



# Organization 4.1: The role of values in the organizations of the 21st century

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## Foreword from the Editor

This book is a result of a truly intercultural collaboration of many authors. Many of co-authors contributing to the articles in this book know each other for several decades. All of them have a great opportunity to meet each other every two years at the biennial conference held by the International Society for Study of Work and Organizational Values (ISSWOV) which is taking place in different parts of the world – from Israel, to India, USA, Singapore, Latvia, Portugal, Brazil, to name just a few. This year, based on the high quality of conference papers and taking into account huge demand, we decided to publish a book where several chapters are devoted to various aspects of current problems and research streams connected to the topic of values in Organizations 4.1 and beyond. Those topics are explored from different angles and levels of analysis.

Organizations 4.1 imply such things as Big Data, Internet of Things, Internet of Services; new concepts and life style like Economies of sharing, co-working spaces, self-organized working teams, HR systems built around competences instead of job descriptions, etc. And it is clear that we already have entered the new era of networks, transparency, mobility, uncertainty, velocity multitasking and diffusion of private and public spheres. How should we live with it? It is proven that human brain was not built for multitasking and constant attention distractions. In times when knowledge is the main commodity many facts are counter intuitive – there are almost no linear relations in social sciences and normal distribution statistics are not working properly to explain wealth variation or start up growth. Those tens of thousands of years in which human brain has developed until now were much different from what we are experiencing in the last decade, which imposes enormous number of research questions in all fields of science.

On the other hand, although means of communication are changing along with our physical environment and electronic or nano or whatever devices we use, the human nature and basic assumptions are intact. Or are they? Basic virtues needed for happy life stated in Nicomachean Ethics by Aristotle do sound up to date like never before. Many newest management theories are based on well known, old statements dated back to ancient times.

Futurists are proposing that at least half of professions will disappear in the next 50 years due to the new technologies. All routine works will be done by robots, so human will be able to do the fun part, being creative and inspirational. Are we ready to it? When social networks make people and organizations so visible to the public, when workforce becomes too educated to take for granted many organizational values that were not questioned before, when basic function of universities as knowledge centres has switched to entrepreneurship and innovation boosters, how should we address those changes?

This book is organized in 9 chapters. First chapter is devoted to the topic of new generations and proposes some answers on how to attract and retain them in organizational settings. Second chapter consists of 8 articles on various topics related to the latest HR practices in organizations and its findings are of a great interest for both – practitioners and academics. Third chapter is on leadership and it touches upon both classic and novel themes emphasizing the role of true leadership in the modern digital age. Fourth chapter gathers articles on teaching and training in modern organizations, be it a school, university, work or even prison. Fifth chapter touches upon social inclusion in societies and organizations, focusing readers' attentions on the fact that gap between those who are well off and those who are not is getting wider making social inclusion as important as ever. Sixth chapter discovers various aspects of wellbeing and occupational stress, while Seventh chapter is comprised from different articles revealing various novel aspects on value research. Eighth chapter introduces some comparative studies while last chapter of the book is devoted to the topic of ethics, trust, reciprocity and humility in organizations.

All articles are revealing some novel and unexpected angles of the research topics they are devoted to. Enjoy reading!

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## **CHAPTER 1: New Generations in Organization 4.1: How to attract and retain them?**

### **What attracts the new Generation's Workforce? First Evidence from an Italian Survey on Generation Z**

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#### **Abstract**

Today, Generation Z – GenZ, born after 1995 and aged today 23 or less - is next to enter the labour market. This represents a new challenge for organizations which are continuously engaged in attracting new talents and improving the perception of their image for brilliant candidates. Our aim is to investigate the relationship between work centrality and GenZ's intention to remain with the same employer also considering the interacting effect of work characteristics. The paper presents the results of an analysis carried out among Italian students (N= 389). Evidence from the study provide useful suggestions to improve the attractiveness of companies for younger generations, and it also provide insights to organizations on how to better manage younger labour force.

#### **Introduction**

Organizations are facing nowadays the challenge of recruiting and retaining younger talents. At the same time, they need to create the conditions enabling the coexistence of different generations of workers operating in the same workplace, in relation also with the recent increase in the length of working life.

Most studies, to date, focus on Baby Boomers, GenX and GenY showing interesting differences among these three demographic cohorts. A large number of works investigate generational differences in personality traits, attitudes, mental health, and behaviours (Twenge & Campbell, 2008). In a longitudinal analysis developed by Twenge and colleagues (2010) on a sample of U.S. generations' members - that are: Baby Boomers, GenX and GenY - extrinsic values, such as status and money, were demonstrated to have higher levels of impact for GenX and remain higher among GenY compared to the lower impact expressed for the older generation of Baby Boomers. As for intrinsic values, such as for example: opportunities for socialization and interest in the meaning of work, they were less appealing for GenY compared to Baby Boomers. Also, it was demonstrated that members of GenY are less willing to favour altruistic work values (e.g., helping others, interest in social-related issues) and are proved to be more self-important, impatient, and disloyal compared to previous generations (Myers & Sadaghiani, 2010). Other studies demonstrated that GenX and particularly GenY are more individualistic and self-focused (Sessa, Kabacoff, Deal, & Brown, 2007; Sirias, Karp, & Brotherton, 2007; Twenge & Campbell, 2001; Twenge et al., , 2008) compared to other generations, inspiring for them the label 'Generation Me' (Twenge, 2006).

In general, it was proved that leisure values increased steadily over the generations whereas work centrality declined (Twenge et al., 2010).

The relatively recent entry into the labour market of GenY - labelled also Millennial Generation, Nexters, and Nexus Generation - has received an intense scholarly attention (Dune-Cane et al., 1999; Harris-Boundy & Flatt, 2010; Kultalahti and Viitala, 2014; Kuron et al., 2015). As it was noticed by business press, organizations have been changing their practices according to the prevailing GenY's work values and needs (Twenge et al., 2010). As suggested by the authors almost a decade ago, leading companies were offering amenities focusing on work-life balance, relaxation, and leisure activities. In the last years, important companies, such as Google, SAS, KPMG, eBay etc., have further improved their offer in a wide range of benefits (perks) to support work-life balance, wellbeing and happiness of their employees. In-house gyms, onsite laundries, meditation rooms or zero paid leave (which actually means unlimited paid leave according to the needs of the employee) can be mentioned as a few examples.

Despite the number of studies, as well as the relevance of results, on generations with specific focus to GenY and previous ones, 'the game is now over'. Indeed, as suggested in the columns of The New York Times (Williams, 2015): 'Move over, millennials, here comes Generation Z'. Today, in fact, GenZ is at the gates of labour market. As a consequence this generation is receiving a large attention in business press whereas academic debate on the new generation is inadequate. This is also demonstrated by an authors' own research in the Web of Science database which revealed that starting from 1991, until now, the key-word 'Generation Z' was used only in 60 academic publications.

Considering all this, the aim of the paper is to increase awareness on what is desirable from members of GenZ in order to shed light on this still unexplored generation and to provide first insights to managers and organizations. In particular, our purpose is to study the relationship between work centrality and intention to remain for the longer time as possible in the same organization. Further, we aim at investigating the specific role of work characteristics in influencing this relationship.

## **Theoretical background**

### ***Generations at work and Generation Z***

Two main perspectives emerge from studies about generations. The first is focused on the idea that a 'generation' is made up of people born in the same time span (Berkup, 2014) and that chronological age is associated with a set of attitudes and preferences (Zenger & Lawrence, 1989). The second, following Mannheim's approach (1952) suggest that 'generations are connected through the transmission of persons passing through time, who come to share a common habitus and lifestyle' (Mannheim, 1952: 302). Evidently, this interesting viewpoint opens a relevant problem in the operationalizing process of the concept. Otherwise, several researchers have identified generations' limits (Smola & Sutton, 2002). In our research, we refer to the more diffused classification, which considers the three generations currently in the labour market that are: baby boomers, generation X and generation Y (Gursoy et al., 2008; Pritchard & Whiting, 2014) and the new one, GenZ, that is starting to enter (or looking) right now for working opportunities in the labour market.

Gen Z, also labelled as Post-Millennials or i-Generation, are the demographic cohort roughly born from 1996 to 2010 (Schawbel, 2014; McCrindle, 2014). This group is defined as the first generation born into a digital world, indeed, members of this generation 'are always connected in a seamless cloud-based world of friends, data, and entertainment' (England, 2017). The GenZ is the new emerging workforce and they will fill up a new 'youth bubble' in

the workplace in the next years. According to press, ‘Generation Z represents the greatest generational shift the workplace has ever seen (Tulgan, 2013).

Very few studies face this new generation, highlighting some key characters that may distinguish them from the previous one. Contributions are limited and are almost lacking in the organizational behaviour perspective. Some studies were recently developed in the Educational domain which revealed some values and characteristics of this new generation. For example, in a study on college and university counselling centres, it was suggested that ‘today’s college and university students are struggling with emotional and behavioural health problems at higher rates than in past generations’ (Brunner et al., 2014: 257).

### *Work Centrality*

Work centrality appeared as a ‘dismissed’ construct in the previous decade. A study on generations working values demonstrated that work centrality and work ethic were decreasing values in samples from 1974 and 1999 thus suggesting a shift toward leisure values of generations (Smola & Sutton, 2002). More than fifteen years ago it was suggested: ‘In the last 25 years, employees have become less convinced that work should be an important part of one’s life or that working hard makes one a better person’ (Smola & Sutton, 2002: 379). In contrast, recent contributions seem to have ‘exhumed’ the concept thus highlighting a renewed interest in it. Specifically in the stream of research of ‘meaningful work’ and ‘meaning of work’ scholars are starting in reintroducing this concept in the debate (Jiang & Johnson, 2017; Lu et al., 2016). As an example of the renewed concern on this issue is the ‘Meaning of Work’ (MOW) project, which is a wide project administered in different countries and which includes work centrality as a variable of investigation (Harpaz & Fu, 2002).

Work centrality ‘refers to the extent to which individuals view work as a main component in their life [...] it reflects a belief in the importance that work should take in one’s life, irrespective of one’s current job. Thus, a person could report a low level of work centrality, indicating that work is not one of the most important things in his/her life’ (Diefendorff et al., 2002). Work centrality is also defined as ‘the extent to which individuals believe that their work plays an important role in their life’ (Jiang & Johnson, 2017). According to scholars, ‘people who consider work (as opposed to family) as a central life interest attach great importance to their work (Carr et al., 2008). In other words, individuals who are high in work centrality perceive the work role to be an important and a central part of their lives; it is something to be engaged in for its own sake (Hatrup et al., 2007). Indeed, it was demonstrated that those who think work is an important part of their lives are emotionally attached to their organization (Jiang & Johnson, 2017). ‘As a relatively stable belief about work, work centrality is not particularly responsive to conditions in a particular work context [...]. Different from job involvement focusing on one’s present job, work centrality is one’s perception that work is a core component of one’s life’ (Jiang & Johnson, 2017: 548).

A number of studies demonstrate that work centrality is positively related to positive outcomes and negatively related to counterproductive behaviours (e.g., Richter et al., 2014; Carr et al., 2008). In the study by Diefendorff and colleagues (2002) it was demonstrated that work centrality and job involvement are two correlated constructs, but work centrality is significantly correlated with only one of the dimensions of OCB, the Civic Vision, thus leading the authors to conclude that this work attitude may not play a strong role in employees behaviour. Actually, a number of studies demonstrated that work centrality is negatively related to counterproductive behaviours such as: quitting work after winning a lottery (Arvey et al., 2004) and turnover intentions (Bal & Kooij, 2011). Other studies proved that work centrality is positively related to positive outcomes at work such as: job performance (Hirschfeld & Feild, 2000), work engagement (Bal & Kooij, 2011), and affective commitment

(Hirschfeld & Feild, 2000; Kuchinke, Kang, & Oh, 2008; Mannheim et.al., 1997; Moser & Schuler, 2004). So, considering the importance for company to retain brilliant employees, and therefore herein including intention to remain, we follow what was suggested: ‘those who believe the work role to be an important and central part of their lives (i.e., high work centrality) may spend time savouring positive aspects of their work during after-work hours and emotionally attach to their organizations’ (Jiang, & Johnson, 2017: 549), thus we posit, even for potential candidates, that:

Hp1. Work Centrality is positively related to intention to remain with the same employer for the longer time as possible among potential employees

This first hypothesis is also supported by identity theory (Stryker, 1980; 1987) according to which individuals play different roles in relation with others and organize their various self-identities so that those identities to which is given more importance tend to occupy a more central position in the self-definition (Thoits, 1992). ‘Indeed, work values shape employees’ perceptions of preferences in the workplace and exert a direct influence on employee attitudes [...] and behaviours because values drive individuals to make decisions and take actions that are congruent with those values’ (Jiang & Johnson, 2017: 548). So that because of overall motivation in keeping a positive self-image, individuals tend to make any kind of effort, and invest the higher number of personal resources, in order to successfully pursue the roles that are central in their self-definition.

### **Job Characteristics and positive outcomes**

Nowadays, the competition to attract talents is fierce among companies and candidates do have specific expectations in terms of work experience and work environment (Durocher et al., 2016). In managerial psychology there is a long tradition as well as a large number of studies which are concerned on the relationship between job and organizational characteristics with employees’ outcomes at work. More recently an increasing interest has emerged among scholars on job and organizational characteristics that may attract potential candidates. In this vein, and especially in the stream of research of Employer Branding (EB), a number of studies have demonstrated that work and organizational characteristics may affect potential candidates intentions, attitudes and behaviours (e.g., Carless 2005; Kusluvan & Kusluvan, 2000; Lievens, 2007) , also job pursuit and the relationship with work related factors were investigated (e.g, Aiman-Smith et al., 2001). So that, it was demonstrated that whilst some factors – such as stressful jobs and lack of work-life balance – may account negatively for attitudes towards careers in a specific industry (Kusluvan & Kusluvan, 2000) whilst other job and organizational characteristics - such as development opportunities and job security - may improve employer attractiveness (Lievens, 2007). Thus we posit:

Hp2. Job characteristics are positively related to intention to remain with the same employer for the longer as possible among potential candidates.

### ***The interacting effect of job characteristics on the relationship between Work Centrality and intention to stay***

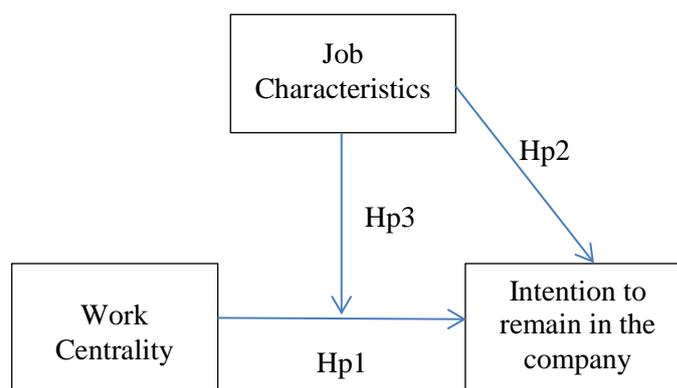
Some authors suggested that work centrality is an individual characteristic which is a relatively stable belief about work and is not particularly responsive to conditions in a particular work context (Hirschfeld & Feild, 2000). On the contrary, other eminent authors highlight that work centrality is an individual characteristic that may have a relevant impact on the relationship between positive work experiences and employees outcomes at work

(Meyer & Allen, 1991). In particular, previous studies demonstrated a level of interaction between work centrality and job characteristics or contextual aspects of work. So that, it was demonstrated, that for people with low levels of work centrality the relationship between congruence with the context and job characteristics in predicting positive outcomes was strengthened. On the contrary, for high levels of work centrality organizational determinants and working context have no significant effect on positive outcomes or rather weaken the impact they have (Richter et al., 2014; Carr, Boyar, and Gregory, 2008). As suggested by Jiang and Johnson (2017), those experiencing low levels of work centrality may perceive the impact of various work experiences – such as person-environment fit, job security, work-family conflict – as stronger, whereas those with high level of work centrality may be less receptive to such work experiences (Jiang & Johnson, 2017). Thus, we posit that job resources might strengthen the positive relationship between work centrality and the positive outcome that is intention to remain in the company, whilst job demands might weaken it. Therefore:

Hp3. Job characteristics moderates the relationship between work centrality and intention to remain so that the higher the level of JR the stronger the positive relationship, and vice versa.

In figure 1 the theoretical frame developed with the above hypotheses is presented.

**Figure 1: The moderation role of job characteristics on the relationship between Work Centrality and intention to remain among GenZ.**



## Methods

### *Sample and procedure*

The survey was administered in summer 2017, in the period between the 15th of July 15 and 15th of August. The call for the survey was posted on Facebook’s group pages about Colleges and Universities. An on line questionnaire was administered for this study.

The questionnaire used for this study was previously developed and used in a study on Generation Z in the Czech Republic (Kubátová, 2016; Schawbel, 2014), and was adapted by the authors for the Italian context in order to develop, in the future, a comparison between the two countries. For the Italian version, other measures (e.g., work centrality) were included.

### *Measures*

As dependent variable the individual intention to remain within the same company for most of own life was used. The variable was measured with one question, present in the questionnaire administered on line, that is: ‘Please rate your level of agreement with the following sentence:

I would like to remain in the same work for the most part of my life'. The range of response was based on a 5 point scale from 1 = strongly disagree to 5 = strongly agree.

Work centrality was included as the independent variable of the model whilst job characteristics were included as moderation variables.

*Work centrality* was included in the model as a dependent variable. The measure used for this study was based on a 5-items scale previously developed and adopted (Twenge et al. 2010). An example of question is: 'I expect my work to be a very central part of my life'. The responses range from 1, completely disagree, to 5, completely agree. Alpha Cronbach was above recommended value of .7.

*Job characteristics* were based on a factorial analysis of 20 dummy items included in the survey all related to organizational aspects of work (e.g. supervisor, co-workers, working environment, remuneration and recognitions) and coherent with variables analysed in previous studies on job and organizational resources as determinants of employees outcomes. A factor analysis explaining 55.2% of variance was performed (KMO= .505) including the 20 items. Eight factors were retained since for both the eigenvalue exceed 1. The factors have been rotated using orthogonal Varimax rotation. The set of factor loading emerging from the explorative factor analysis are shown in table 1 and are labelled respectively: (1) solitude, (2) social media usage, (3) overall working context, (4) feeling respected, (5) opportunity to adapt according to own leisure standards, (6) physical aspect of working environment, (7) opportunity to socialize at work, (8) cooperation and flexibility. Factors were used in the subsequent analysis.

**Table 1: Principal component rotated matrix.**

	Component							
	1	2	3	4	5	6	7	8
People at work who like to work alone	,677				,109			
Boss that gives me autonomy	,605	,167						-,116
Unlimited internet access		,746		,103				-,128
Possibility of using social networks (e.g., Facebook)	,103	,678		-,146				
The type of work	,103	,123	,752			-,157	,134	
The people to work with	-,221	-,115	,578	,250		,234	-,101	
Colleagues who are committed like me		-,135	,212	,680			-,146	-,174
Boss who listens to my ideas	-,178		-,118	,661	,255	-,173	,229	
Respect for privacy at the workplace	,346	,113		,488	-,106			,156
The ability to listen to music					,806			
The possibility of adapting the workplace to my taste	,216				,657	,156		
The size of my work space					,112	,773		-,130
The position of my workplace	,329		,275			,432	,300	,170
Make very close friends			,142				,727	
People I can meet outside work	-,347		-,178			,418	,456	,154
Boss who entrusts me with an interesting job with clear objectives	-,163	,320	,291			,279	-,394	,113
Competitive colleagues		,154					-,106	-,769
People I like to cooperate with	-,199	,167	,235		,351		-,330	,487
The possibility of having a flexible schedule	,107	,309	-,326	,306		,278		,400

Control variables were included in the study; these are: gender (1=male; 2=female), nationality (1= Italian, 0= not Italian) and intention to look for a job soon (after graduation) (1= yes, 0= no).

## Results

The Statistical Package of Social Sciences (SPSS Version 2.0) was used to analyse the data. The EFA which results are presented in table 1 was computed on the overall sample of young people belonging both to GenZ and GenY. This gave us the chance to verify if in these dimensions of job and organizational characteristics the two generations differ. From a preliminary analysis of the t-test only one dimension was found statistically significant that is opportunity to adapt according to own leisure standards' which results higher for GenZ (N= 389) compared to GenY (N= 258). The next part of the analysis will be performed on the sample of 389 GenZ members. Results reported in the multiple regression analysis (see table 2) show a positive and significant relationship between work centrality and intention to remain (with  $\beta > .30$  for all equations, and  $p < .001$ ). Therefore hypothesis 1 was supported. According to the results shown in table 2, the relationship between work characteristics and intention to remain was not proved ( $p < .05$ ) so that hypothesis 2 was rejected. The interacting role of different work characteristics was analysed with the macro PROCESS procedure for SPSS developed by Hayes (www.afhayes.com). The multiplicative terms were computed for each of the eight moderators. The moderation effect of two work characteristics -i.e., solitude at work and use of social media - in the relationship between work centrality and intention to remain were proved, so hypothesis 3 is partially supported.

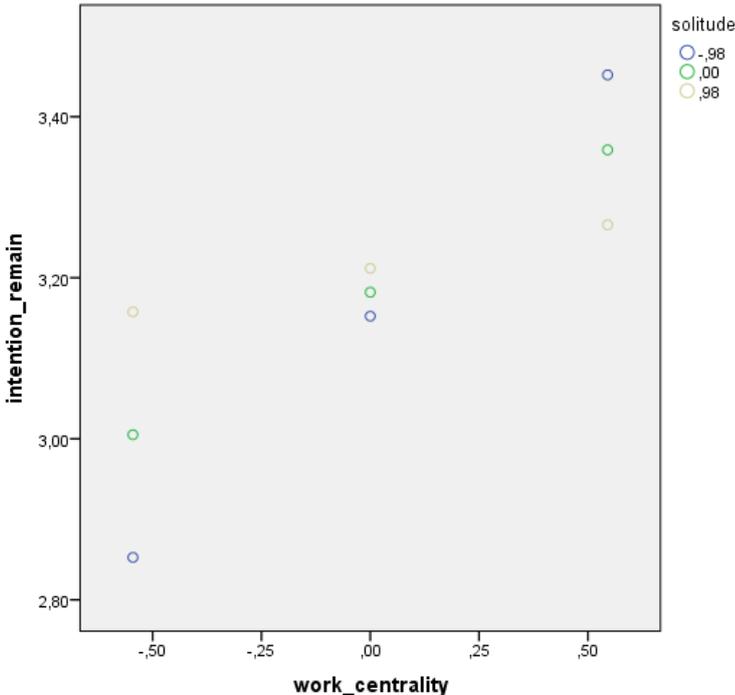
**Table 2: Regression analysis.**

Moderating term	Solitude	Social media use	Working Context	Feeling respected	Leisure standards	Physical context	Opportunity to socialize	Cooperation and flexibility
Constant	0,939	2,207 ***	2,722 ***	2,778 ***	2,747 ***	2,121 ***	2,119 ***	2,104 ***
Work Centrality	0,323 ***	0,337 ***	0,330 ***	0,313 ***	0,330 ***	0,334 ***	0,330 ***	0,345 ***
Moderating term	0,807 ** <sup>(1)</sup>	-0,057 <sup>(2)</sup>	0,046 <sup>(3)</sup>	0,009 <sup>(4)</sup>	-0,024 <sup>(5)</sup>	-0,045 <sup>(6)</sup>	0,006 <sup>(7)</sup>	0,033 <sup>(8)</sup>
Work centrality*solitude	-0,229 **							
Work centrality*social media usage		0,199 *						
Work centrality*working context			0,045					
Work centrality* feeling respected				0,084				
Work centrality*own leisure standards					0,087			
Work centrality* physical context						0,057		
							0,012	
								0,065
Gender	0,248 *	0,214 .	0,278 *	0,265 *	0,266 *	0,244 *	0,246 *	0,256 *
Nationality	0,540 .	0,437	0,420	0,388	0,412	0,465	0,468	0,459
Look for a job soon	0,410 ***	0,412 ***	-0,133 ***	-0,132 ***	-0,131 ***	0,415 ***	0,415 ***	0,423 ***
Solitude	-	0,042	0,024	0,025	0,022	0,035	0,035	0,038
Social media usage	-0,053	-	-0,036	-0,038	-0,040	-0,046	-0,045	-0,045
Working context	-0,018	-0,019	-	-0,018	-0,012	-0,024	-0,024	-0,023
Feeling respected	0,017	0,018	0,015	-	0,014	0,020	0,018	0,018
Leisure standards	-0,033	-0,041	-0,025	-0,030	-	-0,040	-0,039	-0,037
Physical aspect	-0,040	-0,047	-0,054	-0,050	-0,056	-	-0,042	-0,041
Opportunity to socialize	0,009	-0,003	0,002	-0,002	0,003	0,006	-	0,007
Cooperation and flexibility	0,028	0,028	0,041	0,040	0,043	0,033	0,032	-
<i>R</i>	0,360	0,352	0,307	0,310	0,311	0,338	0,337	0,3401
<i>R2-chng</i>	0,016 **	0,010 *	0,001	0,002	0,003	0,001	0,000	0,0021

Notes. .  $p < .1$ , \*  $p < .05$ , \*\* $p < .01$ , \*\*\* $p < .001$ . Moderating terms are indicated as: (1) Solitude; (2) Social media usage; (3) overall working context; (4) feeling respected;(5) Adapt to own standards; (6) physical context; (7) opportunity to socialize; (8) cooperation and flexibility.

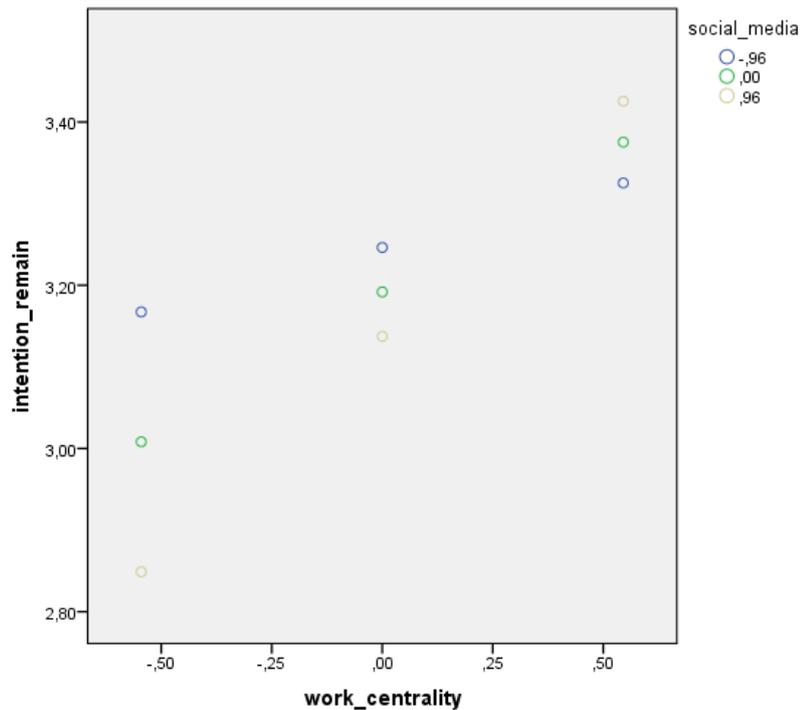
Results demonstrated the interacting role of ‘solitude at work’ and ‘use of social media’ on the relationship between work centrality and intention to remain. Despite social media usage is not significantly related to intention to stay with the same employer, the significance of the relationship between work centrality and, respectively, ‘solitude at work’ ( $\beta = -.229, p < .01$ ) and ‘use of social media’ ( $\beta = .199, p < .05$ ) with the intention to remain were proved, thus supporting, in part, hypothesis 3. The results demonstrate that: the higher the person aims at solitude at work the weaker the relation between work centrality and intention to remain; so that, for those people who may provide a huge contribution – because of their work centrality – implementing practices that go along with the need one might have for solitude could be counterproductive. On the other side, the higher the opportunity to use social media at work the stronger the relation between work centrality and intention to remain. In this sense organizations should adopt solutions enabling the opportunity to have social media availability.

**Figure 2: The moderating role of Solitude: The moderation slope.**



Note: Blue line is for low levels of solitude at work, grey line is for high levels of solitude at work.

**Figure 3. The moderating role of Social media use: The moderation slope**



Note: Blue line is for low levels of social media use, grey line is for high levels of social media use.

## Discussion

This paper shows some very first insight on the management of the new generation at work. First, a focus on the challenges originating from the need to manage an even more diverse workforce in terms of generation working ‘values’ do arise, thus contributing to current academic and managerial debate on diversity management and trying to increase overall interest on the importance of factors – both individual and organizational - enabling the coexistence of multi-generation workforce. It was demonstrated that work centrality still represents a key construct to investigate also in order to improve academic speculations and help managers willing to hire and retain new and brilliant candidates. Also, work centrality, that according to literature is a source of positive outcomes at work, was demonstrated to be also positively related to intention to remain for the longer as possible with the same organization. This work proved that despite work characteristics do not show a direct impact on intention to remain for members of GenZ, two of them do interact with work centrality in shaping its relationship with intention to remain that are: ‘solitude’ and ‘social media usage’. As a consequence, it was proved that Generation Z behaviours might be stimulated or dampened from specific job characteristics.

As a conclusion, three main suggestions arise for managers and practitioners concerned in HR issues. First, HR managers should always consider ‘differences’ among workforce when ‘investing’ in and designing HR policies; second, work centrality may represent for companies a key variable for selecting potential employees – also GenZ members - when they are interested in high commitment and company loyalty, so refreshing this concept might be a future challenge both for companies and for scholars. In the end, work characteristics in general may have an important role in boosting the intention to remain within the organization, so organization should be able to identify and manage such ‘strategical’ levers.

The study has some limitations. The first is about the number of observations and the fact that it is related to one single country. We are also aware that the study is cross-sectional and may suffer of common method and source. Also, variance explained in the model is not so high so that for future investigations, we would recommend to improve the number of observation and include other control variables. Moreover, a comparison between GenY and GenZ might be advisable for future development of the research. In conclusion, despite the highlighted limits, it seems to us that this field of research is very promising and worth of future development, so that we hope that further research efforts would be developed in this area of studies.

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# **The Generations X and Y in the Workplace and their Relations with Basic Values, Work Values, and Organizational Values**

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## **Abstract**

Considering the work relationships in organizations, the generational characteristics are useful for identifying ways to add value to those involved. Although the generations X and Y are similar, there are differences in the values of work and culture between them. The study shows that the best organization designed for X is innovative, and for Y it is a clan culture. With regard to basic values, both generations consider most important the values of benevolence, universalism, and self-determination. As for work values, generations X and Y consider important issues that are related to security and hedonism. The contributions of this study are to use different individual perceptions about values and to show characteristics among generations and their implications for the organizations.

## **Introduction**

Divided by time, by social, professional and experience changes, generations are part of the context of humanity and are formed by individuals who were born at the same time and who share similar characteristics and values (Wada & Carneiro, 2010). In the current labor market, different generations are living, such as Generation X was born between 1960 and 1980 and Generation Y, younger, born between 1980 and 2000 (Oliveira, 2010; Gonçalves & Rodrigues, 2015). Also, the business context is dynamic and goes through changes caused by economic, social and technological factors. According to Boeira and Savoy (2014), these changes modify the organizational environments and require certain profiles of the employees.

According to Hall (1984), internal and external universes to the organization compose the organizational environment; these are formed by factors legal, economic, political, and human, among others. These universes can affect it, and they can influence business strategies and Organizational decision-making. The opening of the market, expansions of the companies, from the development of the technology, were responsible for changes in the profile of the worker, requiring new qualifications (Goulart & Guimarães, 2002). In this context, the worker must be able to cope with the tension in the workplace, with the pressures of competition and the style adopted by the Organization to manage changes (Boeira & Saboia, 2014).

Under the employees' perspective, their basic values and work-related values are elements of influence in the organizational environment, since the work-related values guide the professional according to what they believe and seek about goals and rewards, through work (Porto & Tamayo, 2003). The work values are also related to the factors of the organizational environment, which develops its internal values through situational experiences that depart from the experiences of its employees. The company can achieve these goals more efficiently if its strategy is aligned with the personal goals of its employees (Tamayo, 2012).

Each worker is a being with a hierarchy of basic values composed of motivational guidelines for attitudes and behaviors that influence other dimensions of life, besides the work (Schwartz & Bilsky, 1987). Schwartz (2014) reports that the values are instrumental and situational, showing that a portion of the basic values is intrinsic and another socially constructed. Therefore, there may be values of each generational period.

With this, it is useful to know the relationships between generations, basic, and work-related values, to manage the organizational environment better. Thus, the purpose of this study is to identify the similarities and differences between the X and Y generations concerning the basic values and values related to work in the context of the organizational environment. Exploratory research with quantitative method was adopted; the data collection was made with workers from private organizations of diverse segments. The differentiation of the company's acting sector was not relevant to this study because the focus of the research was the individual, on generational aspects.

## **Theoretical Approach**

### **Generations**

A new generation is marked by significant discontinuity, dominant at a particular historical time. More specifically, it is the process of change that marks the previous generation and the later generation (Abrams, 1982). Despite showing certain conservatism in some respects, generation X is not limited to rigid standards. On the contrary, it prefers less hierarchical and more informal structures, despite recognizing the need for rules in the business environment (Lombardia; Stein and Pin, 2008). By valuing autonomy and independence, members of this generation tend to be individualists and prefer to work alone (Veloso, Dutra and Nakata, 2011). They also struggle for a sense of equilibrium in their lives and will opt for a job that pays less, but that offers better quality and balance between work-life (Glass, 2007). They desire to construct a traditional family since they do not wish to live in the same way as their parents, Baby Boomers, who were considered absent from home because of excessive dedication to work (Conger, 1998; Lombardia; Stein and Pin, 2008).

The main characteristic presented in generation X is the belief that they feel comfortable with information, technology, business problems; they are flexible, problem solvers, adaptable to change and aggregate value providers (Sirias, Karp, and Brotherton, 2007). Such aspects are, in part, due to the fact that this generation saw their parents fired in the early 1980s and again in mid-1990s. The ethics of an individual's work, economic issues and political atmosphere established at the time of early adolescence development, can persuade the values of the individual's work. The theory says that professionals of generation X are influenced by a workforce with values, education, experience, an emphasis high-tech, a goal result and a need for freedom (Sirias, Karp and Brotherton, 2007).

Then, born in the 80s, generation Y benefited from access to contemporary technologies, with the use of computers as early as their entry into elementary school (Robbins, 2001). For generation Y it is difficult to imagine life without technological resources. Many members of the generation Y prefer to send a quick email or digital message than to have a face-to-face dialogue, discussion or talk on the phone. This generation is usually confident, socially active, equipped, oriented and having an organization in life (Glass, 2007). They want employment in companies where there is joint decision making, and accelerated management programs (Dolezalek, 2007; Glass, 2007). The generation Y prefer a rapid leverage in the career and act in a way to benefit from it, independent of the institution; characteristic that diverges from generation X, which values the construction of the career in large and established organizations (Alsop, 2008; Huntley, 2006 apud Cavazotte; Lemos; Viana, 2012).

### Basic Values and Work-Values

It was from the study of Rokeach in 1973, and with Schwartz and Bilsky (1987) that the theory of values and social psychology has been developed and became a reference in individuals values studies also called basic values. Basic values guide person's beliefs about the desirable; they transcend specific situations, vary in importance and serve as guiding principles for life (Schwartz, 2012). The theoretical structure of the relationship between values is explained as proximity relations and antagonism between them. This structure of opposition and proximity allows to group the motivational values in two bipolar dimensions of a higher order. In it, two opposing axes are identified: "openness to change" to "conservation" and the "self-enhancement" to "self-transcendence". These four categories constitute the most general motivations that justify the accession of individual motivational values. Figure 1 presents motivational types.

**Figure 1:** Motivational types

<b>Power</b>	<b>Status social About people and resources</b>
<b>Achievement</b>	Personal success by demonstrating competence according to social criteria
<b>Hedonism</b>	Pleasure and sense of gratification for you
<b>Stimulation</b>	Enthusiasm, novelty, and challenge in life
<b>Selfdirection</b>	Independent thinking and choice of action, creativity, and exploration
<b>Universalism</b>	Understanding, appreciation, tolerance, and protection of the well-being of all people and nature
<b>Benevolence</b>	Preservation and intensification of the well-being of people with whom they maintain frequent personal contacts
<b>Tradition</b>	Respect for the customs and ideas provided by traditional culture and religion, commitment to them and their acceptance
<b>Conformity</b>	Restrictions on actions, inclinations, and impulses that may disturb and injure others or violate the expectations and social norms
<b>Security</b>	Security, harmony, and stability, of society, of relationships and oneself

**Source:** Adapted from Schwartz (2012)

The values are cognitive representations of three human needs. They are: biological, interactional – aiming at the coordination of interpersonal interactions, and socio-institutional, focusing on the well-being and survival of groups and society. Thus, values are objectives that meet individual, collective or both interests and refer to different motivational domains (Sambiase, Teixeira, Janik, and Bilsky, 2014).

The Work Values (WV) are derived from the basic values and are defined by Porto and Tamayo (2003) as principles and beliefs that prevail over professional goals and that guide behavior's judgments and option selections in the work context. Studies demonstrate the impact of work values on various organizational aspects, reflecting their importance to understanding the world of work. Work values can be subdivided into personal labor values, which are related to a life of an individual; social labor values, which bring the perception of individuals based on the beliefs and principles presented by other people; and Labor Cultural Values, which categorize the behavior of a group (Porto & Tamayo, 2003).

The scale of work values proposed by Porto and Tamayo (2003), resulted in a four-factor structure: Professional achievement (pursuit of pleasure and personal achievement), stability (search for security through work), social relations (positive contribution in society and search for relationships through work) and prestige (search for professional success). To complement this study, perceptions of organizational culture are still added, by the approach of Cameron & Quinn (2011).

### **Values and organizational culture**

To know the environment better, we can use the perception of individuals about shared organizational values, an important element of organizational culture (Cameron & Quinn, 2011). According to the authors, organizational culture is the factor that brings greater competitiveness and sustainability of the business, having more impact than their forces on the market. Organizational culture is a reflection of values, leadership styles, language and symbols, processes and routines, and the definitions of success that make the organization unique. The culture reflects the shared ideology that people carry inside their heads and offers an unwritten guide.

To evaluate an organizational culture, Cameron and Quinn (2011) propose the "Organizational Culture Assessment Instrument" (OCAI). This evaluation is done in two stages: the first is responsible for identifying the company's current organizational culture, and the second helps to identify instruments that must be developed to meet future demands and challenges. The OCAI is formed by four quadrants representing a set of indicators about what people value in the organizational environment. These four dimensions have opposing or competing assumptions. They are: Hierarchical culture: The company resembles a hierarchical and bureaucratic structure; It is governed by rules, specialization, meritocracy, separation of functions and impersonality. Its characteristics strongly focus on the effectiveness of fulfilling its purpose. Market culture: The company operates as a market. It is oriented by the external environment, including customers, suppliers, regulatory bodies, government, etc. The company operates using market mechanisms. It focuses on profitability, results, goals and customer maintenance is the primary goal of the organization. Innovative culture (Adhocracy): The company refers to a dynamic and specialized unit. It is innovative and pioneering in the development of new products and services. Its main goal is to seek adaptability, flexibility, and creativity where uncertainty, ambiguity, and information overload are typical. Culture clan: The company has a family trait; it has shared goals, cohesion and a sense of participation. Instead of hierarchical rules and procedures or competition, there are characteristics of group work and commitment to involvement programs. Thus, to integrate basic, work-related and organizational values, the following section presents the methodological procedures for developing this research.

### **Methodological procedures**

To fulfill the purpose of this work, to identify the similarities and differences between the X and Y generations concerning the basic values and work values related, we adopted an exploratory research with a quantitative method. The specific objectives were: (1) raising basic values of individuals from generations X and Y; (2) Raising values related to the work of individuals from X and Y generations; (3) Identifying the current and desirable perceptions of the X and Y respondents in relation to the organizational culture of their current and desirable work environment; and finally, (4) relating the results between the basic and work-related values, in the context of the current and desirable organizational environment, pointing out differences and similarities. The data collection instrument included information on characterization of individuals and scales validated for the basic values-PVQ21- Portrait Value Questionnaire (Sambiase et al., 2014). For work-related values (Porto & Pilati, 2010; Teixeira, 2015), and to measure organizational values, we used the adapted scale of organizational culture, proposed by Cameron and Quinn (2011). Data collection was given through the Software Survey Monkey, distributed on social networks and e-mail. The snowball technique was adopted to reach the sample needed for the processing of the data.

We selected research subjects by the year of birth for the selection of generations X and Y, who are working or that have worked in private organizations in the last year. These criteria were used for obtaining a sample with the perception of intergenerational persons with a valid sample of 137 generation X responders and 134 generation Y responders. Data processing was provided with the help of Excel and SPSS v. 20 software through descriptive statistical techniques and multidimensional scaling relations – Proxscal – for confirmatory factorial analysis of the value scales and validation of the theory (Sambiase et al., 2014).

### **Presentation e Results Discussion**

The data were submitted to analysis according to the theory of basic values (Schwartz & Bilsky, 1987). Thus it was possible to identify that the hierarchy of Motivational types Are the same for both generations, and the order of priority changes from the fourth value (see table 1). The motivational types of values relate to each other in a dynamic way, where the values related to individual interests are opposed to those that serve the collective interests. In the motivational structure of Schwartz (2012), the five types of values that express individual interests (self-direction, stimulation, hedonism, achievement, and power) occupy a continuous area that is opposite to that reserved to the three sets of values that express collective interests (benevolence, tradition, and conformity).

In the sample studied, the types benevolence, universalism, and self-determination occupied the first three values in this order, with little variation in the average and standard deviation. From the fourth value to the generation Y there appears realization followed by hedonism; for Generation X, tradition appears followed by conformity. Next, in the sixth position, comes security for both samples. On the other hand, the motivation with the smallest influence on the sample is the power for both generations.

**Table 1:** Hierarchical structure of preferences of the motivational types basic values

<b>Generation Y</b>			<b>Generation X</b>		
Motivational types	Mean	Std. Deviation	Motivational types	Mean	Std.Deviation
<b>Benevolence</b>	<b>5,3593</b>	<b>0,65691</b>	<b>Benevolence</b>	<b>5,0935</b>	<b>0,81997</b>
<b>Universalism</b>	<b>5,0741</b>	<b>0,78403</b>	<b>Universalism</b>	<b>4,9257</b>	<b>0,70087</b>

<i>Selfdirection</i>	<b>4,9222</b>	<b>0,80777</b>	<i>Selfdirection</i>	<b>4,6978</b>	<b>0,92395</b>
<i>Achievement</i>	4,8778	1,02117	<i>Tradiction</i>	4,5216	0,99431
<i>Hedonism</i>	4,8074	0,99997	<i>Conformity</i>	4,1978	1,2592
<b>Security</b>	<b>4,7444</b>	<b>1,1393</b>	<b>Security</b>	<b>4,1655</b>	<b>1,15374</b>
<i>Tradiction</i>	4,5259	0,96452	<i>Achievement</i>	4,0935	1,22854
<i>Stimulation</i>	4,337	0,99594	<i>Hedonism</i>	4,0396	1,09522
<i>Conformity</i>	4,1074	1,19293	<i>Stimulation</i>	3,6691	1,15086
<b>Power</b>	<b>3,7148</b>	<b>1,06949</b>	<b>Power</b>	<b>3,3813</b>	<b>1,04185</b>

Source: Survey data (2016).

In a study on Brazilian values, Tamayo and Schwartz (2012) showed that Motivational types are located in the region of values in the service of collective interests and that their motivational goal is the livelihood of the family. Sambiasi et al. (2014), in a study on the application of the theory of values in a significant sample of Brazilians, identified that benevolence and universalism were in the same quadrant and with inverted positions, showing the proximity of these motivational types to the Brazilian people. In this study, the theoretical structure of values confirmed the original circular structure.

As shown in this study, the fact that benevolence and universalism are a priority to both generations shows a preoccupation with the preservation and promotion of the well-being of close people, also proven in Tamayo (2007). This is a nature of Brazilians. Considering the differences in scenarios and contexts of the generations about the different phases of life, this feature is present in Brazilian society with more protectionist attitudes than universal. The third is the motivational type of self-enhancement, which relates to the independence of thought and action, to create and explore - another similarity related to characteristic traits of Brazilian culture and the need for independence of both generations.

From the fourth most important value on, generations begin to differentiate. While generation Y prefers realization, generation X cherishes tradition. Where one prefers to perform internal standards of excellence, the other cherishes the respect, commitment, and acceptance of the customs and ideas that culture imposes on the individual. The generation X, according to speeches of Conger (1998) and Lombardia, Stein and Pin (2008), tends to be more focused on tradition even during their lifetime. However, generation Y according to Santos (2001), is an ambitious generation that seeks satisfaction in achieving its goals.

Generation Y was born at a time when the rights of children were on the rise; therefore they have a facility to claim their rights. In contrast, generation X seems to have a more mature, calm and acceptance reaction to the situations faced. But that does not mean that it will be stopped from acting. Next, we have the generation Y with the hedonism: Pleasure, search for the satisfaction of your desires; Enjoying the pleasures of life, desire to enjoy life, a generation that may be more open to new experiences and less conservative. Generation X with the conformity: Restrict actions, inclinations and socially undesirable impulses that once again, we attribute the reaction of each one to the same context. According to Maldonado (2009), the members of Generation X, they tend to be individualistic, irreverent, self-reliant, as well as appreciating autonomy and independence in decisions. The generation Y by never having lived something so different has a more impulsive attitude while the X, who have lived similar contexts, seems to have calmness and security to deal with the given situation.

Security is ranked in 6th place for the two generations and represents the stability of society, of relations and of the person itself. Ahead there are the tradition values for generation Y and realization for generation X showing themselves inverted between 4th and 7th positions. Finally, the lowest average score, in both generations, is also found in Brazilian studies (Teixeira et al., 2014). The generation Y values learning more and believes that its role in an organization goes beyond fulfilling what is in the description of its functions and receiving a salary at the end of the month. They view work as a source of satisfaction in addition to the source of income (Veloso, 2008). Generation X also cares about the quality of life and the construction of a traditional family, since they do not wish to live in the same way as their parents, Baby Boomers, who were considered absent by the excessive dedication to work (Conger, 1998; Lombardia; Stein and Pin, 2008).

### Work Values

From the results of work values, both generations share the same order of importance of the motivational types in positions one and two, showing that the priority motivations are the same. The difference appears in the third and fourth positions with the reversal of benevolence and achievement. Generation X tends to give more importance to the benevolence, which according to Schwartz (2012) is the preservation and intensification of the welfare of the people with whom they maintain frequent personal contacts, in general. According to Yrle, Hartman, and Payne (2005), this generation was constantly exposed to violence and had little guidance and involvement of their parents, which makes this generation put greater importance on well-being and quality of life, form themselves and their close people. However, the generation also gives importance to grace because it is probably related to the culture of Brazilians (Teixeira et al., 2014); even though it is a generation characterized by concern for the environment and human rights (Santos, 2001, p. 5). Universalism appears in the seventh position, showing that the general well-being is not a priority in the relationship of the individual with his work. Table 2 presents the preference of the motivational types of generation X and Y.

**Table 2:** Hierarchical structure of work-related values

<b>Geração X</b>		<b>Geração Y</b>	
<b>Tipos motivacionais</b>	<b>Mean</b>	<b>Tipos motivacionais</b>	<b>Mean</b>
Segurança	4,03	Segurança	3,99
Hedonism	3,93	Hedonism	3,83
Benevolência	3,72	Realização	3,79
Realização	3,66	Benevolência	3,78
Autodeterminação	3,56	Autodeterminação	3,59
Estimulação	3,54	Estimulação	3,53
Universalism	3,46	Universalism	3,5
Tradição	3,35	Tradição	3,24
Poder	3,13	Poder	3,19
Conformidade	2,98	Conformidade	3,10

Source: Survey data (2016).

To generation Y, though, personal success by demonstration of competence according to social criteria is of greater importance than benevolence (Schwartz, 1992). This behavior is

perfectly acceptable for this generation marked by ambition. In addition, they are in the early stages of their professional life, and they appreciate the rapid leverage in their careers and act in a way that is of benefit to it. Independent of the institution, characteristic that diverges from generation X, for whom the construction of the career in large and reputable organizations (Alsop, 2008; Huntley, 2006 apud Cavazotte, Read and Viana, 2012) is important. This makes us understand why this is the most important difference between the generations.

The motivational types of lesser importance in the hierarchy of work values of the generations X and Y have, ultimately, conformity, that according to Schwartz (2012) is defined as the constraints of actions, inclinations and impulses that can disturb and injure the others or violate the expectations and social norms, was classified in both generations as of little important value. This motivational type is classified by Porto and Tamayo (2003) as stability (which corresponds to Schwartz conformity), is the search for safety and order in life through work, making it possible to materially fulfill personal needs. This factor contrasts with the realization at work (which corresponds to the opening to changes of Schwartz), which Porto and Pilati (2010) define as referent to the pursuit of pleasure and personal and professional realization, as well as of independence of thought and action at work through intellectual autonomy and creativity. By giving greater importance to hedonism, self-determination and stimulation both generations are characterized as people who from their labour values seek realization at work. This causes the motivational types that characterize the stability factor to be classified as less important (opposites). Finally, it can be seen that the sample respondents value safety primarily, but they do not give importance to well-being and pleasure in the work environment.

### Organizational culture

The data collected were analyzed according to the dimensions of organizational culture proposed by Cameron and Quinn (2011). In table 3, we compare data of generations X and Y by showing the differences between the actual organizational culture and the structure they idealized.

**Table 3:** Organizational culture and incompatibility between real and Desirable

Dimensions	Generation X				Generation Y			
	Real		Ideal		Real		Ideal	
Clan	11	12,6%	22	25,3%	14	16,5%	33	38,8%
<b>Adhocracia</b>	<b>6</b>	<b>6,9%</b>	<b>45</b>	<b>51,7%</b>	<b>9</b>	<b>10,6%</b>	<b>37</b>	<b>43,5%</b>
Market	27	31,0%	17	19,5%	30	35,3%	8	9,4%
Hierarchy	43	49,4%	3	3,4%	32	37,6%	7	8,2%
<b>Total</b>	<b>87</b>	<b>100%</b>	<b>87</b>	<b>100%</b>	<b>85</b>	<b>100%</b>	<b>85</b>	<b>100%</b>

Source: Search data (2016).

It is possible to observe that individuals of the generations X and Y that show difference between the type of organizational culture present and desirable are 64% (87 responders) of Generation X and 63% (85 responders) of the generation Y. The desired culture by the individuals of both generations is the Adhocracy with 51.7% of Generation X and 43.5% of Generation Y. The structure that presents greater incompatibility is hierarchical with 49.4% of Generation X and 37.6% of Generation Y. This is because bureaucracy, segregation of functions and impersonality do not represent the profile of these generations.

## Conclusions

The proposed objective was to study the relationship between basic values, work values and organizational culture types between the X and Y generations related to the basic and work values that were fulfilled with the addition of analysis of the structure of Cultural dimensions of the real and desirable organizations.

This research presented data and analysis that demonstrated that the generations X and Y have similarities related to the basic values and values of the work, but they differ when it comes to organizational culture structure idealized by both, thus highlighting the importance of this study for the management of organizations. In getting better acquainted with the preferences and hierarchy of basic values and the work of each generation, there is an important tool for business strategies that can contribute to the conviviality and development of teamwork involving members if the two groups studied.

The realization that professionals born between 1960 and 2000, approximately, value proximity relationships with known people and safety at work, gives us evidence of individual motivations. In knowing such motivations, organizations can use this to manage their teams better and thus achieve their strategic goals. Transparency relationships, clear rules, and good communication help the employee feel secure. Still in moments of uncertainty, employees find pleasure in the professional activities and their directorial capacity, especially if these serve to fulfill the needs of people close to them or the necessity of a greater cause, i.e. universalist.

Much of the perceptions and preferences of respondents about organizational types of culture is for Adhocracy and clan, showing a connection with the benevolent and security values plus self-determination and realization. The results show that the younger people present, due to age, a more ambitious profile, with a constant desire for realization, while the older ones show themselves more solid within the organizational environment, seeking to keep their status quo. The differences between the X and Y generations, in the perspective of values, are minimal, and organizations need to offer management modes at the same time stable and challenging; these guarantees provide the stability of the employee and space for new postures and projects. We suggest, for future work, the continuity of this analysis, to study and understand the relationship of organizational culture in a deeper way, since it has been possible to diagnose disparities. Moreover, a new generation, named Generation Z, is about to enter the labor market and can complement the research, aiming to establish a comparison with the previous generations, presented in this work.

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# **Fairness assessment of 5 traditional and 5 new selection tools in the eyes of 3 generations of candidates from Poland**

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## **Abstract**

There is relatively little research on fairness assessment of new selection tools (McCarthy et al 2017), especially in the emergent economies of East and Central Europe. An e-questionnaire was used to collect data from 902 job candidates in Poland, from generations X, Y and Z, based on standard methodology from (Steiner & Gilliland 1996) and 5 new descriptions of modern ICT based selection tools. Results for all 3 generations show a relatively lower acceptance level for the modern selection tools compare to their traditional versions and for tools based on Internet search; as opposed to activity in computer games. Internet experience was shown to be important as a moderator of this relationship.

## **Introduction**

The new countries of the European Union are examples of emerging economies that have made a successful transformation to a market economy. One of the costs of this transformation was a long-lasting high unemployment level, resulting in significant economic emigration, especially of young professionals, and the devastation of traditional standards in the labour market. Polish enterprises used modern cost-reduction solutions extensively, including ICT and ICT in human resource management (HRM). Only recently have they started facing problems with recruiting new employees. As a result, there is an interest in understanding which recruitment and selection activities reduce the costs of selection while retaining its accuracy, but are also accepted by potential candidates. Hence the practical meaning of research into the perception of selection tools.

Data regarding Polish employees' perception of the fairness of different selection tools has a significance that goes beyond local needs. Most of the previous research on fairness perception of selection tools comes from markets in the developed countries, especially the USA and Western Europe (Liu, Potočník, & Anderson, 2016, p. 210). Research consensus concerning the independence of this perception from culture (Anderson, Salgado, & Hülsheger, 2010; McCarthy et al., 2017) is based primarily on data from countries that have not had the recent experience of transformation from socialism. The countries of Central Europe have combined the broad use of the latest technologies in human resource management (Strohmeier & Kabst, 2009) with rapid changes in the labour market, in particular with the transition in 30 years from an employee-focused market, through an employers' market, returning again to an employee-focused market. They exemplify a society with unstable social norms which is coming to terms with modern technologies. Hence research on the perception of selection tools, though conducted in Poland, is of a more than local significance. It will provide information not only about the perception of tools, but will also verify whether we do not need to renew the discussion concerning the independence of this perception from cultural factors.

The goal of this text is to verify how the fairness of chosen selection tools is assessed. Based on the methodology introduced in Steiner and Gulliland's classic study (1996), 5 traditional

selection tools and 5 corresponding new ICT-based tools were evaluated. The study is a step towards providing missing information (McCarthy et al., 2017) concerning perception of the fairness of ICT-based selection tools, based on data from a labour market that is technologically advanced but developing economically and in terms of standards.

