various combinations of HRM practices on a range of performance outcomes, such as employee skills, behaviours, and attitudes (Paauwe, Wright, and Guest, 2013). This relationship has received increasing interest in recent years from public management scholars as well, who emphasize the performance outcomes that result from adopting these new best practices in public organisations. This is part of this new line of research — examining the impact of management on the performance of public organisations— that emerged within public management studies (Boyne, Brewer, and Walker, 2010; Gould-Williams, 2010).

3. Organisational Performance in Public Organisations

A growing number of public management scholars have focused on research aimed at understanding the effects of management on performance in public organisations (Boyne, 2010). This new approach differs from the conventional approach of performance

management in public organisations, which focuses on outputs and outcomes. The new approach addresses the relationship between specific aspects of management — such as strategy, leadership, financial management, and HRM — and public organisations performance (Boyne, Brewer, and Walker, 2010). Boyne, Entwistle, and Ashworth (2010), in their book “Public Service Improvement: Theories and Evidence,” defend this new line of research arguing that

the coalescence of theoretical interest in management and performance with the availability of data that allow propositions to be tested has led to a surge of projects and papers on the topic. In our view, this focus is appropriate, because traditional research on public management has concentrated too much on inputs, activities, structures, and processes, and neglected what public organisations actually achieve and the determinants of success and failure. (p. 268)

This new perspective values the new management practices that have been implemented with the new reforms in public organisations (Boyne, Entwistle, and Ashworth, 2010). In their introduction, Boyne, Entwistle, and Ashworth (2010), clearly addresses the difficulties of the traditional approach to performance measurement in public organisations. They emphasize that public organisations are service organisations and the ultimate goal of any Organisational reform is to improve public service delivery. However, the traditional approaches to performance measurement, based on outputs and outcomes, have many difficulties and shortcomings. Measuring performance using the outcome approach is based on the assumption that the main goal of any public service is to fulfil some predesigned policy goal (Amirkhanyan, Kim, and Lambright, 2008). For instance, a new policy to enhance health service delivery aims at raising the standard of the population’s physical wellbeing. Accordingly, the improvement in health service delivery and enhanced Organisational performance should be judged based on the realization of the outcomes or goals of the new policy assessed by indicators of morbidity and mortality. However, in many cases, because of the nature of political process, policies and goals constitute ambiguous, generic mission statements with no specific, measurable objectives (Boyne et al., 2010). Additionally, even if the desired outcomes are presented in specific objectives, another major issue adding to the complexity of using the outcomes approach is timescales. Public service improvement that aims at achieving changes for the population will need time to be achieved, sometimes an entire generation. Therefore, the lengthy timescale to capture measurable change is a major difficulty in using the outcome-goal achievement approach for performance measurement. Finally, the challenge of using the outcomes approach is referred to as the “attribution of change” (Boyne et al., 2010, p. 4). The other dominant approach to performance measurement in public organisations is the output approach, based on using specific predesigned indicators for quantity, quality, or efficiency used as measures of performance in public organisations (Boyne et al., 2010). These indicators may include different measures, such as the number of classes or test scores in the case of education services, or number of clinics and clinic visits in the case of health services. However, many problems and complexities are associated with using output measurement and the use of performance indicators, such as the actual presentation of these indicators, for the desired outcome. This approach can also lead to unethical behaviour in public servants, who may use different “game playing tactics” to achieve the targets (Bevan and Hood, 2006).

The final proposal by the authors for measuring performance focuses on the processes and practices used within the organisations to deliver the service (Boyne et al., 2010). Rather than focusing on outcomes and outputs, this approach emphasizes that adopting best practices — such as the concept of HRM best practice or other managerial practices and how when these practices are implemented — will lead to enhanced Organisational performance. This also includes the management practices of leadership, financial management, HRM, decentralization, communication, and others that will contribute to improved Organisational

performance. For instance, using the appropriate leadership style will lead to better management relationships and employee trust, leading to employee wellbeing at work, which in turn can enhance Organisational effectiveness (Baptiste, 2008). Therefore, a growing body of research is aimed at addressing how employing the “best practice” approach can lead to enhanced Organisational performance. As Boyne et al., (2010) explain,

Governments across the world have established regulatory agencies with the job of measuring this dimension of performance. Their efforts are premised on the presumption that there is a right way of doing things; and that the adoption of best practice will lead to the improvement of outputs and outcomes. (p. 4)

In considering this approach to Organisational performance, an array of studies has emerged aimed at identifying the effects of specific management practices, such as leadership, financial management, and HRM practices, on Organisational performance using different indicators in relation to public service delivery. For instance, Ott and Dijk (2005), in their study on the Ministry of Public Health in The Netherlands, examined the relationship between employee job satisfaction and client satisfaction regarding the service provided. They investigated the effects of specific leadership styles and HRM practices on service delivery through examining client satisfaction in the institutions for elder care operated by the Dutch Ministry of Public Health. In their study, they identified six HRM practices and one leadership style as the independent variables, while job satisfaction and client satisfaction were the dependent variables. The findings have shown that employee satisfaction with their organisations is a significant predictor of client satisfaction. Additionally, they concluded that specific HRM practices, such as job-related training, are better predictors of client satisfaction and outperform other practices in elder care homes (Ott and Dijk, 2005). The findings also reported that leadership style has a significant connection to job satisfaction but no direct relationship with client satisfaction. The authors conclude,

For health care providers, client satisfaction is itself one of the main performance indicators, together with efficiency and professional quality. This research shows that HRM can affect client satisfaction and that providers should focus in particular on job-related training. HRM activities correlate with, and presumably influence, both employee satisfaction and client satisfaction...Employee satisfaction seems mostly affected by the management style of the unit manager, and to a lesser degree by performance reviews and predictable work schedules, while client satisfaction correlates primarily with job related training and somewhat with performance reviews and a supportive leadership style. (p. 420).

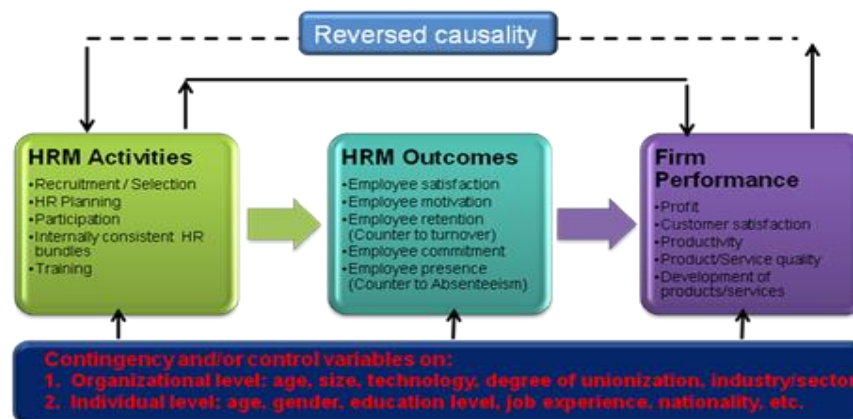
These findings demonstrate this new approach to performance management research focused on addressing the implications of management on performance measures, such as client satisfaction, and other outcomes, such as job satisfaction. In another study, West et al. (2002) examined the link between HRM practices and performance outcomes measured through patient mortality rates in United Kingdom National Health Service Trusts. In their study, the authors surveyed Chief Executives and Human Resource Management Directors in 81 acute hospitals throughout England. They examined the relationship between some HRM practices and patient mortality rate as an indicator for Organisational performance. The analysis revealed that three HRM practices — performance appraisal, training, and teamwork — have significant relationships with the mortality rate in the UK. However, performance appraisal has the strongest relationship with patient mortality, accounting for over a quarter of the variance in the mortality rate (West et al., 2002). The impact of management on performance within public organisations has been addressed through an array of studies aimed at evaluating the link between management practices and Organisational performance.

4. Operational Model and Research Hypothesis

This study draws from Boselie et al.'s (2005) "HRM activities, HRM outcomes and performance model" adapted from Paauwe and Richardson (1997) and Paauwe (2004) addressing the HRM–performance relationship. The model was first developed by Paauwe and Richardson (1997) and then reintroduced by Boselie et al. (2005) in their work entitled "Commonalities and contradictions in research on human resource management and performance." In their article, the authors provided an "overview of what they believe to be every empirical research article into the linkages between HRM and performance published in preeminent international refereed journals between 1994 and 2003" (Boselie et al., 2005, p. 67). Their analysis aimed at examining the dominant theoretical frameworks informing these articles, how HRM and performance are operationalized and conceived, and further analysis of the methodologies and the research designs of these studies. The authors agreed that this model "lays out a comprehensive set of options" examining the relationship between HRM practices and Organisational performance and clarifies the relation between HRM activities and attitudinal outcomes, which are the core concepts of this study (Boselie et al., 2005, p. 68). The model employs a systems-based approach, which involves HRM practices and policies as input variables, HRM outcomes — such as employee attitudes, knowledge, and skills — as intermediate variables, and Organisational performance as the output. The model draws from normative HRM theories, positing that HRM practices lead to enhanced employee attitudinal outcomes, such as improving employee motivation, commitment, and satisfaction (Katou and Budhwar, 2010). The model also explicates the mechanism by which HRM practices are associated with Organisational performance, identifying two causal relationships. The first causal relationship is between HRM practices and HRM outcomes; the second is between HRM outcomes and performance outcomes. Following this model, this study examines worker's attitudinal outcomes, arguing that deployed HRM practices will lead to more motivated, committed, and satisfied employees.

Consistent with HRM theory: key individual worker attitudes — satisfaction, motivation, commitment, and intention to quit — are the determinants of the effects of HRM. As discussed in the preceding sections, studies have shown that HRM practices give rise to HRM outcomes (Tangthong, Trimetsoontorn, and Rojniruttikul, 2015; Safdar, 2011; Katou and Budhwar, 2010; Stavrou et al., 2010; Boxall and Macky, 2009; Lengnick-Hall et al., 2009; Armstrong et al., 2010; Datta et al., 2005;; Guthrie, 2001; Appelbaum et al., 2000). As shown in figure 1, HRM attitudinal outcomes are viewed as the "key mediator" and the intermediate variable linking HRM practices and Organisational performance (Guest, 2002, p. 340). HRM practices are defined as Organisational activities related to staffing and recruitment, performance appraisal, compensation and rewards, and training and development.

Figure 1: HRM activities in relation to HRM outcomes and Organisational performance



Source: (Adapted from Paauwe and Richardson, 1997)

The model also proposes an indirect relationship between HRM practices and Organisational performance. Delmott et al. (2012) explain the indirect effects of HRM practices, stating that they “have indirect impacts on Organisational effectiveness through their positive influence upon employee morale” (p. 1484). For instance, selective hiring can lead to direct outcomes in the form of adding more to the organisations workforce, and indirect contributions through other advantages, such as creating a more talented environment within the organisations. The model also proposes the possibility of two-way causation (dotted line). This suggests that Organisational performance itself will give rise to a change in HRM practices. Organisations will tend to increase pay, provide training, participation, and opportunities for employees in order to sustain and improve levels of performance and eliminate any risk of performance decline. The model also suggests six control variables: size, sector, trade union presence, age, RandD intensity, and capital intensity. These control variables are insignificant as the research is conducted within the same organisations. The model identified personal characteristics such as age, gender, level of education, and nationality. However, consistent with the current study, as Paauwe (2004) explains, “researchers tend to downplay, or even ignore, their relevance” (p.62). In this research, we set out to test the effect of HRM on four key attitudinal measures: motivation, commitment, satisfaction, and intention to quit. These four measures are used as the dependent variables and determinants of the effects of HRM. As such, the following hypotheses have been identified:

- **Hypothesis I:** *There are positive effects of HRM practices on employee commitment.*
- **Hypothesis II:** *There are positive effects of HRM practices on employee job satisfaction.*
- **Hypothesis III:** *There are positive effects of HRM practices on employee motivation.*
- **Hypothesis IV:** *There are inverse effects of HRM practices on employee intention to quit.*

The significance of these hypotheses in measuring employee attitudes is based on the proposed model, and the above-discussed HRM literature, suggesting that the contribution of HRM to Organisational performance practices is mediated through the development of HRM attitudinal outcomes (Korff, Biemann and Voelpel, 2016; Katou and Budhwar, 2010; Lengnick-Hall et al., 2009; Armstrong et al., 2010; Datta et al., 2005; Appelbaum et al., 2000; Boxall and Macky, 2009; Guthrie, 2001; Safdar, 2011; Stavrou et al., 2010; Guest, 2002). According to the theory, HRM practices lead to enhanced levels of attitudinal outcomes (such as motivation, commitment, intention to quit, and satisfaction), leading to higher levels of Organisational performance, which is the chief strategic goal of any management practice.

5.0 Methodology

5.1 Research Context

The research setting for this study is a non-political intergovernmental organisations with quasi-governmental role. This is considered to be a particularly appropriate context as the organisations began a comprehensive reform program to strengthen its management capacity and provide more effective and efficient services to its beneficiaries. The agency established a Human Resources Task Force (HRTF) with the goal of drafting a Human Resources Management Strategy based on a comprehensive review of its HRM policies and processes and identify any inefficiency in the old system. The underlying mission for HRTF is the identification of inefficiencies in current HRM system to bring about change adopting new approach to HRM which will lead to better service delivery.

5.2 Data Collection

To collect data, surveys were distributed on a cross-section of the Agency workers. The questionnaire included a letter inviting individual participation and assuring that their responses are kept confidential. A total of 505 questionnaires were distributed in seven service departments and a total of 234 usable responses were obtained. Interviews conducted with administrators and directors from different departments such as HRM services, finance, education, social and relief services, and procurement and logistics. These interviews aimed at investigating the effects of adopting the new HRM practices in each department and explore any additional factors that may influence the reform outcomes. The interviews were utilized to delve deeper into any ambiguous data obtained through the questionnaires, and further investigate the perceptions of the effectiveness of the current HRM reform.

5.3 Materials/Instruments

There are four independent variables and four dependent variables for this study related to the four research hypotheses. The four independent variables are the measures of the bundles of HRM practices: staffing and recruitment, performance appraisal, compensation and rewards, and training and development. In order to measure these variables, the HRM Practices and Policies Profile (HRMPPP) questionnaire was used to investigate individual perceptions of HRM practices. Previous research has shown that employee' perceptions of workplace practices and characteristics are influence performance more so than formal policy documentation (Gould-Williams, 2004). The questionnaire is based upon the typology of HRM practices proposed by Schuler and Jackson's (1987) and their empirical work in the U.S. (Sparrow and Wu, 1997). The items are presented as 23 pairs of self-explanatory alternative HRM practices representing four bundles of HPWS practices. Each bundle evaluates one major HRM function. The four dependent variables are employee commitment, satisfaction, motivation and intention to quit. A set of questionnaires grouped in one single questionnaire was used to measure these variables. First, Organisational commitment measured based on fifteen items using Porter et al.'s (1974) Organisational Commitment Questionnaire (OCQ). Second, Job Satisfaction measured based on the Job Satisfaction Survey (JSS; Spector, 1997). JSS is a 36 items questionnaire that uses nine facet scales to assess employee attitudes about the job and aspects of the job and the organisations. Each facet is assessed with four items, and a total score is computed from all items. The nine facets are Pay, Promotion, Supervision, Fringe Benefits, Contingent Rewards (performance based rewards), Operating Procedures (required rules and procedures), Coworkers, Nature of Work, and Communication. Third, Motivation and intention to leave the organisations were the last two aspects of employees' attitude measures. Ten items were used to measure employees' motivation based on the work of James Lindner's (1998) to define the degree of motivation within the work place using the main ten employee motivating factors. These items are interesting work, good wages, full appreciation of work done, job security, good working conditions, promotions and growth in the organisations, feelings of being in on things, personal loyalty to employees, tactful discipline, sympathetic help with personal problems. Respondents were asked to indicate the degree to which they are motivated by these factors based on the recent changes in HRM policies and practices choosing one answer, whether they are not motivated, motivated or highly motivated. Finally, single item measure was used for employees' 'intention to leave the organisations. Respondents were asked to indicate the degree to which they agreed with the statements: 'I intend to leave this organisations'. Surveys are in the public domain and no permission is required for its use.

5.4 Sample

The sample of 234 employees had the following characteristics: 67.8 per cent male; 15.3 per cent were between the ages of 18–30 years, 49.3 per cent between 31–45 years, 35.0 per cent between 46–60 years and 0.5 per cent were over 60 years. The average length of service was 13.08 years (standard deviation 7.92). 10.5 per cent had no formal qualifications, 20.5

per cent had diploma, 47.3 per cent had a university degree and 21.8 had postgraduate university degree. 61.4 per cent were frontline workers, 25.7 per cent supervisors, 12.4 per cent middle managers, and 0.5 per cent program managers. The sample were based in the following departments: Engineering, Infrastructure and Camp Development 21.0 per cent; Education (29.0 per cent; Microfinance 10.0 per cent; Procurement 8.0 per cent; Financial Services 3.0 per cent; Human Resources and Administration 8.0 per cent; Job Creation Program 5.0 per cent; Logistics and Support Services 5.0 per cent; Community Services and Mental Health 2.0 per cent; Health 1.0 per cent.

6.0 Results and Discussion

6.1 HRM Practices Measures

The findings suggest that there was an uptake of three practices from the staffing and recruitment bundle where organisations relies heavily on internal resources, use fixed and explicit job description, and an extensive socialization process for new hires. However, there are limitations on the opportunities for advancement within the organisations. These limitations may be referred to the narrow career path for advancement which is limited to specific area of practice or the same business unit. For performance appraisals, findings show that the performance appraisal process focuses on results, which is crucial for the appraisal process; other aspects are not fully adopted by the Agency. For instance, results indicate that there is little attention to employee development. Previous research emphasized that the appraisal process should capture areas for employee development based on employee engagement and focus on group performance (Payne, Horner, Boswell, Schroeder, and Stine-Cheyne, 2009). Finally, results indicate that employees are neutral and have mixed perceptions with regards to the performance appraisal time frame whether it focused on long or short term criteria. For the compensation and rewards practices, the survey results showed that the agency has very little use of HRM practices in this specific area. Face-to-face interviews also reveal that the organisations implemented new austerity measures which have great impacts on the levels of rewards and incentives. The job satisfaction survey results also indicate that two main measures of satisfaction with pay and remuneration, and monetary and nonmonetary fringe benefits have the lowest scores of measures of employees' satisfaction. This is clear from the reported results of relatively low salaries paid from the organisations, and few perks received. Finally, for the training and employee development practices, results have shown the amount of training received is limited and characterized to be task specific. The training and development programs are also characterized to focus on the long-term, with relatively high employee participation. However, the training and development programs are unsystematic and not well planned and not group performance oriented. Finally, there was a little uptake of many practices especially in the area of compensation and rewards. However, in the other three areas, results demonstrate that the staffing and recruitment bundle is the only area at which the organisations employs some HRM practices.

6.2 Employee Attitudes Measures

For the attitude measures, results show that respondents are very committed to the organisations with Mean score of 4.76, but less satisfied with Mean = 4.36. Respondents demonstrate very low intention to leave the Agency with Mean = 2.68. Results also show that there are motivated with score 2.21(based on a 3-point scale). The results show that the relationships are in the anticipated directions. Two dependent variables -commitment and satisfaction - have the strongest association with the four bundles of HRM practices. The strongest association reported between training and development, performance appraisal, and rewards and recognition. Finally, it is clear that the aggregate effects of HRM have the highest association with each of the dependent variables. This also indicates that these

practices are mutually reinforcing, overlapping, and have synergistic effect on employee attitudes.

The bivariate relationships between the dependent and independent variables are outlined in table 1. Results show that the highest association is between training and development and job satisfaction with $r_s = 0.600$ significant at ($p < 0.01$). Job satisfaction has also relatively strong association with performance appraisal with $r_s = 0.569$ significant at ($p < 0.01$). Finally, there is moderate association between job satisfaction and selection and recruitment practices with $r_s = 0.361$ significant at ($p < 0.01$). For employee commitment, the results indicate that employee commitment has strongest association with the same independent variable (training and development) with $r_s = 0.469$ significant at ($p < 0.01$). However, the association between employee commitment and selection and recruitment practices is the lowest compared to other practices with $r_s = 0.361$ significant at ($p < 0.01$). According to the results, the only non-significant association is between performance appraisal and employee motivation at ($p < 0.05$). However, there is significant correlation between motivation and the other bundles of HRM practices. For instance positive correlation exist between training and development and motivation with positive Spearman correlation of $r_s = 0.197$ significant at ($p < 0.01$).

Table 1: Correlation Matrix

		1	2	3	4	5	6	7	8	9
1.Commitment	Spearman's rho	1.000								
	Sig. (1-tailed)	.								
	N	231								
2.Satisfaction	Spearman's rho	.740**	1.000							
	Sig. (1-tailed)	.000	.							
	N	231	233							
3.Motivation	Spearman's rho	.258**	.273**	1.000						
	Sig. (1-tailed)	.000	.000	.						
	N	229	229	229						
4.Intention to Quit	Spearman's rho	-.488**	-.356**	-.168**	1.000					
	Sig. (1-tailed)	.000	.000	.006	.					
	N	224	224	223	224					
5.Staffing and Recruitment	Spearman's rho	.229**	.361**	.127*	-.102	1.000				
	Sig. (1-tailed)	.000	.000	.028	.064	.				
	N	231	233	229	224	234				
6.Performance Appraisal	Spearman's rho	.454**	.569**	.051	-.263**	.408**	1.000			
	Sig. (1-tailed)	.000	.000	.221	.000	.000	.			
	N	231	233	229	224	233	233			
	Spearman's rho	.313**	.506**	.196**	-.133*	.297*	.383**	1.000		

7.Compensation and Rewards	Sig. (1-tailed) N	.000 231	.000 233	.001 229	.024 224	.000 233	.000 233	.	233
8.Training and Development	Spearman's rho	.469**	.600**	.197**	-.248**	.324**	.398**	.627*	1.000
	Sig. (1-tailed) N	.000 230	.000 231	.001 228	.000 223	.000 231	.000 231	.000 231	. 231

The following section will consider the relative impact of the independent variables on individual worker outcomes through ordinary least squares multiple linear regression analyses.

6.3 OLS regression analyses

The four hypotheses identified were tested using hierarchal multiple regression in an attempt to estimate the net effect of each of the independent variables (bundles of HRM practices) on the dependent variables (employee attitude). Four models are presented in table 2 below, combining the independent variables to predict the dependent variable. Based on the regression equations, results reveal that each of the independent variables significantly contributes to explanation in variance in one or more of the attitude measures. Detailed presentation of each of the four models associated with the four dependent variables is discussed below.

Table 2: Results of Regression Analysis with HPWS as Predictors of Employees Attitude

Predictors	Individual outcomes							
	Model 1: Commitment		Model 2: Satisfaction		Model 3: Motivation		Model 4: Intention to Quit	
	β	(t)	β	(t)	β	(t)	β	(t)
Staffing and Recruitment	-0.010	-0.168	.060	1.144	.065	.936	-.007	-.100
Performance Appraisal	.309***	5.701	.357***	7.000	-.026	-.380	-.122	-1.719
Compensation and Rewards	-0.036	-0.514	.204**	3.082	.103**	3.061	.088	1.064
Training and Development	.305***	5.719	.324***	5.471	.098	1.201	-.349**	-3.121
R ²	0.319		0.493		0.040		.042	
F value	53.213***		73.457***		9.37**		9.739**	
N	229		230		227		222	

*statistically significant at .05 level
**statistically significant at .01 level
***statistically significant at .001 level

6.3.1 Model 1: Organisational Commitment

As shown in table 2, the first model shows that two bundles of HRM are powerful and statistically significant predictors of employee commitment. This indicates that both performance appraisal and training and development have positive effects on employee commitment. Adjusted $R^2 = 0.319$, which shows that the model accounts for 31.9% of variance in employee commitment significant at ($p < 0.001$). Accordingly, both bundles: performance appraisal ($\beta = 0.309$, $p < .001$), and training and development ($\beta = .305$, $p < .001$) are statistically significant predictors of employee commitment. Consistent with previous research on the relationship between training provision and employee commitment, training provision leads to improvements in Organisational commitment based on the social exchange theory (Al Emadi and Marquardt, 2007). Social exchange theory posits that employees enter into a relationship with the organisations so as to maximize the benefits they obtain (Blau, 1964). Researchers argue that employees training provision is part of the unwritten psychological contract between the organisations and employees (Newman, Thanacoody and Hui, 2011). Employees perceive training and development opportunities in exchange for displayed Organisational commitment (Bartlett, 2001). Similarly, for performance appraisal, previous research has shown that performance appraisal process is characterized with employee participation in setting of goals and standards for performance, which also increase chances of employee commitment (Vasset, Marnburg and Furunes, 2011). In addition, performance appraisal helps organisations in clarifying employee roles and reduces any ambiguities, which also leads to higher levels of commitment (Pettijohn, Pettijohn and Taylor, 2001). The direction of the relationships was anticipated for two of the four bundles of HRM practices; the exception being staffing and recruitment, where there is no significant effect from the regression analysis. However, the agreement among HRM scholars is that staffing and recruitment selection procedures have positive effects on employee commitment (Bowen and Ostroff, 2004; Dyer and Reda, 2010). This result may reflect respondents' experience of limited opportunities within the organisations for other positions and promotions. One of the interviewees stated that promotion opportunities within the organisations are very limited. However, this is perceived from senior management as more flexible recruitment system that allows for external hiring which allows the organisations to select the best candidates. This situation illustrates the need for workers to understand management's motives for recruitment and staffing activities. Failure to do so is likely to undermine the anticipated effects of flexible and comprehensive selection processes.

6.3.2 Model 2: Job Satisfaction

The second model shows that three bundles of HPWS practices are statistically significant predictors of employee's job satisfaction. These bundles are performance appraisal, compensation and rewards, and training and development and each of these bundles have positive effects on employee's job satisfaction. The model accounts for 49.3% of variance in job satisfaction measures significant at ($p < 0.001$) with an adjusted $R^2 = 0.493$. Three bundles of HRM practices are powerful and statistically significant predictors of job satisfaction: performance appraisal ($\beta = .357$, $p < .001$), compensation and rewards ($\beta = .204$, $p < .01$), and training and development ($\beta = .324$, $p < .001$). Results are consistent with previous studies on the effects on performance appraisal on employees' job satisfaction. Many studies have shown positive significant relationship between job satisfaction and compensation (Beutell and Wittig-Berman, 1999), training and development (Jones Melanie, Jones Richard, Latreille, and Sloane, 2009), and performance appraisal (Pettijohn et al., 2001). For instance, studies have shown that performance appraisal process establishes feedback system between employees and their managers which permits for manager to clearly define subordinates roles within the workplace, which maximise role ambiguity among

employees in different types of organisations which, in turn, negatively correlates with job satisfaction.

6.3.3 Model 3: Motivation

As shown in the third model, for employee motivation dependent variable, adjusted $R^2 = 0.040$, which indicates that there is very little effects of the independent variables on employee motivation. These effects account only for 4.0 % of the variance in employee motivation significant at $p < 0.01$. Only compensation and rewards ($\beta = .103, p < .01$) is statistically significant predictor of employee motivation and has positive statistically significant relationship with employee motivation. This could be referred to what is been referred to Public Service Motivation (PSM), proposed by James Perry and Lois Recascino Wise in published essay "The Motivational Bases of Public Service". The authors proposed that motivation among public servants originates from unique motive and beliefs that are different from those of their private sector counterparts (Brewer, 2010; Perry and Wise, 1982). The authors defined PSM as "an individual's predisposition to respond to motives grounded primarily or uniquely in public institutions and organisations" (1990, 368). The definition clearly emphasizes motives, such as civic duty and compassion that are commonly associated with public organisations.

6.3.4 Model 4: Intention to Quit

Finally, for employee intention to quit, adjusted $R^2 = 0.042$, which indicates that the model accounts only for 4.2 % of variance in employee intention to quit significant at $p < 0.01$. Very little effects of training and development with ($\beta = -.103, p < .01$) on employee's intention to quit. Therefore, results indicate that training and development is the only statistically significant predictor of this dependent variable with inverse relationship. The majority of research addressing what factors impact employee's intention to quit suggests that stress resulting from workloads and the relationships between supervisors and subordinates are major causes for employee intention to leave the organisations (Firth et al., 2004). However, some previous research addressing intention to quit among employees suggests that specific training, which focus on building employee's skills related to the job, make employees reluctant to quit their jobs as workers believe that the benefits of training are lost if they leave to another organisations (Sieben, 2007).

7. Conclusion

The main research problem being addressed within this mixed-methods study is that the majority of previous research investigating the relationship between HRM and Organisational performance focuses on private sector organisations, with a narrow view of Organisational performance, emphasizing financial outcomes as the only indicators for the firm's performance. A review of the literature identified a gap in research in the area of the impacts of HRM on Organisational performance. Additionally, although many HRM scholars have referred to worker attitudes as the intermediate variable between HRM and Organisational performance outcomes, there is very little evidence concerning the individual worker attitudes, which makes it unclear if these practices lead to desirable individual outcomes in different Organisational contexts. The study has undertaken an evaluation of the effects of HRM practices on four worker attitudes, namely job satisfaction, commitment, motivation and intention to quit. The results were based on a staff survey and interviews collected from a cross-section of employees working for an international organisations headquarters. The study findings partially support the four research hypothesis. Accordingly, the study presents evidence on the link between some bundles of HRM practices, and enhanced worker commitment, job satisfaction, motivation, and inversely on intention to quit. Results have shown multiple outcomes of HRM practices. Training and development had a consistent effect on three measures of employee attitudes. Training and development has a positive relationship on employee commitment and satisfaction, and an inverse relationship on

employee intention to quit. Results have also shown that performance appraisal has a strong positive relationship on employee commitment and satisfaction, while compensation and rewards has a positive relationship with employee satisfaction and motivation. Finally, staffing and recruitment has no relationship with any of the four measures or employee attitudes. Findings also demonstrate that HRM practices perceived differently by individual workers, which may contribute to explaining some of the quantitative data findings. Interviews with staff members have shown that the participants agreed on the link between the recent reform and employee attitudes towards their job and the workplace environment; however, some employees emphasized the need for more effective implementation for the new HRM practices. Interviews have also shown that the general agreement that the new direction from senior management in considering HRM as an Organisational priority will eventually lead to better working conditions, specifically in the area of rewards and incentives. One of the main findings of this study is that some practices, such as training and development, outperform others, such as staffing and recruitment. These findings are consistent with previous research. For instance, drawing from Fey et al.'s (2009), their findings reported that training and development have greater effects on employee attitudes because of the institutional differences that may result from the educational system. Similarly, the educational system left an enormous need for training and development, which explains the strong effects of these factors on employee outcomes. Accordingly, this study urges administrators to examine the efficacy of using a one-size-fits-all approach. The research results have opened several new avenues for future research to examine other questions that have not been approached before. Future studies could explore the causal logic to gain greater understanding of the different outcomes obtained from HRM practices. Such research would help inform the decisions of public administrators as they consider importing the strategies and tools of the private sector into public organisations.

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Revisiting the competing value framework: From-Past-to-Present transformation for organisational paradigms-HRD matrix

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Abstract

The Competing Values Framework (CVF) is one of the most influential and widely used models in the area of organisational study. The CVF consists of two opposite dimensions. The first dimension differentiates effectiveness criteria that emphasize flexibility, discretion, and dynamism from criteria that emphasize stability, order, and control. The second dimension differentiates effectiveness criteria that emphasize internal focus, integration, and unity from criteria that emphasize external focus, differentiation, and competition. Together these dimensions form four quadrants – hierarchy, market, clan, and adhocracy. Despite the CVF is mainly focused on organisational cultures or shared values, there are also other aspects disguised in this framework which are strategy, structure, systems, style, staff, and skills that are different from one and other quadrant. This study; therefore, brought the 7S Model to review and illustrate the CVF in the aspect of whole organisational paradigms. In the discussion part, the authors suggested HRD approaches which are leadership development, training development, and organisation development that match each type of organisational paradigms through the Organisational Paradigm-HRD Matrix. This study was worth performing as it helped increase knowledge to the academic field and proposed practical approaches for organisational leaders and HRD practitioners.

Keywords: The Competing Values Framework; CVF; hierarchy; market; clan; adhocracy; 7S Model

1. Introduction

HRD is a key success for organisations as it drives an organisation which strategy, structure, process, and culture are aligned working together to achieve organisational goals (Semler, 1997). If HRD practices conform to the styles of organisation, it will be more effective. Nevertheless, there are various types of organisation, especially in this era. In organisational studies, scholars proposed a few concepts in order to categorize different types of organisation. Based on the socio-technical systems theory (Cherns, 1976; Appelbaum, 1997), organisations nowadays are more complex and have different characteristics. However, this paper assumed that organisational types can be grouped based on common characteristics. Even Morgan (1980) suggested various metaphors of organisation, his concept did not categorize organisational types or styles in terms of values and cultures. The Competing Values Framework (CVF) proposed by Cameron and Quinn (1999) has been widely used to categorize organisational culture. Beneficially, this framework did not suggest only organisational values and cultures, but organisational paradigms (Sheldon 1980). According to the 7S Model, Peters and Waterman (1982) proposed that only structure is not organisation, there are the other six components including style and shared value (culture). Thus, this study used the CVF as it covers the organisation studies from the past until nowadays.

2. Purpose and Importance of Study

This study was based on the positivistic research paradigm. It aimed to review organisational types that represent four dimensions of the Competing Values Framework. This paper revisited four types of the CVF's organisational culture – hierarchy, market, clan, and

adhocracy and illustrate a framework. Then, the authors searched the categories of organisation types to confirm the proposed four organisational paradigms. Getting these paradigms, practitioners and scholars would effectively be able to consider finding appropriate HRD approaches for organisational development. The paper's matching framework represents that the authors revisited the CVF in 1999 proposed by Cameron and Quinn (1999) and found its linkage with other concepts that practitioners have applied in this era. This study is worth performing as it confirms the being organisational paradigms of CVF beyond just explanations of culture and value in organisation. The authors also suggested HRD approaches which are leadership development, training development, and organisation development in academic and practical concepts. Thus, the Organisational Paradigm-HRD Matrix was illustrated for scholars and practitioners who require HRD approaches that match their organisational type.

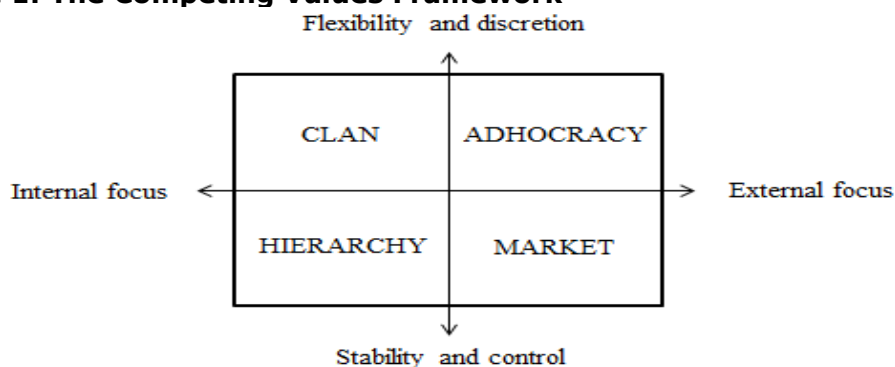
3. Background

3.1 The Competing Values Framework (CVF)

The authors used the Competing Values Framework (CVF) that helps organize and interpret a wide variety of organisational cultures. The Competing Values Framework (CVF) is one of the most influential and widely used models in the area of organisational culture studies. The CVF has been found to have a high degree of congruence with well accepted categorial schemes that organize how people think, their values, and assumptions, and how they process information (Cameron and Quinn 2011). The CVF was initially developed from the research conducted to identify the indicators of organisational effectiveness (Quinn and Rohrbaugh 1983, p. 363). Campbell, Brownas, Peterson, and Dunnette (1974) created a list of thirty-nine indicators of organisational effectiveness. Quinn and Rohrbaugh (1983) conducted a subsequent study to analyse that list to determine if clusters could be identified as thirty-nine indicators are too many to understand or to be useful in organisations. After conducting a statistical analysis, two major dimensions emerged that organized those thirty-nine indicators into four main clusters (Cameron and Quinn, 2011).

One dimension differentiates effectiveness criteria that emphasize flexibility, discretion, and dynamism from criteria that emphasize stability, order, and control. The second dimension differentiates effectiveness criteria that emphasize internal focus, integration, and unity from criteria that emphasize external focus, differentiation, and competition (Cameron and Quinn, 2011). Together these dimensions form four quadrants – hierarchy, market, clan, and adhocracy (see figure 1). These indicators are distinct culture types that represent what individuals value about an organisation's performance (Cameron and Quinn 1999). These values are polar opposite and thus can be viewed as *competing values* (Gardner et al., 2012). To determine what type of the organisation is, Cameron and Quinn (1999) used six characteristics of the organisation which are dominant characteristics, organisational leadership, management of employees, organisational glue, strategic emphases, and criteria of success. Four types of organisational culture were described as below.

Figure 1: The Competing Values Framework



Source: (Cameron and Quinn 1999)

3.1.1 The hierarchy culture

A first form of organisation is the hierarchy culture. It was based on the work of a German sociologist, Max Weber, who studied government organisations in Europe during the early 1900s. In 1947, Weber proposed seven classical attributes of bureaucracy: rules, specialization, meritocracy, hierarchy, separate ownership, impersonality, and accountability (Cameron and Quinn, 2011). The hierarchy culture is characterized by a formalized and structured workplace driven by control mechanism. It is oriented toward the internal affairs instead of external environment (Cameron and Quinn, 2011). The organisational culture compatible with this form has standardized rules and procedures, strict control, and well-defined responsibility (Yu and Woo, 2009). Formal rules and policies are essential to hold organisation together (Cameron and Quinn, 2011). A core assumption of the hierarchy culture is that control, stability, and predictability drive efficiency. Effective leaders for this culture type are good organizers and coordinators who centralize all decision-making process (Cameron and Quinn, 2011).

3.1.2 The market culture

A second form of organisational culture is called market culture emerging during the late 1960s when most organisations faced new competitive challenges. This organisational culture has different assumptions from those of the hierarchy organisational culture, and was based on the work of Williamson (1975) and Ouchi (1981), and their colleagues (Cameron and Quinn, 2011). The market culture refers to a type of organisation that functions and positions itself as a market. It is focused on external orientation while the hierarchy culture is focused on internal orientation. An organisation with this type primarily operates through economic market mechanism, competitive dynamics, and monetary exchange. The core values of the market culture are competitiveness, productivity, profitability, bottom-line results, target stretches, and customer retention (Cameron and Quinn, 2011). The glue that sticks the organisation together is winning mindset. The long-term emphases are competitive actions and achieving stretch goals and targets. Success is measured by market share and penetration. Organisations with market culture type will make its utmost effort to be a market leader. Effective leaders for this culture type are tough, hard-driving, demanding competitors (Cameron and Quinn, 2011).

3.1.3 The clan culture

A third form of organisation is called clan culture. It is a family-type organisation. A number of researchers who studied Japanese firms in the late 1960s and early 1970s found that the characteristics of clan culture are different from those of hierarchy and market cultures mainly embedded in the United States (Cameron and Quinn, 2011).

The clan culture is internally oriented and fostered by a flexible organisational structure. It is considered as an extended family rather than economic organisation. Instead of rules and procedures strongly embedded in hierarchy culture and competitiveness and bottom-line result found in market culture, clan gives emphasis on teamwork, employee involvement activities, and corporate commitment to employees. In the clan culture, it is believed that human relation produces positive employee attitudes toward their organisation. Reward system in clan is based on team performance. Employees can give suggestions regarding how to improve their own work and organisational performance. The long-term focuses are long-term benefits of individual development, high commitment, and morale. Effective leaders for this culture type act as mentors and parent figures (Cameron and Quinn, 2011).

3.1.4 The adhocracy culture

A fourth form of organisational culture is adhocracy culture. This form is most responsive to volatile, uncertain, complex, and ambiguous conditions in the world of the twenty-first century. It is believed that adaptation and innovation lead to profitability and success;

therefore, organisations give importance to creating vision of the future, organized anarchy, and disciplined imagination (Cameron and Quinn, 2011). The root of adhocracy is ad hoc that means something temporary, specialized, and dynamic. The adhocracy culture emphasizes flexibility, creativity, and change. According to Cameron and Quinn (2011), the adhocracy culture functions well in an organisation where ambiguity, uncertainty, and information overload are typical. It is externally oriented and reinforced by a flexible organisational structure. A core assumption is that change fosters a discovery of new ideas and sources. An adhocracy firm is willing to take risks, create innovation, and launch new strategies in dynamic environment. The shared value of the adhocracy culture is commitment to experimentation and innovation. The main emphases are being a leader of new knowledge, products, and services. Effective leaders are visionary, innovative, and risk oriented (Cameron and Quinn, 2011). The adhocracy culture is considered as a temporary institution meaning that it is dismissed whenever the organisational tasks are completed, and reloaded rapidly whenever new tasks are assigned. The adhocracy culture is mostly found in such industries as consulting, filming, space flight, and software development, etc. (Yu and Woo, 2009).

3.2 The 7S Model

The McKinsey 7S Model is a management model developed in the 1980s by Tom Peters and Robert Waterman, two well-known business consultants working for the McKinsey and Company consulting firm. The 7S Model consists of seven variables which are structure, strategy, systems, skills, style, staff, and shared values (Alshaher, 2013). Definition of the elements of the McKinsey 7S Model is shown in a Table 1.

Table 1. Definition of the elements of McKinsey 7S Model

Element	Definition
Strategy	Purpose of the business and the way the organisation seeks to compete in the market
Structure	Basis of specialization and co-ordination influenced primarily by strategy, size, and diversity of organisation
Systems	Formal and informal procedures that support the strategy and structure
Style / Culture	Consisting of organisational culture and management style as follows: Organisational culture: the values, beliefs, and norms that dominate individuals in the organisation Management style: the style of leadership adopted
Staff	Employees/human resource management – selection, placement, training, and development of qualified employees.
Skills	The expertise or distinctive competence of the organisation
Shared Values	A set of values and aspirations that goes beyond the written corporate objectives or fundamental ideas around which a business is built its main values

Source: (Hanafizadeh and Ravasan 2011)

The 7S Model revealed that there are seven aspects that form an organisation and shared values or culture are a glue that hold the organisation together. Despite the CVF is mainly focused on organisational culture or shared values, there are also other aspects which are strategy, structure, systems, style, staff, and skills described the CVF concept. Thus, it can be implied that the CVF is beyond the shared values. This study brought the 7S Model to review and illustrate the CVF in the aspect of whole organisational paradigms. Four organisational paradigms were described in the discussion part.