The text is organized as follows. Part 1 presents the specifics of the Polish recruitment and selection market. Part 2 describes the problems that researching the perception of the integrity of selection tools faces, and summarizes the basic findings. Part 3 and 4 present the research methods and results.

### **Contemporary and traditional selection tools and their use in Poland**

Applying ICT in HRM has not only reduced the costs of implementing a number of standard personnel tasks, but has also changed a number of processes used to achieve management goals (Lepak & Snell, 1998). These effects accelerated when, along with the development of Big Data methodologies and artificial intelligence on the one hand, and social networks and other social activities creating data for such analyses—on the other, organizations understood the scale of possibilities that ICT gives to business (Woźniak, 2013; 2015ab).

The countries of Central and Eastern Europe, as the new European Union countries are often termed, started using ICT in HRM relatively early on, and have been recognized as the leaders in this field in Europe (Strohmeier & Kabst, 2009). The transformation of the political system, which brought with it radical economic change and a modernization of organization management systems, coincided with the development of new technologies. Social relationships, however, both those within organizations as those on the outside, were far from the standards that Western Europe had developed or management textbooks described. A high unemployment created a reserve army of workers. This, alongside a liberal capitalist mission espoused by management and imposed on patriarchal social norms, resulted in an entrepreneurial culture comparable with slave plantations (Gardawski, 2001). In addition, employee expectations concerning management behaviour were low (Gardawski, 2001). Significant emigration (exceeding 10% of the economically active population), reaching 30% in some groups of professionals, has in the last 10 years changed the accessibility of a qualified workforce. This has been accompanied by changes in employee expectations, partly influenced by the diffusion of cultural patterns, and partly by generational changes (Woźniak, 2014).

At present, Poland notes the lowest level of unemployment in the European Union, which favours raising the standards of behaviour of employers who are experiencing the pressure of shortages on the labour market. We may assume that employers, well-versed in contemporary techniques of personnel management, will strive to adapt their activities to the expectations of employees, using the entire potential of management tools available to them.

This is especially true for ICT-based selection tools, as – although Internet accessibility in Poland was until recently low (in 2017, Internet penetration had only reached a level of 80%) – the infrastructure and readiness to use new technologies is relatively high. Despite the fact that in the last, 2016 e-readiness ranking Poland takes 42<sup>nd</sup> place, access to the Internet is universal among people with vocational and higher education (GUS, 2017), which allows employers to use a wide range of ICT-based recruitment and selection tools at least in these employee groups.

The use of tools based on ICT in the recruitment and selection of employees became the declared standard in HR in Poland around 2010, regardless of the actual scale of their use (Woźniak, 2013). This was due, in particular, to the fact that the introduction of a number of minor ICT-based modifications in recruitment and selection processes can be presented as the

use of modern selection tools, and thus builds the image of the employer as a modern organization. It can therefore be expected that knowledge about new selection solutions will relatively quickly diffuse and become commonplace in management practice, due both to real needs, as their image-building significance (Woźniak, 2014).

Regardless of the actual application of these new solutions, it is worth noting that – from the perspective of the modern Internet user – they are a quite natural modification of certain traditional selection tools. For instance, transferring the selection interview from a face-to-face meeting to a meeting via Skype, for Poles who use Skype to contact family members abroad, is nothing notable. A familiar technology is used for a different communication situation. Similarly, searching the Internet to find information using Google is easier and cheaper than asking others for opinions about a particular person—and is a perfectly understandable activity for the contemporary Internet user. Treating this activity as a form of "checking references" may not be so obvious for the employee, but it will be understandable that over the Internet you can find information that will show the candidate's competencies for the job.

Another group of modern selection methods involves the assessment of competences based on the candidate's activity as a player in a computer game. According to some data, in 2014 almost 40% of adult Poles played computer games (data from newzoo.com – after: Woźniak, 2015a, p. 14), and the Polish computer games market has a dollar value that gives it 23<sup>rd</sup> place in world rankings (2017). This means that computer games are a presence in social life; it also means that the way in which the player's competences are reflected is understandable—both through the results, as through behaviour during the game. And so Polish people in general are aware that an accurate assessment of competences can be made basing on activity in a game, if the player is fully involved; they also understand the conditions necessary for reasonable inferences about these competences to be made (Woźniak, 2015ab). This means that tools based on the analysis of players' performance in computer games, containing fragments analogous to work samples, are not less understandable for candidates than, for example, an assessment centre.

### **Research into evaluation of assessment tools standard methodology and its assumptions**

As has been mentioned, the research literature notes there is a gap in our knowledge of how candidates perceive new selection methods (McCarthy et al., 2017). It has already been emphasised that studies of candidates' opinions on this issue have a 30-year tradition, and that there is consensus concerning the methodology of research and knowledge on the relative cultural homogeneity of the so-called fairness evaluation of selection tools (Anderson, 2003; Anderson & Witvliet, 2008; Anderson, Salgado, & Hülshager 2010; Anderson, Ahmed, & Costa, 2012; Nikolaou & Oostrom, 2015; Liu, Potočnik, & Anderson, 2016).

The research methodology is based on a classic study by Steiner and Gulliland (1996), who analyse accepting a tool by differentiating between distributive and procedural justice. These are measured using a questionnaire with 2 questions indicative of distributional justice, and 7 questions indicative of procedural justice, with a 7-point Likert scale for each question. At the start, each of the tools is given a definition, which introduces the respondent to the 9 questions that follow. These definitions were developed for the 10 traditional tools in 1996. This research procedure has been used many times (Anderson, Salgado & Hülshager, 2010; Bilgic & Acarlar, 2010; Ispas et al., 2010; Anderson, Ahmed & Costa, 2012; Liu, Potočnik & Anderson, 2016), despite its arduousness for respondents (Bilgic & Acarlar, 2010) and the assumptions that need to be made for it to make sense to use it. The most important of these assumptions is that the tools assessed are understood uniformly by all—which is obviously not the case, as some are known to respondents from their own experience (Snyder &

Shahani-Denning, 2012), some from information exchanged with colleagues, and yet others only from the definition they read, not always very carefully. Although the questionnaire has one question concerning how commonly the given selection tool is used (an indirect indicator of social acceptance), there is lack of detailed analysis of whether universal use affects higher acceptance, because the result on this dimension only loads the evaluation of procedural fairness.

The second kind of assumption concerns the determinants of the opinions respondents present in the questionnaire, i.e. it bases on the consideration that the dominating criterion for a response is rating justice. In other words, it assumes that the emotional attitude to all of the selection tools – or more broadly, to the ways of communicating with the employer –are similar. However, respondents' opinions may also result from the fact that they would like to be evaluated with a specific tool, not because of its relevance or impartiality, but because of their preferences—e.g. they like it (or rather: are afraid of it, e.g. personality tests, see Nikolaou, & Oostrom, 2015), or they think that this type of communication reveals aspects that are important for them in the selection process, or allows them to present themselves well (and get the job).

Because of the length of the questionnaire, researchers limit the number of tools tested at one time and rarely exceed the 10 descriptions used in 1996 (if so—by only a few, e.g. Snyder & Shahani-Denning, 2012). As a result, the descriptions of the presented tools are quite general and seem to combine many variants of a given diagnostic approach into one group, despite the fact that the current spectrum of analogous tools undoubtedly combines the less impartial ones with those that are more impartial. These studies do not also analyse the way in which a given tool is used, and only assume that the respondent will choose to believe that the tool is used in the best manner possible, and not carelessly or incompetently.

### **Methodology of the research**

Basing on the literature (Woźniak, 2013, 2015ab; McCarthy et al., 2017), 5 new definitions of selection tools that use ICT were described. These were paired up with 5 traditional tools which are a methodological analogue for the prognostic validity of the new tools (Woźniak, 2013). The following ICT-based methods were chosen: the frequently used long-distance interview (to compare with the traditional selection interview); two tools basing on computer games: assessment based on behaviour and results (analogues of work samples); and two Internet search type tools: concerning content (analogue to checking references), and concerning structure (analogue to analysis of biodata). As employees in Poland do not usually have contact with biographical inventories (biodata), and are used to submitting CVs as a standard method in the selection process, the CV was also included in the set of 10 tools, in order to make it easier for respondents to distinguish the different use of biographic data.

In effect, the list of 10 tools consisted of: 2 traditional methods that respondents had experience with (selection interview and CV); 3 they would know of from others' experience (long-distance interview, checking references and work samples); 2 that are easy to imagine (analysis of behaviour and results in a computer game); and 3 tools they are not familiar with (biodata analysis and its 2 modern analogues—analysis of content and analysis of relationships in the Internet), which may feel similar to everyday Internet activity, but are used in a different manner.

The questionnaire had a standard construction. For each tool there were 2 questions concerning distributive justice, and 7 concerning procedural justice (Anderson, Salgado & Hülshager, 2010; Bilgic & Acarlar, 2010; Ispas et al., 2010; Snyder & Shahani-Denning, 2012). The first questions concerned the traditional methods; next in line was the long-

distance interview; then activity in games; and lastly the most difficult—analysis of content and relationships on the Internet with the use of big data and biodata.

A diverse group of respondents sent in about 900 responses in January and February 2018 through a portal which provides respondents who are paid by gamification (ankieteo.pl). According to information supplied by the portal, the sample is analogous to representative nationwide samples with respect to education and age of respondents. There was a slightly higher representation of women in the sample (534:368), and of people with no higher education (467). About 100 people were still in college, and a similar number were not employed anywhere. Length of work experience, which in this analysis was taken as an indicator of belonging to a given generation, was distributed almost equally—291 (15 years and more) : 234 : 377 (below 4 years).

The study tested the following hypotheses:

H1. Younger people rate fairness of new selection methods higher than people from older generations.

H2. More extensive Internet experience increases acceptance of chosen ICT based selection methods.

We base on the TAM model which describes acceptance of new technologies (Davis, 1989) with changes introduced later (Venkatesh, Thong & Xu, 2012), and as can be seen, assume that a greater knowledge of this field (Internet and ICT in general), indicated either by affiliation to a given generation or by online experience, favours considering ICT methods to be normal (in line with social standards—Venkatesh, Thong & Xu, 2012), and therefore more readily acceptable. As our reasoning is by analogy—the study assesses the fairness of tools in selection processes, and not readiness to use them—our hypotheses are not an obvious conclusion from these theories.

For the purposes of this analysis we used a simplified operationalization of generational affiliation and Internet experience. The former was represented by length of work experience—respondents who work over 15 years were classified as generation X; between 5-15 years were classified as generation Y, and shorter than 5 years—as generation Z. In the case of Internet experience, respondents were asked if they “have used the Internet for a long time” (687 persons, classified as Internet experienced), and the remainder (classified as less Internet experienced), who responded that they “have used the Internet for a long time, but really frequently not for long”; “I use the Internet, but not very frequently”; or “I use the Internet if I need to, but I don’t feel too comfortable with it”.

## Results and discussion

The hypotheses were verified basing on the data in table 1. For the purposes of this analysis we adopted the standard procedure and methodology described in detail by (Snyder & Shahani-Denning, 2012). A standardized (divided by 2 or 7) average number of points was used to assess acceptance of the tool, with 1=definitely not, ... 7=definitely yes, separately for questions about the process and separately for distribution questions. Due to the calculation method used, each value in the table can be a fractional number between 1 and 7, and a higher number means a higher level of acceptance for a given tool.

**Table 1. Assessment of distributive (SD) and procedural (SP) justice of traditional and new selection tools, made by all respondents (n=902), in 3 generation groups (X=291, Y=234, Z=377), with Internet experience included (with higher Internet experience DI n=687; with lower Internet experience NDI n=215)**

Selection	SD	SP										
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tool	(n=902)	(n=902)	Gen X (n=291)	Gen X (n=291)	Gen Y (n=234)	Gen Y (n=234)	Gen Z (n=377)	Gen Z (n=377)	DI (n=687)	DI (n=687)	NDI (n=215)	NDI (n=215)
Interviews	4,3	4,43	4,35	4,45	4,36	4,45	4,22	4,39	4,47	4,54	3,78	4,08
C.V.	4,36	4,41	4,33	4,46	4,38	4,39	4,36	4,4	4,48	4,56	3,96	3,96
Application questionnaire	4,31	4,37	4,37	4,43	4,25	4,39	4,31	4,32	4,45	4,49	3,87	4,02
Work-sample	4,51	4,45	4,49	4,45	4,61	4,53	4,48	4,41	4,72	4,36	3,86	4,00
Personal references	4,2	4,24	4,17	4,28	4,35	4,32	4,12	4,17	4,32	4,32	3,82	4,00
Long-distance (Skype type) interview	4,08	4,05	4,1	4,1	4,1	4,07	4,05	4,02	4,13	4,09	3,93	3,93
Assessment based on activity in games	3,93	3,93	3,95	3,97	3,94	3,94	3,91	3,89	4,00	3,97	3,71	3,82
Assessment based on game results	3,85	3,9	3,82	3,91	3,95	3,93	3,83	3,9	3,9	3,91	3,73	3,91
Content-based analytics	3,69	3,89	3,77	3,9	3,73	3,89	3,62	3,9	3,7	3,9	3,7	3,89
Structure-based analytics	3,63	3,81	3,69	3,83	3,86	3,88	3,45	3,74	3,61	3,8	3,71	3,84

Source: Analysis based on data collected for MA thesis study (Rafalik, 2018)

As the above data shows, all traditional tools have a higher acceptance level than those basing on the Internet. Age and Internet experience do not modify this relationship. Among new tools, the highest rating is given to long-distance interviews; the lowest to analysis of Internet content and relationships. Contrary to expectations, age is not a factor, as the ratings of the oldest respondents do not differ from those of other age groups, excepting the case of structure-based analytics (relationships)—where their ratings are more similar to those of the youngest generation than to generation Y.

Higher Internet experience favours accepting long-distance interviews and computer game-based behaviour assessment, but even here differences do not exceed 5% over the average for all respondents.

A comparison of groups of tools – interviews against work samples and checking references – shows traditional interviews and work samples to have a similar high acceptance level (the work samples even higher than the interviews). Tools based on the new methods of assessing work samples (assessment of activity in game and game results) have a lower acceptance level not only in comparison with long-distance interviews, but are also rated significantly lower than traditional work samples. The acceptance level for traditional references is ca. 2% lower than for traditional interviews (more precisely, lower by 2,38% for distributive justice,

and by 4,28% for procedural justice). In its contemporary form<sup>1</sup> of reference checking, the distributive justice of them is rated 8% lower than for Skype-based interviews (although its procedural justice only 6% lower). These differences are similar in subgroups, except for Internet experience—higher levels of the latter favour a lower acceptance rate of new methods for checking references (and a higher acceptance of the traditional method).

### **Summary and conclusions**

The goal of the study was to verify how the fairness of chosen selection tools is perceived, and in particular whether the perception of the fairness of new selection tools differs from the rules formulated for traditional tools. Based on the literature, descriptions were prepared of 5 new ICT-based selection tools, and of 5 corresponding traditional tools adapted for the purpose. A questionnaire was developed using these descriptions, following Steiner and Gulliland's research procedure (1996), which is a standard in this area of research. Data was collected from 902 potential employees in Poland.

It was ascertained that new tools are given lower ratings than the corresponding traditional tools, and that generational affiliation and declared Internet experience weaken this relationship. The study also showed that although the selection interview is the most frequently accepted selection tool, regardless of whether it is carried out face-to-face or at a distance, its acceptance is still lower than the least accepted traditional tools. Respondents with Internet experience are more versed in the dangers of providing data over the Internet, and a higher Internet experience favoured scepticism towards analysis of Internet content, although it also favoured accepting assessments based on computer games. No consistent generational differences were observed, and although generation Zs are more sceptical of traditional selection tools than the other generations, ICT tool this difference shows up for is analysis of content and relationships over the Internet.

To summarise, the study showed that the assessment of fairness of new selection tools differs from assessments of traditional tools. Also, the opinions of respondents in Poland differ those found in previous studies, in which selection interviews are given higher assessments than work samples (Ispas et al., 2010, p. 106). Moreover, Poles differ from their Romanian (the only Eastern European sample researched until today) counterparts—Polish respondents assess fairness of the traditional tools much lower (at 4 points in comparison with the 5,3-6,28 of the 2010 Romanian sample) (Ispas et al., 2010, p. 106). This suggests that further research is needed to verify the validity of the consensus over whether fairness assessments are independent of culture.

It should be emphasized that the data in this study was obtained through an Internet questionnaire, which respondents found difficult to fill in. Further qualitative studies should be conducted to analyse the reasons for which ICT-based tools achieved such low levels of acceptance.

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<sup>1</sup>The new forms of Internet-based searches were compared with reference checking, as respondents were not familiar with the application questionnaire (biodata), and during the pilot study concerns were raised about its being distinguished from CVs. Although the definition was changed for the main study, the difference between CVs and application questionnaires were still small in the study, as an effect of which assessments of this tool were one of the highest.

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## **CHAPTER 2: Human resource practices and main challenges in Organizations 4.1**

### **Big brother is watching you: monitoring as a questionable human resource practice**

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#### **Abstract**

Over time, the importance of Human Resources Management (HRM) within organizations has been growing. However, with the evolution of technology, the practice of employee monitoring has raised some issues in the information confidentiality and data protection, which refers to a concept that is very present nowadays: Social Engineering (SE).

The aim of this work was to relate employee monitoring and SE, focusing on the ethical, privacy and trust issues that may arise in the relationship between employer and employee. In this study, interviews were held with 12 participants, mostly HR directors and managers from different companies of several industry sectors.

The results showed a relationship between employee monitoring and SE, specifically in terms of technology manipulation and access to private information.

#### **Introduction**

In today's society, employee monitoring raises several issues concerning ethics, privacy and trust within the organizational environment and specifically the relationship between employee and employer. According to Hubbard, Forcht and Thomas (1998), employee monitoring aims at collecting vast amounts of information about employees, both work-related and non-work-related, in order to better understand individual behaviour, individual performance, and other human outcomes. The evolution of technology in the recent decades made it easier and less expensive to collect such information, which on the other hand raises important questions about the boundary between private and professional life (Lasprogata, King & Pillay, 2004). Information technologies (IT) simplify employees' work and activities, providing them with more autonomy and flexibility, however, employees also become exposed to risks of intrusion in their personal lives through increasingly sophisticated technology monitoring and surveillance.

SE refers to psychological manipulation of people into performing actions (Pais, Moreira & Varajão, 2013; Mitnick & Simon, 2002). In the context of fraud, SE includes more well-known practices such as phishing and baiting, and less known ones, such as those used by

Facebook and other social networks to control human choices regarding a number of subjects, from marketing and advertising, to company and lobby campaigns (Tetri & Vuorinen, 2013).

As technology advances, some issues arise concerning employees' privacy because monitoring can be seen as a way of intrusion and a source of stress (Mishra & Crampton, 2001). With the widespread use of computers and employees' daily access to the Internet, employers may feel forced to monitor their activities because different people may have a different position regarding ethics (Yerby, 2013). Also the balance in the trust relationship between employee and employer may be affected by monitoring practices (Hoffman, Hartman & Rowe, 2003).

Following these and other works, the goal of the present research was to explore how HR monitors employees through the use of SE techniques, with the following research question: how is employee monitoring helping HR to manage employees? The main idea behind this paper was to explore a less known side of HRM, that of employee surveillance and control through modern IT. The research question highlights the idea that employee monitoring is a practice which can be questionable from a moral standpoint, hence this research touches topics such as trust, privacy and ethics.

### **Human Resources Management**

The growing importance of HRM within companies has undergone major changes, including a new understanding of its role and contribution in the organization to achieve strategic goals and success, and a new perspective of the employee and his/her role in the company (Rego *et al.*, 2015). Thus, one of the main goals of HRM is to show that the organization's success depends directly or indirectly on the employee, therefore it's necessary to do their follow-up and monitoring.

HRM is an important influencing process because it has the potential to affect the way employees perceive and interpret organizational realities, and consequently has an impact on individual and organizational performance (Sanders, Shipton & Gomes 2014). Furthermore, the HRM function indirectly influences employees' decisions and behaviours through HR managers and direct supervisors (Pereira & Gomes, 2012; Pombo & Gomes, 2018).

However, HRM can also be seen as a distant and unattainable entity, in an environment where distrust tends to prevail in the relationship between employee and organization, emphasizing the lack of commitment to the company and undermining the credibility of HR (Cabral-Cardoso, 2004). Over the years, there is no evidence that this situation has changed, and in fact it may be the case that it will get more important to understand, as SE techniques invade work settings.

### **Social Engineering**

SE is defined as the use of non-technical means to gather information and access IT systems (Thompson, 2006). Both monitoring systems and SE actions are defined by the interaction between two or more individuals to obtain some kind of information, through technology means, and regardless of being private or public data.

SE techniques are various, and they can include the following examples: 1) reverse SE: a person-to-person attack in which the information is freely given to the attacker, who supposedly plays an important role in the organization; 2) dumpster diving: obtaining information through recycle bin; 3) telephone tapping: secretly listening to telephone calls; 4) in personification: a relationship of trust with other people is stimulated, with the aim of

attaining a certain kind of information; 5) spyware: collecting information about a user's behaviour through computer applications; 6) phishing: getting information about personal and financial information by e-mail; and 7) footprint: collecting information in general, namely by telephone (Hasan, Prajapati & Vohara, 2010; Pais, Moreira & Varajão, 2013; Tetri & Vuorinen, 2013).

From the above examples, it is clear that the information flows between systems and people require the later to allow and/or permit the former to have access to personal data. As such, trust is an essential ingredient for the success of the whole process. As such, SE uses persuasion techniques in order to build trust. According to Bullé, Montoya, Pieters, Junger and Hartel (2015), there are some persuasion's principles used by less scrupulous social engineers in order to gain access to personal data. One principle that the authors highlight is authority and it describes the people's tendency to obey authority figures, leading to human vulnerability: the individual as the weakest link (Gupta, 2016; Seidenberger, 2016). IT also plays a key role because it may enable the privacy issue (Mitrou & Karyda, 2006), leading to a fine line between professional and personal life. Thus, it is not easy to separate both types of information, which may refer to the concerns about monitoring.

### **Employee Monitoring**

Considerable data collection about employees is required for basic management activities such as recruitment and selection, payroll, performance evaluation and company's safety. Monitoring is implemented for several reasons, such as the need to examine a breach of confidentiality, a fail in prevention and safety rules, or just for daily-based operations (Mitrou & Karyda, 2006). Computers and IT usage in organizations have changed dramatically the relationship between employer and employee (Coultrup & Fountain, 2012). Technological advances have affected the needs and expectations of employees, as well as their responsibilities and behaviours.

The professional relationship is characterized by an asymmetry of power. According to O'Rourke, Teicher and Pyman (2016), the workplace unbalance has been adjusted and hindered by the development of HRM practices and the individualization of professional relationship. One of the most common monitoring arguments lies on employee's misuse of technology, which may cause waste, loss and costs, or the need for legal compliance and employer's obligations. Another company's aim to employee monitoring is to increase efficiency, to measure productivity, to reduce risk and to maximize profits (Rosenblat, Kneese & Boyd, 2014). There can be no mutual consent of both parts, but there will always be a mutual understanding that there is a subtle limit between what is allowed and what is considered abuse.

Monitoring techniques contain two basic and fundamental assumptions: performance feedback and control application (Alder, Schminke, Noel & Kuenzi, 2008). Mishra and Crampton (2001) described some types of monitoring systems: 1) observation, where employees are being watched without their consent; 2) video surveillance, where employers monitor employees through cameras, recording their behaviour; 3) phone tapping, where employers record the number of calls, frequency, destination and time; 4) computer monitoring, where employees store an amount of data; and 5) e-mail and voice-mail monitoring, where employers easily check both e-mail and voice-mail messages. Currently, the last two techniques are the most common because they are part of electronic monitoring.

## **Electronic Monitoring**

Recent advances in technology have dramatically changed the nature of work, the organizational environment and the relationship between employer and employee (Alder et al., 2008). IT were adapted by HRM in order to improve organizational performance, through data analysis and electronic communication to measure, predict and manage organization's change and development (Lin, 2011). Therefore, IT emerged as part of the current organizational infrastructure, but followed by its risks. Companies try to minimize them through employees electronic monitoring, in order to control and detect unwanted behaviours.

However, when electronic monitoring becomes too restrictive, employees respond with lower satisfaction and commitment, and organizations may experience significant costs and increased absenteeism. When data collection by electronic monitoring is used not only to performance evaluation but also to compensate, their acceptance is higher, therefore, communication is the key to minimize employee's monitoring resistance (Jeske & Santuzzi, 2015). Thus, it is essential that, when implementing and using monitoring techniques, HRM takes into account the employees involved, as well as the practices themselves and the monitoring principles: need, purpose, proportionality, transparency, security, legitimacy and accuracy of data collected (Lasprogata, King & Pillay, 2004; Mitrou & Karyda, 2006). Like previous studies, the results of Moorman and Wells (2003) showed that electronic monitoring systems can be designed and implemented in a way that the employee feel fair, because electronic performance monitoring features are not deeply related to the task performance, but with the performance context, thereby benefiting their motivation. These authors also demonstrated the essential role of HRM practices.

As Coultrup and Fountain (2012) mentioned, with the increased use of electronic monitoring in the workplace, issues related to ethics, privacy and trust arise.

## **Ethics**

With IT, ethical challenges have increased exponentially, leading to new implications concerning the balance of employer-employee relationship. The current situation is characterized by the fact that technology generates new ethical and unethical opportunities to a sophisticated society in great growth and with little agreement about appropriate behaviour. The solution is multi-stage: the first step is to develop micro-social norms by and for IT; the process conclusion is based on agreement about proper behaviours (Hartman, 2001; Loch, Conger & Oz, 1998).

Kaupins and Minch (2005) point out some ethical considerations to take into account in case of employee monitoring for both its benefit and limitation. As for its benefit, the authors indicate safety, productivity, reputation and impact on third parties. Regarding its limitation, the authors refer to privacy, accuracy, inconsistency, the right to examine the records, and informed consent. All these questions lead to the need of creating a policy manual and a guide for employees.

In sum, electronic monitoring has profound ethical implications which have not yet been fully discussed (Alder et al., 2008). On one hand, employers have a number of legitimate reasons for doing so, not only for costs and productivity, but also for safety and prevention. On other hand, employees defend their right to privacy and autonomy, the level of trust in their relationship with employers and satisfaction in the workplace.

## **Privacy**

The conflict between the employees' and the organizations' rights, increases with the low protection against privacy invasion, and two elements become evident: employees' right to privacy, and the employers' desire to monitor employees (D'Urso, 2006). Hence, privacy is another central element in professional relationships and must be included in the policies and practices of organization's electronic monitoring (Coultrup & Fountain, 2012; Lasprogata, King & Pillay, 2004). Following this, Nord, McCubbins and Nord (2006) pointed out that privacy in the workplace is considered a basic right, which should be taken for granted.

Bockman (2004) stated that the awareness of existing laws, and how they should be interpreted to protect the employer, can help to understand employees' right to privacy in the workplace. In terms of electronic monitoring, the right to privacy may be limited as the organization owns the equipment. The results of the study by Allen, Walker, Coopman and Hart (2007) demonstrated that the way electronic monitoring is framed can influence employees' privacy management. Therefore, when employees yield electronic monitoring as an act of taking care by employers, their resistance tends to diminish.

## **Trust**

In addition to privacy, trust is seen as another key issue of monitoring, because it is a key factor in any kind of relationship (Chang, Liu & Lin, 2014; Coultrup & Fountain, 2012). If employees feel respected within the organization, and if communication is open and honest, then trust is reinforced. However, electronic monitoring has the ability to create an adverse environment in the organization that may also lead to adverse reactions, low morale and high turnover, as referred by Mitrou and Karyda (2006). The possibility to disrupt employee's privacy influences the degree of confidence within the workplace, so when employees rely on organization's policies, there will be a greater tendency to commitment and compliance.

As Tzafrir (2005) concluded, trust in the professional relationship has to involve the HR system, because it represents the relationships, interactions and communications between employer and employee.

## **Research Goals**

In summary, the current study explores the relationship between employee monitoring and SE techniques in HR, with the following question: how is employee monitoring helping HR to *manage* employees? Our research goals are to identify how employee monitoring is seen by HR function, what implications arise for trust, privacy and ethics, and how technology (SE and IT) is being used to monitor employees.

## **Method**

The research followed a qualitative approach, as this was a research aimed at exploring a relatively unknown topic. The topics of social engineering, social influence and persuasion, and manipulative HR are not new, but the increasing sophisticating of information technologies pose new issues to their use by the HR function. Semi-structured interviews and content analysis (through NVivo) were used to identify and deliver the main analytical categories. Twelve interviews were held with senior people in the HR area, directors and managers. These interviewees have a deep understanding of the issues under observation.

## Results

Due to space constraints, only the main categories are presented and defined in the next paragraphs, without the classical support of the verbatim provided by interviewees.

**Monitoring: General Impression** – The participants showed a positive impression about monitoring's relevance and usefulness, but some interviewees mentioned a darker side, such as control and watchfulness. Monitoring was said to be essential for management, but it has the potential to control people. In other words: the process itself is neither good nor bad, it will depend on the use that HR gives to it.

**Consequences of Electronic Monitoring** – Concerning the consequences of electronic monitoring, a subcategory included positive effects: higher productivity, increased job demand, and increased employee awareness, as they need to consent. A second subcategory included negative effects: unwanted or unnecessary mix between private and professional lives, the feeling of being pursued relentlessly, and dissatisfaction, discomfort, and bad-being.

**Monitoring and Ethics** – It was consensual that ethical principles should be in place and that monitoring practices should be communicated (transparency), because it is not possible to manage people without monitoring them: it is a necessary evil. Culture and corporate values should play a role here like, for example, using monitoring for the benefit of all.

**Monitoring and Privacy** – The majority of the interviewees said that monitoring is perceived by employees as an invasion of privacy and a deprivation of individual freedom, even if it has no purposes to HRM. Hence communication and transparency of monitoring rules and practices is paramount because, even when in work environments and settings, people are entitled to their privacy.

**Trust between Employees and Employer** – As trust should be earned/given, the principles ruling monitoring should be negotiated, communicated and accepted, and also common goals should be defined. Leadership is the key to create a trust culture and less monitoring is advisable, as it creates more trust.

**Technology and Manipulation** – The interviewees said that technology is likely to stimulate employee manipulation feeling. It allows manipulation to take place, but is also an undoubtedly key resource for the organisation.

## Discussion and Conclusion

The results show that SE principles and philosophy are present in HR monitoring practices, through technology surveillance and information gathering. Apparent from the results, is the conclusion that the way information is collected and treated is somehow not yet clear. Nevertheless, employees seem to hold a less positive perception of the HR function due to monitoring.

Concerning the potential implications, ethics is intrinsically connected to monitoring and also to confidentiality and data protection, hence the importance of having some kind of policy in place. Nevertheless, monitoring may be perceived as a privacy invasion, especially when monitoring practices are not clearly defined and/or communicated. Lastly, the organizational culture and HR department are very important for trust between employer and employee, where monitoring may lead to a certain inequity.

In conclusion, accessing information through electronic monitoring may lead to employee vulnerability and privacy invasion. IT has an important role in the employer-employee relationship because it changes their needs and expectations, and with the possible misuse of both confidentiality and data protection, it may lead to a manipulation feeling. Therefore, practices and procedures related to employee monitoring need to be clearly laid off and communicated in the organization. The effects of culture, values, leadership and other organizational dynamics also appeared in interviewees' minds.

### **Limitations and Future Investigation**

The most important limitation refers to the limited view expressed by this groups of participants: being most of them HR directors and managers, they were able to provide a managerial perspective only. Future studies should collect employees' views of the researched topics.

An important recent change that may also affect the way the investigated topics relate to each other was the implementation of the General Data Protection Regulation (GDPR), in May 2018 in the UE. Such Regulation seeks to protect personal data at various levels, not only in organizations, and hence it is likely to have an impact on how organizations, in general, and the HR function, in particular, deal with employee monitoring practices. A final interesting vein for future research is to explore employee monitoring in other national cultural context, as the ethics of people surveillance might vary widely across nations.

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# **The role of work motivation based on values in employee's retention in the 21<sup>st</sup> century**

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## **Abstract**

Organizations in the 21th century have to address the problem of employee's retention as it has direct and indirect costs for the organisation. In regards to this issue several theories have emerged pointing out the strong relationship between retention and employee's motivation. This last topic is not trivial, as it includes factors from different disciplines such as the psychological or managerial ones.

The aim of this paper is to analyse the current literature related to different work motivation theories in order to identify patterns, which might help to understand better the dynamics between motivation at work and its impact on employee retention. In order to do so a detailed revision of the literature has been done classifying the main motivational theories in needs, traits, values and cognition.

Results of the above analysis highlight the "satisfaction of a need" as a common denominator in the motivational theories. Need theories explain why someone must act but they do not explain why particular actions are followed in specific situations. One of the insights is that values are the ones that unveil what drives individuals to achieve a goal. Therefore it is vital for organizations to learn and understand which ones are the employees work values in order to retain them and keep them motivated.

## **Introduction**

Employee leaving intentions is a topic that has attracted several scholars and practioners alike for a century and nowadays remains to be a topic of concern as organizational researchers have shown that turnover has a repercussion in various productivity related processes in the organization (Hom, Lee, Shaw, & Hausknecht, 2017). The rate differs between sectors, companies, gender or division, but what does not differ is the cost that companies face when an employee leaves. In fact, in today's extreme competitive labour market, there is a large amount of evidence stating that organizations are facing retention challenges independently of their size, market focus or technological development (Ramlall, 2004). Employee turnover is costly as it includes direct and indirect costs, but it is often underestimated. For example, there are costs associated with time to recruit and fill a vacancy; furthermore, there are costs to be considered in terms of training for the new employee in order to get familiar with the working environment and to acquire the necessary skills to be effective and independent. Then, there are costs linked directly to the team morale who has to adapt to a new person and potentially work harder until the new colleague is fully trained (Abbasi & Hollman, 2000). A

lower turnover rate implies less organizational costs and consequently a positive correlation with organizational effectiveness (Koys, 2001).

The goal of this paper is to analyse different work motivation theories in order to identify potential patterns, which might help to understand better the dynamics between motivation at work and its impact on employee retention. The analysis highlights the importance of work motivation based on values as a key element to generate organizational retention strategies.

This article is organized as follows. Next section shows a review of the main motivational theories base on a detailed study of the state of the art using as a reference the widely know classification system of (Latham & Pinder, 2005). Then a discussion based on the previous insights is developed highlighting how they can contribute to generate organizational retention strategies. Finally, conclusions and future lines of research are drawn.

### **Classification of Work Motivational Theories**

The golden age of work motivation theories was in the mid of the 1960s where scholars were interested in understanding the processes behind work motivation. But by the 1990s, the interest of work motivation decreases and as a consequence theoretical developments on work motivation declined (Steers & Mowday, 2014). This is quite a paradox since companies nowadays see having motivated employees as a source of competitive advantage, as motivation is related with a lower turnover rate (Ramlall, 2004) .

The Latin root of motivation means "to move" and that is why motivational experts study what moves individuals to act and why people acts in a particular way (B. Weiner, 1992). In other words, to study motivation means to study individual's actions (Eccles & Wigfield, 2002) and it is a topic that has been approach from different disciplines and it has evolved across the years. While psychologists have been studying the relationship between motivation and instincts, managers have been more interested in pragmatic issues (Steers & Mowday, 2014).

Pinder defined work motivation as "*a set of energetic forces that originate both within as well as beyond an individual's being, to initiate work-related behaviour and to determine its form, direction, intensity, and duration*" (Pinder, 1998). Later, (Latham & Pinder, 2005) proposed a motivational framework based on needs, traits, values and cognition because these elements have a direct connection with work motivation. For example, elements such as national culture, job design characteristics or person-context fit influence in how people set their goals and strategies based on their needs, values and situational context.

Table 1 shows an extension of their work where other authors and work motivational theories are also included with the goal of identify if there are common patterns which might help to understand better the dynamics between motivation at work and its impact on employee retention as it is discussed in the following section.

**Table 1.** Review of the main work motivation theories organized in needs, traits, values and cognition following classification elements proposed in (Latham & Pinder, 2005). A detailed analysis of their constructs illustrates that needs are a common denominator.

Classification	Construct	Authors	Main Theories	
Needs	Why I have to act?	(Maslow, 1943a) (R Kanfer, 1990)	Vroom's (1964), Valence Instrumentality Expectancy Theory	
	Goal oriented	(Wicker et al.,1993) (Ronen, 2001)	Maslow (1954), Hierarchy Theory	
	Need structure	(Kluger & Tikochinsky, 2001) (Klein, 1991) (Härtel, Zerbe, & Ashkanasy, 2010)(Payne, 1992) (Atkinson, 1957) (Herzberg, 1966)	Raynor (1969), Theory of Future Orientation Effect and Achievement Motivation	
	People prioritize needs in different ways		Weiner's (1974), Attribution Theory	
	Provide an explanation for choice, effort and persistence	(Alderfer, 1969) (Gannon & Anna Boguszak, 1966) (Vroom, 1964) (McClelland, 1980)	Herzberg (1966), Motivation Hygiene Theory	
	Individuals acquire needs from culture and society (need for autonomy, achievement)	(Argyris, 1959) (Lawler & Porter, 1967)	McClelland's (1961), Learned Needs Theory	
	Motivation is defined as the process that determines how energy is used to satisfy needs		(Bernard Weiner, 2010) (Raynor, 1969)	Atkinson (1978), The Dynamics of Action Approach
				McGregor (1960) X and Y Theories
				Porter and Lawler Model (1968)
				Day, Schleicher, Unckless, & Hiller, (2002), A meta- analysis of a self-monitoring personality
Traits	Personality	(Côté & Moskowitz, 1998) (Ruth Kanfer & Heggestad, 1999) (Mitchell & Daniels, 2003)	Day, Schleicher, Unckless, & Hiller, (2002), A meta- analysis of a self-monitoring personality	
	Need to express your traits		Digman, (1990) Five Factor Model	
	No recognize classification system.	(Schmitt, Cortina, Ingerick, & Wiechmann, 2003) (Ruth Kanfer & Heggestad, 1999)	Judge, (2009), Core Self Evaluations and work success	
	Personality predicts what motivates you	(Day, Schleicher, Unckless, & Hiller, 2002)	Dweck (1999), Self-theories	
	Self- Regulation (action and traits)	(Tett & Burnett, 2003)(Dweck, 1999)	Deci and Ryan (1970), Self -Determination Theory	
	Personality defines performance	(Bono & Judge, 2003)(Digman, 1990)		

Values	Needs are rooted in values	(Locke & Henne, 1986) (Foreman & Murphy, 1996) (Verplanken & Holland, 2002)	Foreman & Murphy (1996), Valence Expectancy Framework
	Acquired by experience		Elizur (1984), Model on Work Values
	Basis to achieve goals	(Malka & Chatman, 2003) (L. Arciniega & González, 2017) (Ralston et al., 2011)	Schwartz (1992), Circular Model of Values
	Influence choices and behavior	(Kluckhohn, 1951) (Rokeach, 1973)	Kluckhohn and Strodtbeck (1951) Values Orientation Theory Arciniega Ruiz de Esparza & González (2000), EVAT scale
	Determine job seeking behavior	(Super & Sverko, 1995) (Srivastava & Barmola, 2011) (Hackman & Oldham, 1975)	Barrett (1997), The Seven Levels Model
	Values are determined by the individual context and culture	(Elizur, 1984) (Schwartz, 1992) (Barrett, 2006)	
Cognition	Knowledge is required to identify individual needs and to choose and achieve goals	Weise and Carraher (1998)	Alderfer (1972), Existence relatedness growth Theory (ERG)
	People are motivated by the foresight of goals.	Weise and Cropanzano (1996)	Deci (1975), Competence and self determination
	Self - efficacy is important to determine success.	Parke (1998) Brunstein et al. (1996)	Deci (1975), Cognitive Evaluation Theory
		Alderfer (1972) Deci (1975)	Bandura (1986), Behavioural Framework
		Bandura (1977) Falk (1965)	Bandura (1977), Social cognitive Theory
		Hackman (1976)	Hackman (1976), Job Characteristics Model (JCM)
		Adam's (1965), Equity Theory Organizational Justice	
		Weiss and Cropanzano (1996), Affective events theory	

## Work motivation based on values as a common pattern

Ramlall (2004) stated that employee motivations influence retention rates and other behaviours within organizations. In fact, there is a large amount of evidence suggesting that there is a direct relationship between motivation of individuals at the job and lower turnover intentions (Upasna A Agarwa, Vishal, 2018) because when individuals are motivated at work they feel committed to the organisation (Kong, Sun, & Yan, 2016). Motivation at work is a complex topic as it includes a large number of theories, concepts and diverse information and it brings together scholars from the psychology and managerial sciences that try to unveil individual's behaviour as a function (Chiang & Jang, 2008).

Table 1 illustrates the main work motivation theories and their authors organized in needs, traits, values and cognition following the classification elements proposed in (Latham & Pinder, 2005). For each one of the classifications, the main constructs are identified based on the analysis of the literature review and the "need" concept appears as a common denominator.

Many scholars studied the relationship between satisfaction of needs and employee motivation and they stated that the failure of satisfying a need will lead to pain associated with unmet needs (Alderfer, 1969); (Argyris, 1959); (Ruth Kanfer & Ackerman, 2000); (Maslow, 1943); (Gannon & Anna Boguszak, 1966). Therefore, human resources practices that satisfy employee's needs will have a higher motivational workforce (Green, Finkel, Fitzsimons, & Gino, 2017).

Needs are directly related with values in the sense that needs cannot be translated into goals unless they have a cognitive representation through values. According to Schwartz's ideas, people choices are affected by the set of values that each individual has (L. M. Arciniega & Gonzalez, 2005) and, in the professional environment, the behaviour of employees is affected by their values. For example, an employee may end up working in a particular position depending on the satisfaction of a certain need which is translated via their values (Ariza-montes & Han, 2017).

Needs and values are as well related in the sense that need theories explain why someone must act, they do not explain why particular actions are followed in specific situations to achieve a goal (R Kanfer, 1990). For this reason, it is crucial when talking about work motivation to look at values. According to the philosopher Alain Locke (1885-1954), values are elements that mediate motivational processes transforming needs in intentions, being intentions conscious processes (Harris, 1989). Looking at the professional environment it can be seen that goals are considered the expressions of values. According to (Elizur, Bong, Hunt, & Beck, 1991) organizational values refer to an object, situation or behaviour with high importance for the individual or group, consequently, work values refer to those situations, behaviours or objects within the work context. Values include work intrinsic, extrinsic and social situations. Furthermore, values are directly linked to needs in the sense that they respond to three universal requirements: the need that individuals have from a biological point of view, the need for appropriate social interaction and the requirement of a proper functioning of a group (Ros, Schwartz, & Surkiss, 1999).

The identification of values is a very relevant tool for most organizations interested in continuously measure the level of motivation of their employees (L. Arciniega & González, 2017). This identification helps them to create either short or long-term strategies in order to improve employee's welfare and reduce turnover (Ertas, 2015). (Ralston et al., 2011) for example, analysed a sample of business managers and professionals across 50 societies assessing workforce work values using the framework provided by Schwartz (1992). Another example will be (Barrett, 2006) who developed several cultural transformation tools for organizations based on values with the objective of driving effectiveness and corporate profit (Barrett, 2008). The above are just some examples that highlight the fact that organizations recognize the importance of understanding the motivational paradigm in order to retain talented employees. Talented employees will be able to survive within the changing organizational world providing a competitive advantage (Hussain, 2013).

## Conclusions and further work

Retaining employees is a topic of concern within organizations as it has economical repercussions and threatens organizations survival. Studies have revealed that employee motivations impact on retention rates suggesting that having motivated employees directly relates to a lower turnover ratio.

This paper analyses different work motivation theories with the objective of identifying patterns that might help to understand better the dynamics between motivation at work and its impact on employee retention.

From the above study, it can be concluded that motivational theories have the satisfaction of a need as a common denominator. Although need theories explain why someone must act they do not explain why particular actions are followed in specific situations to achieve a goal. If motivation has to do with the satisfaction of needs and needs depend on individual values then which ones are the work values of employees? This is a question that organizations might want to consider when establishing their human resources strategies as the identification of their employee's work values might help organizations to generate organizational retention strategies.

Within the fast pace changing rhythm of organisations another interesting fact to have into account is that employees from different generations have different work preferences and work values (Dokadia, Rai, & Chawla, 2015). In this line, numerous scholars have researched what drives people according to their generational cohort (Eversole, Venneberg, & Crowder, 2012),(Lyons, Sean T; Schweitzer, Linda; NG, 2015),(Twenge, Campbell, Hoffman, & Lance, 2010). Further work includes studying what different generation's values in regards to their generational cohort and more particularly the Millennial generation as it will represent a 74 per cent of the world's working population by 2025 (Myers & Sadaghiani, 2010).

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# **An Exploratory Study of Talent Management in the Canadian Nonprofit Sector**

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## **Abstract**

We examine talent management in Canadian nonprofit organizations and explore how talent management is defined and practised in Canadian nonprofit information technology departments. Individual depth interviews were used to collect data. A critical realist approach to interviewing was used in this explorative study. The results indicate that Canadian nonprofit IT decision makers have a unique view of talent management that differs in many respects to those described in the academic literature. This study contributes a new perspective on talent management by providing empirical insights from outside the US and for-profit context with implications for the broader discussion, conceptualization, and practice in the field.

## **Introduction**

In 1997, a team of McKinsey consultants investigating the talent problems faced by large organizations predicted that a shortage of executive talent, the product of decreasing supply of human capital and an increasing demand from a growing economy, would lead to a war for senior executive talent in corporate America for decades to come (Chambers, Foulon, Handfield-Jones, Hankin, & Michaels, 1998). The authors predicted that superior talent would be the prime source of future competitive advantage, and the companies that prioritize sourcing, developing, and retaining the most talented people could win the war for talent (Chambers et al., 1998). Despite initially lacking a clear and consistent definition or theoretical framework (Collings & Mellahi, 2009; Lewis & Heckman, 2006) and criticism that waging the war for talent is demotivating for substantial portions of the workforce and ignores systemic cultural problems affecting performance (Pfeffer, 2001), management practitioner and academic interest in the topic of talent management (TM) persisted. In the decades that followed, practitioners continually reported that TM was central to renewal and future organizational success (Collings & Scullion, 2011; Glenn, 2012), and the topic of received a significant degree of academic interest (Collings & Mellahi, 2009; Lewis & Heckman, 2006; Thunnissen, Boselie, & Fruytier, 2013).

As a result, a clearer definition of TM outcomes and practices has begun to emerge from the academic literature (Collings, Scullion, & Vaiman, 2011; Thunnissen, Boselie, & Fruytier, 2013). Despite the progress, significant gaps in understanding remain as much of the current TM literature has focused on for-profit multi-nationals in the U.S. context (Collings, Scullion & Vaiman, 2011). While some efforts have been made to examine TM in the public sector (Glenn, 2012; Thunnissen, 2016) and European settings (Collings, Scullion & Vaiman, 2011), there are significant gaps in the research outside the U.S. for-profit context. For example, little research has been done on TM in the Canadian and nonprofit setting. To address these gaps, this study will provide supporting empirical evidence from Canadian nonprofit information technology (IT) management practitioners that aids the understanding of TM practices in the Canadian nonprofit sector. This research is intended to contribute a new perspective on TM by providing empirical insights from outside the US and for-profit context with implications for the broader discussion, conceptualization, and practice in the field.

## Literature Review

In the HR practitioner literature, TM is consistently defined as relating to an organization's activities to recruit, retain, and develop the most talented and superior employees available in the job market. It focuses on how people enter and move up, across, or out of the organization (Ulrich, Allen, Brockbank, Younger, & Nyman, 2009). Still, there is considerable disagreement among scholars regarding talent management's definition and core practices (Kontoghiorghes, 2015; Thunnissen, Boselie, & Fruytier, 2013), and how they differ from Strategic Human Resource Management (SHRM). Much of the debate centres around the definition of talent, which alone can be difficult, complex, ambiguous and incomplete (Ross, 2013). For one, there is some disagreement as to whether talent is innate and stable or acquired and therefore can be developed through training (Thunnissen & Van Arensbergen, 2015). Similarly, the definition of talent has been divided along a subject vs object dimension in which a distinction is made between talent as people (subject approach) and talent as characteristics of people (object approach) (Thunnissen & Van Arensbergen, 2015). The subject approach focuses on people as scarce individual employees whereas the object approach sees employees' ability as the product of ability (A), motivation (M) and opportunity (O) to perform. Another distinction is made between an inclusive (i.e. all employees) approach and an exclusive (i.e. a specific group) approach to TM (Thunnissen & Van Arensbergen, 2015). For example, Collings & Mellahi (2009) take an exclusive view (related to a selective group of employees) of TM to differentiate TM from conventional strategic human resource management (SHRM). Their research attempts to clarify the conceptual boundaries of TM by adding the notion that TM is not only concerned with recruiting, retaining, and developing talented employees, but with the identification of key positions and talent pools of high performing or high potential employees to fill these pivotal roles (Collings & Mellahi, 2009). Others have criticized this focus on high-potential and high-performing employees working in key roles as it assumes a causal relationship between talent and success and does not adequately consider environmental, organizational or group influences (Ross, 2013). They advocate a more inclusive approach to TM which argues that each person has a set of strengths (Nijs et al. 2014; Pfeffer, 2001; Stahl, 2013), and seeks to "get the best out of all their people instead of always searching for different people." (Pfeffer, 2001, p. 258).

While there are many different TM practices and activities discussed in the academic literature (Thunnissen et al., 2013), TM practices generally involve proactively identifying key future positions and attracting talented employees to fill these positions when they arise. TM adapts concepts found in other business areas, such as supply chain management, Six Sigma, Customer Relationship Management (CRM), and lean manufacturing (Sullivan, 2015), and even financial management (Hung, Chang, Hsu, & Yang, 2007) to devise a process of ensuring that an organization has a continuous flow of productive people in the right job at the right time. It is this integration of the traditionally independent functions of recruiting, retention, workforce planning, employment branding, metrics, orientation and redeployment into a seamless process that differentiates TM from SHRM (Sullivan, 2015). In their TM framework for the private sector, van Zyl, Ebben, Mathafena and Ras (2017) found the following key dimensions are essential for the implementation of TM: attraction, sourcing and recruitment, deployment and transitioning, growth and development, performance management, talent reviews, rewarding and recognising, engagement and retention. TM begins with pro-actively identifying the knowledge, skills and experience needed to realize the organization's strategic objectives and then ensuring that investments in HR programs are strategically focused to those talent pools that produce the best return, rather than across the board (Boudreau & Ramstad, 2005). Attracting talented people begins with developing a corporate brand and reputation as an "employer-of-choice" to entice desirable candidates in competitive labour markets and includes traditional HR practices such as employee retention and development mechanisms, and succession planning (Glenn 2012).

Recent contributions to the academic literature have argued that the conceptualization of TM must take into consideration the importance of context (Thunnissen & Van Arensbergen, 2013), and as such researchers have tried to develop a broader approach to TM by examining the topic across different contexts. As noted above, much of the current TM literature has a narrow US for-profit context (Collings, Scullion & Vaiman, 2011). Indeed, Thunnissen, Boselie, & Fruytier (2013) question if current assumptions and concepts in TM literature are applicable to organizations in other contexts, given the academic literature's heavy focus on organizations in the for-profit and US context. For example, researchers have given little attention to TM in the Canadian context. In one of the few Canadian studies, Glenn (2012) looked at the state of TM in Canada's public sector and found that the capacity to recruit and retain highly-trained, qualified talent has been a central driver for Canada's senior officers for more than a decade, suggesting that Canadian practitioners, at least in the public sector, are concerned with talent management, even with limited attention from the academic community. As Glenn (2012) states, despite the consensus that TM is a priority, little is known about the TM practices in place in Canada's public sector. In the absence of robust research in the Canadian context, Canadian organizations concerned with TM are likely looking to the conceptualization and practices coming out of the US academic discussion which may not be appropriate for understanding TM in Canadian nonprofit context. Taking a "one size fits all" approach to TM overlooks the effects of regional culture and market factors, and differences between nonprofit and for-profit organizations, such as how they are evaluated.

Information technology offers an interesting area to study talent management. It has historically been closely linked with TM and continues to be today. The seminal McKinsey article "The war for talent" was written in during the dot-com boom of the 90's during a period of unprecedented growth in the usage and adaptation of internet technology by businesses that saw increased competition for scarce technology skills, and technology talent continues to be perceived as critical to the success of all organizations. In the US, companies that rely on IT talent report having trouble finding qualified IT candidates to quickly fill their needs (Heltzel, 2017), and the issue affects employers in Canada too. In 2016, the Canadian government, perceiving a scarcity of skilled technology talent, implemented measures to make it easier for Canadian firms and multinational corporations operating in Canada to quickly bring in technically skilled foreign workers to fill jobs (Silcoff, 2017).

Clearly, there are still gaps in our understanding of TM. This project attempts to answer the call for "a counterbalance from different perspectives and traditions" (Collings, Scullion & Vaiman, p. 455, 453) and thus contribute to/expand on existing conceptual framework of talent management.

The purpose of this study is to examine TM practices among Canadian nonprofit information technology departments, generate new ideas and questions for future research, and contribute to the development of a TM model for IT departments of Canadian nonprofits. Specifically, the study addresses the following questions:

How do decision-makers of IT departments of Canadian nonprofit organizations define talent management?

How do they practice talent management?

This study contributes to the TM literature as there are significant cultural differences between nonprofit and for-profit organizations that likely impact the conceptualization and practice of talent management. For example, Sarros, Cooper, & Santora (2011) found that nonprofits have higher levels of a socially responsible cultural orientation than for-profits, and for-profits have higher levels of a competitive cultural orientation than nonprofits. Likewise, SHRM is not practised the same in all parts of the world (Brewster, 1999). It is likely that SHRM and TM practices differ between Canadian and US organizations. For one, nonprofit size, mission, values and stakeholder expectations are different than the US for-profit organizations on which most of the TM literature is based. For example, while it may be generally acceptable for a for-profit organization to compete in a "war for talent" by offering

higher salaries or other incentives to recruit and retain talent, it is likely less acceptable in the nonprofit sector where the expectation is that monies are allocated to the cause rather than overhead expenses such as employee salaries and benefits, and there exists a culture of collaboration rather than competition amongst industry peers.

## Methods

Qualitative research methods were used because of the exploratory nature of the project. A critical realist approach to interviewing was used in which the interviewer pursued a focused discussion on specific events and examples to draw out reflexivity and individual reasoning in the interview. Interactions between the interviewer, and the accounts of interviewees were contextualized in relation to the social contexts, constraints and resources in which the participants act.

The study used purposive non-probability sampling. The following characteristics were required for inclusion in the study: the participant must be actively working for a Canadian nonprofit organization in a role responsible for TM of information technology employees. A total of 14 participants from 12 Canadian nonprofit organizations were studied. The participants were comprised of a mix of roles of responsibilities in organizations of varying size and industry.

Semi-structured individual depth interviews (IDIs) of Canadian nonprofit IT directors and senior managers with employee recruitment and management responsibilities were used to gather data. All interview responses were recorded verbatim via audio recordings which were saved to a computer and all interview information was coded to ensure participant confidentiality.

The study took a general inductive approach to the analysis of data. The transcripts were read several times to identify themes and categories. General categories were informed by the existing TM literature, specifically Collings and Mellahi's theoretical model of strategic talent management, and the aims of the study. Specific categories were derived from multiple readings of the data. The coding exercise resulted in four categories related to the conceptualization of TM, and eight categories related to TM practices. Themes began to emerge from the coding and links or relationships between categories were delineated using a mind-map diagram (see Figure 1).

## Results

Generally, the interviewees defined talent as a characteristic of people (object approach), rather than talent as people (subject approach). That is, each of us has talents, things/skills that we are naturally good at. However, talent is viewed as the product of ability, motivation, and opportunity to perform, and as such we can develop new talents and improve upon our existing talent.

Most of the interviewees reported that talent management is practised in some capacity in their organization although it is often limited in scope, and inconsistent. Also, most of the participants reported that responsibility for TM is shared between HR and the unit managers. The interviewees generally believe that all roles require talented people and it was also widely reported among those interviewed that TM should apply to all employees and not only a specific subset of key people. The following quote from a senior IT manager at a health charity typifies the participants inclusive view of talent management:

*Opportunity needs to be given to all employees because without it you'll never be able to find those hidden diamonds in the rough if you will. You know sometimes talented employees' skills go to waste because nobody looks any further into what they can do.*

Many of the interviewees recruit for talent but find it challenging to compete for talented people in the job market on compensation alone. The ability to access IT talent pools quickly can be a challenge in the nonprofit sector, but finding the right people is more important than finding them at the right time. Several of the participants reported that as a nonprofit they were able to get talented people, but it takes them longer. One participant put it as follows:

*Right time is the tricky one. And this is also because of how particular we are about bringing in the right talent.*

The participants see financial constraints as the main impediment to successfully practising TM in the nonprofit sector. Interestingly, it is mostly employee training, not recruitment, that is reported as being adversely affected by these financial constraints, and the evidence suggests that Canadian nonprofit IT leaders generally do not have major difficulties retaining talented employees.

## **Discussion**

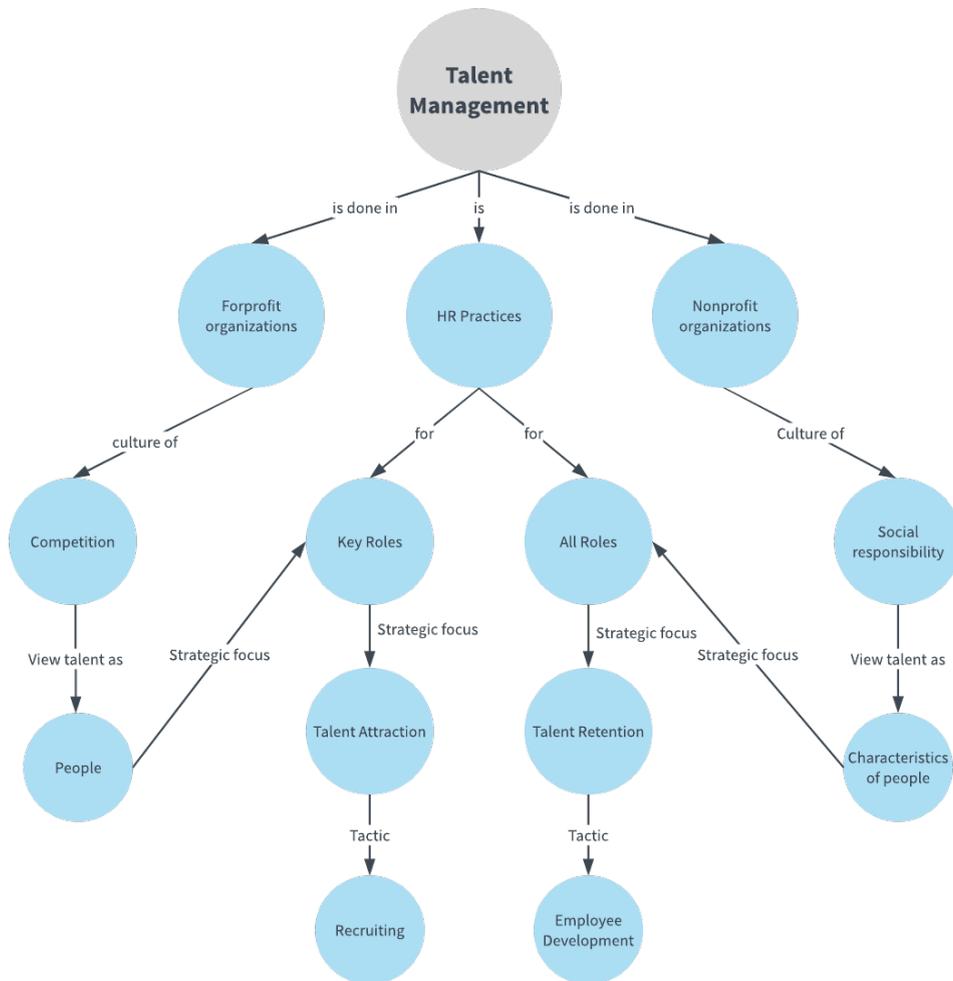
The main purpose of the study was to explore how TM is done in IT departments of Canadian nonprofit organizations, and how it aligns with the conceptualization of TM and practices found in the academic literature. The findings indicate that Canadian nonprofit IT leaders have a unique view of TM that differs in some respect to those of US for-profit sector as described in the academic literature. Canadian nonprofit IT leaders 1) take an inclusive view of talent management, 2) favour employee development over external recruiting, and 3) value cultural fit over quick access external talent pools.

The evidence shows that Canadian nonprofit IT leaders generally view talent and TM as applying to all employees and not just specific employees in key roles. It was widely held that “every role does absolutely require talent” and even the most repetitious job requires some specialization and talent. As one interviewee reported, in a response that typifies the responses of the interviewees, “even work that some might consider to be a monotonous assembly-type position in manufacturing requires talent and being able to do repetitious work without mistake and with the built-in quality control that’s required is a talent unto itself”. Also, it was widely held that the aim of TM should be to look beyond the high performing employees and to uncover hidden talents. The HR Director at a medium-sized health charity said:

*We do it on 100 percent because talent management is not only around key contributors where you see they can be given opportunities to even shine more. It’s also around for under-performers. What can we do to help improve them, so they become strong performers?*

This perspective aligns with that of Nijs et al. (2014), Pfeffer (2001) and Stahl (2013) who advocate a more inclusive approach to talent management. This inclusive view of TM differs from the exclusive view (i.e. that HR programs are strategically focused on a select group of employees) which Boudreau & Ramstad (2005) and Collings & Mellahi (2009) use to differentiate TM from conventional SHRM. Proponents of the exclusive approach could argue that the data suggests that nonprofit IT leaders have an indistinct conceptualization of TM and its practices. Indeed, several participants stated that TM is relatively new practice in their organization.

### **Figure 1: Talent Management Concept Map**



Another theme found in the participant’s responses was that nonprofit IT leaders value the development of existing employees more than being able to recruit the most talented people from the external job market. This is seen in the definitions of TM which were often synonymous with employee development.

Recruiting, on the other hand, is mentioned less often in the participants’ definition of TM and is rarely linked to talent. For example, one respondent that did mention recruiting in their definition of TM only mentioned the ability to recruit “qualified individuals”. There is clearly no evidence to suggest that nonprofit leaders are prioritizing sourcing the most talented people to gain a competitive advantage in a war for talent.

Similarly, other TM practices such as workforce planning, employment branding, and succession planning did not factor into the participants’ definitions of TM which, again, suggests TM is an emerging practice in this sector.

Most of the organizations cannot compete on the labour market in terms of compensation and that there are financial impediments to successfully practising TM in the nonprofit sector. Interestingly, the data suggest that retaining talent is less of an issue which may explain why the nonprofit leaders say they try to focus on cultural fit, training and retention rather than recruiting the best. One senior IT manager said:

*I mean we are looking for certain skill sets and experience which is not necessarily just pure talent. What we really try to do is really try to find people that are interested in the [cause] so that there’s an added bonus to working here.*

Several interviewees stated that while it may take longer to find someone with both the technical skills, ability to learn, and an interest or desire to work in nonprofit, these people tend to stay in the

organization longer, so more value was placed on finding the right cultural fit, than being able to quickly draw from pools of talent in the labour market. One manager summed up this idea as follows: "It's not that we can't complete [for talented people], just that we aim to retain." This view seems to differ from McKinsey theory that there is a war for talent in the labour market. It can also present a challenge to Canadian nonprofit IT leaders when talents are needed to fill a vacancy in critical operations or project roles. It takes longer to fill vacant positions when recruiting practices tend to favour cultural fit over winning a war for talent. These practices may result in nonprofit projects being more frequently postponed or existing employees taking on additional responsibilities to fill gaps in talent. This focus on "slow recruiting" seems incongruous in the rapidly changing world of IT.

### **Conclusions and Applications**

In conclusion, this study suggests that Canadian nonprofit IT decision makers have a unique view of TM that differs in many respects to those described in the academic literature. The participants in this study tend to focus on recruiting, identifying, and developing internal pools of talent, rather than trying to compete in a war for talent in the external job market. Talent is viewed as a combination of cultural fit, an affinity with the organization's mission, and an ability and desire to learn and grow intellectually and professionally, rather than simply strength in key skills needed in select roles. As such, nonprofit IT managers tend to recruit for fit, rather than strength in a specific skill-set. Also, they are inclined to a long view when recruiting talent and look for people with the potential to stay in the organization for many years and grow within the organization. Nonprofit IT decision makers seek people with the capacity to learn and grow because they rely on internal talent pools more than the external talent market. As such, listening and understanding employee interests, abilities, and potential is a key practice of TM in the Canadian nonprofit sector, because it allows managers to most effectively develop their employees' existing talents, strengthen weaknesses, and uncover hidden talents.

This model of TM offers an interesting alternative to competing for talent on in the labour market and may have application for other organizations that are unable to compete for talented people in the labour market strictly based on compensation.

Finally, most of the participants worked for small to medium-sized organizations (as measured by employee count and annual revenue). An area for future research is examining the TM practices of organizations of different sizes, maturity levels, funding models, and missions (charities vs. regulators vs. educational institutions).

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# **The Impact of Industry 4.0 on Human Resource Management Processes: Semantic Analysis of the Literature**

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## **Abstract**

Industry 4.0 is an emerging concept in production systems that encompasses technologies that potentially changes the dynamics between workers and production systems. This new paradigm promotes changes in several organizational areas. One of these areas is Human Resource Management (HRM) and Industry 4.0 will present new challenges and opportunities for HRM researchers and managers. In line with this gap, this article aims to relate the Industry 4.0 and HRM process and to identify potential relationships between HRM process and Industry 4.0. The authors developed a literature review using a semantic network analysis approach and results showed that is possible to identify that the Human Resources Strategy is a beginner-researched subject. However, there are still opportunities to explore other HR functions in the context of Industry 4.0.

## **Introduction**

Technology development is affecting the way companies make the decisions of business, economic progress, social development, and the environment in a meaningful way. One of the main sources of these transformations is the Internet, which has become a relevant factor for conducting business and improving the productivity of economic activities in general. Faced with the importance of these changes, the question arises that these types of transformations will affect all industries. The mentioned context reflects the initial stage of the Fourth Industrial Revolution (Kulyk & Skodova Parmova, 2017).

Industry 4.0 is a continuation of the Industrial Revolutions that have happened throughout history as mechanization, electric energy and automation. As in previous revolutions, the Fourth Revolution will take place gradually and will lead to changes such as the disappearance of some professions, changes of others under the influence of technology, and the emergence of many others (Benešová & Tupa, 2017a, 2017b; Kulyk & Skodova Parmova, 2017a, 2017b). This change will affect more than 35% of the existing jobs. Numerous technologies will emerge in this context, such as robotics, autonomous transport artificial intelligence, new machines, materials, biotechnology and genomic achievements. Industry 4.0 will merge technology and blur the frontiers between physical, digital and biological spheres (Kulyk & Skodova Parmova, 2017). In this context, it is imperative that the Human Resources Management (HRM) systems of organizations accompany such changes (Benešová & Tupa, 2017).

This new form of HRM will use Internet of Things (IoT) to connect machine-machine, human-machine, and human-human in order to produce a large amount of data. For this reason, it will be necessary qualified Human Resources (HR) to analyze the resulting large data (Big Data) in order to predict possible failures and to adapt to changes in real time (Lee, 2014).

All this new context of technology use, in the work environment, will challenge the way of carrying out activities and will lead to a change in the requirements, qualifications and skills of employees, as companies will use new technologies and intelligent media (Hecklau, Galeitzke, Flachs, & Kohl, 2016). Therefore, it is important to understand the relationship between the relationships of Industry 4.0 and HRM process. Another interesting question is how this new context affects, directly or indirectly, the HRM processes.

Therefore, in order to make a structured literature review to relate the impact of Industry 4.0 on HRM processes, it was necessary to identify which are the keywords most used in the research topic, as well as which countries stand out in the research into these fields. Considering the previously highlighted facts, we propose the following research question to guide this article: "Which HR processes are being impacted by the emerging trend of Industry 4.0?". It is not an ultimate objective of this article to combine the results of this semantic bibliographical research with empirical data, but it could be object of future researches.

To achieve the proposed objective, initially, the article presents the research methodology, the procedures and techniques adopted in the research of the documents considered for the bibliometric revision. Subsequently, the results are presented and analyzed. Finally, conclusions are presented with limitations and proposals for future research

### **Research Methodology**

Bibliometric network review is capable of generating significant contributions by allowing the identification of clusters for topological analysis, identification of key research topics, interrelationships and, above all, collaboration standards. Systematic keywords mapping helps graphically illustrate the evolution of publications over time, identify areas of current research interests, and work out an agenda for future research. Thus, the findings of the bibliometric network review provide a robust road map for further investigation in the field analyzed (Fahimnia, Sarkis, & Davarzani, 2015). The literature review indicates what has already been published on the chosen subject, supporting researchers to justify their arguments by producing an original contribution (Fiorini & Jabbour, 2017a, 2017b; Tranfield, Denyer, & Smart, 2003a, 2003b, 2003c).

Figure 1 shows the research's phases, which its initial step was the selection of the sample of articles to be considered. This step was performed with the Web of Science database, which includes only journals indexed in Journal Citation Reports (JCR). Web of Science is an online scientific citation indexing service that provides a comprehensive citation and abstracts search. Two searches were carried out, one for the keyword "Human Resources" and other with the combination of "Human Resources" and "Industry 4.0". The first keyword search was intended of investigating the most highlighted aspects in Human Resources research and the combination of keywords were used to find intersections between both keywords. The default search parameter used was "title, abstract, keywords". For the first research was founded 33701 articles (Keyword: Human Resources) and for the second research was founded 19 articles (Keywords: Human Resources and Industry 4.0)

Data analysis was performed using the VOS Viewer version 1.6.5 system, which is a software used to create network maps based on scientific or other data (Van Eck & Waltman, 2015). For scientific-based analysis, the software offers the possibility to create a co-occurrence analysis of keywords in different articles. In order to classify the most occurred keywords in each of the searches two lists were created (List 1 - Human Resources; List 2 - Industry 4.0 and Human Resources). Following the instructions provided by the VOS system, only keywords with more than five occurrences were selected in each of the searches.

**Figure 1 – Research Phases**

Research Base WEB OF SCIENCE	High Impact Journals Access on 11/11/2017 and after completing the research on 11/24/2017 Search for Topics (Title, Keyword and Summary)
Keyword Selection	Used the two main keywords of 2 forms, with the purpose of grouping the main keywords within the main functions of Tracey (2014): "Human Resources" "Industry 4.0" AND "Human Resources"
Research Refinement	Only Newspaper Articles or Conference Articles Only articles in English
VOS	Used the VOS to analyze the co-occurrences of the main keywords of each theme
Categorization and Analysis	Categorization of words with more than 5 co-occurrences in articles and comparison between the two main keyword searches in Tracey, 2014 and others that the authors considered additional

In addition to VOS system, Excel spreadsheets were also used to select similar words between each lists; to support the generation of the publication distribution charts for each year and; identification of author's countries origin that have published within the subject of Industry 4.0 or/and Human Resources. Finally, the two lists of keywords were categorized in the five functions of Human Resources functional area suggested by Tracey (2014):

- Human Resources Strategy (EHR) focused on the relationship of human resources processes and systems and organizational performance;
- Personnel Planning (PPS) that refers to practices that involve recruitment, selection, tools, steps and impact on the organization image;
- Training and Development (TRE) addressing the training programs both for transmission of operational knowledge and for the development of leaders, their processes and tools used;
- Performance Evaluation (ADS) that brings the question of the application of feedback, its forms and the use and utility related to performance evaluation; and,
- Compensation and Benefits (REM) about benefit programs and forms of compensation as also how they can affect the results of each employee.

The categorization suggested by Tracey (2014) was based in a comprehensive literature review and give support to organize the keywords found in both lists. However, the analysis of the two keywords lists after being categorized in the five functions of Tracey (2014); demonstrated the need to add four categories that were defined by the authors:

- Applications (APL): related to keywords that signaled fields, areas, scope or application tools;
- Technology (TEC): words that directly related technological terms, like Wi-Fi, wireless, among others.
- Culture (CUL): words directly related to Organizational Culture;
- Others (OUT): loose words that showed no relationship to functions or other classifications;

Finally, the abstracts of the 19 papers identified in the List 2 (Human Resources and Industry 4.0) were categorized according to the five Tracey functions (2014) and additionally, to the four categories (applications, technology, culture and others) suggested by the authors, to understand if there are more relations than the keywords could show. The Figure 2 summarizes the bibliography's steps of analysis.

## Analysis and discussion of Results

### Results Analysis for Search Keyword: "Human Resources"

The search of the keyword Human Resource, the sampling resulted in 33071 articles published over the years shown in Figure 3. There has been a significant increase in the last decade, with the last 3 years being the largest number of publications as can be observed in the Figure 2.

According to Tracey (2014), research based on human resources has evolved considerably. During this time, scholars have become increasingly aware of each of the major HR functions and about the ways in which specific types of HR policies, practices and procedures can influence a wide variety of individual and organization-level outcomes. Their empirical findings have generated numerous insights into the nature of HR systems and how they can be designed and implemented thereby companies to improve their competitive position.

The analysis of the countries with the highest percentage of publications may be useful to future researchers to search for research gaps and look for groups that could share or complement researches. The countries with the highest percentage of publications in HR field are the United States (30%), followed by England (10%) and Canada (7%).

Table 1 shows the top 10 keywords found in List 1 (Human Resources). This search presented 834 keywords, but for analysis purposes, 80% of this total (436 keywords) was considered for categorization. Figure 3, which represent the network map of HR keywords generated by the VOS system.

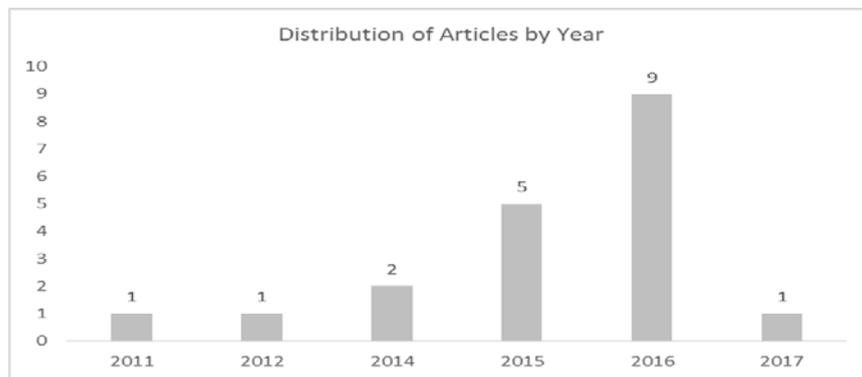
In analyzing the results of the categorization, it is observed that among the Tracey (2014) functions, the main subject presented is the Human Resources Strategy subject (16%), in addition to the application areas (31%) and other topics (31%) not directly identified in the HR area only by the key word also present great incidence.

**Table 1: The top 10 keywords and their categorization for the Human Resources list.**

Keyword	Occurences	Strength	Categorization	%
human resources	725	1433	ERH	6,3%
human resource management	221	453	ERH	1,9%
human resources for health	144	441	ERH	1,3%
human resources management	143	217	ERH	1,2%
china	125	222	APL	1,1%
management	91	204	ERH	0,8%
job satisfaction	90	176	ERH	0,8%
training	87	212	TRE	0,8%
education	85	190	TRE	0,7%



**Figure 4: Annual Distribution of Articles related to the keyword Human Resources AND Industry 4.0.**



The analysis of the countries show that the country with the highest percentage of publications is the Germany (24%) followed by China (17%) and Taiwan (10%).

The analysis of the top 10 keywords in the 19 articles found is shown in Table 2. Table 2 shows, besides the categorization, the number of keywords co-occurrences (of at least 5 articles) and the representativeness of the keyword in relation to the subject that can also be seen. One can see that the number of keywords is considerably lower than the number of keywords found in the List 1 search, when the word used was Human Resources, and the amount of articles on the subject is many because it is a subject with more of 10 years of research.

**Table 2: The top 10 keywords and their categorization for the HR and Industry 4.0 list.**

Keywords	Occurrence	Strength	Categorization	%
internet of things	4	11	TEC	6,0%
industry 4.0	3	9	TEC	4,5%
iot	2	9	TEC	3,0%
the internet of things	2	6	TEC	3,0%
accounting in e-business	1	2	TEC	1,5%
allocation	1	4	PPS	1,5%
application	1	3	PPS	1,5%
autonomic	1	5	TEC	1,5%
business mode	1	2	ERH	1,5%
cad / cam integration services platform	1	2	TEC	1,5%

Another result obtained from this analysis the relationship strength between the keywords is smaller and there are 12 analysis clusters that were summarized in Table 3 together with the classification of the keywords of each cluster according to the categorization of Tracey (2014) can also be evaluated.

Due to the little relationship between the keywords and the functions defined by Tracey (2014) many words were classified as OUT or TEC. It is understood that categorization by keywords alone can be a limiting factor in the investigation of how the functions proposed by Tracey (2014) or other HR process are being approached together with Industry 4.0 research. For this reason, analysis of abstracts was carried out according to Table 4 and the articles were characterized next to the keywords.

**Table 3: Keywords categorized by Cluster**

Cluster	Keywords	Categorization	Cluster	Keywords	Categorization
A	business mode	ERH	G	human resource management	ERH
	decision support system	ERH		higher engineering education	TRE
	small-world networks	OUT		qualification	TRE
	internet of things	TEC		the integration of disciplines	TRE
	cad / cam integration services platform	TEC		competence development	ADS
	cybersecurity	TEC		industry 4.0	TEC
	iomt	TEC		human resources for health	ERH
smart home	TEC	H	ehealth	TEC	
entrepreneurship	ERH		health services digitization	TEC	
kumho tire	OUT		medical informatics	TEC	
B	innovation	ERH	I	allocation	PPS
	iot	TEC		min of max	OUT
	rfid	TEC		minimization	OUT
C	factory planning	ERH	J	mlp	OUT
	jitir	OUT		optimization	OUT
	digital factory	TEC		self-management	ADS
D	fault prediction	ERH	K	m2m	OUT
	prediction and health management	ERH		autonomic	TEC
	application	PPS		configuration	TEC
	large-scale	OUT		gateway	TEC
	mechanical equipment groups	OUT		low power consumption	OUT
	pig-breeding	OUT		delay-aware data collection	TEC
the internet of things	TEC	L	industrial wireless sensor network	TEC	
hr practices	ERH		wireless computing system	TEC	
management practices	ERH		twitter	OUT	
E	organizational structure	ERH	M	ws-bpel	OUT
	leadership style	TRE		smart object	TEC
	hrm for e-commerce	ERH		web of things	TEC
F	accounting in e-business	TEC	factory of future	TEC	
	e-commerce	TEC	industrial internet of things (iiot)	TEC	

Cluster analysis within the functions established by Tracey (2014) showed that there is an academic discussion regarding the function of Human Resources Strategies, Technologies and Optimization in the industry 4.0. The fact that Human Resources Strategies is a function linked to HRM which is in line with Shamim, Cang, Yu and Li (2016). These authors affirm that the management of many processes in HRM will be impacted and need to be further studied.

The complementary analysis of summaries of articles presented in Table 4 shows that from the sample of 19 articles, 7 articles deals with technologies that will change the way of the HRM area of works, 5 articles address topics related to training, 2 articles related to Human Resources Strategy, 2 articles that address other topics not necessarily related directly to Human Resources, 1 article on Personnel Planning and Allocation, 1 article of application of the subject and 1 article on development and evaluation of performance.

**Table 4: Categorization of the Articles n List 2 by their abstracts according to Tracey (2014) and complementary classifications of the authors.**

Article	Keywords	Categorization by Abstract
E-Business Development: The comparative study of the Czech Republic and the Ukraine	e-commerce, accounting in e-business, HRM for e-commerce.	TRE
IoT Privacy and Security Challenges for Smart Home Environments	Internet of Things; cybersecurity; Smart Home.	ERH
The Internet of Things (IoT) and Transformation of the Smart Factory	Industrial Internet of Things (IIoT), Factory of Future	TEC
The Application of Internet of Things in Pig Breeding	The Internet of Things Pig-breeding Large-scale Application	TEC
Human-Centric Factories 4.0: a Mathematical Model for Job Allocation	Allocation, MLP, Min of max, Optimization, Minimization	PPS
Holistic approach for human resource management in Industry	Industry 4.0; human resource management; competence development; qualification	TRE
A coupling system design based on the internet of things and intelligent decision support system in industrial enterprises	internet of things; decision support system; smallworld networks; IOMT	ADS
Management Approaches for Industry 4.0 A human resource management perspective	Industry 4.0, Management practices, Organizational structure, Leadership style, HR practices.	ERH
The Future Impact of Healthcare Services Digitalization on Health Workforce: The Increasing Role of Medical Informatics	eHealth, Health services digitization, human resources for health, Internet of Things, Medical informatics	OUT
What Characteristics Make an Enterprise More Proactive Toward Innovation? Case of Adopting RFID at Kumho Tire in Korea	RFID, IoT, Kumho Tire, Entrepreneurship, Innovation	TEC
An approach to qualify human resources supporting the migration of SMEs into an Industrie 4.0-compliant company infrastructure	-	TRE
Twitter to Integrate Human and Smart Objects by a Web of Things Architecture	Twitter; Web of Things; WS-BPEL; Smart Object	TEC
Clusters as a Catalyst for Developing Human Resources for the Internet of Things Industry	-	TRE
An Energy-Efficient and Delay-Aware Wireless Computing System for Industrial Wireless Sensor Networks	Industrial wireless sensor network, wireless computing system, low power consumption, delay-aware data collection	OUT
The Trend Analysis of the Integration of Disciplines of Chinese Higher Education under the Background of "Industry 4.0"	-	TRE
Information support and interactive planning in the Digital Factory: Approach and industry-driven evaluation	Digital Factory; JITIR; Factory Planning	TEC
Auto-configuration System and Algorithms for Big Data-enabled Internet-of-Things Platforms	M2M; IoT; configuration; gateway; autonomic; self-management	TEC
Fault Prediction and Health Management for Mechanical Equipment Groups based on the Internet of Things	mechanical equipment groups the internet of things prediction and health management fault prediction	TEC
Research on the CAD/CAM collaborative mode based on the IOT	Internet of Things, CAD / CAM integration services platform, business mode	APL

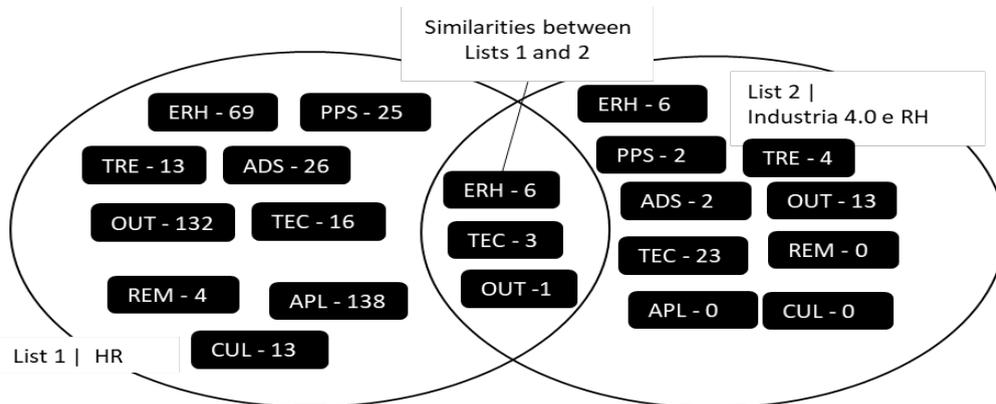
**Comparisons between keywords of Lists 1 (Human Resources) and List 2 (Human Resources and Industry 4.0)**

To identify and evaluate the similarities between the two search lists, the authors used the Microsoft Excel to find the words that are present in both, the list referring to the search for the word Human Resources and those that are present in the list referring to the combination of both words. The words that coincide between the two lists and their classifications according to Tracey (2014) showed in parentheses and defined by the authors are Human Resources Management (ERH), Human Resource for Health (ERH), Innovation (ERH), Decision Support System (TEC), E-Commerce (TEC), Entrepreneurship (ERH), HR Practices (ERH), Medical Informatics (TEC), Optimization (OUT), Organizational Structure (ERH).

The analysis of the keywords showed that the function denominated by Tracey (2014) of Human Resources Strategy (ERH) is the function with greater similarity between the keywords of the two searches. Other similarities to the keywords are related to technology or other definitions. Note that when analyzing all keywords in List 2 it is possible to observe that many topics, such as Training, Performance Evaluation, Personnel Planning are already being considered in the Industry 4.0 literature, but they do not appear even significantly when compared similar keywords. The subject of Compensation and Benefits does not appear as a subject addressed in the context of Industry 4.0 although Tracey (2014) affirms that it is an important topic in relation to the discussion of systems and tools to guarantee the measurement of the individual result and subsequent connection with the system payment.

Figure 5 summarizes the comparison between the subjects and how they are addressed in the different functions and categorizations used in this article, making visible which subjects can still be explored and which are already inserted within the context of Industry 4.0. It is possible to observe, as previously reported, there are few similar keywords between the search of List 1 and List 2. One reason is due to the lack of clarity for the classification of key words without the context of the articles. The comparison between these two analyzes shows that the subjects are being addressed, but still very superficially and not directly.

**Figure 5: Relationship between Human Resources and Industry 4.0.**



### Conclusion

The present study aimed to identify which human resource processes are being addressed within the context of Industry 4.0. Therefore, a bibliographic research was carried out on the subject of HR and a second research on the subject of HR and Industry 4.0. From the data obtained, the HR approaches were identified in relation to the functions identified by Tracey (2014) and other 4 categories defined by the authors through a semantic analysis of the keywords, besides the accomplishment of a bibliometric network analysis.

First, the search for Human Resources to identify words that might have similarities in the research with Industry 4.0 show that publications in this area have been increasing in the last 10 years. In addition, the countries with the largest publications of the subject are USA, Canada and England. The second search on articles relating to Industry 4.0 and Human Resources identified 19 articles published in the last six years and based on the multi-aspect approach, a comprehensive report was produced of publications such as publication years on the subject and related countries. This report showed that the research scholars of Industry 4.0 still discussed superficially and not directly the subject of Human Resources with Industry 4.0, since the 19 publications found are concentrated in China and Germany.

In answer to the research question of this article it is possible to conclude that there is still much to be explored and approached referring to impact on the area of Human Resources by Industry 4.0. Initially the research showed that the topic of Human Resources Strategy is the most discussed subject within context 4.0. However, Human Resources processes such as Training, Personnel Planning and Performance Evaluation are issues that will suffer significant impacts in this new industrial revolution. It can be identified a bit in the categorization of abstracts of the 19 articles founded on List 2 and then should be explored with the intention of structuring how to adapt the processes to the new context.

The bibliometric analysis and the relationship map of the keywords allowed the identification of the explored and unexplored subjects in relation to Human Resources and Industry 4.0. The data from this research may be useful for guiding and generating insight into new approaches to a recent topic that presents a large field of research. The analysis of keywords has shown that there are still gaps of opportunity for research in the topic and should be explored through a detailed literature review to deepen the related topics. Other important opportunity is the empirical researches that could helped to

design a framework of transformation the Human Resources Management to the this new moment, that arrive with Industry 4.0.

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# **The Role of Training in Organizations: a Comparative Case Study of Employees and Management Perspectives**

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## **Abstract**

The transition to a more collaborative way of working brought a change in the role played by training in organizations, representing not exclusively a way to develop employees' core competencies but also a strategic tool to govern team processes and organizational outcomes. As a consequence, training became a system embedded in the organizational context, developed on the basis of values, beliefs and practices commonly adopted within the organization. In this regard, the literature still lacks an in depth analysis of how training is perceived in the organization and how the perspectives of different members vary. Therefore, this article aims to fill this gap comparing and analyzing the meanings and values attributed to the training by management and employees. The analysis has been carried out through the implementation of the *Training Culture Scale* (TSC) that allows to point out the meanings and values of training at individual, team and organizational level. Employees' characteristics, tenure in the organization, gender and level of education can be predictors of the different perception of training within the organization. The comparison between managers and employees perceptions allows companies to develop strategies to strengthen the *Training Culture* of the organization.

## **Introduction**

The increasing complexity and competitiveness of the business environment require employees to face several organizational challenges and changes (Kim et al., 2015). In this situation, training constitutes a strategic leverage for human resource management (HRM) to maintain, update and increase individual knowledge and skills, as well as it represents a powerful tool to prevent the obsolescence of the human capital at organizational level (Ballesteros-Rodríguez et al., 2012). Furthermore, training has a central role in the development of core organizational competencies, with an impact on the strategy development process and on decision-making within the organization (Cappelli and Crocker-Hefter, 1996). Many factors can influence the training perception in a specific organization, and among the most relevant there are the organizational context and culture, together with the HRM practices implemented in the organization (Ballesteros-Rodríguez et al., 2012). Indeed, utilizing HRM practices oriented to promote training develops values and beliefs that are strongly connected to the importance of continuous learning and training in the organization (Wei et al., 2008). Therefore, analyzing the *Training Culture* of an organization becomes important in order to have insights regarding meanings and values attributed to the training in a specific context, furthermore the comparison between management and employees helps organizations in pointing out differences and improvement areas (Polo et al., 2018). In this regard, previous research has shown a possible discrepancy in the managerial vision of training at different levels in the organization. Indeed, managers covering strategic positions in the company might acknowledge the relationship between skills development and sustaining competitive advantage, more than other groups in the organization who might favor short-term priorities (Smith and Dowling, 2001). Therefore, research examining managers and subordinates attitudes towards training is still needed, in order to develop long terms perspectives able to have an impact on the strategy development process.

In light of these considerations, the aim of this article is to compare managers' and subordinates' perceptions of *Training Culture*. The study aims to answer the following research questions:

(1) to what extent does managers and subordinates perception of *Training Culture* agree?

(2) what are the factors that influence managers and subordinates perception of *Training Culture*?

In order to answer to the above mentioned research questions, this article is organized as follows: in the next session we review the literature pointing out the research gap, in the third session we describe the methodology used and the data collection process. In the last session we discuss the results of the study and its implications and limitations.

### **State of the art**

Previous literature shows that managers play a crucial role in facilitating subordinates' learning and training (Hasson et al., 2013). Nevertheless, managerial attitudes towards learning, training and, human resource development (HRD) in general, are not always unitary (Smith and Hayton, 1999). As previously mentioned there could be some substantial differences in training's perception between top management - attributing to training a long term strategic value - and junior/middle management - that having a more operational approach might be reluctant in releasing employees for training (Smith and Dowling, 2001). Moreover, in the actual business environment - characterized by revolutionary changes in the workplace and in the nature of work itself - subordinates engagement in learning and training activities becomes crucial to acquire, adapt and differentiate knowledge, skills and abilities according to the new needs (Bezuijen et al., 2010). In this regard it is important to highlight that most of the studies regarding learning and training adopt a managerial perspective, despite to analyze the meanings and values attributed to the training and learning activities in an organization is required the involvement of different stakeholders (Yang et al., 2004). Indeed, the impact of training is detectable at different levels: on the individuals, on the working team, on the organization and, on the society (Aguinis and Kraiger, 2009; Alhejji et al., 2016). In this regard, Kim et al. (2015) categorized training into two types: individual training, where the impact of training is strictly related to the individual performance and organizational training where the training impact is not directly detectable by individuals but it is important for the sustainability on the long run of the organization as a whole. Although research on training has usually addressed individuals as primary unit of analysis (Aguinis and Kraiger, 2009), followed by the organization, there is evidence in the literature of the importance to include also the team level. This dimension refers to the impact that training has on the teamwork process (Cannon-Bowers and Salas, 1998). Analyzing meanings and values attributed to the training at individual, team and organizational level allows organizations to have an overall picture of how training is perceived (Polo et al., 2018).

Nevertheless, research exploring the extent of agreement between managers and subordinates perception about training is still lacking (Hasson et al., 2013). Furthermore, previous research considered some organizational characteristics as factors influencing training (industrial sector, size of the company...) (Acemoglu and Pischke, 1999; Black, Noel and Wang 1999; Guidetti and Mazzanti, 2007; Dustman and Schonberg, 2009) while still little research explores employees characteristics, tenure in the organization, age and level of education as predictors of different perceptions about training within the organization (McNamara et al., 2012).

Therefore, in this study we attempt to provide a case analysis about *Training Culture*, comparing managers and subordinates perception and identifying possible other factors that might influence the training perception.

## Methodology and sample

The study was carried out in a Finnish multinational company, through the implementation of the *Training Culture Scale* (TCS) previously validated in healthcare sector (Polo et al., 2018) according to the guidelines for the scale development process (Bagozzi and Edwards, 1998; Carmines and Zeller, 1979; Churchill, 1979; DeVellis, 2003; Hinkin, 1998; Netemeyer et al., 2003; Slavec and Drnovsek, 2012). The items of the questionnaire were developed following the three Dimensions of the Learning Organization Questionnaire (DLOQ) (Marsick and Watkins, 2003): individual, team, and organizational. The TCS allows to gathered data on the perception about *Training Culture* in the organization, through this study we explore the possible implementation of the TCS in corporate sector. The data used in this article have been collected by researchers during the training sessions provided by the company. The scale was tested on the sample trough a principal component analysis followed by a confirmatory factor analysis.

The sample is composed of 417 units: 249 employees and 165 subjects with managerial responsibility. Specifically, there have been surveyed 4 Vice-Presidents, 15 Directors, 19 General Managers, 63 Managers, 17 Line Managers, 11 Supervisors, 21 Team Leaders and 2 Project Managers.

## Measures

This study investigates the *Training Culture* perception at three levels: (1) individual, (2) group and (3) organization. We used the 23 items of the TCS. Respondents were asked to indicate on a visual scale from 0 to 100 their level of agreement for each statement.

The results of the principal component analysis suggested the presence of three factors, confirmed by the confirmatory factor analysis (CFA) (see *Table 1*).

The preliminary data analysis conducted in this article consisted of the implementation of some t-statistics in R. Further, we performed some regression models to verify how employees and management perception about training might vary and what are the main factors influencing the training perception at different levels.

As first step we verified if there is a statistically significant difference in the *Training Culture* perception between managers and subordinates. As second step we verified if other variables influence the *Training Culture* perception in the organization using some control variables. The control variables utilized in this study are: gender, tenure in the organization, division/unit, seniority in the organization, level of education and number of days spent in training in the previous year.

## Results and Discussion

The results of the CFA pointed out that the structure of the TCS implemented in corporate sector is based on three factors. *Table 1* shows that the first factor corresponds to what we refer as organizational dimension, the second factor includes items regarding the individual dimension and the third factor constitutes the team dimension. In this article, we use the three factors of the TCS to understand if there is some difference in the *Training Culture* perception between management and subordinates and what are the main elements that influence the *Training Culture* perception in the case organization.

The results of the analysis performed pointed out that there is no statistically significant difference between management and subordinates perception about *Training Culture* in the second (individual) and third (team) factor but in the first (organizational) factor there is a statistically significant difference between the two groups (p-value 0,053). The first factor includes the items regarding the organizational dimension. Therefore, there is a difference between managers and subordinates in considering training as a strategy to improve the organization, promote organizational learning, value

human resources and planned on the long term. Furthermore, to answer to the research question number one we can state that managers and subordinates have a quite homogeneous perception about the role played by training at individual and group level with some differences concerning the organizational level. The literature supports the results highlighting that when the perception of a phenomenon in the organization is shared among the members the culture of the organization can be considered strong. Moreover, the homogeneity of managers and subordinates perception brings more positive outcomes to the organization (Ostroff et al., 2005). In light of these results, we explored what are the factors that might explain a different *Training Culture* perception within the organization. The results of the implementation of the regression model show that the unit the respondents belong to in the organization is one element that influences the *Training Culture* perception. Indeed among the different units analyzed (Operations, Marketing/Sales, Supply, Technology/R&D, Production, HR, Finance/Accounting) people working in production show a statistically significant difference in *Training Culture* perception regarding the first and the third factor (p-value 9,056e-03, 3,073e-6) that correspond to the organizational and team dimension. More specifically, results show that for people working in the unit of production training constitutes a risk of inefficiencies when colleagues are attending the courses, more than in other units.

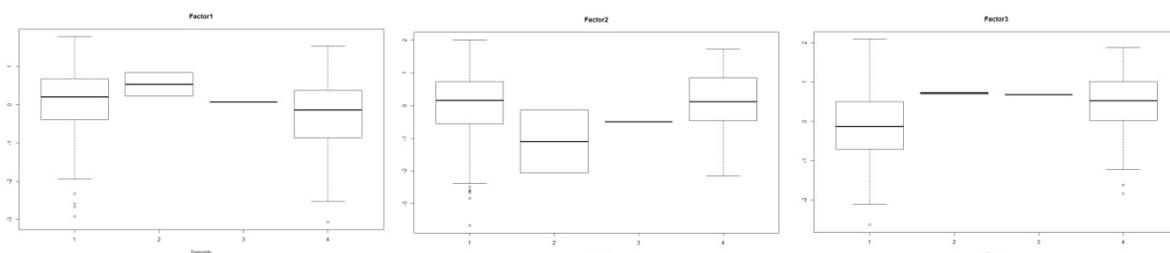
Following, we analyzed also the main differences in the *Training Culture* perception accordingly to the gender (male-female) and the role of the person in the organization (blue collar-white collar). The results show that concerning the gender there is no statistically significant difference between male and female, while concerning the role, white collars and blue collars show a statistically significant difference in the first (p-value 3,021e-03) and third factor (p-value 4,524e-10) that correspond to the organizational and team level of *Training Culture*.

Regarding the seniority in the company a regression model has been performed and the results show that the difference between the four groups is 0,043. Regarding the three factors of the TCS only the third factor shows a statistically significant difference among the groups (p-value 5,621e-05) (see *Figure1*).

Concerning the educational level two groups have been compared, people having a university degree versus people who do not have a university degree and also in this case there is a statistically significant difference in the third factor (p-value 7,351e-11).

The last test we performed regards the influence that the number of days spent in training during the previous year have on the *Training Culture* perception. The analysis was performed on two groups: people who spent from 0 to 5 days in training and people who spent more than 5 days in training. The results show a statistically significant difference in the first (p-value 0,007) and in the third factor (p-value 0,002).

**Figure 1: Seniority impact on the Training Culture perception (1: 0-5; 2: 6-10; 3: 11-15; 4: 16+).**



**Table 1: Results of the CFA conducted on the TCS implemented in corporate sector.**

Latent Variables	Factor 1	Factor 2	Factor 3
An individual opportunity to acquire new competences	0.155	<b>0.838</b>	
An individual opportunity to improve in my job	0.211	<b>0.841</b>	
An opportunity to transfer what I learnt to my colleagues	0.120	0.337	<b>0.513</b>
An opportunity to reflect on my own work dimension	0.157	<b>0.445</b>	0.411
Useful for my career development	0.232	<b>0.519</b>	0.247
Corresponding to individual training requests/needs	0.287	<b>0.504</b>	0.353
An individual duty	0.175	0.363	<b>0.426</b>
An individual choice	0.179	<b>0.433</b>	0.239
An opportunity to improve team work processes	0.270	0.436	<b>0.490</b>
An opportunity to offer a better service	0.403	<b>0.449</b>	0.295
An opportunity to improve also for colleagues	0.347	<b>0.470</b>	0.445
Customized for teams' needs	0.259	0.369	<b>0.621</b>
Shared with the team	0.251	0.307	<b>0.699</b>
Higher risk of inefficiencies when people are in training			<b>0.570</b>
More workload for colleagues			<b>0.586</b>
A strategy to improve the whole organization	<b>0.896</b>	0.156	
A strategy for excellence in the organization	<b>0.942</b>	0.229	
A strategy for organizational learning	<b>0.867</b>	0.236	0.151
A strategy to value human resources	<b>0.630</b>	0.222	0.184
Shared with all employees	<b>0.453</b>	0.212	0.366
A long term Plan	<b>0.492</b>	0.257	0.339
Based on an appropriate needs' analysis	0.285	0.311	<b>0.355</b>
A normative requirement	0.185	0.196	<b>0.515</b>

### Conclusions and Limitations

Based on the empirical findings of this research we can conclude that the results of the factor analysis conducted on the TCS previously validated in healthcare sector confirm the presence of three factors, with some differences in the items distribution that require further research to test the stability of the scale in corporate sector.

Regarding the research questions we seek to answer with this study we can conclude that managers and subordinates perception of *Training Culture* is similar concerning the meaning and values attributed to training at individual and team level with some differences in the perception of the role played by training at organizational level. This can be due to the different access to information of the two groups included in the analysis. Indeed, managers might have a higher perception of the strategic role of training in the organization compared to subordinates.

One interesting element arisen is that the meaning and values attributed to the training at individual level (factor 2) are quite homogeneous and shared among the members of the organization.

For what concerns the factors that influence managers and subordinates perception of *Training Culture* we found that gender is not relevant, while the role of the person in the organization (white collar or blue collar), the unit the respondents belong to (production or others), the seniority in the organization,

and the level of education are significant in determining the way *Training Culture* is perceived in the organization but do not have an impact on the meanings and values attributed to training at individual level.

Finally, the study has some limitations due to the fact that data have been collected in a single company. Therefore, the same analysis should be conducted in other organizations operating in different sectors, to extend the generalizability of results.

Furthermore, the analysis carried out and the results achieved represent only an exploratory effort to run the dataset that will be improved in the future. Therefore, future research should take into consideration the implementation of more sophisticated models to analyze how employees and management perception of *Training Culture* vary and how this variation can be interpreted.

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# **Employee Engagement Strategies for Sustainability: A Systematic Review**

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## **Abstract**

The paper reviews the literature on employee strategies for organizational sustainability using the human resource management perspective. A systematic literature review process is used as study design, and the most insightful twenty articles are identified through a rigorous process. Results point to the areas where there are gaps in the literature. The research area would benefit from adding literature from organizational behavior and green and sustainable human resource management. The study suggests potential avenues for further research.

## **Introduction**

The study reviews the employee engagement strategies of companies that aim for change in their business models towards sustainability. While corporate sustainability recognizes that growth and profitability are important, it also requires the corporation to pursue societal and environmental goals and consider the needs of multiple stakeholders along with shareholders. Organizations' progress towards sustainability is stated to be slow with many challenges (Ehnert, Roper, Wagner, and Muller-Camen 2016, França, Broman, Robèrt, Basile, and Trygg 2017). In order for organizations to make the necessary changes they need clear guidance on methods (Millar, Hind and Magala, 2012). Human element is often a neglected factor in the studies of organizational sustainability (Pfeffer, 2010); and only recently it has been considered as a critical factor (Verhulst and Boks 2012, Ulus and Hatipoglu 2016). In literature it is often asserted that engaged employees are more productive and involved in achieving organizational corporate goals. In this paper it is argued that for achieving change towards sustainability new human related capabilities should be developed and sustained by organizations.

In the human resource management (HRM) literature employee engagement has received extensive attention in the last decade (Albrecht, Bakker, Gruman, Macey and Saks, 2015), and many have questioned whether sustainability initiatives contribute to employee engagement (i.e. Mirvis 2012), however to the knowledge of the author; the literature on the role of employee engagement for organizational sustainability is thin and there is no summary of literature. Therefore, this study systematically reviews available knowledge on employee engagement for sustainability during a 20-year period (1997-2017). The paper addresses the following questions:

- 1) How does organizational change for sustainability modify employee engagement strategies?
- 2) Which literature is relevant for expanding the knowledge on employee engagement in business models for sustainability?
- 3) What are some potential avenues for research in employee engagement strategies for sustainability?

The results will be of importance for developing a research agenda in the intersection of these two fields. Next section summarizes the background to the study.

## **Employee Engagement**

Employee engagement is a related but different construct than job attitudes like satisfaction, organizational commitment and involvement (Christian, Garza, and Slaughter, 2011). It can be defined as "positive, fulfilling, work-related state of mind that is characterized by vigor, dedication, and absorption" (Schaufeli, Salanova, González-Romá, and Bakker, 2012). More importantly it shows the

intention of employees to dedicate physical, cognitive, and emotional resources to their work (Christian et al., 2011). The jobs-demands resources theory by Bakker and Demerouti (2007) defines how job resources (i.e. supervisor support) and personal resources (i.e. resilience) effect employee engagement. Consecutively, the authors suggest higher employee engagement results in positive outcomes such as creativity and financial returns. Engagement focused HRM policies and practices have the potential to add to competitive advantage of a company (Albrecht et al., 2015). The HRM functions that promote higher employee engagement are suggested to be selection, socialization, performance management, and training and development.

### **Employee Engagement for Sustainability**

Aligning HRM practices with the company's social and environmental behaviors is a growing field. Scholars have stressed the meaningful role of HRM in managing people component of the change for sustainability (Renwick, Redman and Maguire, 2008; Fenwick and Bierema, 2008). Renwick et al. (2008) emphasize the importance of employee involvement practices (i.e. empowering employees for making suggestions) for HRM to contribute to a company's environmental management systems. In Australia, a study demonstrates how in those organizations with higher degree of employee participation in decision making environmental management systems' adoption is also higher (Markey, McIvor and Wright, 2016). Fenwick and Bierema (2008) advocates that HRM can help employees comprehend and value the company's efforts towards sustainability and also develop a culture for sustainability.

In the literature numerous HRM practices have been shown to make contributions to a company's sustainability practices; green training activities (Teixeira, Jabbour, de Sousa Jabbour, Latan, and de Oliveira, 2016), green oriented values and culture (Guerci and Carollo, 2016), and green teams.

As much as HRM's role is found to be important in literature, engaging employees in change for sustainability comes with obstacles. Barriers to implementation are identified at individual, group and organizational levels (Garavan, Heraty, Rock, and Dalton, 2010). At the individual level employees, as in any other initiative, have a choice either to take part in sustainability or not. When they perceive that there are costs (i.e. changes to workplace standards, ways of working, effect on status) for being involved in sustainability initiatives they do not volunteer to pay for these costs (Catherine, Lottie, and Jeremy, 2014). Therefore, understanding the barriers and removal of them by HRM is paramount for successful change processes for sustainability (Garavan, Heraty, Rock, and Dalton, 2010). Accordingly, Verhulst and Boks (2012) stress the importance of managing employee resistance, internal communication and empowerment during sustainability implementation phases and remind the individual role of employees in change for sustainability.

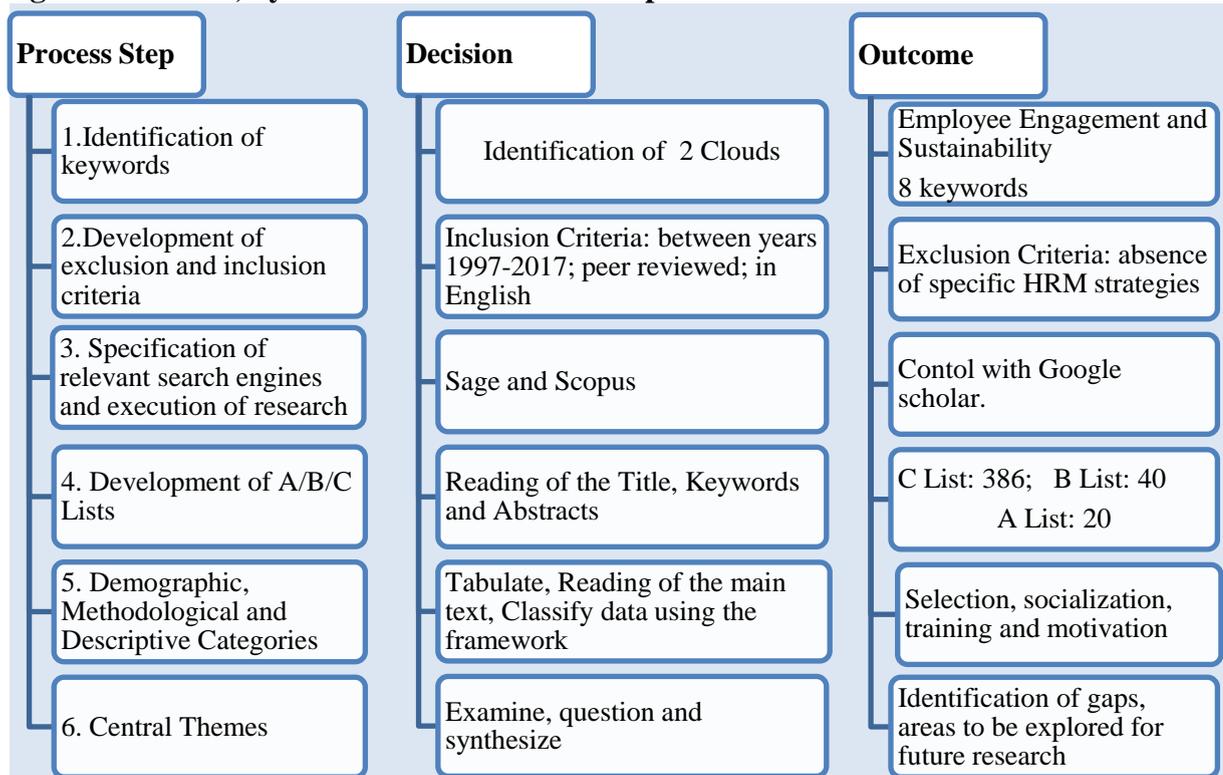
Ulus and Hatipoglu (2016) have differentiated between HRM strategies for creating bystander employees and participative employees for employee engagement. The strategies for employee engagement may vary among companies, however one common denominator is found to be the role of the manager in supporting employees towards sustainability related behavior (Millar, Hind and Magala, 2012; Chen and Hung-Baesecke, 2014; Haddock-Millar, Sanyal, and Müller-Camen, 2016). Catherine et al., (2014) acknowledge subcultures for sustainability within an organization and present a practical toolkit with four steps for employee engagement; evaluate employees' attitudes, bring together people from different departments in workshops, create a roadmap and tailor the communications for differences.

### **Method**

The systematic review approach is adopted in order to increase transparency and bring focus to the study (Seuring and Müller, 2008). The time period of the study is chosen to be the last twenty years. The six step model of systematic review as defined in Klewitz, and Hansen's (2014) work is adopted. Firstly, two clouds are selected (employee engagement and sustainability) guided by the research questions (Figure 1). In the next step relevant keywords were determined in light of the previous literature reviews and the theme of the research (8 keywords). Next, search has been conducted using

Scopus and Sage databases. Resulting 386 articles were sorted into three groups from most relevant to not relevant by going through the titles, keywords and abstracts. Following this step, the most relevant and informative articles (Group A) were selected by reviewing the main body of the articles. Inductive thematic analysis was conducted on these twenty articles.