4. Methodology and Method

The authors used positivism epistemology for this study as the author believed that there is neither 'one size fits all' nor 'absolute tailor-made' concepts for every single organisation. This study used a systematic literature review by adopting the CVF as a conceptual framework, reviewing related literature to match the CVF with current organisation types, and confirming four organisational paradigms adopting from CVF framework. The findings were discussed with the 7S Model based on the socio-technical systems theory (Cherns, 1976; Appelbaum, 1997) that explain the needs for integrating the technical elements and the social systems to develop organisations. The implication would show the examples of HRD approaches as the matrix reflecting the positivistic tool.

Research question was:

- "How can HRD approaches be grouped and proposed to match each of four organisational paradigms adopted from the CVF?"
- "How can the CVF cultural dimensions be adopted to categorize the organisational paradigms for organisational development?"

Sources of data were obtained through the library databased of the National Institute of Development Administration, Thailand by our search of journals on Google Scholar.

To explore organisational types that represent each cultural dimension of the CVF, the authors brainstormed to find keywords that were likely to relate to or have similarities with each cultural dimension stated in the CVF. The keywords for the hierarchy culture were *mechanistic organisation*, *hierarchical*, and *bureaucracy organisations*. For the market culture, the keywords were *competitive*, *profit-oriented*, *entrepreneur*, and *business organisations*. Then, *organic*, *sustainability* and *family organisations* were for the clan culture. Lastly, for the adhocracy culture, the keywords were *agile*, *innovative* and *creative organisations*.

5. Finding

5.1 Hierarchy organisational paradigm

A type of organisation that represents hierarchy organisational paradigm is a mechanistic organisation. The mechanistic organisation has hierarchical and bureaucratic characteristics. According to the concept of the hierarchy culture proposed by Cameron and Quinn (1999), hierarchy and bureaucracy have similarities. For the hierarchy culture, it is characterized by a formalized and structured workplace and focused on internal orientation. Its organisation structure is driven by control mechanisms. A core assumption of the hierarchy culture is that control, stability, and predictability drive efficiency (Cameron and Quinn, 1999). The concept of bureaucracy was proposed by Max Weber (1947) who introduced its seven characteristics: rules, specialization, meritocracy, hierarchy, separate ownership, impersonality, and accountability. Leaders in a hierarchical or bureaucratic organisation aim to create stability, efficiency, and highly consistent products and services. This type of organisation can work well in stable environment in which everything is easily controlled (Cameron and Quinn 2011). Most of these characteristics can be found in the mechanistic organisation. That is, the mechanistic organisation is characterized by formal lines of authorities, formalized procedures and practices, rigid division of labour, and specialized functions (Lunenburg, 2012). Its organisation structure completely holds tight control over employees and processes. Rules implemented within the organisation are rarely changed. Employees in the mechanistic organisation work separately on their own assigned tasks. Decision-making authority is preserved for higher up level. Besides, dynamic change is challenging for mechanistic organisation (Greenwood and Hinings, 1988).

5.2 Market organisational paradigm

A type of organisation that represents the market culture is a competitive organisation. The market culture and competitive organisations give an emphasis on external orientation. The market culture functions and positions itself as a market, operating through economic market

mechanism, competitive dynamics, and monetary exchange. The market organisation is focused on transactions with external parties which are suppliers, customers, contractors, licenses, unions, and regulators in order to create competitive advantage. Its business priority is competitiveness, profitability, bottom-line results, target stretches, and customer retention (Cameron and Quinn, 1999). The authors proposed the term of 'competitive organisation' from the concept of competitive advantage defined by Porter (1985), referring to the leverage that a business has over its competitors. It aims to gain customers' interest by offering them better and greater value through product and service strategies.

According to Porter (1985), competitive advantage can be created from three forms of strategy – cost leadership strategy, differentiation strategy, and focus strategy. Cost leadership strategy refers to a business' ability to produce quality products or services at a lower cost than other competitors. This strategy provides a price value to the customers. Lower cost will result in higher profits for the organisation as it is still able to make a profit on the products or services sold. Differentiation strategy refers to a business' ability to enhance the perceived value of their brand, products, or services, to be seen as different from those provided by the competitors (Porter, 1985). Differentiation is to charge a higher or premium price that covers the additional production costs and to make customers prefer the products or services over other less differentiated products (Wang, Lin and Chu, 2010). Focus strategy refers to the fact that a business aims to differentiate within a small number of target market segments (Wang, Lin and Chu, 2010). Business that uses this method is mainly focused on special needs of customers; therefore, there are opportunities to provide products that are clearly different from competitors (Porter, 1985).

Drawing from the above strategies of competitive advantage, it is obvious that organisations that use competitive advantage have a strong emphasis on external positioning and control. That is, the major focus of both competitive organisation and market culture is profitability, bottom-line results, leading in market niches, and secure customers bases as primary goals (Cameron and Quinn, 2011). As a result, this study proposed that the culture that dominates competitive organisation type is the market culture.

5.3 Clan organisational paradigm

A type of organisation that represents the clan culture is an organic organisation. As mentioned in the background part, the clan culture is internally oriented and fostered by a flexible organisational structure. The clan culture considers itself as an extended family than economic organisation. It is believed that human relation produces positive employee attitudes toward the organisation. The clan culture has high morale and employees considered as family members are satisfied with the current status of the business (Schimmoeller, 2010). Main characteristics of clan-type organisations are collaboration, involvement, and commitment. The long-term focuses are long-term benefits of individual development, high commitment, and morale (Cameron and Quinn, 1999).

Similar to the clan culture, an organic organisation, proposed by Burns and Stalker (1961), is a type of informal organisation. The organic organisation has a flexible structure and is able to adapt to change. Its structure is opposite to mechanistic organisation representing the hierarchy culture. That is, the organic organisation is identified as having little job specialization, few layers of management, and decentralized decision-making. In the organic organisation, its structure is flat, resulting in a low level of complexity. Only few rules and procedures are implemented with vague employee responsibilities and duties, resulting in a low degree of formalization. Open communication, sharing, decentralization, and employee participation in decision making are emphasized (Lunenburg, 2012).

The second aspect of the organic organisation similar to the clan culture is its relationship with the environment. According to Burns and Stalker (1961), the organic organisation and the clan culture are able to deal with rapidly changing environment because of their informal communication systems that allow quick flow of communication, a flat structure that makes them quickly adapt to changes, and employee participation in continuous change.

5.4 Adhocracy organisational paradigm

Two types of organisation that represent the adhocracy culture are an agile organisation and an innovative organisation. The adhocracy culture emphasizes flexibility, creativity, and change. It is externally oriented and reinforced by a flexible organisational structure. A core assumption is that change fosters a discovery of new ideas and sources. An adhocracy firm is willing to take risks, create innovation, and launch new strategies in dynamic environment (Cameron and Quinn, 1999). These characteristics can be also found in the agile organisation and the innovative organisation discussed as follows.

For the agile organisation, this paper adopted the concept of 'organisational agility' to describe its characteristics. Organisational agility is a core competency, differentiation, and competitive advantage that requires an innovative thinking, strategic thinking, exploration of change, and adaptability (Harraf et al., 2015). Agility consists of two distinct parts: flexibility and adaptability. Flexibility refers to organisation's ability to anticipate and respond to external stimuli. Adaptability refers to organisation's ability to make decisions in relation to environmental stimuli (Harraf et al., 2015). By considering these two characteristics of agility, it can be assumed that the agile organisations must be able to anticipate changes and respond to those changes rapidly. Thus, it can be concluded that the agile organisation represents the adhocracy culture.

For the innovative organisation, adhocracy is an underlying value. In the twenty-first century, it is believed that innovative initiatives lead to success, organisations are mainly focused on developing new products and services and preparing for the future. Besides, they will be able to adapt quickly to new opportunities (Cameron and Quinn, 2011). In the innovative organisation, major task of management team is to foster creativity, and entrepreneurship (Cameron and Quinn, 2011). Individuals are encouraged to demonstrate innovative behaviour by recognising problems, generating new or adopted ideas, and implemented innovation (Kanter, 1988). The structure of innovative organisations is flexible and works like living organism that helps promote individual's creativity (Adair, 1996). The characteristics of the innovative organisation are conformed to the concept of the adhocracy culture. That is, according to Mintzberg (1979), adhocracy relies more upon expertise of individuals joining in flexible market-based project teams capable of speedy responses to new knowledge and skills, and integrating newly updated expertise to create radical new products and processes. The adhocracy culture is the most likely to support innovation and adaptation, and innovative organisations have problem-solving teams who rapidly respond to external changes and market demands. Silicon Valley type companies are good examples of the adhocracy culture reflecting the type of organisation which is dynamic, entrepreneurial, and adaptive (Bahrami and Evans, 2000). Therefore, it can be concluded that innovative organisations are driven by the adhocracy culture.

6. Discussion and Implication for HRD Research and Practices

From reviewing the literature, this paper found various types of organisations in practices that can be categorized in each cultural dimension of the CVF framework. Besides, the detailed characteristics of each organisational culture were explained through various aspects. Therefore, the CVF framework was proved the claim for four-type categorization, meanwhile the result of this study helps emphasize that this categorization does not represent only values and cultures. It can be extended to all aspects and components that form an organisation. Furthermore, each one of four could be the whole set of thought, assumption, research and practices that the authors defined as the organisational paradigms. To explain the difference of four organisational paradigms, this paper brought the 7S Model to illustrate the distinct characteristics. Under four organisational paradigms, seven characteristics of organisation are clearly different. Hierarchy, market, clan, and adhocracy organisational paradigms have dissimilar unique components. The ultimate goals which are corporate shared values focus on different targets. For this dimension, it conforms to the existing CVF study as same as the different cultural styles that each of four depicts the pattern of organisational assumption, rituals, and behaviour in different paradigms of organisations (Schein, 1992).

Apart from the values and cultures from CVF that helps to categorize these four groups, there are structure, strategy and system that represent the practical process of each organisational paradigms. Cascading the specific value and culture, organisations determine their own distinct strategies to achieve the superordinate goals to set the directions for the management of resources such as steady state strategy or evolutionary strategy (Kerr and Slocum, 2005). At the same time, the structure and the system as the management regime emerged from the organisation design such as centralization or decentralization, functional or project structure, machine-like or eco system-like, or different focusing reward system (Kerr and Slocum, 2005).

Furthermore, the mentioned management and organisation characteristics generate the different considerations for human resource development. The idea of workforce in organisation is the key critical driver to succeed to objectives. Different concepts of human resources on both aspects of quantitative and qualitative planning and operations are vital for driving the wheel of each of these four organisational paradigms. Therefore, the differences on the flexibility-to-stability dimension and the internal-to-external-focus dimension will be represented through these four beliefs, four worlds and four groups of people. As mentioned, this definition of organisational paradigms and explanation through 7S Model assists to systematically understand the implication of these four categories. Thus, this study will find the similar concepts in the modern literature to link them for searching the fit HRD approaches. From the finding, the authors proposed Organisational Paradigms-HRD Matrix consisting of four HRD approaches including leadership development (LD), training development (TD), and organisation development (OD) that HRD scholars and practitioners can apply in their research and practices, as shown in the following Table 2.

Table 2: Organisational Paradigms-HRD Matrix

CVF's Culture	Organisational Paradigms	Examples of HRD Approaches	
Hierarchy	Organisation, Mechanistic Organisation	LD	Transactional Bureaucratic leadership
		TD	Formal training related to standard operating procedure (SOP) and job roles
		OD	Performance management system
Market	Competitive Organisation	LD	Strategic leadership, performance leadership
		TD	Learning from case study and best practice
		OD	Focus on 3 strategies – cost leadership, differentiation, and focus strategy (market segmentation)
Clan	Sustainable Organisation	LD	Participative leadership
		TD	Dialogue, collaborative workshop
		OD	Learning Organisation (LO), employee engagement
Adhocracy	Innovative Organisation	LD	Innovative leadership
		TD	Training related to innovation, creativity, and design thinking
		OD	Learning Organisation (LO), Knowledge Management (KM)

7. Conclusion

This study revisited the Competing Values Framework (CVF) which has been widely used for categorizing organisational culture for over decades and reviewed the main characteristics, core values, and assumptions of its four cultural dimensions. Then, the study used the 7S Model as a framework to propose that to form an organisation, it requires values and cultures as primary foundation; therefore, it was reasonable to call the CVF's organisational culture as organisational paradigm. Besides, the authors reviewed the literature and found the types of organisations existing nowadays can represent these organisational paradigms. In addition, the authors aimed at contributing more knowledge to scholars and HRD practitioners, based on our perspectives and findings by proposing HRD approaches that match each type of organisational paradigm.

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The success of collaborative learning approach: The case of Sampran Model Orathai Gunaseelan, Sironart Thanklang,

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Abstract

To achieve the business sustainability in a long term, most of corporations and companies have been influenced to implement social responsibility activities toward the collaborative management of Organisational stakeholders. In order to succeed in business perspectives, the alliance and collaboration strategy with stakeholders have become more practical. This includes suppliers, vendors, employees, government agency, community, customers or even competitors. To establish a bonding relationship with stakeholders, mutual conceptualization to change and grow together is essential for a long-term gain. The best way to nurture it is to develop a healthy value chain. The Sampran Model has proved to be practical solutions through the collaboration learning strategy they have implemented, even though the process was not considered to be easy at the initial stage to engage all parties involved. An approach of individual problem-solving was not a successful tool for three crucial partnerships: farmers, organic product consumers, and the hotel business. By conducting the interviews with all stakeholders, observing the behaviours and analysing the data from the hotel organisations, three themes are emerged to support the collaborative learning approach; trusts, synchronized objectives and innovative solutions. The Sampran Model has proved that the collaborative learning platform is the solution that has helped these three crucial partnerships: farmers to leverage their capability to get away from a vicious cycle; the hotel business to sustain both financial results and reputation and; the consumers to get the quality, reasonable price and healthy products. The collaborative business relationship has been integrated with the learning strategy effectively from the Sampran Model.

Keywords: collaborative learning, Sampran Model, social responsibility, sustainability, stakeholders, adult learning

1. Introduction

The solutions used by businesses should be aimed at being more profitable and efficiently getting capital gain so that the businesses can be sustainable. The individual solution was considered conventional problem solving for running business in order to resolve for a better result. It can be defined problems into three parties: As Thailand is an agricultural based country, farmers become the big bone of the economic cycle. The problem of farmers has been known as a vicious cycle from debt, environmental impact, chemical use, health condition and significantly unfair treatment from the middleman who purchase farming products directly from the farmers and sell in the market to end consumers. It is believed that the problem has been still occurred until nowadays if the farmers solve the problem by themselves without any supports from other parties.

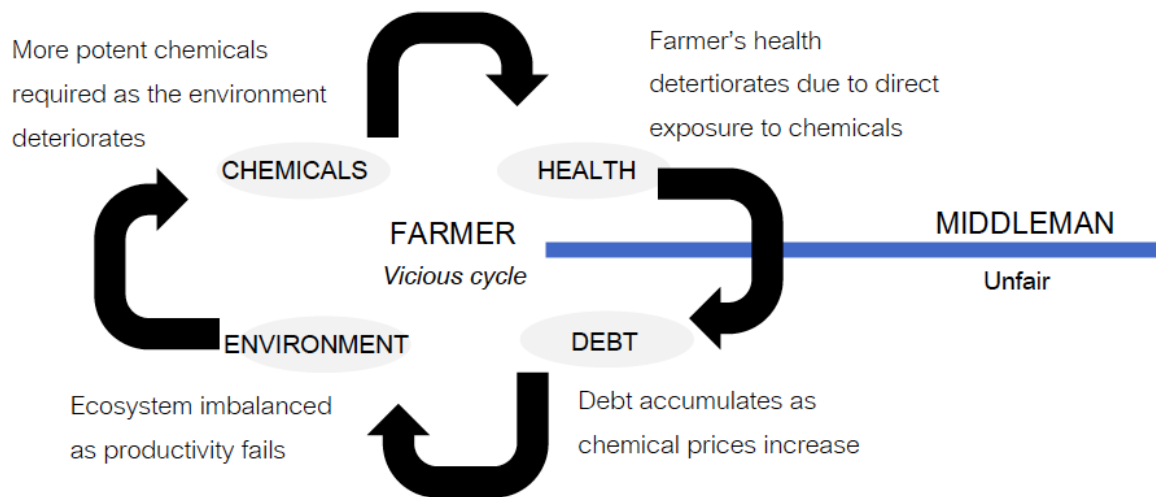


Figure 1. The Vicious Cycle (Managing Director, private presentation, 28 July 2018). Used with permission.

The Sampran Riverside is the hotel business that once was called Suan Sampran Rose Garden Riverside. It has been a famous attraction of Nakhon Pathom province of Thailand since 50 years ago for rose garden, Rose Garden Restaurant and Thai Village Cultural Show to both local and foreigner tourists. The hotel has run for many years to attract the international guests until it was changed to Sampran Riverside – An Eco-Cultural Destination till now. If the hotel decided to do individual solution to change the business model alone, the success would not have been guaranteed. The existing activities tourists could enjoy during their visit at Sampran Riverside nowadays includes organic gardening, garlanding, carving, molding pottery, baking Thai traditional sweetmeat, and some other randomly shuffled activities which the consumers can experience Thai local original lifestyle. The end consumers who purchase organic products for the reason of health caring, they are ready to pay for great and premium products. There are not many opportunities for those who love organic fresh vegetables and fruits to have more choices regarding places to shop for organic products. Without the certified information available to consumers, the confidence to take good care of their health is limited. The organic product lovers would have not been communicated where they could find trustable products and how to ensure the real organic goods if they did not be involved with the business sector and also the organic farmers. The problems of the three parties have been found for years, they have tried to fix it by various ways. Farmers have gained the loan from government farming bank with reasonable interest rate, but it is still unsolved the vicious cycle issues. The organic consumers could not access to the trustable organic market and still bear the pricing issue. The hotel had lesser customers both domestic and international guests. The three stakeholders have their own problems and if they have solved individually and they did not learn collaboratively together, the innovative solution might not be established.

2. Literature Review

In the literature review part, published articles, retrieved from reliable database sources available at NIDA's internet secured portal such as Google Scholars, SAGE Journals, Wiley Online Library, JSTOR, Researchgate, and Emerald Insight have been used. Ph.D. dissertations and academic textbooks in the studied field were also employed as sources of information for this section. The keywords used in the search included collaborative learning, social responsibility, sustainability, theories in adults learning.

2.1 Understanding Collaborative Learning

According to Dillenbourg (1999), there is no universally single definition of collaborative learning. The most widespread definition of collaborative learning which argued by Dillenbourg (1999) is "a situation in which two or more people learn or attempt to learn something together" (p.1). With this definition, the three elements are observed. First is about participants in collaborative learning. This may be seen as two people, a small number of people around 3-5 in a group setting, a bigger group of around 20-30 participants in a classroom style, a community where a large number of people participates in the collaborative learning, or a society where millions of people get involved (Dillenbourg 1999).

Second is on their learning about something. This may be understood as a traditional learning style such as studying courses and subjects in classroom settings. Learning about something may also be interpreted as non-traditional style of learning where participants in the collaborative learning come together to "perform learning activities such as problem solving" or "learn from lifelong work practice" (Dillenbourg 1999, p.2). Thirdly, it is how participants in the collaborative learning get to learn things together. This togetherness may be interpreted in different types of interaction, either in labour division or through joint efforts in solving problems (Dillenbourg 1999).

Hron and Friedrich (2003) gave another definition of collaborative learning as learners, having a shared goal, come to work together, exchange their views on an issue of their common concern, and cooperatively address the concerned problem. This argument has been supported by Vygotsky (1978) who created the phrase called zone of proximal development, which refers to an understanding that exists far beyond current knowledge and ability. This means that with the help and support from friends, learners can learn more of what they cannot learn on their own.

The above-mentioned statement was supported by Gokhale (1995), who contended the importance of learning in a group that can help facilitate individuals to acquire higher levels of learning and gain more information than learning individually. This argument also works with both the facilitators of knowledge who are instructors, and the knowledge receivers who are students.

Marjan and Seyed (2011) talked about collaboration as an idea of cooperation and ways of lives of people, who answer for their action, covering their learning and respect the abilities and contributions of their peers. This includes the activities where people join in a group and there is a sharing in authority and responsibility of decided actions as group members. The crucial assumption of collaborative learning here is focused on the consensus creating through interaction by the group members. Panitz (1996) supported the idea of Marjan and Seyed (2011) and claimed that collaborative learning with such idea has been employed in the classroom setting, at workplace meetings, in communities, or even within families as a way of living and dealing with other people. Collaboration has gained favourable position in the twenty first century for the fact that it involves human engagement, especially the think and work together of people on issues of their common concern (Austin 2000; Welch 1998), making a shift from individual attempts to teamwork endeavours, from autonomy to community (Leonard and Leonard 2001).

Collaborative learning provides an opportunity for each learner to bring to the community their prior knowledge that may be used to solve the concerned problem and to create new knowledge from it (Rae et al 2006). In addition, collaborative learning also assists learners to get used to and cope with disagreement and difficulties within the community (Rae et al 2006) which is important component in order to reach mutual agreement or consensus of how to address and tackle concerned issues of the community.

One of the collaborative learning mechanisms is called "communities of practice" (Rick 1999, p.27), which is defined as people who have established informal relationships as they have their common practice. Rick (1999) claimed that CoP gains its place when people who have the same interests and problems look out for each other, get to talk and share their experiences and problems, and seek assistance from each other to solve their problems. This can be seen as self-motivated continuous learning for participants in collaborative learning.

With reference to Johnsons (1994), Woods and Chen (2010) argued that the five components must be attained in order for collaborative learning to be useful and beneficial for a group or community, rather than for an individual. These include clear understanding of positive interdependence; significant promotive cooperation; clear comprehending of individual accountability and personal responsibility to achieve the group's goals; continual use of the related interpersonal and small-group skills, and; continual and regular group processing of current functioning to enhance the group's future effectiveness (Marjan and Seyed 2011, p. 487).

Marjan and Seyed (2011) stated that collaborative learning provides many benefits to those who employ it and offers outcomes with greater achievement and productivity. Collaborative learning also help creating positive relationship among learners, who have become more caring, understanding, supportive, and committed. The positive benefits and outcomes of collaborative learning have also been confirmed by Johnsons (1989) and Pantiz (1999), whose studies have shown over 50 benefits of collaborative learning, which can be seen into four major categories: social, psychological, academic and assessment. In this paper, the emphasis was made on the social benefits of collaborative learning, precisely its beneficial sides for the communities around Sampran area. Johnsons (1989) and Pantiz (1999) made their argument to support the social benefits of collaborative learning by stating that collaborative learning assists learners to develop a social support system, leads to create diversity of understanding among learners, forms a favorable atmosphere for interaction and cooperation, and advances a learning community. As Johnson (1990) argued, collaborative learning stimulates positive societal responses to problems and strengthens a caring environment that facilitates conflicts or problems solving conditions. Collaborative learning helps learners to settle their disagreements or differences in a friendly way and at the same time allows learners to be encouraged enough to propose their ideas and support their stances without being personal about it.

2.2 Social responsibility

In today's world, corporates have been facing with new roles as they take more and serious consideration as part of their strategy to include social and environmental concerns into their business operations and in their relationship with stakeholders (Carroll and Shabana 2010). This is the issue of the corporate social responsibility (CSR), the concept of which has been long existed throughout human history with diverse definitions (Carroll 1999) and has been gaining more attention and significance in the business world nowadays (Carroll and Shabana 2010).

Here are some definitions of CSR. Bowen (1953) in his book *Social Responsibilities of the Businessman* talked about CSR as "the obligations of businessmen to pursue those policies, to make those decisions, or to follow those lines of action which are desirable in terms of the objectives and values of our society" (Bowen 1953, p.6). The concern to meet the society's expectations has also been reflected in Frederick (1960)'s definition of CSR as social responsibility that frames corporates to direct the business operation to meet the public's expectations.

In the 1970s the definition of CSR started to be formalized with the main discussion on responsibility, responsiveness and performance (Carroll and Shabana 2010), while in the 1980s the focus of the CSR definition was on ethical aspects in the corporate cultures (Frederick 2008). The ethical aspects of CSR have continued to be the trend of the following decades and have been transformed into being the global theme, precisely when the world business witnessed the Enron scandals (Carroll and Shabana 2010).

As for the case of Sampran Model, it is obvious that the concept of CSR has been well reflected in the Model with the three parties concerned involve in their business operation with consideration of social and environmental factors. Farmers attentively take into consideration the end-customers' want and need, for healthy products, reflecting their ethical aspects of operation. As for the Hotel part, it understands the importance of co-existence of

surrounding communities and engage every stakeholder in the business conduct, reflecting its concerns for meeting public's expectations.

2.3 Sustainability

The report of the UN World Commission on Environment and Development, better known as the Brundtland Report in 1987 after its chairperson, the term sustainability has first appeared as a policy concept which stood in the struggles between the desires of mankind for a better life and the restrictions of natural resources. Sustainability of Brundtland Report talked about two major concerns which are development versus environment (Tom and John 2010). Since the time of Brundtland Report, the concept of sustainability has been furthered development with three dimensions: social, economic, and environment, and they must be maintained in a harmonious condition (Tom and John, 2010). This is in accordance with the United Nations' definition on sustainability in its Agenda for Development: Development is a multidimensional undertaking to achieve a high quality of life for all people. Economic development, social development and environmental protection are interdependent and mutually reinforcing components of sustainable development (Agenda for Development, 1997). There are some other definitions of sustainability. As defined by World Commission on Environment and Development, sustainability is a process of change in which the exploitation of resources, the direction of investments, the orientation of technological development and institutional change are all in harmony and enhance both current and future potential to meet human needs and aspirations.

The American Public Health Association (APHA) defines a sustainable food system (Feenstra, 2002; Harmon and Gerald, 2007) as one that provides healthy food to meet current food needs while maintaining healthy ecosystems that can also provide food for generations to come with minimal negative impact to the environment. It also encourages local production and distribution infrastructures and makes nutritious food available, accessible, and affordable to all. Furthermore, it is humane and just, protecting farmers and other workers, consumers, and communities. Sustainability exists as the core subject of Sampran Model as it led the three parties concerned to be able to resolve the problems they had been facing. Sustainability allows the three parties as the main stakeholders in the Model to gain competitive advantage in their business operation which leads to the sustained success.

3. Theoretical Framework for Collaborative Learning

With a view to gaining deep understanding and explaining collaborative learning, precisely the successful case of collaborative learning approach of Sampran Model, and some fundamental theories relating to adult learning are suggested in this part.

3.1 Andragogy and motivation in adults learning

Andragogy is first introduced in a systematic formulation by Malcolm Knowles, who is known as the founding father of adult learning. Knowles (1980) defined andragogy as "the art of science helping adults to learn" (p.43) which is different from pedagogy which is to assist in learning for children. According to Knowles (1984), an andragogy model gives its significance to the process in which a facilitator sets a climate for learning that physically and psychologically respects adult learners and then involves the learners in the planning, delivery and evaluation of their own learning.

Knowles (1980, 1984) suggested the six assumptions about adult learner characteristics: (1). as a person matures, his or her self-concept moves from dependent toward self-directed; (2). an adult gains experience which becomes a resource of learning; (3). an adult's readiness to learn is closely related to the developmental task of his or her social role; (4). an adult is more problem-centred than subject centred in learning; (5). an adult is mostly driven by internal motivation rather than external; and (6). an adult needs to know the reason for learning something.

Talking about motivation in adults learning, it is necessary to refer to the work of Cyril Orvin Houle (1961), called "the Inquiring Mind" which introduced for the first time a comprehensive view of adults and their motivation to further education and knowledge after their formal education years. Houle made a study on adults learning and found out that all of the adults he interviewed had three learning orientations in common. They were goal-oriented, activity-oriented, and learner oriented.

According to Houle (1961), goal-oriented learners are those who engage in learning to achieve a certain goal. Goal-oriented learning leans towards extrinsic and economical motivated. (2). Activity-oriented learners involve in learning as a way to socialize with other learners and for the sake of the activity. Activity-oriented learning might be seen as extrinsically or intrinsically motivated and driven by social and need-driven motivation. (3). Learning-oriented learners focus on the development of new knowledge for the sake of learning. Learning-oriented learning tend to be intrinsically and cognitive motivated.

Sampran Model well represents how Knowles' andragogy model of adult learning and Houle's motivation in learning operate. This is precise for farmers and the Hotel, facing with urgent issues of vicious circles and finances; they were strongly motivated to solve the problems, leading them to come and learn together to do activities of finding the ways to tackle the issues.

3.2 Transformative Learning

Transformative learning is another theory for understanding how adults learn. There is no single definition of transformative learning. It depends on individual theoretical worldview. The work on transformative learning theory of Jack Mezirow (1991) is perhaps considered the most famous, based on cognitive and developmental psychology. According to Mezirow (1994), transformative learning is "the social process of construing and appropriating a new or revised interpretation of the meaning of one's experience as a guide to action" (p. 222–223).

Mezirow's key concept of transformative learning is concentrated on the process of making meaning of our experiences through reflection, critical reflection and critical self-reflection (Dirkx, 1998, p. 4), which he called this process as perspective transformation. Perspectives are set of beliefs, values, and assumptions that a person has gained through his/her life experiences and they act as a lens, allowing him/her to perceive and understand him/herself and the world surrounding.

Though these perspectives allow us to make sense of huge flow of information in accordance with our internal and external environments, they have limitations or even can twist what a person sees and understands. Transformative learning, thus, happens through critical reflection, which allows a person to be able to identify, assess, and reformulate critical assumptions on which his/her perspectives are created.

There are three components of the perspective transformational process which are psychological, convictional, and behaviour (Clark, 1991). Psychological dimension refers to changes in self-realization; convictional dimension means the reconsideration of one's set of beliefs, values, and assumptions; and behavioural dimension is defined by lifestyle changes.

The transformative learning theory fits well with the case of Sampran Model. Through vicious circle the farmers were facing allowed them to have self-realization of the move they needed to make not to continue the circle. As for the Hotel, the self-realization of the repeating business conducting without changes would not bring sustained success. This led to the changes in the way they do business, reflecting their alteration of beliefs, values and assumptions. And the final behavioural dimension occurred with their lifestyle changes of co-existence and collaboration.

3.3 The 3Es (Engage, Educate, Empower) concept of success

According to Dr. Franklin Kellee, at lecture on Learning and Development in the Workplace in July 2018 for Ph.D. students of the Graduate School of Human Resource Development of

NIDA, Thailand, the 3Es concept consisting of engaging, educating and empowering has been introduced to understand adults learning.

From an educational point of view (Meece et al., 1988), engagement is viewed as the learner participation, and interaction with the learning material, learning activities, and the learning community. When observing the engagement learning model, Kearsley and Schneiderman (1999) argued that engagement theory is shaped upon the idea of creating successful collaborative teams that work on ambitious projects that are meaningful to someone outside the classroom. The learning activities, thus, happen in a group context (collaborative teams); are project-based; and have an outside (authentic) focus. The concept of educational set-up for learners in the Sampran Model's case differs from the traditional concept one (which is pedagogy). Educational concept for all concerned stakeholders of the Sampran Model case is managed through the form of andragogy, linked with the already mentioned motivation of educational adult learning of Houle and Knowles. For the Sampran Model case, the stakeholders have been encouraged for the collaborative learning, leading to creativity and innovations, which ultimately have provided solutions to solve their problems and maintain sustainability.

From the Oxford dictionary, the definition of the word empowerment is powerful, giving authorization, power producing and empowered. When viewed in specific terms, empowerment means giving power and freedom of action to individuals for self-management, while in the Organisational context, the word defines as change in work culture and creation and guidance of optimum an Organisational environment. According to Iran Nejad Parizi Mehdi (2004), empowering can be defined as a process of giving power to people. This process will assist people to advance their self-reliance feeling and overcome inability and distress of oneself.

The 3Es concept could be applied to analyses the success of the Sampran Model's case. The stakeholders which include the Hotel (Sampran Riverside, then Rose Garden), the farmers around the area, and the community nearby have been actively engaging with each other, primarily driven by goal-oriented and problem-centered motivations (Houle, 1961 and Knowles 1984).

These stakeholders were pushed by extrinsic and economic factors to get together in order to find solutions to solve the problems they were then facing. When engagement took place, the stakeholders informally learned from (educated) each other. This process can be interpreted through the above-mentioned motivation in adults' education theories of Houles and Knowles, which led to the empowerment of the learners in the process through collaborative learning platform, sharing knowledge and best practices, and discovering new methods and solutions to tackle the issues. The creativity, partnership, collaborative leadership and sustainability have been attained among the stakeholders of the Sampran Model's case.

3.4 Research Question

This research has a main objective to understand what is happening in Sampran as collaborative learning platform they have operated, how it managed to reach success and become beneficial to the stakeholders involved. Therefore, the research question is "What is the collaborative learning and its approach to tackle the challenges of Sampran's stakeholders?".

4. Methodology

This study was adopted a qualitative research approach in the form of phenomenology methodology as it is aimed to explain certain lived experiences and feelings (Smith, 2004) of the studied groups of people about their cases which related to the study topic. The data and information has been explored based on the speech and presentation performed by Mr. Arrut Navaraj, Managing Director of Sampran Riverside during the student field trip in July 2018. The other methods used for the collection of the data are to interview face to face with other particular parties, a few employees of Sampran Riverside, the organic farmers at Sookjai market who have participated into the collaboration learning platform and the end consumers

who actively interest to purchase and consume the organic products at Sookjai market and in other locations to deeply understand and observed visually the reaction and verbal verbatim how the respondents expressed their thoughts. The lists of questions were constructed in the informal free flow style with allow probing questions to be addressed during the interviews. The open-ended semi structured questions were utilized during the interviews. Some of the existing statistical data, theory and framework are employed and referred to as to frame the general ideas into the well-rounded concept. The published external documents and information were used to be referred to, as same as the internal bulletins boards at Sampran Riverside hotel. To confirm the understanding on the finding conclusion, the two hour-observations were operated using the field note to capture the general behaviour and reactions of consumers and farmers at Sookjai market, the reflections of the observer are determined and reflected.

All methods are analysed by thematic analysis to search for themes and patterns from transcribing and categorizing. It is finally classified the data into occurrences congruently, then come up with the emerged themes which can be referred back to the respondents' quotes and observation reflections.

4.1 About Participants

The participants were mainly in the group of consumers and farmers at Sookjai market age range of 25-65 years old, they are in different demographic data (see Table 1).

Table 1: Profiles of Interview Participants

No.	Pseudonyms	Age	Gender	Years to start Organic	Residence
1	Farmer 1	46	Male	Produced organic rice 3 years	NakornPathom Province
2	Farmer 2	53	Male	Grow Organic Vegetables and fruits 2 years	Ratchaburi Province
3	Consumer 1	46	Male	Consumed since 10 years ago	NakornPathom Province
4	Consumer 2	62	Female	Consumed since 2 years ago	Bangkok
5	Consumer 3	27	Female	Consumed since 5 years ago	Bangkok
6	Consumer 4	30	Female	Consumed since 10 years ago	Bangkok

5. Findings

Thematic analysis approach was used from all interview transcriptions, observation field note's reflections and from the visit and presentation of Sampran Model founder during the educational field trip. The categorization process was conducted, then common emerged themes were identified and made out the report. There were three themes that came out from the analysis, and they were categorized into trusts, synchronized objectives and innovation solutions. In order to be successful in collaborative learning approach of Sampran Model, the researchers believed that the three themes are supportive. Each of these themes

are addressed and confirmed by the quotes from the interviews' transcripts and the themes were addressed the research question.

5.1 Trusts

In any learning process, without trust between the parties involved, the positive achievement is not guaranteed especially when it comes to the belief from generation to generation 's practices of the farmers, consumers, and also business owners like Sampran hotel. For the consumers, it had been difficult indeed to trust the organic products of the sellers. However, Sampran Model impelled their truly organic products to be checked and certified by the world-class experts in order to ensure the quality of the products that lead to consumer trust and loyalty. Consumer currently can get healthy products under fair price as they expected to. This is possibly because of lower cost of production, higher volume of fresh organic products, and reduction of the middleman. Since it is a platform to encourage collaborative learning approach; gathering the farmers, hotels, and consumers to creatively learn and develop together, it then has built trust gradually. The evidence and verification have to be proved, that is why it took many years to make all party gained trust. There are repetitive quotes responded from interviewee that themed trusts.

Consumer 1 words:

I want all consumers to think about that and make the influencing movement, government has to support by providing the advice, funding, and how to certify to make consumer trust in the products whether it is a real organic. I do trust Sookjai market as it is run by the Sampran Model (the hotel owner).

The words from Farmer 1 has support trust theme:

The Sookjai market reputation can guarantee my products towards consumers' trust, so I do not have to tell anything, they buy it if they come here without any concern or doubt.

The hotel has built trust towards local community and introduced the new approach to them, so many of them becomes the organic producers and also the consumers. The findings from observation at Sookjai Market, it is seen that most of them bought products from Sookjai Market without asking any information or checking whether the products are real organic or not, and the price bargaining during buying the products is barely observed. It is assumed that the organic consumers do not care about the price but the trustable products. Trust is an important tool to make collaborative learning a successful model.

5.2 Synchronized Objectives

Farmers, consumers and hotel have their own goals to achieve, they they are all aligned to make the co-benefits. The hotel wanted to grow in profitability, farmers want to sell products in good price, while consumers want to purchase good organic goods. As a result of Sampran Model, it can firstly make 30 million Baht annual revenue from Sookjai market and two million Baht from Sookjai market roadshow. Secondly, Sampran Riverside hotel gains 10 million Baht a year which it can absolutely be said that it is in an upward financial situation. Thirdly, there are many new initiatives; Farm to Firm project, Farm to Functions organic rice projects, and future markets in the pipeline to grow this platform and solve world food problems. Lastly in economic view, it can reduce 50 to 70 percentage in cost of production without agrichemicals.

In environmental side, there are lots of concerns about the environment impacts of agribusiness at the global level regarding sustainable agriculture and organic farming. Therefore, diverse movements have been developed towards these concerns across the world. With strong intention to solve environmental issues, Sampran Model happened to be able to continuously improve soil and water quality by getting rid of agrichemicals. This can also

make large positive impact on producers and consumers' health. The objectives that brought in from this model are showed in the interview responses:

From farmer 2:

We got PGS (Participatory Guarantee System) and got certified by Sustainable Food Lab Thailand and also the support from all consumers who come visit us at our open farms who recommend us to be certified.

Consumer 1 also said regarding to Synchronized Objectives:

I think not only me as consumers to gain benefits, but farmers also can sell the products and the business can gain profit too.

It concludes that the shared objectives and benefits have brought all three parties learn from each other collaboratively as they gain what they want and work well together.

5.3 Innovative Solutions

Learning together and provide inputs from consumers, farmers and hotel for solution is not the only aiming expected to get out from the Sampran Model. The new initiatives are generated many opportunities in business and social purposes. For the farmers, individual solution they experienced had never made them getting out of the vicious cycle. By Sampran Model, currently they can get rid of their financial problems such as debt by reducing their cost of farming productions and gain more margin than ever before. They can also develop their plantation or farming sustainably by absolute organic production and expand their market to new several channels such as Sookjai market and Farm to Firm campaign. The benefits, not only affect the farmers themselves, also have huge impacts in viral ways. Once a farmer gains benefit from the model, he or she tends to positively promote the model to his/ her farmer friends and influence them to get involved in the model. This side effects could provide larger communities of engaged farmers. For the hotel, to improve downhill economic situation of the hotel, Sampran Model provides capability to gain cheaper food supplies with high quality from the farmers, main supplier. Apart from this result, the hotel also came up with an idea of organic farming cultural trip for visitors to enjoy local experience. This idea leverages more income to the hotels and makes remarkable reputation to the society regarding sustainability, which lead to higher market competitiveness. In addition, since many training, learning and development activities required during development of Sampran Model, Sampran Riverside hotel management team and employees have been enhancing so much in their relevant knowledge, skill, and ability. Socially, there are new communities established along the model which lead to wider organic ecosystem and duplication of the model in other possible locations. To look at beneficial development from conventional solution to innovative solution, Sampran Model, of each key stakeholder in this chain; farmers as producers, hotel as a middleman, and consumer, we can elaborate as the followings. From the last theme that can confirm the innovative solutions are emerged from the interview's quotes:

Consumer 2 said:

I decided to eat vegetarian as I want to keep myself healthy but I forget that eating right in termed of portion, nutrition but also the organic, free of chemical contaminated are also important to keep yourself healthier. Main benefits are my health and to support the organic farmers, so they know who to produce for. I also share in my Facebook about the organic products here, hope my friends will interest too. I have new ideas on how to order organic products online from coming here to talk with farmers directly, I will try at home this week.

The farmer 2 has mentioned related to innovative solution:

Then we come up with new products and new ideas from both consumers and the Sampran Model team. We do not see them as the competitors, we are doing the same approach and get the benefits together.

This implies that the innovations solutions have occurred once they minds are open to new ideas, the solutions might not come out directly but to trigger from the collaborative learning activities.

6. Discussion and Conclusion

Sampran Model is an inclusive business that engages all key stakeholders; the farmers, hotels, consumers, to live, learn, and grow. Not only has the success in productivity and quality improvement, but it sustainably generated higher income for the three parties to expand their business and better financial status. Engaging all the parties is the key to success of this model. Once the model does involve each stakeholder in every single process of the model, the particular stakeholders feel engaged. Cooperation or collaboration can be easily created at this situation. However, as learning is a life-long journey, so the model is therefore still an ongoing learning platform with strong intention to innovatively produce high quality of raw organic products. Sampran Model is also planning to create more channels to effectively duplicate this collaborative learning platform to be an innovative solution for other locations in Thailand. This could make wider impact not only to the stakeholders, but to the whole society. Thus, the more model expansion, the more benefits we, as consumers, gain benefits from having clean and save foods.