**Figure 1: Author, Systematic literature review processes**



## Results

The results of the review firstly present quantitative descriptive analysis of the articles examined; the data is presented in terms of journals, time period, geography, methods of study and theories used. The demographic analysis highlights the rising importance of the employee engagement for sustainability concept in the latter part of the decade. It also pinpoints that the literature is growing from developed nations (U.S.A, Germany, Australia) and based on large sized multinational companies, however there are very few articles from developing nations (i.e. India, Brazil, Turkey) and also on small and medium sized enterprises.

The second part of the analysis presents the results of the thematic analysis answering the research questions. Scholars agree on the facilitative role of HRM in contribution to the processes of sustainability management and underline the urgency of bringing in HRM for change. One common theme emerging from literature is the integration of sustainability dimensions into HRM systems (i.e. sustainability focused learning). Another important theme is the necessity for HRM to engage with both internal and external stakeholders during sustainability implementation (i.e. communities, employee volunteerism). HRM is recommended to understand the social needs of these stakeholders for action. Awareness raising activities together with diversity management and ethical leadership must be introduced. Ethical leadership programs support the role model of managers and can ease the adaptation processes. Similar to other programs for behavioral change, HRM is recommended to start with managing resistance to change. For deep level change towards employee engagement, change to the corporate culture together with corporate values and norms is recommended. For further developing the intersection of employee engagement and sustainability themes research in

organizational behavior (OB), green human resource management and sustainable human resource management can be included.

### **Discussion and Conclusion**

This research mainly questioned how employee engagement strategies change for organizational sustainability implementation. The findings suggest HRM to develop strategies considering the differences at the individual, group and organizational level, including subcultures within the organizations. Different than traditional employee engagement, HRM will need to take into consideration the needs of multiple stakeholders (i.e. families for engagement at home). Second aim of the study was to highlight gaps in literature at the intersection of two separate research fields. Within the sustainability literature the human sustainability dimension has so far stayed in the background in comparison to environmental sustainability dimension (Pfeffer, 2010). This study finds that HRM strategies for engagement in sustainability are an emerging field and consequently there is much to be uncovered. Firstly, the term must be defined and researcher should start working on a consistent set of measures and indicators of the construct. Employee engagement requires employees to dedicate themselves to the causes of the organization, therefore the field would surely benefit from OB literature. There is need for best practice examples from around the world and more examples from developing countries where multinational corporations operate (in order to better define the cultural context). Future research should also look at how employee engagement fits with other human factor issues within sustainability (i.e. communications, culture, employee resistance). The significance of direct employee participation in decision making has been repeatedly emphasized in HRM literature; a fruitful research area would be to examine the means of employee voice in engaging employees in sustainability initiatives.

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## **Satisfaction: perceptions and expectations with the motivational factors**

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### **Abstract**

**Purpose-** The objective was to evaluate the satisfaction of professionals with motivational factors and their expectations and perceptions.

**Design/methodology/approach** - The study was delineated as to the approach in a quantitative research, as to the purposes in a descriptive research, and in terms of means, as survey. Three questions and two hypotheses were raised, and the data were collected in Argentina, Brazil, Colombia, Peru and Portugal. One hundred and seventy professionals from different areas participated in the study.

**Findings** - The study showed that administration / marketing professionals had a significant perception regarding motivational factors ( $p = 0.001$ ), being the most satisfied. Professionals working in the private sphere are the most satisfied ( $p = 0.003$ ). The interface between perception and expectation was significantly confirmed for the following variables, showing satisfaction in general: male gender, outsourced link, and higher education and doctorate. Therefore, the study showed how satisfaction is differentiated by career, education, employment bond and gender.

**Research limitations/implications** – Some variables related to Q3 were not answered by all professionals. The number of participants may also be a limiting factor for a more robust analysis and greater significance among the variables.

**Originality/value** - The study filled a gap in terms of academic research at investigating expectations regarding motivational factors and concomitantly relate them to the perception of several professional categories in the public and private sphere in relation to satisfaction.

**Paper type** - Research paper

### **Introduction**

The satisfaction of professionals in the dynamism of contemporary organizations can be identified both by the importance that human capital has acquired as a competitive advantage for organizations, as well as from the process of humanization in labor relations. According to Manolopoulos (2008), individual differences and labor characteristics in the work context can lead to differences in employees' motivation, performance, and in the job satisfaction in the public sector.

For Weiss, Dawis, England, and Lofquist (1967), job satisfaction is a multidimensional concept with intrinsic and extrinsic qualities. It is a theme widely studied in academia (Weiss et al., 1967; Locke, 1969; Herzberg, Mausner and Snyderman, 1959; Herzberg, 1971; Deci and Ryan, 2000; Rose 2001), especially in relation to the differences in the public and private spheres (Westover and Taylor, 2010; Taylor and Westover, 2011; Westover, 2012; Borges, 2013; Bradley and Davis, 2013). Locke (1969) corroborates Weiss *et al.* (1967), expanding the focus that job satisfaction comes from the professionals' assessment of their work or the realization of their values through this activity, and it is a positive emotion of well-being. It is emphasized that there is a dichotomy between values and needs, and that needs refer to the survival and well-being of the individual, and these are innate and common to all; as for values, they differ from person to person, because they meet what the individual wants or perceives as favorable (Locke, 1969, 1976).

Job satisfaction is related to motivational factors, whether in the public or private sphere. Several authors have corroborated studies in the public sphere (Vroom, 1964; Perry and Wise, 1990; Jurkiewicz, Massey Jr and Brown, 1998; Deci and Ryan 2000; Ryan and Deci 2000; Borzaga and Tortia, 2006; Manolopoulos, Hondeghem and Wise, 2010; Westover and Taylor, 2010; Rashid and Rashid, 2012). In the private sphere, in turn, we have the studies of Vroom (1964), Jurkiewicz *et al.* (1998), Rainey and Bozeman (2000), Rashid and Rashid (2012).

Ferreira, Reis Neto, Vasconcelos, and Souki (2016) argue that the motivation of professionals is influenced by a complexity of managerial and organizational factors, necessitating, therefore, to investigate which factors add greater value to them, aiming at job satisfaction and organizations efficiency. Castro, Reis Neto, Ferreira, and Gomes (2016) corroborate Ferreira *et al.* (2016) when they emphasize that the search for motivation of professionals is one of the objectives of people management in organizations, aiming at performance.

There is a gap in terms of academic research for not investigating expectations regarding motivational factors and concomitantly relate them to the perception of several professional categories in the public and private sphere in relation to satisfaction. In view of this, we ask: What is the level of satisfaction and expectation of the professionals in relation to the motivational factors of the work?

The objective of the study was to evaluate the satisfaction of professionals in the public and private sphere with the motivational factors and their expectations and perceptions.

### **Theoretical references**

**Motivation** - For Aworemi, Abdul-Azeez and Durowoju (2011), motivation generates benefits for organizations, fosters the action on human resources, raises staff efficiency, guides organizational achievement, builds friendly relationships, and ultimately, leads to the stability of the workforce.

Motivation theories can be classified into two distinct groups, either content or process (Schermerhorn JR, Hunt and Osborn, 2007; Grant and Shin, 2013). The first group, called content theories, focuses on individual needs as The Hierarchy of Needs Theory, Two Factor Theory, Alderfer's ERG Theory, and McClelland's Theory of Needs. The second group, called process theories, can be represented, among others, by Vroom's expectation theory, Adams's Theory of Equity, Self-Determination Theory, Goal-Setting Theory, Social Cognitive Theory, and Project-Work Theory. This group encompasses several theories that are summarized below, in a synthetic way, related to the motivational factors of the study.

Given the theoretical perspectives about motivation, managers should be alert to motivational factors as a result of intrinsic aspects of individuals directing behavior with different intensities and directions (Reis Neto and Marques, 2003).

The loss of reliability in public institutions has been happening gradually due to a bureaucratic model that does not show efficiency and effectiveness for the population. In the public sphere, there are some studies about motivation related to reason, norms and cognitive motives (Perry and Wise, 1990; Manolopoulos, 2008; Perry *et al.*, 2010), public service mission (Perry and Wise, 1990; Westover and Taylor, 2010), goals and rewards (Deci and Ryan, 2000; Ryan and Deci, 2000; Borzaga and Tortia, 2006; Giauque, Anderfuhren-Biget and Varone, 2013; Rodrigues, Reis Neto and Gonçalves Filho, 2014), work and content (Manolopoulos, 2008; Rashid and Rashid, 2012), ethics (Jurkiewicz *et al.*, 1998), values and autonomy (Vroom, 1964).

In the private sphere there are several studies about motivation linking goals, rewards and motivation (Rodrigues *et al.*, 2014), as well as financial rewards (Jurkiewicz *et al.*, 1998; Rainey and Bozeman, 2000; Rashid and Rashid, 2012), career development opportunities and supportive environment (Rashid and Rashid, 2012), besides volunteering (Jurkiewicz *et al.*, 1998). The motivational factors of study (Annex 1).

**Job satisfaction** - Work satisfaction has a two-dimensional conception: intrinsic and extrinsic (Rose, 2001). The intrinsic dimension, qualitative and symbolic, comes from people and is represented by initiative and relationship with superiors. The extrinsic dimension refers to the work environment in terms of salaries, promotion, job security and other material or financial rewards (*European Foundation for the Improvement of Living and Working Conditions*, 2007). The association of these dimensions is a proposal for global satisfaction (Deci and Ryan, 2000). Westover and Taylor (2010) corroborate Deci and Ryan (2000) by emphasizing that job satisfaction is a process that is constantly being built because of the fluidity of responses as a result of personal and environmental demands.

Therefore, the satisfaction at work is an emotional state, whose emotion comes from the evaluation of the values of the individual and has two phenomena: joy (satisfaction) and suffering (dissatisfaction) (Locke, 1969, 1976). However, the Herzberg's theory (1971) points out that satisfaction and dissatisfaction are related to determinants of work such as environment, rewards systems and leadership.

Vroom (1964, p.15) says that satisfaction is conditioned to motivation, because motivation would be the willingness to do something, when this thing is conditioned by its ability to satisfy some need of the individual. According to Lawler III (2000), remuneration is the main target of the greatest dissatisfactions in organizations. The satisfaction is the result of the individual's receiving of rewards that he/she values and feels good about them. Thus, the satisfaction is best understood as being determined by the level of individual reward, with the consequence that performance can, indirectly, cause satisfaction if he/she receives the rewards, which in turn generate satisfaction (Lawler III, 2000, p.79).

Therefore, analyzing what satisfies professionals in organizations is so complex and dynamic, that we seek to understand and measure the level of satisfaction and expectation of professionals in relation to the motivational factors of the work.

According to Vroom (1964), the motivation to act at work occurs when there is dissatisfaction, that is, the person realizes that a need is not met. The model used in this study gives an indication of propensity for action, considering that, the greater the dissatisfaction (unmet need), the greater the propensity for action.

### **Research methodology**

The study was delineated, regarding the approach, in a quantitative research. As for the purposes, this is a descriptive research, and as for the means, a survey.

The demographic variables were: Type of company - public / private; Profession; Gender - female, male, other; Age - 18 to 25 years, 26 to 35 years, 36 to 45 years, 46 to 60 years and 60 years or more; Marital status - married, single, separated, divorced; Link - effective, contract, outsourced; The employee works only in this company - yes, no; Education – elementary school, middle school, higher education, *latu sensu* specialization (MBA) and *strictu sensu* specialization (MA, PhD, other).

Given the context, three questions and two hypotheses were outlined based on the studies of Manolopoulos (2008) in the public sphere, and Reis Neto and Marques (2003), in the private sphere. Are they:

Q1: Is there an interface between expectations and perceptions of professional categories?

H1: There is a significant positive relation between expectations and perceptions by professional category.

Q2: Is there an interface between expectations and perceptions for demographic diversity?

H2. There is a significant relationship between expectations and perceptions by professionals for demographic variable (age, gender, level of education, position at work, marital status, having more than one job, type of organization: public or private).

Q3. Does the study demonstrate whether or not the professionals are satisfied?

It was applied an electronic questionnaire composed of 18 items that consisted of two questions in each item, with Likert scale. The sampling is configured as non-probabilistic, for convenience, composed of 170 professionals working in public sector institutions and private sector organizations. The inclusion criteria used were: to be an active professional, independent of the time of exercise in the position / task. As for the exclusion criteria, they were: being under the age of 18 and not working in the company.

The questionnaire was sent by email. It was sought to understand and to know the expectation (understood as a necessity or motivational element) and the corresponding perception of these factors with the professionals of the public and private sphere. It is noteworthy that this study was approved by the Ethics Committee of Fumec University / Brazil.

In order to calculate satisfaction, it was used the expression: satisfaction is equal to perception minus expectation, i.e. [Satisfaction] = [Perception] - [Expectation] (Hayes, 2001).

According to Zeithaml, Parasuraman and Berry (1990), when the perception is smaller than the expectation, dissatisfaction occurs. The expectation refers to a motivational need or factor that was or was not important. And perception, according to Reis Neto and Marques (2003) is subjective, selective, simplifying, limited in time and cumulative. It refers to the motivational factors of the study. The SPSS 21 software, Minitab v.17, was used for interpretation of data. We calculated: 1. Validation of the Questionnaire (Cronbach's Alpha); 2. Descriptive Statistics, Student's t-Test and Pearson's Linear Correlation; 3. Anova, Tukey Test.

### Presentation and analysis of results

One hundred and seventy professionals from different areas participated of the study. There was a predominance of some professionals, as follows: female (51.2%); working only in one job (79.4%); belonging to the public sphere (52.4%); aged between 26 and 35 years old (37.6%); married (51.8%); with effective link (80%); with higher education (30.0%) and administration / marketing professional (41.2%).

The Cronbach's Alpha calculation for the 36 items of the study corresponded to 0.89, meaning an acceptable internal reliability.

The Table 1 shows the demographic variables compared to perception and expectations.

The analysis of the data in Table 1 indicates the following results, discussed according to the questions and hypotheses proposed for the study.

**Table 1 – Demographic variables compared to perception and expectation**

	Perception					Expectation				
	n	Average	SD <sup>a</sup>	t	p	n	Average	SD <sup>a</sup>	t	p
Gender										
Female	87	3,35	0,67	- 2,66	0,009****	87	4,47	0,41	0,57	0,568
Male	83	3,62	0,69			83	4,44	0,33		
WOC										
No	35	3,44	0,77	- 0,35	0,725	35	4,47	0,32	0,31	0,758
Yes	135	3,49	0,67			135	4,45	0,39		
Sector										
Private	80	3,64	0,63	3,00	0,003**	80	4,45	0,34	- 0,27	0,789
Public	89	3,33	0,71			89	4,46	0,40		

Age										
18 to 25 years	14	3,56 <sub>a</sub>	0,78	0,37	0,827	14	4,50 <sub>a</sub>	0,30	0,22	0,925
26 to 35 years	64	3,44 <sub>a</sub>	0,68			64	4,47 <sub>a</sub>	0,39		
36 to 45 years	40	3,58 <sub>a</sub>	0,68			40	4,46 <sub>a</sub>	0,28		
46 to 60 years	46	3,42 <sub>a</sub>	0,70			46	4,41 <sub>a</sub>	0,44		
60 years or more	6	3,47 <sub>a</sub>	0,61			6	4,41 <sub>a</sub>	0,40		
Marital Status										
Single	50	3,44 <sub>a</sub>	0,73	1,55	0,203	50	4,45 <sub>a</sub>	0,38	0,75	0,523
Married	88	3,57 <sub>a</sub>	0,70			88	4,43 <sub>a</sub>	0,40		
Separated / Divorced	17	3,39 <sub>a</sub>	0,43			17	4,45 <sub>a</sub>	0,22		
Other	15	3,20 <sub>a</sub>	0,61			15	4,59 <sub>a</sub>	0,33		
Link										
Effective	136	3,42 <sub>a</sub>	0,68	2,69	0,071*	136	4,46 <sub>a</sub>	0,37	3,84	0,024**
Contract	24	3,74 <sub>a</sub>	0,72			24	4,51 <sub>a</sub>	0,37		
Outsourced	10	3,68 <sub>a</sub>	0,53			10	4,15 <sub>b</sub>	0,26		
Education										
Elementary / Middle School	17	3,57 <sub>a</sub>	0,58	2,53	0,042**	17	4,31 <sub>a</sub>	0,66	0,97	0,426
Higher education	51	3,31 <sub>a</sub>	0,72			51	4,46 <sub>a</sub>	0,33		
Specialization	39	3,38 <sub>a</sub>	0,72			39	4,46 <sub>a</sub>	0,37		
MA	40	3,68 <sub>a</sub>	0,70			40	4,52 <sub>a</sub>	0,28		
PhD	21	3,70 <sub>a</sub>	0,45			21	4,42 <sub>a</sub>	0,34		
Career										
Administration / Marketing	70	3,74 <sub>a</sub>	0,64	9,25	0,000***	70	4,47 <sub>a</sub>	0,43	0,70	0,595
Professionals										
Social										
Communication	14	3,14 <sub>b,c</sub>	0,81			14	4,44 <sub>a</sub>	0,30		
Professionals										
Education	26	3,73 <sub>a,b</sub>	0,37			26	4,50 <sub>a</sub>	0,25		
Professionals										
Health	52	3,16 <sub>c</sub>	0,66			52	4,43 <sub>a</sub>	0,36		
Professionals										
Other Professionals	8	3,04 <sub>b,c</sub>	0,65			8	4,26 <sub>a</sub>	0,34		

Note: \* Significant at 0.10; \*\*Significant at 0.05; \*\*\*Significant at 0.001; Tests made on MINITAB 17; <sup>a</sup> Group standard deviation

Source: Data by the Authors. Legend: WOC- Works Only in the Company

**Q1:** Each professional category perceived the motivational factors in a consensual way. Therefore, in the organization, the managers must seek to know what motivates their team. They should avoid standardizing certain attitudes due to the heterogeneity of the professional categories, so as to enable them to be satisfied.

**H1 - confirmed.** The study showed that there is an interface between expectations and perceptions with administration / marketing professionals, who presented a significant perception regarding motivational factors ( $p < 0.001$ ) and not significance in relation to expectations ( $p = 0.595$ ). So, the administration / marketing professionals were the most satisfied. The satisfaction can vary between professional categories, by individual and country (Taylor and Westover, 2011). Westover and Taylor (2010) corroborate Deci and Ryan (2000) by emphasizing that job satisfaction is a process that is constantly being built because of the fluidity of responses because of personal and environmental demands. Bradley and Davis (2013) demonstrated that the meaning of task and support for career development was significantly positive with job satisfaction.

**Q2:** It is noticed that the demographic diversity influences the perception and expectation of the motivational factors, highlighting in the study the variables: gender, education and link, which were significant. Lower perception leads to lower satisfaction and, as shown in Table 1, in all variables, professionals generally tended to lower satisfaction.

However, the significant variables will be analyzed separately with other statistical tests linked to the basic formula of the study: [Satisfaction] = [Perception] - [Expectation].

**H2 - confirmed** only for the variables: gender, link and education. For the other variables there was no interface. The study showed that female professionals are more dissatisfied, since they presented a significant perception ( $p < 0.05$ ) with the motivational factors. As the p-value is equal to 0.009, there is a difference between the two averages, with the male gender average being higher than the female average (3.62 versus 3.35). Thus, since Satisfaction is perceived as Perception-Expectation, we have that, the lower the perception, the less will be the satisfaction. The expectation did not present a significant difference between the genders, and the averages were practically the same (female 4.47 versus male 4.44). The study findings do not corroborate the studies that show that women tend to show higher satisfaction at work, even in unfavorable conditions regarding the men (Kifle and Desta, 2012).

As for the link, the effective professionals are more dissatisfied with the motivational factors for a significant perception ( $p < 0.10$ ). In relation to the education, professionals with PhD are more satisfied, followed by those with elementary / middle education (above 7 years of schooling) with satisfaction for a significant perception ( $p < 0.01$ ) and non-significant expectation ( $p > 0.05$ ).

In relation to the professionals with less education, second in level of satisfaction, the result can be explained by Abraham Maslow's Hierarchy of Needs Theory, which was based on the understanding of the man inserted in the society and not only in the work environment. Regarding the results found for professionals with PhD, the explanation may come from Vroom's Theory (1964), since it may have occurred the interaction of the three beliefs, which are: expectation (the effort will lead to performance), instrumentality (the performance will lead to results) and valence (these results are important or valuable).

It is noticed the interface between expectations and perceptions in the case of private sphere professionals. They are more satisfied than those professionals of the public sphere with perception ( $p < 0.05$ ) and not significance for expectations ( $p > 0.05$ ). This data reinforces the empirical evidences that have identified that professionals of the public sphere are the less satisfied, in general (Borges, 2013). In this case, it is necessary to evaluate the context and content of the work (Manolopoulos, 2008).

**Q3:** Most of the professionals are dissatisfied, which leads us to ask what is happening in organizations, justifying a change in strategy and a new model of human resources management practices that adds value to professionals, improves the internal and external equity and the efficiency of the organizations, especially public institutions, whose stability in work is guaranteed by specific legislation. What favors satisfaction is the combination of remuneration with loyalty and the work process (Borzaga *et al.*, 2006).

### **Final considerations**

The study filled a gap in terms of academic research at investigating expectations regarding motivational factors and concomitantly relates them to the perception of several professional categories in the public and private sphere in relation to satisfaction.

The study showed that administration / marketing professionals had a significant perception regarding motivational factors ( $p = 0.001$ ), being the most satisfied.

Professionals working in the private sphere are the most satisfied ( $p = 0.003$ ). The interface between perception and expectation was significantly confirmed for the variables male gender, outsourced link and education equal to higher education and doctorate, being those that are satisfied in general. For the other variables, there was no interface, so they did not present satisfaction and the motivational factors were not considered important.

For the expectation, in the Tukey test, there was a difference between who has the link by contract and who is effective. However, in the case of those who have the outsourced relationship (contract with a legal entity), there is a difference both in contract (in Brazil, the organization makes a temporary contract with the individual to attend emergency cases, especially in the public service) and effective. Regarding education, age and marital status, there was no significance between levels and perception and expectation. In the career, the perception of social communication professionals presented a difference when compared to education professionals and other professionals, as well as between the administration and education professionals, and also between the social communication professionals, health professionals and other professionals. However, there was no difference between the categories in relation to the expectation. This proves the difference of perceptions among professional categories.

*Contributions:* The results pointed out in the *survey* show that the satisfaction of the professionals needs to be investigated and reinforces the difficulties that managers and leaders have in motivating their team. The motivational factors, which do not generate costs for the organization and can lead to efficiency, must be retaken, such as the recognition of the professional, the treatment in the subordinate / managerial relationship and the clear communication. In satisfaction studies it is important to measure perception and expectation, which is not found in most studies.

*Limitations:* Some variables related to Q3 were not answered by all professionals. The number of participants may also be a limiting factor for a more robust analysis and greater significance among the variables.

*Suggestions:* It is necessary in future studies, further research in relation to the link, which was the variable that showed significance in satisfaction (perception) and was considered important (expectations). It is necessary to investigate better the influence of education on the perception and expectation for job satisfaction, since there was disagreement between the statistical tests. And find out if the perception changes when people are happy compared to the perception in who says they are sad or in a bad mood.

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# **Spirituality, organizational commitment and work engagement: A study of non-governmental organizations (NGOs) stakeholders in the Amazon region, Brazil**

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## **Abstract**

This study aims to assess the correlation between spirituality, organizational commitment and work engagement in non-governmental organizations (NGOs), based on Work Spirituality (Ashmos & Duchon, 2000), Organizational Commitment (Rego, Cunha & Souto, 2007), Work Engagement, (Buckingham & Coffman, 1999; Coffman & Gonzalez-Molina, 2002). Using data obtained from NGO employees (n=475), the results reveal that commitment to and engagement work are positively influenced by spirituality at work. The study also showed that in the organizations surveyed gender, age, length of service, and bond, influenced the degree of employees commitment and engagement. Commitment appeared as the best predictor of engagement at work.

## **Introduction**

According to Salamon (1994), Drucker (1996), and Rifkin (1995), the third sector is the greatest social innovation of the 21st century. The growth of this sector in Brazil is a fact, according to a study carried out by the Brazilian Institute of Geography and Statistics (IBGE) and the Institute of Applied Economic Research (IPEA) that was published in 2010, which identified some 290.700 non-governmental organizations. The so-called third sector, it is responsible for 5% of the Brazilian GDP (IBGE, 2010), evidence of its size and importance. Faced with this growth, management of NGOs have been a challenged to survive in such a competitive environment and to motivate employees to be proactive, involved with their work and committed, while carrying out their tasks with high quality standards (Bakker & Leiter, 2010). In this context, it is critical for NGOs to incorporate a new way of producing and distributing goods and services that goes beyond the limits of the logic of capital, to universalize the ethical values of their own experiences (Tenório, 2004) do so, NGOs need to add new management tools to their practices, providing their internal stakeholders with the skills, knowledge, and attitudes that ensure fulfillment of institutional objectives (Tenório, 2015). Therefore, investigating strategies, appropriate tools, and the logic of people management for NGOs is vital.

NGOs from all areas are eagerly seeking people who can contribute to their mission. According to Jordan (1998), however, NGO offer more than a job to their employees because employees can they see the possibility contributing to social change and working for a cause. According to Orsi et al. (2005), to realize these goals, it is necessary for NGOs to identify management practices of people who corroborate their culture to understand and influence employees in their involvement at work through assimilation of values and mission. To do so, identification of instruments that may allow the diagnosis of behaviors and attitudes desired for work in this type of organization can support decision making by its managers and organizational actors. In this sense, we tested tools such as work spirituality, commitment, and engagement in the workplace, to aid these organizations in understanding their internal stakeholders and their connections with work and the organization, based on the principle that relationships between individuals and their work environment are manifested through behaviors and attitudes capable of contributing to the accomplishment of their work and their permanence in the organization.

The present study is based on Ashmos and Duchon (2000) study on spirituality at work, which signals the need for employees to feel that the work they do has meaning and occurs in a community

context. In the view of Meyer and Allen (1991), the commitment to work, a psychological state that characterizes the relationship of the employee with the organization and its implications on their intent to continue with the organization or leave, engagement in work is understood according to the concept of the Gallup organization (2010), which suggest that engagement is characterized by employees who work passionately and have a sense of connection with the organization, in addition to being productive and loyal.

In the conception of Ashmos & Duchon (2000); Milliman; Czaplewski & Fergusson (2003), spirituality at work is the recognition, by the organization and its managers, that employees have an inner life that nourishes, and is nourished by meaningful work in a community context. There is evidence in these studies of important aspects of work spirituality that are consistent with the needs of non-governmental organizations. People with spirituality at work can integrate it into their professional activities, which will then be seen not as a job, but as a mission (Baldachino, 2008).

It is important to highlight that verification and implementation of spirituality at work can help the NGO in its management process the work's meaning and the relationships established between the organization and its internal stakeholders to boost the growth of individuals, so they become better persons and makes the organization a pleasant place for themselves, their colleagues and society. This will help the employee to engage with their work, consequently optimizing their performance and bringing about positive experiences in this context (Seligman & Csikzentmihalyi, 2000). Because of this, researchers in management and organizational psychology have become increasingly interested in improving employee performance through work spirituality (Luthans, 2002).

Commitment in an organization corresponds to a psychological state that is characterized by a strong relationship of identification and involvement of the collaborator with the organization and can be defined by three factors: being willing to exert considerable effort for the benefit of the organization, believing in its values and objectives, and wishing to remain a member of the organization (Rego & Souto, 2004). Paulino et al. (2011) emphasize that the theme of organizational commitment has been studied in the area of organizational psychology due to the emphasis placed management with people in the organization. The authors also infer that knowing the individual has become necessary for the organization to create strategies in the business world and develop in its employees the satisfaction of belonging to the organization.

Finally, another construct also emerges in this investigation, referred to engagement at work, which, since the beginning of the 1990s, has been understood as the "utilization of the members of the organization of their own work roles: in engagement, people use and express themselves: physically, cognitively, emotionally and mentally during the development of their roles" (Kahn, 1990, p.694). It can also be defined as "the accomplishment of the work in a positive way, related to a state of mind characterized by vigor, dedication and absorption" (Schaufeli et al., 2002, 74), vigor refers to high levels of energy, while dedication refers to an intense involvement in work and encompasses feelings of inspiration, pride, enthusiasm, meaning and challenge. The ultimate dimension of engagement is absorption, characterized as being totally focused on working in such a way that time In short, engaged employees work hard because they are enthusiastic about their work and are totally immersed in their work activities (Bakker & Demerouti, 2008). Studies show that engagement can boost productivity, inspire and attract employees, increase profitability, make organizations better places to work, as well as form good corporate citizens. Scholars have become aware of the importance of engagement.

In Robbins's (2005) studies, the intersection between the constructs of spirituality, commitment and engagement at work is evident, that is, a worker can only engage in his work when he actively participates in it, identifies himself psychologically with it and considers his performance as something valuable to himself and others, as well as just being able to commit when identifies with an organization and his goals, and want to remain a part of that organization.

This study proposes to test the hypotheses that there is a positive relationship between spirituality and commitment in work: and that engagement in work is positively related to affective commitment and normative commitment, and negatively to instrumental commitment. The research questions of this

study are proposed to verify the relationship of predicted among spirituality, according to the dimensions presented by Ashmos & Duchon (2000), recognition of inner life, meaning of work and community in the workplace and organizational values, and affective, normative and instrumental commitment according to the Allen and Meyer (1991) model, on engagement in the work of internal NGO stakeholders in the Amazon region, as well as to answer the extent to which demographic and occupational variables are related to spirituality, commitment and engagement at work. Thus, our investigation of the effects of spirituality and commitment on engagement in work, seeks to provide empirical evidence on this topic, as well as contribute to the academic literature, provoking reflections on people management in non-governmental organizations. The research findings may also contribute to understanding spirituality, commitment and engagement in NGO work in the Amazon context.

### **Methodological aspects**

The present study consists of exploratory, descriptive, quantitative and transversal research, carried out from April to August of 2014, in the four capitals of the Amazon region, Belém, São Luís, Manaus and Macapá. It included the application of three instruments, chosen through literature review and because they have already been widely used and validated in Brazil.

The Work Spirituality Questionnaire (QET) was, originally developed in the English language, specifically in the American context, by Ashmos and Duchon (2000), and included 19 items. In this investigation, the Brazilian version is used, which was reduced and validated by Paulino (2010). This version is, composed of 17 items, comprising three components (meaning of work and community sense; internal life and organizational values), with Cronbach's Alpha equivalent to 0.881. Responses use a seven-point scale, ranging from 1 = Strongly Disagree to 7 = Strongly Agree. Its structure validity is verified using confirmatory factorial analysis. This instrument is intended to provide an understanding of workers' perceptions regarding each of the dimensions listed (Ashmos and Duchon, 2000). These reactions demonstrate the existence of a dimension of spirituality in the organization and determine the intensity of its level (more or less intensity).

The Organizational Commitment Scale (ECO) was elaborated by Rego, Cunha and Souto (2007), based on their own work and the literature of Allen & Meyer (1990). Validated for the Portuguese and Brazilian context, it measures the affective, normative and instrumental dimensions. This questionnaire originally had 14 items using a seven-point Likert scale, most of which were collected from the literature (Allen & Meyer, 1990; Meyer, Allen & Smith 1993; Porter, Steers, & Mowday, 1974). In this work, we adopted the model already reduced by the authors, composed of 11 items using seven point scale ranging from 1 = Totally not applied to 7 = Extremely Applied. This instrument intends to verify the link with the organization through the level of the type of prevailing commitment, affective, normative or instrumental.

The Job Engagement Questionnaire Q12 or GWA is composed of 12 elements related to the workplace and with proven links to performance and satisfaction results. It was designed by the Gallup organization (2010), and was applied and validated in Brazil by Gallup for public and private organizations in 2005 and 2006. This research will be validated for NGOs in the Amazon context. The instrument has 12 key questions about engagement at work, that identify important variables of employee involvement (clarity of role, material resources, opportunity for skills development, social support, positive feedback, supervisor support, coaching, active voice (if employee opinions matter), sense of importance (sense of being important to the company), and learning opportunities. It uses a five point likert scale where "5" is strongly agreed and "1" is 'strongly disagree'. The Q12 has an alpha of 0.91, which indicates it is an instrument that has been validated through psychometric studies. According to its creators (Buckingham and Coffman, 1999; Coffman and Gonzalez-Molina, 2002), this instrument aims to highlight the feeling and connection that an employee has to with the organization. To analyze the findings of the study, different analysis techniques were applied to the on variables, as shown in table 1.

**Table 1: Main statistical tools used in research**

STUDY TOPICS	STATISTICAL TOOLS USED
Spirituality at work	Descriptive statistics Factor analysis Analysis of variance (ANOVA)
Organizational Commitment on the job	Descriptive statistics Factor analysis Analysis of variance (ANOVA)
Engagement at workplace	Descriptive statistics Factor analysis Analysis of variance (ANOVA) Binary Logistic Regression Analysis

### Population and Sample

First to collect the data, NGOs in participating in this investigation was started, which are part of the the Amazon region, which are part of the third sector, were selected to participated in this investigacion. The methodology used was based on the "Manual on Non-Profit Institutions in the System of National Accounts", recommended by the ONU and adapted in Brazil by the IBGE (2010). According to this methodology used was, to be characterized as non-governmental. To identify organizations of this nature, contacts were established with the Municipal Councils of Social Assistance of the capitals, where the research was carried out, which provided the list of entities registered and certified with the respective councils. At that time, 90 NGOs were included in the profile, and 46,66%(42) of those were reached, of the sample was made for convenience, with 475 internal stakeholders of the 42 NGOs from the four capitals of Brazil, located in the Amazon region, participating of these 152,121,102 and 100 subjects were from Belém, São Luís, Manaus and Macapá respectively.. No sampling technique was defined, and the entire population was chosen.

### Analysis and Results of the Empirical study

In relation to the prevalent profile, it was observed that the internal stakeholders of the organizations surveyed were mostly women (76.9%). The mean age of 37 years indicates a young workforce, and pós-graduate education, which work on an average of 35 hours per week and receive 02 minimum salaries, as shown in Table 2.

**Table 2: Predominant sociodemographic and occupational profile of the sample**

Demographic profile	Predominant	%	Average/DV
Gender	Femal	76,9	-
Marital Status	Married	41,47	-
Age group	20 to 69 years	-	Average 37 years (DV=9,85)
Degree of education	Postgraduate	31,58	-
Time of service	01 to a 45 years	-	Average 06 years (DV=6,82)
Religious belief	Catholic	54,10	-
Type of contractual relationship	Hired employee	65,26%	-

Weekly workday	35 to 60 hours/week	-	Average 35,29 (DV=7,69)
Salary range	02 Minimum wage	59,16%	-

We conclude that sufficient evidence confirmed the instruments used to investigate the predictive relationship between spirituality, commitment and engagement at work, with factorial validity and good reliability, thus justifying their use in this organizational context, as shown in table 3.

**Table 3: Psychometric indexes of the instruments used**

Chart SUMMARY: Psychometric indexes of instruments					
Variables /Dimensions	Number of items	KMO	Total variance explained (%)	Index of reliability (Cronbach's alpha)	Reliability
Spirituality at work (ashomos & Duchon, 2000); (Paulino, 2011)					
Significant work and a sense of community	07	0,893	59%	0,881	Boa
Inner life	06				
Organizational Values	04				
Work commitment (Meyer & Allen (1996,2000); (Rego, Cunha & Souto, 2004)					
Affective	03	0,859	70,51%	0,873	Boa
Normative	04				
Instrumental	04				
Engagement at work (Organização Gallup, Buckingham & Coffman, 1999; Coffman & Gonzalez-Molina, 2002)					
Development Professional	06	0,906	68,62%	0,885	Boa
Workplace (relationships)	06				

The analyses of the predictive relationship of spirituality presented a  $\beta = 0.349$  ( $p < 0.001$ ), confirming its positive relationship in predicting engagement. This means that the greater the spirituality, the greater the engagement work. In the multiple regression with engagement in work as the dependent variable. The result confirms its predictive power and points out the independent variables that are predictors of engagement at work. The best predictor is commitment at work, with  $\beta$  equaling 0.428 followed by working spirituality with  $\beta = 0.349$ . The coefficient of variance explained also shows that these two variables are capable of explaining 43.2% of stakeholder engagement. Table 4 summarizes the results of the multiple regressions, which engagement in the work in work as the dependent variable

**Table 4: Multiple regression of engagement at work**

Independent variable	Beta ( $\beta$ )	Sig. ( $p < 0,05$ )
Spirituality at work	0,349	0,001
Work commitment	0,428	0,001

## Discussion and final considerations

This study showed that spirituality and commitment at work do indeed have a relationship with engagement at work; there is a strong predictive relationship between them. The predictive relationship of the independent variables for the dependent variable was adequate, pointing out spirituality and the commitment at work as capable of explaining engagement. Engagement was confirmed to have a positive relationship in predicting spirituality and commitment at work. This research also showed that commitment and engagement at work are positively influenced by spirituality at work. The study also revealed, through a binary logistic regression analysis, that in the organizations surveyed gender, age, length of service and bond, influenced the degree of commitment and engagement of employees, but spirituality at work did not, revealing that stakeholders over the age of 40, with diverse ties and length of service over 11 years are more engaged. Women also appear to be more engaged.

The hypotheses established by the research were corroborated by the present study, which indicates that commitment at work is in fact positively influenced by spirituality at work, in regards to the dimensions of significant work and a sense of community. These were ranked the highest and suggest a sense of respect of the organizations respect of the stakeholder as a person, satisfaction and commitment to the organization, as well as professionalism, because of serving the community. These were ranked findings are in line with studies on spirituality in the workplace (Rego, 2007, Giacalone & Jurkiewicz, 2003, Ashmos & Duchon 2000; Milliman et al 2003; Jurkiewicz & Giacalone, 2004). This study also finds evidence that engagement is positively influenced by spirituality, corroborating Kahn's (1990) work and Mirvis (1997); Giacalone and Jurkiewicz (2010) find that employees who view their work as a way to experience spirituality are more likely to exert more effort than those who see it only as a means of earning a salary. It has also been shown that organizations with spiritual values are more efficient in emotionally and cognitively engaging their employees (Saks, 2011; Giacalone & Jurkiewicz, 2003). Entities that develop spirituality in the workplace can facilitate and enable employees to participate fully in their work roles. Moreover if employees have spirituality, they will show this in their behavior work (Rostami, Dini & Kazemi, 2015). Thus, spirituality at work can be an important positive or antecedent indicator of engagement at work.

Research has also confirmed that engagement at work is positively related to affective impairment and normative impairment, and negatively to instrumental impairment. These findings are consistent with Brown's (1996) finding that commitment to work is positively related to engagement at work. Other researchers, such as Tansky, Gallagher & Wetzel, (1997) and Cohen (1999), also endorse this relationship of engagement with commitment at work. It should be noted that affective commitment was considered the highest level among the stakeholders investigated, thus suggesting feelings of identification, attachment and involvement of the stakeholders with their work in the NGOs. This is aligned with the meaning of affective commitment, according to authors Rego, Cunha & Souto (2005), Allen & Meyer (1996) and Siqueira (2001). According to Allen & Meyer (1991), this indicates that a positive emotional relationship can unite the individual and the organization, due to fulfillment of personal expectations and needs. This component contemplates feelings of identification, attachment and involvement with the organizational work, creating a desire for effort in favor of the organization. Thus, there is a positive relationship between affective commitment and engagement, confirmed in the studies by Hakanen et al. (2006), and Llorens et al. (2006), who verified the affective component as a determinant of engagement at work.

Studying spirituality, commitment and engagement at work in non-governmental organizations, proves to be important, not only to characterize their existences in this labor context, but mainly to reflect on the characterization of the demographic profile of its internal stakeholders and the dimensions of the prevalent components of spirituality, commitment and engagement in the work of the stakeholders studied to understand how these variables can influence the behaviors and attitudes of those

stakeholders in relation to the work performed and their loyalty to the organization. They encourage the implementation of practices and organizational tools in people management that are more appropriate for the logic of NGOs.

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## **CHAPTER 3: Leadership in the age of transparency: what is meant to be a leader in Organization 4.1?**

### **Leadership and organizational culture based on sustainable innovational values: Portraying the case of the Global Alliance for Banking Based on Values (GABV)**

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#### **Abstract**

Leadership and organizational culture for innovation is becoming increasingly important in a constantly changing and transforming world full of technological, political and cultural transformations. Without sustainable innovation leaders and organizations are doomed to failure. The acceleration of changes shows inverted *coeteris paribus* conditions, where value-based management must remain constant while everything else change, as well as driving innovation values across the organization. The reasons for transformations are related to suitable change strategies and interventions for guiding the change process, which play an important role in shaping an innovative organizational culture. But how can leaders and organizations effectively transform themselves in turbulent environment and what are the critical success factors to promote and manage meaningful changes for creating an innovation culture? This paper deals with leadership and cultural change capabilities within organizations for aligning strategy development process to achieve sustainable innovation. We outline leadership and culture change models to convene strategic and cultural transformation focus on innovational values as an ongoing process. The case Global Alliance for Banking Based on Values (GABV) is presented as a great inspiration for stimulating and working with these values in the organization as well as an example in line with these models.

#### **Introduction**

Innovation has become essential for the future of organizations, mainly their capability to share passionately innovational values within the organization to have high impact in strategies and culture change processes. But how leaders and organizations can strengthen creativity and stimulate innovation within organizations and with their external partners and customers? Successful Leadership and cultural change for innovation are fully connected with value-based management, behavioral change and a vision of the future, in which leaders must talk about innovation and walk the genuine innovational path. Strategies and culture change for innovation are effective when organization really open up their innovation process with external partners and customers in the generation of creative

ideas, concepts and prototypes, with a sincere collective feeling that things can be done differently, better, as well as developing organizational capabilities to sustainably deliver successful innovations.

This paper presents the Leadership and organizational culture on sustainable innovational values models, portraying the case of the Global Alliance for Banking Based on Values (GABV) for stimulating and working with these values in the organization. The case described is in line with these models, in which leaders and organizations effectively transform themselves in changing environment and outline how they may be used for incorporating strategic and organizational cultural for innovation. We apply the Management by Sustainable Innovational Values, hereafter MBSIV, (Brillo, Dolan, and Kawamura, 2014), where sustainable innovation best occurs when organizational members are passionate about their work because they share emotional values in conjunction with economic values, and when these values are employed within the organization goals, mission, and strategic objectives, processes, and initiatives, and when the values are embedded within the organization culture. The Cultural Change for Innovation Model (Boonstra, 2016) an extension of Culture Change and Leadership in organizations (Boonstra, 2013) is also applied as change process for innovation to help leaders and organizations to develop strategic, political, transformational, appreciative, experimental, action, and reflexive mindsets, as well as critical capabilities to engage them in deep successfully organizational culture changes for renewal or innovation.

The case GABV is part of banking sector, one of the most internationalized services in our world, as we have experienced in the worldwide financial crisis. There is a societal and human need to transform our financial institutions in a more sustainable and value driven business, in which GABV is a network of banking leaders from around the world committed to advancing positive change in the banking sector. Founded in 2009, the GABV is a growing network, with banks, banking cooperatives and credit unions, microfinance institutions and community development banks joining from many parts of the world. The collective goal of the alliance is to change the banking system so that it is more transparent, supports economic, social and environmental sustainability, and is composed of a diverse range of banking institutions serving the real economy. The Global Alliance comprises of 46 financial institutions and seven strategic partners operating in countries across Asia, Africa, Australia, Latin America, North America and Europe. Collectively the alliance serves more than 41 million customers, hold up to \$127 billion USD of combined assets under management, and is supported by more than 48,000 co-workers. In next topics of this paper we show the concepts applied in the GABV environment.

### **Organizational culture and business idea for innovation**

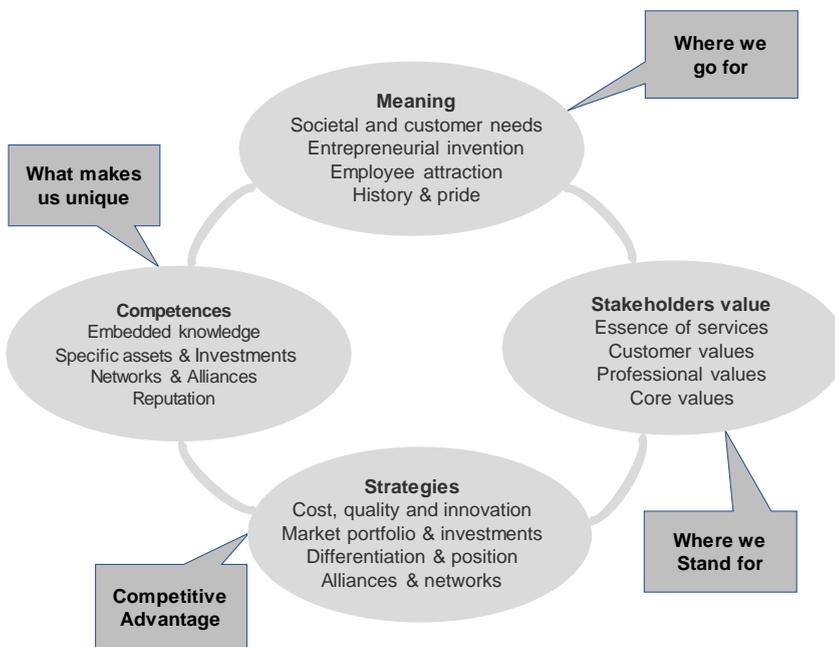
Formulating a vision that an organization upholds and goes for is one way of working on continuity and renewal or innovation at the same time. Innovative enterprises are successful because they are able to create a balance between preserving the core and stimulating renewal (Collins & Porras, 1996). There are two key elements to a vision: a clear identity and an image of the future. The identity is relatively stable, while the business strategy develops continuously subject to the changes in the wishes of customers and the demands from the environment. The competitive strength of businesses in the 21st century will depend mainly on the service level and the attention to experience and using creativity as an ability to make innovations possible in collaboration with other businesses (Van der Heijden, 2005). Businesses, social organizations and authorities have to deal with increasing demands

from the environment and the pressure to perform and to innovate. This quickly raises the question of how a company can preserve its core, be able to distinguish itself, stimulate renewal and innovation.

In this value-driven perspective on culture for innovation, the earlier notions about organizational culture and innovation converge. It concerns the identity of an organization, the values and competencies, the market position, the customer value and the social meaning. In that connection, Van der Heijden (2005) talks about articulating the business idea. In effect, it concerns formulating the business idea of an organization. The business idea involves four connected points of view that together give shape to the creation of value for customers. Figure 1 presents a diagram of the business idea of an organization.

**Figure 1: Business Idea for Innovation**

(Adapted from Van der Heijden, 2005)



Working on the business idea is about how organizations can retain their individual character, put their core qualities into action to realize renewal and make themselves stand out by creating value for their customers. The organizational culture as a specific excuse for change disappears to the background. The key question is how a business wants to position itself and distinguish itself by creating value for customers. If the business tackles this, it involves a change that affects the identity and the meaning of the organization and in which a renewal or innovation of strategy, structure, systems and work processes goes hand in hand with a change of cultural values. In that case it involves a change in which an organization preserves its identity and stimulates and shapes innovations.

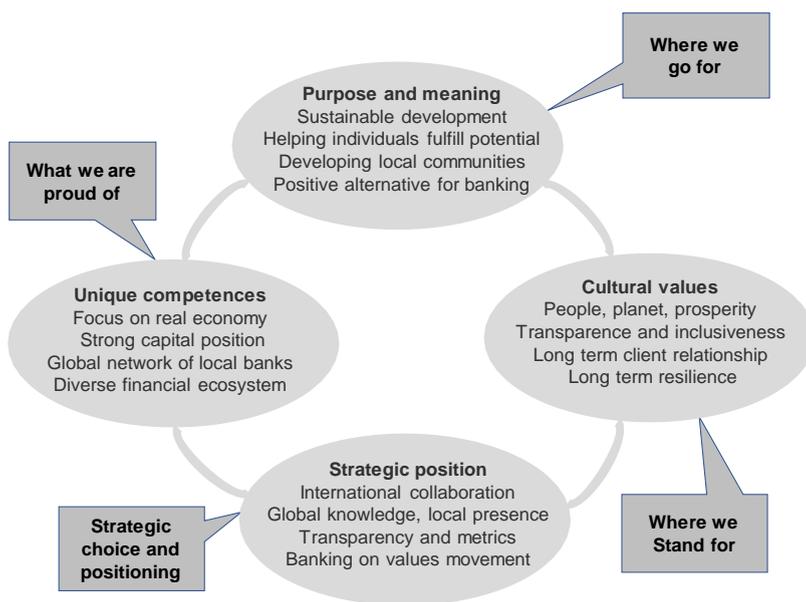
Companies that are successful in strategic and organizational culture for innovation are clear about what they stand by and what they are going for. Not a crisis, but a clear business idea mostly lies at the basis of the success concerning a culture of innovation in the organizations. It is therefore an essential

condition of innovative culture in businesses. At least equally essential is a good customer definition and a clear picture of the customer value that the business wants to deliver. It is clear to all the businesses who their customers are, what the needs of these customers are and how they can be satisfied.

### GABV business idea and guiding principles

The members of the GABV have one purpose in common: a shared mission to use finance to deliver sustainable economic, social and environmental development, with a focus on helping individuals fulfill their potential and build stronger communities. Figure 2 shows GABV’s business idea as a core concept more in-depth and pay special attention to cultural values and guiding principles.

**Figure 2: Business Idea GABV**



### Meaning

The members of the GABV are deeply connected to the people and the communities they serve and are accountable for the risks they both take and create for the people who use their products and services. This focus on inclusion puts basic banking products in service of a greater number of people, rather than highly sophisticated products in the hands of a few. The members are highly aware of the externalities produced by our banking activities by the projects and clients we finance. The GABV members want to ensure that banking is a healthy and productive system of society and develop a positive, viable alternative to the current banking system. Increasingly, people are becoming aware of the interdependence of the real economy, social cohesion and our natural eco-system, something values-based bankers have long understood, and which is at the heart of the business idea. Knowing that people want to support positive change in society, the GABV see it as an opportunity to demonstrate a healthy transformation of the banking sector, contribute to societal solutions, and become reference point for others along the way.

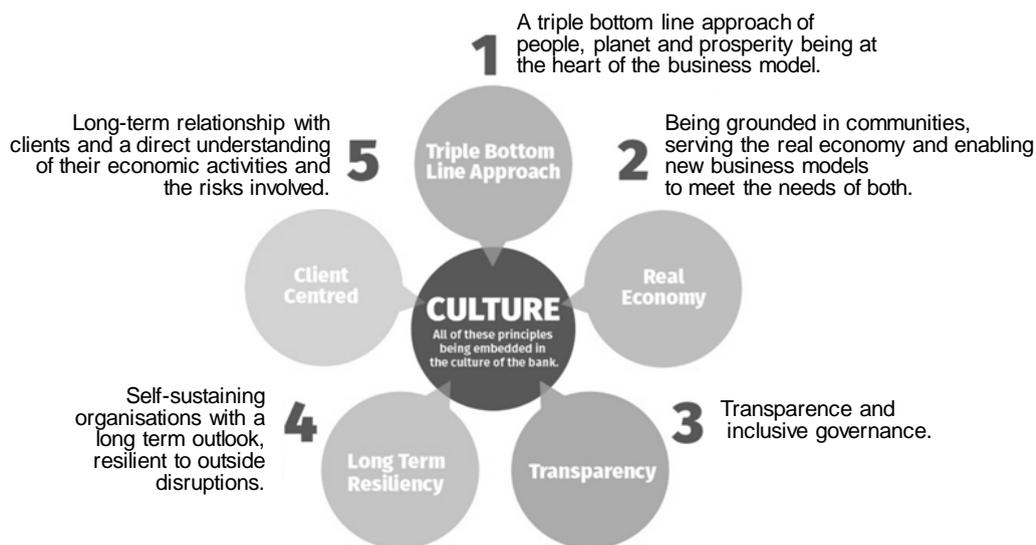
### Uniqueness

The GABV members have a strong belief in the value of the value-based banking model and recent research backs that up, showing that lending to the real economy delivers better financial returns when compared with the largest banks in the world. The GABV has demonstrated through their focus on the real economy, a strong capital positions, and steady financial returns, that the values-based banking model provides a viable and needed alternative, adding strength to a diverse financial ecosystem. Another unique quality of the GABV is their strong global network of banks, which is rooted in the local economy using the strength of collaborative experiences worldwide.

### Values and guiding principles

The glue of the GABV as an innovative alliance lies within their basic values and guiding principles like transparency, long-term resilience, investing in real economy and long-term client relationships. In the alliance local banks are globally collaborating based on shared principles and values. Corporate culture and management transparency are so relevant for the GABV that they have become core elements within six principles that they use to evaluate and promote values-based banking. Figure 3 provides a schematic presentation of the GABV cultural values and principles.

**Figure 3: Cultural Values and Principles GABV**



### Principles

Principle 1 — Triple bottom line approach — Values-based banks integrate this approach by focusing simultaneously on people, planet and prosperity. Products and services are designed and developed to meet the needs of people and safeguard the environment. Generating reasonable profit is recognized as an essential requirement of values-based banking but is not a stand-alone objective. Importantly, values-based banks embrace an intentional approach to triple-bottom-line business, they don't just avoid doing harm, they actively use finance to do good.

Principle 2 — Real economy — Values-based banks serve the communities in which they work, serve the real economy and enable new business models to meet the needs of both. They meet the financial needs of these geographic and sector-based communities by financing enterprises and individuals in productive and sustainable economies.

Principle 3 — Transparent and inclusive governance — Values-based banks maintain a high degree of transparency and inclusiveness in governance and reporting. In this context, inclusiveness means an active relationship with a bank's extended stakeholder community, and not only its shareholders or management.

Principle 4 — Long-term, self-sustaining, and resilient — Values-based banks adopt a long-term perspective to make sure they can maintain their operations and be resilient in the face of external disruptions. At the same time, they recognize that no bank, or its clients, is entirely immune to such disruptions.

Principle 5 — Long-term relationships with clients — Values-based banks establish strong relationships with their clients and are directly involved in understanding and analyzing their economic activities and assisting them to become more values-based themselves. Proper risk analysis is used at product origination so that indirect risk management tools are neither adopted as a substitute for fundamental analysis nor traded for their own sake.

Principle 6 — Principles embedded in culture — In the center of the values is culture because the other values are depending on the attitudes of people and their way of working in the daily financial services offered to customers. Values-based banks seek to embed these principles in the culture of their institutions so that they are routinely used in decision-making at all levels. Recognizing that the process of embedding these values requires deliberate effort, these banks develop human resources policies that reflect their values-based approach (including innovative incentive and evaluation systems for staff) and develop stakeholder-oriented practices to encourage values-based business models. These banks also have specific reporting frameworks to demonstrate their financial and non-financial impact.

## Positioning

The GABV is a growing movement that influences the way people doing business and creating a living. In Latin America GABV members are located in Bolivia, Ecuador, Peru, El Salvador, Paraguay. In our global world international collaboration in alliances is developing very fast. These alliances challenge existing business models based on innovative power rooted in local knowledge and worldwide expertise. As a global alliance the GABV operates both within and outside the banking system. This inspires the GABV to consider all stakeholders as bankers, including their customers. Whether you are a values-based bank or banking cooperative, a banking professional or organization interested in how to create more social, economic and environmental impact, a policy maker or regulator interested in bringing progressive change to the sector, or a member of the banking public, the GABV consider you as part of the growing, global #BankingOnValues movement.