7. Recommendations for Future Research

In order to deeply understand Sampran Model as a collaborative learning platform, longer observations might help to see changes during the model has been operated. How it could be improved from before the model and after, current and future stage. More interview sessions could also be the tool to get more insights from each of the stakeholders in different timeframes. Apart from being a collaborative learning platform, Sampran community can be added values through their high potential tourism with a combination of natural, cultural, and historical elements. The Sampran Model can be expanded to be studied and applied to other areas of Thailand for larger beneficial.

8. Implications for HRD practice

Collaborative learning approach is a practical activity to support innovative solution by helping all involved learners to extend and apply knowledge. In the case of Sampran Model, stakeholders including the hotel, farmers, and consumers share their knowledge and skills to each other through an interactive social community. It is essential to develop the knowledge of individuals first by studying, experiencing real situations and learning from experts, then they are confident enough to share their learning outcomes. Informal learning takes place to develop the collaborative experiential learning that arises from the learner's involvement in activities in their daily life. This is an applicable learning setting that HRD practitioners could apply into Organisational training programs to make sure all parties are involved, collaborate, and be able to share their lesson-learned among themselves for greater performance and contributing to the increase of the organisation's competitive advantage. The findings of 3 themes including trust, synchronized objective, and innovative solutions to make collaborative learning approach success can be utilized in any HRD activities.

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The impact of machine learning on future HRD practice and research

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Abstract

Based on the growing tendency of organisations to adopt technologies associated with artificial intelligence and specifically machine learning, the paper seeks to answer to what extent do Learning and Development (LD) practitioners incorporate both the learning of humans and machines within their areas of responsibility? We will report the findings from a series of exploratory interviews with such practitioners in order to begin the conversation within the HRD academic community. We provide a brief overview of literature on HRD/LD's work with technology before considering machine learning, which involves the use of an algorithm to analyse data from which a pattern may be formed for using in decision-making. We consider the development of key technologies associated with the 4th industrial revolution and highlight recognized dangers, exemplified by the potential for perverse results, predictions and the replacement of humans with machines. We outline our methods based on key questions for LD practitioners. Findings showed key themes relating to Emerging Awareness; Responding; Division between IT and HRD; Role of HRD; HRD and Ethical Implications. We conclude that in many ways, machine learning was still something of a black box for HRD/LD and our enquiry was prompting speculation and possibilities. We also highlight a role for HRD/LD to facilitate collaboration between stakeholders based on human-centred values in relation to the 4th industrial revolution.

Keywords: HRD, learning and development, machine learning, artificial intelligence, 4th industrial revolution, futures and foresight

1. Introduction

Using the Future and Forecasting approach often used within organisations to stimulate strategic planning, two Futures workshop at UFHRD Conferences in 2017 and 2018 considered the future of HRD creating scenarios that projected the future of HRD. The outcome of these workshops are reported in Gold (2017) and Harrison, Nichol, Gatto, Wai, Cox, and Gold (2018). One theme within the scenarios is the growth in artificial intelligence and specifically Machine Learning (ML). For a profession and discipline that is concerned with Organisational and individual learning and the development of human potential (Hamlin and Stewart, 2011) the advance of ML poses a challenge for the future. Harrison et al (2018) note that there is a shortage of academic research around ML from an HRD perspective. They also speculate that HRD or Learning and Development (LD) practitioners may well be ahead of HRD academics in considering the impact of ML on the future of HRD practice and research. Based on this speculation, we wish to consider whether this is the case. Therefore, the question we seek to answer is to what extent do LD practitioners incorporate both the learning of humans and machines within their areas of responsibility? We will report the findings from a series of exploratory interviews with such practitioners in order to begin the conversation within the HRD academic community. Firstly, we consider some of the key ideas relating to ML and the Fourth Industrial Revolution.

2. ML and the Fourth Industrial Revolution

Until recently, the role of HRD and LD with respect to technology at work could be characterised as enabling people to work effectively with organisational requirements

through the acquisition of requisite knowledge, skills and attitudes. The relationship with technology has always been contentious, with the possibility that human skills can be replaced by machines. However, technology has also been employed to enable human learning with the development of teaching machines based on programmed learning underpinned by behaviourist theories (Hills, 2003). More recently with the arrival of the digital age and information and communication technologies, HRD's relation with technology could be characterised in two ways. Firstly, the delivery of learning content, usually referred to as e-learning. Secondly, the management of learning and development of staff within the workplace as a Learning Management System or LMS. In both cases, delivery makes use of electronic technologies and includes intranets as well as external sources via the internet; the latter usually referred to as Web 2.0 and then Web 3.0 as web interaction and storage become more prevalent. Central to such developments are core assumptions that value in organisations are made by bringing people and technology together and that any organisation is reliant on human expertise and learning for sustainability and difference. It is human learning that provides the possibility to improve performance by the utilization of people's abilities and consequent changes in skills and knowledge by humans underpin growth and development. It is the task of HRD and LD to support these possibilities with individual, team and strategic learning policies and practices. However, with the arrival of ML such assumptions might need reconsideration.

ML and associated technologies such as Artificial Intelligence (AI), algorithms and Internet of Things (IoT) are usually referred to as features of the Fourth Industrial Revolution (Schwab 2016) or Industry 4.0. Such technologies make possible new products and services that increase the efficiency and pleasure of our personal lives. However, in doing so, the technologies are having a profound effect on what is understood as the performance of work and the employment of skill. There are ongoing debates about the extent to which industry 4.0 will replace human skill, complement it or advance it (Fry 2018). Schwab and Davies (2018) argue that while Industry 4.0 has the potential for bringing significant benefits, there is also the possibility of adverse effects resulting from unfair distribution of benefits, the production of external costs and the disempowering of human beings. To mitigate against these possibilities, they call for the need for collaboration across stakeholders and the embedding of human values within technologies so they can be 'shaped to enhance the common good, environmental stewardship and human dignity' (p.2).

According to a report from the Royal Society (2017), ML is a 'technology that allows computers that learn directly from examples and experience in the form of data' (p.19). ML involves the use of an algorithm to analyse data from which a pattern may be formed for using in decision-making. An algorithm is a set of mathematical instructions or rules that, especially if given to a computer, will help to calculate an answer to a problem³, ML seeks to emulate how humans learn by providing an algorithm-driven machine with the data necessary to work against a goal, providing feedback to ensure it is working correctly then allowing the machine to work out the best way to reach the goals. Learning is embedded in ML to create a system, driven by an algorithm to find best way to fulfil its direction. There is a significant degree of obscurity that can surround the way ML actually works suggesting the need for those in HRD either to work towards more understanding in Data Science or forming relationships with those who are already qualified to do so. As a form of 'black box', there is a lot that must be accepted without critique (Lee et al., 2010). Further, this is an area of research and practice that is occurring within organisations and beyond to improve AI and ML through Deep Learning or deep neural networks allowing application to such operations as speech recognition, visual object recognition and object detection (Bengio et al., 2015) with significant resources being invested (Parloff, 2016).

Of course, in many ways, ML has become widespread and is found in a variety of work processes and everyday activities and is the main method for the development in combination with AI for computer vision and speech, picture and pattern recognition, robot control and many other applications (Jordan and Mitchell, 2015). Humans have a part to play in ML, both

³ <https://dictionary.cambridge.org/dictionary/english/instructions>

in the writing of algorithms and providing instructions but also in using or being affected by the results provided by its operation for good or ill. Interestingly, the development of ML is a good example of human learning that involves the building of a mathematical representation relating to a particular domain of knowledge, computing the parameters and weights from the representation using testing data, critiquing the model as discrepancies occur and using new knowledge from the discrepancies to think of the patterns that caused them. This process continues until the model performs – the machine has learned (Colaesi and Mahmood, 2017).

Already there are recognized dangers, perhaps exemplified by ML's potential for perverse results and predictions (Naughton, 2018). In his well-known consideration of the place of humans in the future, Noah Harari (2016) points to the danger of the decoupling of intelligence as found in AI and ML from the consciousness of humans such that "non-conscious but highly intelligent algorithms may soon know us better than we know ourselves" (p.397). One manifestation of this process is the fear that ML is an automating process that threatens the need for human workers including educated professionals such as accountants and lawyers which can also exacerbate wealth disparities (Brynjolfsson and McAfee, 2016).

Another danger is the potential for ML to incorporate bias which it has learned; ML can become creators of a learned bias (Cheatham et al., 2019). For example, Amazon had developed programmes to automate the review of applications made by job seekers. AI was used to rate candidates based on their CVs. However, this process seemed to contain a bias in favour of men based on patterns of CVs over 10 years, which came mainly from men. Another bias was the recommendation of candidates who were unqualified. Amazon postponed this version of the project in 2018 before seeking to develop another to consider diversity more closely (Reuters, 2018). Google has also been critiqued. For example, some searches have been shown to make incorrect, defamatory or bigoted associations for particular people and groups (Diakopoulos, 2016).

More generally, ML and AI is starting to become accepted as a way of making decisions about people so that performance is improved. Using terms such as HR analytics or workforce analytics, predictive modelling can be used for most HR functions including learning and development (Mishra et al. 2016) and is considered to provide the HR profession with a clearer route to strategic participation in decision making and avoiding takeover by the finance and technology functions (Vargas et al., 2018). The danger here is that the HR profession generally and HRD/LD practitioners in particular may join the list of workers under threat because they cannot yet work with analytics and ML and this includes the distortions that might be present. As Joh (2017) argued with reference to predictive analytics in the Police, people are 'not simply end users of big data' (p.289), they also play a part in generating data through the recording of outputs and this can produce distortions such as race, sex, religion and other forms of bias.

An important issue raised by Osoba and Wesler (2017) is that ML requires critical attention both in creation but also on the ongoing processes of operation. Just as human decision-making is fallible and subject to bias, the work of ML also needs attention. For example, ML biases are learned during what is termed 'Training', where inputs are used to 'teach' an algorithm to work towards a particular desired state. However, as the Amazon case showed, the training data which provided the inputs produced the learned bias. The training of ML does not yet appear to be considered an HRD/LD issue. An improvement in training data is considered to be important in improving the quality of ML decisions (Fuchs 2018).

In addition, against the potential for ML to become dangerous, Schwab and Davis (2018) highlight ethical challenges which need to be addressed to ensure fairness and balance. They advocate the need for technical feasibility to be accompanied by environmental, social and human considerations. This reinforces the need for humans to develop a value-led stakeholder approach which we would suggest needs to involve HRD/LD practitioners and researchers. Crucially, as argued by Fry (2018) if ML by definition means machines can create new answers to problems using its own route, it can affect performance at work and beyond. Shouldn't HRD/LD take an interest in this process?

3. Method

For our exploratory work, we developed a set of questions so that we could explore with LD practitioners how they work with ML. Such questions included:

- Is ML embraced by learning and development professionals? Is such learning accepted as an HRD issue?
- Is ML seen as a replacement for human skill, or complementary or it might enhance it?
- Is there a role for LD people in terms of what you put into algorithms?
- Do you have ethical concerns?
- Is ML informing your work at the moment?
- What's the future of the HRD profession, in a future where machines can learn?

We interviewed 4 Senior LD practitioners and recorded the results. Three interviews were conducted face-to-face, one by telephone and one by email. The transcripts of each interaction were analysed by us (as humans) using a simplified version of inductive thematic analysis (Braun and Clarke 2012), involving a close re-reading of the text to reveal what appeared to us as over-arching themes that summarized the views of our interviewees.

We identified the participants as:

Job Roles	Business	Code
LandD Manager	Finance	A
OD Manager	Public Sector	B
Group LandD Director	HR Call Centre	C
LandD Manager	Professional Services	D

4. Findings

Following the analysis, we identified five themes: Emerging Awareness; Responding; Division between IT and HRD; Role of HRD; and Ethical Implications.

4.1 Emerging Awareness

While most of the respondents acknowledged that AI/ML should be part of the HRD role the questions in the research interview created an emerging awareness and space to discuss the potential impact of AI and ML. Thus, to varying degrees, participants recognized the issue not as an explicit part of their current responsibility and role but as something they needed to think about. Issues related to AI/ML were part of the overall context. For example, automation or robotization (A/B) were being considered generally 'rather than the impact on ourselves' and what had occurred elsewhere was raising awareness of how AI/ML could apply within their organisations:

'if you think about say checkouts, so we have changed the roles in supermarkets. You can go into and have a consultation with a machine and it will pop out your pills.... So there is the impact on, not just from an HRD perspective or a HRM perspective, this is going to impact on everyone's roles' (B)

'...an article the other day about being interviewed by machine... I kind of tried to put myself in that situation. Thought how would I feel if interviewed by a robot and then the robot said no to me (Laughing). I would probably think that had I've been sat with a person, and individual, there would've been a lot more interfaces that were taking place... I do think that it is a LandD issue' (C)

Furthermore, both participants are exploring their understanding from considering the possible impact on themselves personally.

4.2 Responding

Against the issue of how ML could be considered in HRD/LD terms, it was still an 'emerging piece' (A) and had not 'been addressed in sufficient detail as yet'. At one level, there was awareness that ML and AI were likely to replace or affect HR/HRD in the

.... 'mundane stuff.... the processing stuff' such as 'recruitment, reward, payroll. Or you know just HR queries, how do follow a process. You know all of that kind of HR administration/management/transaction stuff'. (B)

Where ML might be considered as a threat to jobs, its introduction could be 'positioned as doing the mundane allowing people time to tackle more complex tasks'(A). This could also apply to some features of HRD/LD that could be freed up to enable practitioners to create

'more value which is what everyone always wants to do but it is easier not to as you are focusing too much on the process stuff'.

However, as their organisations considered the use of automation and robotics to 'do higher volumes', this did raise awareness relating to 'how people were seen' and valued. For one interviewee, the replacement of mundane for complex was possibly just a 'convenient way of getting [HRD] on board'. For another, it was important for HRD/LD to 'figure out what do we do' with the outputs of 'number crunchers' who worked the machines. It was important to 'love people and try and fight it out' (D) Our discussion was helping the interviewees 'think about the possibilities' and the way 'AI could....give use some useful things to think about' but 'the challenge is that is only going to be as good as the data we put in it. And the challenge is that it needs a human intervention to choose what to give it' (B), so there was need to be involved as early as possible'.

4.3 Division between IT and HRD

Despite the recognition of the importance of HRD being involved in ML/AI it was recognized that the development is 'either/or, 'I mean you have either an LandD person or a Techie person'. They explained how there appears to be few roles advertised for LandD specialist working with or in ML/AI. From one participant's perspective:

'You are either a developer, programmer who writes algorithms or you are focused on identification of learning needs... I still think we have a fair way to go to matching the two up... I don't think we're in a place where ML is ... taken on by HRD' (C)

Indeed, participant C shared that the pace of change from ML/LD is actually 'quite scary'. Further reflection on this possibility paid recognition to how HRD/LD work often involved 'looking at data going in and figuring out what to do with data' and this would need HRD/LD to 'do lots of the stuff'. Creatively, interviewees could see their relationship with ML and AI as a 'companion' and 'complement' to the HRD role, so that their organisations could be 'more informed about what could be happening'. They could see the 'evolution' of 'a continuing partnership' and the 'co-creation of solutions'.

4.4 Role of HRD

A connected feature was skills for the future (A), reflecting a need to 'stay relevant'. As more of the workforce were recruited against digital needs, this was leading to growing contact with 'pockets of the data community' and involvement with projects such as collaborating on

arrangement for degree apprenticeship in data science. This had provided a 'prompt to become conscious of what we should do' and that 'it was good be involved at this early stage'.

HRD/LD can have an influencing role to shape discussions' and be 'in that space'. For example, through leadership programmes which tackle some ML issues through projects such as identity verification for financial services. HRD/LD could affect 'the direction' of such projects. For ML projects in particular, it was felt the 'we can probably shape some of the stuff to go in there' (A). However, there was recognition that 'we wouldn't probably be able to do it ourselves' and that 'we'd need a bolt on informatics person.... a role such as a data guru' (B). Nevertheless, there are resource implications as the time-consuming nature of the role was identified by one participant (C). This is possibly one area that is a problem for HRD departments that can be under-resourced.

4.5 Ethical implications

If HRD/LD can sustain its influence, it could provide a source of critique and ethicality (A/B/D). An important recognition was that 'data was everywhere but we do not want to lost the essence of who we are'. So data-based decisions on what to provide and what to do, had to combine with 'human touch'. In the health sector there was a need to consider 'life and death' choices and the vital part played by 'compassion', and other human values and ML would 'make it cold'. A question was posed:

'How do you teach them (ML/AI) ethics, how do you get them to think of ethics from a compassionate point of view? (B)'

If HRD/LD can play the companion role as ML develops, they could provide protection against some of the risks of relying on data based decisions, for example in 'recruitment screening tools (D)'. However, such decisions 'might miss something' that relied on humans using 'gut instinct'. Interviews were aware of possible distortions, biases and 'unintended powers' of ML such as prediction which 'could limit choice and may not fit with our expansive mindset' (A). HRD/LD can set a context for such activity and while they were not expecting to write algorithms, their influence could provide a 'safeguard'. The involvement of those who did write algorithms in organisation-wide leadership programmes meant their exposure to critical thinking skills, emotional intelligence, questioning and assumption surfacing of activities. Moreover, one participant felt it was almost impossible for algorithms to 'not act in a discriminatory manner' (C). The view was that the act of having to reduce every action into a logical, articulated structure meant that unintentional bias would be present. They expressed concern over the right/wrong nature of the scenario with no room for discussion or a 'difference of opinion'. Thus, the participant was looking through a social constructivist lens.

5. Summary

Based on previous Futures Workshops at the UFHRD conference, we became interested in the apparent lack of involvement in the 4th industrial revolution by HRD/LD academics and practitioners. We believed that the latter might be ahead of the former, if judged by the number of papers published in HRD journals. We also wondered if the term Machine Learning was in anyway being accommodated in the talk and responsibilities of practitioners. What we found, admittedly from a small sample was that, in many ways, ML was still something of a black box for HRD/LD and our enquiry was prompting speculation and possibilities rather than giving insight into how practitioners were engaged with AI/ML. There was both 'excitement...and concern (B). ML could do some of the work quickly and 'free the HRD profession to become more strategic'. What was concerning was how to monitor 'the complicated things that AI start to do' and setting the 'boundaries' based on ethics and humanity:

So does the HRD profession, develop ML/AI, like you would a person? (B)

This raises the prospect for the continuity of the HRD/LD profession as a people function and people/machine function and a function for ML/AI. Emerging is a recognition of the need to be involved and develop a more collaborative response. This echoes Schwab and Davis (2018) who recently advocated a multi-stakeholder approach to the 4th Industrial Revolution that is based on human-centred values. So we would argue that who would be best facilitate such a learning process? Step forward HRD/LD and make the offer.

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Antecedents of major organisational changes and employees' behavioural reactions: The mediating role of psychological contract fulfilment

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Abstract

Drawing upon social exchange theory and sensemaking theory, the present study is aimed at examining the causal relationship between antecedents of organisational change (transformational changes TC, frequent changes FC, personal impact of change IC, and successful changes in the past SPC) as a cause and change recipients' behavioural reactions (resistance CR, disengagement CD, acceptance CA, and proactiveness CP) as consequence via the mediating role of perceived fulfilment of psychological contract PCF. The evolving nature of transformational changes over a longer span requires rigorous and continuous surveillance of processes and procedures along with training and development of human resources i.e. change recipients. Therefore, this study longitudinal research design where the data will be collected from employees (faced with major organisational changes working at commercial banks in Pakistan) at two points in time i.e. during change and post-change to see the changes in behaviours over time. The study will be useful for change agents, leaders, and managers to formulate strategic change agenda for their upcoming or ongoing organisational changes and help them identify different reactions towards change.

Keywords: transformational change, psychological contract fulfilment, change resistance, change acceptance, change proactiveness, change disengagement

1. Introduction

Today's challenging environment push the organisations to bring forth reforms. Amongst these challenges change in workforce, technological advancement, and globalization are some of the transformational events for which change agents struggle to implement planned changes timely (By, 2005; Burnes, 2004). When such major changes are announced, the news associated fears, challenges and opportunities. While there is a likelihood of variation in change recipients' behaviours in the post-change stage, the time when the change has already been implemented. But the question is what makes this variation inevitable? How and why employees behave so differently having similar comparable psychological contracts? Leading and managing people issues is a crucial aspect for implementing successful organisational changes. Without knowing the versatile behaviours of employees, a change agenda cannot be executed successfully. In this regard, practitioners or the change agents work hard to manage major Organisational changes. For which, they are required to orient and re-orient the change related matters, including the environmental factors and change recipients' evolving behaviours during the process of change. Hence, the present study will be focused on the causal path of change recipients' behavioural formation in the presence of certain change antecedents discussed below in a longitudinal research design, drawn upon social exchange (Emerson, 1976), and sensemaking theory (Weick,1995).

2. Literature review and hypotheses development

Change recipients' behaviours towards change varies with each other at individual level, depending upon personal predispositions of an employee and certain antecedent factors that affect their commitment to change (Stouten, Rousseau and De Cremer, 2018). Oreg, Vakola and Armenakis (2011), have clustered the change antecedents into change process, perceived

benefit or harm and change content that ultimately defines the change recipients' behaviours. This study will examine these change antecedents as follows: change outcome in terms of 'impact of change' and change context/history in terms of 'frequency of change and successful past changes' (van der Smissen, Schalk and Freese, 2013; Akhtar, Bal and Long, 2016). Further, how these antecedents play a role in the varying behaviours either positive or negative will be examined. Oreg et al. (2018) have categorized these change recipients' behavioural reactions based on their positive and negative, as well as, active and passive nature into resistance, acceptance, disengagement, and proactiveness towards major Organisational changes.

In the event of major Organisational changes, change recipients' behavioural reactions are influenced by their cognitive evaluation of change antecedents. Chaudhry, Wayne and Schalk (2009) have studied that employees interpret changes through their sense making perspective in the scenario of threats associated with change like job security issues. Drawing upon sensemaking theory (Weick, 1995), this study will be focused upon the mediating role of psychological contract fulfilment as perceived by change recipients. How the antecedents of change i.e. frequency, impact, and success of previous changes influence the change recipients' behaviours when their psychological contract is either fulfilled or breached by the change agent during the change process. It is proposed to conclude upon the evidence for helping the practitioners to orient and re-orient their human resource development policies and practices according to the challenges associated with change recipients' behavioural reactions that are unavoidable yet opportunistic at the same time. For this purpose, the following discussion will present an overview of the operationalization of change recipients' behaviours along with theoretical background of the hypothesis of the study.

2.1 *Change recipients' behavioural reactions to change*

Transformational changes bring forth a revolution in any organisations, effecting the work of the stakeholders associated with it. We are focusing to analyse the behaviours of change recipients i.e. the employees, who are directly affected by change. For instance, when a change news is announced, it triggers the emotions of an employee and that affect results in their concurrent behaviour. Change events e.g. announcement of change news, its planning, implementation etc. (Matheny and Smollan, 2005), during change process prompts emotions and corresponding behaviours that differ from each other for every event by the same person. Lazarus (1999) has suggested that despite of the fact that emotions, their cognitive assessment and motivation of behaviours are interdependent, still they can be segregated into distinctive behaviours depending upon the tendency of emotions. In the context of change, Oreg et al. (2018) have classified these emotions into four varying reactions to change in terms of degree of activation and valence of behaviours: proactiveness being positive and active behaviour, and acceptance a rather passive and positive behaviour, resistance a negative and active behaviour, and disengagement a negative and passive behaviour. Following is the brief discussion on each of the behaviours respectively:

Barret and Russel (1998) have categorized proactiveness as an excited and enthusiastic behaviour. Change recipient's proactive behaviour is more likely to open horizons for new changes in the pipeline and may delay the procedures but would come up with an optimum input from employees for the better execution of future change events. Similarly, change proactiveness is self-induced, future based zeal for improvement of Organisational endeavors (Morrison, 2011). In this study change proactiveness will be operationalized to analyse the change recipients' proactive behaviour for the Organisational benefit in terms of willingness to cooperate with the change agent for the change event, bring forth new ideas and readiness for innovative changes.

Contrarily, acceptance behaviour is rather a passive support for the proposed change announced by the change agent or which is in the progress (Oreg et al., 2018). Change recipients' acceptance is positive for the successful implementation of change (Amiot et al., 2006; Holt et al., 2007; Logan and Ganster, 2007). However, the passive support is not likely to produce optimum output and constructive feedback from the recipients for the change

agent (March, 1991). For the purpose of this study, acceptance will be studied as a same positive behaviour, when change recipients show support for change but do not put any constructive contribution towards change and wait for the things either to work or fail themselves. Thus, it's a positive yet an alarming situation for the management when employees do not come up with timely input that can mitigate any risks associated with change.

On the other side, resistance and disengagement both are negative behaviours, but they differ in terms of activation. Resistance is a widely discussed negative-active behaviour of employees in literature (Oreg et al., 2018). Change recipients' active opposition of change is depicted by their gestures of exit and voice (Van Dyne et al., 2003; Akhtar et al., 2016). Active resistance can also result in turnover (Fugate, Harrison and Kinicki, 2011), which will require new hiring during the change process, thus it burdens the change agents and fellow colleagues with extra workload. In such situation, change agent is required to put in corrective measures timely for successful implementation of change. So, it can be narrated that change recipients' resistance behaviour is also helpful for the change agent in identification of potential problems and proactive solutions to them. Like resistance, disengagement is another undesirable change recipients' behaviour. This is usually exhibited when recipients get bored of the change event and show passive acquiesce, insincere acceptance and detachment (Oreg, 2006). Thus, due to massive disengagement at the recipients' end, the accomplishment of the said change would rather be very difficult and would lead to drastic output. In such case change agents must make sure to focus on the things that strengthens recipients' psychological contract for ensuring more positive and active behaviours that is necessary for successful implementation of changes.

2.2 Psychological contract fulfilment and change recipients' behavioural reactions

Psychological contract theory has been considered as an ideal framework by many authors to study employment relationships during transitions like changes in the current context for Organisational outcomes (Shore et al., 2004; Tomprou, Rousseau and Hansen, 2015). Rousseau (1995, p.9), has defined psychological contract as: "terms and conditions of mutual exchange relationship between employee and employer", which is widely quoted by different authors while elaborating Organisational outcomes. Psychological contract fulfilment is coined as: "when the employees perceive that the management in considering their promises and obligations", while the opposite scenario is defined as psychological contract breach. In literature psychological contract fulfilment is studied in association with many work-related outcomes like exit, voice, loyalty, and neglect (Akhtar et al., 2016), job satisfaction, (Lambert, Edwards and Cable, 2003), etc. Contrarily the breach of psychological contract results in negative outcomes like withdrawal intentions (Raja, Johns and Ntalianis, 2004), lower job satisfaction (Tekleab, Takeuchi and Taylor, 2005) and commitment (Raja et al., 2004). So, we propose the following hypotheses for the positive (proactiveness and acceptance) and negative (disengagement and resistance) behaviours in relationship with psychological contract fulfilment:

H1a. Psychological contract fulfilment will be positively related to change acceptance.

H1b. Psychological contract fulfilment will be positively related to change proactiveness.

H2a Psychological contract fulfilment will be negatively related to change disengagement.

H2b Psychological contract fulfilment will be negatively related to change resistance.

2.3 Mediating role of psychological contract fulfilment between antecedents of change and change recipients' behavioural reactions.

As a result of major changes which are frequent and impactful employees are prone to have an anxiety experience (Rafferty and Griffin, 2006), despite of the fact that previous changes were successful (Akhtar et al., 2016). Considering sensemaking theory (Weick, 1995) it is argued that psychological contract of employees ceases to exist in the event of organisational change and re-emerges throughout the change process. So, with respect to change antecedents PCF plays a key role in defining change recipients' behaviours. Freese et al. (2013) have found that change antecedents significantly impact the attitude of recipients towards change. So, when the change recipients' psychological contract is fulfilled by the employer or the change agent in the present context it is more likely that frequency of change, impact of change, and successful past changes would cause positive behavioural reactions (proactiveness and acceptance) and negative behavioural reactions (disengagement and resistance). So, the mediating role of psychological contract fulfilment will be examined as:

H3a Psychological contract fulfilment will mediate the relationship between frequency of change and change recipients' behavioural reactions to change.

H3b Psychological contract fulfilment will mediate the relationship between impact of change and change recipients' behavioural reactions to change.

H3c Psychological contract fulfilment will mediate the relationship between successful past changes and change recipients' behavioural reactions to change.

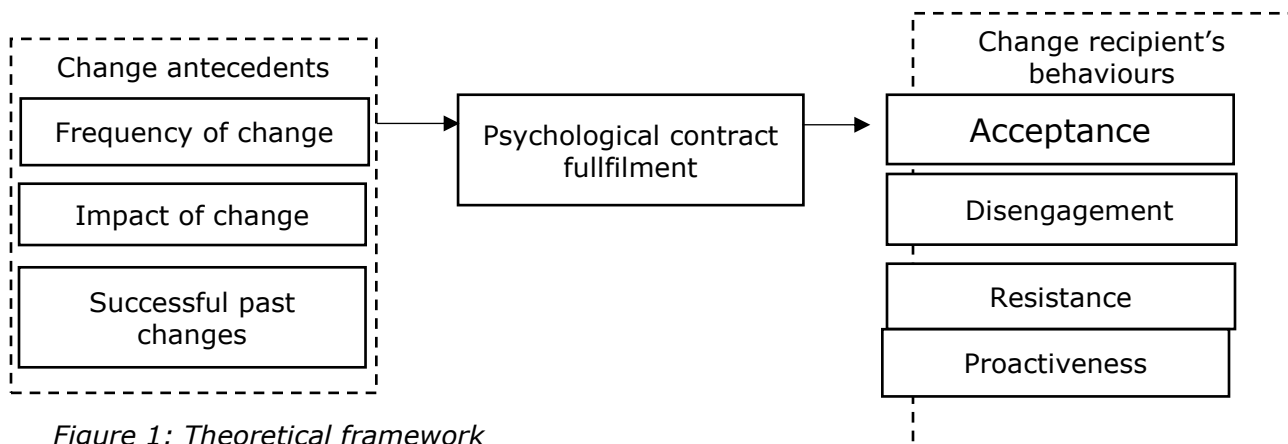


Figure 1: Theoretical framework

3. Proposed research methodology

Data will be collected in two waves through survey questionnaire (from employees of banking sector in Pakistan). The breadth of time period will be six to eight months separated by two stages of transformational changes: during change (initial stage of change implementation) and post-change (after implementation). Purposive sampling technique will be used to invite those employees for survey, who will remain part of both stages. It will further help to identify the contextual factors during change that may play a significant role in evolution of change recipients' behaviours in consecutive periods. Data will be analysed by using multiple regressions analyses and mediation procedures (i.e. PROCESS Macro) recommended by Preacher and Hayes (2007).

4. Implications for HRD practice

Nowadays, transformational changes have become unavoidable part of organisations. Global revolutions such as financial boom and bust, artificial intelligence, eCommerce, bitcoins have totally revamped business life. It becomes challenging for human resource executives to bring

innovative HR solutions and employee's adaptability with them at the same time. The present study will help to identify the likely issues with employees towards change by looking at active, passive, negative, and positive behavioural reactions of change recipients. These behaviours can be improved by offering rigorous training and development programs, and utilisation of human resource in an effective manner. The findings will help managers know the existing inclination of employees beforehand while implementing a new change agenda. The paper is currently in its development stage. The findings of this basic research will be beneficial for human resource development theory and practice. As, it will contribute to the existing literature by examining the variety of change recipients' behavioural reactions towards antecedents of major organisational changes via the mediating role of psychological contract fulfilment.

5. Conclusion

Prior studies have examined the behavioural reactions by collecting cross-sectional data and have not involved multiple waves of data collection. It is important to find the variations in change recipients' reactions over a longitudinal time span (at two different stages of change process). Without knowing the change recipients' behavioural reactions at different stages of change, a change agent cannot execute the change agenda successfully. This study will offer important implications for change agents to understand people issues that may arise along the change process.

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Skills audits: An integrative literature review

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Abstract

Skills audits have been a largely neglected topic within the HRD literature. Yet, research shows that increasing the skill levels of individuals, companies and nations is critical to boosting economic growth and productivity (Illeris 2018). The twin goals of optimising skills and ensuring adequate skills coverage to meet future growth ambitions are vital to improving flexibility and resilience for both organisations and society. The purpose of the paper is to examine the use and prevalence of skills audits to improve individual, organisational and societal outcomes. The paper takes the form of an integrative literature review and analysed literature published between 1990 and 2018 for the keywords "skills audit", "skills assessment", "skills analysis", "skills inventory" and "skills mapping". The paper concludes that skills audits offer organisations the opportunity to better understand their talent pool and align employee skills to organisational outcomes. Likewise, at a societal level, skills audits afford local government the opportunity to map out the geographic dispersion of skills and formulate evidence-based vocational education and training programmes. They encourage discourse on regional development priorities amongst employers, local councils, professional bodies and employment support agencies.

Keywords: Skills Audit, Skills Analysis, Skills Mapping

1. Introduction

The focus of skills policy is often on the supply side – on increasing the stock of available skills through education and training, migration and activation. However, more skills are not necessarily better skills, and the mere existence of skills does not automatically lead to improved economic performance. Making optimal use of existing skills, preventing waste and attrition of skills due to mismatch or lack of use, and encouraging employers to demand higher levels of skill in stagnating regions or sectors are equally important elements of skills policies (OECD, 2011: 19)

Increasing the skill levels of individuals, companies and nations is critical to boosting economic growth and productivity (Illeris, 2018). The twin goals of optimising skills and ensuring adequate skills coverage to meet future growth ambitions are vital to improving flexibility and resilience amongst the population as a whole. It is increasingly recognised that the productive capacity of national economies depends upon the value and quality of human capital and the ability to acquire and upgrade one's skills to meet evolving technological needs.

In an era marked by hyper-globalisation, technological innovation and knowledge-intensive industries, there is an increasing focus on the acquisition, assessment and certification of skills. While Rotfeld (1996, p.416) argues that individuals "want to earn, not learn", it is critical that the skills acquired by individuals are fit for purpose and help individuals achieve their career goals. Research by Deming (2017) highlights the fact that labour markets are increasingly looking for employees with well-developed social skills. He argues that social skills improve communication, reduce coordination costs and allow workers to collaborate more effectively. Similarly, both Jackson et al. (2014) and Fisher (2011) highlight the need for future managers and leaders to develop effective negotiation and influencing skills in

contemporary work environments. In other research, Hanushek et al. (2017) found in a cross-cultural VET study that highly skilled workers were able to adjust more readily to economic change and were more resilient to fluctuating dynamic market conditions.

Skills audits represent an important vehicle for analysing and monitoring skills coverage across organisations and nations and identifying skills gaps and mismatches that exist. In so doing, they provide valuable data on the competitive positioning of organisations and nations and help determine priorities for investment. Skills audits can ensure a systematic and targeted approach to skills development is adopted, enabling more cohesive, practical and valuable outputs to be achieved. They also allow for segmentation of diverse groups looking at skill distribution across categories such as gender, age, race and marital status. A variety of methods for conducting skills audits have been reported in academic and practitioner literature over the years. These include the completion of online self-assessment surveys (Marais and Perkins, 2012) and the engagement of individuals in challenging situations, thereby simultaneously providing opportunities to acquire new knowledge and skills while highlighting inadequacies in current competency levels (McCauley et al., 1995). Schnoeder and Little (2012) focus on the different types of skills that could be audited, recognising the increased focus on softer “art” skills as well as the technical “science” skills that are attractive to employers. Research by Riley (1994) raises the question of the timing of the audit, and whether organisations are auditing their current usage of skills rather than the full portfolio of skills including potential future usage. Riley (1994:13) argues that a more comprehensive method is “tracing skills as they accumulate” rather than when they are utilised within an organisation.

In this integrative literature review, we explore how skill audits are used to develop individuals, enhance organisational performance and improve labour market/ effectiveness. The purpose of the paper is to examine the use and prevalence of skills audits to improve individual, organisational and societal outcomes. The following research questions guided the study:

Research Question 1: What are the individual impacts of skills audits?

Research Question 2: What are the organisational impacts of skills audits?

Research Question 3: How do skills audits influence labour market performance?

2. Methodology

The paper conducts a review, analysis and synthesis of published research on skills audits, which represents an under-researched topic in the HRD literature. This paper may be categorised as an integrative literature review which may be defined as: “a form of research that 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). The authors conducted a series of keyword searches using the following databases: Google Scholar, ABI Inform, Emerald and Science Direct following the guidance provided by Torraco (2005). The terms that were used to perform the keyword searches were “skills audit”, “skills assessment”, “skills analysis”, “skills inventory” and “skills mapping” and the authors restricted the publication timeframe to articles which appeared between 1990 to 2018. Reference lists from these articles were also used to link to other relevant sources. Alongside journal articles, a number of specialist books and government/professional body reports looking at skills audits were reviewed. A total of 21 journal articles were identified arising from this approach and these articles were organised according to level of analysis (i.e. whether skills audits benefit the individual, the organisation or labour market).

3. Skill Audits: A means of developing individuals?

From an individual perspective, developing employability skills has been a critical imperative in uncertain economic times. This increased uncertainty has given rise to the need for individuals to seek opportunities to remain employable at a time of rapid change in the labour

market and skills obsolescence (Kalleberg, 2009). Skills audit help individuals to identify their own strengths, helping them to plan their development journey more effectively. In doing so, they enable individuals to develop tailored action plans which allow for the identification of missing skills and competencies. However, such action plans require individuals to exhibit sufficient self-awareness and metacognition. Skills audits can perform a useful function in boosting levels of self-efficacy, particularly where a strengths-based approach is adopted. When individuals become more aware of their own capabilities as well as the employment opportunities available to them (Stewart and Knowles, 2001), this can powerfully shape career ambitions and development plans. As Marais and Perkins (2012) suggest, getting individuals to outline how others would describe them provides insights for individuals in relation to how they may be perceived by employers. Arising from skills audits, Littlejohn et al. (2012) describe a three-stage enabling process of defining, sequencing and reflecting upon personal goals in order to establish an individual's development needs. They argue that individuals often look to others in their peer group for affirmation in relation to the charting of their development needs. That said, the authors also argue that skills audits are often too narrowly focused on technical competencies and would benefit from incorporating broader individual aspects such as personal motivations, learning relationships/networks and personal goals.

There is increasing research that the skills that facilitate learning such as being able to analyse data, engage in complex problem-solving and build relationships with others are connected to an individual's employability (Marais and Perkins 2012; Fitzgerald 2010). Rahmat et al. (2012) report on the worrying phenomenon of unemployed graduates caused by the twin factors of an oversupply of graduates in the labour market and graduates being unable to fulfil the needs of industry. In response, higher education institutions (HEIs) coming under increasing pressure to boost graduate employability, academic curricula are evolving to ensure that academic knowledge is supplemented with professionally-oriented skills workshops and development opportunities that allow students to enhance their personal capabilities. In other words, universities and HEIs are needing to show that graduates are employment-ready, equipped with not only subject specific skills, but generic skills necessary for employment (Crawford et al., 2001). This supports the view of Harrison (1997) that educational qualifications are insufficient in determining the skill level of graduates as required by organisations when making recruitment decisions, and their lack of inclusion of any job related training and learning within further reinforces this inadequacy. For her part, Kreber (2006) maintains that some academics are convinced that skills audits detract higher education providers from traditional academic enquiry. Likewise, Cranmer (2006) asserts that there is a lack of evidence confirming that skills development in tertiary education institutions enhances graduate workplace performance. However, the UK-based Dearing Report which examined the changes needed in higher education in the UK concluded that (a) students should participate in their own learning, (b) learning and teaching should be enhanced and (c) learning outcomes should reflect employer requirements including general or transferable skills (Dearing, 1997).

As a result, within higher education environments, skills audits have become an important tool to certify the attainment and improvement in graduate attributes – the benefits of which Knight and Yorke (2006) argue will assist individuals, the workforce, the community and the economy as a whole. Skills audits are also used within HEIs as a means of mapping and aligning key skills to government policy and showing compliance with critical employability outcomes. At a micro-level, curriculum designers are now often confined to prescribed templates within which they are expected to indicate which skills are developed, practiced and/or assessed within a particular module (Tariq et al., 2004; Gilbert and Woolf, 1996), however Fraser et al. (2007) note the influence of individuals (module co-ordinators) in this process, highlighting the potential for subjectivity. Additionally, research conducted by Fraser et al. (2007) reveals a number of higher education institutions placing such a degree of importance on the development of transferable skills amongst graduates that they created specific compulsory modules in order to achieve these learning outcomes. According to Harden (2002), this process of producing clearer learning outcomes makes skill acquisition

more intuitive, transparent and user-friendly. A further advantage ascribed by Tariq et al. (2004) is that it showcases skills progression to students and allows them to chart their development throughout the course of their studies. From the perspective of an educator with influence on this process, it is important to note that the timing of the skills audits within higher education is significant. This is due to what Griffen (2007:90) refers to as the provision of “the right support at the right time at the right level” in response to the emerging skills that have been identified. This assistance will enable the fuller development of the students’ skills compared to what they would have been able to achieve on their own.

Several authors have cautioned that skills audits, if they are not carefully constructed, have the potential to discriminate against women in the workplace. Windsor (1991) argues that “women’s work”, although informally acknowledged as skilled often receives lower ranking and status in skill audit terms. She argues that women’s roles are sometimes less clearly defined with female employees often developed through informal, unaccredited training programmes. For their part, the Equality and Human Rights Commission (2018) assert that bias can occur in skills audits when factors such as manual dexterity, communication skills or meeting emotional demands are omitted. Such factors are often assumed to occur naturally or are developed through experience with women and left out of skills audits as a result. In summary, skills audits are considered an important mechanism through which individuals can gain an insight into their own skills and capabilities and set personal goals. They represent an enabling mechanism by which individuals can improve their self-efficacy and develop career plans. Enhancing one’s employability is a valuable outcome arising from skills audits and HEIs are tasked with equipping individuals with both disciplinary skills and more generic skills needed in employment.