The member banks seek to embed the six principles in the culture of their institutions so that they are routinely used in decision-making at all levels. Recognizing that the process of embedding these values requires deliberate effort, these banks develop human resources policies that reflect their values-based approach and develop stakeholder-oriented practices to encourage sustainable business models. These banks also have specific evaluation systems and reporting frameworks to demonstrate their financial and non-financial impact.

Based on the business idea the GABV can be seen as an innovative financial movement with a strong culture rooted basic values and guiding principles.

#### Organizational culture for innovation

Change in the GABV is a continuous play where bankers worldwide learn from each other's experiences and inspire each other. The concept of play is based on a challenging ambition to create a movement for value-based banking worldwide. Dialogue, learning and development are the used change strategies to grow as a global movement. The banks in the alliance create impact by interplay with entrepreneurs, sustainable businesses, micro finance institutions, customers and non-governmental organizations. Inside the alliance professionals use formats to play and share ideas with the use of communities of practice, learning cycles, regional chapters to exchange local experiments, development of new ideas and exchange of best practices.

At its heart, the GABV is a Chief Executive Officer network providing a unique space for collaboration for leaders who are committed to values-based banking. It also provides learning and development opportunities for senior executives, experts and banking professionals at member banks through their Communities of Practice (CoP). The GABV takes a leading role in the debate about how to build a sustainable financial future by managing joint projects among members, experts and partners to help deliver it and by advocating for change.

The GABV supports banks in the alliance with respect for their local presence. The alliance initiated SFRE, a venture capital fund that offers venture capital for value-based banks globally. It invests in the exchange of local experiments, the development of new ideas and supports learning from useful experiences and best practices. The alliance offers a leadership academy and online lectures and courses for value-based banking. The GABV has created communities of practice to develop knowledge and support. These Communities of Practice play an important role in the life and development of the GABV. They have opened the Alliance to member banks' subject matter experts and professionals, beyond CEOs. There are several communities of practice, for example:

**Governing Board Forum:** to develop powerful insights into the unique approach to governance and leadership required to make values-based banks positive, proactive and profitable agents of social, economic and environmental change.

**Human Development:** to connect HR experts from each bank, build foundational relationships, and facilitate in-depth sharing and open discussion about best practice in values-based banks.

**Impact Metrics:** to play a key role in developing the GABV Scorecard, which has incredible value as a measuring and differentiating tool in assessing the qualitative and quantitative impact of values-based banking.

**Marketing & Communications** to collaborate on the worlds' first #BankingOnValues Day, an internationally coordinated initiative that is helping to build visibility and appetite for the values-based banking movement globally.

**Risk & Control** to work together and exchange knowledge to establish a common view on how to apply risk and control functions within a values-based banking environment by focusing on those

characteristics that make this environment so special and more connected to the values-based singularities.

GABV members meet annually in-person to collaborate at regional levels. They strengthen connections and advance shared agendas to support the growth of the GABV and values-based banking in their geographic areas. The GABV Regional Chapters act as roundtables to provide knowledge and exchange perspective on issues to the larger CEO group, programs and Communities of Practice. Board members responsible for the region provide leadership of each chapter. These chapters are an additional infrastructure for dialogue, learning and developing.

The GABV use impact stories to give meaning to their business idea and support the exchange of good practices. Exploring real-life examples of the communities, organizations and initiatives positively impacted through the products, services and supports of values-based banks by reading the impact stories. Behind every bank in the Alliance there are millions of people and organizations using money to create positive economic, social and environmental impact. These stories share a profoundly different perspective on how banking can and should work. This approach to GABV storytelling was first launched at an exhibition during the GABV Annual Meeting 2013 in Berlin. The exhibition was accompanied with a book, *Change Makers – The Stories Behind the Values-based Banks Transforming the World*.

During the Annual Meeting 2017 in Kathmandu, a deeper approach to storytelling was launched with the publication of the Stories of Systemic Change. The stories can be found at the GABV website, <http://www.gabv.org/the-impact/our-bank-stories>.

The GABV is systemically analyzing data that compares the viability of values-based banking. In collaboration with independent financial institutions comparisons are made between values-based banks with global operating banks and financial institutions. The data builds a business case that proves organizations can make good money by putting money to good.

#### Leadership model for sustainable innovation

Different leadership styles are distinguished in leadership theory (Yukl, 2009). These different styles are summarized in the Figure 4 and related to leaders in organizational culture for innovation.

**Figure 4: Forms of Leadership (adapted from Boonstra, 2013)**

Entrepreneurial	Autocratic	Transactional	Charismatic	Participative	Transforming
Initiating	Goal setting	Goal setting	Impressing	Guiding	Sensing
Communicating	Commanding	Informing	Speaking	Listening	Sensemaking
Engaging	Intimidating	Managing	Building	Evaluating	Vitalizing
Appealing	Reacting	Performing	Achieving	Consulting	Envisioning
Cultivating	Realizing	Stabilizing	Modeling	Delegating	Supporting
	Punishing	Rewarding	Monitoring	Developing	Appreciating

Inspiring	Positioning	Controlling	Expecting	Encouraging	Empowering
Demanding					

Successful organizational culture for innovation in existing companies mainly concerns a combination of transformational and participative leadership. You can roughly say that leaders in cultural change within corporations are found on the right-hand side of the range. Innovation champions are usually charismatic with a high need of achievement that is related to transactional leadership. With starting enterprises, the founders form the culture of their company. They do that from a powerful motive and a clear vision. Starting entrepreneurs are their business and they form the culture that suits them. The transformational and participative leadership styles are mainly suited to get a culture for innovation going for businesses that have been around for longer and have a robust culture. This does not mean that leaders in organizational culture for innovation do not use power. They certainly do, albeit sparingly and not from an autocratic attitude. Power is used to articulate problems, indicate boundaries, break through barriers, change players and make space for renewal or innovation. In crisis situations in particular, top managers take control and say how things are and how they will be. Leaders in organizational culture for innovation do not aim, however, at increasing their own position of power. They do not work according to their position, but transformational, involving others in the cultural development. In essence, they make an effort to increase the ability of the community so it can give shape to its own future on its own and realize sustainable innovations. Innovative leaders initiating a startup have qualities of entrepreneurial leaders who start with an innovative idea. Leaders in innovative culture development in existing companies are charismatic, work transformational, give meaning and are authentic, presenting the following forms of leadership:

**Entrepreneurial leadership** — Entrepreneurs want to start something new, something they believe in. They have a huge drive, a powerful motivation and a high need of achievement. With their dream they appeal others who share this dream and their vision for the future. This attitude makes them charismatic. Entrepreneurs look for people who fit in their dream and are willing to participate and support the initiative. They are founders of the business and create the organizational culture based on their values and drivers. Usually they are inspiring and demanding. Their action mindset is very strong and the strategic and transformational mindsets are well developed. They are able to develop disruptive innovations that may threaten existing businesses. Entrepreneurial leaders experience tensions when the organization is successful and start to grow. In a growing organization there is need for adaptation and coordination which needs another leadership style.

**Transformational leadership** — Transformational leaders have a deep understanding of the fundamental values in our society and of the social and emotional needs of people. They are conscious of their environment and they are socially conscious. Transformational leaders are curious, explorative and have broad interests. They have a learning attitude and know themselves with their strong and their weak sides. They are capable of seeing connections between varying developments and understand what an incidental disruption to a work system is and what symptoms of fundamental change are. They are aware of the values and standards of a social system and recognize when those

rules have to be modified. They listen to others and have the capability of trusting others and building trust. They are inspiring and they know how they have to operate administratively to solve conflicts and realize cultural changes (Kim & Mauborgne, 2005).

**Charismatic leadership** — Meaningful leaders deliberately pay attention to specific cases and events. In crisis situations, they step forward to identify the situation and tackle it. They are explicit about what they believe is important, what they attach value to, and what they definitely do not want. Initiators in cultural change name events, share interpretations and invite others to share their vision. Through this they create space for dialogue and give meaning in that. In these interactions they form the culture of organizations together with others. They also tell stories and inspire others through that.

**Participative leadership** — Participative leaders know what is important inside and outside the organization. They are conscious of their environment, have a social consciousness and are self-conscious. Through sensitivity to what is happening in the environment, they see new possibilities. They know what is happening in the organization and what people allow themselves to be controlled by. This enables them connect to the emotions and ambitions of others and they are able to direct the energy of the people in the organization to the future. They know who they are and they know their own motives. They are accessible and can be approached, ask others what they think, organize honest feedback and are not afraid to make emotions discussable. The leaders also know themselves with their strong and weak characteristics and know when to consult others to overcome their blind spots.

Innovative organizations invest in a leadership style that based on transformational, charismatic and participative leadership qualities. They guide young talents in new leaders by leadership programs, encouragement of new initiatives, trust in delegation, teamwork and collegial support.

### **Management by Sustainable Innovational Values (MBSIV)**

The Management by Sustainable Innovational Values model (Brillo, Dolan, and Kawamura, 2014) is an extension and elaboration of both the Management by Values (Dolan, Garcia, and Richley, 2006) and the Coaching by Values concepts (Dolan, 2011). MBSIV model have been fundamental to address complexity within organizations of the 21<sup>st</sup> century, strengthening organization's capabilities to develop a culture for innovation.

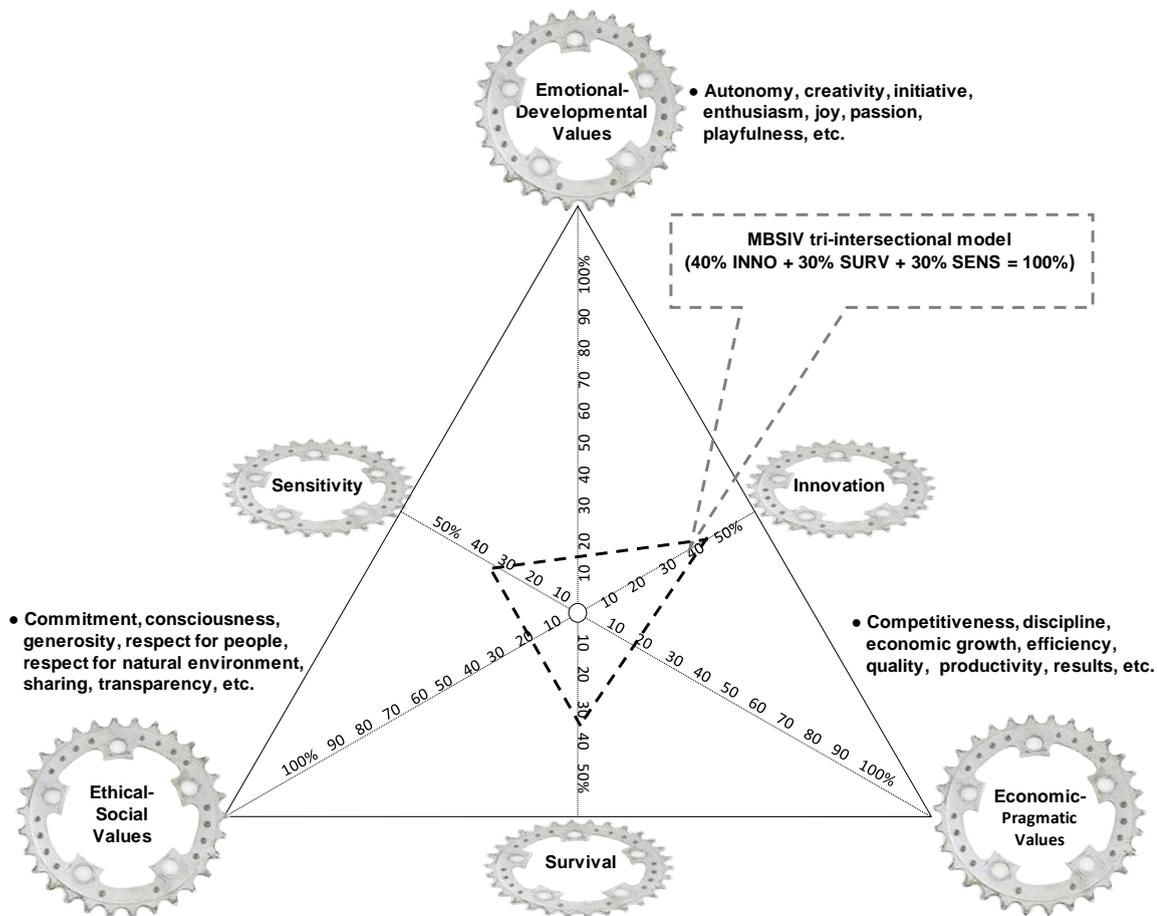
MBSIV is a tri-intersectional model an asymmetrical cultural reengineering tool that may be used as the foundation for developing organization culture (Brillo, Dolan, Kawamura, and Fernandez, 2015). MBSIV suggests that a firm's central values, goals, and strategic objectives be circumscribed within the triangle that is formed by the following three complementary yet orthogonal axes: Economic-Pragmatic, Ethical-Social, and Emotional-Developmental. Economic-Pragmatic values are a set of values related to the criteria of competitiveness, discipline, economic growth, and efficiency, among others. These values guide the planning, quality assurance, and accounting activities in organizations. They are necessary to maintain and unify various organizational subsystems. Ethical-Social values represent the way people behave in groups guided by ethical values shared by members of a particular group. These values come from conventions or beliefs about how people should behave in public, at work and in their relationships; they are associated with values such as commitment, consciousness, generosity, respect for people, etc. These values are manifested by actions more than words. Emotional-Developmental values are essential in creating new opportunities for action. These values are related to intrinsic motivation, which moves people to believe in a cause. Autonomy, creativity,

enthusiasm, joy, passion, and playfulness are some examples of these values. Without these values, people would be unable to make organization commitments or be creative. Therefore, when designing an organizational culture for innovation, it is essential that people are able to do what they do different and best in their jobs.

MBSIV delineates a process for alignment and realignment of the three axes (economic-pragmatic, ethical-social, and emotional-developmental) at their intersection points, which allows leaders to focus on innovation linkage (40%)—intersection between the emotional-development axis and the economic-pragmatic axis—which allows them leading to great innovations, while keeping the sensitivity and survival linkages in an adequate level of 30%. Figure 5 shows the points of intersection between the 3Es: the intersection of the emotional-development axis and the economic-pragmatic axis leads to greater innovation; the economic-pragmatic axis and the social ethical intersection enhances survival (after all, when a big ethical or social scandal arises, the survival of the firm is at stake); and the intersection of the ethical-development axis with the emotional-developmental axis increase sensitivity and makes the company more humane and more socially-responsible.

**Figure 5: Management by Sustainable Innovational Values Model**

(Brillo, Dolan, and Kawamura, 2014)



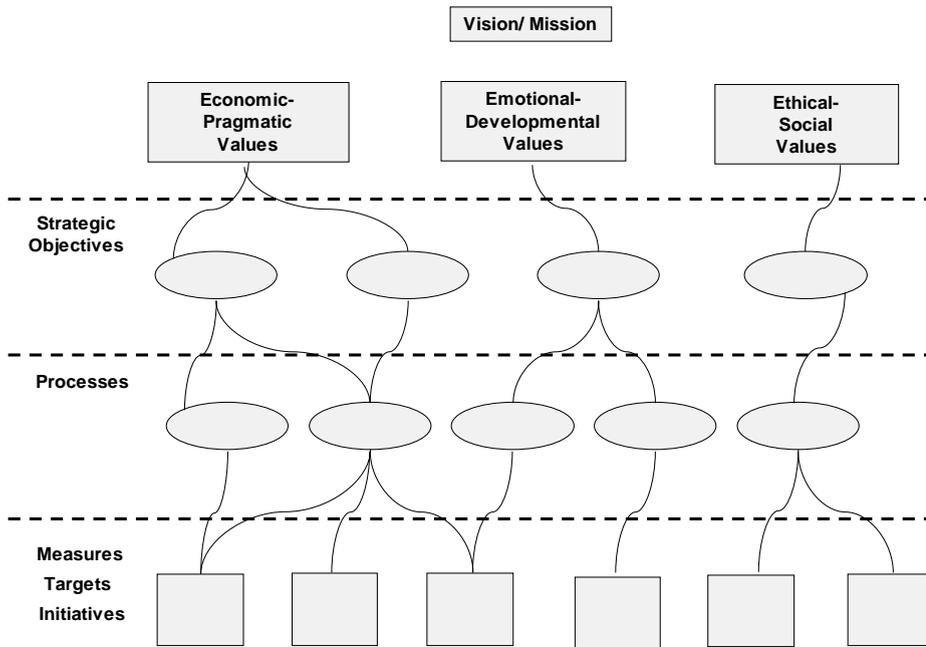
## Values-based Strategy Map

The use of a strategy map templates, customized to organization's particular strategy, describe how intangibles assets drive performance enhancements to the organization's internal processes that have the maximum leverage for delivering value to customers, shareholders, and communities (Kaplan & Norton, 2004). It provides a framework to illustrate how strategy links intangibles assets to value-creating process. The architecture of cause and effect relationship linking the Financial Perspective—the outcomes of the strategy in traditional financial terms—, Customer Perspective—value proposition for the targeted customers, Internal Process Perspective—the critical few process that are expected to have greatest impact on the strategy—, and Learning and Growth Perspective—human, information, and organization capital required to support the value-creating internal process—, define the chain of logic by which intangible assets will be transformed to tangible values, generating sustainable innovation.

The measurement systems of causal models also shows the relationship of high-performance HR values drivers with human capital growth as well as firms high performance outcomes (Urich, Huselid, and Becker, 2001). The essential part of the HR scorecard is the strategy map for the management and measurement of the human capital, representing the company's value chain. The HR scorecard suggests three important things: manage HR as a strategic asset, demonstrate HR's contribution to company's financial success, and its total influence on high sustainable performance. More than a business performance measurement framework in the market place to build a list of measurements that are non-financial, HR scorecard has to tell the story of human capital integrated to the organization's strategy.

The Values-based Strategy Map presented in the Figure 6 provides a visual representation of how companies vision, mission, and values can be integrated. The sustainable innovation best occur when organizational members share a high degree of Economic-Pragmatic/Emotional-Development/Ethical values, when these values are employed within the firm's goals, mission, strategic objectives, processes, measures, targets, initiatives, and are effectively communicated and embedded within the organizational culture.

**Figure 6: Values-Based Strategy Map (Brillo, Dolan and Kawamura, 2016)**



The architecture of cause and effect relationship, customized to organization's particular strategy, linking the Values Perspective (the company's core economic, emotional, social values), Strategic Objectives Perspective (value proposition for the targeted the vision/mission), Processes Perspective (the critical processes that are expected to have greatest impact on the strategy), and Measures, Initiatives, and Targets Perspective (human, information, and organization capital required to support the value-creating processes), define the chain of logic by which intangible assets will be transformed to tangible values, generating better communication and a effective culture for innovation.

### **GABV leadership forms, MBSIV model, and values-based strategic map**

#### **Leadership forms**

Leadership in the GABV is based on charismatic, participative and transformational leadership. Building the alliance as a global movement needs a desirable future perspective. Charismatic leadership creates an appealing and valuable perspective that attracts new banks in the alliance and builds common ground to develop the alliance. This future perspective creates new possibilities to collaborate with knowledge institutes and offers the alliance a visible position in international interest groups like the World Economic Forum. Participative leadership is needed to engage the local banks in the alliance and invite them to share experiences and develop new business concepts. The GABV has an executive director and a support staff that is mainly focused on building the alliance by inviting members to engage in innovative business concepts and communities of practice to exchange these concepts.

Being a manager or professional in a GABV bank is quite a difficult task since it is not about making money but about being reasonably profitable in a people's centered organization in which long term orientation and respect are key values. This means that recruiting and promoting the right executives that combine experiences and technical knowledge with the right values and change capabilities, is one of the toughest challenges in the GABV network. The Communities of Practice and Chapters supports

leaders and professionals to exchange ideas and learn from each other and to take a leading role in value-based banking.

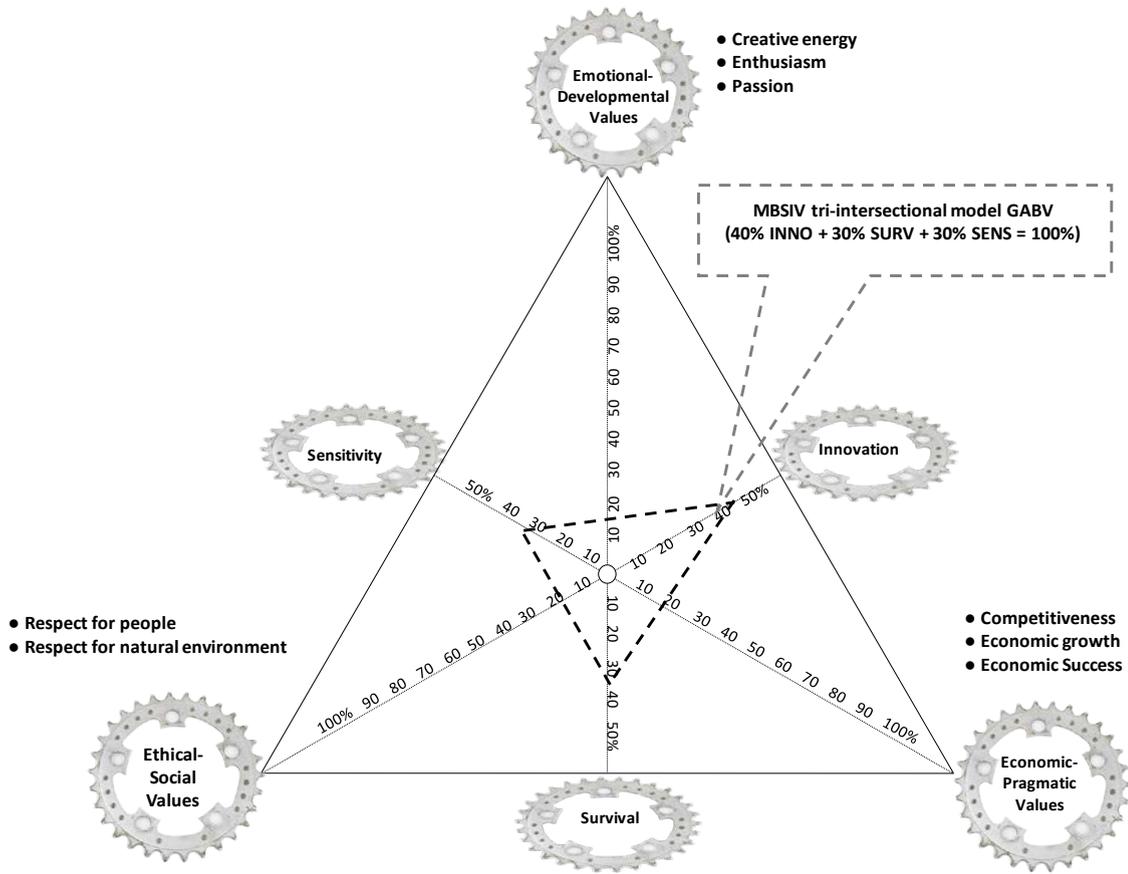
The alliance offers a leadership academy and online courses for value-based banking. The GABV Leadership Academy is designed to help values-based bankers advance their leadership skills and capacity to help their respective banks address the challenges of our time. Over a period of 8 months, participants in the Academy convene for three, in-person modules, and participate in coaching sessions and projects between the modules. The curriculum of the GABV Leadership Academy includes: Introduction into values-based banking, Purpose and mission of GABV; Values-based Banking Models, Social Entrepreneurship, Client relationships in values-based banking Digitalization, FinTech & values, The Role of Art for Social Change, Role of Money in Society, Introduction into core concepts and tools on leadership, Theory U and Presencing, Economic Systems and Theory, From Ego-to Eco-System Economies Solo in nature, Your leadership intention Prototyping, Engagement with GABV CEOs, Models of Dialogue and Listening.

From the subjects above and the learning design it is clear that the learning process is based on several layers: developing and advancing own leadership capacity in the context of values-based banking, learning about and exploring a wide variety of values-based banking models, supporting financial and non-financial innovations, developing personal and cultural skills, practicing innovation techniques and initiating individual change projects and exploring societal challenges and innovative solutions to address them.

### **MBSIV Model**

Figure 7 shows the MBSIV model extracting the values from the GABV's principles and describes an alignment of the three axes: economic-pragmatic values—competitiveness, economic growth and economic success—, ethical-social values—respect of people, respect of natural environment—, emotional-developmental values—creative energy, enthusiasm and passion— at their intersection points, which allows GABV's leaders to focus on innovation linkage (40%)—intersection between the emotional-development axis and the economic-pragmatic axis—which allows them leading to sustainable innovations, while keeping the sensitivity and survival linkages in an adequate level of 30% increases sensitivity and makes the organization socially and environmental responsible.

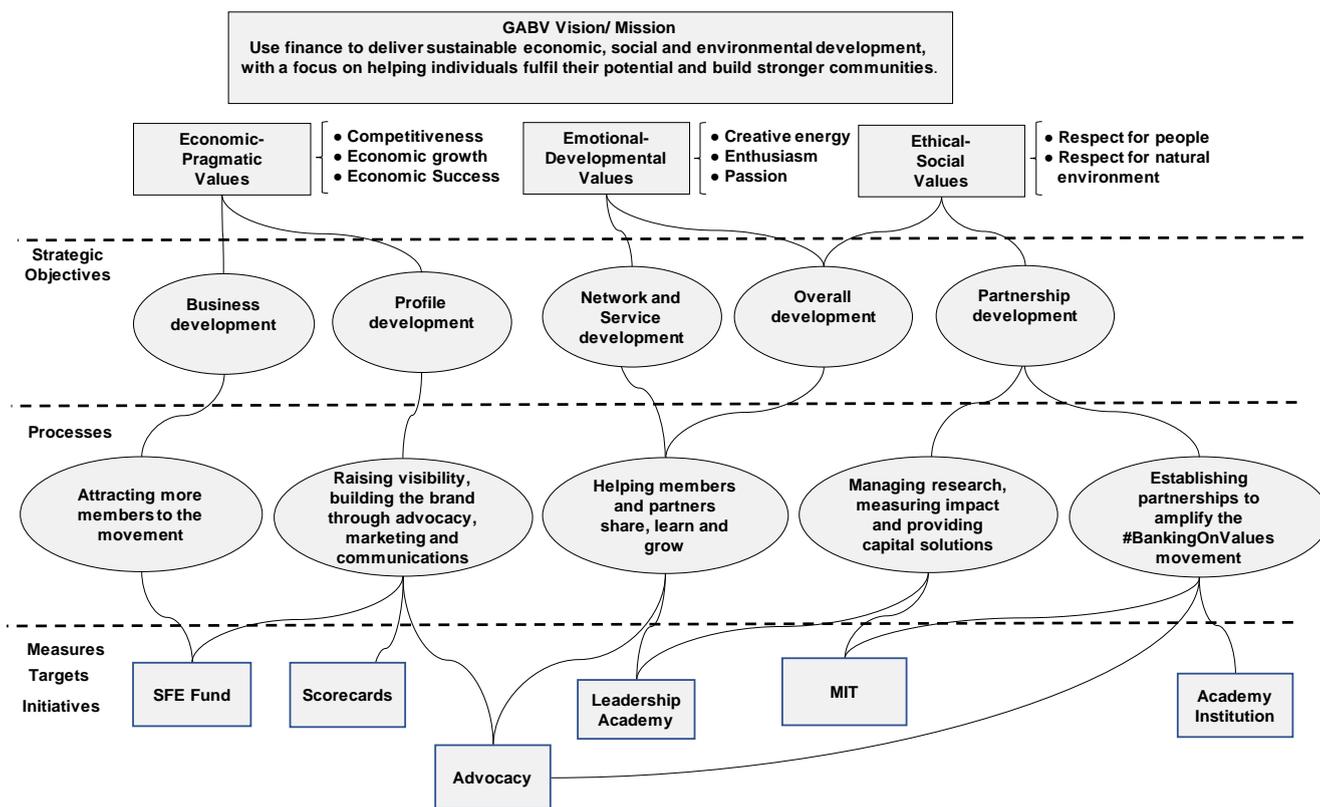
### **Figure 7: GABV's Management by Sustainable Innovational Values Model**



### Values-Based Strategy Map

The Values-Based Strategy Map in the GABV presented in the Figure 8 shows an architecture of cause and effect relationship linking the Organization vision, mission, values, processes and measure/targets/initiatives.

**Figure 8: GABV’s Values-Based Strategy Map**



### Strategic Objective: Business Development

Business Development grow membership and membership categories, while remaining credible, diverse and regionally representative. The GABV will also monitor and support members in expanding the quality and quantity of the economic, social, and environmental impact they support.

Process: Attracting more members to the movement

Full Members: Expanding to 60-75 members by 2020 with sufficient representation from different continents, serving 70-100 million customers, and including mission-aligned banking-related holding companies (considered on a case-by-case basis).

Supporting Partners: Developing a new category for those banks in transition to a values-based approach, based on compliance with the Principles of Sustainable Banking and Scorecard ratings.

### Strategic Objective: Profile Developmen

Profile Development establish the GABV as ‘the’ reference point for values-based banking through a clearly defined: point of view (based on content developed around the banking model of member banks and their impact); key relationships; strategic partnerships; and public profile opportunities.

Process: raising visibility, building the brand through advocacy, marketing and communications

Advocacy and engagement: Providing an alternative point of view to the current banking system and its role in society; Advocate for change to the banking system; Influence change in policy and regulation; Become a well-known and highly regarded vibrant network of banks and supporters influencing policymakers and regulators to develop a healthier banking system through trusted relationships with leading global actors e.g. World Bank and Asian Development Bank; Design

Communities of Practice (CofP) as key forums for sharing, innovation and expertise within the Alliance to advance values-based banking.

Communication and marketing: Developing a new category for those banks in transition to a values-based approach, based on compliance with the Principles of Sustainable Banking and Scorecard ratings; Build the values-based banking movement: internally within the Alliance and its co-workers, and externally with GABV partners and the interested public, by using earned, paid, owned and social media; Implementation of a channel management strategy for web, social media, events, and publications; the roll-out of a corporate identity refresh and guidelines to support co-branding with members and partners. The development of a media relations strategy. A next phase in the life of the GABV Marketing & Communications CofP.

### **Strategic Objective: Profile Development**

Partnership Development help the GABV build relationship and collaborations with more external stakeholders in a more structured way. This in turn will build initiatives, innovations, and amplify the #BankingOnValues movement and the global GABV brand. In 2016 a new category of membership has been introduced to formally support this commitment

#### **Process: establishing partnerships to amplify the #BankingOnValues movement**

Support Partners: Academic Institutions or Independent Research Agencies provide an alternative point of view to the current banking system; Networks in different fields whose core values are similar to those of the GABV; Development banks and other multilateral institutions; Consulting organisations and private companies whose core values are similar to those of the Alliance; Be supported in research and content generation activities; Better help banks transitioning to the values-based approach; Amplify the experience and impact of Alliance members through other networks and alliances, not necessarily only in the banking field; Better identify and approach other values-based banks or transitioning banks in different parts of the world.

### **Strategic Objective: Network and Service Development**

Network and Service Development focus on building the capacity of the GABV as a movement and as a network organisation, positioning the Alliance to transition from start-up to growth phase, and readying the GABV for a renewed focus on member/business development

#### **Process: helping members share, learn and grow**

Service development: helping the Alliance improve operationally the day-to-day management of activities through administrative, infrastructure and process supports; Enhance the operational management of the Secretariat and Board of Directors, focusing on process mapping and procedural improvements; Implement an office management system, develop solutions, build processes, and implement improvements related to service providers, pipeline and query management, team

management, Executive Director support, financial management and administration; Implement IT and infrastructure solutions to ensure efficient and cost-effective operations; Support the development of the CofPs for peer-to-peer exchange and use the forums to engage academic institutions for research purposes and in support of advocacy efforts; Grow additional GABV Regional Chapters where local issues and positions are addressed.

Network: providing support for GABV members to connect, collaborate and create more impact; Inspiring GABV co-workers: Reminding them that they are part of something greater, something that can change the world, and how their passion and professionalism is fundamental; Being better values-based bankers by networking, sharing and learning from each other, and reflecting on work in an international context; Advancing the field of values-based banking by educating GABV members on the movement, the innovations, and the potential; Integrating performance plans for GABV co-workers relating to participating and supporting values-based banking activities; Inter-member secondments and fellowships; GABV-member secondments; Graduate three classes of the GABV Leadership Academy; Co-design the first open source online international training programme and offer it every year as a Massive Open Online Course (MOOC).

### **Strategic Objective: Overall Development**

Overall Development focus on engagement through impact measurement and the development of a business case for values-based banking through: research and proof points; the Scorecard; and the creation of a knowledge-sharing platform to support CofPs, hubs and the growth of the values-based banking movement.

Process: managing research, measuring impact and providing capital solutions

Overall development: Conducting annual research updates including new members, issues, and data; Launching a reasonably independent Scorecard for assessing banks relative to values-based banking and as a self-assessment tool for Executive Boards; Publishing annual results of Scorecards by all GABV members, SFRE Fund investees and other banks; Periodically publishing or cooperating in the publication of research papers or GABV position papers with a values-based focus; Creating a knowledge-sharing platform for GABV Member Banks, Partner Banks and Supporting Partners.

### **Measures, Targets, and Initiatives**

Over the years the Alliance has evolved from an incubator of ideals, concepts, initiatives, connections and partnerships, to a generator of sector and system positions, collaborations, operational alliances, and policy influencers. For example:

SFRE Fund, initiated by the GABV, is already a spin-off;

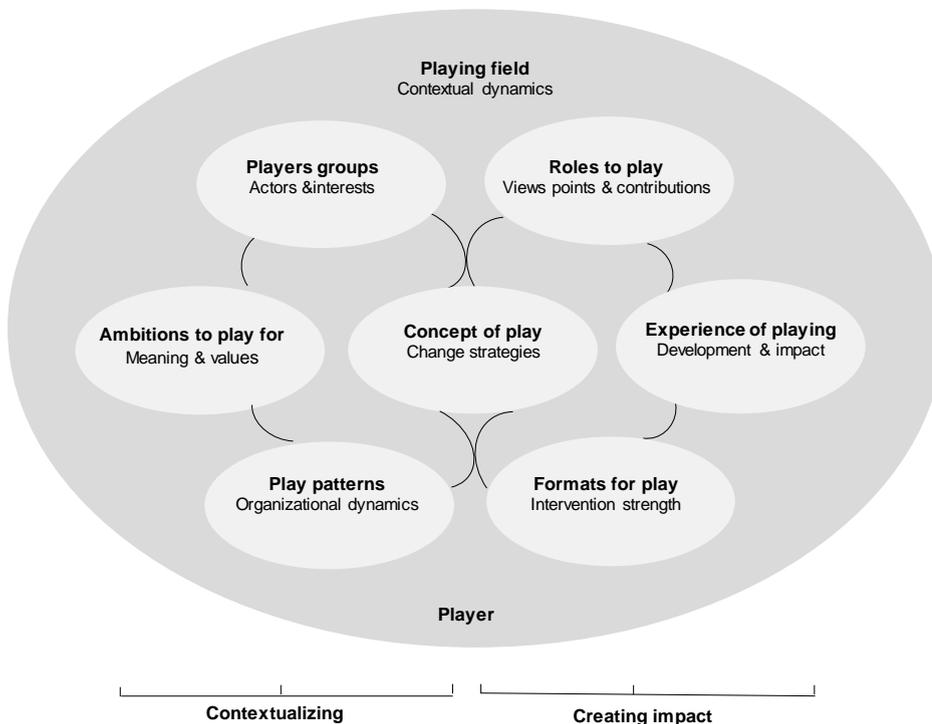
Advocacy is growing from a local and regional perspective to national and international action; The Scorecard will launch network-wide in 2016 with the potential to become an industry standard; The Leadership Academy evolved from a Values Ambassador Community of Practice to an independent professionally accredited values-based banking leadership development program; The Massachusetts

Institute of Technology Massive Open Online Courses, developed with input from the GABV, will change how banking professionals, policy makers, and the interested public view the possibilities for a different kind of banking system.

### Cultural change model for sustainable innovation

Cultural change for innovation in organizations is not a goal in itself but is for the strategy and future of the business. This means that there is a continual dialogue with all parties involved about achieving cultural change for innovation. The best chance for successful change comes from giving meaning and value to the company, and to what the company wants to mean for customers and for society. Successful leadership in organizational change for innovation is connected with passion and a vision of the future and not with a formal position in the company. Everyone can play a role in successful change. Innovation champions bring people together with an inspirational vision and moving their organization to meet the future. Changes in organizations are mostly approached as a planned or programmed effort (Kotter, 2012). Concerning cultural change for innovation this planned approach is not fruitful. Innovation is like a journey through an unknown territory. It is a dynamic and continuous process that can't be planned (Boonstra, 2004). Figure 9 shows the metaphor for change as a playing game showed in may help to convene this ongoing process.

**Figure 9: Organizational Change as Playing Game**



On the *playing field* the essence is to explore the world, inquire what is going on and understand the dynamics that effects the organization as a collaborative effort of people who create meaning and

contribute to customer value. In our global world with so many stakeholders and possible innovation partners it is needed to map the *player groups* in and around the organization that may foster or hinder innovations. The *ambition to play for* is based on the meaning and the values of the organization and related to the business idea of the organization. Exploring *play patterns* may help to understand organizational cultures and visible and concealed dynamics between players within the organization. Understanding play patterns help to realize changes in existing patterns and create space for renewal or innovation of the way we do things around here. The perspectives on the playing field, the players, the ambitions and the game patterns offer a solid ground to develop the *concept of play* and to select a combination of change strategies that fits to context and situation. Choosing and combining change strategies is one of the most complex decisions to realize cultural change for innovation. In the *roles to play* players are enrolled and organized to contribute to the change process and make innovation possible. Recognizing people who need to be involved and creating co-creation between them support an innovative climate. *Formats to play* are about actions plans and interventions that engage people and support the change process. Choosing and applying interventions are helpful in several steps in innovation from exploration to final business. The final game element is *experience of playing*, which is linked to feelings and emotions during the changes and successes of the change process.

### Cultural change strategy for innovation

There is no single best way of changing organizations. Every time, it involves making conscious decisions about how to set up the concept of play by choosing and combining change strategies. Change starts with standing still. This not only means finding out the reason for the change and understanding the dynamics between the elements in the upstream and feelings and emotions in the undertow, but also thinking through a suitable change approach. Theories about organizational change have described a number of strategies for change (Boonstra, 2004). In the Figure 10 these theories are used for describing six approaches for strategic and cultural change in uncertain situations.

**Figure 10: Approaches for Cultural Change in Organizations**

(Adapted from Boonstra, 2013)

Power and coercive change strategy	Negotiating and compromising change strategy	Rational and planned change strategy	Motivating and development change strategy	Learning and step-by-step change strategy	Dialogue and transformational change strategy
Forcing	Exchanging	Pushing	Developing	Learning	Discovering
Steering by top	Multiple actors	Initiated by top	Transformative	Active & reflective	Active & interactive
Goal oriented	Result oriented	Solution oriented	Problem oriented	Transition oriented	Future oriented
Position power	Position power	Expert power	Informal power	Seductive power	Visioning power
Input controllers	Different coalitions	Input experts	Input employees	Input learning teams	Collaboration
Linear process	Iterative process	Linear process	Iterative process	Cyclic process	Cyclic process
Pressure	Negotiation	Rational persuasion	Participation	Action learning	Dialoguing
Telling & selling			Guiding &		

	Compromising	Convincing	coaching	Facilitation	Mutual interaction
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In the power-coercive strategy, top managers create urgency from the threats from the environment to get people into action. The idea is that people are cautious and only want to change under external pressure. From this perspective conflicts and resistance to change are unavoidable and have to be overcome through the use of power. Top managers determine the goals and delegate the implementation to middle managers. Controllers monitor whether goals are reached and top managers intervene if that is not the case. Desired behavior is rewarded and behavior that is not appropriate to the new values and standards is punished.

The negotiating and compromising strategy concerns parties with different interests and wishes who need each other to realize their wishes. The idea is that people focus mainly on their own interest but that they take others into consideration if there is a need to collaborate. Personal interest motivates people to change if that serves their own interests. This strategy is about making force fields visible, articulating one's own advantage and exchanging interests to establish a solution.

In the rational and planned strategy, the basic idea is that people will always choose the most logical solution. The task is to convince people what the best solution is. After the environment is analyzed, management develops a business strategy together with experts. They formulate objectives and implement changes. Experts and advisors have an important role in the problem analysis and the formulation of the desired situation. In the planned approach, managers sometimes use large-scale cultural programs whose aim is to change the behavior of people in the organization.

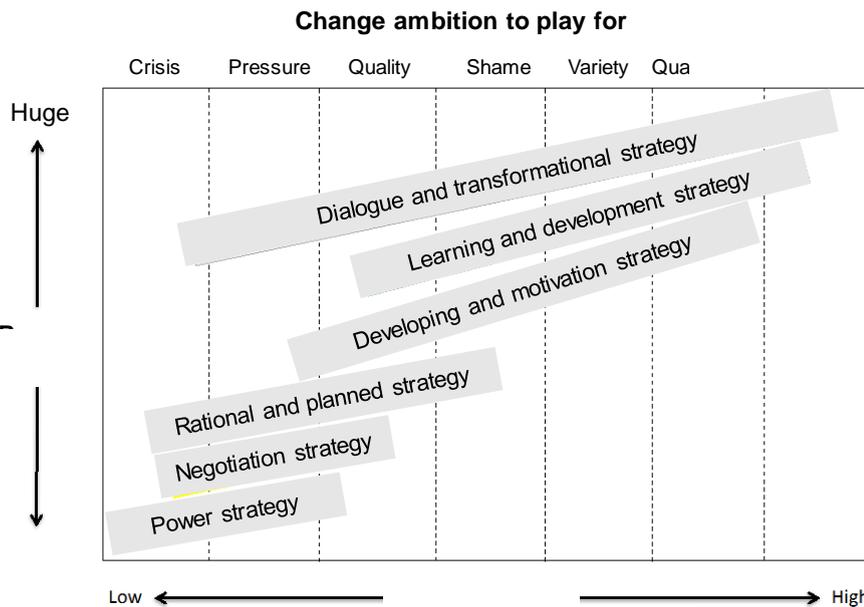
The idea in the development and motivating strategy is that people have enough possibilities within themselves to change as long as there is a good director who can get the best out of them. Creating a safe context and offering clear structures reduces uncertainty and forms a foundation for change. The problem-solving capabilities of the people involved are appealed to in the change process. Usually, the change is initiated and supported by top management. In this change strategy, people who are directly involved work together in the organization to realize the desired change.

The idea behind the learning and development strategy is that people act on the basis of assumptions, emotions, feelings and almost unconscious patterns. Making people aware of these assumptions and patterns and making it possible to discuss the feelings create space for learning processes in which people change their behavior. The underlying idea is that learning is about mental clearing of limiting beliefs and the creation of new images of reality. Organizations that work successfully on strategic and cultural change almost always pay attention to opening basic assumptions and obstructive patterns up for discussion.

In the dialogue and transformational strategy, people exchange perspectives on organizing, changing and innovating. They experiment and get innovations going that go beyond their own organization. The idea behind this strategy is that reality is not objective but is anchored in the minds and hearts of people. If this view of reality is linked with a future ideal, energy is created and people get moving. It concerns multiple examinations of problems, exposing interpretations and stimulating interactions to produce a number of possibilities for solutions. Meanings and basic assumptions become visible and joint alternative actions are initiated which lead to a process of discovering new futures and destinies.

One of the most complicated tasks for people who are engaged in organizational change is to develop the concept of play to be successful in change processes. It is a balancing act between three related views on the context and change ambitions, room to play and the engagement of people needed to effect change. Figure 11 shows these views.

**Figure 11: Views to Choose and Combine Change Strategies**



The first step in choosing and combining change strategies is to consider the dynamics on the playing field and define the ambitions to play for in this change process. The second step is to estimate the room to play and time pressure. The third step is to consider the importance of the engagement of internal players. In crisis situations and pressure from the environment there is little room to play. Time is limited and compliance of employees is enough to go forward. In this situation a power and planned strategy might be suitable to stabilize the situation and realize changes that contribute to survival. In a need for quality improvement a rational and planned change strategy is useful to improve quality systems while a motivation strategy is useful to get people involved in the change process. Professional shame is an important source of energy for renewal or innovation of existing relationships and work practices. Feelings like “never again” and “this is not what we want” can contribute in going down new paths. The change gains shape because people want to make a difference on the basis of their own engagement. A change approach based on motivation, learning and development allows space for innovative experiments and that takes the time to share experiences and learn from them. Organizations that proactive want to qualify for the future or focus on innovations have room to play and the engagement of internal players usually is easy to evoke. In this situation learning, development and dialogue is a good combination of change strategies.

**Cultural change mindsets for sustainable innovation**

Successful leaders in organizational change for innovation work on change and innovation from a position of commitment and personal motives. We point out seven fundamental mindsets of success people involved in cultural changes for sustainable innovation:

Strategic mindset — Cultural change is playing with meanings. When situations are uncertain, people look for information and meaning to be able to interpret the situation. The meaning gives color to the situation and direction to behavior (Weick, 2001). If the continued existence of a company is at stake, this calls up uncertainty that can sometimes have a paralyzing effect. People who take the initiative in those cases, interpret the situation and show the direction, offer a new perspective on the existing situation and the future. That is how they inspire others to join them on that course, realize the new future, and is about people who make the difference in uncertain situations and who are capable of imagining the future.

Environmental awareness is essential for innovative leaders to be aware of their environment (Drucker, 2004). Changes in the environment can be a reason why things cannot continue the way they are. Changing customer needs, internationalization, increasing competition and technological innovations can encroach deeply on the work processes and patterns of cooperation. This puts the existing culture under pressure and creates possibilities for innovation. Recognizing necessity of change is often a first step in changing strategy, structure and culture to realize renewal. Threats from the environment are not always at the root of cultural change. Own ambitions to qualify for the future can also be a motive for cultural change. Then too, an awareness of the environment is necessary: What is happening in the environment, what do the customers want, what are the rivals doing, what opportunities does new technology offer the company, with whom can innovative networks be built? Fundamental changes can be initiated by necessity or by one's own ambition. An awareness of the environment is essential to have meaning for the customers, to see new possibilities and use them, and to see in due time when the continued existence of the enterprise is under pressure. An awareness of the environment is also needed for maintaining contacts with external parties that influence the functioning of the enterprise.

Political mindset — Many stakeholders are active in and around organizations. Shareholders are important for the financial continuity and loyal customers are essential for stability and sustainability of business organizations. Competitors, new entrants and substitutes may threaten existing business models and challenge innovations. Politicians and their political advisors influence business by expressing their opinion and developing new laws and rules. Government committees influence the room to play, set barriers and offer licenses to operate. Unions and interest groups articulate their stake and influence the reputation and operation of an organization. Opinion makers and traditional media shed light on the impact of organizations on society and frame the value of an organization. Customers and pressure groups use social media to share enthusiasm about services, express frustration and accuse organizations for unethical behavior. To qualify a business for the future it is essential to inquire the stakeholders that influence the existence of the organization. Internal player groups contribute to more dynamics inside the organization.

In a turbulent environment employees and professionals may become uncertain and demand a clear vision for the future. Innovators may propose new business models, while middle managers act as the guardians on the existing culture and want to focus on stability. Strategists may search for new markets, while employees look for shelter in a competitive market. Non-executive board members and members of the supervisory board may ask for clear answers and results, while executive directors don't have these answers in an unpredictable environment. Mapping the uncertainty, needs and interest of the internal player groups help to grasp political and emotional dynamics between groups inside the organization (Mintzberg, 1983).

Transformational mindset — Leaders in cultural change foster innovations by formulating a challenging vision and are able to motivate others with it. In order to achieve cultural change, they form vital coalitions of people who want to play a leading role in that vision and create innovative teams that challenge existing business concepts (Quinn, 1996). Transformational leaders visualize the future (Tichy & Devanna, 1986). This vision reflects the meaning of the organization makes clear what the organization stands by and goes for. The strength of the business is also visible from the vision. A motivating vision appeals to the need of people to be able to be proud of their work and describes the meaning of the organization for its customers and society.

A vision is based on values that have meshed and helps people to give meaning to their membership of the organization. Managers and employees are almost always involved in developing the vision. Only if the business is in a crisis situation and speed is required will it be the leaders who formulate the vision themselves with a few confidants. A clear picture of what the organization wants to achieve helps employees to understand what the meaning, goal and priorities are in the business. A vision gives meaning to the work, contributes to a positive self-awareness, stimulates togetherness and appeals to deeper human values. It is not enough just to articulate an attractive vision. It is also about the conviction that the vision is attainable. This conviction is easier if the vision has clear points of application that are relevant to the shared values of the people in the organization (Hardy, 2006). In new businesses, it is the entrepreneur and founder who formulates the vision and looks for people to make that vision possible. In that case, it is reasonably simple to formulate a vision. In existing and mature organizations with long histories basic assumptions and underlying values are often implicit and unconscious. The skill in developing a new vision is to take these underlying values into consideration. That is why in mature organizations the vision almost always comes about in a participative process that involves people from the business. This helps people to understand the new vision and support it actively (Yukl, 2009).

Appreciative mindset — Leaders in cultural change for innovation are aware of the past and acknowledge the contributions of their predecessors. They know how to value others for what they contribute to the company. They involve others in a cultural change to participate, they give space for emotions and they are honest in telling what the change means for the people in the company. Initiators in cultural change for innovation build on trust and appreciate difference because differences can be a source of renewal or innovation. Innovative leaders appreciate difference, build on trust and use conflicts to open a dialogue about the cultural values in the company (Whitney, Tristen-Bloom, and Rader, 2010).

Valuing the best there is starts with the belief that every organization, and every person in that organization, has positive aspects that can be built upon. Questions such as “What’s working well?”, “What’s good about what you are doing right now?” are posed. When all members of an organization are motivated to understand and value the most favorable features of its culture, it can make rapid improvements. This way of thinking is related to Appreciative Inquiry. Appreciative inquiry attempts to use ways of asking questions and envisioning the future in order to foster positive relationships and build on the present potential of a given person, organization or situation. The basic idea is to build organizations around what works, rather than trying to fix what doesn’t work. This way of leadership starts a process into an organization to examine the potential for creativity, innovation and change. After identifying processes that work well and envisioning processes that would work well in the future, the development of new processes is planned and prioritized, followed by the implementation

of the new processes. This reinforces positive strengths, brings people together around attractive futures and creates meanings by sharing stories of successes (Cooperrider, Whitney, Stavros and Fry, 2008).

**Experiential mindset** —This mindset is about the ways people learn in cultural change and innovation and the role of the leader in this learning process. It is about experimenting with renewal, making results visible, accepting and learning from mistakes and sharing rich experiences. In every organization, people learn from critical events and mistakes. These learning experiences form the culture because in these kinds of situations people in the organization learn how they have to deal with unexpected events. These experiences become embedded in the ‘way we do things around here’. Leaders can stimulate learning processes in organizations and thus contribute to the formation of a learning attitude which can contribute to strategic renewal or innovation. The idea behind this is that people in learning organizations are curious and willing to experiment. Experimenting and learning means that people from different backgrounds are prepared to share their knowledge and welcome each other’s success.

Peter Senge argues for systems thinking to promote experimentation and learning in organizations (Senge, 1994). Systems thinking is based on building shared vision, reflecting on mental models, team learning and personal mastery. Building shared vision fosters a commitment to the long term. Mental models focus on the openness needed to unearth shortcomings in our present ways of seeing the world. Team learning develops the skills of groups of people to look for the larger picture beyond individual perspectives. And personal mastery fosters the personal motivation to continually learn how our actions affect our world. For leaders, the art is in recognizing the five disciplines and working with them to bring about an open culture and a learning organization.

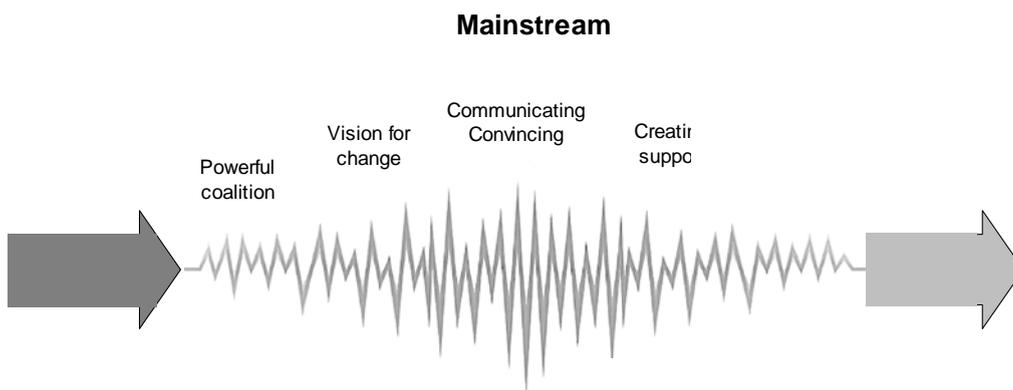
**Action mindset** — Innovation without active implementation is a daydream. Implementation without a strategic view on innovation is a nightmare. Leaders in cultural changes and innovations have an action orientation as well. They want to achieve results and are committed to realize deep changes (Drucker, 2004). People who take the initiative to change their organization will find that there are many interventions available. Interventions are the tools on an exciting journey and the activities that are needed to realize an ambition. The art is in arriving at a consistent combination of interventions and developing an action plan that match the reason for the change and the overarching change strategy to realize renewal or innovation.

All kinds of tools and activities are available in this process while the change is taking place. The skill is in having a vision of the reason and the nature of the change. Interventions are embedded in the chosen change approach. It is also relevant to have a perception of the different actors and roles in the change process. The nature of the change, the change approach and the actors affect the choice of possible interventions. Successive interventions must connect to each other so that they form a logical whole to maximize the effectiveness of a set of interventions become efficient when there is a clear focus on necessary interventions and organizational resources such as time, effort and money are taken into consideration. Communicating about the change strategy and the interventions, making the progress visible and celebrating successes provide support to the cultural change and the chosen change strategy and intervention mix (Caluwé & Vermaak, 2002).

Reflective mindset — Leaders in cultural change for innovation are aware of developments in the surroundings and they know what is happening in the organization. They know themselves and study others in depth. They use this awareness to direct the energy of the people in the organization and realize innovation (Goleman, 2009). During cultural change for innovation tensions are obvious and part of the game. Curiosity helps to discover unwritten rules of the game and the underlying dynamics that guide behavior. Deep change puts the existing values, habits and forms of conduct under pressure, and tensions and conflicts can arise from this.

Conflicts and tensions can be a creative source of renewal or innovation of deeper values. Barriers can come from negative experiences with previous change processes, a lack of confidence in management, insufficient belief that the intended change is attainable or from defense of the existing organizational strategy and culture that offers a certain degree of security. Organizational change usually focuses on the visible elements in a planned process. This mainstream perspective is not enough in an uncertain context when innovations question existing practices. The mainstream perspective neglects the tensions and emotions in the undercurrent. To be successful in strategic and cultural change the visible mainstream activities and undercurrent feelings and emotions has to be taken seriously both. Figure 10 illustrates the upstream and undertow in the process of culture change for innovation.