4. Skills Audits: A tool for enhancing organisational performance?

To function effectively and efficiently, organisations need to be able to identify and engage individuals with the appropriate skillsets to achieve strategic goals. While debate continues regarding whether universities and HEIs teach content appropriate for practice (indeed, Hunt et al., 1986; Miller, 2002) asserts that educational qualifications are a poor indicator of an individual skill levels), organisations are more concerned about where they can secure employees with the skills and experience who can help deliver tangible organisational outcomes. Indeed, Fraser et al. (2007) go further asserting that there is an increased “demand” by organisations for work-ready graduates who are equipped with the skills and knowledge necessary to benefit the organisation and require minimal further training, particularly in relation to transferable skills.

The prevailing discourse amongst UK organisations which has been promoted by professional bodies (such as the Chartered Institute of Personnel and Development (CIPD) has revolved around the efficacy and desirability of competency frameworks (1998 to 2010 approx.) and talent development initiatives (2010 to date approx.). Talent ID’ing (or talent identification) has become an important role of both operational managers and HR departments as they seek to ensure that organisations have the necessary bundles of knowledge and skills to remain competitive in global markets. Talent-based approaches are viewed as a means of making organisations more resilient to economic challenges and more future-focused in their outlook. Investment in talent practices is also linked to valued organisational outcomes including enhanced job performance, improved talent retention, the development of talent pools and stronger organisational values and attitudes (Chami-Malaeba and Garavan, 2013; Collings and Mellahi, 2009; De Meuse et al., 2009). Documenting the skills of employees is a key task in identifying talent shortages and in prioritising particular training interventions.

Skills audits feed into the HR processes of job design, recruitment and training (Miller, 2002). They can help organisations develop career development pathways for employees, particularly as they have the ability to identify skills within the organisational workforce that are currently unrecognised or unused. Through bench review processes, organisations can identify high potential employees and target such individuals for accelerated development –

particularly focusing on skills that are missing or underdeveloped in their profile. Alignment of the individuals identified as having high potential and their engagement with development through interventions such as “stretch assignments” contributes to current organisational capability (McCauley et al., 1995) and future succession plans. Skill audits also allow organisations to benchmark their skills sets against competitors within a particular industry, boosting an awareness of sectoral changes and emerging skillsets. Benchmarking initiatives, particularly at an individual level often require “skills audit champions” to mobilise participation and ensure adequate sectoral coverage (Ngandu, 2016). Often, such champions take the form of professional bodies, who can incentivise their members to engage in such auditing initiatives. A communication and outreach strategy is often vital to encouraging buy-in and persuading busy executives to take the time to participate in benchmarking initiatives.

Where skills audits are found in private sector organisations, these tend to be within industries such as construction, petro-chemical and engineering, where there is an emphasis on identifying the obsolescence of certain skills and pinpointing the emergence of new skillsets. In this regard, the CIPD (2011) identify a trend of relocating work to global settings possessing a ready supply of appropriately skilled labour – as this will likely improve organisational effectiveness and productivity. Resourcing and business development thus become inextricably linked for many organisations with local capacity to deliver consistent quality performance as an important metric in deciding where firms locate their operations. Skill audits can thus become an important tool in attracting foreign direct investment and reconciling labour demand and supply issues.

Several criticisms have been levelled at skills audits from an organisational perspective. First, skills audits often rely upon self-report measures and focus on personal attributes such as literacy, ICT proficiency, language skills and confidence/assertiveness. This can lead to an overestimation of skill levels as employees sometimes possess an inflated view of their own competence levels. Second, many employers assert that the demands for skill flexibility often runs contrary to the underlying ethos of skills audits. To this end, skills audits rely upon historically acquired skills, whereas competency frameworks often focus on skills that will be needed in the future. Finally, skills audits can be resource-intensive demanding a financial and temporal investment by the organisation. In some cases, operational managers are already overwhelmed with day-to-day tasks and are unwilling and unable to commit fully to engaging with the skills audit (Ngandu, 2016).

In summary, organisations are facing many challenges in ensuring that they can access employees with the skillsets to contribute to organisational performance. Many employers believe that educational qualifications (the “what” of disciplinary knowledge) are a poor substitute for skill acquisition (the “how” of practical application). While skills audits can be aligned with HR processes such as job design, recruitment and training, many organisations have voiced concerns regarding the need for skills audits to become more future-focused and more clearly linked to an organisation's overall strategy.

5. Skills Audits: An instrument to improve labour market effectiveness?

Skills audits perform a useful function as a means of discourse between government agencies and the labour market. They are helpful in framing conversations about future talent needs and the range and types of development needed to meet emergent demand. For many national governments, skills audits and the employability agenda has been propelled by the drive to ensure highly trained graduates gain productive employment. The development of employability profiles has been driven by a combination of governmental interventions and professional body accreditation requirements. To achieve an accurate record of skills attainment, employment support agencies, universities, higher level educational institutions and professional bodies often develop a range of self-assessment grids and skills maps to gauge skills gaps and development priorities. Such tools often prove useful in helping individuals to modify and adjust their curriculum vitae (CVs) or e-portfolios to respond effectively to opportunities in the jobs market.

Traditionally, skills audits have covered skills across six different categories which are widely regarded as highly desirable amongst employers. The fundamental skills category contains a set of foundational skills including literacy, numbers and computer-based skills. The people skills category looks at how individuals relate to others and their ability to build relationships and communicate clear messages. The conceptualisation skills category builds upon an individual's data processing and analysis skills and looks at their ability to make decisions and organise information in a structured manner. The personal skills category examines key individual attributes such as enthusiasm, honesty, loyalty and resilience. The business world skills category examines the business acumen and entrepreneurial abilities of individuals, while the final societal skills category looks at the propensity of individuals to engage in volunteering and community development activities.

Table 1: Types of Skills Examined under Skills Audit Arrangements

Skills Category	Associated Skills
Fundamental Skills	Literacy, Numeracy, Information and Communication Technology skills
People Skills	Communication Skills, Emotional Intelligence, Negotiation Skills, Teamworking Skills, Customer Service Skills
Conceptualisation Skills	Managing Information, Analysis and problem-solving skills, Decision-making skills, Creativity and Innovation skills, Planning and Organisation skills
Personal Skills	Enthusiasm, Time Management, Responsibility, Reliability, Honesty, Loyalty, Coping with Pressure, Resilience,
Business World Skills	Entrepreneurial Skills, Decision-Making Skills, Strategic Analysis Skills, Leadership Skills, Business Acumen
Societal Skills	Community/Citizenship Skills, Sustainability Skills

Source: Adapted from Beaman-Evans et al., 2015)

However, it is recognised that the skills needed to operate in contemporary workplace settings are changing. As skills have become critical to an individual's employability and marketability, it is clear that individuals need to take increasing ownership of the skills required in changing organisational and occupational settings. Littlejohn et al. (2012) maintain that individuals who are looking to acquire skills to adapt to working in smaller, more flexible, distributed, dynamic and technologically-mediated working environments, where work often involves the development, manipulation and creation of knowledge. They argue that individuals are expected to possess the skills needed to operate in ill-defined, non-hierarchical environments, often requiring collaboration and participation in diverse teams operating across geographic boundaries and time zones. The centrality of networks to skill development has become increasingly recognised. The process of creating networks which links individuals, organisations and information sources is a vital part of creating and connecting knowledge (Siemens, 2006). Networks have become an important vehicle for engaging in collaborative activity, exchanging experiences, discussing problems and identifying solutions. Yet, capturing the extent of one's networks does not feature in most skill audit interventions.

The formation of industrial policy is heavily reliant on the identification and development of a relevant and appropriate skills base. The 2010 report from the UK

Commission for Employment and Skills (UKCES) highlighted the devastating effect of the global economic recession on employment prospects amongst the low-skilled and unemployed. Its strategic skills audit identified several skills mismatches caused by skills shortages, underemployment, migration factors and regional skills gaps. They identify three different scenarios which may frame the world and UK economy moving forward and identify fast-growing sectors and skills priorities under each scenario. The report highlights the dynamic, open and fluctuating nature of the UK and world economy, but it also pinpoints economically significant sectors, which should be the focus for investment. Alongside the work of the UKCES, the Skills and Employment Survey (SES) provides valuable time-series data on UK skills, highlighting levels of skill overutilisation and underutilisation in the UK economy (Felstead et al., 2013). For their part, Haughton and Peck (1988) argue that skills audits are helpful in analysing the geographic and regional dispersion of skills allowing for more balanced regional development. They maintain that skills audits are helpful in identifying new areas of skill and new bundles of skills required for particular jobs.

Across the UK, the devolved focus on education and skills has largely focused on how vocational and tertiary educational provision can be enhanced and improved upon. The publication of a series of enhancement themes for Scottish higher education (Mayes, 2013) has aimed to improve educational and skills provision through underlining the importance of employability and preparing students to be employment-ready once they graduate. To this end, considerable efforts and research has focused on identifying, embedding, developing, and assessing key skills and graduate attributes to ease the transitions from education into the workplace (Jackson, 2013).

In summary, skills audits perform an important role in improving labour market effectiveness. They also government agencies to take stock of a society's human capital and explore skills demands within the labour market. For employment support agencies, skills audits are a useful tool in helping individuals build CVs and skill portfolios, allowing them to showcase their range of capabilities to prospective employers. Yet, it is recognised that the skills landscape is changing with individuals needing to work within dynamic networks and technologically advanced working environments. Such environments often require individuals to work across time zones and geographic boundaries in collaborative, multidisciplinary teams, emphasising the need for individuals to display flexibility and adaptability in their approach to work.

6. Conclusion

To work in contemporary organisations, individuals need to acquire a broad range of skills and apply these skills in complex, dynamic workplace settings. It is clear that the development of industry-related skills remains critical to graduate employability and ensuring that highly trained, tertiary educated individuals find gainful employment. In their regard, skills audits continue to perform a number of important roles. Skills audits remain a useful tool to assess skill attainment and progression on university and college programmes, giving individuals a better understanding of their particular strengths and allowing them to develop realistic career plans and goals. From an organisational perspective, skill audits add value where they are strategically linked to job design, recruitment and training initiatives. They are also useful in helping organisations identify skill shortages, particularly if they relate skills outages to future growth areas. In this way, skills audits can support talent management and development initiatives. Finally, skills audits can sustain career counselling and guidance efforts from employment support agencies. In this way, skills audits perform an important vocational role in supporting disadvantaged groups and boosting self-esteem and self-efficacy. Moreover, skills audits encourage greater discourse between employers, professional bodies, HEIs and the government on future skills strategies and how to boost human capital across society as a whole. Table 2 provides a summary of the benefits of skills audits to individuals, organisations and the labour market.

Table 2: Benefits of Skills Audits

Individual	Organisation	Labour Market
<ul style="list-style-type: none"> • Skills audits embrace a strengths-based approach and help individuals plan their development journey. • They help identify skill deficiencies allowing action planning • They improve an individual's level of self-awareness and increase self-efficacy • They help to certify the skill attainment of individuals 	<ul style="list-style-type: none"> • Helps organisations align employees with appropriate skills to organisational outcomes • Improving employee skillsets can improve competitiveness • Skills audits can lead to the development of talent pools and succession planning • They can become an important tool in attracting foreign direct investment 	<ul style="list-style-type: none"> • Skills audits offer a means of discourse on emerging and future skills needs • They help determine labour market priorities • Skills audits help to identify the regional distribution of skills and determine the level of skill mismatches that occur • They help to improve and enhance educational skill provision.

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Artificial Intelligence: Attitudes towards new technology in a human resources function: implications for training and development

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Abstract

This paper explores the attitudes of employees in a company dedicated to strategic recruitment towards the introduction of Artificial Intelligence (AI) into their work processes. The research question is: What are the attitudes of the employees of Global Talent Stream Inc towards the introduction of AI technology, and how could these attitudes be influenced to encourage future acceptance of AI? Data was gathered from employees of the organisation by interview and by survey. The use of AI is a topic attracting increasing interest and speculation, but there is as yet little empirical research on factors affecting its introduction and use. The introduction of AI considerably improved the speed and efficiency of recruitment processes. The research found that those employees who had used the new technology were positive about its effects, indicating that it was easy to use, robust, and highly productive. A proportion of employees who had not, at the time of the research, used the new system, were less sure that it would improve their ability to do their job. Implications for introducing such a system, and for employee training, are discussed.

Keywords: Artificial Intelligence, new technology, employee training

1. Introduction

This paper explores the attitudes of employees in a company dedicated to strategic recruitment towards the introduction of Artificial Intelligence, and discusses the implications of the research for approaches to preparing employees for this kind of technological change, including through training and development.

Technological advances are key drivers for innovation in contemporary organisations, and can revolutionise services, products and processes (Tidd and Bessant, 2018). Developments in technology are shifting the frontiers between the work tasks performed by people and those performed by machines and algorithms (WEF, 2018: vii). 'Artificial Intelligence' (AI) is a term used to describe a range of technologies and functions, but essentially it relates to a computer system's capacity to perform tasks normally requiring human intelligence (Brennen *et al.*, 2018). Technology influences the field of human resources management and has moved from static Enterprise Resource Systems (ERP) to sophisticated AI software that undertakes tasks previously performed by people (Hicks, 2014). A recent global survey indicates that AI and data analysis are two of four top trends affecting the HR functions of recruitment and talent acquisition (Spar and Pletenyuk, 2018)

Recent and rapid technological changes are likely to have a significant impact on the way in which work is undertaken in the future and how organisations make training decisions (Brougham and Haar, 2017; Schwab, 2015). Congdon (2016, p.12) argues: "The challenge with technology in the workplace is making it meaningful to the employee. It should help them cognitively off-load some of the tasks they have to think about today, and leverage new technologies that will be embedded in the physical environment to make their work lives easier and more productive." Mariani *et al.* (2013) suggest that organisations need to develop customised training strategies when introducing new technology, including taking into account age, gender, as well as level of tech-savviness and education.

The use of AI has given rise to a range of debates concerning the future of (human) employment, ethical concerns about action and responsibilities, and proposed policies to mitigate risks (see Hislop *et al.*, 2017, for an overview). Most of these issues are beyond the

scope of this paper. The potential impact on employment was an issue that, it was felt, might impact on this study. Frey and Osborne (2017) predicted that by 2020, approximately 47% of total U.S. employment will be at risk due to automation. Arntz et al. (2016), however, challenge Frey and Osborne's assumptions, and are more optimistic about the impact of new technologies on employment. Montealegre and Cascio (2017, p. 62) also show more optimism, and argue that "history suggests it is a temporary, though painful, shock. As workers adjust their skills and entrepreneurs create opportunities based on the new technologies, the number of jobs will rebound".

There has been little empirical research within the field of talent acquisition on factors affecting the application of new technology such as AI. However, some papers show that the capabilities of cognitive software already support this profession, and aid in finding hidden talents by analysing graphs of interaction (Chwastek, 2017) and by transferring routine tasks to AI, such as application screening or scheduling interviews (Leong, 2018; Spar and Pletenyuk, 2018). Cresswell (2018) argues that AI used for recruitment and selection, as it is in Unilever, can gather and analyse relevant data more quickly and objectively than human recruiters, and can overcome unconscious bias. Preuss (2018) argues that by using AI in recruitment, employers can gain a more holistic view of candidates and their suitability. The research question addressed by this paper is:

What are the attitudes of the employees of Global Talent Stream Inc towards the introduction of AI technology, and how could these attitudes be influenced to encourage future acceptance of AI?

This paper aims to contribute to what is likely to become a growing field of inquiry.

2. Technological change in organisations

Organisational change literature has explored potential reactions of employees to proposed changes, ranging from very positive to very negative, and a variety of reasons for these reactions have been suggested, including: differential assessments of the likely outcomes of the change on the wider organisation; self-interest and politics; responses to the way in which the change is introduced; and psychological, emotional and culture factors (Balogun et al., 2016).

Psychological and cultural factors influencing reactions to technological change may include "technophobia" - an overall anxiety about interactions with computer-related or advanced technology (Khasawneh, 2018) - and "technophilia" - a strong enthusiasm for technological change, especially new technologies (Martínez-Córcoles, et al., 2017). Psychological and emotional reactions have also been linked to age: older employees are thought less likely to trust radically new technologies (Knowles and Hanson, 2018).

The issue of resistance or adoption of a new technology is the focus of Davis's (1985) Technology Acceptance Model (TAM) and the development of the model (TAM2) by Venkatesh and Davis, (2000), which propose a series of factors that will influence an individual's intention to use a new technology. The factors include the perceived value and the perceived ease of use of the technology, and perceptions of the attitudes of management and colleagues towards the change. The models have been used, sometimes with further elaborations, in settings such as education and medicine (Briz-Ponce, et al., 2017) and law enforcement (Lindsay, Jackson and Cooke, 2011; Watt et al., 2019).

A long-established framework for analysing the dynamics of acceptance of, or resistance to, a change is field theory, and its application through the force-field analysis model, first put forward by Lewin (1947). In many situations a quasi-stationary equilibrium exists, a balance between forces that drive for a particular change and forces that resist it (Hayes, 2018). An analysis of these forces can lead to an understanding of how a change can be achieved, by reducing the resisting forces or by increasing the drivers. This framework was used to organise the data gathered in this study.

3. Research methodology

This is a case study of reactions of employees of a single organisation towards the introduction of AI. Global Talent Stream Inc (GTSI) [not the real name of the company] is a leading strategic Recruitment Process Outsourcing organisation. It has introduced AI into some of its high volume recruitment activities, and plans to apply AI more widely in future. The responsibilities of the recruiters will increasingly be to assist candidates through an initial application and assessment phase performed by AI, which was previously conducted by the recruiters themselves.

To gather information on attitudes to AI, and to technology more generally, interviews were carried out with seven employees currently using the AI system, and questionnaires were then sent to over 200 employees who had not (at that time) used the AI system, but who might be expected to do so in future. Before any respondents were contacted, research ethics approval was sought and obtained from the university with which the authors are associated.

The interviews were semi-structured, to enable a rich and dynamic exploration of experiences and perceptions (Bryman, 2016). A certain degree of structure was provided by asking core questions with the same wording, in order to aid with later coding. A pilot interview was conducted with a senior executive working in the field of talent acquisition in a different organisation, who was also involved in AI technology projects, and amendments were made as a result to the interview schedule and to the preliminary information for participants.

A senior manager within the company, who had led the introduction of the new technology and was its ongoing sponsor, proposed seven suitable interviewees to engage in the research. Discussion with the manager ensured that the sample of interviewees contained a variety of skills, backgrounds and experiences in working in the recruitment business and with the new technology. This executive also provided information about key processes in implementing the project.

Interviews were recorded, transcribed, and then coded using thematic analysis (Braun and Clarke, 2013). The coding process was supported by using a Qualitative Data Analysis Software (QDA Miner Lite) for the sake of easy comparison. The questionnaire was structured in four sections to gather data on:

- (1) An individual's usage of technologies such as email, instant messaging, social media, voice over internet programmes, internet shopping and smart speakers
- (2) An individual's attitudes towards new information and communications technology
- (3) An individual's perceptions of the efficiency of traditional recruitment software (not associated with AI)
- (4) An individual's attitude towards the new AI technology in the company

The end of the survey offered a box for additional comments, to allow the respondents to freely express their ideas or recommendations about what an organisation should do when introducing new technology to their workforce.

Demographic data on age was also gathered. The development of the questionnaire was based on:

- a) Observations and reflections stemming from the interviews that might be perceived similarly (or differently) by the larger group of respondents to the survey
- b) A literature review of different conceptualisations of technophobia and technophilia, including the Martínez-Córcoles *et al.*'s (2017) questionnaire
- c) A critical examination of the literature and questionnaires around TAM1 and TAM2

A pilot of the questionnaire was tested with three respondents, and the survey was amended following their feedback. The questionnaire was administered online, using Qualtrics. An email invitation was sent to 256 employees by two senior executives of the

company; the invitation provided a link to the survey, and information about the purpose of the research, its duration and the assurance of the respondents' confidentiality and anonymity. At the close of the survey, 109 completed questionnaires were returned. Responses to the survey were analysed using descriptive statistics, with thematic analysis applied to the answers to the open question.

The research philosophy adopted by this study is an ontology of constructionism and an epistemology of interpretivism. We are primarily interested in the perceptions of respondents regarding the use of the new technology, and whilst some of the data gathered has been analysed quantitatively, it is essentially data about perceptions and therefore can be embraced within an interpretivist paradigm (Bryman, 2016).

4. Findings

Approximately 12 months before the field research for this study was carried out, Global Talent Stream Inc (GTSI) had introduced AI into some of its high volume recruitment activities (defined as recruiting several thousand candidates per year for one client). The introduction of AI had significantly reduced the time taken to process each individual application to the scheduled interview with a hiring manager, from up to two weeks, when many of the processes were carried out manually, to an average of seven minutes when using AI. In the traditional recruitment process, most of the work is accomplished via an Applicant Tracking System (ATS), which needs to be facilitated by a human operator to process the data, make decisions and move data between systems. With the AI system, many of these functions are taken over by technology, including assessing applications and deciding whether to arrange an interview, and consequently they can be carried out much more quickly (Hislop et al., 2017). This speed can have an impact on the effectiveness of the recruitment process in a competitive market; as one interviewee said: "...it's really cool that a candidate can apply and schedule the same day essentially..., so we're able to get those offers in that candidate's hand before they have a chance to go to another interview or go look for another job."

An issue that can affect (either positively or negatively) attitudes towards a change is the way in which the change is introduced to those affected by it. In this case, the senior manager who led on the project said that AI was introduced in a pilot to staff members and clients as "a technology-first way of recruiting" and they were told that they would be on the "cutting edge of something new and exciting". The senior manager said: "We wanted people that were flexible and up for something new".

The leader of the team that would undertake the pilot was involved in the process from the point where GTSI had designed and built the technology and were working to engage their first client to use it. She was then fully occupied in making the system work. The remainder of the pilot team were enrolled on or after the first implementation phase, either being hired new to GTSI, or transferring in from other teams. The team members for the first client had a week's training before the system went live. Preparation for working with the first client took place over three months – which included agreeing processes and integrating systems. The project manager said: "There were certainly some sceptics and the key stakeholder was very nervous for the first day". However, at the end of the first day the feedback was "overwhelmingly positive", with many applicants progressed to interviews: "it felt like we were all aligned, that we were working out the kinks of something that was going to be tremendously successful".

The ways in which the AI was introduced were likely to have had an effect on the reactions of staff towards it. The involvement of the team leader from an early stage was likely to have had a beneficial effect on the practical design and functionality of the system, and perhaps encouraged acceptance by the other members of the team. However, other than issues of training in the use of the system, the manner of the technology's introduction was not raised by interviewees or by respondents to the survey.

Taking the data from the interviews and the questionnaires together, three main factors emerged as supporting the willing adoption of the new technology:

- Increase in efficiency due to the support of the technology
- Demonstrable performance and quality of the technology
- The simplicity and intuitiveness of the technology

Some concerns – which can be considered as potential resisting factors to the change were raised:

- Some concerns about the ability of the technology to assess applicants accurately
- Some difficulties with acceptance of the technology by hiring managers (ie the clients) and by some applicants

The survey sought to discover whether there might be a link between acceptance of the AI system and the extent to which respondents were frequent users of new technology (which we referred to as “tech-savviness”), and also whether there might be a link between acceptance of AI and the age of the respondent. However, as we describe below, these were not significant factors.

4.1 Supporting factors

4.1.1 Increased efficiency

An obvious benefit of the new technology was its increased efficiency. As noted above, the time taken to process an individual application could be reduced significantly, from days to minutes. This translates into a potential to process larger numbers of applicants. As one interviewee said: “... since October 2017, the hiring managers that we're working with... have extended over 10,000 offers. So, for a recruiter to speak with let's say 20,000 or 30,000 to get those 10,000 offers - there's just no way it can be done.” Another said: “I don't know if we'd be able to get through our work during the day just because there are just so many candidates that we had to get through..., there's no way that a person probably would be able to get through the amount of work”. This success is dependent on the quality of the technology. One interviewee, who had experience of other recruitment software said: “that [system] only held about 2,000 applicants and then, once it had more, it started working slow or broke..., this new system, we've had almost like 50,000 and it [works] so well...[that's] one of the most impressive things”. Respondents to the survey were asked their reaction to the statement ‘Using this technology would make it easier to do my job’: 64% agreed or strongly agreed, 28% were neutral, and 8% disagreed or strongly disagreed.

4.1.2 Performance and quality

Interviewees in this study also received feedback from hiring managers (ie the clients) about the quality of the candidates that the new system produced. This was put down to two factors: the larger pool of available candidates, which provided clients with more scope for selection, and the online EI (Emotional Intelligence) assessment included during the application process, which filtered out candidates who might possess the relevant job skills, but did not match the required EI level defined by the client. One interviewee said: “...they're getting some other great candidates that they would not have normally reached.” Another said: “You could have someone answer behavioural questions in a personal assessment fantastic but they might really end up stinking at their job (chuckles) you just don't know. So I think candidates feel more comfortable with the technology driven assessment... because some people do get nervous [in a personal assessment]. And I don't think somebody getting nervous means that they're going to do a bad job, it's just their nature”.

In this respect, the hiring managers, and the recruitment team members, appeared to agree with the sentiments of commentators such as Cresswell (2018) and Preuss (2018), that

this technology in recruitment can be seen as an enabler of more job opportunities for hidden talents, as the algorithm purely matches data which is relevant for the position. However, some concerns were also raised about quality, as discussed below.

Those who returned the survey (who at the time of replying had not yet used the AI technology) responded to the statement 'Using this technology would improve my job performance', with 50% agreeing or strongly agreeing, 37% remaining neutral, and 12% disagreeing or strongly disagreeing. In response to the statement 'I believe this new technology could improve the quality of candidates that I deliver', 46% agreed or strongly agreed, 35% were neutral and 19% disagreed or strongly disagreed. The relatively high proportions of respondents who neither agreed nor disagreed with these statements indicates some uncertainty about their evaluation of the system's quality of results.

4.1.3 Ease of use

All the interviewees found the new technology simple and easy to use. The training that was provided varied depending on when each individual joined the team. Four interviewees were part of the team from the outset of the programme, and they were provided with a week's training to learn its different features from a recruiter's and candidate's perspective. The remaining interviewees joined the programme later, and they received a short introduction, but then learned how to use it as they went on.

Interviewees had different perceptions about the training that might be required to enable someone to use the system. For example, one said: "For someone who's not coming from an industry of recruiting or talent acquisition, it takes them about four to five days to learn the system and learn the process before they're able to go live...". While another said: "From my point of view being in talent acquisition for as long as I have, working in so many ATS systems, for me, the system was very easy. ...I think maybe a day clunking around then I felt pretty comfortable....". A third said: "At the beginning, there was really no, like, a set in stone way of how to do it, I just kind of learned it. I can catch on and think pretty quickly, so I picked it up right away and kind of rolled with it."

According to Mariani et al. (2013), it is important for organisations to consider different learning strategies when they offer training opportunities during the implementation of new technology. They argue that those training programmes need to acknowledge the different age, gender or level of technology experience the person possesses in order to achieve a higher adoption rate.

This issue of the impact of age and general "tech-savviness" on attitude towards adopting the technology was pursued as part of this research. Part of the survey attempted to assess whether respondents were more or less "tech-savvy" in terms of the frequency of their use of general information technology. A comparison of the answers to certain questions of the "more tech-savvy" (47 respondents) and the "less tech-savvy" (62 respondents) showed no statistically significant differences, however – for example, responses to the statement 'I am rarely worried that I will be overwhelmed by new technology' showed very similar profiles for each group (overall 68% agreed or strongly agreed, 14% were neutral, and 18% disagreed).

In regard to age, one interviewee said: "... for someone who is maybe older than me [i.e. about 20 years of age] and who maybe wasn't that experienced in that kind of field... I think they'd have a harder time understanding the concept of it. ...it's definitely generational." A qualitative response to the survey said: "Tailor the introduction of any new technology based on the overall/average age/experience level of the audience". In reply to a survey statement, 67% of respondents expressed the view that acceptance of new technology is influenced by age (i.e. older people are less likely to accept and trust new technology). This aligns with Knowles's and Hansons's (2018) argument that younger generations are likely to adapt faster to new technologies rather than older generations. However, there was no statistically significant difference between the attitudes expressed by respondents of different age groups to survey questions about how quickly, easily or completely they adapted to new technology.

Arguably, however, the above data should be treated with some caution. Khasawneh (2017) argues that even when people feel that they can cope well with new technology, changes in technology are often faster than the cognitive abilities of a human to learn or adapt to it. As a result, this will create a gap between individuals' skills and the technology that is introduced, which might be associated with technophobia. McClure (2018, p. 139) stresses that: "Few scholars, however, have examined the possibility that a large segment of the population is apprehensive about the quick pace of technological change and encroachment into modern life".

The findings that we can take from this study regarding ease of use are: in this case, the simplicity and intuitiveness of the system was a key factor in enabling its adoption; that different users may benefit from different approaches to training and learning to use the new system; and that we should be wary about associating the need for more training with certain age-ranges – despite the expressed beliefs of respondents in this study.

4.2 Potential resisting factors

In this case, at the time of the research, there appeared to be little actual resistance to the introduction of the technology. The senior project manager had indicated that there had been some scepticism about the new system before it was put into operation, but that this had been dispelled by the results it achieved. However, some of the responses from the survey indicate doubts about the system that might lead to resistance, and some challenges were experienced in relation to reactions from stakeholders outside the implementation team.

4.2.1 Accuracy of assessment

Although some interviewees expressed confidence in the capability of the technology to assess candidates accurately against the criteria specified by the client, as discussed above, some concerns were expressed that candidates might learn to fool the system. As one interviewee said: "...they might lie in their questions saying that they have qualifications when they don't, and it is very hard to weed or pull out those that are qualified or unqualified for the position". Another said parts of the process "...are reliant on the candidate being truthful and if they're not, they can clearly get past that". This raised an issue about whether the results of the system could be trusted. In the survey, in response to the statement 'I wouldn't trust the outputs of this technology', 43% said they disagreed or strongly disagreed, 41% neither agreed nor disagreed, and 16% agreed. Thus a larger proportion were inclined to trust the technology than were distrustful, but a high percentage of respondents were unsure about whether to trust it or not.

4.2.2. Acceptance by other stakeholders

Some difficulties were reported concerning acceptance of the new technology by hiring managers (i.e. the clients) and by some applicants. Some interviewees observed that the speed of the process cast doubts in the minds of some candidates, who were surprised by how quickly after their application they were asked to undertake an interview, without even uploading a résumé. As one interviewee said: "When we first started it was not uncommon that candidates will call us just checking to make sure we're real. ...their feedback is: 'This is almost too good to be true. We just wanted to make sure it wasn't a scam.'"

There was also resistance from some hiring managers, who needed to change their expectations and behaviours. Some of these concerned changes to processes, others were simple adjustments to the technology. As one interviewee said: "Hiring managers like to print paper copies [of] résumés prior to the interview, but people don't have résumés anymore. ... It was truly having the comfort of what they were used to, holding that paper in their hand prior to the interview." This interviewee added: "Even training the hiring managers to use an email calendar, in some cases was a really big deal". Another said: "You can't use the technology in Explorer... you have to use Chrome and I think that some of the hiring manager sometimes ignore that and use the one they're used to. So when they're navigating with the

new system, they kind of have a hard time with it because they forget then you have to go into Chrome.”

4.3 The place of the human element

It was anticipated by the researchers that there may be concerns that AI technology would replace human involvement in the process, and that people would fear for their jobs. This issue was explored in the research, but was not expressed as a concern by most respondents. The majority of interviewees were confident that there would always be a need for the human element in the recruitment and selection process, if not for high volume recruitment to low skill jobs, then certainly for higher-level positions. As one interviewee said: “I think it depends. So when it comes to entry-level, high volume repetition, I don't see a role for a recruiter. But I think that we're always going to need recruiters for very specialised, very niche jobs. ...I see the future of high-level specialty roles, this technology being paired with a recruiter... But honestly, it will never replace that true human interaction.” It did not appear that any of the interviewees (who all had direct experience of the system) were deeply concerned about their jobs becoming obsolete, perhaps because technology will inevitably change the global workforce. Respondents to the survey were asked to react to the statement ‘New technology is making the jobs done by humans less important’: 61% disagreed or strongly disagreed, 18% were neutral, and 21% agreed.

5. Implications for training and development

As they adopt new technologies, organisations need to analyse and rethink their work processes and current skill sets, and must develop strategies to fill knowledge gaps by providing training or re-skilling their employees (Mariani et al., 2013). On the basis of the experience within GTSI, it would seem appropriate to design a range of different training provision for operators, who can draw on it based on their needs, and to seek feedback from the trainees to constantly improve the training process. This research indicated that it appears unwise to assume that age will have an impact on training needs. This case shows that thorough briefing and training are also needed for clients (the hiring managers) so that they can use the system confidently and competently. In this study, the increased efficiency gained through the use of AI was obvious, but there were mixed views about the quality of the assessments of candidates. There is thus a case for monitoring outcomes and – if these are positive – building information about accuracy and effectiveness into any training for operators new to the system, in order to address any doubts and concerns they may have about this issue. Training should include information on the benefits and challenges that come along with the technological change, and also provide the opportunity for employees to give feedback after implementation, to use first-hand knowledge to improve the change process, the training, and the technology.

6. Conclusions

In this study, the introduction of AI into a high-volume recruitment process resulted in significant improvements in efficiency and productivity. The successful introduction of the new technology could be attributed to: the design of a robust system with a simple and intuitive interface; careful planning of a pilot project with a major client; involving the team leader of the pilot from an early stage in the process; enrolling individuals to the team to implement the pilot who were seen to be flexible and open to innovation; and providing suitable training for the pilot team. The research explored whether reactions to the new technology were influenced by the age of the respondents, or by their general “tech-savviness”, but could find no significant relationship between these factors. On the basis of this study, training in the use of such technology should be flexible, so that trainees can access it according to their individual needs. Training should be provided for clients, and to equip operators to work with clients who may be challenged by the change in technology. Training should also address, where possible, doubts that trainees may have about the effectiveness of the system. This is

a case study, using a relatively small sample, and these findings cannot be generalised to recruitment functions elsewhere. However the implications of the findings in GTSI can give rise to recommendations for how the use of AI can be spread inside that organisation, both in terms of managing the change overall and in terms of designing and providing training, and these recommendations may be of value to other organisations. Further research on other examples of the introduction of AI into recruitment systems should be undertaken to see if the findings at GTSI are replicated elsewhere.

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Fostering Curiosity for Creativity and Innovation

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Abstract

Driven by the rapid pace of globalization and technological advancements, organisations are paying increased attention to the potential for creativity and innovation of their employees and are looking for learning and development programs that could foster these precious attributes and processes. Over the last 50 years, the quest for understanding these constructs has led to their connection to curiosity. The purpose of this conceptual paper is to explore the unfolding relationship between curiosity, creativity, and innovation and to discuss ways in which curiosity can be fostered in organisations to enhance creativity and innovation. Findings show a variety of ways that curiosity is related to creativity and innovations including as a motivational mechanism for creativity and as a way of developing Organisational innovation, and ways to foster curiosity. Findings also showed the need for HRD research to understand curiosity and its nurturing in adults, and its implications for organisations.

Keywords: curiosity, creativity, innovation, global organisations, global workplace, human resource development

1. Introduction

Driven by the rapid pace of globalization and technological advancements, organisations are paying increased attention to the potential for creativity and innovation of their employees and are looking for learning and development programs that could foster these precious attributes and processes. Over the last 50 years, the quest for understanding these constructs has led to their connection to curiosity (Celick et al., 2016; Danseco, 2013; Jones, 1964; Sundgren and Styhre, 2003).

In popular management literature such as Forbes, Harvard Business Review, and MIT Sloan Management Review, there is no shortage of references to the value of curiosity in organisations (Anderson, 2016; Kashdan, 2015; Matzler, Bailom and Mooradian, 2007; Trivedi, 2017). In the scholarly literature, curiosity has also gained interest as a concept related to leadership and workplace learning, creativity, innovation, career adaptability, and global leadership potential (Cseh, Davis and Khilji, 2013; McIntyre, Harvey and Moeller, 2012; Stone, 1981; Zhang and Kitalong, 2015). Curiosity is related to the love of, and passion for, learning, a desire to know, an appetite and thirst for knowledge, and an interest leading to inquiry (Hill and McGinnis, 2007). It is also viewed as a 'positive psychological vital sign that motivates exploratory behaviour, which may contribute to resolving problems' (Speilberger and Reheiser, 2009, p.294), and a 'temporary motivational state that stimulates information and knowledge seeking' (Reio and Wiswell, 2000, p.6). Despite the existence of literature demonstrating the connection of curiosity with creativity and innovation, curiosity has often been ignored as an integral aspect to them (Chang and Shih in press).

In the seminal article 'An Overview of Innovation,' Kline and Rosenberg (1986) write that 'the central dimension that organizes innovation, if there is one, is uncertainty' (295). The authors present their model for innovation that involves five continuous and interconnected elements: potential market, analytic design, detailed design and testing, redesign and production, and distribution and marketing (Kline and Rosenberg 1986). The key to this model is that these elements do not function in a linear way but continually interact

and affect one another in the hopes of creating something completely new and of value to stakeholders. As a result of seeking something new in our complex and ever-changing world, innovation necessarily involves high levels of uncertainty. Missing from this model, however, is the mindset needed to embrace this uncertainty and seek out new ways of thinking and doing, which we argue is driven by curiosity.

Similarly, in the MIT Sloan Management Review's 'Glossary of Established Drivers of Innovation,' shared understanding, welcoming diversity of ideas, and having high levels of social interaction are all listed as drivers of innovation (Birkinshaw, Bouquet and Baroux, 2011, p.3). This glossary also mentions the need for 'timeout' from normal routines (Birkinshaw et al., 2011, p.3). Yet again, missing from these discussions is the inextricable connection between curiosity and these drivers. While curiosity is often missing from or mentioned in passing in the innovation and creativity literature, there are scholars such as Nowotny (2008) who reflect at length on the importance of curiosity for innovation. In her MIT Press monograph 'Insatiable Curiosity: Innovation in a Fragile Future' she writes, 'With questions and gestures more spontaneous than goal-oriented, curiosity explores what it does not know yet and what seems interesting and worth knowing, often for reasons it cannot name' (3).

2. Study aim and research questions

Given the importance of curiosity for HRD professionals responsible for creating learning environments where questioning, reflection, dialogue, and meaning making are supported, encouraged, and rewarded, in order to foster creativity, and innovation, the purpose of this conceptual paper is (1) to explore the unfolding relationship between curiosity, creativity, and innovation and (2) to discuss ways in which curiosity can be fostered in organisations to enhance creativity and innovation.

RQ1 - What are the relationships between curiosity, creativity and innovation?

RQ2 - How can curiosity be fostered to enhance creativity and innovation?

3. Methodology

To accomplish the purpose of this study and address its research questions, this paper presents a review of the literature on curiosity, creativity, and innovation based on searches conducted with the combination of the terms curiosity, creativity, innovation, foster*, develop*, train*, facilitat*, workplace, organisations* in peer-reviewed journals. The review spanned a variety of disciplines and fields of study including Organisational studies, management, human resource development, psychology, education, computer science, cognitive science, and economics. No time limits were imposed on the literature searches and only English language articles were reviewed.

4. Conceptualizations of curiosity

Curiosity entered the literature under the purview of education and was first represented as a motivational state to learn (Arnold, 1910; Dewey, 1913). This conceptualization expanded with Berlyne's (1954; 1978) categorization of curiosity as a two-factor construct: specific exploration and diversive exploration. In this conceptualization, specific exploration refers to genuinely seeking out knowledge and experience with a particular phenomenon and activity, whereas diversive exploration refers to looking for various sources of challenge and play (Berlyne, 1978). Berlyne (1978) expanded on this conceptualization to include perceptual, which is driven by 'uncertainty-relieving perceptions,' and epistemic curiosity, which is driven by a 'quest for knowledge' (p.98).

Perhaps the most dominant conceptualization of curiosity in the literature today, especially in research on adults, is the state-trait conceptualization (Boyle, 1989; Spielberger and Starr, 1994). Boyle (1989) understood curiosity as a state in which one experiences curiosity and as a trait, i.e. 'individual differences in the capacity to experience curiosity'

(p.176). Silvia (2008) points out, however, that not much should be made of the distinction between state and trait curiosity as those with trait curiosity will necessarily experience state curiosity and vice versa. According to the author, in disciplines such as psychology, there is an assumption that state and trait curiosity are virtually indistinguishable phenomena. In an exploration of state-trait curiosity, Litman and Silvia (2006) used factor analysis to identify two distinct but highly correlated factors to curiosity, i.e. as an experience of wanting to know something out of interest and an experience of wanting to know something out of a sense of deprivation.

There are other ways of conceptualizing curiosity that are relevant to the purposes of this study. These includes Reio and Wiswell's (2006) three-factor model of curiosity, which is comprised of cognitive curiosity, i.e. an interest to learn new information important for one's life, 'physical thrill seeking' and 'social thrill seeking' the latter two of which describe 'the need for new, diverse, intense, and complex physical and social sensations and experiences' (p. 132). While the purpose of this paper is not to elucidate the various conceptualizations of curiosity and their evolution in the literature (for such analysis see Chang and Shih in press; Kashdan and Silvia 2009; Reio and Wiswell 2006), the authors put forth the following explanation of curiosity as a good starting point before endeavouring to explain the connection among curiosity, creativity, and innovation:

Curiosity can be defined as the recognition, pursuit, and intense desire to explore novel, challenging, and uncertain events. When curious, we are fully aware and receptive to whatever exists and might happen in the present moment. Curiosity motivates people to act and think in new ways and investigate, be immersed, and learn about whatever is the immediate interesting target of their attention (Kashdan and Silvia, 2009, p.368).

5. The relationship between curiosity, creativity and innovation

In the reviewed literature, the connection between curiosity, creativity, and innovation occurred in a variety of ways. At times, curiosity was mentioned only tangentially and/or abstractly in relation to creativity and innovation. For example, in the article 'Creating a climate for innovation,' Humble and Jones (1989) recognize the difficulty in tracing the roots of innovation in organisations of all kinds. While an innovative Organisational culture occurs within a complex system, in the end, they argue that 'curiosity within the originating person' is ultimately what leads to innovation rather than merely 'financial need' or 'market intelligence' (p.49). Despite this recognition of the importance of curiosity for innovation, no further explanation was provided. Similarly, curiosity's importance for innovation was mentioned only tangentially in the field of marketing with curiosity being one of three 'interrelated design catalysts' along with creativity and courage that leads to innovation (Windahl, 2017, p.287). Despite calling curiosity and creativity as interrelated catalysts for innovation in marketing, Windahl (2017) gave no explanation for how these constructs relate to one another. In a paper on the thinking required for marketing, Hill and McGinnis (2007) note that curiosity is an integral aspect to the act of questioning, which is involved in critical thinking, reflective thinking, and creative thinking. This tangential comment was common in the literature and represents a common assertion that there is something important about curiosity that connects to creativity and innovation but that it is often difficult to name the way in which this relationship occurs.