**Figure 12: Upstream and Undertow in Culture Change for Innovation**



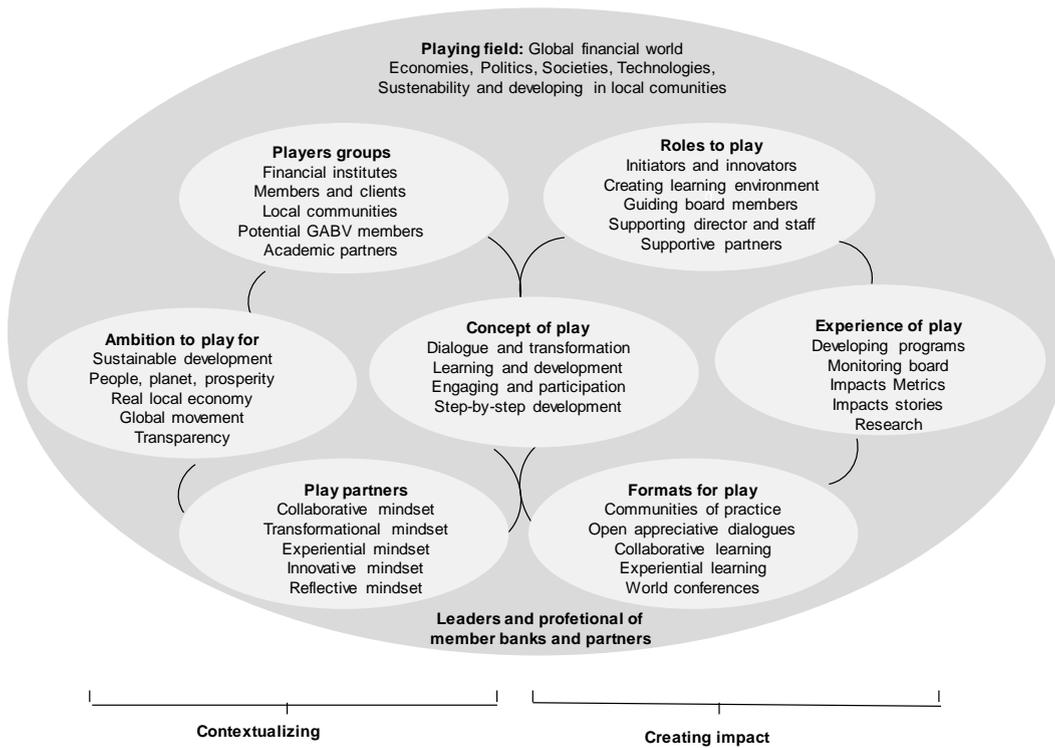
Dedicated attention to the feelings and emotions in the undertow reveals that uncertainties and emotions can be discussed and that there is a willingness to learn from earlier experiences. Making it possible to discuss obstacles or barriers can help in clearing them out and creates trust in the mutual relationships. Implicit presuppositions that reflect the current culture come to the fore. It is precisely this that makes it possible to enter into a dialogue about the difference between the existing culture and the desired culture.

**Play model for GABV**

The GABV is at the forefront of a quiet revolution in banking based on an innovative business idea and innovative practices grounded on a change strategy of engaging people, open dialogues and a cycle of experimentation, reflecting, exchanging and learning. To conclude this example, we use the

concept of change as play as a summarization and as an illustration how change as play might be used in organizations. Figure 13 shows the play model for GABV.

**Figure 13: Play Model for GABV as a Global Innovative Movement**



The elements of the play model of GABV a Global Innovative Movement are:

**Playing field — Contextual dynamics —** The banking sector is embedded in the broader political, economic, social and technological context. For the GABV sustainability and environmental development is an additional perspective. The service of banks is internationalized to a global level with huge financial conglomerates that may affect economic and social life as we have seen in the worldwide financial crisis. The GABV wants to influence the dynamics in the banking sector and advance a positive change and innovation in financial services.

**Players groups — Actors and interests —** The GABV is aware of many financial institutions and regulators that influence their services, including The World Bank, European Banking Authority, OECD, IFM, United Nations and the World Economic Forum. More than other banks she is aware of the needs of local communities and transparent what they contribute to sustainable business in these communities. The GABV is building alliances between banks that share the same values. It also invests in collaboration with knowledge institutes and fair-trade organization and invites them to become partner in the innovative movement they envision. Examples of these partners are the Aga Khan Agency for Microfinance, MIT CoLab, B Lab, Oikocredit, FMO, SME Finance Forum and CEMS as a global alliance of academics and corporate institutions to prepare a future generation of international business leaders.

Ambition to play for — Meaning and values — The ambition to play is very clear with a common purpose to use finance to deliver sustainable economic, social and environmental development. The members want to advocate values-based banking as a viable and positive alternative to the current banking system. With this unique position in the financial world, strong core values and six guiding principles the members in the GABV and the professionals in the banks know where it go for and stand for.

Play patterns — Organizational dynamics — The play patterns are related to “how we do things around here”. One of the basic assumptions is that every financial service has to be embedded in the real economy and servicing the local community. For every member bank this value could result a different way of working because the banks are part of the local community, their own history and national cultures. The strong focus on transparency is reflected in the internal way of working as well. The emphasis on development is visible in the internal dynamics of development and learning from and with each other. Dedicated attention to cultural values and supportive Human Resources practices contribute to organizational dynamics based on engagement with freedom for professional to contribute to innovation in values-based banking.

Concept of play — Change strategies — The concept of play is very clear in the conscious choice for dialogue, learning and development as an overarching combination of change strategies to grow the global alliance and build a worldwide community to offer a positive alternative for current banking. A long-term perspective is dominant in the business concept and in the change process itself. The change is a step-by-step process based on small initiatives, experimentation, reflection and learning during the change. The room to play and to experiment is huge. The engagement of leaders and professionals is high by the challenging business idea and the freedom for professionals to contribute to a better world.

Roles to play — Viewpoints and contributions — Every employee is member of the community and free to present new ideas and take initiatives for innovation as long they are in accordance with the guiding principles. The executive director of the GABV and his staff plays a special role in the development of the GABV. They are supportive to the member banks by creating Communities of Practice that support the exchange of good practices. They encourage members and partners to contribute to the #Bankingonvalues movement. Chapter leaders play a role in bringing regional leaders together in roundtable dialogues to address specific issues and envision futures of value-based banking. High potentials and future leaders are engaged in an intensive development and learning program that helps to create the future of value-based banking.

Formats for play — Intervention strength — The interventions used by the GABV are in accordance with the change strategy of dialogue, learning and developing. Examples are the Region Chapters, the Communities of Practices, the GABV academy, the impact metrics and all kind of tools to support new member banks in their development. The tools include communication tools, tools to build communities of practice and conference tools. All these tools help to collaborate, engage, inspire and report on value-based banking. A specific intervention is the open dialogue and collaboration with partners that are invited in the alliance for innovation, research, education and scientific reflection.

Experience of playing — Development and impact — A governing board of directors monitors the development of the GABV as an alliance and a movement. The board has a regional structure with the chair selected on a global basis. The GABV annual member meeting exchange future perspectives,

discuss strategic priorities and support the development of the GABV. Scorecards are used to assess the qualitative and quantitative impact of member banks in their sectors and regions. The Scorecard is a metrics tool developed the GABV and partners to measure banking impact. It is designed as the world's first banking solution for qualitatively and quantitatively measuring the adoption of the principles of values-based banking by any bank. Impact stories support the exchange of value-based practices and contribute to the visibility of the movement and their progression in global impact.

### **Conclusion**

Working on a clear business idea for sustainable innovation is about how organizations can retain their individual character, put their core qualities into action to realize renewal or innovation and make themselves stand out by creating value for their customers. The key question is how a business wants to position itself and distinguish itself by creating value for customers. If the business tackles this, it involves a change that affects the identity and the meaning of the organization and in which a renewal or innovation of strategy, structure, systems and work processes goes hand in hand with a change of organization's cultural values, preserves its identity and stimulates and shapes innovations. Equally essential is a good customer definition and a clear picture of the customer value that the business wants to deliver and how customers can be satisfied.

Participative leaders know what is important inside and outside the organization. Through their sensitivity to what is happening in the environment, they see new possibilities. This enables them connect to the emotions and ambitions of others and they are able to direct the energy of the people in the organization to the future. They consult others in their decision making and stimulate collaboration in innovative initiatives. Charismatic leaders deliberately pay attention to specific cases and events. They are explicit about what they believe is important, what they attach value to, and what they definitely do not want. Moreover, they name events, share interpretations inviting others to share their vision, create space for dialogue and in that space, they give meaning, sketch an attractive picture of the future, tell stories and inspire others with them to participate. Transformational leaders have a deep understanding of the fundamental values in our society and of the social and emotional needs of people. They are curious, explorative, have broad interests, have a learning attitude and know what they are like, with their strong and their weak sides and sense when something is an incidental disruption of a work system and when something is symptomatic of fundamental change. They are also aware of the values and standards of a social system and recognize when those rules have to be modified to create space for innovation. The Management by Sustainable Innovational Values (MBSIV) and the Values-Based Strategy Map may be used for incorporating values in the company's strategic goals and mission statement as well as strategic objectives, processes, measures, targets and initiatives, and then assessing the extent to which they are shared by organizational members to develop sustainable innovations.

Cultural changes for innovations are not just a matter for top managers and directors. The initiative can be taken from any role and any position. Often it is the managers, professionals and employees who take the initiative to change the culture from a sincere feeling that things have to be different and can be different. Assuming leadership in change means being engaged in change. Leaders in cultural change for innovation give meaning to the course of events by interpreting unclear or special events. They concentrate more on possibilities than on threats or problems. They know what the organization stands by and what it goes for, and they know what affects people. They are role models to others and

they do what they say. They make cultural values explicit and work on making these values concrete in behavior, specially to develop strategic, political, transformational, appreciative, experimental, action, and reflexive mindsets, as well as critical capabilities to engage people in deep successfully organizational culture changes for renewal or innovation.

Innovative leaders actively involve other members of the organization and external interested parties in the articulation of a meaningful, attractive and feasible vision of the future. Trust and space from these leaders motivate others to get to work on a new vision in their own working environment and invite people to experiment with renewal or innovation. They indicate boundaries, are clear in what they do not want, form vital coalitions to give shape to changes, are willing to change players if this makes the transformation easier, stay optimistic, show progress and make successes visible.

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# **Diversity and Inclusion Leadership: A Correlative Study of Authentic and Transformational Leadership Styles of CEOs and their Relationship to Gender Diversity and Organizational Inclusiveness in Fortune 1000 Companies**

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## **Abstract**

The objective of this quantitative study was to explore the relationship between authentic and transformational leadership styles and gender diversity in top management teams and inclusive work environments. The study examines a select group of Chief Executive Officers (CEOs) from Fortune 1000 companies and measures the degree to which their scores on measures of authentic and transformational leadership correlate with gender diversity and inclusion in their organizations. The results show a positive but marginally significant relationship between authentic and transformational leadership styles and gender diversity as measured by the composition of the companies' top management teams. However, they show a strong significant relationship between authentic and transformational styles and inclusive work environments. An alternative model of leadership is also proposed

## **Introduction**

Intuitively, we understand harnessing the full potential of an organization will contribute to its success and research continues to demonstrate the benefits of creating a diverse and inclusive work environments. Many organizations and their leaders have employed myriad diversity programs and initiatives to improve the diversity and inclusion within their organizations. While the growth of these programs continues, the resulting impacts have been slow to realize.

Many organizations struggle to fully engage their employees and management in order to achieve the desired results, while a select group of companies are able to successfully build diverse teams and create inclusive cultures and work environments. These organizations have been able to increase the diverse representation in their top management teams (TMTs) have been recognized as creating desirable work environments that are inclusive and effective. TMTs play a significant role in the strategic direction and ultimate success of companies. Further studies suggest that elements of the TMT's heterogeneity are associated with the ability to better comprehend and change corporate strategy (Bromiley, 2005; Wiersema & Bantel, 1992).

Diversity in its simplest form is understood in terms of representation and inclusion as ensuring such representation is valued. Diversity and inclusion needs to be viewed as a business and social opportunity. Effective workplace strategies are critical to ensuring that organizations are not only protected against discrimination claims but are more productive and innovative through fully utilizing all of its talent (Dobbin & Kelly, 2006).

Many diversity studies have been conducted showing positive correlations between diversity and organizational performance, specifically gender diversity (Soares & Combopiano, 2013; Frink, Robinson, Reithel, Arthur, Ammeter, Ferris, Kaplan & Morrisette, 2003; Galinsky, Todd, Homan, Phillips, Apfelbaum, Sasaki, Richeson, Olason, & Maddux, 2015; Mattis, 2001). Although difficult and at times uncomfortable, the work of diverse groups creates greater innovation and creativity than homogeneous groups (Phillips & Lount, 2007). Similarly, studies show "radically diverse workforces

in conjunction with high levels of innovation can provide firms with a competitive advantage” (Richard, McMillan, Chadwick, & Dwyer, 2003, p. 121).

The basic research question addressed in this study is: what is the relationship between CEOs’ authentic and transformational leadership styles and the advancement of gender diversity and inclusive work environments in Fortune 1000 companies?

### Literature Review

Authentic leadership has been a growing area of study. Following the Luthans and Avolio seminal work in 2003 defining authentic leaders as confident, hopeful, optimistic, resilient, transparent, moral, ethical, future oriented, and giving priority to developing associates into leaders themselves, Avolio, Gardner, Walumbwa, Luthans, and May (2004) expanded their definition. For the authors, authentic leaders were defined as those who know who they are and the context in which they operate. In addition to being perceived by others as being personally aware of their own strengths, knowledge, values, and moral perspectives, they are also aware of these elements in others (Avolio et al., 2004). Ultimately, the four noted and measured components of authentic leadership emerge as self-awareness, internalized moral perspective, balanced processing, and relational transparency.

**Table 1. Summary of the Four Dimensions of Authentic Leadership**

<b>Dimension</b>	<b>Definition</b>
Self-Awareness	The ability of the leader to be cognizant of his or her beliefs, behaviors, strengths and limitations, and to understand how they are perceived by others.
Relational Transparency	The ability of the leader to reveal their authentic self and to encourage reciprocal behaviors thereby providing an environment where others can be forthcoming with their ideas, perspectives, and challenges.
Internalized Moral Perspective	The ability of the leader to self-regulate through a moral and ethical lens and to similarly establish a high standard for moral and ethical behaviors and conduct of others.
Balanced Processing	The ability of the leader to objectively seek, process and analyze all relevant data, opinions and perspectives in advance of making important decisions.

*Source:* Adapted from Walumbwa et al., 2008

When we consider change, we fundamentally think of the transformational process that is necessary in order for the change to take hold. Correspondingly, we may also recognize the need to have positive and progressive change that is more lasting and less episodic and addresses exceptional performance.

A transformational leader, however, is able to motivate their individual followers through the creation of a shared vision and raising their awareness of the value of achieving the goal or vision (Burns 1978). These leaders are genuinely concerned with improving and raising the level of performance of their followers and developing them to their fullest individual potential (Bass, 1985). This engagement by the leader of their followers, enables the follower to attain higher levels of performance and motivation, thereby achieving greater results. Additionally, Judge and Piccolo (2004) note that researchers have demonstrated that transformational leadership is effective for improving organizational commitment and success.

**Table 2. Summary of the Four Dimensions of Transformational Leadership**

<b>Dimension</b>	<b>Definition</b>
Idealized Influence	The ability of the leader to model desired behaviors, demonstrate integrity and their interest in others over self, thereby building trust amongst their followers, allowing them to serve as role models.

<b>Dimension</b>	<b>Definition</b>
Inspirational Motivation	The ability of the leader to encourage and inspire their followers to high levels of performance and a sense of purpose through effective engaging communication of the vision and goals.
Intellectual Stimulation	The ability of the leader to take risks, challenge old assumptions, and to be creative while fostering similar behaviors and creativity amongst their followers.
Individual Consideration	The ability of the leader to understand the needs and concerns of their individual followers and serve as an advocate for their personal development, thereby promoting followers as transformational leaders themselves.

*Source:* Adapted from Bass, 1985; Bass & Riggio, 2006.

In large corporate organizations, it is increasingly challenging for the leader, particularly the CEO, to ensure that there is clarity of messages and goals. The ability to convey a personal perspective is critically important and may increase the effectiveness of the message. Stories can also more vividly transmit the values and expected behaviors that are important to an organization (Conger, 1991). The use of storytelling can be an opportunity to achieve the goal of effective communication within the organization. Consequently, storytelling must be operationalized within a leadership construct that demonstrates the authenticity and trust of the leader.

### **Methodology**

This study employs a quantitative methodology and approach utilizing a non-experimental correlational research design to examine the covariant relationship between elements of authentic and transformational leadership and diverse management teams to explore the relationship between leadership style and gender diversity and inclusion in the workplace. The study specifically examines a select group of CEOs from Fortune 1000 companies and measures the degree to which their scores on measures of authentic and transformational leadership correlate with gender diversity on their TMTs and inclusion in their organizations as measured by the frequency to which the CEO places diversity as an agenda item for executive meetings and the frequency to which he or she uses storytelling as a means to communicate the importance of diversity.

The study utilized a confidential survey instrument, limited to chief diversity officers (CDOs) or other senior human resource executives of publicly traded companies or similar organizations who assessed the organizations' CEO. The authentic leadership style was measured by the Authentic Leadership Questionnaire (ALQ), (Walumbwa et al., 2008). Transformational leadership style was measured by select portions of the Multifactor Leadership Questionnaire (MLQ) (Avolio & Bass, 2004), herein referred to as MLQt which excludes the individualized consideration sub-dimension given its redundancy to the definition of diversity and inclusion.

The study's four general hypotheses were:

Hypothesis 1: There is a significant relationship between CEO authentic leadership scores and gender diversity in their top managements teams, as measured by the relative composition of the individuals who directly report to the CEO and their respective direct reports.

Hypothesis 2: There is a significant relationship between CEO transformational leadership scores and gender diversity in their top management teams, as measured by the relative composition of the individuals who directly report to the CEO and their respective direct reports.

Hypothesis 3: There is a significant relationship between CEO authentic leadership scores and the organizational inclusiveness, as measured by the frequency to which diversity is placed on executive team meeting agendas and the frequency to which storytelling is utilized to convey the importance of diversity.

Hypothesis 4: There is a significant relationship between CEO transformational leadership scores and organizational inclusiveness, as measured by the frequency to which diversity is placed on executive team meeting agendas and the frequency to which storytelling is utilized to convey the importance of diversity.

### Results

Hypothesis 1 predicted a significant relationship between CEO authentic leadership styles and gender diversity in the TMTs. **Table 3** shows that higher levels of CEO overall authentic leadership and its four sub-dimensions were generally positively related to higher levels of gender diversity in TMTs. While not reaching statistical significance, these results suggest that CEOs high in overall authentic leadership and in each of the sub-dimensions of authentic leadership are more likely to have gender diversity on their top management teams than those who are low in authentic leadership and its sub-dimensions.

However, of the four sub-dimensions of authentic leadership, relational transparency and internalized moral perspective are the most strongly associated with gender diversity in TMTs. This suggests that while all the sub-dimensions may be baseline competencies for promoting gender diversity, the ability of leaders to reveal their authentic selves and to encourage others to do the same (relational transparency) and the ability of leaders to establish high standards of moral and ethical behavior for themselves and for others (internalized moral perspective) may accelerate movement toward gender diversity by creating environments in which members of TMTs can be forthcoming with their ideas, perspectives, and challenges (a result of relational transparency) and in which the high moral and ethical standards for equity, fairness, and excellence are established and reinforced as the norm (a result of internalized moral perspective).

**Table 3. Correlation of Authentic Leadership and TMT Composition**

	ALQ Total	ALQ Relational Transparency	ALQ Moral Perspective	ALQ Balanced Processing	ALQ Self Awareness
Overall TMT Diversity	.26	.29*	.28*	.19	.16
% Female Direct Reports	.20	.23	.32*	.14	.05
% Female Direct Reports Two Levels Below CEO	.23	.24	.12	.19	.24

\**p.* <.05

The overall patterns in this correlative analysis can be seen as generally supportive of the first hypothesis. Basically, the correlations are all in the predicted direction. And while the overall ALQ score does not correlate strongly with most of the diversity measures, two of the subscale scores did correlate significantly with selected measures of diversity, relational transparency and moral perspective.

Hypothesis 2 predicted a significant relationship between CEO transformational leadership and diversity of the organizations top management teams. Once again, the initial examination of the data was accomplished by simply calculating the bivariate correlations between the measures of interest. **Table 4** below presents the correlations.

**Table 4. Correlation of Transformational Leadership and TMT Composition**

	MLQt	MLQ Intellectual Stimulation	MLQ Inspirational Motivation	MLQ Idealized Influence
Overall TMT Diversity	.22	.08	.26	.22
% Female Direct Reports	.12	-.10	.18	.26
% Female Direct Reports Two Levels Below CEO	.26*	.28	.25	.09

\**p.* < .05

Overall, this correlative analysis provided, at best, very marginal support for hypothesis 2.

As it relates to transformational leadership and gender diversity in TMTs, the results also show that higher levels of CEO overall transformational leadership were generally positively related to higher levels of gender diversity in TMTs. While not reaching statistical significance, these results suggest that CEOs high in overall transformational leadership are more likely to be associated with gender diversity in their top management teams than those who are low in overall transformational leadership.

However, of the three sub-dimensions of transformational leadership, only inspirational motivation was related to higher levels of gender diversity in a significant way. This suggests that while all the sub-dimensions may be baseline competencies for promoting gender diversity, the ability of leaders to effectively communicate the vision and goals of diversity and inclusion (inspirational motivation) may accelerate movement toward gender diversity by providing a sense of purpose and encouraging and inspiring followers to achieve higher levels of performance around gender equity (a result of inspirational motivation).

Hypothesis 3 predicted a positive relationship between authentic leadership style and organizational inclusiveness. Two separate dependent variable measures were used to assess organizational inclusiveness. The first measure relates to prioritization of diversity as an agenda item for executive team meetings. The second measure relates to the CEO communication through personal storytelling. The independent variable was the authentic leadership style as measured by the ALQ. **Table 5** presents the correlations between the measures of organizational inclusion with both the total ALQ scores and the scores on the subscales.

**Table 5. Correlation of Authentic Leadership and Organizational Inclusion**

	ALQ Total	ALQ Transparency	ALQ Moral Perspective	ALQ Balanced Processing	ALQ Self Awareness
Diversity & Inclusion on Agenda	.44*	.28	.48*	.33*	.43*
Overall Storytelling	.26	.21	.15	.13	.34*
Storytelling to Enhance	.47*	.40*	.34*	.47*	.43*

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Inclusion

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\* $p. < .05$

The results show that higher levels of CEO overall authentic leadership and its four sub-dimensions were significantly related to higher levels of organizational inclusiveness. These results suggest that CEOs high in overall authentic leadership and in each of the sub-dimensions of authentic leadership are more likely to be associated with organizational inclusiveness than those who are low in authentic leadership and its sub-dimensions.

However, of the four sub-dimensions of authentic leadership, internalized moral perspective and self-awareness are the most strongly associated with organizational inclusiveness which suggests that while all the sub-dimensions may be baseline competencies for promoting organizational inclusiveness, the ability of leaders to establish high standards of moral and ethical behavior for themselves and for others (internalized moral perspective) and the ability of leaders to be cognizant of their beliefs, behaviors, strengths, and limitations (self-awareness) may accelerate movement toward organizational inclusiveness by helping people understand diversity and inclusion a moral imperative as well as a performance imperative (a result of internalized moral perspective) and by engaging in behaviors such as agenda setting and personal storytelling that allow others to see the leaders' commitment and action around organizational inclusiveness (a result of self-awareness).

Hypothesis 4 predicted a significant relationship between transformational leadership and inclusive organizations. Identical to the third hypothesis, two separate measures were used to assess organizational inclusiveness. The first measure relates to prioritization of diversity as an agenda item for executive team meetings. The second measure relates to the CEO communication through personal storytelling.

The initial examination of the data was accomplished by simply calculating the bivariate correlations between the measures of interest. **Table 6** below presents the correlations between the measures of organizational inclusiveness with the total MLQ scores and the scores on the subscales.

**Table 6. Correlation of Transformational Leadership and Organizational Inclusiveness**

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	<b>MLQ Total</b>	<b>MLQ Intellectual Stimulation</b>	<b>MLQ Inspirational Motivational</b>	<b>MLQ Idealized Influence</b>
Diversity and Inclusion on Agenda	.45*	.47*	.17	.34
Overall Storytelling	.42*	.39*	.31	.27
Storytelling to Enhance Inclusion	.51*	.43*	.30*	.43*

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\* $p. < .05$

The data displayed in the table above reveals a pattern of strong associations between the measures of inclusiveness and the MLQ data. All three measures of inclusiveness show strong positive correlations with the total MLQ scores. The same is true for the MLQ Intellectual Stimulation factor. These results suggest that CEOs high in overall transformational leadership, idealized influence, and intellectual stimulation are more likely to be associated with organizational inclusiveness than those who are low in these measures.

## Discussion

Overall results are generally supportive of each of the relationships between transformational and authentic leadership styles and the diversity and inclusion within the participant organizations. Although not consistently statistically significant across all areas, this study does point to the potential that exists in terms of considering effective approaches to advancing diversity and organizational inclusiveness.

The findings suggest that both authentic and transformational CEOs place a greater emphasis on building inclusive environments through frequent inclusion of diversity and inclusion matters on executive committee agendas and the use of storytelling to convey the significance of diversity and inclusion. The results also suggest that certain sub-dimensions of authentic and transformational leadership may play a larger role in building inclusive organizations.

Taking the results of this study, new alternative models of leadership for diversity and inclusion are proposed. The following attempts to conceptualize and construct a new leadership model that builds upon previous theory and reflects the results of this study (Fig. 1). Both overall authentic and transformational leadership, each separate and distinct leadership constructs, demonstrated foundational support for the hypotheses regarding gender diversity and organizational inclusiveness. However, certain respective sub-dimensions of each demonstrated even stronger levels of support for each measurement than others. This dynamic influences the proposition that additional attention or focus by the leader on developing and exhibiting certain sub-dimensions or elements of authentic or transformational leadership may have the potential to further accelerate results for gender diversity and organizational inclusiveness.

This core of this proposed model reflects the foundational competencies of leadership necessary for building a diverse and inclusive environment. Additionally this model recognizes the need to have an inclusive organization in order for diversity to thrive. As a result, there are accelerants that may be utilized to further build the inclusive culture and organizational diversity.

This proposed framework is also predicated on the need to have established accountability measurements and rewards, which are essential to a functioning organization and embedding and transmitting culture (Schein, 2010). The establishment of clear measurements and accountability components reflect the contingent reward aspects of transactional leadership whereby followers understand their role and the goal or task as well as the associated reward for accomplishing the goal (Bass, 1985). Therefore, in advancing diversity and inclusion within an organization, it is incumbent upon the leader to not only effectively communicate and engage their followers but to also establish clear metrics and rewards systems. A number of studies have demonstrated the positive effects of transactional leadership and contingent rewards on followers' performance (Hamstra, Van Yperen, Wisse, & Sassenberg, 2014).

**Figure 1. The DIA Leadership Model: General Framework**



Given the dynamic and fluid nature of organizational diversity and the criticality of engagement by all constituents, this model also recognizes the importance and ability of the leader to effectively, continually, and consistently communicate. In the proposed DIA model, the leader demonstrates the significance of diversity and inclusion within and to the organization through the conveyance of individual congruency and relevancy as evidenced by personal storytelling. Effective communication through storytelling has is a potent mechanism to convey desired values and behaviors (Conger, 1991). Additionally, storytelling serves as a cultural reinforcement mechanism for the organization (Schein, 2010).

It is envisioned that this proposed model possesses the potential to have a profound impact on the follower outcomes and in this case, building a more diverse and inclusive environment.

### Conclusion

This study provides empirical evidence that authentic and transformational leadership positively relates to organizational diversity and inclusion and therefore represents an opportunity to positively impact the area of leadership practice and future research. The findings of this study will be able to better assist boards and human resources executives to better assess and align leadership development and succession planning with authentic and transformational leadership attributes and further utilize storytelling as a communication strategy in order drive greater diversity and inclusion. Further research should be expanded to address the dimension of time and variability relative to the progression of diversity and inclusion leadership.

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# **Good Leader: A Theory of Virtues-based Leadership**

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## **Abstract**

A question is posed regarding the theory of leadership that would optimally promote human flourishing. The answer is sought in the ontological foundations underlying moral philosophy and their implications regarding the nature of self, soul, and the universe in which we search for answers to fundamental questions. A brief historical survey of moral philosophy elucidates classical notions of a transcendent “Good,” teleological human nature, the soul, self, and the Natural Law, followed by the elimination of human nature in the post-modern materialism most notably that of Nietzsche. A comparison of values with virtues is elucidated, and the latter is offered as more applicable to leadership aimed at human flourishing.

## **Introduction**

In 2002, the Center for a New America Dream commissioned a poll of children ages five to seventeen, asking the question “what do you want that money can’t buy?” The responses revealed they wanted love, respect, more free time, more contact with their parents and extended family, more contact with nature, and a more peaceful world. These are all captured in five-year-old Lydia’s simple response to the question: “A happy heart.” (Taylor, B., 2003, p.3)

All of us know that Lydia’s idea of a happy heart has little to do with cardiac or other biometric measurements. What she’s describing is not wellness of heart, but a sense of wellbeing that renders happiness felt deep within. It is the happiness of the soul that Aristotle defined as the purpose, or telos, of human beings. To see human beings as “teleological” is to embrace the notion that we are wired to flourish; to seek a happy heart. Except for sociopaths, each of us wakes up each day innately desiring to be the best version of ourselves. And although a consumerism society beckons us to fixate on individual bodily and cognitive gratification, we nonetheless feel the pull toward a happy heart and thirst for whatever will bring us to our telos.

What kind of leadership is most effectually promotes and achieves human wellbeing?” I suggest a return to classical moral philosophy and the associated virtues is the optimal approach.

### **The Classical Teleological Worldview**

Whitehead (1978) stated, “The safest general characterization of the European philosophical tradition is that it consists of a series of footnotes to Plato.” (p. 39). Plato’s philosophy, informed by his teacher Socrates, disagreed with that of the father of materialists, Democritus (c.460–370 BCE) who posited the original “atomic theory” as an account of reality in which irreducibly small particles comprise the universe. In *Timaeus*, Plato avers an account of the formation of the universe in response to the question, “What is that which always is and has no becoming, and what is that which becomes but never is” (28a)? Plato answers that existence is the result of a magnanimous, purposive Craftsman.

“The universe exists and manifests goodness because it is the handiwork of a supremely good, ungrudging Craftsman, who brought order to an initially disorderly state of affairs” (Zeyl, 2013). As Plato put it almost four-hundred years BCE, “the world is the product of a Mind which sets everything in order and produces each individual thing in the way that is best for it” (Plato, 2012). The classical worldview first took root in the teleological idea that the world is an ordered, purposeful, and, ultimately, intelligible place.

Plato’s most famous student, Aristotle, deconstructed his Forms, so rather than being separate entities from their imperfect reflections, they are actually within the material object, and the composites of form and matter are the real substance of things.

Form and matter are inseparable. The form of a thing is its core essence, which gives each thing its intrinsic nature and ensures that it unfolds at it should to realize its nature. And since knowing a thing’s nature is to understand what it should be at its best, each thing’s form is key to understanding its telos, the end, or form of excellence, at which it aims. (Hill, 2016, Chapter 2, section Naturalizing Teleology: Aristotle, para. 5. Emphasis added)

Thus, the locus of reality for us is our substance, which has a nature and telos all its own. The concept of self, so essential to moral philosophy, is given structure in Aristotle’s teleological account of human substance. We commonly refer to this substance as the “soul.”

After Aristotle’s death in 322 BCE, Zeno (335–264 BCE) founded the final philosophical tradition of the classical era (Durant, 1939). He instituted a school of philosophy in Athens in a colonnade portico described by the Greek word *stoa*. The “Stoics” shared the belief with Plato that ultimate knowledge was that of conceptions of divine Good (Zeller, 1892, p. 84). Stoicism incorporated Heraclitus’ Logos, identifying it as the rational principle that permeates the physical universe (Copleston, 1950; Curd, 2016).

The Logos is providence, God’s will, as it is expressed in the physical laws of Nature and in a universal and unchanging moral law. The Stoics called this overarching set of laws—both the physical laws of science and the moral law that guides men—the Natural Law. (Hill, 2016, Chapter 2, section The Stoics: The Origins of the Natural Law, para. 5)

Humankind partakes of this principle that orders the universe, and we participate in the Logos through rational consciousness. Virtuousness is a mental order that embraces a belief in a cosmic Good that arranges events in accordance with the necessities of the divine cosmological plan. Plato, Aristotle, and their philosophic progenitors described a life lived through contemplation of the cosmic Good as one of virtue, characterized by justice, courage, wisdom, and self-control. They are common to humankind, regardless of religious affiliation or belief. Numerous scholars present empirical evidence of their existence across time and culture (Dahlsgaard et al. 2005; Hick, 1992; Kane, 1994).

The great Roman orator and statesman, Cicero (106–43 BCE) was profoundly influenced by Stoicism. Cicero described the law of nature as follows:

This, therefore, is a law, O judges, not written, but born with us, which we have not learnt, or received by tradition, or read, but which we have taken and sucked in and imbibed from nature herself; a law which we were not taught, but to which we were made, which we were not trained in, but which is ingrained in us... (as cited in Rommen, 1998, Chapter 1, footnote 10)

The Stoic Natural Law germinated an ethical system that is perhaps their greatest legacy to modern moral thought (Wood, 1991). This legacy was incorporated into Christian philosophical thought, which informed Western moral philosophy for the next 1,000 years. Augustine was a Platonist before he converted to Christianity and was a devotee of Cicero before he was a Platonist. Augustine cites Cicero more than 120 times in *City of God* (Foley, 1999, p. 52).

The most significant synthesis of classical and Christian philosophy is Thomas Aquinas' *Summa Theologiae*. The important contribution Thomas makes to the theory of Natural Law is his synthesizing of goodness with the essential nature of man (Rommen, 1998). Drawing deeply on Aristotle's teleology, he explains that every free and rational agent acts for an end or purpose, which is perceived as good. Goodness is the inducement and justification for acting and, therefore, the will is directed to goodness:

Good is to be done: such is the supreme commandment of the natural moral law... Good is that which corresponds to the essential nature. The being of a thing also reveals its purpose in the order of creation, and its perfect fulfillment is likewise the goal of its growth and development... That is, "Good is to be done" means the same as "Realize your essential nature." (Rommen, 1998, Chapter 11, para. 26)

If realizing our essential nature equals human flourishing, then doing that which is good reveals our purpose and is the "perfect fulfillment" of our goal of growth and development. To work towards the end (*telos*), which is a eudaimonic (flourishing) life, we must be able to contemplate and grasp (have an epistemic understanding of) transcendent truths regarding the Good. And we must have a will that is free to assert itself and choose goodness which is enacted by practicing virtues, which are the behaviors aligned with the Good.

The belief that humans have an essential nature, a soul, which seeks to organize a human life to realize its most excellent self is the teleological view required of leaders who desire to promote the flourishing we all seek. But a major impediment to the development of such leadership is the prevailing belief in a materialistic reality that enjoys no attachment to a transcendent Good that orders and organizes the universe.

### **Contemporary Philosophy and the Teleological View**

Moral philosophy from Plato to Aquinas is constructed with claims regarding the *telos* of human beings, and the place virtue has in achieving our ends. The mind and soul of humankind are essential non-material realities for explaining the critical free will element of moral development. Removing the metaphysical soul from humans leaves only the material body, which is subject to external biological and environmental causes in the background. For the materialist, material causes determine all human actions; the metaphysical self and free will are impossibilities.

But what now about the concept of 'the soul'? On this topic current philosophy has unquestionably something very relevant to say...And the essence of what it has to say is, to put it bluntly, that the 'soul' is sheer myth. For current philosophy...finds no room for a 'self'...and whatever may be the precise relationship between 'self' and 'soul,'...Philosophy without a soul is, as we have just noticed, is commonplace in contemporary thought. (Campbell, 2013, pp. 6-7)

Campbell is referring to contemporary philosophers, but he could just as well be referencing Democritus and the pre-Socratic materialists from the fifth century BCE. The Maginot Line between determinist materialism and metaphysical free will has been in place for three millennia.

The inexorable process of severing human nature from a metaphysical soul began on generation after Aquinas' death. William of Ockham (1287–347) challenged Aristotle's belief in a human essence shared by all people (Blumenau, 2002; Copleston, 1960). Ockham denied one could prove a teleological nature of man that finds its origin in God and His ordering of the universe (Copleston, 1960). In addition to the denial of the Natural Law, Ockham eschewed any belief in universals. With no shared universal essence or nature, people do not share a common teleological quest. "An increasingly mechanistic understanding of reality crept into his thought...in the realm of human action, he sometimes seems to have conceived of final causes as reason-driven efficient causation—a very modern idea in philosophy" (Hill, 2016, Chapter 5: Ockham, Rise of Nominalism, para. 8). In the Platonic system, metaphysics had hierarchical supremacy over epistemology. But what if we reverse this hierarchical order and epistemology informs metaphysics? Ockham's separation of metaphysics and reason is such a system: enthroning the reason of man while marginalizing the teleological soul. Such was the next step in the march toward modern moral philosophy.

The Renaissance combined rejection of Medieval ecclesiastical, political, and philosophical foundations (Hill, 2004). Artists celebrated the human body in a flourishing art form of realism (Schaeffer, 1976), and Francis Bacon (1561–1626) promulgated methodological, empirical experimentation over the synthesis of reason and revelation (Durant, 1953). The Baconian method presaged the scientific method of modern science and influenced the rejection of medieval Aristotelianism (Copleston, 1953). Others applied his process with excellent effect. Kepler attacked Aristotle's theory of planetary motion, proving Copernicus' heliocentric hypothesis; Galileo gave empirical astronomical confirmation of the Copernican hypothesis; Newton provided the mathematical formula for the sun's gravitational hold on Earth. Galileo and Newton were men of piety and conceived that God's omnipresence and omnipotence were the guarantors of the systems of Nature that are mathematically explicable (Copleston, 1953).

But the rejection of the geocentric theory had deeply philosophical and theological, as well as scientific, consequences. The direct effect of Galileo's observations was to throw into question Aristotle's entire theory of the world. If his physics was incorrect, why should we retain his metaphysical system, which was based, after all, on the same teleological assumptions? (Hill, 2016, Chapter 5, Section: Descartes: Between Two Worlds, para. 8)

It was in this disruptive, paradigm-shifting world Descartes (1596–1650) set about his search for truth. Descartes intentionally started with the premise that nothing is true unless provable from a rational scheme in which the mind begins with a self-evident truth and passes to other evident truths caused by the former. Rather than beginning, like Plato, Aristotle, or Aquinas, with a metaphysical axiom, Descartes' famous statement, "*Cogito ergo sum*," (I think, therefore I am) was his first self-evident truth and the solid ground on which to build a philosophy.

I observed that this truth, I think, therefore I am (COGITO ERGO SUM), was so certain and of such evidence that no ground of doubt, however extravagant, could be alleged by the sceptics capable of

shaking it...I concluded that I might accept it as the first principle of the philosophy... (Descartes, 2012, IV)

By inserting self as the starting point for reason, Descartes eliminates the epistemic causal chain of eternal law to Natural Law and unleashes a radical individualism into the philosophy of life.

This radical individualism found its apogee in Friedrich Nietzsche. Between Descartes and Nietzsche, the current of modern philosophy runs Spinoza (1632–1677), Leibniz (1646–1716), Locke (1632–1704), and Hobbes (1588–1679) who fully extended universal materialism.

The Universe, that is the whole mass of things there are, is corporeal, that is to say body.... Also, every part of body is likewise body, and that which is not body is not part of the Universe. And because the Universe is all, that which is no part of it is nothing, and consequently nowhere. (as cited in Blumenau, 2002, p. 225)

This view eliminates the dualism of Plato and Descartes and leaves only the atomistic view of Democritus. Like Epicurus 2,000 years before him, Hobbes' materialism left only self-interest as the prominent feature of human nature. Following on the materialism of Hobbes, David Hume (1711–1776) eschewed rationality and claimed that appetitive desires were the motives of human will, subordinating reason. "Reason is and ought only to be the slave of the passions and can never pretend to any other office than to serve and obey them" (Hume, 1739, p.154). Hume believed his theory disproved the previous 2,300 years of moral philosophy. In the process, he dissolves any substrate on which could rest a system of *objective* morality.

### **Nietzsche and the Ascent of Values**

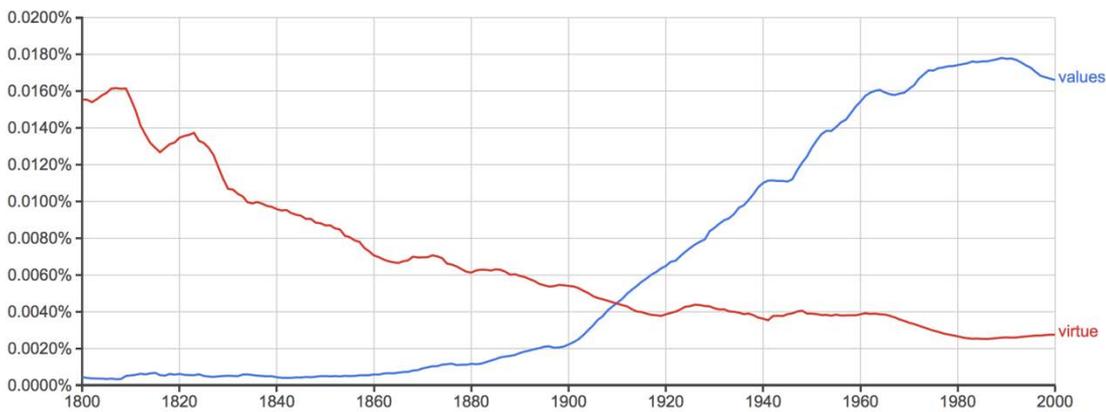
Nietzsche defined human will as the instinctual passion for doing what is required to survive and thrive. Humans only differ from animals in their ability to consider abstractions, such as projecting into the past or future. But impersonal will, nonetheless, drives all of us (Nietzsche, 1920). His "will to power," epitomized in the "Over-Man" who imposed his valuation on the world, was the reduction of human behavior to its essential fact. Moral governance of this will was unnecessary and unwise. Nietzsche denigrated "morality [as] a hindrance to the development of new and better customs: it makes stupid [people]" (Nietzsche, 1986, p. 18). Nonetheless, he believed that human life is inherently oriented toward valuation, a process that provides a set of values to which we adhere, as this is a psychological necessity (Horstmann, 2002, p. xvii). However, values are not intrinsically valuable, nor are they unalterable. They are derived from personal estimation and bestowal.

It is we, the thinking-sensing ones, who really and continually make something that is not yet there: the whole perpetually growing world of valuations... Whatever has *value* in the present world has it not in itself, according to its nature—nature is always value-less—but has rather been given, granted value, and *we* were the givers and granters! Only we have created the world *that concerns human beings!* (Nietzsche, 2001, p. 171)

"Nietzsche evaluates persons on the basis of a single standard: the degree to which they have obtained what he calls power" (Hunt, 1991, p. 130). Nietzsche wrote, "every belief in the value and dignity of life rests on false thinking..." (1986, p.162).

Values, as developed by Nietzsche, have the following characteristics: they are (1) relativistic, (2) malleable and changeable, (3) individually created, (4) influential to the proportion they are the product of the “uncommon” in society, and (5) ranked on their utility for will to power (Carter, 2016, p. 147). As individually created and ranked by a personal utility, values offer nothing in the way of universal moral knowledge. Despite this, Nietzsche’s influence combined with the elimination of theology from philosophy in the 19<sup>th</sup> and 20<sup>th</sup> centuries created a framework of morality dominated by the use of the word “values.” Simultaneously, the use of virtues language declined as seen in Figure 1.

**Figure 2. Frequency of the Words “Virtue” and “Values” between 1800-2000**



Source: Adapted from Michel et al. (2011)

Recent philosophers have commented on the rise of “values language” and its significance for society. The late Canadian philosopher George Grant (1918–1988) noted how “values language” was used by all sorts of people whether they were “religious” or “non-religious.” They took the term to be meaningful without realizing that it is a language that is rooted in power and subjectivity rather than in objective categories such as truth or virtue (Christian & Grant, 1998, p. 392). As such, moral values become derivatives of personal choice. “The language of ‘values’ is employed as if it is a moral language but conveying nothing due to the primary axiom that values are necessarily merely personal” (Benson, 2008, p.10). This observation by Shalom H. Schwartz (2012) reflects the problem of universal values, given somewhat ironically in a paper summarizing his work to universalize human values:

When we think of our values, we think of what is important to us in our lives (e.g., security, independence, wisdom, success, kindness, pleasure). Each of us holds numerous values with varying degrees of importance. A particular value may be very important to one person, but unimportant to another. (p. 3)

To understand the ascent of values language in moral discourse is to follow the western philosophical journey from Plato to Post-modernism. Along the way, there are those whose voices among the many philosophers considering humankind’s search for the Good rose above the din of the crowd and changed the framework within which one constructs human morality. Among the most stentorian voices was—and continues to be—that of Friedrich Nietzsche: “Nietzsche used the language of values because he thought, contrary to Plato, that nothing is inherently good or intrinsically beautiful” (Andrew, 1995, p. xvi). The resolute subjectivism of Nietzsche required an exchange of virtues

language, which derives its rationality from universal, transcendent goods, to values language, wherein rationality starves, and liberal pluralism thrives.

Developing a leadership model congruent with the aspirations of virtues-based leadership necessitates situating it within a framework held together by universal principles of the Good that can inform both the character and behavior of one who would lead others into the “good life.” Ironically, physical science, which created the chaotic, paradigm-shifting world of Descartes, offers in its contemporary form, a basis for a return to the classical view that a purposeful Mind governs the universe.

### **Contemporary Science and the Teleological View**

Scientists posit the universe began with a quantum fluctuation that produced a burst of electromagnetic energy of a scale and power beyond our comprehension or measurement. In this new space-time-energy reality the universe we know was born. Before this moment of a quantum fluctuation, there was a timeless reality that cannot be explained by our natural laws. For a reason or purpose resident in this eternal, supernatural state, a universe was born, and electromagnetic energy instantly appeared bounded by a space-time reality. Then, behaving according to Einstein’s famous formula  $E=mc^2$ , a bit of this electromagnetic energy congealed into matter, ultimately forming stars. Many of these nuclear fusion engines burned their fuel out while producing heavy elements from hydrogen and helium such as carbon and iron. With their fuel spent, they exploded in a demonstration of the power inherent in the universe, expelling into space their treasure trove of heavy element construction materials. A few billion years later they would find themselves the building blocks of not only inorganic and organic compounds, but sentient living things that could love, hope, dream, and create art, technology, and communities.

The late George Wald, Noble laureate and professor of biology at Harvard University, wrote an essay titled “Life and Mind in the Universe” for the 1984 Quantum Biology Symposium.

It has occurred to me lately—I must confess with some shock at first to my scientific sensibilities—that both questions [the origin of consciousness in humans and of life from nonliving matter] might be brought into some degree of congruence. This is with the assumption that mind, rather than emerging as a late outgrowth in the evolution of life, has existed always as the matrix, the source and condition of physical reality—the stuff of which physical reality is composed is mind-stuff. It is mind that has composed a physical universe that breeds life and so eventually evolves creatures that know and create: science-, art-, and technology-making animals. In them the universe begins to know itself. (Wald, 1984, p.8. emphasis added.)

The mathematician, Sir James Jeans, adds this insight in his book, *The Mysterious Universe*:

There is a wide measure of agreement, which on the physical side of science approaches almost unanimity, that the stream of knowledge is heading toward a non-mechanical reality. The universe begins to look more like a great thought than a great machine. (Jeans, 1930).

Dr. Wald and Sir James Jeans are merely recapitulating Plato’s from 2500 years ago. Their observations led them to conclude there is a mindful purpose and thought behind our existence.

The meaning and purpose underlying the genesis of the universe extend to each of us who trace our physical and mental existence to the moment before that primordial quantum fluctuation. The Law of Nature has its source in Jeans' divine Thought. This Law is illuminated via a shared nature, an essence in us that we may not be able to articulate regarding goodness, let alone a philosophy thereof, but we know it when we see it. Aristotle gave structure to this by describing human "well-being" with the word εὐδαιμονία (eudemonia). If we peel this back one more layer, we arrive at the prefix (eu), which means "good" and the word "being," referring to the soul. The roots of wellbeing literally mean: "good soul." An outcome of such a state of being is a "happy heart."

### Leading from Selfless Care

"Human good is the activity of the soul in conformity with excellence or virtue, and if there are several virtues, in conformity with the best and most complete" (Aristotle, 1999a, 1098a16). I believe the ultimate motivation ("the best and most complete") to seek out, attain, and successfully carry out a virtue-based leader role is the virtue of love. I suggest the use of "selfless care" as a synonym for "love." Care, love, selflessness: these terms connote a social context. Gustafson (2004) described socially responsible leaders as those who...

...possess truly caring servant's hearts, display a positive and unconditional regard for other people, and frame everything that they do with love. They experience a feeling of interconnectedness with others on the planet. (p. 200)

Now we know that when we situate leadership in virtues, we are rooting it ontological ground nourished by the Creator of the cosmos with the light of the Logos that informs our heart with a law of goodness. This law has not only the strength of the ages of humankind; it is anchored at the moment when the universe was created in a flash of light. The sentient beings connected to this moment innately ask the fundamental question "Why?" The virtues-based leader answers with the wisdom of the ages and eyes wide open to the data of daily human experience that validates we are more than chemistry and DNA. We are, indeed, human beings. The virtues-based leader knows that part of our human essence is the desire to be the best version of ourselves. We are teleological people who desire to reflect our metaphysical nature through meaningful interconnections with others where we can practice the art of human flourishing. The virtues-based leader understands that human flourishing is not an individualistic condition. It occurs in the human community where there is a shared belief in common dignity. One who leads from the virtues is compelled by the greatest of these—love—to serve others in their heliotropic quest to bring their self to its ultimate telos. A virtues-based leader is guided by and leads others to the Good. I humbly offer this as the definition of a "good leader."

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# **Leadership in The Digital Age: An Oxymoron?**

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## **Abstract**

The digital age enables novel organizational models, where power is distributed across the organization, in other words where each employee is entrusted with a certain level of decision power. One of the main challenges is to create the organizational conditions, so that employees feel compelled to accept their new responsibilities.

Drawing from the theory of loosely coupled systems, this study proposes a model to organize and manage companies, so that they perform at a high-level, grow rapidly and sustainably, remain agile, and people-centric as they grow.

The proposed model is articulated around 5 key factors: (1) culture of empowerment, (2) promotion and personal development, (3) management by context, (4) autonomy, and (5) alignment of values.

## **Introduction**

The starting point for this research is my experience as co-founder and President of an ecosystem of software development companies, headquartered in San Francisco, with presence in the USA and Latin America. The company is modelled and operated after these research findings.

A fast-growing and ever-changing industry, Information Technology (IT) is at the forefront of novel organizational models, as it deals with most of today's challenges: globalization, shortage of talents, inclusion of millennials, rejection of traditional management models, etc.

Some IT companies with an innovative organizational model have documented their experience; it is the case of Netflix for instance; the presentation of its organization by its CEO (Hastings, 2009) has been downloaded over 18 million times, which demonstrates the tremendous interest in novel organizational models. Carney and Getz (2011) document some interesting examples of companies located in the USA and Western Europe.

Unfortunately, since there is not much scholar literature available on this topic, the underlying theoretical organizational models are not well documented, or made available to a general audience; a direct consequence is that business leaders tend to continue to adopt rather traditional organizational models for their companies.

Some of the startups of today will become the giant corporations of tomorrow, and because of their traditional business models, some of these giant corporations, like those of today, will prove to be an ideal environment for large-scale white-collar crime, as pointed out by Berger (2011), who studied some highly publicized cases of corporate crimes recently observed in industry leaders like Enron, Haliburton, and Goldman Sachs.

If we want to avoid these corporate wrongdoings in the future, we must now start using business models that do not yield to the very same corporate abuses.

*Drawing from the theory of loosely coupled systems, this study proposes a model to organize and manage companies, so that they perform at a high-level, grow rapidly and sustainably and remain agile, and people centric as they grow.*

*The proposed model is articulated around 5 key factors: (1) culture of empowerment, (2) promotion and personal development, (3) management by context, (4) autonomy, and (5) alignment of values.*

The implementation is done by applying 5 fundamentals:

Empowerment implies the distribution of power to all levels of the organization

Gradual change is a luxury of the past; change should be a continuous process

Self-organizing teams always outperform well-structured ones when it comes to solving complex problems. Management needs to provide guidelines, not rules

Too much cultural orthodoxy is limitative. Diversity trumps uniformity, always

Employees need to be able to “visualize” a rich career path. Leaders need to ask their employees to be creative, not competitive.

### **Loosely Coupled Systems**

Weick (1976) defined a loosely coupled system as one in which elements are responsive but retain evidence of separateness and identity.

According to Weick (1976), loosely coupled systems lower the probability that the whole system will be impacted when change occurs in the environment; preserve many independent sensing elements that know their microenvironments; support localized adaptation; generate a greater number of mutations and novel solutions; buffer the whole system from breakdowns in parts of the system; offer more room for self-determination; and are inexpensive to run because they require less time and money to coordinate people.

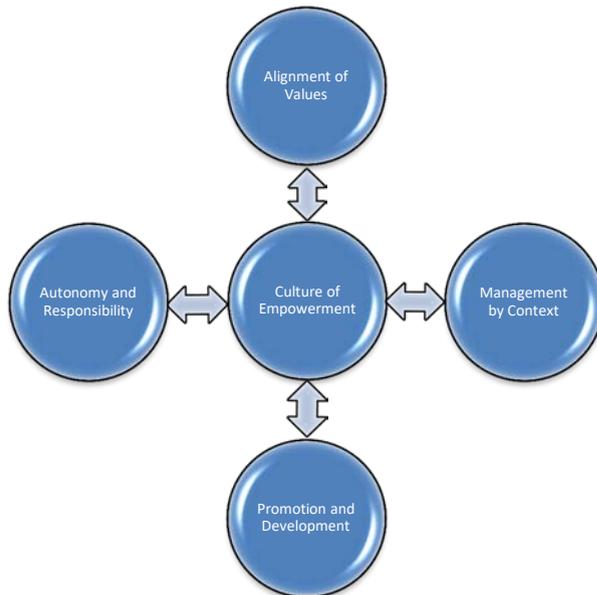
Thus, loosely coupled systems offer many advantages for building business ecosystems that can thrive in today’s dynamic economy. Weick (1976) mentioned seven of them, which can be summarized as follows: (1) high resilience, (2) sensitive sensing mechanism, (3) high adaptation capabilities, (4) ability to retain a greater number of mutations and novel solutions, (5) ability to seal off the system from the potential collapse of an element, (6) more room for self-determination by the actors, and (7) their relatively inexpensive costs to run.

Possibly the main question attached to loosely coupled systems from the beginning has been, “What holds them together?” How does it happen that loosely coupled events that remain loosely coupled are institutionally held together in one organization that retains few controls over central activities?