There were also several empirical studies that offered more concrete attempts to demonstrate the connection between curiosity, creativity, and innovation. For example, Hagtvedt et al. (2018) found that there is support for a causal relationship between specific curiosity and creativity in a study of undergraduates entrusted with various idea generation tasks. The authors concluded that, '[s]pecific curiosity drives individuals to engage in greater idea linking, and through this focused yet exploratory process, individuals who are experiencing specific curiosity tend to generate ideas that are more creative than those of individuals who are not experiencing specific curiosity' (p.9). This shows a more concrete

connection between curiosity and creativity by discussing the role that curiosity plays in learning and idea generation. In a study of trait curiosity, creative self-efficacy, and creative personal identity, Karwowski (2012) found high levels of correlation with these constructs sharing 60% of common variance. In a quantitative study of innovativeness and entrepreneurial curiosity, i.e. the experience of interest in novelty related to competitive advantage, Peljko et al. (2016) looked at over 300 entrepreneurs in Slovenia and the United States and found that higher levels of entrepreneurial curiosity were related to higher levels of innovativeness. And in a qualitative study of creativity in the pharmaceutical industry, curiosity was described by several participants as an integral part of intrinsic motivation to learn, and it was one of nine themes that emerged from this study (Sundgren and Styhre, 2003).

When analysing the 'social and contextual factors that can foster or hinder creativity,' Shalley and Gilson (2004) write that curiosity is one of the individual-level factors that fosters creativity (p. 33). They also see it connected to interpersonal-level factors contributing to creativity for its connection to social learning. Curiosity also showed up in the ways scholars measure creativity. For example, in an article that reviewed the measures for creativity, curiosity was found in assessments such as the Life Experience Inventory, the Group Inventory for Finding Interests, and an inventory titled, How Do You Really Feel About Yourself (Cropley, 2000).

There are also several models that incorporate some type of curiosity related to creativity, and/or innovation. Chang and Shih (in press) offer a model where work curiosity (i.e., state-trait, epistemic and perceptual curiosity together with curiosity and exploration trait) is presented as a 'motivational mechanism' that precedes cognitive processes necessary for creative performance. Hargadon and Bechky (2006) noted that one emerging area of curiosity research looks at the extent to which the social element influences the expression of curiosity. Related to this social element, Kashdan and Silvia (2009) write, '[p]eople with greater curiosity are more receptive to the ambiguity of social activity, and they enjoy growth opportunities as a function of sharing novel events with other people and discovering new information from them' (p.370). In their model, Harrison and Dissinger (2017) found that 'curiosity helps catalyze the feedback-seeking process and it helps creative workers be even more responsive to pliable guidance in the feedback they receive' (p. 2065). A third model relevant to these constructs integrates curiosity into Kolb's (1984) experiential learning model (McIntyre, Harvey and Moeller, 2012). In this model, the two types of curiosity (i.e., curiosity about things and curiosity about people) is connected to the type of knowledge created (i.e., tacit and explicit). The connection between curiosity and innovation is made by expressing that curiosity is a core aspect of Organisational learning, which is integral to Organisational innovation (McIntyre et al., 2012). As people's curiosity stimulates them to learn more about various things, they generate knowledge, and when their curiosity stimulates them to learn about people, this allows them to share their knowledge and learn from others. Both of these processes are important for innovation at the Organisational level. Although there is a need for further studying the relationship between curiosity and creativity/innovation, the reviewed literature alluded to and in some case demonstrated that there is relationship between these constructs. Therefore, since human resource development (HRD) professionals are tasked with facilitating learning in organisations to increase creativity and innovation and contribute to the competitiveness of their organisations, it is important to consider ways to foster curiosity.

6. Fostering curiosity

Both research and practice show that curious employees are more likely to generate creative ideas and contribute to innovation in the workplace (Celick et al., 2016; Kashdan, 2015). According to Amabile and Pratt (2016), employees with strong work curiosity achieve this by collecting not only domain-relevant knowledge but also varied knowledge that is not directly related to their domain. Therefore, while thinking about ways to foster curiosity, it is critical to keep two perspectives in mind: (1) finding what employees are really curious about and

foster it (domain-specific), and (2) use a systems thinking perspective to foster curiosity about various things and help employees see connections among those various elements and eventually lead to creativity and innovation.

Discussion of specific vs. diversive curiosity is also tied to convergent and divergent thinking and their role in producing creative ideas. While some authors such as Rickards (1994) emphasized the role of convergent as well as divergent thinking as a means to creativity and innovation, Schweizer (2006) highlighted the divergent thinking and its role in creativity by emphasizing the importance of connecting previously unconnected elements with each other in order to find something new and become creative. Still, in many organisations there is a lack of focus on encouraging and developing diversive curiosity. According to the results of the 2017 employee benefits report prepared by the Society for Human Resource Management's (SHRM), only 44% of organisations care about developing their employees' cross-functional skills and offering training for that (Gino, 2018). As expressed by Anthony (2014), one way to foster curiosity and become curious about different things is to adopt 'a beginner's mind,' which is the act of intentionally putting oneself in unusual situations such as learning a new language or musical instrument. Translating this to the context of the workplace could include volunteering for a new product launch or taking an assignment in a different department.

The most important thing to do to foster creativity in organisations is to create a workplace environment that is conducive to curiosity (Chang and Shih, in press). Unfortunately, many workplaces around the world have little tolerance for failure and focus almost exclusively on celebrating success (Tahirsylaj, 2012). According to Kashdan (2015), a survey collected from people working in 16 diverse industries reveals that while 65% of employees considered curiosity a critical element for workplace innovation, 60% of those workers felt that their job duties and work environment did not allow them enough time and opportunity to pursue their curiosity and come up with new ideas. Therefore, one of the critical elements of a fear-free environment is to give employees enough time and resources to explore their interests without worrying about a pre-determined goal or end product (McLean 2005).

In her *Harvard Business Review* article on curiosity, Gino (2018) sheds light on this topic and describes a potential barrier which stands in front of the culture of open exploration. In a survey of 520 chief learning officers and chief talent development officers, the author found that leaders are usually concerned that allowing employees to follow their curiosity and interest will cost money as well as management chaos to the organisations. Their main concern was that this will lead to disagreements among employees and management, slow down execution, and eventually harm the business. On the other hand, the author presents the case of Olivetti, Italy's first typewriter factory that allows and inspires employees' curiosity. She provides the following instructive anecdote:

In the 1930s some employees caught a coworker leaving the factory with a bag full of iron pieces and machinery. They accused him of stealing and asked the company to fire him. The worker told the CEO, Adriano Olivetti, that he was taking the parts home to work on a new machine over the weekend because he didn't have time while performing his regular job. Instead of firing him, Olivetti gave him time to create the machine and charged him with overseeing its production. The result was Divisumma, the first electronic calculator. Divisumma sold well worldwide in the 1950s and 1960s, and Olivetti promoted the worker to technical director.

This story elucidates the idea that fostering curiosity requires creating an Organisational culture that gives individuals space to explore their interests. Kelly and Littman (2001) add that an individual's creativity 'can flourish if you spawn a culture to encourage it, one that embraces risks and wild ideas and tolerates the occasional failure' (p.13). Extra time also can allow individuals to reflect and observe new things about their surroundings and work. In a study on moral curiosity, Sekerka, Godwin and Charnigo (2014) found that curiosity can be fostered by creating environments for 'reflection, observation, deliberation, and dialogue' to occur (p.716).

Besides creating workplace conditions where curiosity can thrive, leaders can also encourage it by modelling or exemplifying curiosity in their own lives (Berger 2015; Gino 2002). In his article on curious leaders, Berger (2015) refers to Hollywood producer Brian Grazer who sets the example for being a curious leader by never hesitating to ask questions. Again the social component expressed above appears to be at play when leaders model curious and creative behaviour. Saunderson (2018) expands on this idea of fostering curiosity by modelling a questioning disposition. He recommends fostering curiosity by always being willing to ask 'Why,' 'What if...' and 'How...' questions (p.126). He writes, '...Many companies—whether consciously or not—have established cultures that tend to discourage inquiry in the form of someone asking, for example, "Why are we doing this particular thing in this particular way?"' (p.124). Instead of discouraging it, it is critical to boost employees' motivation to ask worthy questions so that they can come up with new ideas and better processes. Additionally, asking questions helps to understand the situation/phenomenon and clarify any ambiguities. In this sense, confronting ambiguities is essential in engaging curiosity (Torrance and Safter, 1990). Given the importance of asking a question, it is no wonder why many successful companies have adopted this mindset. Gino (2018) presents several examples such as Google's modus operandi to run the company on questions, not answers, or the way the founder of Polaroid Instant Camera came up with the idea when his little child challenged him to think about why they needed to wait for photos. Therefore, fostering curiosity entails leaders looking for ways to cultivate their employees' curiosity by questioning the status quo and investigating ambiguity.

Another way the literature presented the fostering of curiosity is by helping employees acquire a more extensive network of differing interests (Gregerman, 2007). Gregerman (2007) recommends committing to diverse activities such as hanging out in uncommon places, reading things you would not normally read, asking questions you would not usually ask, talking with people from a different background, and following a new hobby. Speaking of the Organisational context, INSEAD, a graduate business school in France, implements this strategy by engaging with the private and public sectors to bring leaders from various sectors and backgrounds onto its campuses/programs (Jain, 2012). This practice does not only teach students global leadership skills but also ignites their curiosity about various sectors as a result of listening to diverse perspectives of those leaders. MIT's Bob Langer does a similar strategy and introduces his students to professionals in his network (Gino 2018). Likewise, by involving people from various functions, leaders can create a shared learning platform which has the potential to inspire their curiosity. Leaders can also encourage a learning attitude among their employees by rewarding their efforts to learn in addition to their performance. In 2013, Deloitte took this route by implementing a system that tracks employees' learning (Gino, 2018).

Fostering curiosity was also presented through embodied learning and mindfulness. According to the report of the RSA Social Brain Centre (2012, p.11), if project teams are allowed to think with their hands, creative ideas can emerge and go into execution more quickly. In line with the perspective of Jacob Bronowski, who called one's hands "the cutting edge of the mind," (p.9), there is a value in going beyond asking *what* curiosity is, and instead asking *where* it is because curiosity may be as much in physical and tactile places like our hands as in our minds. So, an additional way to foster curiosity is to create conditions for people to learn by doing. Furthermore, Psychologist Todd Kashdan argues that anxiety and curiosity are two opposite and concurrently acting systems. As a solution to decrease anxiety, which is seen as an obstacle to curiosity, mindfulness-based training is suggested due to its nature to train people to accept uncomfortable feelings such as anxiety. Additionally, curious exploration is at the core of mindfulness training, which stimulates approach behaviour rather than an avoidance behaviour (RSA Social Brain Centre 2012). While this paper has focused on the connection between curiosity, creativity, and innovation in human adults, Wu and Miao (2009) also look at ways that curiosity can be programmed in artificial intelligence algorithms to foster creativity. To do this, they looked at models based on novelty, surprise, uncertainty, conflict, and complexity that will be able to generate "artificial creativity" through "computational curiosity" (Wu and Miao, 2013, p.20).

The literature review of refereed and non-refereed articles revealed quite varied conceptualizations of curiosity; however, there appears to be ample support that there are a multitude of methods to foster curiosity of adults in organisations in ways that have the potential to influence creativity at the individual level and innovation at the Organisational level.

7. Implications for HRD

Since higher education environments and programs as well as professional development approaches driven by HRD professionals play a major role in the lifelong learning process required for the continuous enhancement of a mindset driven by curiosity, this paper has implications for both HRD practice and research. We believe that nurturing curiosity is integral to human flourishing and the idea that humans are able to enjoy their lives and work toward the fulfillment of their capabilities (Kuchinke, 2010). This may be connected to both individual-level interventions and may also include interpersonal interventions considering the social component of curiosity.

While organisations want to bring about creativity and innovation in their organisations' creativity is an integral part of that, there is also a paradox in this complicated relationship. On the one hand, organisations and leaders want to foster creativity and innovation in their employees. However, the actions associated with cultivating creativity and innovation have the potential to be antithetical to the mindset and activities involved in fostering curiosity. For example, creating the conditions within an organisations where curiosity can flourish is in opposition to the goal-orientation and outcomes focus of today's organisations. This paradox is further elucidated in Cambell's Law, which states 'the more any quantitative social indicator is used for social decision-making, the more subject it will be to corruption pressures and the more apt it will be to distort the social processes it is intended to monitor' (Muller, 2018). Therefore, if innovation becomes a quantitative social indicator of employees' success within organisations, it will necessarily become corrupted and will fail to achieve its intended goal. As soon as one creates the goal of being more curious as a means of spark innovation, it can quickly lead to actions antithetical to fostering curiosity and thus innovation.

Therefore, HRD professionals and learning facilitators in organisations would be wise not to tie curiosity to extrinsic rewards but instead allow it to emerge naturally by sparking the interests of individuals and modelling what it means to be curious. Inviting speakers to share their expertise on a diversity of topics, organizing brown-bag or catered lunches to facilitate interactive sessions on a host of topics that may or may not be directly related to the work of the organisations, and encouraging employees to pursue their interests and share their learning with others in the organisations are just a few approaches that could instigate curiosity and lead to creativity and innovation. Although these interventions were found in the literature there were no discussions about their fit into different Organisational systems and the conditions under which they can be sustained. This preliminary literature review raised our awareness on the dearth of literature on curiosity and its relationship to creativity and innovation, and of fostering curiosity in the HRD field and showed the need for a deeper understanding of curiosity and its nurturing in adults.

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Developing a multi-dimensional framework to identify positive transfer of training

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Abstract

This paper explores the possibility that multiple dimensions of transfer of training can be distinguished based on four already identified core purpose of Human Resource Development (HRD). This wider framework can support maintenance of transfer and considerably substantiate the training intervention so enhancing both individual and organisational performance. Secondary analysis of studies (n=77) focusing on transfer of training, goal setting theory and relapse prevention have been analysed using NVivo software. Findings address the scholarship to date and identify the dominance of the functionalist paradigm. Thematic analysis has also highlighted the focus on generalisation over maintenance when considering positive transfer. Conclusions are that practical utility and future research should focus on a qualitative, interpretivist perspective in keeping with the contextual differences faced by contemporary organisations. A conceptual framework is proposed along with a functional tool for practitioners to adopt into their performance management procedures.

Keywords: Transfer of training, Human Resource Development, Learning and development, Performance management

1. Introduction

Studies into the transfer of training date back to the 1950's with Fleishman's early (1953) study focussing on supervisors in a motor truck company (Saks et al., 2014; Volet, 2012). Fleishman found there was a change in attitudes and behaviours immediately following the training programme but once the supervisors were back in work they reverted to their old behaviours. This phenomenon is now well known as transfer of training or the 'transfer problem'. Organisations invest substantial amounts in learning, training and development. Estimates in the USA put the figure over \$150 billion annually (Lancaster and De Milla, 2014) whilst it is estimated that total employer spending on training in the UK in 2015 was £45.4 billion (UKCES, 2016). However, despite the amount spent on training, studies suggest that only 10% is successful in improving performance (Cheng and Ho, 2001; Grossman and Salas, 2011; Velada et al., 2007; Wexley and Baldwin, 1986).

The transfer of training literature has addressed this problem in various ways. Meta-analyses have been conducted (Blume et al., 2009; Burke and Hutchins, 2007; Cheng and Ho, 2001) but each has the same common denominator in focussing on the impact of predictive factors such as trainee characteristics, training design and work environment. This is not surprising as the majority of studies conducted within the time frames of these meta-analyses focussed on these same predictive factors either individually or simultaneously (Baldwin and Ford, 1988; Bhatti et al., 2013; Burke and Hutchins, 2007; Chiaburu, 2010; Curado et al., 2015). More recently studies have moved away from predictive factors with regards to training input and considered post training transfer interventions such as relapse prevention and goal setting theory (Rahyuda et al., 2014) with focus on the behaviour of individuals once the learning and development intervention has taken place.

This focus on the learning input and post training output has identified a series of tangible factors which can enhance or hinder transfer of training. Focus on individual characteristics such as self-efficacy and motivation remains prevalent. The effect of the work environment has however been studied in greater detail and highlighted the vital role played by line managers. This has been useful from an incremental position of theory building rather than a revelatory one (Corley and Gioia, 2011). Incremental insight progressively advances

understanding whereas revelatory insight allows the researcher to see a phenomena that was thought to be understood, in an innovative and unconventional way (Corley and Gioia, 2011). As the transfer problem appears to still affect organisations today further incremental insight may yield no new information.

Revelatory insight is therefore pursued in this paper. An area neglected by existing meta-analyses is a concern for the research methods used in the studies they reviewed. A deeper focus on this may lead future researchers to consider new and innovative ways to study transfer of training. This is important for two reasons. Firstly it will provide the revelatory insight required to change perceptions about what is already known from a theoretical and scientific perspective. Secondly it could provide the practical utility required to address the transfer problem in an organisational setting. This consideration for revelatory insight and practical utility leads to the first research question of this paper which is:

R1: what research methods have currently been utilised when studying transfer of training?

One definition of transfer of training is that "learned behaviour must be generalised to the job context and maintained over a period of time on the job" (Baldwin and Ford, 1988, p. 63). This dichotomy indicates both proximal and distal measurements of transfer need to be considered for true value to be added. Ultimately, transfer of training appears to be focussed on value added from an organisational perspective. Simosi (2012) noted that transfer of training is considered as one of the key criteria for evaluating the effectiveness of training in influencing organisation level outcomes. Nijman *et al* (2006) note that intended return on investments in training programmes will only be achieved to the extent that training is transferred, again focusing ultimately on organisational metrics. Given the amount of money spent on training and development it is understandable that this macro measurement is a point of focus. However, the link between training and long term organisational results is often not clear and may be affected by multiple causes (Steensma and Groeneveld, 2010). Incremental insight has led to a position where these multiple causes are often given as a reason why evaluation doesn't take place over time and short term evaluation has become the accepted norm. If this position is accepted by the transfer literature then successful transfer of training would stop at generalisation and so only half meet the earlier definition of transfer of training. In pursuing revelatory insight, this paper seeks to identify whether long term transfer of training (maintenance) has been considered to date, which leads to the second research question as follows;

R2: In previous studies, has concern for generalisation or maintenance been more prevalent when considering positive transfer of training?

Brinkerhoff and Dressler (2015) argue that the higher levels of evaluation which focus on organisational capability should focus on the wider performance improvement processes within an organisation not simply training per se. Focusing on the wider performance management processes of an organisation may therefore identify different dimensions at which transfer of training can be identified rather than stepping directly from training intervention to improved organisational capability. Hamlin and Stewart (2011) identified four core purposes of Human Resource Development; improving individual or group effectiveness and performance, improving organisational effectiveness and performance, developing knowledge, skills and competencies and enhancing potential and personal growth. The existence of these four core purposes could now provide a basis for considering transfer of training at different dimensions. The generally accepted figure that only 10% of training transfers may be linked to organisational metrics alone. If transfer can be identified at different dimensions, this figure can be challenged and so cast training interventions in a more positive light. This leads to the third research question of this paper which is;

R3: Can a multi-dimensional framework for transfer of training be developed from the four core purposes of HRD?

2. Contribution to knowledge

The contribution of this paper based on Nicholson *et al.*'s (2018, p5) conceptual model is revelatory. It synthesises three strands of literature (transfer of training, human resource development and performance management) and problematizes (Alvesson and Sandberg, 2011) the notion of transfer of training by challenging key assumptions. This contribution offers more than simply gap spotting alone as it helps to provide the revelatory understanding to advance the field of study from a theoretical point of view and provide utility from a practical point of view. Alvesson and Sandberg (2011, p260) identify a typology of assumptions open for problematization as follows; in house, root metaphor, paradigm, ideology and field. The two assumptions being challenged in this paper are *paradigm* and *field*. The '*paradigm*' assumption relates to ontology, epistemology and methodological assumptions underlying existing literature. The challenge here is from R1 which asks what research methods have currently been utilised when studying transfer of training? '*Field*' refers to assumptions about a specific subject matter that are shared across different theoretical schools. Here the challenge is against the notion that only 10% of training transfers. This is a view held by different strands of literature within HRD but also across different fields such as psychology and education. The basis for this figure isn't clear and doesn't identify whether generalisation or maintenance or a mixture of the two are taken into consideration. This assumption is therefore challenged by R2, which considers whether generalisation or maintenance has been more prevalent when considering positive transfer of training.

3. Research audience

The audience for the paper is twofold and whilst revelatory contribution based on problematization satisfies a scientific audience, practitioners will seek utility where the insight is also seen as useful (Corley and Gioia, 2011). The paper will provide this utility through developing a framework and a practical tool which managers can operationalise and embed into their performance management practices. R3 serves to enable this utility by asking whether a multi-dimensional framework for transfer of training can be developed from the four core purposes of HRD.

4. Structure of the paper

The paper is structured as follows. It begins by reviewing the literature on transfer of training, relapse prevention and goal setting theory. Baldwin and Ford's (1988) meta-analysis of transfer studies is often referred to as the seminal work (Clarke, 2002; Grohmann *et al.*, 2014; Lim and Johnson, 2002; Simosi, 2012). 1988 will therefore be considered as the historical date boundary with papers being considered up to 2018 as this provides currency at the time of writing. Next the research methods are considered to explain what the inclusion criteria was for papers to be reviewed and how analysis of previous papers was conducted. The findings will then address the three identified research questions. Finally, a conceptual framework will be introduced to guide future research and also provide practitioners with a useful scaffold to help identify multiple dimensions where transfer can occur.

5. Theoretical background

5.1 Transfer of training

Transfer of training is 'the extent to which, what is learned in training is applied on the job and enhances job related performance' (Laker and Powell, 2011, p.112). Training inputs (trainee characteristics, training design and the support offered within the work environment) have been identified within much of the literature as affecting levels of transfer.

Self-efficacy and motivation have been identified as key trainee characteristics (Cheng and Ho, 2001; Grossman and Salas, 2011; Martin, 2010; Velada *et al.*, 2007). Self-efficacy relates to the trainees confidence in their capabilities to learn the content of the training and also to their confidence and capability to transfer what they have learned (Weisweiler *et al.*,

2012). Training motivation is the intensity and persistence of efforts that trainees apply in learning orientated improvement activities, before, during and after training (Tannenbaum and Yukl, 1992).

Baldwin and Ford (1988) found that a large proportion of training design concentrated on incorporating learning principles of which they highlighted four; identical elements, teaching of general principles, stimulus variability and various conditions of practice. Studies regarding training design have continued to receive attention and move the focus towards such areas as the timing of the training; whether the objectives are clearly communicated and understood and whether the participants have been involved with designing the intervention (Martin, 2010). A realistic training environment is also considered to be important where aspects of training should mirror the environment in which trained skills and competencies will be applied (Grossman and Salas, 2011).

The work environment generally consists of two sub categories (Lim and Johnson, 2002); factors relating to the work system and people related factors. Work system factors consider areas such as pace of work flow, cues to prompt trainees of what they have learned, consequences for using training on the job, resistance to change climate and matching training and departmental goals (Burke and Hutchins, 2007; Cheng and Ho, 2001; Martin, 2010). People related factors consider line manager and peer support. Line manager support is considered the most consistent factor explaining the relationship between the work environment and transfer and as one of the most powerful tools for enhancing transfer (Burke and Hutchins, 2007; Nijman et al., 2006). The supportive behaviours displayed by managers have been identified as discussing new learning, participating in training and providing encouragement and coaching, recognition, rewards and modelling trained behaviours (Grossman and Salas, 2011). This support can be emotional and instrumental and can occur before, during and after training (Nijman et al., 2006). Whilst these studies have indicated a positive relationship between line manager support and transfer, there is also evidence to suggest that the absence of support has a negative effect on employees and leaves them feeling frustrated (Clarke, 2002; Greenan, 2016). Peer support enhances training transfer by improving employee's feelings of self-efficacy and providing them with coaching and feedback (Martin, 2010). Where line manager support has been identified as an important factor in both pre and post training, peer support has not been considered to be significant pre training but has been positively related to the perceived transfer post training (Facteau et al., 1995).

A focus on input factors which lead to learning and retention of new material was evident in early studies. However the focus of study has shifted to consider what happens after the training has finished in order to effect behaviour change. There is a growing interest in post-training methods which are concerned with specific interventions to help trainees apply their newly learned skills to the workplace. Relapse prevention and goal setting theory are the major interventions which have been considered.

5.2 Relapse prevention

The origins of relapse prevention (RP) are in clinical psychology where the tool was used to enhance the maintenance stage of the treatment of addictive behaviours (Burke, 1997). The aim of RP is to prevent individuals lapsing back into previously addictive behaviours (Burke and Baldwin, 1999). Implications are therefore clear here with regards to transfer of training. Relapse prevention is considered as a post training intervention to prevent employees lapsing back into previously used and perhaps habitual behaviour and so enhancing the transfer of new behaviour. Relapse prevention was first considered as a post training transfer intervention by Robert Marx in 1982 (Burke and Baldwin, 1999; Gaudine and Saks, 2004). Marx made the link between the environment faced by addicts as being a threat to inducing relapse and the environment in the corporate world also posing a threat and likely to induce relapse to previously used work behaviours which learning, training and development had sought to change. Marx identified seven steps to what has become known as the full or complete RP model (see Burke and Baldwin, 1999 for a breakdown of these steps) whilst

researchers using some of these seven steps are considered to use a modified RP model (Burke and Baldwin, 1999; Rahyuda et al., 2014).

Limited success has been found for both the full and modified RP models. Noe et al (1990) found that participants in the relapse group performed better than those in the control group. Tziner et al (1991) found that when a 2 hour RP module was added to their training programme, participants in the RP group had a higher knowledge of the course content than the control group without the RP module. Burke and Baldwin (1999) found that a modified RP model had more impact in environments considered to be favourable to transfer but added caution that use of an RP model in favourable environments may even be detrimental as drawing attention to high risk situations may lower the self-efficacy of trainees.

5.3 Goal setting theory

Goal setting theory is attributed to Lock and Latham who state that the theory was developed inductively over a period of twenty five years (Locke and Latham, 2006). The essence of goal setting theory is that people who set and commit to specific and difficult goals outperform those who set vague goals (Brown et al., 2013). Specific and difficult goals give focus and direct attention to activities relevant to attaining the goal (Seijts and Latham, 2012). Brown and McCracken (2010) uncovered four types of goals: learning goals, behavioural outcome goals, distal outcome goals and proximal plus distal goals. Learning goals are used by individuals striving to understand something new or increase their level of competence in a given activity (Button et al., 1996). A behavioural goal is characterised by an avoidance of challenges (Button et al., 1996) and are generally more associated with transfer of training (Chiaburu and Tekleab, 2005). Proximal and distal goals allow people to evaluate their ongoing goal directed behaviour and refocus their efforts if needed (Brown, 2005; Seijts and Latham, 2001; Weldon and Yun, 2000), creating a sense of immediacy, providing a clear mark of progress leading to a sense of mastery and allowing the distal goal to be recalibrated if needed (Weldon and Yun, 2000). Goals enhance performance to a greater degree in easy compared to complex tasks and goal performance becomes weaker when hampered by context factors (Bipp and Kleingeld, 2010). The reliance on goal setting alone in contemporary workplaces could therefore be a major factor why training does not transfer as contemporary workplaces are generally accepted to be Volatile, Uncertain, Complex and Ambiguous (VUCA), (Srivastava, 2016).

This section has provided an overview of the transfer literature to date. It has considered the input factors of trainee characteristics, training design and work environment and also the post training transfer interventions of relapse prevention and goal setting theory. Self-efficacy and motivation are still considered to be important factors but advances have been made with regards to the role of the work environment. The role of the line manager has emerged as pivotal in supporting pre and post training intervention. This level of support has been identified in the goal setting literature coupled with timely feedback as being instrumental in the post training transfer intervention. However, whilst these advances in understanding have been made, further study of the same input and output factors will only serve to underline what is already known rather than widen the scope into new areas. Refocusing on this literature from a different angle could now provide the revelatory insight to understand the phenomena in an innovative way. Adopting alternative research methods to those already used may be the catalyst to identifying different dimensions of transfer or uncovering enablers or barriers which have yet to be identified. Before considering this in detail though the following section will outline the considerations for the secondary data collection and analysis.

6. Research methods

6.1 Data Collection

Four major databases were searched using the key phrases 'transfer of training', 'relapse prevention' and 'goal setting theory'. The data bases were, ABI/INFORM complete, Emerald

Insight (Business Management and Strategy), Business Source Complete and Scopus. Each of these is a recognised scholarly data base with international coverage, holding comprehensive sets of full text journals, dissertations and working papers in the disciplines of business and management. The search revealed the magnitude of the literature which has been published to date involving each of the three key phrases. Table 1 provides a breakdown of the number of results provided by each of the data bases with regards to each key phrase.

Table 1: Number of publications by key phrase

Journal	Key phrase		
	Transfer of training	Relapse Prevention	Goal Setting theory
ABI/Inform	Total: 376,776. Refined to scholarly journals: 78,275	Total: 11,071. Refined to scholarly journals: 2,420	Total: 225, 848. Refined to scholarly journals: 153,816
Emerald Insight	311	899	63,744
Business Source Complete	1,411	170	212
Scopus	Total: 23,990. Refined to business, management and accounting: 1,299.	Total: 11,107. Refined to business, management and accounting: 219	Total: 5,052. Refined to business, management and accounting: 609.

Given the amount of literature found through the search strategy it was impossible to review every study published. A simple random probability sample was therefore used to identify a manageable sample of articles. As research method is the focus of interest in this paper, it did not feature as one of the search parameters. Date of study and country were important search parameters in order to understand the timespan and international significance. Once studies had been randomly selected on the basis of these two criteria, the study setting and methodology were then noted so as to identify emergent patterns. No pre-set number of studies was considered for the sample, the search was based on the principle of saturation which arises when no new information emerges to add meaning (O'Connor *et al.*, 2008).

6.2 Data analysis

In order to address R1 a simple examination of the papers was required to identify the research methods used. R2 and R3 required more detailed analysis which was conducted using NVivo software. Software was used because of the ability to store data such as transcripts more efficiently and also because it is deemed to help substantiate the analysis and interpretation (Sinkovics *et al.*, 2008). Briggs (2007) advocates the use of modelling from qualitative data where visual display of analytical text enables the researcher to identify themes, patterns and discover relationships, the strength of particular factors and its co-existence with others.

The abstract from each of the identified papers was used for data analysis. This was deemed to be adequate as it should contain sufficient information pertinent to R2 and R3. Data was coded using seven nodes identified from the synthesised literatures. Generalisation and maintenance were two of the nodes used to directly address R2. The four core purposes of HRD were used as direct nodes to identify where transfer was currently deemed to be occurring and so address R3. Where it wasn't obvious from the abstract which of these four core purposes was prominent a node of 'ambiguous' was used.

7. Findings

A simple random probability sample based on the principle of saturation identified 77 studies in relation to transfer of training, goal setting and relapse prevention. Thirty eight papers focusing on the key phrase 'transfer of training' were reviewed as shown in Table 2.

Table 2: Transfer of training, studies to date

Author/s	Country	Setting	Method
Banerjee <i>et al</i> (2016).	India	Various business schools	Survey
Belling <i>et al</i> (2004).	UK	Number of different organisations	Longitudinal survey
Bhatti <i>et al</i> (2014).	Malaysia	Eleven different banks	Questionnaire
Brinkerhoff, R.O., and Montesino, M.U. (1995).	USA	Fortune 200 company	Questionnaire
Brown <i>et al</i> (2011).	Canada	Large utility company	Reflective journals
Brown, T. (2005).	Canada	Government employees. Same organisation, different departments.	Field experiment. Post training survey
Burke, L., and Baldwin, T.T. (1999).	USA	Research scientists in a large organisation	Survey
Chauhan <i>et al</i> (2017)	India	Employees of a manufacturing unit	Self-report questionnaire
Chiaburu, D. S. (2010).	USA	One large organisation	Post training questionnaire Immediately and after twelve weeks
Clarke, N. (2002).	UK	Social services department	Semi structured interviews
Curado <i>et al</i> (2015).	Portugal	Large insurance company	Multi item questionnaires
Dermol, V., and Cater, T. (2013).	Slovenia	Number of service companies	Questionnaires
Diamantidis, A.D., and Chatzoglou, P.D. (2014).	Greece	Number of organisations	Structured questionnaire
Egan <i>et al</i> (2004).	USA	IT workers in numerous organisations	Survey
Facteau <i>et al</i> (1995).	USA	State government	Questionnaire
Ford <i>et al</i> (1992).	USA	Air force	Questionnaires
Gilpin-Jackson, Y., and Bushe, G.R. (2007).	Canada	One government funded organisation (Health care)	Qualitative exploratory study with quantitative analysis
Gist <i>et al</i> (1991).	USA	MBA students	Self report inventory
Grohman <i>et al</i> (2014).	Germany	One industrial organisation	Peer rating and self rating On line survey
Heimbeck <i>et al</i> (2003).	Germany	Undergraduate students	Computer based lab experiment
Hutchins <i>et al</i> (2013).	USA	Law enforcement personnel	Questionnaires
Jodlbauer <i>et al</i> (2011).	Australia	Federal economic chamber	Online questionnaire
Lancaster, S., and Di Milia, L. (2014).	Australia	Government owned energy provider Multisite	Exploratory qualitative study Semi structured interviews
Lim, D.H., and Johnson, S.D. (2002).	Korea	One umbrella organisation	Multiphase structured interviews

		Fifteen companies	Questionnaires
Machin, M.A., and Fogarty, G.A. (2003).	Australia	Police force	Questionnaire
Martin, H. J. (2010).	USA	Large manufacturing company	Case study
Mathies <i>et al</i> (1992).	USA	One large state University	Survey
May, G. L., and Kahnweiler, W. M. (2000).	USA	Consumer produce manufacturing plane One organisation	Pretest/Posttest Semi structured interviews
Nijman <i>et al</i> (2006).	Netherlands	Providers of advanced technology Three organisations	Questionnaire
Nikandrew <i>et al</i> (2009)	Greece	Number of different organisations	In depth interviews
Renta-Davids <i>et al</i> (2014)	Spain	One educational provider	Self-report surveys
Rouiller, J.Z., and Goldstein, I.L. (1993).	USA	Large fast food franchise	Survey
Saks, A.M., and Burke-Smalley, L.A. (2014).	Canada	Members of a training and development association	Survey
Simosi, M. (2012).	Greece	Public sector finance organisation	Questionnaire
Sue-Chan <i>et al</i> (2012).	Canada and Malaysia	Lab experiment with Canadian students Field experiment Malaysian production factory	Questionnaire based on observation Survey to employees
van der Lochte <i>et al</i> (2013).	Netherlands	Open management training programme	Online questionnaire
Velada <i>et al</i> (2007).	Portugal	Large grocery organisation Nine different stored	Self-reporting surveys
Zumrah, A.R., and Boyle, S. (2015).	Malaysia	Number of public sector organisations	Survey

These studies clearly indicate that research into transfer of training has overwhelmingly adopted a quantitative approach, relying on scientific methods such as experiments and data collection tools such as survey and questionnaire. Whilst none of these studies directly introduced their ontological and epistemological beliefs, inferences can be made that the overwhelming paradigm is that of a functionalist/positivist persuasion. Positivism seeks to predict a distinct set of laws which can predict the behaviour of like elements in similar situations (Bowering, 2000). These predictions are made by recourse to methodologies such as systematic empiricism, deductive testing and model building (Hindess, 1977), with data collection instruments such as surveys and questionnaires being the primary tools (Pallagola, 2016). These data collection methods are overwhelmingly present in Table 2 which leads to the assumption that functionalism has been the main research focus to date.

Two points of note arise. Firstly, the identified studies indicate that this is a global phenomenon. Whilst there is a heavy concentration of studies in North America, there is also representation from Europe, Asia and Australia. The noticeable geographical blind spots are Africa and South America which may be a call for researchers in these areas to consider the impact of training transfer, but is beyond the scope of this paper. Secondly, the time span of studies covers 1990 to 2017 so gives a good representation from the identified starting point of 1988 to as recent as might be considered possible at the time of writing. This further gives credence to the assertion that functionalism has been and continues to be the dominant

epistemology when considering transfer of training. The number of studies which focus on relapse prevention in terms of considering transfer of training sits in single figures (Table 3).

Table 3: Relapse Prevention as a post training transfer intervention, studies to date

Author/s	Country	Setting	Method
Burke, L.A. (1997).	USA	Undergraduates in a large Midwestern University	Controlled lab experiment
Burke, L.A., and Baldwin, T.T. (1999).	USA	Research scientists in a large Midwestern firm	Survey
Gaudine, A.P., and Saks, A.M. (2004).	Canada	Nurses in a medium sized hospital	Longitudinal quasi experiment via questionnaire
Huint, P., and Saks, A.M. (2003).	Canada	MBA students in a large Canadian University	Questionnaire
Noe, R.A., Sears, J., and Fullenkamp, A.M. (1990).	USA	Supervisors from various organisations in Minneapolis	Questionnaire
Pattni, I., Souter, G.N., and Klobas, J.E. (2007).	Not stated	Retail banks	Quasi experimental field study
Richman-Hirsh, W.L. (2001)	USA	Employees in a large Midwestern University	Questionnaire
Tziner, A., Haccoun, R.R., and Kadish, A. (1991).	Israel	Military instructors	Questionnaire

Despite the interest in relapse prevention and its limited success stories, there is a paucity of studies in the transfer literature (Burke, 1997; Gaudine and Saks, 2004). This lack of empirical evidence is further highlighted by a review of literature by Rahyuda *et al* (2014) who found few additional studies to those already highlighted by Burke (1997) and Gaudine and Saks (2004). Whilst Table 1 indicates that thousands of papers were identified using the key phrase 'relapse prevention', the vast majority of these relate to medical or psychological research. Whilst the number of studies is far smaller than those focusing on transfer of training the same pattern exists. North America dominates as the research setting with the use of quantitative data and experiment once again being ubiquitous. The time span of 1990 – 2007 provides further support that this is a phenomenon occurring over time. The final key phrase used in the data collection was 'goal setting theory' which initially, also produced thousands of results. Once more using the principle of saturation, Table 4 identifies a similar pattern to those already discussed with regards to the reliance on quantitative data collection methods supporting a functionalist research paradigm existing over time.

Table 4: Goal setting as a post training transfer intervention, studies to date

Author/s	Country	Setting	Method
Bipp, T., and Kleingeld, A. (2010).	Germany	One company in the chemical industry	Questionnaire
Brown <i>et al</i> (2013).	Canada	Public sector employees	Self administered survey Subordinate feedback
Brown, T.C. (2005).	Canada	Government employees	Survey
Brown, T.C., and Latham, G.P. (2000).	Canada	Telecom company	Behavioural observation scale
Button, S.B., and Mathieu, J.E. 1996).	USA	Undergraduate students	Self report survey

Chen, G., and Mathieu, J.E. (2008).	USA	Undergraduates	Experiment Self report questionnaire
Chiaburu, D.S., and Tekleab, A.G. (2005).	USA	One large organisation	Self report questionnaire
DeShon <i>et al</i> (1996).	USA	Undergraduate students	Lab experiment Questionnaires
Elliot, A.J., and McGregor, H.A. (2001).	USA	Undergraduate students	Questionnaire
Fink, D.D., and Ferris, G.R. (1998).	USA	Lab experiment with students Field study with telemarketers	Questionnaire
Gist <i>et al</i> (1991).	USA	MBA students	Self report inventory
Greenan, P. (2016)	UK	Financial services employees	Questionnaires
Ilies, R., and Judge, T.A. (2005).	USA	University students	Experiment Web based questionnaire
Kozlowski <i>et al</i> (2001).	USA	Undergraduate students	Self report survey
Latham, G.P., and Seijts, G.H. (1999).	Canada	Students	Experiment Self report survey
Lee <i>et al</i> (1991).	USA	Large electronics organisation	Survey
Lee <i>et al</i> (2006).	China	Seven different organisations	Questionnaires
Lee, H. (2016).	Korea	College students	Experiment Questionnaires
Li, A., and Butler, A.B. (2004).	USA	Undergraduate students	Lab experiment Questionnaire
Linnenbrink, E.A. (2005).	USA	School students	Pre test/Post test questionnaire
Martin, A.J., and Elliot, A.J. (2016).	Australia	School students	Experiment Pre test/post test with control group
Miller, L.E., and Weiss, R.M. (2015).	USA	Students	Pre test/Post test questionnaire
Moussa, F.M. (1996).	USA	Undergraduate students	Lab study Self report surveys
Porter, R.L., and Latham, G.P. (2013).	USA	Numerous organisations	Survey
Silver <i>et al</i> (2006).	USA	Numerous organisations	Self report questionnaire
Smith <i>et al</i> (2008).	Australia	Non profit charitable organisation	Questionnaire
Stansfield, T.C., and Longenecker, C.O. (2005).	USA	Manufacturing organisation	Performance and productivity measures
Strickland, O.J., and Galimba, M. (2001).	USA	Undergraduate students	Experiment Self report survey
Travers <i>et al</i> (2015).	UK	Business School students	Reflective diary
Webb <i>et al</i> (2010).	USA	Several call centres in financial services	Archival and questionnaire data
Winters, D., and Latham, G.P. (1996).	Not known	Business School students	Self report questionnaire

A summary of the findings from the 77 papers reviewed enables R1 to be answered. Functionalism has been identified as the dominant global paradigm throughout time. Whilst this has undoubtedly helped to make incremental gains in understanding transfer of training and has helped to highlight barriers, further study in the same vein will only help to corroborate what is already known. Research should expand horizons and seek to make new

discoveries so perhaps it is time now to consider whether an alternative research paradigm can do this.

8. Analysis of abstracts

Each reviewed paper provided a straightforward indication as to the research methods used. Greater analysis was required though to address R2 and R3. In order to identify whether generalisation or maintenance was the focus (R2), the abstracts were coded against the nodes 'generalisation' and 'maintenance'. Some of the abstracts were clear as they indicated a timeline or identified the study to be longitudinal for example, clearly identifying that time was a consideration. Other abstracts simply noted that transfer occurred. Coding against the two nodes was heuristic with maintenance considered where timelines were identified, repetition of the study was evident, or some other clear measure for a consideration of time was present. If no consideration of time was given but results indicated positive transfer to be present they were coded against the generalisation node. Abstracts from the papers identified in tables two, three and four were stored separately in NVivo and coded to identify any similarities or differences. The identified themes can now be displayed visually (Briggs, 2007) to discover the relationship between generalisation and maintenance. R1 identified that the majority of studies followed a positivist/quantitative research method. Use of NVivo has also allowed for comparison to be made between generalisation and maintenance but has also allowed for further analysis to identify if the type of research study has any mediating effect.

Figure 1: Comparison of generalisation and maintenance for transfer of training abstracts

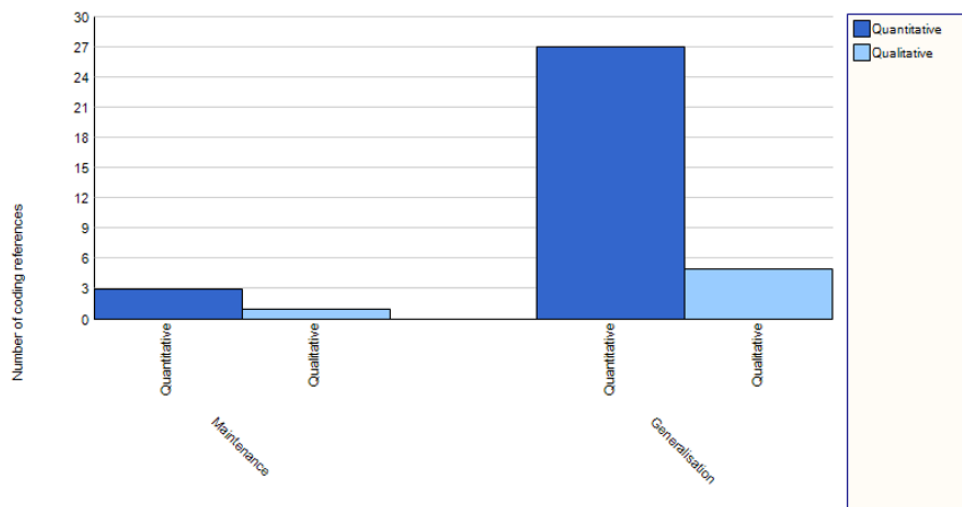


Figure 2: Comparison of generalisation and maintenance for relapse prevention abstracts

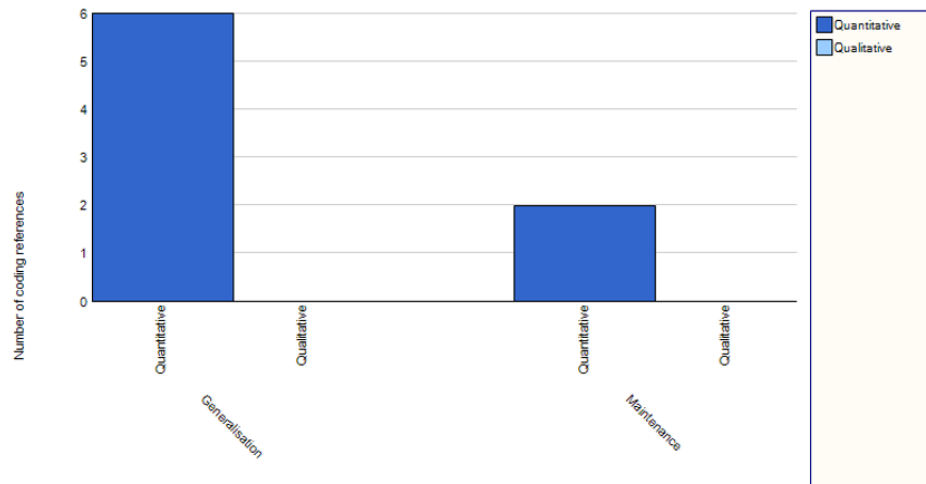
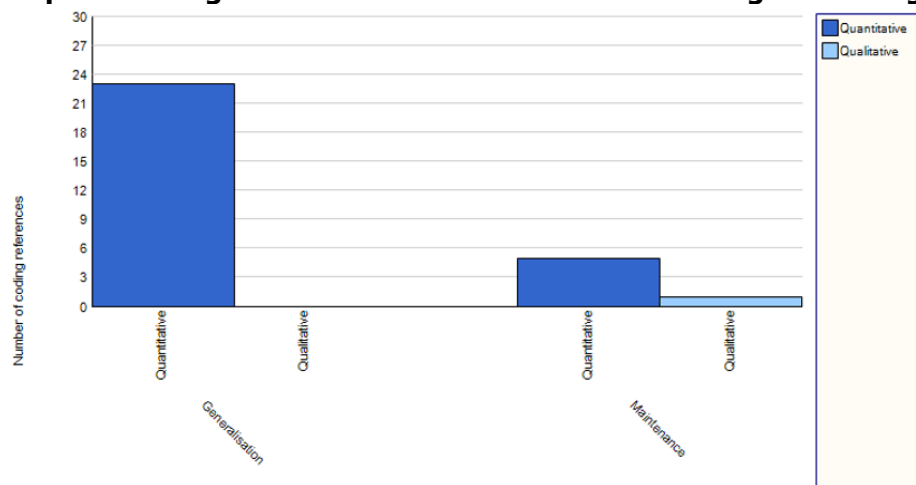


Figure 3: Comparison of generalisation and maintenance for goal setting abstracts



Figures one, two and three address R2 which considered whether generalisation or maintenance was more prevalent in previous studies when considering positive transfer of training. There is an overwhelming indication that generalisation is considered in all papers reviewed regardless of whether the focus was on transfer of training in general, relapse prevention or goal setting. There is however a stronger correlation indicated between

maintenance and qualitative studies, where maintenance has been identified. These findings raise three important considerations.

Firstly, they challenge the notion that only 10% of training transfers as it appears that all of these studies found transfer to be evident. Based on this sample it is possible to argue that 100% of training transferred. This perhaps only tells half a story though based on the earlier definition that “learned behaviour must be generalised to the job context and maintained over a period of time on the job” (Baldwin and Ford, 1988, p. 63). This is the second important consideration which draws attention to the metric used to identify the 10% figure. Different outcomes may be evident depending on whether generalisation or maintenance is used to measure positive transfer. The 10% figure may only be relevant when considering maintenance and effects on organisational metrics. The final consideration is with regards to the type of study being conducted. Although overwhelming focus was on generalisation, qualitative studies identified a greater focus on maintenance. Given that revelatory insight allows the researcher to see a phenomena that was thought to be understood, in an innovative and unconventional way (Corley and Gioia, 2011), there is now the possibility that innovative ways of studying transfer may yield different and more positive findings with regards to the success of training interventions. Consideration for qualitative studies which might be more longitudinal and so consider maintenance, may lead to an increase in the 10% figure related to positive transfer.

In order to address R3, further analysis of the abstracts for the 77 papers was conducted using nodes set against the four core purposes of HRD. Where there was no clear indication that one of these four was addressed, a node ‘ambiguous’ was used. Analysis was again set against quantitative and qualitative studies to see if the type of study had any relevance on the dimension of transfer being considered.

Figure 4: Comparison of the four core purposes of HRD in transfer of training abstracts

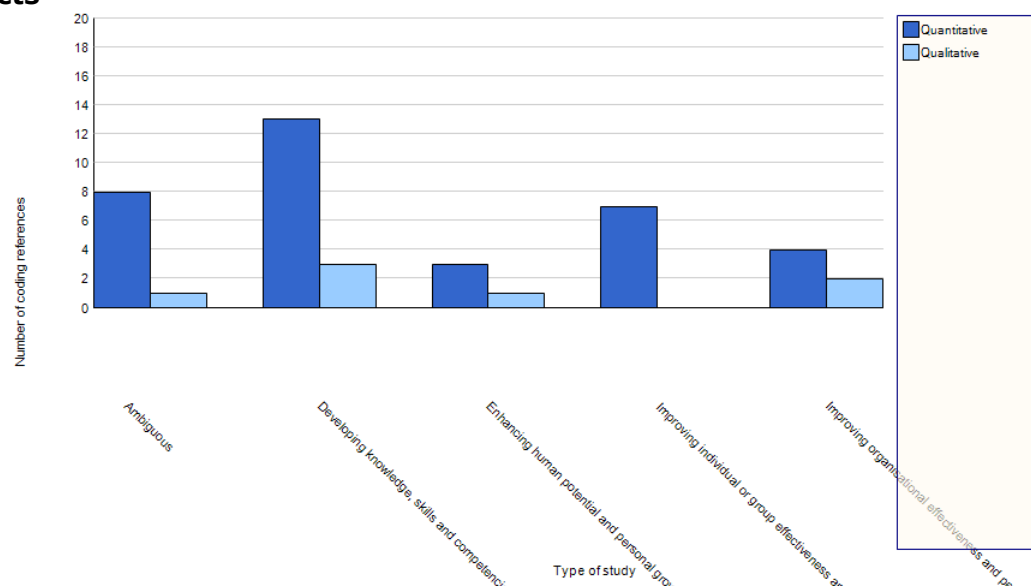


Figure 5: Comparison of the four core purposes of HRD in relapse prevention abstracts

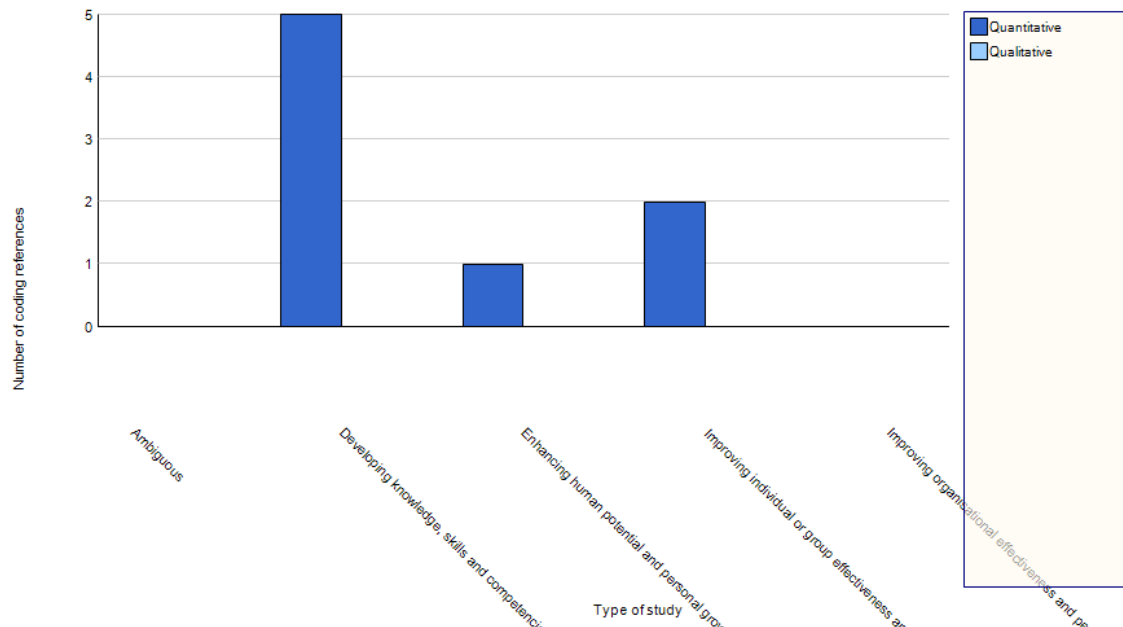
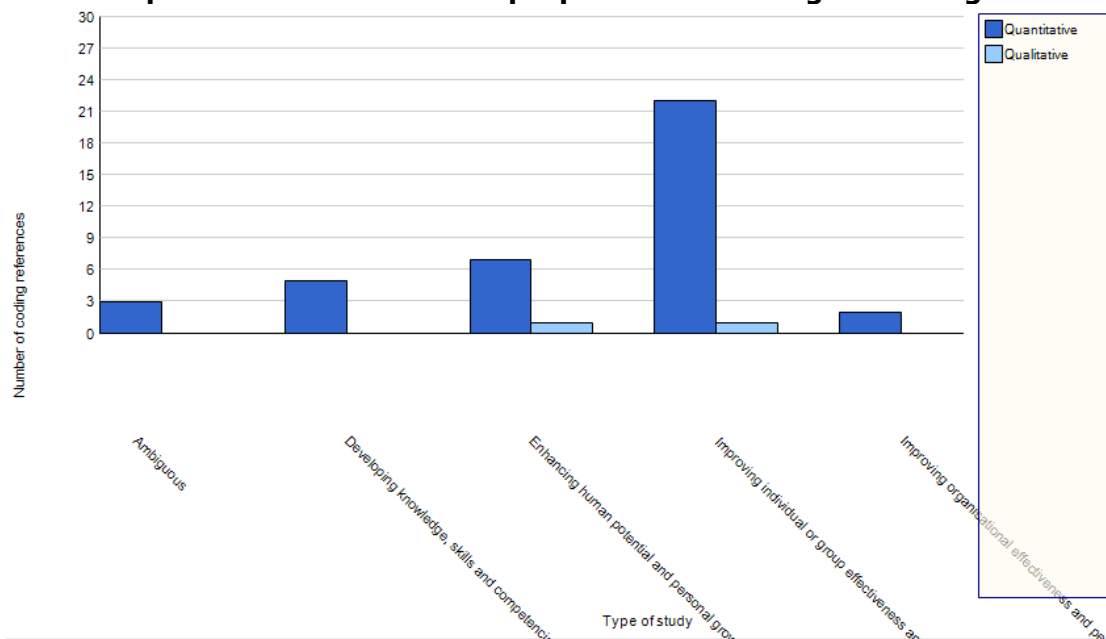


Figure 6: Comparison of the four core purposes of HRD in goal setting abstracts



Findings from coding the abstracts in the reviewed papers has revealed several key considerations. Firstly, there has been some analysis made against each of the four core purposes of HRD. This addresses R3 which asked if a multi-dimensional framework for transfer of training could be developed from the four core purposes of HRD. Given that one or more of the studies reviewed in this paper has already identified each of these being evident it suggests that this framework already exists. The contribution of this paper has been to identify this and now encourage future research to develop it.

Having identified that the framework already exists, the second key consideration is the dominance of studies focusing on the core purposes which have a more individual connotation; 'improving individual or group effectiveness and performance', 'developing knowledge, skills and competencies' and 'enhancing human potential and growth'. This is not surprising as there should be a benefit initially to the individual as the person attending the training event. What is more surprising from these findings is the lack of attention given to organisational improvement. Dermol and Cater (2013) expressed an opinion that the link isn't clearly explored between individual and company performance which may be relevant here. The assumption is that improved individual performance may iteratively improve organisational performance but value added to an organisation can't be based on assumption.

The final key consideration from analysis against the four core purposes is again with reference to the type of study conducted. Studies which did offer an organisational perspective were qualitative studies analysed against the general transfer of training literature. The predominance of quantitative studies in goal setting and relapse prevention literature suggests a more overwhelming concentration on improving and developing the individual but with little concern for how this improvement will affect organisational performance. One reason for this may be the reliance on students as the research sample, indicated in Table 4 especially. Table 2 focuses more heavily on organisations as the research setting. Whilst encouraging future research to develop a multi-dimensional framework, it is important to emphasise that this research should be conducted within an organisational setting to allow for each of the four core purposes to be represented. A more accurate figure relating to maintenance can also only be considered if the study is more longitudinal. Experiments using students as the research sample will not provide this environment.

9. Discussion

The purpose of this paper is to provide revelatory insight into the transfer problem by challenging previous assumptions. The first challenge is against scholarship and sought to identify whether there is a predominant method more utilised than others when studying transfer of training. The second challenge is against the notion that only 10% of training transfers. These challenges led to two research questions; R1: *what research methods have currently been utilised when studying transfer of training?* R2: *In previous studies, has concern for generalisation or maintenance been more prevalent when considering positive transfer of training?* A third research question is posed as a hypothetical call to arms for future research as it asks, *Can a multi-dimensional framework for transfer of training be developed from the four core purposes of HRD?*

The answer to R1 is that a functionalist perspective has pervaded the transfer literature almost ubiquitously through time and across nations. The dominance of one paradigm may not be detrimental per se. However, critique of the functionalist paradigm and consideration of the contemporary complex business environment questions whether this dominance is hindering new and innovative ways to consider transfer being explored. Management theory from a functionalist perspective assumes that models created in a specific context will also work in other contexts providing they are correctly implemented. However, a prevailing view of contemporary organisations is that they are characterised by constant change and entropy (Burnes, 2005; Lowell, 2016). The ability of anyone to control and predict the environment is therefore diminished. Context has replaced order and stability. Studies into the transfer of training all begin with the notion that transfer is the problem but Gaudine and Saks (2004) argue that this is too simplistic and doesn't take into account the context. The extent to which transfer is a problem will vary across intervention and across organisational context and it is for this reason that the functionalist dominance of studies to date may be hindering the advancement of the field.

In addressing R2, findings in this paper identify that generalisation is considered more frequently than maintenance. Generalisation refers to the extent to which the knowledge and skills acquired in a learning environment are applied to different settings in the workplace and maintenance focuses on the extent to which changes that resulted from a learning event

persist over time (Brown, 2005). Generalisation therefore implies a more short term notion or snapshot in time, generally soon after the training intervention. This resonates with Fleishman's (1953) study and if we accept the same results now we accept that nothing has changed in the 66 years since then which doesn't lend itself to revelatory insight. The small number of qualitative studies reviewed in this paper did focus proportionally more on maintenance (Fig.1) which offers the chance for revelatory insight by adopting a new research focus to study transfer of training. Considering R2, allows the paper to challenge whether more than 10% of training transfers which is quoted by a large number of studies (Cheng and Ho, 2001; Grossman and Salas, 2011; Velada *et al.*, 2007; Wexley and Baldwin, 1986). Given that generalisation or maintenance have been identified in all of the studies reviewed here, it suggests that 100% of training has transferred to some extent. This paper therefore successfully challenges the notion that only 10% of training transfers and offers a new challenge to researchers to be more explicit when considering their findings and identify whether they represent generalisation or maintenance.

Generalisation and maintenance still only offer a duality of transfer. The findings in this paper have identified that different dimensions can be considered. Figures 1, 2 and 3 highlight that each of the four core purposes of HRD identified by Hamlin and Stewart (2011) can be considered when linking to positive transfer. Three of the core purposes with a more individualistic connotation were more predominant in the findings. This suggests that quantitative studies identify short term generalisation with increases in knowledge or skill which might lead to short term improvement in performance and this has to be a good thing. However, widening the scope to cover different dimensions allows transfer to be considered more broadly and can take into account the effects of improved individual performance on improved organisational performance.

Nikandrou *et al.* (2009) identified the concept of *indirect transfer* where the overwhelming majority of the people in their study who didn't transfer training to their work reported that they had still benefitted from the training. These benefits include being more professional, consistent and caring which should have some positive affect for the organisation as well as enhancing the individuals' feelings of self-worth and increased value. Whilst Dermal and Cater (2013) expressed an opinion that the link isn't clearly explored between individual and company performance, seeking revelatory insight and alternative methods for studying transfer of training suggests that now is the time to explore this in more detail and consideration of the four core purposes of HRD may help with this. The paper identified both a research and practitioner base as the intended audience. Practitioners would seek utility and the intention of the paper was to offer a framework which could be operationalised and embedded into performance management practices. This will now be presented.

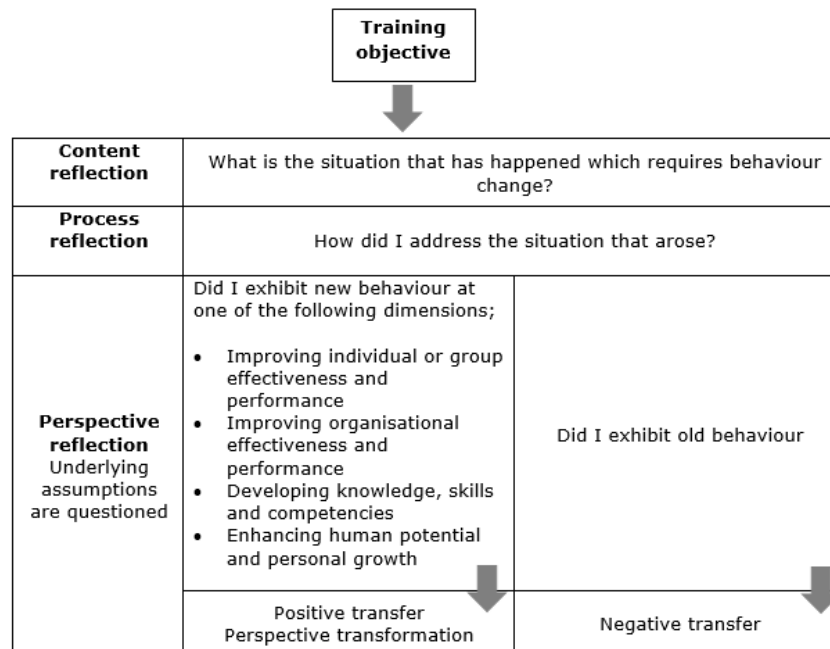
10.Guidance for practitioners

Having identified the predominant scholarship as functionalist, the paper suggests an alternative methodology should be pursued. Given that contemporary organisations are considered to be more context driven, an interpretivist methodology is suggested and so a qualitative research method is advocated. Qualitative research can take many forms such as observation, interview or focus group but the suggested method here is based on a consideration for transformative learning through productive reflection. An appropriate place for this to occur naturally within an organisation is the performance management arena through productive conversations with line managers. This builds on the established body of knowledge, which has highlighted the positive role played by line managers (Burke and Hutchins, 2007; Grossman and Salas, 2011; Nijman *et al.*, 2006). Whilst reflection is generally identified as an individual task the guidance for practitioners here is that the line manager would prompt the employee to reflect by using a structured reflective tool (Appendx 1). Both practitioners and academics will benefit from this approach as the qualitative reflections can be developed into personal development plans for use within the organisation but can also be further analysed through QACDAS software such as Nvivo to identify new and evolving themes.

Transformative learning has been pioneered by Jack Mezirow since the late 1970's (Lundgren and Poell, 2016). The transformative learning process is a rational one which begins with a disorienting dilemma (attending a training course) moving through meaning making (making sense of what has been learned within the context of their organisation) and resulting in transformative insight (evident results based on the new way of working, i.e. positive transfer). Mezirow placed these principles into different forms of reflection (Cranton, 2006). Content reflection (what is happening), process reflection (strategies to address what is happening) and premise reflection (underlying assumptions are questioned and new ways of working established).

Boud et al. (2006) note that the concept of reflection provides meaning at individual, group and organisation level. Loo and Thorpe (2002) found that a reflective learning journal increased awareness of one's own learning and team effectiveness, two of the core purposes identified by Hamlin and Stewart. Walsh (2009) identifies the purpose of reflection to be the development of the individual professional and their own particular practice. Hubbs and Brand (2010) identify reflective learning as an instructional tool to help professionals develop necessary skills. Developing knowledge, skills and competencies is again one of the core purposes of HRD identified by Hamlin and Stewart. These examples of the benefits of reflective practice serve to reinforce the notion that transfer can be measured at the different dimensions associated with the four identified core purposes of HRD. Combining Hamlin and Stewarts (2011) core purposes of HRD with Mezirow's notion of transformative learning allows a new conceptual framework to emerge based on the principle of transformative learning through productive reflection (Fig.7).

Figure 7: A conceptual framework for studying transfer of training through productive reflection



11. Conclusion

The contribution of this paper based on Nicholson et al.'s (2018, p5) conceptual model is revelatory and problematizes (Alvesson and Sandberg, 2011) the notion of transfer of training by challenging key assumptions. The two assumptions being challenged are *paradigm* relating to ontology, epistemology and methodological assumptions underlying existing literature and

field which refers to assumptions about a specific subject matter that are shared across different theoretical schools.

These challenges have led to revelatory insight and offer a new direction for studies into the transfer of training. Whilst many already point to the functionalist dominance in organisational and management theory, this paper has provided evidence to substantiate this. In so doing, it advocates future research considers a qualitative, interpretivist epistemology and methodology in order to unearth new insight and has provided a tool for practitioners to use so giving utility top the paper as well as scientific advancement. The paper has also successfully challenged the notion that only 10% of training transfers. Both generalisation and maintenance have been identified in all of the papers reviewed which suggests a figure greater than 10% is more accurate. What isn't clear is what the generally quoted figure of 10% is based on and whether it addresses generalisation or maintenance. The supposition might be that it only addresses maintenance which is why it is low. A qualitative research focus based on regular performance management conversations can therefore prolong the focus on transfer within the organisational environment. Prolonging this focus takes account of maintenance and so demonstrates a greater value added through the training intervention. Consideration for productive reflection has identified that a multidimensional framework is possible and consideration for the four core purposes of HRD can be the basis for this framework.

12.Limitations and future research agenda

There are limitations to this paper but these serve to highlight opportunities for future research. The first limitation is concerned with analysis of the abstracts. Coding by one researcher alone may be too subjective. This limitation may question the validity of the proposed tool. It is therefore recommended that future collaborations focus on validating the dimensions of transfer through dual coding of the papers identified in this paper. A second limitation is the conceptual nature of the proposed framework. Whilst it is built on a solid platform of empirical evidence from peer reviewed studies, there is no empirical data yet to support the use of it with regards to the transfer of training. It is therefore recommended that both researchers and practitioners begin to use the framework identified in Fig 7 and the tool in Appendix 1 to capture data and begin to analyse the findings.

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Appendix One

Training objective	<ul style="list-style-type: none"> • <i>To be based on the objectives of the learning or training</i> • <i>To be based on the objectives of the learning or training</i> • <i>To be based on the objectives of the learning or training</i>
Forms of reflection	Transformative learning through productive reflection
Content reflection Description of the situation that occurred.	Describe the situational context which required behaviour change. This will be linked to the training objective identified above. <u>Consider:</u> <i>(but not limited to)</i> When did the situation arise? How did the situation arise? Who was involved?
Process reflection Problem solving strategies. How did I address this situation?	How did I deal with the situational context? <u>Consider:</u> <i>(but not limited to)</i> What actions did I take to manage the situation? Did I exhibit the new behaviour? Did I exhibit my old behaviour?
Premise reflection Underlying assumptions are questioned	Did I exhibit the new behaviour? <u>Consider:</u> <i>(but not limited to)</i> What was the reaction? What levels of support did I receive? How have I developed knowledge, skill and competence? Has this contributed to organisational effectiveness and performance? Has this enhanced me personally? How will I ensure I consistently exhibit this new behaviour? Did I exhibit the old behaviour? <u>Consider:</u> <i>(but not limited to)</i> Was the barrier me? <ul style="list-style-type: none"> • Self-belief in my ability • Motivation to want to change? • Lack of understanding as to the new behaviour required Was the barrier the workplace? <ul style="list-style-type: none"> • Time constraints • Operational requirements • Lack of support • Mismatch between goals of the training/learning and organisational goals

Expert Leadership and Hidden Inequalities in a Community Project

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Abstract

This paper explores the development of a mid-range theory that can be used in organisations when considering how to engage multiple stakeholders in a project that requires expert input. The case study presented here is concerned with a ground-breaking approach to integrate heritage, culture and social benefit through the medium of archaeology and heritage. The findings indicated that the 'expert' as a leader of the project created hidden inequalities in the team, preventing the longer-term social outcomes of the project from materialising. A Realist Evaluation (Pawson and Tilley, 1997a) protocol was developed which created an 'intervention', permitting the non-linear and complex interactions between multiple stakeholders to be observed and evaluated. This allowed for the political, strategic, organisational, operational and individual perspectives to be addressed making it a suited evaluative approach to this type of multiple stakeholder project where the expert is also the leader.

Keywords: leadership, community, critical-realism,

1. Introduction

'we must induce men to do their best by encouragement, example and inspiration...it is easy to find foremen with good technical qualifications, and comparatively easy to find them with 'hustle', but it is difficult to find men who can inspire and lead. Yet such men must be found, or made, for the plain fact is that workmen nowadays refuse to be driven, unless we learn to lead them, industry will suffer severely' (Rowntree, 1921, p.98).

Rowntree's analysis of the needs of organisations have continued into the 21st Century. As recently noted, leadership is fundamental to the survival and sustainability of businesses and organisations, maintaining leadership as one of the most researched phenomena within social sciences (Grint, 2008; Thorpe, Lawler and Gold, 2007). Bennis (1959) comments that, 'of all the hazy and confounding areas in social psychology, leadership theory undoubtedly contends for the top nomination' (1959, p.259). More recently, Higgs (2002, p.29) identified the appearance of 2,000 new titles on the topic of leadership most focusing on individual leaders and their characteristics and traits, whilst advocating that although leadership has been studied more extensively than any other aspect of human behaviour, very little is understood about leadership and its defining characteristics. In the 21st Century, Alvesson (2019, p.27) suggests that leadership is a title that fits nicely into a culture of grandiosity, where the labels of impressive and extraordinary rather than mundane are frequently used. Bradford and Leberman (2019) suggest that leadership needs to be regarded as more relational, following the work of Uhl-Bien (2006) moving beyond individualistic and collaborative thinking. Finally, all authors point to the methodological difficulties of researching 'leadership', with much research depending on respondents' questionnaire completion and occasionally interviews; all of which are often leader-centric and quantitative. Leadership is, therefore, a contested subject area, with no agreement as to what leadership is, if it exists and how to research it.

This paper is based on data collected from a project that did not achieve its objectives, and investigates the leadership actions that took place throughout the project, resulting in

the identification of hidden inequalities that affected the achievement of those objectives. The paper takes the form of a case study and the methodology used was Realist Evaluation (Pawson and Tilley, 1997a) which has its philosophical foundations in Critical Realism (Bhaskar, 2008). Critical realism suggests that there is a real social world but our knowledge of it is gathered, interpreted, and filtered through language, culture and past experiences (Greenhalgh et al., 2015). The implication is that each person responds to experiences, resources and opportunities according to their own particular personal, social, historical and cultural frameworks. Greenhalgh et al. (2009) interpret Pawson and Tilley's (1997) foundational elements of realist evaluation as a view that any intervention into the social world needs to evaluate what works in what contexts and for whom, rather than simply, does it work.

Although used widely in the health service (Currie et al., 2015; Greenhalgh et al., 2009; Wilson et al., 2015), the pioneering nature of a critical realist evaluation protocol within the social aspects of both business and community projects is underused. Using a Critical Realist Evaluation framework, the conclusion identifies an intervention that is measurable against agreed multi-stakeholder outputs (Jagosh et al., 2015), pointing towards the need to develop 'collective relational leadership' supporting the conclusions of Bradford and Leberman (2019). It has relevance to organisational behaviour where there is still a need for theoretical development and measurement tools that advance understandings of leadership within wider networks of stakeholders requiring inclusivity and performance enhancement (Sturm et al., 2016; Heslin and Keating, 2016; Cullen-Lester et al., 2016).

2. Case study Context and Value

The research took place during a rehabilitation project which has a national and international reputation concerning the unprecedented use of archaeology and heritage for the rehabilitation and reintegration of military veterans and service personnel into the wider community. The proceeding projects involved only veterans, service personnel and the archaeology community. This new project, which is the focus of the case study in this paper, involved an extension in the objectives to include the sustainable development of an ongoing local community initiative. The new project objectives included:

1. Sustainable social benefit to individuals and the community;
2. Engagement and involvement with hard to reach sectors of the population;
3. Community legacy and benefits to the local economy;
4. Generating positive attitudes towards the importance of community heritage.

The project had failed to achieve the above objectives and the Realist Evaluation protocol has facilitated an enquiry into leadership actions and reactions during the project. The enquiry resulted in a future intervention that would provide a measurable alternative for the leadership of such projects in order for successfully sustainable community driven engagement. The project consisted of a number of stakeholders. The first were the archaeologists including students, professionals and academic members of the archaeologist community, the second included the veterans, serving personnel and their families from the army, and the third was local communities. Data for this study was collected from a range of public sources dealing with the three previous community heritage and archaeology projects, interviews with key stakeholders involved in the current initiative and field notes taken whilst the project was in process.

The case study approach for this paper has been specifically chosen to identify what can be learnt about leadership in a situation that is specifically bounded but contains elements of complex phenomena, particularly nets of connected organisations and the interrelationships between stakeholders (Stake, 2005). It is a choice of what is to be studied rather than a methodological choice (Stake, 2005). Although the outcomes of a case study itself are not generalisable, the analysis is, and multiple case studies following the same case study can become generalisable (Eisenhardt, 1989). The choice offers a case study into leadership in a discipline that does not have a large number of case studies and therefore a lack of exemplars

(Kuhn, 1987), which may provide a contribution to the challenges expressed by Alvesson, 2019, Higgs, 2002 and Bennis, 1959. This case study embraces the reasoning of Easton (2010) and Eisenhardt (1989), that case studies offer a way to generate theory and that Critical Realism by clarifying the actions, nature and variety of mechanism the participants use enables the generation of interventions that are measurable.

3. Literature: Community, Heritage and Leadership

This section develops an understanding of 'a community of heritage', together with a focus on perspectives of power, authority and identity and collective/relational leadership. These particular literatures, concepts and theories are appropriate to understanding the notion of a community of heritage that engages multiple stakeholders with varying levels of expertise and the choices of leadership models that are available.

3.1 What is a Community of Heritage?

Heritage is a multi-faceted "concept of complexity" (Ashworth and Howard, 1999, p.5) which is subject to contestation. It is often regarded as a symbol of elitism inequality (Dicks, 2015; Smith, 2006), with representations of heritage presented by those with expert knowledge who identify the innate value and significance (Smith, 2006). Whilst the disputed nature of heritage is well documented (Graham, 2003; Hall, 2005; Howard, 2003; Smith, 2006; Urry, 2002; Waterton, 2005; 2010; Watson and Waterton, 2011), understandings of heritage can significantly contribute towards a sense of place as well as cultural and social identities (Millar and Kim, 1998; Smith, 2006; Belford, 2011). Consequently, there has been a growing concern to further identify and engage with communities in the co-creation of knowledge (Smith, 2006).

However, there is little consensus regarding the definition of the term community. The concept has a variety of meanings (Delanty, 2003; Hickey et al., 2015; Hoggett, 1997; Little, 2002), which are elusive and vague, with many inconsistencies (Cohen, 1985; Day, 2006). Despite this, the term remains one of the most commonly used by politicians, policy makers and the public (Perkin, 2010), bringing ideas of inclusion and social cohesion (Day, 2006; Hoggett, 1997; Riley and Harvey, 2005). The notion of community is often an implied unified, homogeneous group. Within the context of heritage community, the term was originally summarised in the seminal work by Hillery (1955) as people living in a particular geographic location, where the members have a shared notion of culture, values and attitudes and are engaged in social interaction. The geographic location and the notion of a unified group is still a common definition (Aas, Ladkin and Fletcher, 2005; Wisansing, 2008).

However, Stepney and Popple (2008) claim that in the modern, post-industrial society it is important to acknowledge the diversity of communities, the different groups that exist and the relationships within and between them. Crooke (2010) suggests that by widening the definition of community to include the diverse customs, landscapes, history artefacts and monuments creates an opportunity to capture the power of community as a concept and form of engagement. Community, therefore, is not just about the location of a group of individuals that happen to live in the same place, but it is also concerned with the bonds which hold them together and the common values and beliefs shared (Little, 2002; Bauman, 2001).

The term community, particularly using archaeology and heritage as vehicles for community development, has prompted strategies and mission statements that emphasise the importance of community consultation and involvement (Sandell, 2002; Witcomb, 2003; Newman et al., 2005; Crooke, 2007; Message, 2007; Watson, 2007). Community engagement has, therefore, become a popular sentiment, leading to significant emphasis placed on community participants being actively encouraged to contribute to the construction of heritage meanings and identity (Perkin, 2010). In response, contemporary archaeological approaches challenge the more traditional heritage management and interpretational methods by enabling community-led and non-expert interpretations of objects and the landscape. These alternative narratives provide a capacity to engage those individuals involved (Riley and Harvey, 2005), creating common values and shared beliefs.

Although community engagement can be extremely successful, it can also result in tokenistic and unsustainable projects that erode the trust of communities, leading to a lack of support for future initiatives. For Waterton and Smith (2010), this is particularly problematic in that it perpetuates an apolitical, naturalised view of heritage and an expert-led approach that gives a passive role to communities. A tension can arise between the local communities and the archaeologists positioned as the 'experts of the past' (Kok, 2009, 138). The recent inclusive narrative has created a position change with many archaeologists feeling that communities should be able to participate in heritage projects (Emerick, 2009). However, the type of academic discourse used creates hidden inequalities between community participants (Kok, 2009) and the 'expert leader', leading to a frustrating experience for all:

During a dig in a local village near York, a local community member was highly engaged. This resident had seen the remains of small wharves, that were some distance from the river that passed through the centre of the village. She did some research in the York Minister, interested to find whether the river had moved its course over the years. In the Fabric Scrolls detailing the history of this particular village there was mention of the loading and unloading wharves in the village, and the resident was convinced these were the same ones. When discussing with the leader of the dig, instead of the excitement that she anticipated she stated 'there is a little bit of "he knows better than me"-, he said he would need to see the Latin' (Smith and Waterton, 2009, p.161).

The problem identified by Henson (2009) is that archaeology is a well-defined body of theory and practice that is structured and coherent as a profession. The processual underpinnings of objectivity, rigorous discipline through scientific methods, immediately create identity positions of the 'expert' and the 'lay-person' generating hidden inequalities within the relationships. From experiences in Africa and Australia (Greer, 2014; Breen et al., 2015), a post processual theorizing has come into being which focuses on interpretation rather than just the object itself. This involves the acceptance of multiple narratives and new interpretations based on an emotive root to the past (Jackson et al., 2014; Stepney and Popple, 2008; Greer, 2014). This does, however, require equality between the community and expert voice, without hidden inequalities becoming manifest (Kok, 2009).

This engages with the wider political questions concerning forms of community and the public life that we create. With heritage community engagement, the traditional view emphasises the leadership role of the professional in interpretation and developing the narrative of objects and sites (Breen et al., 2015). In order to engage with community however, there needs to be a critical, post-processual stance that privileges 'practices' based on experiential and actor-driven understanding of place and objects found (Hickey et al., 2015). However, in order to enable the local voice to develop there needs to be an acknowledgement that the heritage expert is in fact the community in which the archaeologist is working (Stephens and Tiwari, 2015). This raises issues around the politics of identity (Breen et al. 2015) and the type of leadership required.

3.2 The politics of identity

Henson (2009) identified that the rigorous discipline of archaeology, through its scientific methods, creates the role of 'expert' in community groups. This then sets the stage for the development of particular identities within the community group, which generates hidden inequalities between the 'expert' and 'lay' voice (Smith, 2006). However, as Miller and Kim (1998) comment, the recovery and interpretation of cultural sites and landscapes can contribute to an individual's and community's sense of belonging. Therefore, it is important to unpick the ideas behind the 'expert' voice and the ensuing identities that are developed.

The first is the notion of ontological politics proposed by Annemarie Toi (Law, 1999). She defines this philosophical perspective as developing a multiple reality which depends on

performance, perception and construction of the individuals involved. This reality within a developing community of heritage becomes based on who does have the right to define and give meaning to the past (Belford, 2011). Perkin (2010) expresses the concern that current politics to view cultural institutions in the role of building social cohesion, reducing hidden inequalities, improving lifelong learning and self-esteem. This, however, requires the expert leader to engage with the community interpretation of the objects, artefacts and site (Greer, 2014), rather than 'reporting, describing or mirroring an objectively existing reality' (Watson, 2000, p.499). The latter performance reverts meaning-making to a 'top-down' model that subsumes 'the community' interpretations (Jackson et al., 2014; Smith and Waterton, 2010; Judson et al., 2014), reinforcing a multiple reality based on ideas of authority perception, power construction and expertise performance within the community group.

Homi Bhabha (1989, pp.234-41), writing from a post-colonial perspective, articulates the link between the way an identity is written and the influence this has on the performance of an individual as 'the problem of authority'. Perkin (2010) suggests that this authority leads to issues of top-down approaches by the 'educated elite' deciding what disadvantaged communities need rather than enabling the interpretation of alternative and diverse histories and empowering communities to celebrate their own unique identities. Jackson et al. (2014) also point to the notion that communities are not something that people or places have; they are what people do in the place they value. There is a danger of the ongoing creation of community engagement projects carefully managed by experts with a passive community voice (Breen et al., 2015). Successful community engagement projects require 'expert-voices' to become mediators and advocates for knowledge, providing the community with tools to explore their own ideas and reach their own conclusions (Perkin, 2010).

3.3 Leadership

When considering the definitions of community, the interplay of identity politics the challenge focuses on the type of leadership required to develop a sustainable community that provides social and economic benefit as well as legacy and positive attitudes towards community heritage. Leadership is problematised, by the archaeological vehicle being used and the need for an expert to ensure that the site is not spoiled. When considering the vast range of leadership styles available the term co-creative, collective, relationship centred leadership, as used by Militello and Benham (2010) in their community change initiative, would appear to be appropriate here. For them it is anchored in notions of social justice and culture. This covers factors such as quality of treatment, individuality, that people in the past, present and future are connected, and that the context – the place and environment- defines people and communities together with a focus on celebratory and appreciative relationships (Benham, 2005; Rawls, 1999).

Freidrich et al. (2009) also suggest that collective, relational leadership takes into account that teams of people are not a homogenous group but that each individual brings a range of skills and expertise to the group, which enables different people at different moments to take on the leadership role. The most important aspect is that of process and role within teams and the relationships that are developed (Uhl-Bien, 2006; Bradford and Leberman, 2019). Collective leadership is defined as social problem solving and is focused on what needs to be done rather than what should be done (Zaccaro et al., 2001). This enables a consideration of leadership as being emergent, informal and dynamic (Contractor et al., 2012). Friedrich, Griffith and Mumford (2016) also identify the importance of network development within collective relational teams.