I am suggesting here a framework, based on the loosely coupled system theory, that answers the “how do systems hold together” question. In addition, this system was created considering the following

constraints many start-ups are facing now: inclusion of millennials, continuous change, rejection of traditional management models, and self-organizing teams.

**Figure 1. The proposed framework**



As shown in the figure 1 above, the framework has 5 components:

Culture of empowerment,

Promotion and development,

Management by context,

Autonomy and responsibility, and

Alignment of values.

Let's review them.

### **Culture of empowerment**

Kanter (1977, 1993) was one of the earliest proponents of empowerment at work. She defined power as “*the ability to get things done, to mobilize resources, to get and use whatever it is that a person needs for the goals he or she is attempting to meet*” (p. 166). Power is “on” when employees have access to lines of information, support, resources, and opportunities to learn and grow (p. 305). When any of these resources, which Kanter called lines of power, is unavailable, then power is “off,” and work is not effective.

Lines of power emanate from formal and informal systems within the organization; formal power is derived from specific job characteristics that include flexibility, adaptability, creativity associated with discretionary decision-making, visibility, and centrality to organizational purpose and goals. Informal power is derived from social connections, and the development of communication and information

channels with sponsors, peers, subordinates, and cross-functional groups (Kanter, 1993; Laschinger et al., 2001, 2004).

An abundant body of literature demonstrates that structural empowerment predicts the following:

Job satisfaction (Wong & Laschinger, 2013),

Autonomy (Laschinger, Sabiston, & Kutscher, 1997),

Respect (Laschinger & Finegan, 2005),

Intent to stay on the job (Nedd, 2006),

Organizational commitment (Smith, Andrusyszyn, & Laschinger, 2010),

Leadership practices (Wong & Laschinger, 2013), and

Job stress and burnout reduction (Laschinger, Wong, & Grau, 2013).

### **Promotion and Development**

The flattening of vertical boundaries in organizational structures has dramatically reduced the possibilities for employees to enter a company confident enough that they could patiently climb the corporate ladder to reach a position of privilege and power. As James (1995) said, the rungs on the ladder have simply been removed.

The decline of the traditional organizational career has created new ways for employees to think of their own careers. Kanten, Kanten, and Yesiltas (2015) referenced several perspectives on career management that have emerged and become popular in the literature, the boundaryless career and the protean career being the main ones.

Kanten et al. (2015) summarize the shift between the traditional career paradigm and the new career paradigm in the table 1 below:

**Table 1: Comparison Between New and Traditional Career Approaches**

	<b>Traditional Career</b>	<b>New Career</b>
<b>Working Range</b>	One or two organizations	Numerous organizations
<b>Employment Relationship</b>	Commitment-oriented job Security	Performance and flexibility-oriented employment
<b>Commitment</b>	Dependent Employer	Independent Employer
<b>Skills</b>	Organization-specific	Can be transferred between organizations

<b>Success Evaluation of an Individual</b>	Wage promotion, status	Psychological means of the job
<b>Education</b>	Formal Programs	On-the-job training
<b>Responsibility of Career Management</b>	Organizational	Individual
<b>Basic Attitudes</b>	Committed to the Organization	Job satisfaction and professional commitment
<b>Important Characteristics</b>	Age-oriented	Learning-oriented

Source: From Kanten et al. (2015), summary of pp. 319-320.

This is the new challenge presented to corporations like ours, with an extremely flat structure: how to create employee loyalty, as more employees embrace a boundaryless or protean career? The answer I propose in this framework lies in the combination of empowerment and a loosely coupled system. In fact, I believe that most employees will opt for staying with a company that creates the conditions of their empowerment; there is less stress and more potential opportunities in evolving within a business ecosystem than there is in playing it alone, especially in the IT industry where little can be achieved without serious teamwork effort.

### **Management by Context**

I drew from the knowledge management theory to demonstrate why context matters more than control, at least for software companies, and used the Cynefin framework (Snowden & Boone, 2007) to illustrate my point. The Cynefin framework is a sense-making methodology that provides a typology of contexts to describe problems, situations, and systems. Snowden & Boone (2007) conceptualize four possible situations:

*Simple* (best practice). In the simple domain, the relationship between cause and effect is clearly understood. The facts of the situation are assessed, categorized, and then a response based on established (best) practice is executed.

*Complicated* (good practice). In this case, the relationship between cause and effect is not necessarily well understood and requires the help of expert analysis. Several options are investigated, and then a response based on the analysis is determined.

*Complex* (emergent practice). In the complex domain, the relationship between cause and effect cannot be immediately understood, and often only retrospection reveals the interrelationships between cause and effect.

*Chaotic* (novel practice). In this case, there is no relationship between cause and effect; a good example would be a fire, where one's first reaction would be to run for safety.

An increasing number of companies need to deal with complex processes. Unfortunately, they tend to approach them using the same methodology they use to solve their complicated problem, and this need to change.

Software development belongs to the complex category, as similar causes are unlikely to produce the same effects over time; in fact, as stated by Snowden (2013) in a keynote address:

Because it worked that way in the past does not mean it will work this way in the future, and people constantly do it. [...] The more you prevent past failure, the more you increase the probability of future failure. (37:20 – 38:00)

Succeeding in managing complex systems, like developing software for instance, largely depends on the following:

Identifying the systems that are complex (non-linear), and handle them as such

Setting up the proper context in the beginning of the project,

Granting a high level of autonomy to the development team and to each team member in the team, and

Understanding that projects can fall into a chaotic mode; in this case, the management style should change to centralized decision making until it can reverse to management by context.

Back to the theory proposed in this study, both research and state-of-the-art in software development suggest that management by context is the best option to successfully develop sophisticated applications. A culture of empowerment, combined with loose coupling, favors autonomy, self-organization, and reactivity, and therefore favors management by context.

### **Autonomy and Responsibility**

Autonomy and empowerment are positively related. Laschinger et al. (1997) demonstrated that empowerment predicts autonomy. Kanter (1993) mentions that she uses the word *power* in organizations as synonymous with autonomy and freedom of action (p. 197).

Carney and Getz (2011) posit that prior to granting freedom to employees, the first step is to transform the company from a “how” one, in which managers instruct their employees on how to do their jobs, into a “why” one, where employees know why they are doing what they are doing. This is consistent with a loose coupling approach, which recommends that decisions be made at the point of contact between the company and its environment.

When the “why” environment is in place, leaders need not try to motivate people but instead build an environment that allows employees to grow; employees will motivate themselves when they clearly understand the company's vision and adhere to it. In affirming this, Carney and Getz follow Deci and Ryan's extensive empirical work (2000), which led them to a conclusion similar to McGregor's (1967): Human motivation does not need to be controlled; people are self-motivated to act in search of mastery and well-being when provided a nourishing environment.

The companies studied by Carney and Getz (2011) are not isolated cases of companies that promote autonomy as a means to increase performance. Netflix and the Virgin conglomerate are two highly publicized examples.

These findings are consistent with the model elaborated in this study. The companies mentioned in the examples are organized as loosely coupled systems, with empowerment and autonomy at the core of the company's functioning.

## **Alignment of Values**

### **Communication channels**

Communication is a central concept for organization and management theory (Thompkins, 1987). Hargie and Tourish (2009, p. 419) argue that internal communication is *increasingly recognized as a crucial variable in determining organizational success, and as a vital issue requiring further research*. Barnfield (2003) states that internal communication has been recognized as a strategic focus for business communication, second only to leadership concerns.

Welch and Jackson (2007) propose a framework to describe the internal corporate communication (ICC) between strategic managers and internal stakeholders. According to this framework, the main goals of ICC are as follows:

Creating a greater commitment of the employees to the organization,

Promoting awareness of the organization's changing environment (external changes),

Helping understand the organization's evolving aims (internal changes), and

Promoting a sense of belonging to the organization.

Researchers have approached ICC both from leadership and employee perspectives.

### **Leadership perspective**

Grunig (2009) contends that CEOs as top leaders of the organization help define and embody the organizational image and personify the organization to internal and external stakeholders. Garbett (1988) notes that the CEO's personality shapes the character and culture of the entire organization. Men (2015) posits that CEOs often serve as the catalyst in forming the communication philosophy and style of the organization, establish management credibility to employees, engage in two-way communication, and use their personal influence and connections to foster trust. In other words, CEO communication is an indispensable part of organizational leadership communication.

### **Employee perspective**

Employees tend to evaluate communication channels based on their expectations for those channels (Cameron & McCollum, 2003). Beneficial internal communication relies on appropriate messages reaching employees in formats useful and acceptable to them; perceived inadequacies in the communication process could inadvertently damage internal relationships (Welch & Jackson, 2007).

According to Pincus et al. (1991), employees desire a more open and closer relationship with top managers, particularly the CEO. The perceptions of employees toward top management are “closely linked to their overall perceptions of the organization as a place to work and the general state of the morale” (Pincus et al., 1991, p.9).

In summary, there is no doubt that well-managed internal communication positively influences employee engagement. Successful internal communication requires CEOs to favor direct contacts with their employee base, always checking the quality and frequency of the communication, as poorly managed internal communication creates employee frustration.

### **Hiring strategy: Building the right workforce**

Dineen and Soltis (2011) claim that regardless of the type of organization, an employer’s success is closely tied to the type of individuals it employs.

According to Aarts (2015), many thriving companies, including Whole Foods, Pinterest, and Zappos, are using culture fit interviews as main decision factors. Furthermore, hiring for culture fit is engrained in Silicon Valley’s subculture. Mitch Kapor, the founder of Lotus 1-2-3, calls the local sub-culture a mirror-tocracy. Aarts (2015) recommends very carefully using culture fit for hiring, as it can yield to conformity, which can harden into cultural orthodoxy.

Phillips, Liljenquist, and Neale (2009) elaborate on the risk of cultural orthodoxy. They posit that better decisions come from teams that include a socially distinct newcomer.

In summary, a decision that leaders need to make when hiring talents is to either favor a homogeneous workforce or a heterogeneous one. A homogeneous workforce is obtained by placing the main focus on the candidate’s fit to the corporate culture, while a heterogeneous one is achieved by focusing mostly on the candidate’s skills. In any case, employers need to avoid the risks of becoming a monoculture, or the equally dangerous risk of not being able to enforce the corporate culture.

### **Social activities**

Cohesive groups generally outperform non-cohesive groups and have greater job and personal satisfaction (McGrath, 1984). Furthermore, group cohesion has positive effects on an individual’s contribution to a group (Carron, Colman, Wheeler, & Stevens, 2002). Cohesion has been considered the most important determinant of success in small groups (Carron & Brawley, 2000), and many authors have attempted to define and operationalize this concept, including Cota, Evans, Dion, Kilik, & Longman (1995) for instance.

Sanchez and Yurrebaso (2009) demonstrated that a culture of work teams contributes to strengthening the cohesion in these teams. In other words, the more the group members share values, beliefs, and cultural norms, the more they will feel attracted to the group and thus the greater the level of group cohesion. It has also been suggested that the interaction among group members leads to higher levels of cohesiveness (Harrison, Price, & Bell, 1998).

Team performance is a critical success factor for most companies. As shown in this section, group cohesion is a must, as cohesive groups outperform non-cohesive ones. In addition, the more behaviors are shared, the greater the group cohesion. Social activities are a privileged means to create shared

behaviors, team spirit, and group effort. This explains why social activities are a central element of the theory presented in this study because they are a significant contributor to enabling companies to perform at a high level.

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## **Values in Conflict: Ethical Leadership as Style in the ELSQ**

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### **Abstract**

In assessing how leaders deal with conflicting values in difficult dilemmas, the Ethical Leadership Style Questionnaire (ELSQ) Revised has given new insight about how leaders handle situations with conflicting concerns. Attendees are encouraged to take the free ELSQ at [www.leaderdecisionsurvey.com](http://www.leaderdecisionsurvey.com); and to print and bring the results for discussion.

### **Introduction**

In assessing how leaders deal with conflicting values in difficult dilemmas, the Ethical Leadership Style Questionnaire (ELSQ) Revised has given new insight (Chikeleze & Baehrend, 2017). From its inception (Northouse 2000), to analysis of its first version (Chikeleze 2014), to its revision (Baehrend 2016), the ELSQ has enlightened how leaders handle situations with conflicting concerns.

The very visible ethical failures of many leaders have created interest in the development of instruments seeking to measure ethical leadership. Leaders often have to face very difficult decision. While existing instruments have generally focused on followers' impressions of their leader's ethical leadership behavior, the ELSQ Revised provide a validated leadership self-assessment tool that measures leader's preferred ethical leadership style in dealing with vignettes that include conflicting values or concerns. This research concludes that, in handling these decision, leaders exhibit a preference for a particular ethical leadership style. Knowledge of this ethical leadership style preference will help leaders understand the process they undergo when faced with difficult choices. The ELSQ Revised may be useful in developing and educating leaders and in helping teams and organizations to make better decisions. In this way, it may thereby reduce incidents of poor ethical choices.

The Ethical Leadership Style Questionnaire developers describe what the instrument measures, how it can be used to collect research data on ethical leader styles, and how the questionnaire can be used for teaching different ethical leadership styles.

Attendees are encouraged to take the free ELSQ at [www.leaderdecisionsurvey.com](http://www.leaderdecisionsurvey.com) and to bring the printed results.

For the Ethical Leadership Style Questionnaire Revised, the research problem was to create and evaluate a new version of the ELSQ addressing concerns that the existing vignettes may have had a certain bias towards a particular style. A secondary goal was to provide a literature review justifying the ethical styles included. This problem was addressed through a survey design that included: rewording or replacing all of the vignettes and prompts; increasing the number of vignettes (5 to 45); using a randomly assigned two-option forced-choice format with shorter vignettes rather than a Likert-scale or percentage-based scoring system with longer vignettes; and testing the new instrument on a larger sample size using an online format. The website [www.leaderdecisionsurvey.com](http://www.leaderdecisionsurvey.com) was created, revised, updated and continues to be available free following the research.

The methodology used a postpositive (scientific) worldview (Creswell 2009, p. 6) and a quantitative strategy (Creswell 2009, p.145) with a one-shot case study design (Creswell 2009, p. 160). This research used the classical measurement model (DeVellis 2017, 29) including the assumptions of parallel tests (DeVellis 2017, p. 33). As recommended by Grant and Davis (1997) the methodology leveraged use of experts (p.269) for both the items, the revised instrument (p. 194); and for pilot

testing (p. 194). This use was iterative until consensus was reached (Sackman, 1974; Brown 1968, Dalkey & Helmer, 1963).

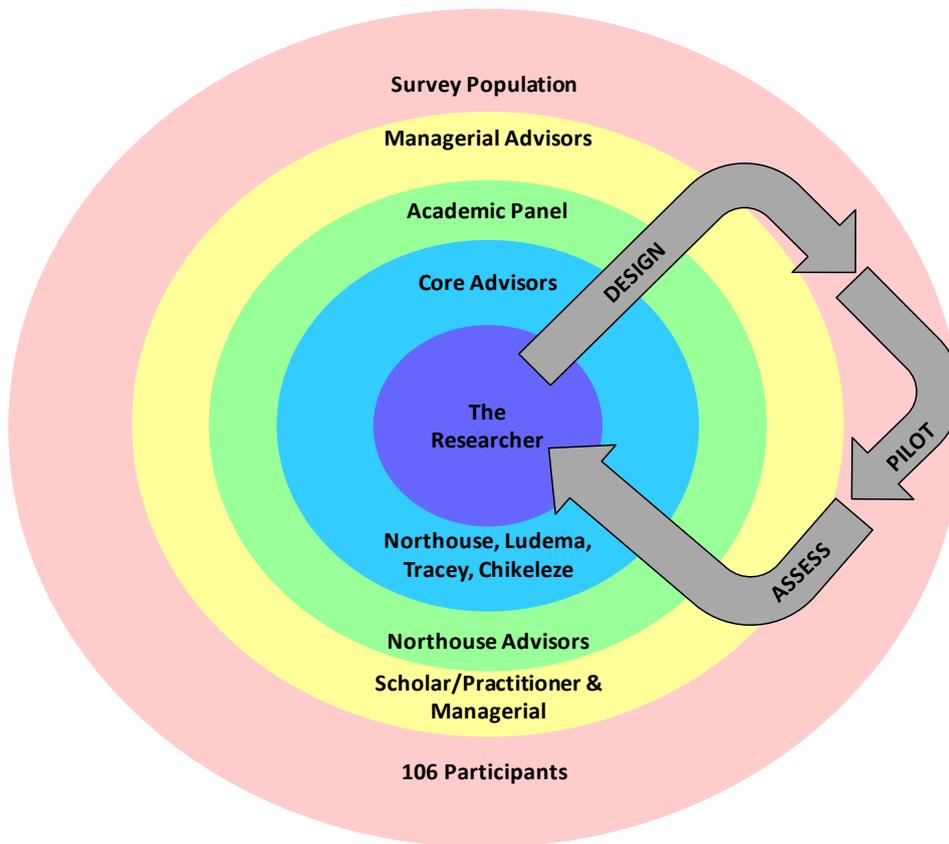
DeVellis’ scale development guidelines were followed (2017 p.15) and applied in the following way:

**Table 1. DeVellis Guidelines as Applied**

Step	DeVellis Guideline	As applied
1	Clarifying latent variable	44 prompt versions
2	Generating item pool	45 of 279 vignettes selected
3	Determining item format	Binary option forced choice
4	Expert item pool review	49 experts in 3 categories
5	Inclusion of validation items	Three sets of combinations
6	Sample administration	33 Individuals plus 4 orgs.
7	Item evaluation	33 Individuals plus 4 orgs.
8	Scale length optimization	60 items cut to 45

This methodology was referred to by Baehrend (2016) as the Collaborative Instrument Development Process and is graphically represented in the following figure:

**Figure 1. The Collaborative Instrument Development Process**



Source: Baehrend 2016, p. 47

The populations involved in survey development included an academic set of 11 professors, a senior business set of 11 managers across 8 industries with over 267 years of experience, and a senior manager/doctoral candidate set that included 28 managers. The development process included 10 cycles, collecting 279 potential vignettes, evaluating 33 survey versions, evaluating 44 prompt versions, and settling on a final version. Extensive changes in terms of vignettes used, demographics collected, structure (two-alternative forced choice), and format (online) were made. To assess validity and reliability, three additional surveys were completed: a word association assessment, a leadership concept assessment, and a prompt-style concept assessment. The survey was administered online 3/3/2016 to 3/31/2016 collecting 106 usable surveys.

The ELSQ Rev. demographics varied from ELSQ:

Average age is 51.4 years (25.4% older).

Gender is 55.7% female (vs. 30%).

Education level is 66% graduate (vs 34%).

Average years of management experience is 14.4 years (30.1 percent higher).

Average number of employees reporting is 76.5 employees (282 percent higher).

The results of the research showed that:

The ELSQ Rev. can be used satisfactorily to identify leaders' primary and secondary ethical leadership styles.

The ELSQ Rev. identified a predominant leadership style in 88.7 percent of the managers.

The ELSQ Rev. confirmed the existence of the same primary styles as the ELSQ (Virtue, Distributive Justice, & Duty).

To some degree, all of the six styles preferences did vary across managers such that the ELSQ Rev. does provide managers meaningful results for being high (75th percentile) or low (25th percentile) for each of the six style scores compared to other managers.

The survey was administered online 3/3/2016 to 3/31/2016 collecting 106 usable surveys.

The ELSQ Rev. demographics varied from ELSQ:

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Gender is 55.7% female (vs. 30%).

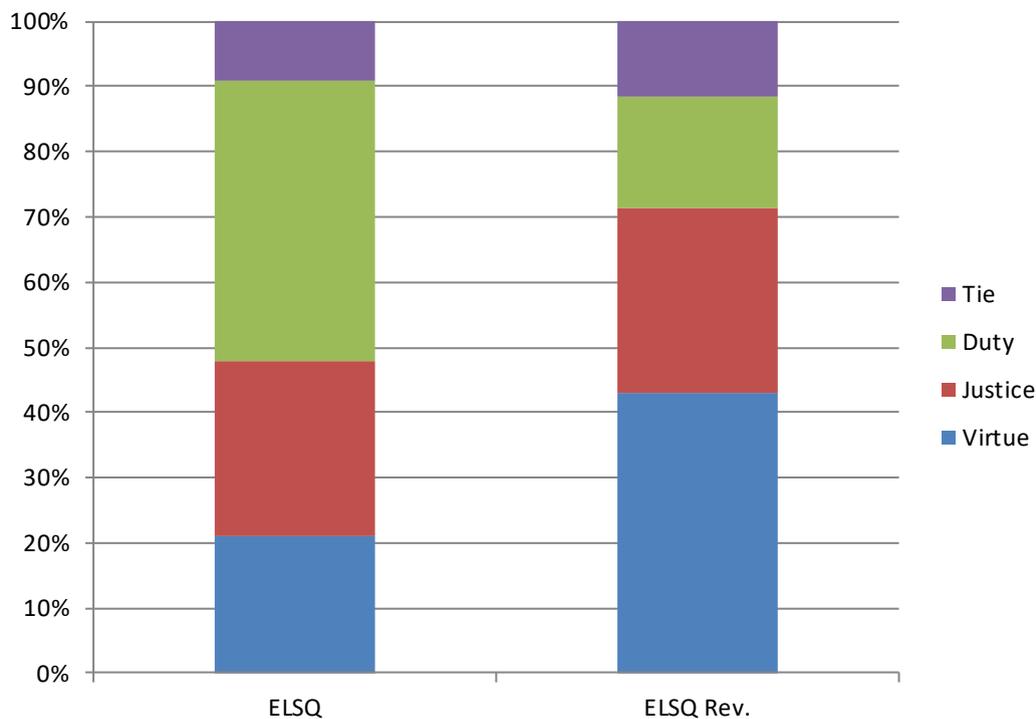
Education level is 66% graduate (vs 34%).

Average years of management experience is 14.4 years (30.1 percent higher).

Average number of employees reporting is 76.5 employees (282 percent higher).

With a larger set of vignettes and randomly applied prompts, the ELSQ Revised found a significantly different mix of dominant ethical style preferences.

**Figure 2. Dominant Preferences for ELSQ and ELSQ Revised:**



Source: Baehrend 2017, p. 113

In review of the results found it is clear that:

The identification of the predominant ethical styles of virtue, distributive justice, and duty; and while not finding the predominant styles of utilitarianism, caring, or egoism in more than 5% of the population is consistent with previous research (Chikeleze 2014).

Percentile breakouts identify variation across all the styles, suggesting that manager's scores on utilitarianism, caring and egoism provide potentially useful information, even if that information does not represent a predominant disposition.

Understanding the different mix of styles in the different populations bears additional research.

As far as implications for practice:

The ELSQ offers a simple self-assessment tool for managers to better understand their ethical leadership decision-making preferences managers.

This may allow them to understand which perspectives they naturally recognize and which they might miss or under estimate.

This may give additional insight into situations where managers disagree on what action should be taken.

Use by groups may offer insights into group dynamics.

## **Use of the ELSQ Revised**

The ELSQ Revised has been used in organizations, in educational classrooms, and in academic research with positive results. The author of the ELSQ Revised alone has attended 12 such uses including financial, communications, staff, and academic organizations as well as in undergraduate through doctoral classroom exercises. Certain basic structures have been created to be applied to the specific instances based on the particular situation.

For organizational use, the general structure has been:

Individuals take the survey prior to the meeting, print their results, and bring to the session.

Brief introduction of the ELSQ with Q&A for 10-15 minutes.

Exercise 1: In pairs, discuss: 15-20 minutes.

What was your reaction to the questions? Did any cause you more reflection than others?

Share your primary styles. Can you think of any instances where this style was displayed?

Do these preferences match your view of yourself?

Have you interacted with others where they seem to display a certain primary style?

Exercise 2: Grouping the pairs into larger groups of approximately six, discuss: 15-20 minutes:

Have each pair read out their feedback on the assigned questions.

Is there a group consensus?

Are there any particular illuminating stories or examples to share?

Pick a presenter to give a group readout.

Exercise 3: Full group readout

Ask each group for a readout.

Look for other groups acknowledgements of similar feedback.

Ask, if it has not come up, do certain individuals see a connection between their job and their dominant ethical style?

Ask, if it has not come up, are the incidents within the organizations where individuals approach the same incident very differently?

Closing

In multiple cases in organizations the leader of the organization has claimed that given their situation, it is critical to have their dominant ethical style. In one case, the leader claimed that overall, they had to make decisions affecting people across the organization and so they needed to be utilitarian in outlook. This caused a subordinate to respond, "yes, that is why I have to look out for justice for people." In another case, the leader shared that their organization was new, innovative, and proving itself so that it was critical that their dominance in Ego was the engine driving for success, and their low score on duty was natural. This caused their administrative assistant share "that's why you have me!" as she was high on duty. These observations were affirmed by the groups involved. In this way, this process helped the organizations to reframe and deepen their understandings of each other, the dynamics of discussions underway, and the usefulness of complementary style preferences.

For classroom use, the general structure has been:

Individuals take the survey prior to the meeting, print their results, and bring to the session.

Brief introduction of the ELSQ with Q&A for 15-20 minutes.

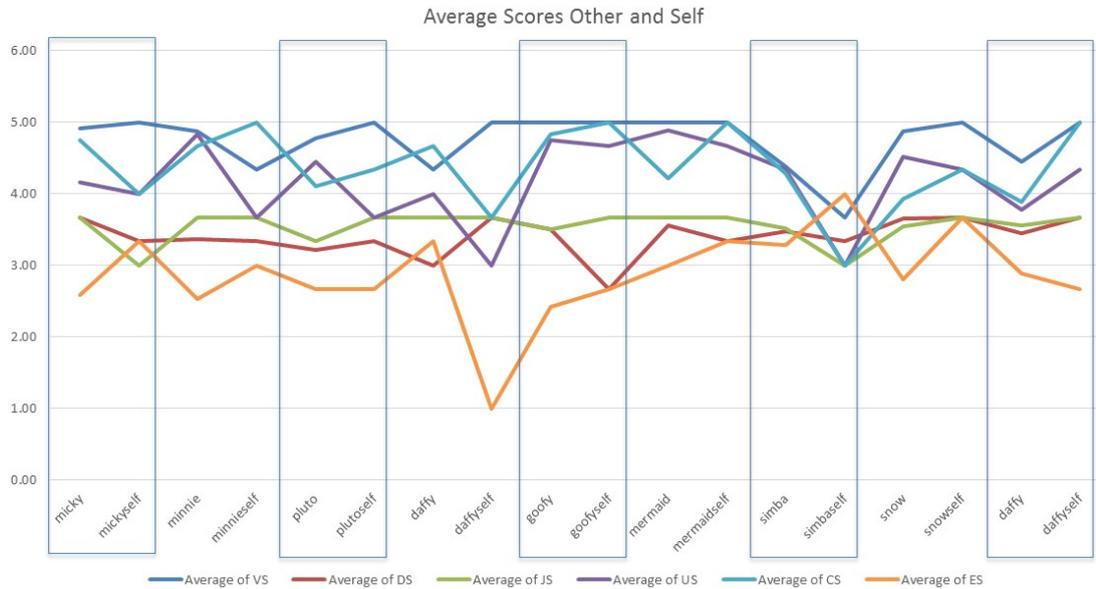
Exercise 1: In pairs, discuss: 15-20 minutes.

What was your reaction to the questions? Did any cause you more reflection than others?  
 Share your primary styles. Can you think of any instances where this style was displayed?  
 Do these preferences match your view of yourself?  
 Have you interacted with others where they seem to display a certain primary style?  
 Exercise 2: Grouping the pairs into larger groups of approximately six, discuss: 15-20 minutes:  
 Have each pair read out their feedback on the assigned questions.  
 Is there a group consensus?  
 Are there any particular illuminating stories or examples to share?  
 Pick a presenter to give a group readout.  
 Exercise 3: Full group readout  
 Ask each group for a readout.  
 Look for other groups acknowledgements of similar feedback.  
 Ask, if it has not come up, do you see these styles at work in society in business? In politics?  
 Ask, if it has not come up, do you see places where there seems to be conflict where different styles seem to be at play in business? In politics?  
 Closing  
 In use in the classroom, the ELSQ has also been used in conjunction with the Myers-Briggs type indicator (Briggs 1976), the Big 5 Personality Traits (Judge, et. al 1999), and Strengthsfinder 2.0 (Rath 2007) instrument results. These provide a broader perspective on personal preferences.  
 In both organizational and classroom settings the ELSQ revised has proved to create engaged, energetic, passionate discussions. In addition to these uses, the ELSQ has been used in graduate research with a general methodology evolving according to the following outline:  
 Two populations groups are identified – for example for-profit and non-for-profit nursing homes. These are associated with two set groupids (for example FPNH and NFPNH).  
 Appeals are made to key individuals in these organizations to answer a survey that will advance research and give them valuable developmental insights. One way that has been used is recruiting using LinkedIn.  
 Based on the person's organization, they are sent a specific link to use:  
 For-profit groups [www.leaderdecisionsurvey.com/index.php?GroupID=FPNH](http://www.leaderdecisionsurvey.com/index.php?GroupID=FPNH)  
 Non-for-profit [www.leaderdecisionsurvey.com/index.php?GroupID=NFPNH](http://www.leaderdecisionsurvey.com/index.php?GroupID=NFPNH)  
 The data collected in this way is anonymous and also gives the specified distinction in segment.  
 Results are then retrieved based on those GroupIds  
 In this way, the ethical styles of different groups can be assessed and compared.  
 In this way, organizational, educational, and research application of the ELSQ Revised has been made.

### **An Ethical Leadership Style Assessment**

The ELSQ Revised was presented at ILA by Drs. Northouse, Ludema, Chikeleze and Baehrend to a standing room only crowd in 2016 and in a full workshop in 2017. Feedback from several sources requested a 360 degree feedback form of the instrument where others and the leader themselves could make assessments and have them compared. Such an instrument was created earlier in 2015 but its validation was not pursued. In 2017 assessments were done of a scholar/practitioner class in a doctoral program. This yielded 72 useable assessments in 9 valid sets with 8 incomplete assessments. (For confidentiality, assessments were not used unless at least three were received from anonymous third parties). The results from this assessment are provided in the following figure.

**Figure 3. Results from ELSQ 360 Degree Assessment**



While this research does not provide more than a potential proof of concept, the initial results suggest there may be value in such an instrument as when we compare the other’s view of the leader (first score) with the leader’s self view (second score) we see many significant differences with leaders rating themselves higher than they are perceived about three times as often as lower. On leader stands out as rating themselves far lower in ego than the other leaders, yet their associates rate them as higher than average. That suggests a potential learning opportunity for that manager. Also, comparing the styles relatively speaking, caring and utility play a higher role relative to the styles, while justice and duty play a lower role. It should be remembered, however, that these are scale ratings and not dilemma choices so the results are not directly comparable. For these reasons, the ELSQ 360 Degree assessment may prove a useful future direction for research.

### Conclusion

The concept of an ethical leadership style has proven a useful concept in quantitative measurement of behavioral preferences in multiple iterations and in multiple forms. It can provide useful feedback for organizations, for classroom use, for research, and as an assessment tool. For future research, there are multiple opportunities to extend or build on these constructs to potentially better understand and develop leader’s ethical decision-making.

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# Designing for Impact: Leadership and Culture Change in the Framework of Design Thinking

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## Abstract

Design thinking process provides a systematic way for teams to develop products and processes resulting in better solutions and outcomes for customers. This study proposes that the design thinking process can also be used as an organizational change intervention to positively influence levels of empathy and organizational energy. A pre- and post-test study design was used to examine the effect of deployment and utilization of design thinking methodology across four business units of a pharmaceutical company in Latin America. Empathy and energy measures were gathered via an online survey tool prior to and six months after teams undergoing training on design thinking methodology. The hypotheses were that empathy and positive energy would increase and that negative energy would decrease. Although the trends for all three measures were positive, the results were not statistically significant. The results of the study were mixed in that only the decrease in negative energy was shown to be statistically significant. However, this finding is important, as negative energy can have long-term effects on organizations. The study also suggests opportunities for future study, specifically around implementing the design thinking methodology itself, around the need to focus on the ethnographic and behavioral aspects of the tool, and in monitoring its use for consistency.

In order to meet the challenges of a complex and rapidly changing global economy, some companies have employed the use of design thinking methodology to develop an intimate understanding of customer needs and the business environment (Beyersdorfer & Austin, 2007; Brown, 2008; Lafley & Martin, 2013; Yoo & Kim, 2015). The steps utilized in the methodology may be different depending on the practitioner, but in all cases, the process is combined with a focus on a growth mindset or design attitude (Michlewski, 2008) that fosters the development of an ethnographic eye to stakeholders' perspectives leading to creative and unique solutions (Brown, 2008). Furthermore, in addressing the need to mediate organizational change at an individual level (Schein, 1971), there are some indications within the literature that the benefits of deploying design thinking may go beyond the primary purpose of solving complex challenges and may, in fact, influence the team and culture as well.

**Perspective on design thinking:** In reviewing the literature on design thinking, it became clear that there is not a common theoretical thread or approach in the literature. One line of theoretical development looks at the cognitive side of design thinking and focuses on the mindset of the designer (Baynes, Archer, & Roberts, 1992; N. Cross, 2007). Another looks at the use of design thinking as a part of managing organizations and leading teams (Boland & Collopy, 2004). A third set of literature revolves around case studies of organizations using the methodology and is more aligned to practitioners (Beyersdorfer & Austin, 2007; Brown, 2008; Lafley & Martin, 2013; Yoo & Kim, 2015).

**Design thinking process:** The design thinking process has been described many different ways, depending on the user and what they choose to emphasize in the process (N. Cross, 2007). Regardless of the focus taken, the actions in each step are similar, and, therefore, it is possible to generalize across

the different users of the process. For the purposes of this review, the design thinking process steps that will be considered are discover, interpret, decide, and propose, as defined by IDEO (Brown, 2008).

**Discover:** The first phase of design thinking is the discover phase. The aspect that sets design thinking methodology apart from other design and problem-solving processes is the focus on the user and understanding their unique environment and needs (Yoo & Kim, 2015). Practitioners of design thinking build a deep understanding of their customers through different types of immersions. In this step, it is important for the practitioner to suspend judgment and gather as much information as possible through observation, reflective inquiry, and role playing (Brown, 2008).

**Interpret:** The second phase of design thinking is the interpret phase. As part of a design team, individuals will come together and share their experiences and notes that have been collected in multiple insight gathering sessions (Beckman & Barry, 2007). Each individual tells the stories of their experiences while others may add notes and comments (Beckman & Barry, 2007). Once every member of the team has had a chance to share their stories and insights, the team comes together to consider all the clues that have been gathered in the discover phase (Brenton & Levin, 2012).

**Decide:** The third phase of design thinking is the decide phase. The design team considers the ideas, themes, and trends identified in the interpret phase and tries to put it in the context of the design problem that needs to be solved (Bogers & Horst, 2014). The design team will begin to collaborate on what the solutions might be (Gerber, 2006). The team brainstorms to come up with possible scenarios that may address the issue identified (Sutton & Hargadon, 1996).

**Propose:** In this final phase, in which the learners begin to develop tangible representations, or prototypes, of the solutions identified in the decide phase. As prototypes, they are not intended to be perfect examples of the finished product (Beckman, & Barry, 2015). Services can also be represented through role play, with team members acting as customers moving through the process (Brown, 2008). Because it is generative in nature, the addition of insights gathered by sharing the first prototypes make it possible for the team to take away additional insights that may further inform on the process and result in a second round of ideation (Junginger, 2007). It is expected that the methodology can be utilized as a continuous loop rather than a linear process (Pasmore, 2015). The use of prototypes allows the learner to get quick feedback from the stakeholders and allows the design process to iterate rapidly, resulting in a better final solution (Brown, 2008).

**Design thinking and empathy:** From the review of literature on design thinking, there are a large number of references that highlight the intuitive nature of the process as well as the importance of connecting and understanding user needs (Kolko, 2015; Yoo & Kim, 2015). Additional research focuses on how design thinking methodology can increase levels of empathy. For example, design thinking employs ethnography and immersion with stakeholders in order to deepen the understanding of the stakeholders' unique needs. At an individual level, it is important to spend time with the customers or users of the solution to be able to begin to know them (Burstyn, 2003) and to be able to feel their need (Kolko, 2014; Spiegel, 2010). Gaining empathy is an experiential outcome in learning to understand the other person's perspective (Carmel-Gilfilen, & Portillo, 2016; Kerem, Fishman, & Josselson, 2001). Empathy is both cognitive and emotional, and the understanding gained goes beyond recognition of another's point of view (Leonard & Rayport, 1997). It consolidates multiple levels of meaning (Michlewski, 2008), and there is an appreciation and understanding not only in the ways people are different, but also in the ways we are the same (King, 1995).

Building empathy increases other pro-social behaviors in a drive for connection and meaning (A. Smith 2006; D. R. Smith 2013). In connecting with others, we use empathy to build compassion (Scurlock-Durana, 2010). Empathy is a vital emotional force that is the foundation for relationships and social cohesion, so it is motivational in nature (Zaki, 2014) and can expand from an existence

between individuals to move across entire groups via social networks (Gorry & Westbrook, 2011). As the focus on empathy increases in an organization, the social cohesion also increases (Kopeck, Hazenberg, & Seddon, 2015), and the results can be amplified as they move out through the organization (Madden, Duchon, Madden, & Plowman, 2012). Evidence suggests that companies that focus on empathy and customer connection have increased productivity and financial success (Druskat & Wolff, 2001; Patnaik & Mortensen, 2009).

**Design thinking and organizational energy:** A strong connection exists between empathy and the energy of an organization (B. Owen, Baker, McDaniel Sumpter, & Cameron, 2016; C. Owen, 2007); motivation and connection are the building blocks for empathy and emotional energy within organizations (Dalton & Kahute, 2016). The empathy and emotional energy are generated internally within teams and externally from customers (Beaujean, Davidson, & Madge, 2006). Relationships can be energizing and in a work setting can lead to more engaged, better performing workers (B. Owen et al., 2016). Energy is like empathy in that it has both cognitive and emotional aspects (Bruch & Goshal, 2003). As such, energy is associated with relationships, and people can be energized by interactions and conversations (R. Cross, Baker, & Parker, 2003). Energy is a collective construct built and maintained on social processes (Cole, Bruch, & Vogel, 2005). Positive organizational energy has the ability to transform organizations and lead to better performance (Isern & Pung, 2007).

Overall, the literature is supportive of the following hypotheses: (1) The use of design thinking will increase the organizational levels of empathy. (2) The use of design thinking will increase the organizational levels of positive energy. (3) The use of design thinking will decrease the organizational levels of negative energy.

**Research Setting and Background:** The setting for my research is in a large biopharmaceutical company of approximately 28,000 employees worldwide. The company currently has affiliate offices in approximately 55 countries around the world with a commercial presence in over 120 countries. In 2013, the pharmaceutical division was divested from a large diversified health care company. The use of design thinking methodology was initially deployed by the pharmaceutical division nine years prior (when still part of the larger company) across the world by geographic region as a way to deepen the understanding of customer needs with the purpose of strengthening the value proposition of its products and services. The business is divided into marketing groups by geography (Western Europe, Eastern Europe, Middle East/Africa, Asia, and Latin America), and each of the geographic groups deployed the methodology in their own way. As result of many organizational changes as well as the normal employee turnover, there has been little to no retention of the knowledge or use of the design thinking methodology introduced nine years ago. Considering the current and complex health care environment in the region, the Latin America area vice president (VP) decided in 2017 that it would be important to restart the use of design thinking across the region, and a strategy was developed to complete the training across all the countries and team members in the region. By the usual scientific methodology, an experimental hypothesis is usually tested within a small population as a pilot or proof of concept prior to its deployment and testing in a larger population. However, in this case, as the desire was to refresh the methodology across all 12 affiliate offices in the region, the conduct of this study came as a unique opportunity for the researcher acting in the position of both scholar and practitioner.

**Study environment:** It is important to mention the context in which this study was conducted because the environment has the potential to determine the outcome of the research, specifically as the outcomes being measured could be influenced by a part of what was going on in the organization overall. First, the level of organizational buy-in is heavily influenced by leadership engagement in the initiative (Schein, 1971). In this case, the level of engagement was high at the top of the organization, as the Latin America area VP had introduced the overall initiative, and the general managers at the next level down in the hierarchy were champions of it as well. However, in my opinion, the degree of

engagement and support at the middle management level varied across the countries, and, as Huy, Corley, and Kraatz (2014) explained, this alignment of middle management is critical to the success of organizational change initiatives. Although the importance of both the methodology and the mindset were intentionally conveyed as part of the workshop curriculum, it is imperative that the individual be willing and interested in committing to personal perspective shift in order for the mindset development to occur. This is more likely to develop over time and with repeated exposure, which was intended to occur in each country/region; however, in reality, it happened in different time frames and at different intensities. Finally, the teams themselves were part of the overall Latin America commercial area and under the stresses of the business. All of the countries were experiencing different levels of economic, social, and political change and pressures. In addition, the region experienced an unprecedented impact from natural disasters in two of the countries, Puerto Rico and Mexico, which experienced multiple impacts from hurricanes and earthquakes respectively. All of these factors had the potential of influencing both the level of engagement in the initiative itself as well as the empathy and energy that the study was looking to measure. It is difficult to quantify how these variables might have influenced the outcome, but it is helpful to take them into account when considering the overall results.

**Study population:** Within the Latin America region of the company, the countries are aligned by markets. In some cases, the markets have a large enough volume of sales to be their own business unit (Brazil, Mexico, Puerto Rico), and in other cases, several smaller countries are grouped together based on geography and common market dynamics such as Region North (Colombia, Central America, Caribbean markets, Ecuador, Peru, and Venezuela) and Region South (Argentina, Chile, Uruguay, and Paraguay). Each of these business units has a general manager (GM) who has local management and decision making responsibilities within the countries and reports up to the Latin America area VP.

**Pre- and post-data collection:** In order to gather information from participants in support of the study, an online survey approach was deemed most appropriate, considering the ease of delivery, the design of the research tools, and an administration route that would be the least disruptive to the business. Team members received a single online survey via SurveyMonkey and were able to respond anonymously. Although all were encouraged to respond, the survey was voluntary, and individuals were able to choose whether or not to complete the survey or to skip any questions they choose. The survey included questions to assess organizational empathy and organizational energy, and it included a free-form text field so that the respondent could provide any feedback that they wanted. The survey was administered before the design thinking training sessions began and again approximately three to six months after the training, which was on October 6, 2017.

**Study Sample:** The study participants are defined by the location of work. The teams participating were located in the countries of Brazil and Puerto Rico. The countries of Colombia, Peru and Central America work together as a business unit defined as Region North. The countries of Argentina, Chile, and Uruguay work together as a business unit defined as Region South. All of the results of the groups taken together are considered total Latin America. In total, 585 individuals received the survey via email as a blind copy recipient. In the first survey, 159 of the 585 responded to the survey giving a response rate of 27%. In the subsequent survey closing out the process, 343 of the 585 completed the survey giving a response rate of 59%. Data were analyzed in a straightforward manner. First, for both dependent variables (empathy and organizational energy), comparisons were performed within each time frame. So at both times one and two, the means for each region were compared. This provided basic insight into the levels of the variables and any pre-existing differences in empathy or energy across regions. Primary tests of hypotheses were conducted by comparing means of each region across time periods. These analyses provided insight into any changes in the empathy or energy variables over time as they implemented design thinking. Data were also pooled *across* regions, and those global totals compared across time period. Follow up exploratory analyses were also conducted. Examination of the means by region suggested that some regions may be seen as outliers at a

particular time period. So those regions were taken out of the pooled data for several analyses to explore any central trends that may have been masked by the outlying region.

Although the overall trend for the empathy analysis for each group and the group as a whole show an increase in empathy over time, neither the individual results nor the total group reached the level of statistical significance. In organizational energy, we saw a dramatic difference in the productive energy levels across the groups, with Brazil having much lower productive energy than the other groups at both time points, and Regions North and South having very high productive energy levels at time one. In the negative energy analysis, Brazil again was an outlier with higher negative energy and, specifically, higher corrosive energy when compared to the other groups. The difference in resigned energy over time approached statistical significance for Region North and also had a statistically significant difference in corrosive energy and general negative energy between time one and time two. When the sample was viewed as a whole, all three of the negative energy subscales (resigned, corrosive, and total) showed a statistically significant difference in decreasing negative energy over time.

**Hypothesis 1: The use of design thinking will increase the organizational levels of empathy.** The prediction made by the first hypothesis was tested via a series of *t*-tests comparing respondents' empathy scores by region from time one and time two. The hypothesis predicts an increase in the average empathy score over time. This analysis was repeated for each location from which data was collected. Results do not support the hypothesis. There is a general trend of increases in mean empathy score from time one to time two. However, the increases in empathy do not meet the conventional standard for statistical significance.

**Hypothesis 2: The use of design thinking will increase the level of positive organizational energy.** The second hypothesis focused on the effects of design thinking as a problem-solving tool on the levels of positive organizational energy in the teams that use the methodology. The OE12 can also be used to derive a general score for both positive and negative energy. This is done by simply averaging the corrosive and resigned energy scores to produce a general negative energy score and averaging the comfortable and productive energy scores to produce a positive energy score. Additional tests of hypothesis two were performed by testing the positive energy scores across time. Results show, surprisingly, that the only significant difference was that Region South displayed a significant decrease in positive energy from time one to time two. Since this trend was the opposite of those in other regions, the combined analyses for positive energy were replicated with Region South removed from the sample. Results show that while the overall trend in means is more in line with what was expected, the differences in means were not statistically significant.

**Hypothesis 3: The use of design thinking will decrease the level of negative organizational energy.** The third hypothesis predicted that the use of design thinking as a problem-solving tool would decrease the level of negative organizational energy in the teams that use the methodology. The hypothesis was tested directly by a series of *t*-tests comparing the regions' means scores on the negative energy factors at time one with their mean scores from time two. Results show that that both Region North and Region South had decreases in resigned energy over time. However, only the test for the means of the Region North approached statistical significance. When the sample was viewed as a whole, all three of the negative energy subscales (resigned, corrosive, and total) showed a statistically significant difference in decreasing negative energy over time. Thus, the third hypothesis is supported by this analysis.

The lack of consistent support for the hypotheses may be attributed to differences in implementation of the design thinking process. While all regions were expected to implement design thinking, they implemented on different time schedules. This implies that respondents may have been at different levels of competence with design thinking at the time of the study. Furthermore, it is known that the design thinking processes were implemented more thoroughly in some sites than others. As some

locations implemented with a higher degree of rigor and accomplished participant buy-in, others did not implement effectively. It is likely that participants were not really exposed to or were not really practicing design thinking as intended.

**Empathy:** All individual groups and the total group showed a trend toward increased empathy per the empathy measure from time one to time two, though the results were not statistically significant due to small numbers and high variability. In order to learn or increase empathy, subjects have to make the choice to take on this challenge in order to put more attention on others and to ask questions in a deeper way to foster understanding (Montonen et al., 2015). Perhaps this proactive element of empathy would need a greater focus in the workshop in order to see significant effects in the teams for the empathy variable. Since the initial training, we have recognized the need to focus and reiterate the practices of the design thinking steps that relate to ethnography, which is directly linked to empathy development. It has been noted that this focus must be very intentional and is learned over time. Therefore, it is possible that the lack of significant change in this study relates either to lack of focus on this aspect of design thinking from the workshop or insufficient time allowed for the capabilities to have been developed.

**Organizational energy:** We remember that organizational energy is the result of the culmination of the energy perceptions of individuals within the daily processes of business and social activities within the organization (Cole et al., 2005). It is expected that teams will move through different energy phases when working on projects, and so the energy may shift at different points in time related to project work (Bruch & Vogel, 2011). The productive energy score for Region South was quite high in time one (89.37), and even though the score in time two was lower (79.34), the time two score is still high by the standards described by Bruch and Vogel (2011). It is possible that the team in Region South was working quite strongly on a project during the time one testing and less so in time two. For example, the pre-test survey was taken at the beginning of the year when Region South was implementing a launch of a business strategy. The post-test survey was taken toward the end of the year, when the team was working to complete financial commitments.

The one hypothesis shown to be supported was the reduction in negative energy across the teams. Bruch and Vogel (2011) considered that negative energy can be more easily influenced in a team setting and would be the first to be modified on the energy continuum. Corrosive energy and inertia can be destructive to teams both in terms of the business productivity as well as individual member's wellbeing (Bruch & Vogel, 2011), and so this is an important finding. Bruch and Vogel (2011) developed a benchmark that gives a target energy profile that can help to put the energy profiles noted in time one and time two in this study into further context. The productive energy levels in the study are already at a level that is comparable to the organizational energy score averages for benchmark companies. In fact, all of the groups individually had levels higher than the benchmark for productive energy, with Brazil being the only exception. Comfortable energy levels are close as well. It is only in the negative energy domains that we see differences in the energy profiles that are above the benchmark data.

**Study Design:** There are a number of valuable insights that have been gathered from this study that contribute to the scientific knowledge on design thinking and its use and influence in organizations. It is important to study and build an understanding of the conditions that best support the development of the design mindset. It is my assumption that the answers lie within the development of empathy and, more specifically, emotional empathy. This is the first study that attempts to measure the influence that the use of design thinking methodology has on cultural aspects of the teams that use it. Furthermore, this study considers two tools that suggest that this influence on empathy and energy can be measured and interpreted at an organizational level. It shows that the use of the methodology over time may help to reduce the negative energy within teams. Negative energy can have a destructive effect on team members and result in a decrease in productivity, and so this is a valuable insight. Based on the results

of this study and in my own personal experience in leading, teaching, and being part of design teams, I know that something very special happens when design thinkers come together.

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## **Positive Leadership Development: A paradoxical approach.**

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*I'm never any one of my attitudes, any one of my actions... The attentive pupil who wishes to be attentive, his eyes riveted on the teacher, his ears open wide, so exhaust himself in playing the attentive role that he ends up by no longer hearing anything" (Sartre, 1956).*

### **Abstract**

The following paper proposes that the construct called *Positive Leadership* (Cameron, 2005), based on the development of behaviors and practices that enhance organizational climate, interpersonal relations, communication, and meaning is primarily not developed through a conscious and direct process of learning attitudes and behaviors directly but paradoxically. Three C-suite executives, elected by at least three direct reports that consider these as positive leaders in the context of Mexican multinational corporations (+20,000 employees) were interviewed. The results confirm that these positive behaviors were never consciously developed through a formal process (training, mentoring or coaching) but through the formation of a belief system during their childhood that asserted that human dignity, respect, fairness and other virtues were unconditionally expected.

### **Introduction**

Research, innovation, and testing around leadership training, processes and development trend heavily in the business sphere worldwide. The wide amount of actual development services and even scientific literature surrounding this subject today allows the discussion to flourish more than ever.

One of the lead topics of the broader subject concerns the study and definition of those particular traits, beliefs, and mindset that make up a leader, particularly an authentic one. Therefore, popularity is building around training programs that can develop said traits and qualities that are commonly known to make up an authentic leader. Nevertheless, this paper questions the acquisition of said traits and qualities: those elements that make up a Positive Leader -able to mold positive climate, relationships, communication and purpose in an organization- are not necessarily, as commonly thought, developed through a conscious and direct process of learning attitudes and behaviors.

The following investigation attempts to redirection focus towards the very core of each individual in order to shed light on the discussion. What if those very elements that guide a person and give life meaning, were the same elements by which he or she defined and carried out their leadership framework. Positive Leadership development is a paradoxical process in the sense that being a Positive Leader is not much of a goal, as it is a consequence of those core values one stands by. It is not intended for an exemplary leader to be so, it occurs due to the fact that he or she has found profound meaning and purpose on whatever they are doing.

Leadership style and guidelines are hardly something that can be modified from one day to another, or through a series of behavior-oriented change efforts. Concepts such as these are rooted in identity and

go way back in one's own narrative. "Authentic leadership rests heavily on the self-relevant meanings the leader attaches to his or her life experiences, and these meanings are captured in the leader's life-story (...) self-knowledge, self-concept clarity, and a person-role merger is derived from the life-story" (Boas & Galit, 2005). The importance of one's own life story, as well as, their personal set of values and core beliefs appears as fundamental and deserve to be given a closer look when theorizing about leadership.

## **Methodology**

The methodology considered most adequate to serve the purpose of the investigation was to conduct three separate semi-structured interviews to different C-suite executives of large Mexican multinational organizations (+20,000 employees). Individual#1 is a Vice President of Operations. Subject #2, President and CEO of an Automotive Tier 1 Industry, and Subject #3, CEO and General Manager of a holding corporate office. The interviews were conducted in Spanish.

The interviews were recorded -on consent- for further analysis. Each interview took different directions depending on the course of the conversation, nonetheless, the interviewer narrowed down the questions in order to obtain the information required. The information gathered from the recording consists mostly of direct quotes from the interviewee, as well as, a paraphrase of certain highlights of their story.

The questions were the following:

1. Could you please share three stories that have defined your leadership?
2. What were the core-values that your parents tried to teach you?
3. What it means to be a "positive leader"?
4. What is the bright and dark side of being this type of "person-oriented" leader?
5. Is there any other element that fosters and motivates you to sustain this person-oriented leadership approach?

## **Results**

### **Individual #1: Vice-president of Operations**

The executive interviewed is currently not residing in his home country; this is relevant information given the fact that cases of expatriates -specifically considering those in leadership roles- imply a non-shared cultural alignment or basic assumptions, which can be a serious challenge. That is something that the executive even mentioned as a positive thing for his family. He asserted in question five that his wife was a core-element of being consistent and authentic with their values.

Given some personal elements acquired prior to this leadership role, he was able to embrace change, create healthy environments and promote values in the workplace. The root of said elements came up during the interview, particularly when asked about his early life, family and belief system.

The interviewee recalled the relationship he had with his first boss, whom he describes more as a coach. The quality of the person who guides you through those first moments in an organization may not determine who you will become, nevertheless, it can and most probably will influence greatly on your future role as a leader. He mentioned learning from his first leader that discipline is not opposed to a positive organizational climate.

When asked about his family, individual#1 elaborates greatly on how thankful he is for his family, particularly his mother. He narrated how his mother was a hard-working woman, which was highly odd the small South American community she lived in. He proudly went on sharing the story of how she got married, studied law up to become a Juris Doctor and became a federal judge in his home country. The executive spoke with incomparable pride about his mother and expressed how grateful he was for the education focused on values he received since early in his childhood. He remarked how this was the way he understood how being a leader has to do with service.

Lastly, the interviewee shared a core belief he strives to give an account of: “We have to get to the results with the people, not through the people. With the people, and we must never lose sight of that. This is what makes all the difference”.

### **Individual #2: President and CEO of an Automotive T1 global company.**

This CEO guided us through his exemplary leadership journey and affirmed that leadership is truly demonstrated in difficult times, as those characterized by uncertainty and change. A fast path to know what’s inside people’s hearts is under the pressure of difficult circumstances. In the context of an organization, losing sight of what is best for employees and collaborators is quite simple. Nonetheless, executive#2 believed that if people were not given a humane consideration and response, the organization could not claim to have a purpose. “We need to mind human dignity: people above all”. He speaks not only personally, but for the company as well: “Focus on people is our highest value. We have to see the person for his or her own value, not just from a business perspective, and, this is not by definition easy. I believe we are -in consequence- resilient. It is a particular strength of our people... we are, then, not surprised we get over every crisis”.