3.4 Developing a Critical Realist Evaluation protocol and methodology

Kazi (2003, p.23) comments that within realist evaluation the power of interventions lies not in individual events but in the complexity of different structures operating at different levels. In other words, it is a methodological position that has a pluralist approach (Pitman, 2016) enabling the context of multiple stakeholders and their non-linear interactions with resources and strategies to be explored (Vareilles et al., 2015). This means that the political, strategic,

organisational, operational and individual perspectives can be addressed making it suited to this type of multiple stakeholder project. The key lies in the development of a middle-range theory that is big enough to test and refine (Pawson and Tilley, 1997b).

Lacuouture et al. (2015) summarises the methodology as a theory-based evaluation in which it is vital that the specific logic of the intervention (the mid-range theory) is distinguished. The theory is a set of hypotheses that explain how and why the intervention will produce the agreed outcomes. However, there are some discrepancies in how the theory is defined (Marchal et al., 2012). For example, Vareilles et al. (2015) and Doi et al. (2015) identify a distinction between the mid-range theories, suggesting it is a more abstract concept usually taken from other disciplines to inform the development of what they call the programme theory. This particular research uses the definition by Jagosh et al. (2015) and Currie et al. (2015) who utilise Pawson and Tilley's (1997a) original definition of a middle range theory that can be developed using observable data from a case study.

Therefore, using a combination of the four phases, suggested by Doi et al. (2015), and the configuration of developing the context-mechanism-outcome from Vareilles et al. (2015), the intention was to develop a mid-range theory as originally defined by Pawson and Tilley (1997). Table 1 identifies the four phases of the research protocol and the methods used to develop the mid-range theory.

Table 1: Steps within the Realist Evaluation protocol

Phase	Methods
1. Exploring concepts, context and theory	Literature review Case study Interviews with stakeholders Desk review on context from public resources on previous community archaeology projects.
2. Realist review (Based on Vareilles et al. 2015)	Identify context: mechanism: outcome configurations from a triangulation of the case study, data and theory collected in phase 1.
3. Theory refinement following the realist review	Develop mid-range theory based on the Context: Mechanism and Output data
4. Develop Intervention recommendations	Create a model for the intervention from the developed theory

Source: (Doi et al. 2015; Vareilles et al. 2015)

4. Case Study

This archaeological dig took place in the centre of a local town in Northern Britain. There was full access to the site and was an ideal place to start a sustainable community project. The dig was open to anyone to come along and help. There had been many discussions with local community leaders, including the local schools to generate local involvement. This was particularly important for the veterans. It was also a shift from the previous sites used, which were not accessible to the local community. The objectives of the dig were therefore extended to include on-going engagement with the local community and the site, due to the accessibility. During the observations of the dig, one of the most conspicuous absences were members of the local community. There was an expectation that local school children would come to join the dig, and that local residents passing by would at least come over to ask questions and perhaps join in.

One of the problems observed at the dig was the presence of two very strong communities with their own distinct identities. The archaeologists, with the lead archaeologist as the Dig Leader. This group have their own language, common experiences and ways to working that are specific to them. The army, both veterans and serving personal and their

families formed a second strong community. Again, this group have their own language and shared histories and ways of working. The third, group were the local community.

Within the official publication from the dig and through interviews and observations, there is an overwhelmingly positive experience from the student archaeologists using words such as 'inspirational'. More senior archaeologists described the opportunity to teach veterans how to 'properly excavate, draw and record archaeological features' as a privilege. One respondent discussed the idea of community archaeology saying that he 'learned a whole new perspective on community archaeology' with the Defence Archaeology Group (DAG) representing 'the best of community archaeology; a self-sustaining group'. However, this comment is rooted in the processual, scientific ideals of archaeology, not within the wider aspect of community heritage. It was about teaching veterans the 'reporting, describing or mirroring an objectively existing reality' (Watson, 2000, p.499).

Another participant describes a community team of, 'Archaeologists, serving military personnel, archaeology students, veterans and other volunteers'. What is interesting here is the ordering of the groups including the group of 'other volunteers', or the local community. Another interesting phrase used was 'considerable enthusiasm by Time Team Wanabes and their slightly more educated colleagues'. Other interesting phrases included one community member describing himself as 'only an ex squaddie'. There are issues of identity and authority politics in these comments generating hidden inequalities within the ordering of groups associated with the dig and also around the description of community members. Through the observations of the dig, a missing element was the interpretations of artefacts by the various communities involved. As the overseeing community archaeologist stated in an interview that, 'the finds, duly and scientifically recorded were taken away for examination and not open for interpretation'.

Overall, it was felt that the dig was a success and it offered a range of experiences to the serving personnel and veterans. This included personal and reflective space with the option of using creative tools such as painting and writing. However, within the interviews, there was also recognition of the power dynamic at play between the serving military personnel who had a management position on the dig, the archaeologists who were the 'expert' leaders, the veterans and other volunteers, and it was felt that there was perhaps a lack of clarity around roles and responsibilities, linked to the purpose of the dig. This was particularly in terms of interpretation of the dig and the lack of voice given to the veterans and volunteers, as 'non-experts'. This is where several of the local community respondents felt there should be more clarity around the dig and its purpose, as many possible perspectives and interpretations were lost.

For example, a discussion with a veteran revealed the following example. There was an opportunity to think about what happened at the fort being excavated compared with modern day links to armed forces activity abroad. The very fact that the historical Roman soldiers were 'aboard' on deployment was missing through the lack of less scientific interpretation of the artefacts. This to some extent is the area of expertise that the veterans could add to the human element of the dig interpretations.

The positive side of the dig, however, included a core of people skilled in archaeological digs and culture heritage management to assist the veterans and volunteers. For the veterans there was a range of normalisation activities both on the site and in terms of visits throughout the dig. It also provided a safe environment for normalisation activities to take place. Veterans agreed with this point of success. One interesting statement was concerned with trust, 'trust is a big one, because I would say in the civilian sector that a lot of people want to hold your hand'...this is echoed by others, 'you are working as part of a team, but you've got your own area, your own responsibility'. There were also issues raised around the opportunity to join in something that appears to be the purview of experts, 'Archaeology has always appealed to me, but I never thought in a million years that I would ever get a chance. I thought you would have to go to University'. The primary voices silenced in the development of the narrative around the artefacts found was that of the local community and the veterans, which ultimately led to a lack of ongoing community engagement with the dig site.

5. Realist Review

In order to start the process of developing a mid-range theory based on a case study and the literature review, it was important to develop the research questions, based on the objectives of the project, the literature and discussions with key stakeholders:

1. What assumptions did the implementers have regarding the development of a sustainable community?
2. What were the conditions during project that affected the stakeholders and the expected outcomes?

The initial research question concerned the assumptions made by the project implementers regarding the development of a sustainable community. Table 2 demonstrates that all the stakeholders were considering the project from a post-processual perspective (Greer, 2014; Breen et al., 2015). There is emphasis on the equality of all parties due to the expertise that each group brings. This relates to the generation of multiple narratives which are equally valid focusing on interpretation of objects rather than the objects themselves (Stepney and Popple, 2008; Greer, 2014; Jackson et al., 2014). Important assumptions made were that the site offered opportunities for both the veterans and the local community to make links between the past and the present. This would bring the very different communities together through shared experiences developing some common values and understandings (Little, 2002; Bauman, 2001) based on experiential understandings of place and the objects found (Hickey et al., 2015). It would be the development of these bonds that would facilitate the sustainable development of this dig as a resource for the local community (Crooke, 2010).

Table 2: Eliciting the assumptions of the stakeholders

Question	Evidence	Assumptions
How was the community supposed to develop, what were the assumptions of the implementers?	Interviews with veterans' interviews with archaeologists and community archaeologist, data from reports.	<ol style="list-style-type: none"> 1. Expert voices from all participants would be equally valued due to expertise each party brings to the group. 2. There would be parallels drawn between the past and the present. 3. That there would be more creative responses to the dig 4. That participation in the project would help recovery and normalisation for the veterans 5. Engaging with the heritage would act as a trigger for memory or experience. 6. Veterans would gain confidence 7. That the local community would want to be engaged 8. Veterans would be able to identify transferable skills 9. The importance of site accessibility to the local population so that it can become part of the visible community. 10. A good dig, plenty of interesting 'finds'.

The second research question concerns the conditions of the dig that may have affected the actions and behaviours of the stakeholders. Table 3 records the specific context details from the case study. The positive points from the dig included the veterans having very clear ideas around the notion of team building and the teams developed for the dig should have provided the opportunities for the local community to join the dig, as these teams were small with specific responsibility for an area of the dig. The site was also very accessible for the local community, as it was in the centre of town. This should have generated local interest and involvement.

The opportunities for 'normalisation' activities to help the veterans integrate into the community were made available. However, due to the lack of community involvement, these activities did not extend to provide a basis for the sustainable community project envisioned by the project organisers. There were opportunities for creative practice and reflection, however this did not form part of the rich narratives concerning the interpretation of the dig.

Crooke (2010) suggested that to create a modern community the diverse customs and histories, the landscape and artefacts need to be embraced in order to capture the power of community as a concept and form of engagement. The lack of integration of 'non-expert' reflections, creative experiences, the opportunity for connections between past and present providing richer narratives meant that the project did not capture that community power. It also meant that common bonds, values and shared beliefs were not prioritised as part of the 'dig narrative' (Riley and Harvey, 2005).

Table 3: Identification of the context factors

Question	Evidence	Observations
What are the conditions at the archaeology community project that may affect the stakeholders and the expected outcomes	Desk review of the documentation, preliminary interviews with the veterans and key personal at the project.	<ol style="list-style-type: none"> 1. The veterans have a clear link to the development of a 'team' and ideas around re-found comradeship. 2. There were no opportunities to engage with the present and the past creating richer narratives and creativity. 3. There was little opportunity for 'heritage to provide triggers for memory and experience 4. Site did have ease of access during and following the dig 5. There are 'experts', those in charge, students and those with no archaeological experience. There was a lack of ongoing local community engagement. 6. There are routes for inclusion (through teams on the dig). 7. There are opportunities for reflection and creative practice. 8. There are opportunities for responsibility and having 'own section' to dig. 9. There are opportunities for normalisation in evening events, lectures and visits to sites of archaeological interest. 10. There was a safe environment for the dig

Linking the literature review to the assumptions of what the project should be and the context of the project, several primary mechanisms can be identified through the behavioural factors of various stakeholders involved in the project. The first is the crucial need to develop a community that is accepting of multiple narratives and realities due to the very diverse communities that came together for this project.

Henson (2009) suggests that when dealing with archaeology it is important to remember that heritage, what we do and why we do it, provides the relationship between the past and present, rather than treating the past as an object of study. Sustainable communities are formed when participants are actively encouraged to contribute to the construction of heritage meanings and identity (Perkins, 2010). Rather than seeing the project as being formed of three very separate communities, Crooke (2010) suggests that a wider definition of community to include the diverse customs of all groups enables the development of community power. However, this requires an acceptance of multiple narratives and new interpretations based on an emotive root to the past (Jackson et al., 2014; Stepney and Popple, 2008, Greer, 2014). Toi (in Law, 1999) summarises the required mechanism as part of ontological politics. The need to develop and accept a multiple reality, which depends on the making the space for performance, perception and narrative construction of the individuals involved.

Homi Bhabba (1989) suggests that 'the problem with authority' is that it influences the way an individual performs. The processual underpinnings of objectivity, rigorous discipline through scientific methods, immediately create identity positions of the 'expert' and the 'lay-person' generating hidden inequalities within the relationships (Perkins, 2010), creating a 'top-down' leadership style that subsumes lay community interpretations (Jackson et al., 2014; Judson et al., 2014). In order to enable the 'lay' voices to develop there needs to be an acknowledgement that the heritage expert is in fact the community in which the archaeologist is working (Kok, 2009; Stephens and Tiwari, 2015).

From a leadership perspective, there are two mechanisms at work. The first concerns change management. From the literature there is an acknowledgement that an alternative way of managing archaeological projects is needed if there is to be genuine community engagement. This requires equity between the community and the expert voice to ensure that hidden inequalities of 'expertness' do not manifest, altering the community agency and action within the project (Kok, 2009). It involves the need for the leader to accept multiple narratives and new interpretations based on emotive roots to the past rather than the processual underpinnings of objectivity and rigorous discipline through scientific methods (Stepney and Popple, 2008; Greer, 2014; Jackson et al., 2014). Friedrich, Griffith and Mumford (2016) suggest that network development within collective teams would work best in a change management agenda.

In terms of actual leadership style, Freidrich et al. (2009) suggest that for teams of people that are not a homogenous group, but where each individual brings a range of skills and expertise to the group, a collective leadership role is needed. This enables different people at different times to take on a leadership role. Collective leadership also accepts that people in the past, present and future are connected and the context defines the community enabling a focus on celebratory and appreciative relationships. When considering collective leadership an important aspect is that of process and role within the teams and the relationships that are developed (Uhl-Bien, 2006; Bradford and Leberman, 2019). The collective and relational aspect of team leadership therefore enables leadership to become emergent, informal and dynamic, engaging the community as a whole (Contactor et al., 2012). Collective relational leadership would then create a space for the 'expert voice' to become mediators and advocates for knowledge, providing the tools for communities to explore their own ideas and reach their own conclusions based on experiential understandings of place (Perkin, 2010; Hickey et al., 2015).

6. Theory development

The Realist Review above forms the foundations of the mid-range theory. The theory needs to account for the assumptions made at the start of the project, the context of the project and finally the mechanisms that occurred creating certain positions and behaviours in the participants. Finally, the expected outcomes need to be taken into consideration. The results of the critical review have been developed into a grid which details the primary areas of theory derived from the literature review. These include: the development of a community of heritage, the politics of authority and appropriate leadership. Against these theoretical areas the appropriate context, mechanism and output have been identified (Table 4).

Table 4: Contexts, Mechanisms and outputs

Theory area	Context	Mechanism	Output
Development of a Community of Heritage	The site needs to be accessible and located central to the local community	Malton site is in the centre of a large community therefore should have enabled local groups to join the dig Crooke (2010) suggests that by widening the definition of community to include the diverse customs, landscapes, history artefacts and monuments there is an opportunity to capture the power of community as a concept and form of engagement.	Sustainable social benefit to individuals and the community. Community Legacy and benefits to the local economy. Engagement and involvement with hard to reach sectors of the population

	Veterans can become mentors to the local community	Using the experiences, skills and credibility of the veterans to mentor local people particularly those who are socially excluded. .	Engagement and involvement with hard to reach sectors of the population Veterans develop self-confidence and transferable skills. Veterans identify own gained skill base
Politics of Authority	Expert presence which is necessary Links to armed forces life and the underpinning heritage, skills and experience. There are routes for inclusion There are opportunities for reflection and creative practice. There are opportunities for normalisation	Archaeologists become mediators and advocates for knowledge rather than expert voices. Heritage therefore enables archaeology to see the relationship between the past and present rather than treating the past as an object of study but to articulate what we do and why we do it (Henson 2009). To focus on the 'why' which is embodied in the 'politics of authority'. In terms of 'communities of heritage' this identifies with the 'practices or the experiential, actor-driven understanding of place put forward by Hickey et al. (2015). There needs to be an acceptance of multiple narratives and new interpretations based on an emotive root to the past (Jackson et al. 2014; Stepney and Popple 2008; Greer 2014).	Opportunity for diverse interpretations from the community, veterans and archaeologists. Generating positive attitudes towards the importance of community heritage. Community legacy. Engagement and involvement with hard to reach sectors of the population.
Collective/relational Leadership	The veterans have a clear link to the development of a 'team' and ideas around re-found comradeship. There are 'experts', those in charge, students and those with no archaeological experience. There are opportunities for responsibility and having 'own section' to dig.	Collective relational leadership takes into account that teams of people are not a homogenous group, but that each individual brings a range of skills and expertise to the group, which enables different people at different moments to take on the leadership role in a community (Militello and Benham 2010; Bradford and Leberman, 2019). Collective leadership: Friedrich, Griffith and Mumford (2016) also identify the importance of network development within collective teams and that it works best in a management of change agenda	Sustainable social benefit to individuals and the community. Engagement and involvement with hard to reach sectors of the population. Community legacy and benefits to the local economy.

	There was a safe environment for the dig		
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Taking the main points identified in the theory refinement it is possible to consider the elements missing in the project, which manifested in hidden inequalities developing and the project failing to meet the sustainable community objectives. These hidden inequalities included the loss of positive agency, acknowledgment of non-academic expertise, and a lack of importance given to the ideas around 'the practice' associated with artefacts, and links between past and present, This lack of importance removed the community voice and their engagement with and commitment to the on-going project potential. The consequences included a lack of sustainable engagement from the local community and a loss of opportunities for the veterans to develop the softer skills of mentoring and self-esteem improvement through community engagement.

7. Conclusion

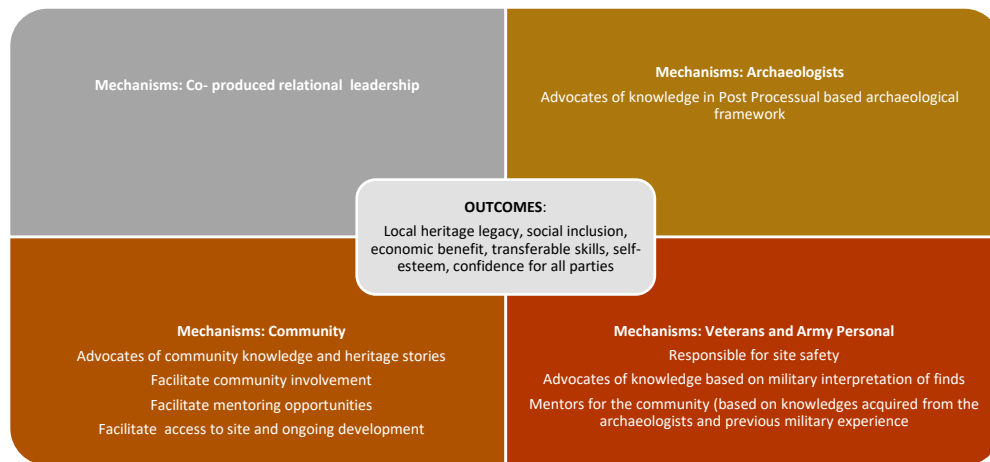
The mid-range theory for the intervention suggests that there needs to be a change in the style of leadership for these types of community projects, particularly where traditional leadership approaches appear to create hidden inequalities, based on perceptions of expertise and power (Riley and Harvey, 2005; Waterton and Smith, 2010). By using a form of collective relational leadership, together with an understanding of what this means, the mechanisms for a sustainable project fulfilling the project objectives would be possible (Bradford and Leberman, 2019; Uhl-Bien, 2006). The mechanisms include being clear about roles with the 'experts' becoming mediators and advocates of knowledge rather than recorders and keepers of artefacts. This would support multiple experiences and narratives, enabling voice to be given to community ideas and conclusions. The outcomes would then provide the legacy of rich narratives involving the 'human experience' of the past and present, social inclusion through the veterans' mentor involvement, economic benefit, increased transferable skills for all those involved and an increase in individual confidence as leadership is collective rather than attached to the 'expert' (Emerick, 2009; Kok, 2009; Perkins, 2010).

Mid-range theory for community project development.

*'The use of collective relational leadership and management (**Intervention**) will enable the 'experts' to become mediators and advocates of knowledge, supporting multiple experiences and narratives, generating alternative community driven ideas and conclusions (**Mechanisms**) providing legacy, social inclusion, economic benefit, increased transferable skills and individual confidence (**Outcomes**) in a sustainable community of heritage (**Context**).'*

It has been identified within the context of this case study that using specific mechanisms, the outcome potential of community-driven engagement to create meaningful on-going collaborations between organisations and local communities is achievable. The specific roles identified would enable the facilitation of social cohesion, reducing social exclusion, improving individual self-esteem and encouraging life-long learning. The mechanisms advised included moving to a collective relational leadership model, with specific roles for each of the groups, as detailed in Figure 1.

Figure 1: Mid-Range Theory (Authors: 2019)



Within an organisational behavioural context, it is possible to see how the development of a mid-range theory based on the context and required outcomes can inform leadership research through a critical realist case study methodology. The research methodology provides the mechanisms needed to achieve agreed outcomes. The methodology, although enabling an examination of leadership action, takes an anti-leadership centric position. This privileges the assumptions of all stakeholders, the agreed objectives of the leadership role, the stakeholder's actions and reactions to practices and includes identification of the various stakeholders' actions and reactions (Alvesson, 2019). The resultant mid-range theory detailing the mechanisms needed to achieve agreed outcomes provides a tracking tool that would identify whether the mechanisms were successful. In addition, it provides a continuous improvement model that enables the mechanisms in respect to the context and outcomes to be refined in light of actual experience and progress monitored.

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Design Thinking and Development of Empathy and Agency through Reflective Learning Processes: High Touch Creativity in the New Technological Age

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Abstract

Complex organizational problems and the integration of new, sophisticated technologies requires HRD to consider tools and techniques that develop creative ability and human-centered design. This paper reviews HRD-related literature on design thinking, using concepts from reflective practice. The literature indicates that reflection is integral to all design thinking phases, as is empathy and agency. These have the ability to not only transform the creative thinking abilities of people but change collective theories-in-use and organizational culture.

Keywords: Design thinking, human resource development, reflection, reflective practice

1. Introduction

The world is currently going through a major shift of economic and social priorities that will affect practice and research in Human Resource Development (HRD). This shift has been characterized as the Second Machine Age or the Fourth Industrial Revolution, involving the development of artificial intelligence and the Internet of Things that will replace many jobs in the future as well as create new ones that are based on what humans do well: creative work within ambiguous contexts that are not easy for technology to model (Bennett, 2018; Brynjolfsson and McAfee, 2014; Lee, 2018; Ford, 2015; Ross, 2016; Skilton and Hovsepian, 2018; Yonck, 2017). Some scholars worry this age is creating greater inequality among people and nations, partially due to differences in technology capacity and learning agility (Bashir, Ali, Asrar and Babar, 2015; Bennett and McWhorter, 2017; Eubanks, 2017; Hallenbeck, 2016). General innovation is critical during this transition, and to sustenance of livelihood, but so also is social innovation. The public's expectations of organizations is changing, demanding organizations not only practice corporate social responsibility, but become social enterprises that work across sectors to solve unmet social needs (Bennett and McWhorter, 2019; Ferrell, Fraedrich and Ferrell, 2015; Mulgan, 2015). The workforce will need to retool significantly during this transition and consider how best to work across disciplinary and organizational boundaries.

HRD as a field needs to address techniques, update theories, as well as engage in practice-oriented research to help transition an increasingly globalized and cross-cultural labor force to adopt new jobs and skills necessary for working within systems that contain both people and high technology (Bennett, 2018; Bennett and McWhorter 2019). One technique for innovation is Design Thinking (DT), which has been in design fields for a number of years, but is more recently entering HRD publications (Bennett and McWhorter, 2019; Chermack and Coons, 2015).

Recent conceptual analysis of social innovation found that DT has the ability to capitalize on human traits to build empathy and agency for solving problems in business and society (Bennett and McWhorter, 2019), which means that reflection, though often not discussed in the DT literature, is a critical element to each step of the design process so that effective and ethical solutions are created. Thus, DT is important to HRD. The purpose of this paper is to offer an initial look at DT and reflection in HRD related articles. The paper first presents a brief conceptual frame that describes design thinking processes and key theorists selected to describe reflection. It then discusses methods of finding HRD related literature on

design thinking, and offers findings on reflective learning within design thinking, and ends with implications for the field.

2. Conceptual Frame

The conceptual frame for this paper is derived from two areas. The first is Design Thinking literature inspired primarily from trade publications and books, and some research studies. The second is reflection and reflective practice. These are detailed in the following sections.

1.2.1 Design thinking

Design thinking engenders collaboration, building of community, innovation, creative process and human-centered design (Naiman, 2017), and organizational learning (Liedtka, King and Bennett, 2013). It is defined as “a problem-solving approach with a unique set of qualities: it is human centered, possibility driven, option focused, and iterative” (Liedtka, Salzman and Azer, 2017, p.6), and is currently available to a varied range of people and problems (Bersin, Solow and Wakefield, 2016; Brown, 2009; Brown and Wyatt, 2010; Dorst, 2011). DT crosses sectors (public, for-profit, and nonprofit), using a variety of methods to make sense of complexity (Kolko, 2015; Shapira, Ketchie and Nehe, 2017). At its heart is human empathy (Brown, 2013; McDonagh and Thomas, 2010; Nenonen, 2017).

Design phases in DT can be characterized as “a system of overlapping spaces rather than a sequence of orderly steps” (Brown and Wyatt, 2010, p.2). These spaces were further organized by Brown and Katz (2011) into three major components: inspiration, ideation, and implementation. A few model expand DT into more phases, but empathy is always noted as critical for inspiration to understand a problem from new vantage points and for thoroughly defining a problem (see: Institute of Design at Stanford, 2010; Interaction Design Foundation, 2018; Gibbons, 2018). Ideation is generative, and includes developing and testing concepts to find workable solutions. Implementation is characterized by prototyping and testing learn more about the potential solution and o address problems and unintended consequences. Alongside empathy, designers must act using agency, which is the belief that problems can be solved through DT (Bennett, 2019).

Empathy occurs when designers are “innovating through the eyes of the end user” (Langa, 2017, para. 14) and agency inspires action. Action is not only the action of the designers, but that of the community that needs the solution, since the solution must be accepted and implemented to work. This process creates more culturally appropriate and feasible answers to perplexing problems, and reflection works behind the scenes to help designers alter their own point of view to adopt the view of others, unveiling potential design pitfalls as well how to achieve buy-in to the solution. Designers must be able to confront their own assumptions and potentially change world views through reflective learning processes (Bennett and McWhorter, 2019). Part of these learning processes involve gut feelings, hunches, or abductive reasoning that comprises the artistic side of design (Brown and Katz, 2009; Martin, 2009).

An example from the literature is a report of a study abroad trip to Nepal described by Langa (2017). The purpose of the trip was to have students from Stanford University address high premature infant mortality in a resource-poor nation. Stanford is well known for design thinking (see <https://dschool.stanford.edu/resources/a-virtual-crash-course-in-design-thinking>). The students spent time in the context to analyze the problem, knowing that Nepal does not have the same medical or material resources as a resource-rich nations such as the United States or those in Europe. Lack of resources significantly restricts potential solutions. The end product was a low-tech incubator that did not require infants to remain in hospital. Pots of warm water were used to keep the infant’s bed and home environment at a lifesaving temperature, which parents could do at home for little cost. This example suggests reflection may be key to move a project through various iterations to achieve outcomes that work within the context, which often includes less-than-ideal conditions.

1.2.2 Reflection

Concepts for reflection and reflective practice supporting this paper are primarily drawn from Kolb's (1984) reflective observation, and the work of Argyris and Schön (1996) and Schön (1983), which involves theories-in-use and reflective practice characterized by intuition and experimentation that have the potential to be transformative. Theories-in-use includes both formal and espoused theories and informal theories to guide action, creating potential dilemmas in practice when these theories don't explain observations or problems (Argyris and Schön, 1996).

Reflection occurs in divergent situations in practice, which may involve tacit norms that underpin assumptions and judgments, how a problem is framed or on strategies inherent in behavioral patterns, and an intuitive sense of the environment (Schön, 1983). These very components of reflective practice are integral to design work that creates that which has not been existed before and may even challenge social dynamics and power structures (Bennett and McWhorter, 2019). Double-loop learning is said to occur when there are changes in assumptions, strategies, and values of theories-in-use (Argyris and Schön, 1996)

Kolb's (1984) reflective observation is an important part of the experiential learning cycle in which people think about a concrete experience and development divergent ideas about the experience. It is a highly generative mode of learning that sparks building or reframing abstract concepts, or mental models, and generating ideas for experimenting to test out theories that further understanding. Kolb identified reflection as a key component of divergent thinking that helps generate possibilities and assists abstract conceptualization by identifying what is known or not known about a problem. Current theories-in-use are likely challenged during design work and social innovation (Bennett and McWhorter, 2019), and the design process develops new theories-in-use. The paper will demonstrate that DT involves reflective practice and reflective learning processes to overcome prior assumptions and flawed initial understandings, and to create workable solutions others will accept.

3. Method

The purpose of this paper is to present a conceptual analysis of practice and research publications on Design Thinking that involve reflection in HRD-related literature and to consider the overlay reflective processes. Books and trade publications were used to develop the conceptual frame for the paper, particularly for DT processes. A Boolean literature search for HRD related DT articles was conducted using a combination of terms. An academic library combined search engine accessed multiple databases, such as EBSCOhost and Proquest, filtering by peer reviewed publications between 2009 to 2019. Table 1 shows the final group of papers, their sectors, and which ones explicitly connected reflection. All searches used either Human Resource Development or Human Resource (HR) to find papers within HR/D. The latter was used when search results with HRD alone did not yield many results. The first search was for all papers that involved HR/D and Design Thinking, and then the terms Reflection and Experiential Learning were added to capture any additional papers. There were 47 papers in the initial sample; however, many of the papers involved design and not design thinking and so were eliminated. Additionally, two articles were calls for papers on technology in two HRD journals and so were eliminated since they were not substantive.

Table 1: Results of the literature search on DT and HR/D

Sector	Articles	Explicitly Mentioned Reflection
Design	<ul style="list-style-type: none"> • Liu, Chang, Yang, and Liang (2018) • Serrat (2010) • West (2014) 	<ul style="list-style-type: none"> • West (2014)
Education	<ul style="list-style-type: none"> • Henriksen, Richardson, and Mehta (2017) • Lake, Ricco, and Whipps (2016) • Vasilieva (2018) • Welsh and Dehler (2012) 	<ul style="list-style-type: none"> • Henriksen, Richardson, and Mehta (2017) • Lake, Ricco, and Whipps (2016) • Welsh and Dehler (2012)
Health	<ul style="list-style-type: none"> • Beaird, Geist, and Lewis (2018) • Roberts, Fisher, Trowbridge, and Bent (2016) 	
Hospitality	<ul style="list-style-type: none"> • Lub et al. (2016) 	
Human Resource and Organization Development	<ul style="list-style-type: none"> • Bennett and McWhorter (2019) • Chermack and Coons (2015) • Karakas and Manisaligil (2011) 	<ul style="list-style-type: none"> • Bennett and McWhorter, 2019
Management	<ul style="list-style-type: none"> • Dunne (2018) • Elsbach and Stigliani (2018) • Kurtmollaiev, Pedersen, Fjuk, and Kvale (2018) 	<ul style="list-style-type: none"> • Elsbach and Stigliani (2018) • Dunne (2018)
Social Entrepreneurship	<ul style="list-style-type: none"> • Paina (2018) 	

Seventeen papers comprised the HRD related peer reviewed papers. Finally, the term Reflect was used to search within each paper to confirm explicit mentions of reflection. This yielded seven papers that explicitly connected DT with reflection across four of the seven sectors. There were analyzed to understand reflection and DT in HR/D related literature. Next, we look at the results of analyzing the papers for reflective learning processes.

4. Reflective Learning in Design Thinking

The literature reviewed demonstrated reflection is a critical part of all stages of DT because the design process is highly iterative, relying on new insights and ideas. It is a socially constructed process that involves solving problems for a larger social context, but also within naturally multidisciplinary DT teams (Bennett and McWhorter, 2019; Elsbach and Stigliani, 2108; Welsh and Dehler, 2012; West, 2014). All articles reviewed mentioned the iterative nature of DT. Though it seems linear on paper moving from inspiration to ideation to implementation, DT in described in the papers is far more ambiguous with overlapping phases and returns to former phases when needed. Next, we will look at major influences on reflective learning, including experiential learning, empathy and agency, context and theories in DT and both personal and organizational outcomes of DT.

1.4.1 Experiential Learning and Reflection

Design thinking is learning through the experience of creation (West, 2014). It requires divergent and convergent thinking (Bennett and McWhorter, 2019; Henriksen, Richardson and Mehta, 2017; Welsh and Dehler, 2012) with several authors explicitly linking DT to Kolb's

(1984) experiential learning theory as designers go through stages of reflective observation, abstraction of ideas and experimentation. Reflection was seen as a dialectic that looked inward toward a designer's thoughts and outward to the situation (Welsh and Dehler, 2012), and a way of tapping into tacit insight (Bennett and McWhorter, 2019). Reflection powers problem redefinition, brainstorming, and revisiting prototypes throughout the creative cycle (Welsh and Dehler, 2012)

Reflection is critical to leverage thinking and doing (Henricksen et al., 2017) and it is predicated on answering 'why' questions (West and Dehler, 2012). While scientific research tends to use deductive and inductive reasoning, DT also uses abduction for finding good solutions from among possibilities, which requires pattern recognition and intuition paired with perceptive ability about the context (Bennett and McWhorter, 2019; Dunne, 2018; Lake et al., 2016). The process of design was described as sensemaking (Welsh and Dehler, 2012) that becomes a dialogue or argument built through interplay of ideas and embodied in the process and products of DT (Henricksen et al., 2017; Lake et al., 2016; Welsh and Dehler, 2012). Reflective practice is seen as key to all stages of DT, but so also was empathy.

1.4.2 Empathy

As noted previously, empathy is critical to DT, and it was explicitly connected to the beginning stage of inspiration where designers take the perspective of solution beneficiaries and define the problem. However, a common theme is that empathy is needed throughout design phases as solutions are socially negotiated. Empathy takes the perspective of others (Bennett and McWhorter, 2019; Dunne, 2018; Elsbach and Stigliani, 2018; Henricksen et al., 2017; Lake et al., 2016; West, 2014) and is associated with qualitative ethnographic methods in DT, especially during need finding and problem definition (Elsbach and Stigliani, 2018). Elsbach and Stigliani (2018) further showed that organizational cultures that were empathetic were more likely to signal user-centricity and collaboration necessary for break through designs. Feelings and emotions are critical to design, both for the designer and the users (West and Dehler, 2012) and they help designer's reframe throughout the design process (Henricksen et al., 2017), but organizations based on a belief in rationality and objectivity may ignore or be suspicious of emotions. Empathy alone, however, is not sufficient for developing solutions; action is required.

1.4.3 Agency

Agency was explicitly named as critical for DT (Bennett and McWhorter, 2019; Lake et al., 2016; Welsh and Dehler, 2012). Defined as the "belief that one can act to create change" (Bennett and McWhorter, 2019, p. 225), it manifested in the literature under various terms. These included autonomy (Dunne, 2018; West, 2014), self-determination (West, 2014), self-efficacy (Henricksen et al., 2017) and creative confidence (Henricksen et al., 2017; Lake et al., 2016; Welsh and Dehler, 2012). Agency was also associated with risk-taking and entrepreneurial attitudes (West, 2014). Interestingly, high performance or a focus on affordances of design was seen as key to developing competence, which produced confidence that could be applied to future design problems (Welsh and Dehler, 2012). Agency, however, can be derailed by organizational culture and structures that are focused on efficiency, quantitative reasoning, bureaucracy, and hierarchical infrastructure (Bennett and McWhorter, 2019; Elsbach and Stigliani, 2018). Agency is not only critical for getting DT off the ground, but the process of design helps create a "do something mind-set" (Lake et al., 2016, p.169).

1.4.4 Contextuality and Working Theories

This literature review found that DT is highly contextual, and there is a mutual influence between the process of design and the larger social systems that use the design, which calls for theorizing about one's experience and developing working theories and hypotheses about solutions (Elsbach and Stigliani, 2018; Welsh and Dehler, 2012), and modifying existing organizational theories. Resisting conformity, DT is open-minded exploration that challenges

existing norms, values, and assumptions (Bennett and McWhorter, 2019; Elsbach and Stigliani, 2018; Welsh and Dehler, 2012). DT implementation and use can change organizational culture and extant rules of action (Elsbach and Stigliani, 2018; West, 2014), as well as capacity for organizational reflectivity and critique (West, 2014). This mutual influence demonstrates a highly potent process for developing and altering theories-in-use. It also indicates that creative thinking can be learned at the individual and organizational-collective levels (Bennett and McWhorter, 2019; Henricksen et al., 2017). Thus, the outcomes of DT can be far more complex than a one-off design.

1.4.5 Summary and Outcomes

Looking at the themes in the literature, it is clear that reflection is needed to leverage empathy and agency and is enacted within a social context that has the power to curb or support DT. DT is fraught with dynamic ambiguity and conflict. Outcomes not only include elegant, human-centered designs, but also critically reflective practitioners (Welsh and Dehler, 2012) and creative thinkers (West, 2014). Designers learn to empathize (Bennett and McWhorter, 2019), develop reflective ethical capability (Lake et al., 2016) and the ability to learn from failure (West, 2014). The very notion of creativity as an inborn trait is challenged (Henricksen et al., 2017). When used with intentionality, it can expose prejudices, break down artificial disciplinary knowledge barriers, foster egalitarian processes that value diverse ideas and decenter power structures with a belief in the contestability of all ideas (Welsh and Dehler, 2012). When allowed freedom, DT can transform people and organizations in both concrete and abstract ways.

5. Implications for HRD

Though there has been a call for HRD professionals to become designers of environments in virtual HRD (Bennett and McWhorter, 2018) and a proposal for more interdisciplinary design training involving HRD and technologists (Bennett, 2010), there were few peer reviewed HRD articles found in this review, indicating DT has not yet found its place in HRD. Only seven of the 17 articles found were reviewed for this paper due to the specification of reflection, and so a next step is to review the whole batch and expand the analysis beyond reflection.

DT represents a significant area of opportunity to adopt a new technique and potentially execute collaborations between HRD professionals and designers in degree programs and in practice. As technology advances, a pluralistic approach is needed (Welsh and Dehler, 2012). Implementing DT can not only solve problems through creative and reflective processes, it can also transform organizational systems and theories-in-use. This transformative element would allow HRD to function strategically at individual and collective levels. To work well, design teams need independence but not necessarily isolation, a sense of mission, but not micromanagement of how to fulfill it.

DT functions at a meta-learning level where people become more aware of their own biases and assumptions as well as those of their field and within the cultural context in which they work. This transparency can assist organizational transformation. It best functions when there is intrinsic motivation (West, 2014), producing creative, reflective practitioners needed for a future in which humans and sophisticated technologies exist within the same systems. Threats to DT are groupthink when only a few ideas are raised and accepted with little question (West, 2014). HRD professionals can benefit from training in DT, and considering how to remove organizational barriers to innovation, including cultural constraints (Bennett and Bierema, 2010).

Designing-in empathy must be a first step, which occurs by observing, experiencing, and understanding the circumstances of the end-recipients of innovation. DT will not function well if this first stage is shortchanged. Combining DT with reflection would help HRD practitioners to practice "high-touch" techniques (Swanson and Holton, 2001, p. 383) and ensure optimal learning and design outcomes. DT could be used to design virtual environments for virtual HRD, and for organizational development initiatives. The field could

benefit from research studies that more thoroughly investigate how DT transforms thinking and promotes organizational learning and change. However, DT as a reflective tool is under-researched in HRD and so there is significant opportunity to study how theories-in-use influence the design process and how new theories of action develop. One way to do this is to analyze reflective journals, artifacts, and the developing narrative of design (Welsh and Dehler, 2012). Continuing to understand the connection between the social context and DT is critical, particularly organizational views on ethnographic methods, tolerance for risk, and the way failure is handled.

6. Conclusion

DT is especially indicated for human-centered professions, such as healthcare and education, but can be difficult to implement in challenging environments with little time for reflection (Henriksen et al., 2017). Some practitioners may embrace DT and others consider it a fad that will pass in time. However, DT seems to have staying power for the time being. When intentionally paired with reflective processes, it seems promising for providing a solid technique for HRD to use to design future organizational systems and jobs, focusing human talent on the things that cannot yet be replicated by machines: creativity, emotion, empathy, and high touch, ethical practice.

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How could the formal same gender dyad mentoring for women be adjusted to be a better tool to combat skill shortages in management, from the case study participants' perception?

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Abstract

A shortage of managers seems to be evolving alongside a shortage of skilled workers. Germany's potential labour force is predicted to decline by more than 6 million people between 2010 and 2025 (BMAS, 2017). The Federal Employment Agency sees women as having the greatest and most easily utilised potential to become skilled specialists. Therefore, in 2005, the state government of North Rhine-Westphalia initiated a mentoring programme called "Cross Mentoring OWL" for the advancement of women in the region of East Westphalia-Lippe (OWL). Presently there is only limited research exploring the effectiveness of female same-gender dyad cross mentoring in counteracting skill shortages in top management. Through a qualitative approach, this study is meant to address this gap and provide an understanding of why women seek same-gender mentoring. This research study's purpose is to present recommendations to the management of the mentoring programme "CrossMentoring OWL" on how to improve the programme so that it better meets the needs of the region in terms of skill shortages in management.

Keywords: Same-gender mentoring, cross mentoring, mentoring women, formal mentoring, professional mentoring, skill shortage

1. Paper Importance

There is an already noticeable negative trend which will worsen in the next few years: the number of skilled specialists is decreasing, which means the number of potential managers will decline accordingly. Luckily, women have great potential to counteract this developing dearth. Around 6.3 million women of working age are unemployed - many with medium and high qualifications. In Germany, only 55 percent of employed women are employed full-time, meaning Germany ranks second-to-last in the EU. In other words, many other EU countries have more working women and thus display women's potential in the labour market (Bundesministerium für Arbeit und Soziales, 2011, p.20). According to 30 percent of HR managers, this shortage is the greatest bottleneck in acquiring potential managers (QZ, 2017; Scholz, 2017). This concern is shared by more than 36 percent of all companies in the German federal state of North Rhine-Westphalia, as is reflected by the statement that skill shortage is the greatest risk to economic development (IHK NRW, 2015, p.3).

Mentoring traces its origins to Greek mythology some 4,000 years ago (Clutterbuck et al., 2017, p.2). The concept originated in the earliest stages of human civilization and has historically been conceived as a transformative relationship in which an experienced person helps a less-experienced person realise his personal and professional goals. However, only in the past 35 years has this phenomenon attracted significant attention from researchers, policy-makers, wider professional bodies, and employer organisations due to the widespread emergence of mentoring programmes. Presently there is only limited research exploring the effectiveness of female same-gender dyad cross mentoring in counteracting skill shortages in top management. Through a qualitative approach, this study is meant to address this gap and provide an understanding of why women seek same-gender mentoring. Mentoring has evolved into multiple forms and become an essential vehicle for change in every branch of society, be it business, the military, highly privileged and economically powerful individuals,

or desperately underprivileged and disempowered individuals. Mentoring is positively affecting the lives of tens of millions of people (Clutterbuck et al., 2017, p.1).

According to Noe (1988), women and men equally require mentors. Scandura and Ragins (1993) determined that, due to the lack of females in high-power positions in organisations, the likelihood of cross-gender mentorship is greatly increased. White et al. (2017) state that access to female role models in power positions of decision making and leadership is particularly important for women. Godshalk and Sosik (2000) argued that, in a cross-gender mentoring relationship, attributes like identification and interpersonal comfort are expected to be lower. They thus concluded that cross-gender mentoring is expected to be less effective. Furthermore, Allen, Day, and Lentz (2005) determined that participants of same-gender relationships perceive greater degrees of interpersonal comfort due experiences being shared by the partners. Within the literature regarding mentoring relationships, the subject matter of gender similarity was emphasised by Ragins (1997), Allen and Eby (2003), and Ragins and Cotton (1993).

According to Koberg, Boss and Goodman (1998), Ragins and MCFarlin (1990), Scandura and Williams (2001), and Thomas (1990), same-gender mentoring relationships beget greater benefits than cross-gender mentoring dyads. According to Bozer, Joo, and Santora (2015) these findings reflect the majority of studies relating to this topic. There are different lenses through which mentoring can be viewed: mentoring philosophy, mentoring context, mentoring application or practice, mentoring dynamics, mentoring conversation, or mentoring programme (Clutterbuck et al., 2017, p.1).

This research first examines mentoring through the lens of “mentoring application or practice”, as this study relates to a particular group of people (mentees of the “CrossMentoring OWL” programme located in East Westphalia-Lippe). Second, it changes its perspective to the lens of “mentoring programme”, as it is meant to explore actions available to the management of the mentoring programme “CrossMentoring OWL”. These actions may improve the programme so that it better meets the needs of the region in terms of skill shortage in management (Clutterbuck et al., 2017, p. 2). This research attempts to evaluate whether this programme’s mentees identify role modelling as an essential function of a mentor. Clutterbuck (2004) and Kram (1980) identified role modelling as one of the main functions of a mentor. Only a few studies directly address the dynamic of role modelling in mentoring, and those tend to separate role modelling and mentoring. For some reason, role modelling is regarded as a passive activity, at least according to Clutterbuck et al. (2017). However, Clutterbuck (1998) wrote that being a role model and using role models are skills which must be learned. The researchers believed, based on their own experiences, that having a role model is extremely helpful and motivating, and nothing else can provide those benefits in the same manner. This research is a response to requests from Stufflebeam (2007) and Murphy and Lewes (2017) to follow mentees beyond the ends of their programmes in order to assess the sustainability of mentoring programmes. This suggestion links to what Le Comte and McClelland (2016) recommend: further field research on ongoing utilisation of skills by participants after their mentoring programmes end.

2. Theoretical Base

The gender gap in leadership positions is an extremely important topic for debate in the discussion of inequality on a global scale. Particularly because there are gaps in both labour force participation and leadership, but the leadership gap is twice as large (Woetzel et al., 2015). The McKinsey Global Institute analysed data from international labour organisations and found that only 36 percent of leadership positions globally - such as legislators, senior officials, and managers - are likely to be held by women. In the case of senior executive positions within firms, the gap between men and women is even larger: only 25 percent of such positions are staffed with women (Woetzel et al., 2015). Over 64 million women are globally affected by gender inequality in leadership positions, and this blocks economic potential. 551 million women perceive wage gaps despite believing they do similar work (Woetzel et al., 2015).

Germany's companies are increasingly confronted with a new form of skilled labour shortage. In addition to engineers, doctors, or researchers, they are increasingly lacking suitable top managers. This trend is described in a study by a Basel-based research institute which was updated in August 2017 (Sorge, 2017). 30 percent of HR managers believe that the greatest bottleneck in the skill shortage can be found among potential managers, as reported by QZ (2017) and Scholz (2017). Only 21 percent believe that this is the case for skilled workers with specific vocational training. 27 percent of European HR managers declare the shortage of managers to be the biggest challenge for their companies, at least according to Scholz (2017).

The effects of demographic change on the labour market can already be seen today. In southern Germany, for example, the situation is very tense for some occupations, and this contrasts with eastern and northern Germany. From a long-term perspective, however, the consequences of demographic developments will affect companies in all federal states. Across Germany, companies will have to adapt to the fact that the number of employed people will continue to decline. Competition between companies for the best workforce will intensify significantly in the near future, as reported by the Bundesministerium für Arbeit und Soziales, the Bundesministerium für Wirtschaft und Energie, and the Bundesagentur für Arbeit (2017).

The key question is: who can do the work of tomorrow? This research primarily focuses on people who have been on the margins of the labour market. Women are one such group. Besides a shortage of skilled workers, a shortage of managers seems to be developing. Germany's potential labour force is predicted to decrease by more than 6 million people between 2010 and 2025 (Bundesministerium für Arbeit und Soziales, Bundesministerium für Wirtschaft und Energie, and Bundesagentur für Arbeit, 2017). The Federal Employment Agency sees women as having the greatest and most easily utilised potential to become skilled specialists. Therefore, in 2005, the state government of North Rhine-Westphalia initiated a mentoring programme called "Cross Mentoring OWL" for the advancement of women in the region of East Westphalia-Lippe (OWL is the German abbreviation for East Westphalia-Lippe). The mentoring programme is designed to be both a support system that aids women in navigating structural societal issues and a method of raising awareness of the structural issues that affect women and thus influence change.

North Rhine-Westphalia (NRW) is a federal state located in the western half of the Federal Republic of Germany. The state capital is Düsseldorf, while its largest city is Cologne. North Rhine-Westphalia is home to moderately sized and family businesses. Almost 99.5 percent of the 755,000 companies in North Rhine-Westphalia are family businesses. This makes the region very unique (Ministerium für Wirtschaft, Innovation, 2017).

East Westphalia-Lippe (OWL) is a region of North Rhine-Westphalia that is strongly influenced by small- and medium-sized enterprises (SMEs). About 70 percent of the employees in OWL work in SMEs (Schwarze, Frey, and Tapken, 2014). In 2017, women accounted for 45.6 percent of the total workforce in East Westphalia and for 41.1 percent of academically qualified professionalsⁱ (IHK NRW - Die Industrie- und Handelskammern and V., 2018). The Bisnode study on women in management in East Westphalia-Lippe identified that, although considerable potential for qualified women is available, no strategies have yet been found to consistently and continuously increase it (Schwarze, Frey and Tapken, 2014). In 2014, 18.2 percent of women were in the top and middle management in East Westphalia-Lippe.

Since 2011, European funds (ERDF) have been made available for implementing projects of the Ministry of Labour, Integration, Health, and Social Affairs of North Rhine-Westphalia. In all of its regions, numerous projects with innovative approaches are in the process of implementing the central objectives of the initiative. Particular commitment is devoted to the following aspects: (1) increasing the employment rate of women in enterprises; (2) qualification and further training of employees in companies; (3) preventing young people from quitting their training and studies; (4) recovering professional qualifications as formal qualifications (Jansen, 2015).

The programme "CrossMentoring OWL" was established in order to support women in East Westphalia-Lippe so they can ascend the corporate ladder into management and

therefore support companies in closing their skills shortage gaps, as requested in the action plan of the federal ministry (Bundesministerium für Arbeit und Soziales, 2011). The programme "CrossMentoring OWL" is a women-only approach and consists of two levels: the regular meetings of the tandem relationship between mentor and mentee, and the supporting programme. The supporting programme offers the participants and representatives of the participating companies a platform for exchanging experiences and discussing topics in events and workshops. The content of these interactions is related to the operational and individual areas of management and development.

The mentors act as role models for the mentees, according to the findings of Allen, Eby, and Lentz (2006), and Steele and Fisman (2014). These researchers determined that role modelling is often part of mentoring and that it may also occur when the mentor holds a position to which the mentee aspires. In accordance with Kram (1985) and Allen, Eby, and Lentz (2006), identifying a mentor as a model must occur to facilitate the process of role modelling. This process is eased by individuals having similarities, as was stated by Ragins (1997) and Allen, Eby, and Lentz (2006). This research is a response to requests from Stufflebeam (2007) and Murphy and Lewes (2017) to follow mentees beyond the ends of their programmes in order to assess the sustainability of mentoring programmes. This suggestion links to what Le Comte and McClelland (2016) recommend: further field research on ongoing utilisation of skills by participants after their mentoring programmes end.

3. Research Purpose

In order to address the identified gaps in the predominant understanding of female same-gender dyad mentoring in counteracting skill shortages in top management, the objectives of this proposed study are:

- Providing insight into how the lives of the mentees had been influenced two years after the programme ended.
- Developing comprehension of why women seek same-gender mentoring.
- Exploring an explanatory theory that associates skill shortages in management with the effectiveness of CrossMentoring OWL.
- Describing the extent to which CrossMentoring OWL meets its goal according to the perspectives of the mentees and the experts.

4. Research Question/s

From the perspectives of the case study's participants, how could formal same-gender dyad mentoring for women be adjusted to be a better tool for counteracting skill shortages in management?"

5. Data Collection

In applying the principles of constructivist ground theory, research data was gathered via focus groups and semi-structured interviews to explore potential amendments or extensions of the programme. Data was collected from key informants (namely the former mentees), experts (e.g. a representative of the chamber of industry and commerce in East-Westphalia-Lippe), a representative of the equal opportunities officer in Bielefeld, female managers of the region East-Westphalia-Lippe, human resource managers, and decision makers. The following Figure 3 provides an overview of the applied methodology.

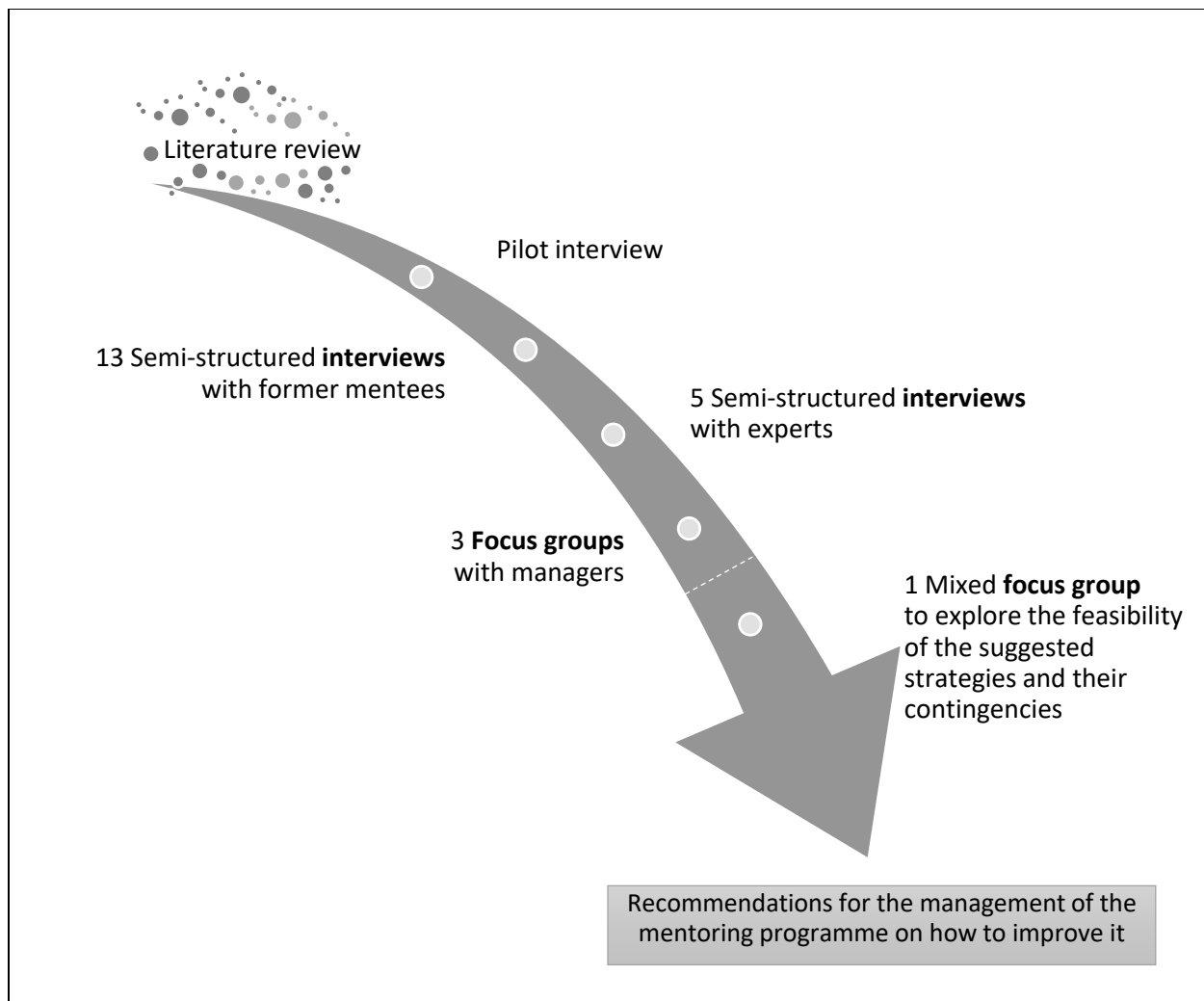


Figure 3: Overview of the Applied Methodology

A pilot interview with a former mentee was conducted after an initial literature review. After this, the researcher held 13 interviews with former mentees of the programme, 5 interviews with experts in the field of skill shortages and the advancement of women in the region East Westphalia-Lippe, and 3 focus groups with experienced managers. The data were then analysed according to the principles of the grounded theory approach. This was followed by a mixed-focus group to explore the feasibility of the strategies found and determine whether their consequences would be contingent upon these strategies. The last focus group consisted of four participants of differing sex, age, and background. Among them were a former mentee, a young male manager of the region, and human resource managers who were familiar with the programme.

6. Data Analysis

In grounded theory, the researcher attempts to ascertain occurrences in the setting, in people's lives, and in the recorded data. Codes emerge as the data are scrutinised and meanings in it are defined. Through this active coding, the researcher repeatedly interacts with the data, as this might lead to unforeseen concepts and new research questions (Charmaz, 2006). According to Charmaz (2006), coding generates the "bones" of grounded

theory analysis, while theoretical integration assembles these “bones” into a working “skeleton”.

7. Data Interpretation

For this research, the method of constructivist grounded theory was applied and the coding procedure of Strauss was followed, meaning there was a three-step coding process which included the use of a coding paradigm. Therefore, after initial and focused coding, the researcher sought to further scrutinise the data via additional coding. Through this technique, developing and sorting concepts according to relevance was possible. The coding paradigm helped the researcher think systematically about the gathered data and pose questions about how categories or data relate to each other.

Instead of an explanation of the studied social process, constructivist grounded theory research typically concludes with the researcher’s interpretive comprehension of how the participant creates his or her understanding of reality. In this manner, the analysis relating to time, culture, and context reflects both ways of thinking, i.e. that of the participant and that of the researcher (Hallberg, 2006). This approach helped develop actions for the management of the mentoring programme “CrossMentoring OWL” on how to improve the programme so that it better meets the needs of the region in terms of skills shortages in management.

8. Implications for HRD Practice

8.1 Practical Implications

East Westphalia-Lippe is part of NRW and is one of the strongest economic regions in Germany, with around 140,000 companies, one million employees, and a gross domestic product of more than 60 million euros per year (OWL OstWestfalenLippe - Gesellschaft zur Förderung der Region mbH, 2017). The supply and demand of managers in East Westphalia-Lippe (IHK NRW - Die Industrie- und Handelskammern und V., 2018) indicate the bottleneck in manager supply there. In 2017, there was already a lack of 3,800 managers in the region. This number is estimated to increase to 4,200 managers by 2020. The Chamber of Industry and Commerce estimates that there will be a lack of 5,500 managers in 2030 (IHK NRW - Die Industrie- und Handelskammern und V., 2018). The programme “CrossMentoring OWL” is a special cross mentoring programme for women in East Westphalia-Lippe and was established in 2006 to support women who wished to enter management positions. So far, more than 82 companies in East Westphalia-Lippe have participated in cross mentoring (which involved 181 tandem meetings), as many companies recognise the predicted shortage of specialists and managers. Mentoring increases the chance that companies will motivate women who have realistic self-assessments to accept management tasks and thus form successful management teams with broad competence (Tigges-Mettenmeier, 2017).

8.2 Social Implications

The Federal Employment Agency sees women as having the greatest and most easily utilised potential to become skilled specialists and identified significantly higher labour participation rates in northern and western Europe (Bundesministerium für Arbeit und Soziales, 2011, p. 6, 2013, p.5). According to Rao and Tilt (2016), highly qualified women rarely reach the top management of companies and organisations despite greater diversity among board members having been linked to improved organisational performance via new insights and perspectives. Ragins and Kram (2007), Vongalis-Macrow (2014), and Moss, Brigitte, and Meier (2017) determined that there is a serious lack of female role models, and this has the effect of weakening the confidence and aspirations of younger women, as ascertained by Vongalis-Macrow (2014). Picariello and Waller (2016) stated that a mentor of the same sex can serve as a role model and be perceived as a woman who successfully overcame barriers to professional advancement.

Woetzel et al. (2015) wrote that three elements are needed to achieve the full potential of women in workforce: 1. gender equality in society, 2. economic development, and 3. a shift in attitudes. Therefore, gender inequality at work is mirrored by gender inequality in society. There is a broad spectrum of affirmative action for women, and this includes important measures like quotas for women's participation in roles at different levels from which they were previously excluded or in which they are still underrepresented, like leadership positions. Female leaders act as role models, mentors, and sponsors to other women and girls. Hence, more women in management positions would help dissolve stereotypes and encourage girls and young women to pursue careers in business, engineering, science, technology, etc. Utilising the unused potential of women in the job market would be a long-term method of sustainably counteracting the predicted skill shortages (Richardson, 2007; Bellmann and Hübler, 2014; Iredale *et al.*, 2014; Bhanugopan *et al.*, 2017; Riley, 2017; Welle, 2017). All of this is necessary to achieve equality in workforces and societies and therefore boost the economy.

9. Conclusion

If women played the role that men do in labour market, women could boost the global annual gross domestic product by adding 28 trillion USD (an increase of 26 percent) (Woetzel et al., 2015; UNWomen, 2017). This potential is roughly equivalent to the size of the combined United States and Chinese economies (Woetzel et al., 2015). Approximately 250 billion euros could be added to the GDP of Germany through gender parity (Schwab et al., 2017). This study is meant to address the identified gaps in the understanding of female same-gender dyad mentoring in counteracting skill shortages in management. This research is also meant to make recommendations to the management of the programme on how to improve it.

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Digital competence and SMEs: Review of the relevant literature

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Abstract

In the new digital world, globalisation as well as automation have reduced the number of routine, low-skills jobs. Instead, we see a rising demand in jobs with tertiary education and a shift in an enhanced skills set that could enable organisations to seek new opportunities and product innovations. Therefore, the European Union (EU), and various national governments, emphasised on the need of digitally capable graduates to satisfy organisational needs (Bilal et al., 2017; European Union, 2015; Stifterverband für die Deutsche Wissenschaft, 2018; Staatssekretariat für Bildung, Forschung und Innovation SBFI, 2017). As SMEs make out a large proportion of most national economies, it is worthwhile exploring how SMEs value digital competences on behalf of potential recruits (graduates).

Keywords: Digital competence, SMEs, graduates employability

1 Introduction

Digital transformation peacefully and universally challenge and change the way we work. Demirkan, Spohrer and Welser (2016) defined digital transformation (DT) as “the profound and accelerating transformation of business activities, processes, competence, and models to fully leverage the changes and opportunities brought by digital technologies and their impact across society in a strategic and prioritized way” (p.14). New emerging technologies such as mixed reality, cognitive computing, block chain, artificial intelligence have an big impact on work conduct (Gartner, 2017) which makes it paramount for business enterprises to seek the required digital capabilities to master the new challenges and exploit new opportunities (Economist, 2014; Aepli et al., 2017; SECO, 2017; Bughin et al., 2018). Digitalisation and automation are gradually reducing low skills and routine jobs (Economist, 2014; Organisator, 2016; Aepli et al., 2017; Demirkan et. al., 2016), further shifting to non-routine and knowledge based jobs (SECO, 2017). Furthermore, as organisational teams become more heterogeneous and interdisciplinary in nature, it is not only the digital competence that are required, but also cross-sectional skills such as communication and other soft skills (Bughin et. al., 2018; Aepli et al., 2017; SECO, 2017). As such, a new set of highly demanding skills was introduced by the EU, namely the *digital competence* (EU, 2015). Recently, digital competence has become a key concept in the discussion relating to the skills the workforce should possess (Ilomäki et al., 2016).

Having most national economies comprised by SMEs (e.g. SMEs make out 99.7% of all organizations in Switzerland - Fueglistaller, Fust, Brunner, 2018; Floyd and McManus, 2005), it is worthwhile looking into the role digital competences play for SMEs workforce. Due to their limited resources, SMEs are specifically dependent on the proper selection and allocation of their workforce and of their skillset (United Nations, 2005).

The current literature on the concept of digital competence is rather heterogeneous though, as such a thorough literature review on this topic seems to be justified also with regards to implication on the HRD for SMEs. Therefore, the purpose of this paper is to discuss the concept of digital competence and to raise awareness of their importance for the successful operation of SMEs in the digital business environment. Initially, the challenges SMEs are facing in the digital environment are discussed. Secondly, the paper presents a systematic literature review on digital competences in an attempt to address the literature gap and thus to suggest future actions on addressing it. The paper also aims to generate discussions for future research on digital competence. In this digital environment, there is a

need to provide clarity as to how digital competence are defined and evaluated in the literature and how organisations could respond to future challenges. The paper is structured as follows. Firstly, we suggest the methodology used to identify the most relevant sources relating to our topic. Then, our literature review discusses the challenge of digitalisation for SMEs, followed by general suggestions in relation to digital competence. We continue by referring to specific digital competence clusters, namely the digital professional expertise, the digital methodical expertise, digital social competence, and the digital self-competence, all of which inform our understanding of digital competences. Finally, concluding remarks are offered.

2 Methodology

This literature review paper discusses the challenge of digitalisation for SMEs. To serve its purpose, several books, research and conference papers, dissertations etc. were reviewed. Databases such as Google Scholar, Web of Science, JStor, EBSCO library, British Library EThOS, and Science Direct were accessed. Our literature review was limited only to those sources featuring one or more of the chosen keywords within their abstract, main body, or title, as well as being published in English or German in various academic journals or included in books. The inclusion criteria comprised key search terms such as *'digital competence'* *"SMEs in digital world"*, *"digital economy"*, *"digital revolution"*, *"graduates' skills in digitalised world"* etc. The inclusion criteria were also informed by the year of publication, as well as the country where the research was conducted. All other search results, without a primary focus on the key search terms, were excluded.

3 SMEs and the challenge of digitalisation

For most European economies, SMEs are the drivers of economic prosperity due to their specific expertise and innovation potential growth (Lindner et al., 2017). However, they often find themselves in a conflict to meet long term strategic goals and to live up to the challenge of a fast paced digitalization of their business environment. Goerzig and Bauernhansl (2018) highlight challenges such as customer involvement, iterative development and increasing business orientation that arose from digitized products and services, all of which requiring new approaches and methods. New digitized products and services are often mentioned in conjunction with the term internet of things (IoT). Sensors and resulting data are valuable to companies and may lead to new business models such as the case with Rolls Royce selling turbine / flight hours instead of turbines as they are able to calculate the price of a turbine hour due to the large data they collect from the turbine's sensors. Some companies even create a virtual, digital product of their physical product with this data and call this digital instance of their product the "digital twin". Understanding such technologies, as well as the capability of making sense, typically of a vast amount of data derived from the sensors, is an important capability that can be assigned to the essential skill set of employees who want to be prepared for the DT and its challenges.

However, SMEs are confronted with the challenge of having less resources than their global corporate counterparts. This leaves them only a limited scope of action to respond to the rising complexity of their business environment that often involves a substantial increase in costs (Lindner et al., 2017). Cravotta (2019) has developed a framework of challenges that German family firms are facing arising from digitization and highlights three main characteristics of family businesses: more human / less informal and therefore more flexible attitude, close relationships with customers and the difficulty to raise equity. Less financial resources, less DT specific know-how and the heavy burden of daily business are hurdles SMEs are facing regarding DT (Goerzig and Bauernhansl, 2018). Lindner et al. (2017) have raised a wide range of challenges: To begin with, it often does not suffice to introduce new IT infrastructure to keep up with digitalisation – although automation reduces the pressure on head counts and enables leaner processes (Lindner et al., 2017). However, investments need to pay off and high costs are also occurred through the necessity to meet legal requirements and high quality and professional standards. With regards to their workforce new man-machine-settings require new attitudes and skills. Also, Köffer (2015) identifies four core

aspects leading to tensions in digital workspaces: collaboration, compliance, mobility and technostress. Finally, in order to remain competitive, SMEs are required to understand, adapt or even anticipate customer needs at a very high speed (Lindner et al., 2017). In high turbulent environments, relying on past knowledge and procedures is no longer possible as existing concepts are not fit to provide answers to completely new challenges and settings. Instead, improvisational capabilities such as creativity and out of the box thinking are required (Pavlou and El Sawy, 2010).

So how can SMEs respond to the challenges outlined above? Sometimes, there are quick wins to be gained: digitalized home office work space (Di Domenico, Daniel and Nunan, 2014) or the use of digital media has eased the pressure on heavy infrastructure (Lindner et. al., 2017). But more importantly, to compete within the constantly evolving environment, many SMEs turn to open innovation by involving customers more directly and at an early stage of the development process (Scuotto et al., 2017). This can be achieved by resorting to agile methods: client focus, iterative and incremental working methods enable a faster product cycle and increased customer satisfaction with substantial positive effects on business outcomes (Lindner et. al., 2017). Being small or medium sized, SMEs are specifically prone to resort to agile methods. Scuotto et.al. (2017) have shown that agility can impact an SME's innovation performance more than twice as much than in-house R&D Activity. To do so, they need to ensure that their workforce is competent enough to meet those challenges and thus to drive the business forward.

Agility however, is not only a mere work technique, it has to encompass the entire organisation which has to develop dynamic capabilities in order to be successful (Garavan et al., 2016). Dynamic capabilities is a term that refers to "... higher-level competences that determine the firm's ability to integrate, build and reconfigure internal and external resources/competences to address, and possibly shape, rapidly changing business environments" (Teece, 2012) This form of capability applies to employees and management alike and therefore Li et al. (2018) refer to the term of dynamic management capabilities (DMC). Even though IT is a driver as well as enabler of DT management, DCM play an important role to support changes to the business models, organizational strategy as well as culture by building strategic business alliances (ibid). Especially in SMEs the CEO is involved or takes important decisions and he/she should therefore be involved in the process of decision making regarding DT topics (Goerzig and Bauernhansl, 2018) and thus engage in acquiring DMC. With regards to the workforce it is obvious that a whole range of new capabilities is needed to help to stem the challenges of digitalisation in the SMEs.

4 Systematic literature review of digital competence

The discussion above has shown that SMEs employees require a new set of competences that will enable them to master the challenge of DT. In order to understand the construct of digital competence, we thoroughly reviewed the relevant literature. Interestingly, there is not a common definition of "digital competence" and academic literature suggests that further investigation and empirical research is needed in this field to reach a common understanding (Murawski and Bick, 2017; Prifti et al., 2017). However, the emergence of new competence that could help organisations to stem the digital transformation in the context of the new work is unquestioned (Bedwell et al., 2014; Davies, Fidler and Gorbis, 2011; Hartmann and Hundertpfund, 2015; Murawski and Bick, 2017; Pan and Seow, 2016). Also, there is an understanding, that digital competence is a transversal key competence which enables the acquisition of other key competence as well (Ngoasong, 2018; Vuorikari et al., 2016; Sefton-Green, Nixon and Erstad, 2009; Susskind and Susskind, 2015). Since academic sources on digital competence are still scarce and ambiguous, the authors also included practitioner-focused publications.

Despite the "jargon jungle" (Ferrari, 2012), there are several concepts of digital competence that are very similar in their essence. According to Ala-Mutka (2011), digital competences encompass instrumental knowledge and the skills for an extensive set of capabilities such as tool and media usage, advanced skills and knowledge for communication

and collaboration, information management, learning and problem solving, meaningful participation as well as attitudes towards strategic skill usage in intercultural, critical, creative, responsible and autonomous ways. The author further argued that this concept has a generic character and needs to be tailored to specific target groups (ibid), supporting the postulation of Hoel and Holtkamp (2012) to consider a specific context. A recent definition of digital competences that considered an organisational context is the one developed by Vieru (2015, p. 6718): "Digital competence consists in the ability to adopt and use new or existing information technology to analyse, select and critically evaluate digital information in order to investigate and solve work-related problems and develop a collaborative knowledge body while engaging in organizational practices within a specific organizational context". Digital competence is a new type of competence that goes further and involves new components and greater complexity, at the same pace as the society is becoming more digitalized (Ferrari et al., 2012). Ilomäki et al. (2016) provide a thorough review of the most recent policy papers on the concept of digital competence. These authors define digital competence as a set consisting of: technical competence; the ability to use digital technologies in a meaningful way for work, study and in everyday life; the ability to evaluate the digital technologies critically; and the motivation to participate and engage in the digital culture. Brown et al. (2018) define digital competence as "the set of knowledge, skills, attitudes, abilities, strategies and awareness that is required when using ICT and digital media to perform tasks, solve problems, communicate, manage information, behave in an ethical and responsible way, collaborate, create and share content and knowledge for work, leisure, participation, learning, socializing, empowerment and consumerism." (p.84).

Hartmann & Hundertpfund (2015) identify the following digital competences: Consolidation of information and knowledge, social intelligence and understanding, critical and flexible thinking as well as dealing with cultural and social heterogeneity. Further, they name the abstraction and modelling as well as using digital tools as further digital competences (ibid). Creative and productive thinking, informal and self-determined learning as well as virtual cooperation add up to their list of digital competences (ibid). They develop their classification based on the results of the "Future Work Skills 2020" report and the report of the German Ministry of Education and Research "Kompetenzen in einer digital geprägten Kultur¹" (Bundesministerium für Bildung und Forschung, 2010).

The proposed concepts of digital competence cover a very wide range of capabilities and skills. In the following section will give more detail on how digital competences have emerged from the challenges of digitalisation. Furthermore, to get more structure in the "jungle" of competence (Ferrari 2012), the various aspects will be categorized. Also, a categorization provides the benefit of supporting the process of operationalisation - which will ultimately be required in order to make use of digital competence by SMEs. There are various options to categorize competence starting from the mere distinction between hard and soft skills (North et al., 2013) down to elaborate competence matrices that are aimed at providing practical support to the business (Erpenbeck, 2012). This paper uses the well-established four general categories by Erpenbeck (2012) as the main building blocks for the digital competence: a) professional and b) methodical expertise, c) social competence and d) self-competence.

4.1 Digital professional expertise

Due to the interconnection of machines, products, materials, robotics and other technologies an enhanced understanding and professional expertise in the field of technology grows in importance (Hammermann, Stettes, 2016). Software development and the management of various digital networks raises demand for technical experts. Although those employed in non-tech professions are not likely to possess coding or programming skills, they still have to be able to use the software applications effectively due to the certain and wide-ranged impact on their daily work routine (Schweizerischer Bundesrat, 2017; Sure, 2016). Consequently, everyone should have a certain understanding of how new technologies work and are applied (Abele, 2017). The author even alleges that all employees should learn programming languages in the future, such as Java, to deepen the understanding of technologies (ibid).

With the increasing regulation of the virtual sphere, legal knowledge for instance regarding data protection laws (Sure, 2016) and the rights and possibilities to protect one's identity and anonymity is critical (Porath, 2011). In order to be able to evaluate data, the ability to do the statistical analysis is vital (Davies, Fidler and Gobris, 2011). In addition to the technological basic skills, general business knowledge and understanding of business links becomes more important in the digital age. Hammermann & Stettes (2016) suggest that business knowledge fosters flexibility, adaptability and personal initiative. To be digitally competent, a person should possess a broad general interdisciplinary knowledge and understanding of the connections between different disciplines (Davies et al., 2011). The increase in networking between the teams also requires excellent language competences (Davies et al., 2011) or at least fluency in English is crucial, since most technical data are produced in English (Abele, 2017). Having all points considered, it is critical for all kind of businesses including SMEs to carefully consider whether their existing workforce possess the skills required, as well as to develop the most appropriate recruitment and selection practices, and training and developmental activities, to attract and retain highly digitally competent employees to drive the business forward.

4.2 Digital methodical expertise

The growing amount of information, as well as the accelerating speed of change, require the ability to prioritize and select data according to specific business problems, further emphasizing the importance of analytical competences, such as critical, process-oriented and networked thinking (Porath, 2011,; Davies et al., 2011,; Swiss Federal Council, 2017,; Ashoff, 2017; Eilers et al., 2017). The ability to screen out the important data of the information flood is viewed as critical - though this can be supported with the appropriate technology and processes (Davies et al., 2011). However, employees should not only be able to work with sets of big data and focus on the relevant information, they must also be competent to analyse, evaluate and contextualise the given data (Susskind and Susskind, 2015; Grzybowska and Lupicka, 2017). Diverse opportunities and multiple alternatives are bound to become overwhelming specifically in the context of decision-making (Herrmann, 2017; Grzybowska and Lupicka, 2017). In order to succeed in this, one needs to elaborate a critical, innovative and reflective approach at work (Murawski and Bick, 2017) which should also include research skills – especially for young people (Grzybowska and Lupicka, 2017). Finally, as work moves away from routine tasks, project orientation and project management skills should be developed (Herrmann, 2017; Murawski and Bick, 2017). Such competence presents a valuable element of an SME's success; thus, many SMEs welcome employees with such a skillset to support their business' growth and sustainability.

4.3 Digital social competence

Digitalisation requires the use of new communication technologies. This begins with advanced reading and writing skills which are essential for daily communication such as email but also for the production of relevant web-contents on the internet and intranet (Porath, 2011; Susskind and Susskind, 2015). Employees are also expected to communicate at ease via social media or video conferences which requires presentation and moderation skills (Schweizerischer and Bundesrat, 2017; Herrmann, 2017). As online-shops change the classic retail model, customers often make use of the consulting services in shops and order the goods online. In this case, specific consulting competence as well as social competence are required (e.g. for the sales force). Salespersons should be able to persuade a customer to buy the goods in the shop instead. Even cashiers now work as consultants at self-checkout stations at the supermarkets. Therefore, there is a rise and a high demand for social competence on behalf of employees (Aeppli et al., 2017). Lehmann and Wendt (2001) talk about a higher service and quality orientation among employees. The interconnectedness of technologies forces experts from diverse disciplines to work together on a temporal or virtual basis, embedded in rather fluid (holocratic) and heterogenic structures. This requires a high level of communication and cooperation competence (Sure, 2016; Eilers et al., 2017).

According to Lehmann and Wendt (2001), assertiveness to make one's point clear and show that a certain action leads to results and being able to negotiate make up a part of social competence in the context of new work. Social competence becomes more important especially through virtual collaboration across long distances (Hammermann and Stettes, 2016). Lehmann and Uepping (2001) emphasise the increased importance of teamwork and the necessity to coach and motivate other team members. Accepting new communication forms and fostering them is just as essential as the ability to show empathy and desire for cooperation (Lehmann & Wendt, 2001).

Since virtual teams are dispersed, a new type of social competence is required in a digital world. The main challenge is to motivate team members to work towards a common goal by communicating effectively with each other (Davies et al., 2011). The authors further argued that one of the most important qualities for a successful cooperation in a virtual environment is emotional intelligence that could enable team members to discern others' emotions and show appropriate reaction to them (ibid). In the context of globally dispersed and multi-cultural teams intercultural competence is deemed to be critical as well (Davies et al., 2011). Frey and Osborne (2013) believe the human and social perceptivity to be an important social competence. Supporting and taking care of others as well as showing empathy towards employees and customers will be increasingly important in the digital age.

4.4 Digital self-competence

Finally, digitalization has a direct impact on the personality, one's attitudes and behaviour. Employees are facing chances and risks of the digital transformation and are forced to adapt to changes at their workplace incurred by this transformation. They need to understand their role and the interaction with the new automated processes (vom Berg et al., 2010, p. 10). Life-long learning through self-reflection, self-management and the ability to find a proper work-life-balance is important (Lehmann and Wendt, 2001; Hammermann and Stettes, 2016; Siemann, 2016).

The employees bear the responsibility for their impact on others and their employability (Eilers et al., 2017). As employees are likely to work remote and the setting of their jobs becomes more project oriented it is critical that they should take over responsibility concerning their own employability. This involves being kept well informed of developments and trends in the labour market as well as continuous learning beyond their narrow field of expertise. The technological progression has also evolved in the way of learning. One should be open to new learning approaches and learning in groups. Employees need to be resilient, show high level of perseverance and adaptability (Z_punkt The Foresight Company, Centre for Research in Futures and Innovation, 2014). "That means people will need to be more adaptable and flexible in their career aspirations, ready to move on from areas that become subject to automation, and seize new opportunities where machines complement and augment human capabilities" (Brynjolfsson and McAfee, 2014, p.203). Creating one's own differentiating but congruent "brand" in the real world and in the virtual space is essential in the context of employability but also in the context of employer branding: SMEs can benefit from positive employee self-images in the virtual space using them as immediate ambassadors for the enterprise.

Resilience, recovery skills, spontaneity and intuition as improvisational capabilities and disciplined flexibility, ability to learn and act quickly and judiciously as dynamic capabilities are required (Pavlou and El Sawy 2010). This can only happen when people are willing to embrace and accept change and be open to new ideas (Swiss Federal Council 2017). Leaving the comfort zone and experimenting with new approaches requires creativity and out-of-the-box thinking (Neuburger, 2015, p. 10, (Pavlou and El Sawy 2010). Lehmann and Wendt (2001, S. 219) use the term "innovation ability" while Herrmann (2017) calls it the "entrepreneurial spirit". According to Brynjolfsson and McAfee (2014, p.191f.) creativity is one of the most important methodological competence since until today no machine has been invented that is as innovative and acts as entrepreneur as a human despite the progresses in Artificial Intelligence. Brynjolfsson and McAfee (2014, p.191) elaborate on this idea: "Ideation

in its many forms is an area today where humans have a comparative advantage over machines". And "Computers [...] are still machines for generating answers, not posing interesting new questions" (Brynjolfsson and McAfee, 2014, p.192). Nevertheless, the authors still emphasise the need for humans to learn to co-work effectively with machines and robots (Brynjolfsson and McAfee, 2014).

This literature review clearly suggests that digital competence comprise all four dimensions of competence with an increasing emphasis on the importance of self-competence. The implications for SME's and their HRD strategy could also be evidenced: there is a clear need to focus more the development of "T-shaped" careers (Demirkan and Spohrer (2015), referring to employees which have a generalist profile (broad) as well as a specialization in a specific field (narrow) resulting in a T or specializing generalist profile. The need for I-profiles (specialist) will not disappear but the need for broader understanding of the business context and an extensive soft skill set to communicate within DT environments as they are becoming increasingly complex is in rising demand. As to that, HRD professionals should design and develop training programmes for their employees to ensure that they are up-to-date in relation to their skillset. Thus, HRD professionals should remain sensitive to all changes performed within business environment to secure that they are ahead of competition.

5 Concluding remarks

The systematic review of literature on digital competences and skills has shown that the gap exists in literature regarding the exploration of digital competences in SMEs. As a result of the review there is a strong need to discuss the importance of digital competences within SMEs as they comprise more than 95 per cent of all organisations. This paper represents the first attempt to discuss the importance of digital competences for the human capital bearers working for SMEs. If SMEs want to prosper in the digital economic environment, there is a necessity to employ and develop digitally competent workforce.

We argue that there is a growing interest on examining the relationship between graduates' digital competence and the likelihood to be recruited by SMEs. It is important to evaluate whether promoting graduate digital competence can improve SMEs competitiveness. Having graduate underemployment became a real problem, many graduates are unable to utilise their knowledge and skills to their benefit. Therefore, there is a need for greater emphasis on setting learning outcomes to reflect a broader, ideological shift regarding the role of universities, increasingly perceived as serving 'market' or 'knowledge-based economy' (Boden & Nevada, 2010; Prokou, 2008). Recent changes in the socio-political environment ('Brexit', economic reforms, higher education changes and tax changes) reinforce the necessity to explore SMEs attitude towards graduate talent and the identification of 'good practices' that can be adopted to address the issues highlighted above. The study could prove vital to policy makers in order to review how SMEs are supported in the current digital economy. This includes changes in regional development policy, support mechanisms and higher education curriculum development. We need to go beyond the traditional skills based perspective like technical skills and assess how skills and competence are utilised in a digital environment, especially amongst SMEs. There is also a need to address call for undertake more rigorous research on digital competence (Spante et al., 2018).

Furthermore, research is nascent with regards to graduate digital competence within SMEs through a cross-national comparative evaluation. Thus, a comparison between the Swiss and the British case could provide critical insights into this relationship through the lens of 'different' national models in education and public policy. Exploring the Swiss approach to digital competence and SMEs decisions will shed some light into the future direction of the UK's approach to competence development outside the EU.

The review also shows that there is not an agreement on the meaning and context of digital competence. This shows the need to provide more clarity as to how digital competence can be developed and assessed in the workplace. Policy makers have highly engaged in the debate as to how policy, infrastructure and education can support organisations future capability development. Nevertheless, there is a need for a new framework that provides

clarity on the key competences needed in a modern organisation, and most importantly how digital competences are related to competitiveness and performance. Organisational capability is core in sustaining their competitive advantage, hence digital competences might play a crucial role in support future success. Organisational size, leadership, learning practices and location should be considered as part of any future study on digital competence.

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