Further, in the conversation, the interviewee shared his perspective on leadership, in his own words: “Leadership is something that occurs when nobody is watching. Leadership is congruence, humility, and purpose”.

Individual #2 admits his thoughts and believes in leadership, work, people, and life, in general, he owes mainly to his mother and her teachings all the way through his early life. “All this I learned at home, from my mother”.

### **Individual #3: Global Corporation Vice President**

The last executive interviewed lead us detailed through his leadership story. The highlights of his leadership narrative also include family, belief system and certain priorities in the workplace besides rentability.

Individual#3 refers to the compilation of his first experiences in the organization as a school. After he came back from his MBA and got reincorporated with the corporation, he dedicated most of his time to innovation tasks, worried the procedures and machinery were not at their best. Once he got those problems almost completely out of the way, he thought to himself, “now, it is up to the people”. This actually came as a great insight for him considering his leadership role: “From now on, it is up to me to create an environment in which people can feel motivated since motivation comes from within, it is intrinsic. I can only provide an environment where they can actually be able to do more for themselves and for the organization”. It was at this moment when he actually understood what organizational culture is all about.

When looking farther into his personal narrative, the interviewee identified with unmistakable clarity a fundamental value he learned from his mother: a true spirit of service. He mentions that the way his mother cared for others and how she constantly denied her own comfort marked him to this day. He was not aware of the impact his mother's servitude and kindness had had on him. Nevertheless, he was naturally inclined to approach others in this way. He recalls a time where he was unemployed, and his first thought was to join community service Caritas. After an enlightening spiritual journey, he was back on track. On this note, he mentions that great leaders are usually a combination of a great spiritual background and solid executive qualities.

## **Discussion**

"I'm never any one of my attitudes, any one of my actions... The attentive pupil who wishes to be attentive, his eyes riveted on the teacher, his ears open wide, so exhaust himself in playing the attentive role that he ends up by no longer hearing anything" (Sartre, 1956). When the student consciously strives to pay attention, is when he is the most distracted, up to the point where he is completely lost, says Jean-Paul Sartre. In the philosopher's phenomenological attempt to state being-in-itself and being-for-itself, he stumbles upon the issue of the intentionality of consciousness; he argues the existence of a consciousness of being conscious. Being-for-itself is consciousness defined by nothingness striving to become a being-in-itself. Paradoxically when reached awareness, being-for-itself stays a nothingness undefined.

The phenomenological parenthesis serves this paper adequately: when acquiring consciousness of certain activity, it might just be no more. Translating this to the positive leadership development challenge, the question is whether the analogy is valid. Positive Leaders are those capable of more than just setting things straight and deliver results, but able to co-create with their collaborators a positive climate, positive relationships, positive communication and a positive purpose or meaning up to the point that behaviors are changed because of conviction instead of a conscious effort. This type of leaders is real; through the questions of the interviews presented above, some information was gathered on what were those fundamental elements that allowed those Positive Leaders to be who they are today. Not one was made from scratch during a coaching session. It is not the point of the paper to underestimate the efficiency of training and development sessions, they are wonderful and effective tools to enhance and upgrade leadership skills and teamwork.

From what was gather in the interviews, there are several elements that appeared in all three interviewees:

First of all, the impact their family had on them during their early life. These people were fortunate enough to have had around them hard-working, caring people that set an example for them that has marked and inspired them to this day. Coincidentally enough, all three spoke of their parents, especially their mothers. The values learned at home, are the ones they have in mind when leading people in an organization. Values such as service, care, and hope.

The second element shared by all three interviewees is a strong, solid set of core beliefs. Transcendence means the same thing to all three executives: it is not about a selfish desire to be great and live in people's minds for as long as possible but to be able to transform others towards the best version of themselves in order to reach plenitude. A strong belief system serves as a catalyzer when a difficult decision must be made, therefore, these leaders appear as authentic, they do not hesitate to first think on the impact decisions will have on their people. A strong belief system serves as a constant enhancer of positive climate, relationships, communication, and meaning. A strong belief system makes humans strong as well.

The third element shared by the three executives is the importance of creating a people culture. This last core element is something that clearly derives from the first two. If caring for others is not something that has been taught to someone from their childhood or has a spiritual conviction behind it, how exactly is one to take this belief and suddenly live by it? Considering the difficulty of the task at any moment, let alone in a time of crisis and despair similar to the experience of individual#2. The genuine conviction of caring for others for themselves, not only considering them as assets, is not something that can be easily taught overnight. For this same reason, the Sartrean analogy fits perfectly: Positive Leaders are not actively striving to become one. Their values, convictions, beliefs and mindsets lead them to become Positive Leaders.

Losing sight of what does not fully serve to oneself's advantage is not particularly evil, it is merely human. Therefore, for someone to behave differently requires an active effort. Said attempt can mean absolutely nothing to some; naiveness for others; but for Positive Leaders it means to be congruent with their most intimate and profound beliefs, making this attempt not only a very honest and genuine battle but also, since it is a transcendental commitment, it makes it more difficult to ignore. This is the very essence of a Positive Leader, the commitment to something greater than success and numbers, not contrary, but greater.

Future research calls out for a more diverse set of interviews. It is known by the researchers that the executives interviewed belong to a relatively similar context.

The last conclusion of this paper might be that there is a potential area of future research in the mainstream positive leadership development programs, and that is the kind of reflections that are capable to generate an impact in the belief system. That is what Socratic philosophy is ultimately about. *Mayeutics* in the ancient greek didn't intend to do poetry or mythology but confront the basic assumptions we take for granted. Exercises such as this were meant to question what was thought to be obvious and inquire deeper in the subject. The brilliance of *Mayeutics* -Socrates' signature methodology- is that the person ended up answering those questions themselves, though the process of question and answers led by Socrates.

This is the very essence of a genuine insight capable of reorganizing values and beliefs: an existential insight led by philosophical questions aiming to the persons' very core. The answers were not given by mere authority or dogmatism, they were product of a self-journey, guided by the right questions meant to create the deepest of insights: transformational insights.

Sometimes coming back to basics is absolutely disruptive.

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# **The influence of emotional intelligence, psychological capital and leadership on the individual's performance**

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## **Abstract**

The objective of this work was to investigate the influence of emotional intelligence, psychological capital and leadership on the individual's performance. It was done a survey with 182 individuals (182 teachers and 49 persons in a leadership position in a public company). It was proposed a model of influence after use the formative and the reflective approach to performance. The results confirm the bibliographic studies presented in the formative approach, evidencing the influence of emotional intelligence, psychological capital and leadership on the individual's performance for the group of teachers. For those in leadership positions, it was found that there is no positive effect of emotional intelligence and psychological capital on the individual's performance.

## **Introduction**

Individual performance is a recurrent theme in the literature and a subject of impact in the current scenario of uncertainties among the organizations, being content of interest for leaders, teachers, administrators and researchers. Despite the interest by the subject, the concepts of individual performance are complex, since the aspects that surround them are diverse. There is no model in the literature that represents the combination of the variables emotional intelligence, psychological capital and leadership as influencers in the individual's performance. Another literary omission occurs in the dimension of its studied aspects, the sub-constructs of emotional intelligence and psychological capital, as factors that form (formative) or reflect (reflexive) in the individual's performance. Based on this assumption, a literary review of the constructs emotional intelligence, psychological capital, leadership and individual's performance was carried out based on the authors Fernandes and Hipólito (2008), Deschauer (2007), Goleman (2010), Story et al (2013), Gupta and Singh (2014). The challenge, then, is to identify: What is the influence of emotional intelligence, psychological capital, and leadership on the individual's performance, from the sub-constructs presented as formative and reflexive?

## **Literature review**

**Individual's performance.** Bendassolli (2012) presents performance as a behavioral construct, that is, an action or set of actions performed by the subject, which contribute to the organizational objectives. The result is not performance, but the state or conditions of people or things that are modified by performance and, therefore, can contribute to the achievement of organizational goals or move away from them. A person's performance levels change over time and this occurs not only due to age and experience, but also because of phenomena that affect the skill acquisition, the level of performance at the beginning of a cycle, the persuasion and the empathy. From this point of view, Fernandes and Hipólito (2008) propose that people, as they mature professionally, begin to acquire greater capacity for abstraction and understanding of reality, which would lead to solve more complex problems, giving more significant contributions in the work. Dias et al. (2015), presents the term "performance", because it accumulates multiple meanings, sometimes ambiguous, understood by the authors under the perspectives of productivity, competence / capacity, result and sustainable outcome. The first

performance perspective focuses on all the actions that are performed. The other perspectives of the performance concept, however, contain value judgments. To measure performance, there are levels of analysis identified as organizational, team, or individual models. At the individual level, object of study of this article, the objective is the result of the individual's work, his / her behavior in the work environment.

**Emotional intelligence.** Malik and Masood (2015) found that emotional intelligence can be summed up in the combination of two words: emotion and intelligence. Here the emotion refers to the feelings that the person has inside him / her, while the intelligence is related to the capacity of reasoning about something. Emotional intelligence also enhances the individual's capability to improve their skills and become competent in certain work-related emotional and social skills which, consequently, can lead to better performance at work. In the studies conducted by Goleman (2010), the definition of emotional intelligence is in the individual's ability to identify, motivate and manage his / her own feelings and emotions and those of others. It is presented by the author as a new concept, and therefore cannot yet be said as far as it reaches as a response to the business requirements of the present, due to its variation from person to person in the course of life. Existing studies suggest that emotional intelligence is as powerful as I.Q. as tools for the individual's performance. The intellect, that is, the I.Q., cannot do its best without emotional intelligence. People with well-developed emotional practices who know their feelings and deal well with them are more likely to feel satisfied and efficient in their lives, assimilating the implied rules that govern the success in business policy.

The relationship between emotional intelligence and individual's performance. For Flores et al. (2007) it is important that the individual recognizes his / her emotions, feelings, reactions and thoughts to achieve better socialization, in order to construct an adequate environment of coexistence and acceptability. Just as fear, anger, envy, and jealousy are emotions of influence over people in organizations, and the kind of reaction to such conflicts can lead to aggressive attitudes and compromise the organizational performance. According to Rego and Rocha (2009), individual performance is determined not only by the intelligence quotient, but mainly by the emotional quotient. The intellect is not effective without the emotional intelligence; there is a need for integral partnership in mental life. The interaction between them increases the emotional intelligence, as well as the intellectual capacity, maintaining a balance between both of them. For Deschauer (2007), emotional intelligence provides, to a large extent, the individual performance, since the organizational success is mainly due to the individuals' ability to produce individual success. Thus, the increase of productivity passes through the potential of the individuals to recognize and utilize their emotional abilities.

**Psychological Capital.** The concept of CAP (Psychological Capital) is understood, according to Siqueira et al. (2014: 69) as "a positive state of mind in which self-efficacy, optimism, hope, and resilience are articulated to assist the individual in his or her work environment". For Gupta and Singh (2014), the psychological capital is what establishes the relation between the behavior of positive leaders and the behavior directed towards the creative performance of his / her subordinates. Leaders, by perfecting their behavior, can influence the psychological capital of their subordinates. Leaders who exhibit positive behaviors are more likely to develop the creativity of their subordinates, assisting them in their positive psychological capacity.

The relationship between psychological capital and the individual's performance. Souza et al. (2015) state that psychological capital has been presented as a predictor of attitudes and behaviors, that affect the performance of individual activities. It is important to emphasize that the relationship between the organization and the employee is a relationship of exchange, in which workers increase or decrease their level of involvement with work as far as they perceive a greater or lesser commitment of the organization to provide them support and well-being. According to the authors, workers with high psychological capital tend to perceive greater social support in the workplace and the organization, developing affective bonds with both. Milak and Mosood (2015) present the influence of psychological capital on performance based on an analysis in which, if a worker is optimistic, he or

she will generally have constructive expectations for the achievement of the established goals and will effectively be driven by positive feelings of confidence. Then, positive emotions will be expected to expand or replicate the paths to achieve the result. According to Hsu et al. (2014), psychological capital can influence employee work performance if there is positive growth in workplace behavior and decrease in negative behaviors and stress. For this, under the aspect of hope, the first factor of psychological capital, the individual begins outlining his / her goals. The leader then explains the need for concrete goals, a plan of action to reach them, the identification of sub-goals as a way to reap the benefits of accomplishments, and a second plan to deal with difficulties that may occur.

**Leadership.** For Dias et al. (2015), leadership is related to a process of the leader influence on the activities of a group for the establishment of goals and the achievement of organizational objectives. Leadership is not only the position of the leader, but the cooperation efforts of other individuals. In turn, Goleman (2010) believes that leadership is not domination. Its concept is related to the art of persuading people to work towards a common goal. Therefore, the author emphasizes the importance of working with feelings, that is, recognizing the feelings involved in what is done and the satisfaction that the proposed change can bring to the individual. To organize groups and negotiate solutions is an essential skill of the leader as it involves his / her ability to join efforts from a network of people and coordinate them, avoiding conflicts or resolving those that happen. He or she needs to be skilled in social intelligence, to relate easily with people and to demonstrate skills in reading the reactions and feelings of those he / she led. Goleman (2010) states that leaders with interpersonal skills have emotional intelligence. They have a good social outlook, are skilled in controlling the expression of their emotions, can assess how others react and are able to conciliate their social performance, adjusting it to ensure that it achieve the desired effect.

The relationship between leadership and individual's performance. Fonseca et al. (2010) states, that the leadership is very important in the strategic choice of the organization. The individual efforts, such as autonomy and responsibility of the leaderships with the organization, that are responsible for generating the results. Dias et al. (2015) propose that the team development depends on leaders, since an effective team trusts the leader, believes that their rights and interests would not be disregarded and would be more willing to take risks to achieve their goals. Effective leaders lead the individual's performance and the performance of the organization to the best. Fernandes and Hipólito (2008) present the process of the individual's performance in the competences, which, when associated to the criterion of complexity at work, tends to occur in the relationship between leader and subordinate. From the perspective of professional experience, the lower the experience of the individual, the greater the need for leadership support to improve his/ her performance.

The relationship between leadership and emotional intelligence. The leadership, according to Fonseca et al. (2015), can be related to the experimentation of positive emotions and to the regulation of emotions, besides the culture affects the prototypes of leadership and its behavioral manifestations using power and influence tactics. For Deschauer (2007), emotional intelligence seeks to provide increased productivity, resulting from the individuals' ability to produce their individual success when they realize that people recognize and utilize their emotional abilities. According to the author, the leadership is a fundamental factor to increase this productivity, because it is the intermediary that will direct the team in the search of the result expected by the organization. In this way, the leader should persuade others to achieve the desired goals. The leader is responsible for creating a recognition environment, in addition to be able to gain, through the skills of his / her team, benefits for the whole group, since it is up to him / her to play the role of managing employees for the organizational performance.

The relationship between leadership and psychological capital, Story et al. (2013) propose that the psychological capital of leaders can positively influence the quality in the relationship with their subordinates. This is because positive leaders are more likely to trust in their subordinates' ability to fulfill their responsibilities. The mental models of leadership, made up of psychological systems

related to external influences of the work environment such as lifestyle, where the individual expects to arrive, how he / she feels, acts, works and submits himself / herself to the relations of his / her business and to the interactions with the market, etc., are configured as one of the most efficient forms for individual and organizational performance, as reinforces Milan et al. (2011). For Gupta and Singh (2014), a positive leadership promotes creative subordinates, positively influencing their psychological capacities (psychological capital) mediated by the leadership / creativity relationship. By developing employees' self-efficacy, hope, and optimism, leaders can increase their resilience, a psychological resource that helps individuals to recover themselves from situations of failure and difficulty.

The relationship between leadership, psychological capital and emotional intelligence is relevant to the results desired by the organization. They refer to a cyclical process composed of work, individual performance and the leaders themselves as influencers who must apply these tools and be aware of their own emotions in order to favor the conduct of assertive and coherent attitudes. The relationships are expressed in the theoretical model that will be presented in this study.

### Research methods

It was performed a quantitative, descriptive and conclusive survey (empirical research). From the theoretical relations presented, a hypothetical model was elaborated with two variations. The formative approach, presented in figure 1, identifies the sub-constructs, hope, resilience, optimism, and self-efficacy as the cause (formers) of emotional intelligence. In the same way, it was studied the psychological capital, with its sub-constructs self-efficacy, optimism, hope and resilience. In the reflexive approach, presented in figure 2, the sub-constructs reflect emotional intelligence and psychological capital, presenting inversion of the arrows from the constructs to the sub-constructs.

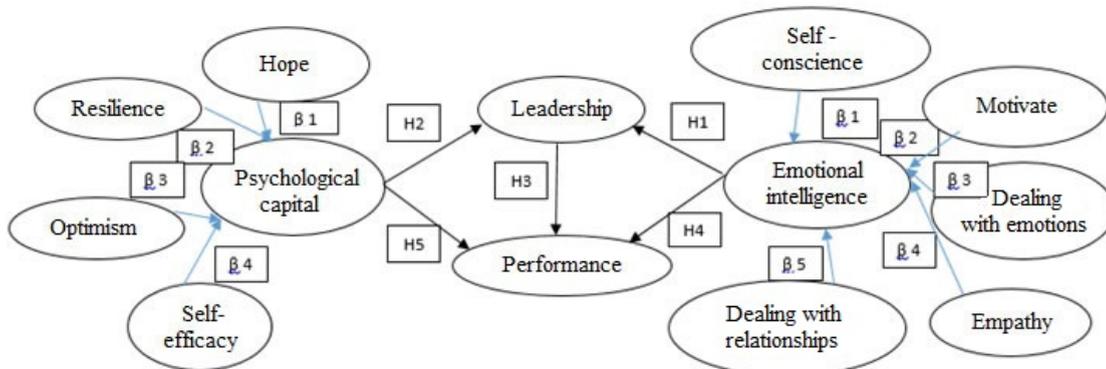


Figure 1:

### Formative Hypothetical Model

Source: Elaborated by the authors according to GOLEMAN, 2010; SIQUEIRA *et al.*, 2014.

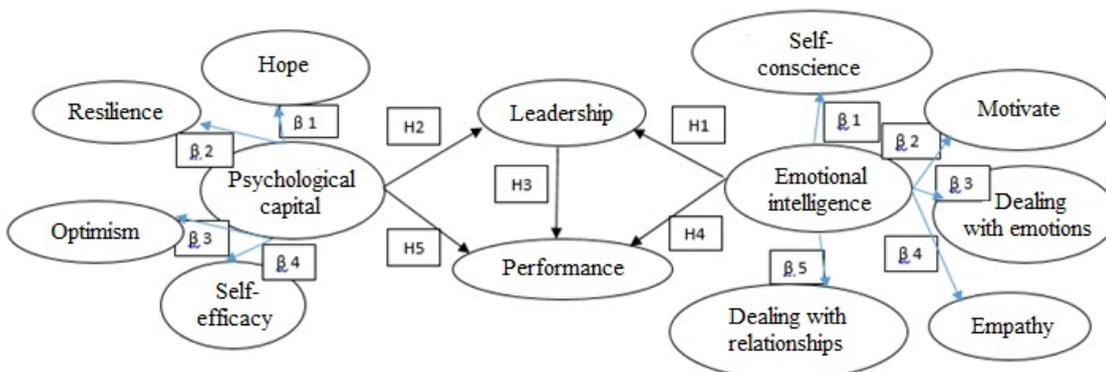


Figure 2:

### Reflexive Hypothetical Model

Source: Elaborated by the authors according to GOLEMAN, 2010; SIQUEIRA *et al.*, 2014.

The hypotheses of this study are: H1: There is a positive effect of emotional intelligence on individual's performance. H2: There is a positive effect of leadership on individual's performance.

H3: There is a positive effect of psychological capital on individual's performance. H4: There is a positive effect of emotional intelligence on leadership. H5: There is a positive effect of psychological capital on leadership.

It was researched teachers, who have students as subordinates and also individuals, who hold leadership positions in public and private companies in Belo Horizonte, Brazil, with at least one subordinate under their responsibility. The total sample was 133 (73.08%) public and private school teachers and 49 (26.92%) leaders in a public company. It was used a structured questionnaire (online and printed) with 72 questions, being 6 questions to individual characteristics and 66 questions related to 11 constructs (Self-conscience, Dealing with Emotions, Motivate, Dealing with Relationships, Empathy, Hope, Resilience, Optimism, Self-efficacy, Leadership and Performance). It was used a Likert type scale from 1 (Totally Disagree) to 10 (Totally Agree).

In order to evaluate the relations between the constructs, it was used the structural equations model with the PLS (Partial Least Square) approach (VINZI et al., 2010). With the objective of verifying the validity of the measurement model, that is, the ability of the set of indicators of each construct to accurately represent its respective concept, the dimensionality, reliability and convergent validity were evaluated. In the evaluation of the convergent validity, it was used the criterion of the Average Variance Extracted (AVE), proposed by Fornell et al. (1981).

The emotional intelligence and psychological capital constructs were second-order constructs, that is, they were not formed directly by the items (questions), but by other latent variables (indicators). To address this characteristic of the measurement structure, it was used the Two-Step approach (SANCHEZ, 2013). The second-order constructs "emotional intelligence" and "psychological capital", in addition to being treated as reflexive, were also considered as formative. The validation of a formative construct requires different approaches to those of a reflexive construct, and the conventional assessment of validation and reliability of the constructs should not be applied in formative constructs (BOLLEN, 1989). Therefore, to evaluate the formative constructs "emotional intelligence" and "psychological capital", it was verified if the weights were significant or greater than 0.20, and if the factorial loads were higher than 0.60 (LOHMÜLLER, 1989; CHIN, 1998). It was also evaluated if the Variance Inflation Factor (VIF) was higher than 5, thus avoiding multicollinearity problems. The software used in the analyses was the R software (version 3.2.4).

## **Results and discussions**

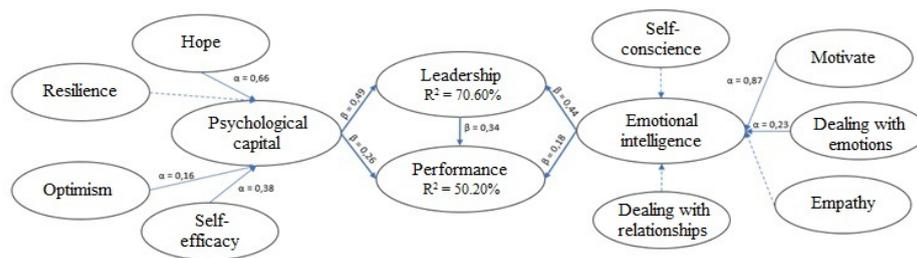
*Analysis of missing data and outliers:* it was performed an analysis of the outliers, that is, observations that present a different pattern of response than the others. No value was found outside the interval of the scale of its respective variable, thus not showing the type of outlier related to error in the data tabulation. In addition, it was found univariate outliers. The univariate outliers were diagnosed through the results standardization, so that the variable average was 0 and the standard deviation was 1. For this, observations with standardized scores outside the range of  $|3,29|$  were considered outliers (HAIR et al., 2009). According to this criterion, 92 (0.76%) observations were considered atypical in an univariate way. The multivariate outliers were diagnosed based on the Mahalanobis  $D^2$  measure. Individuals with a measurement significance lower than 0.001 were considered multivariate outliers. Based on this criterion 13 (7.14%) atypical individuals in a multivariate way were found. For believing that the observations are valid cases of the population and, if they were eliminated, could limit the generality of the multivariate analysis, although possibly improving their results (HAIR et al., 2009), it was decided not to exclude any of the cases.

*Normality and linearity:* By definition, the data set does not present an univariate or even multivariate normal distribution, since these data are limited in a discrete and finite scale. Through Spearman's correlation matrix (HOLLANDER et al., 1999), 1583 of 2145 significant relationships were observed at the 5% level, that is, 73.80% of the possible correlations. Therefore, since most correlations are

significant, it can be consider the linearity of the data. Also, the Bartlett test (MINGOTI, 2007) was used to verify the linearity in each construct. In all of them, p-values less than 0.05 were observed, indicating that there are significant evidences of linearity among them.

*Quality and validity of the constructs:* All constructs presented convergent validation ( $AVE > 0.40$ ). All the constructs presented Cronbach's Alpha (AC) or Composite Reliability (CR) above 0.60, that is, all presented the required levels of reliability. In all constructs the Factor Analysis adjustment was adequate, since all KMO's were greater than or equal to 0.50. All constructs were one-dimensional, according to the criterion of the parallel lines.

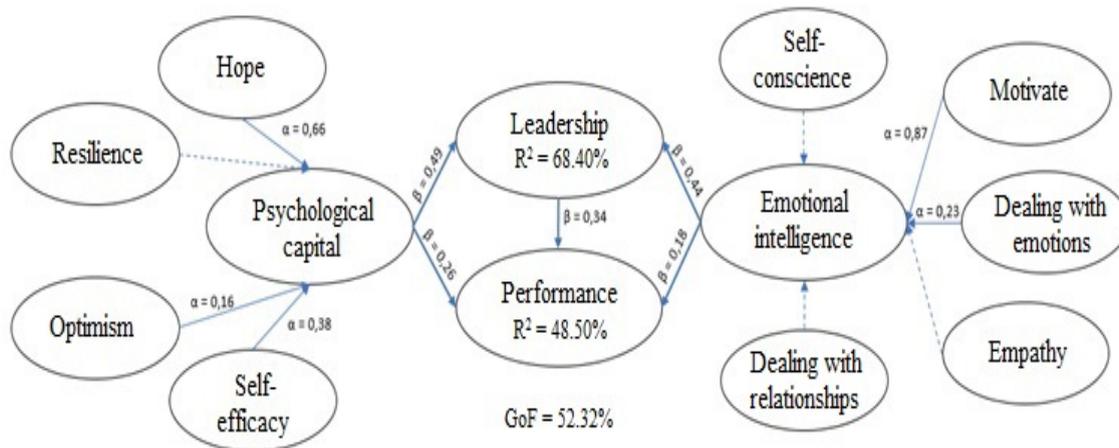
*Structural equations modeling.* It was performed a comparison between the formative and reflexive approach. In the reflexive approach, all constructs presented C.A. or C.R. reliability indexes above 0.60. All constructs had an AVE higher than 0.40, indicating convergent validation. According to the criterion proposed by Fornell et al. (1981), there was discriminant validation for the Emotional Intelligence construct, since the shared variance was lower than the AVE. For the psychological capital, leadership and performance constructs there was no discriminant validation, according to the criterion of Fornell et al. (1981). However, according to the criterion of Crossed Factorial Loads, there was discriminant validation in these constructs, both in the formative and reflexive approaches. In the reflexive approach to verify the quality of the adjustment,  $R^2$  and GoF were used. It ranges from 0% to 100%, and there are still no cutoff values to consider an adjustment as good or bad, but it is known that the closer to 100% the better the adjustment (HAIR et al., 2009). The result of the formative model is shown in figure 2.1 and the results of the reflexive model in figure 2.2.



**Figure 2.1: General structural model formative approach**

In the structural model in relation to leadership, for the formative and reflexive approach, there was a significant influence of emotional intelligence on leadership. The result reinforces the theory developed by the authors Deschauer (2007); Rego and Rocha (2009) and Manosso et al. (2013). Thus, the bigger the emotional intelligence, the greater the leadership. There was also significant influence in the construct psychological capital over leadership, which means that the bigger the psychological capital, the greater the leadership. Emotional intelligence and psychological capital were able to explain 70.60% of the leadership viability in the formative approach, and in the reflexive approach 68.40% were explained. This result corroborates with the theory presented by Story et al. (2013) and Gupta and Singh (2014). A positive leadership positively influences the capabilities of the subordinates.

Regarding performance, in the formative approach, there was a significant and positive influence ( $\beta = 0.18$  [0.02; 0.34]) of the emotional intelligence on performance. In the reflexive approach, there was no significant influence (p-value = 0.304) of the emotional intelligence on performance. In the formative approach the bigger the emotional intelligence, the greater the performance. There was a significant and positive influence of the psychological capital on performance and of the leadership on performance, reinforcing the theories presented by Souza et al. (2015); Milak and Mosood (2015) and Milak and Mosood (2015). Thus, the bigger the psychological capital, the bigger the performance, and the bigger the leadership, the bigger the performance. Emotional intelligence, psychological capital and leadership were able to explain 50.20% of the performance variability in the formative approach and 48.50% in the reflexive approach.



**Figure 2.2: General structural model reflexive approach**

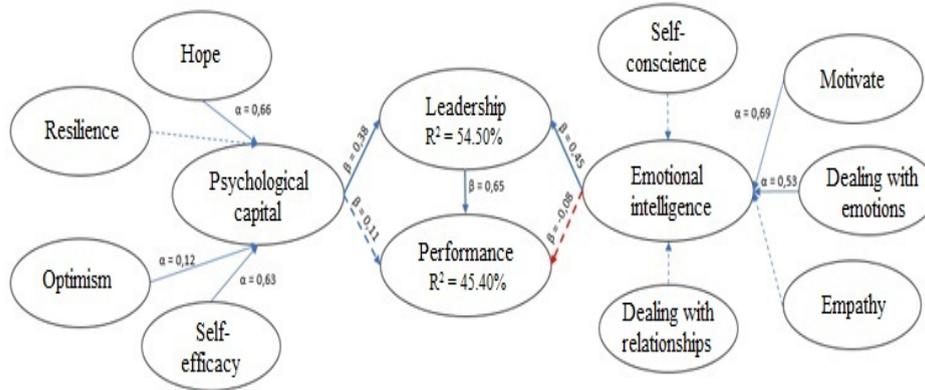
It should also be noted that the bootstrap confidence intervals were in agreement with the results found via p-value, thus evidencing a greater validity of the presented results. In the reflexive approach the model presented a GoF of 52.32%.

*Indicators of the structural model in the Structural Equations Modeling.* In the formative approach the indicator with the highest average (0.72) was the psychological capital, and the lowest average indicator (0.66) was the emotional intelligence. There was no significant difference between the indicators averages, since all confidence intervals overlap themselves. In the reflexive approach the indicator with the highest average (0.71) was the performance, and the lowest average indicator (0.54) was the emotional intelligence. There was a significant difference between the emotional intelligence indicator and the other indicators, since the confidence interval for emotional intelligence does not overlap with any of the intervals.

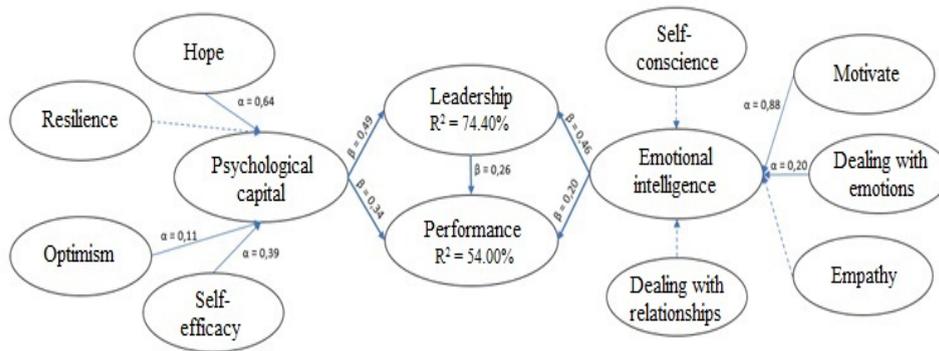
*Results of structural models.* There was no significant difference in the influence of emotional intelligence on leadership between the models and in the formative and reflexive approaches. In the formative approach there was no significant difference (p-value = 0.186) in the influence of psychological capital on leadership among the models. However, in the reflexive approach there was a marginally significant difference (p-value = 0.055) in the influence of psychological capital on leadership among the models, and the influence in the model for teachers ( $\beta = 0.54$ ) was higher than in the model for leadership positions ( $\beta = 0.39$ ).

In the formative approach, the influence of emotional intelligence on performance was not significant in the model for "leadership positions". There was a significant difference (p-value = 0.009) in the influence of emotional intelligence on performance among models, and the influence on the model for "teachers" ( $\beta = 0.20$ ) was higher than in the model for "leadership positions" ( $\beta = -0.08$ ). In the reflexive approach, there was no significant difference (p-value = 0.103) among the models in the influence of emotional intelligence on performance.

For both approaches the influence of psychological capital on "performance" was not significant in the model for "leadership positions". Moreover, there was a significant difference between the models in the influence of psychological capital on "performance", and the influence in the model for "teachers" was greater than in the model for "leadership positions". There was a significant difference between the models in the influence of leadership on performance, and the influence in the model for "teachers" was lower than in the model for "leadership positions". Based on the analyzed data, two structural models were obtained, represented in figures 2.3 and 2.4.



**Figure 2.3: Structural model for the group of leadership positions**  
Source: Elaborated by the authors with research data



**Figure 2.4: Structural model for the group of teachers**  
Source: Elaborated by the authors with research data

It is observed in the teaching group that emotional intelligence, psychological capital and leadership have a positive effect on the individual's performance, just as there is a positive effect of psychological capital and emotional intelligence on leadership. In the leadership positions group, it is observed that there is no positive effect of emotional intelligence and psychological capital on the individual's performance. This result corroborates with the authors GOLEMAN, 2010; SIQUEIRA et al., 2014.

## Conclusion

This study aimed to analyze the influence of emotional intelligence, psychological capital and leadership on the individual's performance. Based on these aspects, two groups were worked: teachers and individuals that hold leadership positions in public and private organizations. For the first one it was took into consideration their performance in the classroom, with their students as subordinates. The analysis, after presentation and interpretation of the obtained results, showed that for the group of teachers, the instrument presents a coherent structure with theoretical dimensions.

The results reinforce the theory developed by Davel and Machado (2001), who believe that leadership effectiveness lies in the ability of the relationship, in the process analysis as a link between leader and follower, which involves a relationship of double direction influence, oriented towards the understanding of mutual goals and expectations. This confirms the hypotheses presented in this study, that is, the positive effect that the leadership has on the individual's performance. This complements the argument of the authors Oliveira Fonseca et al. (2015), which relate the performance of the leader to the experimentation of positive emotions and the regulation of emotions. The leader needs to be emotionally intelligent to know his / her own emotions and the others' emotions, as well as their

intensity, causes and consequences (Rego and Rocha 2009). In this context, it is possible to assume that the way we feel affects our performance, as Caruso and Salovey (2007) specify. The way leaders feel at work can affect the effectiveness of their influence on people. This confirms the results presented for the group of teachers, where there is a positive effect of emotional intelligence, psychological capital and leadership on individual's performance.

It is concluded that this work brings a contribution to researchers, leaders and administrators, because the leadership is effective on the psychological capital, emotional intelligence and performance constructs, and it can be worked in organizations and educational institutions. Another contribution is the fact that it has been found in the literature, a model that represents the combination of these variables in a single model and the formative and reflexive dimensions of the studied aspects.

As a research limitation it can be pointed out the fact that, for the "Leadership Positions" group, the research, was limited to the application of only one organization, with larger samples. It is suggested for the "Teachers" group, the evaluation of the answers dividing the teachers groups of action in the Human Sciences and Exact Sciences areas, to verify if these premises are determinant for the relations of influence identified.

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## **CHAPTER 4: Building better organizations for tomorrow: the role of teaching and training**

### **(Re)Thinking the Teaching in Management Courses in Brazilian Universities in the Face of a Society of Control**

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#### **Abstract**

This study articulates the premises of Michel Foucault's disciplinary society and Gilles Deleuze's society of control to answer who and what the graduation courses and the degree in Management are aimed at. The society of control merges school and company, reinforcing the constitution and reproduction of a teaching system based on rationalization and control. The growth in the offer and enrollment in Management graduation courses in Brazil shows a simplification of the knowledge on the part of universities. Brazilian universities will continue to produce unprepared managers if teachers and students are not engaged in changing values and questioning the impositions of the State and if curricula repeat the speech of preparing students solely for job market and companies workforce.

#### **Introduction**

During the World Conference on Higher Education, in 1998, the Paris Declaration was signed, in which the international academic community has committed to set a broad agenda of issues. Among these issues, there is the commitment (Panizzi, 2002) with a university education that ensures its "vital importance for both social cultural and economic development and for the construction of the future, for which the generations to come must be prepared with new skills, knowledge and ideals" (Unesco, 1998) for the 21st century. Thereafter, this commitment undertaken in Paris has been reiterated in several other documents, such as the Extremadura Declaration, in which the education is thought as a strategy for the development of the nations, aside from being a right of all individuals and a duty of the State Government (Panizzi, 2002).

Since all this thinking is directed to an education of the 21st century and nearly two of its decades have already passed, even though there has been a growth of the offer and enrollment in higher education worldwide, there are major differences between developed and developing countries. In accordance with Paris Declaration, these differences must be corrected by concrete actions. However, both Dias (2002) and Ferraro (1999) already question the position of the university and higher education as a public asset or as a commercial service and they warn for the use of the dominant neoliberal discourse defended by Milton Friedman (1970), for whom the capital does not have social responsibility, besides the World Trade Organization interventions with dubious intentions in the global education, what may worsen even more a crisis of education and school that emerges since the 1970s of 20th century.

For the French philosophers Michel Foucault and Gilles Deleuze, the main characteristic of this social crisis is the substitution of the disciplinary logic for the control logic (Deleuze, 1992; Veiga-Neto,

2016). The family, the school and the company cease being social places of confinement and exert control of the individual through the discipline and start being places without spatial boundaries and with continuous time control. The hallmark of this society of control is the merger between school and company, with the rising of products and methodologies for the individual ongoing education.

The analogy of these two logics with education implies the presence of the school and company in the individual's life, which was considered well delimited once, space and temporally, today is continuous, in a cycle, movement or, as preferred by Deleuze (2008a), in an endless flow of influence in one another, which permeates all practices and all social levels, enabling us, making us participate in it and, mainly, by always keeping us under control (Veiga-Neto, 2016).

In Brazilian higher education, among all knowledge areas, Management courses seem to have fulfilled what was required by Paris Declaration, by becoming, at least numerically, those with the highest number of enrolled students in public and private institutions (Instituto Nacional de Estudos e Pesquisas Educacionais Anísio Teixeira, 2016). However, both Management theory and practice have supported positivist assumptions, reinforcing the constitution and reproduction of a current system of rationalization and control, aiming to create managerial harmony and practice of domination (Misoczky & Amantino-de-Andrade, 2005), what makes us inquire for what purpose or for whose service are these courses in this society of control proclaimed by Deleuze?

Therefore, aligned with Foucault's perspective and posture of constant suspicion (Veiga-Neto, 2016; Alvesson & Deetz, 1998), the general objective of this theoretical essay is to trace approximations and estrangements between the education in Management courses in Brazil and the assumptions of Foucault's disciplinary society and Deleuze's society of control that allow us to see or conjecture subjectivations to understand the movement of education in the current background of higher education in Management in Brazil. This study also contributes with the investigations about teaching and research in Management that question the teaching conditions in Management, an identified theme in Brazilian studies (Paula, Maranhão, Barreto, & Klechen, 2010).

### **Michel Foucault disciplinary society and exercise of power**

In his work *Discipline and Punish*, 1975, the French philosopher Paul-Michel Foucault (1926-1984) reports the disciplinary power and its explicit mechanisms for making the modern subject. In order to understand that the human social relations are permeated with power relations, Foucault sets comparisons between the army, prison, hospital and school as disciplinary institutions that exert a constant coercive control that limit the time, space and body movements with the purpose of obtaining more efficiency, greater usefulness, with the maximum obedience. In these "institutions of kidnap", capable of stealing our body and putting them through power mechanisms, punishment and physical violence are substituted for disciplining: while those terrify and immobilize, this, by making docile bodies, is economic and gets workforce from them (Veiga-Neto, 2016). It is under the aegis of surveillance, of the most unsuspecting actions, that the control is introduced in confused multitudes, "useless of bodies and forces" (Foucault, 1999, p. 143), exerting the disciplinary power on them, aiming to train them to become, at the same time, object and instrument of its exercise.

By introducing Foucault's central thought about the disciplinary society and its forged institutions, it is important, hence forth, to consider the contributions of this philosopher's thoughts as a perspective to conjecture possible applications in the field of education. Even though Foucault has been someone who never wanted to be a role model, a discursive model founder, who refused the traditional notions of writer, work and comment (Eribon, 1990), his explanations about the subject, knowledge, powers and modern institutions can contribute with approximations and estrangements in the field of education (Veiga-Neto, 2016).

The disciplinary power acts at a body level, setting particular forms of "being in this world", as much

as at knowledge level, setting “knowing the world” and “being in the world”. By seeing the social world with Foucault’s attentive posture and watchful eyes regarding the relation between power and knowledge, it is possible to “understand the school as an efficient tool capable of articulating the powers that circulate with knowledge which shape the school and are taught there” (Veiga-Neto, 2016, p. 15). Therefore, school is an institution that, widely and universally, contributed the most for the creation of docile bodies: objects of power and constitution of the disciplinary society (Veiga-Neto, 2016). The school is the institution that imposes the discipline that is “methods that allow the strict control of operations of the body that perform a constant subjectivation of its forces and impose a relation of docility-utility” (Foucault, 1999, p. 118).

The “will to knowledge” imposes itself over the subject through institutions like school, which uses pedagogic practices that provide a knowledge that is considered useful and capable of being verified. However, Foucault (1996) warns that this “will to knowledge” hides desire and power, which exert pressure and coercive power over the subject. Thus, the knowledge always articulates and organizes itself to satisfy this will to power.

These power relations become noticeable through discipline, because it is through it that relations between oppressor and oppressed or any other relation of command and commanded are established (Ferreirinha & Raitz, 2010). In order to establish power relations through discipline some techniques are necessary (Foucault, 1999): a) isolation of bodies in only one place (classroom, for instance) with the purpose of controlling them more easily; b) enclosure principle: “each individual has his own place; and each place its individual” (Foucault, 1999, p. 123), in other words, each student on his/her desk to prevent distribution by groups and, thus, it is possible to watch their behavior, punishing them when it is necessary; c) rule of functional distribution and the art of arranging in rows: the subjects are defined by the place where they are in a series and by the distance that separate them from the others. Students are arranged in rows, by age, behavior, level of learning; the education fragments itself in institutions, areas of knowledge, line of research, more specific curriculum or in academic degrees.

These arrangements permit to set a hierarchy of knowledge and capacities, in which each subject and the work of everybody are equally controlled. Thus, education organizes itself as a new economy of time of learning, transforming its space into a machine of teaching, watching, ranking and rewarding (Foucault, 1999). Through a school program, with repetitive, graduated and coercive assignments, the subject’s behavior is controlled until a necessary qualification (Foucault, 1999) to make the subject more profitable, with more productivity, for the maintenance of an economic force, for instance.

The disciplinary institutions, through the professor, use the hierarchic surveillance, regulatory punishment and exams to guarantee the success of their disciplinary power, qualifying, classifying and punishing the subject (Foucault, 1999). The educational system is, intrinsically, a materialization of the exam with the purpose of not only measuring and punishing the learning but perpetuating a relation of power between professor and pupil (Foucault, 1999). Also commonly called test, Foucault (1999, p. 155) explains that the exam “guarantees the movement of knowledge from the teacher to the pupil, but it extracted from the pupil a knowledge destined and reserved for the teacher”, enabling the formation of a knowledge related to the exercise of power. It is exactly the moment when “in becoming the target for new mechanisms of power, the body is offered up to new forms of knowledge” (Foucault, 1999, p. 132).

The modern subject of Foucault is forged in disciplinary institutions and, for this reason, it is constantly questioned, institutionalized, professionalized, rewarded and punished in the search of the truth. Therefore, the technologies of power presented in *Discipline and Punish* can contribute to understand the regulatory role played by school education over the subject, because the modern subject is not a knowledge producer, but he/she is the result of the knowledge (Foucault, 1998). “Every educational system is a political means of maintaining or modifying the appropriateness of discourses with the knowledge and power they bring with them” (Foucault, 1996, p. 44) at a certain

historic moment and social context. However, Foucault already knew that the modern subject, just like the disciplinary society he drew, would be living a crisis and would be replaced by a reality even more perverse presaged by Deleuze. The next section is about this new background.

### **Society of control of Gilles Deleuze**

The philosophy of Gilles Deleuze (1925-1995) was influenced by philosophers such as Nietzsche, Bergson and Spinoza, and also by the psychoanalysis of Félix Guattari. However, he did not do anything with Foucault, whose friendship was restricted to philosophical interest for Nietzsche (Gallo, 2016). The force of Deleuze's philosophy is on how he faced the issue "what is the thought able to do against all the forces that, by crossing us, want us sad, servants and fools?" (Pelbart, 2008). In order to answer it, he renounced the abstract western philosophy to be involved in concrete events of the present moment and the search for the slight details (Gallo, 2016; Pelbart, 2008). When it comes to education, Deleuze has never had discussions concerning the matter (Gallo, 2016). Possible educational contributions are connected with the advance in discussion about disciplinary societies of Foucault, which Deleuze will name societies of control.

Since World War II, the continuous control of the subject and the instantaneous communication are making a crisis in the disciplinary institutions such as the family, school and factory (Deleuze, 2008b). The establishment of these two forces is replacing the disciplinary society of Foucault with a society of control.

In society of control, there is a replacement of spaces of disciplinary confinement with open spaces, with lack of spatial boundaries among social institutions. Likewise, there is no control of time anymore, it is continuous, and individuals are never able to finish anything (Costa, 2004), but the fluxes coexist (Gallo, 2016). In addition, the subjects are always subjected to an ongoing education, which tends to replace the school; a continued assessment that substitutes the exam; an unpayable debt and prisoners in open field (Costa, 2004). While disciplinary societies operated energetic machines, societies of control operate computers, which are capable of detecting the position of each subject in a diffused world web. As the control is exerted out of the institutions, it becomes more fluid, then, more powerful, because it infiltrates through all social fabric (Gallo, 2016). The power ceases being tiered and personal and starts being spread to us from information webs. The power in the society of control regulates non-material elements like information, knowledge and communication (Costa, 2004). These control devices are more perverse and totalitarian than the discipline, because they give the subject a false sense of autonomy (Deleuze, 2008b).

In education, Deleuze reports the technicism of schools (Gallo, 2016). The school and company, once closed disciplinary spaces, will disappear and be replaced by the ongoing education of continuous control over the employee-student or executive-undergraduate. For Gallo (2016), educational reforms made by governments of various instances support the discourse of a quality education. Financed by World Bank, the quality in Brazilian education is determined by parameters of efficiency, effectiveness, utility and competitiveness of the capitalist society and complies with neoliberal purposes (Granzoto & Reatto, 2016). In a partnership with companies, governments intend to improve the Brazilian employee qualification, showing a modern State, under a higher control and subservience (Gallo, 2016). Considering that the disciplinary societies of Foucault and their evolution to societies of control of Deleuze are understood, the next section shows the current background of Management courses in Brazil with the purpose to place the discussion specifically in this area.

### **Current panorama of courses and professional education in Management in Brazil**

Management is the course with the highest number of enrolled students in public and private institutions (1,305,571 registrations) in Brazil. About 16.3% out of 8,027,297 enrolled students in Brazilian higher education are in Management courses. It is offered by 1,704 institutions, 213 public

(12.5%) and 1,491 private ones (87.5%). In total, there are 4,841 courses, 661 in public institutions (13.7%) and 4,189 in private institutions (86.3%). Southeast region has the highest number of institutions, courses and registrations, followed by South, Northeast, Central-West and North regions. Only in 2015, according to data from the last census, there were 238,031 new professionals in the labour market (Instituto Nacional de Estudos e Pesquisas Educacionais Anísio Teixeira, 2016).

Nowadays, the Resolution CNE/CES 4/05 (2005) determines that the course of Management in Brazil must provide ongoing education that develop, at least, the following competencies: 1) identify and solve problems, ponder solutions, think strategically, introduce changes in the productive process, act preventively, transfer and generalize knowledge and exercise, in different levels of complexity, the decision-making process; 2) develop expression and communication compatible with the professional exercise; 3) think and act critically over the production area; 4) develop critical, analytical and logical thinking to operate with values and mathematical formulations, and to express oneself in a critical and creative way when facing different organizational and social contexts; 5) be proactive, creative, determined, have managerial and political will, be willing to learn, open-minded to changes and aware of the quality and ethical implications of one's professional exercise; 6) develop the skill of transferring life knowledge and experiences for the work environment, proving to be an adjustable professional, 7) develop the skill to elaborate, implement and consolidate projects in organizations; 8) develop skills to make consultancy in managing and business administration, administrative, managerial, organizational, strategic and operational advices and surveys.

However, a survey carried out by Conselho Federal de Administração (2015) with employers that must employ the mass of trained professionals points out that there is a mismatch between the acquired qualification in educational institutions and what the organizations require, besides the gap between labour market and technical knowledge offered by administrators. So, the reflection that we elicit is the administrator's education is at the service of whom or what is its purpose? Facing this panorama constructed by courses, educational institutions, number of graduates and professional profile, what are the approximations and estrangements of Foucault's and Deleuze's thoughts for the teaching of Management?

### **Conclusions: approximations and estrangements of Foucault's and Deleuze's philosophy to think the education of Management in Brazil**

The thoughts of Foucault and Deleuze are used, in this text, as a theoretical perspective and as an analytical tool to establish, as suggested by Veiga-Neto (2016), estrangements and approximations between their philosophies and the subject aimed to be studied, describing and presenting it in counterpoint to the authors.

By shifting the concept of "minor literature" of Deleuze and Guattari, Gallo (2016) defends a "minor education", that one whose educational processes are capable of producing transformations in *status quo*, by means of micro-policies and professor acting in the classroom. However, what has been noticed in Brazilian higher education is a dominant "major education", made in the definitions of Brazilian Ministry of Education, "the good-thinkers heads to the service of power" originated from macro-policies (Gallo, 2016, p. 64). The metaphor used by the author to illustrate the "major education" is represented in Alan Parker's film, *The Wall*, which soundtrack is the song *Another brick in the wall*, by Pink Floyd. In this film, there is a mass of students that, without any identity, are ground by a huge meat grinder. Analogously, courses of Management have the highest number of students in the country, each future administrator is submitted to constitute oneself as another piece of the "machine of teaching" (Foucault, 1999), as another "brick in the wall". Thus, the machine of education operates and controls the creation and the exercise of knowledge forms that maximize the power strategies (Bergamo & Ternes, 2015). With discernment, it cannot be generalized. Only with a few efforts (Alcadipani, 2005), and yet centralized in the same schools of business, it has been directed to constitute a "minor education", by means of acts "[...] revolt and resistance [...] against the instituted

fluxes, resistance to imposed policies; classroom as a trench” (Gallo, 2016, p. 64-65). Although few universities are attentive to the criticism to professional qualification of the administrator, it has been supported that the majority of coordinators of courses and professors have difficulties interpreting and applying the Resolution CNE/CES 4/05 (2005) in the definition of the pedagogic-political project of Management courses. Not saying it is not their fault, but their own education as academic or studious of Management in business schools was directed so that they served dominant groups, with ideas and even with technical jargon that symbolizes an ideological and a cultural control, which reinforces the use of managerial domination techniques (Alvesson & Deetz, 1998).

The suggestion is that professors take the role of activists, create trenches, take the students out of the cultural and economic misery that prevail in the contemporary classrooms and establish projects with students and other professors in order to motivate a collective agency that changes the social context, opposing resistance and questioning the attempts of imposing the will of the state (Gallo, 2016).

It is still noticed, nowadays, a technical implementation of the knowledge by the universities, what makes us rethink their role as generator of knowledge and what kind of knowledge it is been dealt with. Nicolini (2003) characterized the teaching in Management in Brazil as transference of North American technology of Management, besides untying education, research and extension. Nicolini (2003) also compared Management school to factories and the students, to products, and realized that the education in Management in the country followed the Brazilian industrial age, which contributed with concepts of division of work, specialization and mechanicism. Since his paper was done before the approval of the Resolution CNE/CES 4/05 (2005), Nicolini (2003) warned to the need of integrating pedagogues and educators for setting new curricula that put the student as the subject of his/her own process of education with the use of innovative pedagogies. Although, what is the function of the processes of renewing education, transformers, if the administrator will continue to serve to capital accumulation? “The manager expresses the one that embodies the neo-capitalist ideologies, whose knowledge in marketing, finance, business planning etc., is crucial to the capitalist enterprise operation in its monopolistic stage” (Covre, 1981, p. 182).

Even after the approval of the Resolution CNE/CES 4/05 (2005), the guiding competencies for the administrator’s education have a positivist character, what makes evident the development of a subject to fulfill the performing required by the companies, and for the “creation of ‘administrative harmonies’ and the exercise of domination in several spaces of life” (Misoczky & Amantino-de-Andrade 2005, p. 193). The term “critic” mentioned three times in the competencies of education of the administrator (Conselho Federal de Administração, 2015), as already pointed out by Foucault (1990), certainly portrays the polissemic nature of the term, used in professional activities or for qualifying something or somebody, and not concerning the real denotation given to the term by Fournier and Grey (2000) and synthesized by Paula et al. (2010) that is the proposal of deconstruction of the naturalized view of the administrator education linked between the student competencies and organizational performance required by the job market, since what is at stake is still the earnings, profitability and the productivity; the knowledge generated is linked to concepts of efficiency and effectiveness. The same way the emancipating intentions of the subject are not considered, since the forms of exploitation, domination or control that inhibit the accomplishment of the human potential are not identified, reported or taken into account. Although these elements are directed to critical studies in Management, they could be thought and applied aiming the critical professional education in Management.

As the internationalization of economies and markets enhances, it also enhances the control of the production of world scientific knowledge by the countries of the north hemisphere, that is seen as universal and transferable to any context (Rosa & Alves, 2011). The problem of this view is the naturalization and conformity with this unequal relation of knowledge-power and that acts as a perpetuator of the hegemonic thinking (Rosa & Alves, 2011), what makes local and regional Brazilian problems not find a scientific basis to draw on to generate and find possible and appropriate solutions.

While this critical education does not begin at a noticeable scale, over one million and three hundred thousand students currently enrolled in Management courses in Brazil and the two hundred, thirty eight thousand new administrators entering the labour market annually will continue to be part of confused multitudes, useless of bodies and forces, in which are introjected the surveillance and control (Foucault, 1999) by means of curriculum defined by graduation courses, which repeat the discourse of making the student prepared only for the labour market, for the companies, for the maintenance of the economic force and the current capitalist system. If the university does not want to take the role of only preparing the human being to suit the professor's idiosyncrasies and, thereafter, the boss's (Foucault, 1999), it is important to start to position and "recognize that the administrative theory and practice have responsibilities with the constitution and reproduction of the current system, as well as its consequences: massive fact of poverty, social exclusion of most of the people, progressive destruction of the planet" (Misoczky & Amantino-de-Andrade, 2005, p. 204). The companies will not stop insisting in searching in the educational system the solution for their problems with workforce, and they still use the universities' credentials of issued diplomas, what makes the recruitment and selection process by the companies easier by ruling out people who do not have a diploma (Catani, 1981).

Following Deleuze's thought (2008b), the old school and company of Foucault are being substituted for institutions of ongoing training, under the discourse that the Brazilian worker's qualification depends on continuous specialization to the detriment of not being ruled out from the labour market. As of this subtle demand of society of control, the "consumer-student-worker-administrator start believing that he/she needs to consume techniques and packages of administrative tools" (Petinelli-Souza & Barros, 2010, p. 387), in an endless cycle of learning and development of skills. The education that once was a right of the individual is seen now as a product. It is worth remembering and having in mind that there is an illusion that the discourse of organizations are natural, normal and that they fulfill the contemporary society needs, although, this same illusion protects them from being assessed (Alvesson & Deetz, 1998) in their forms of exerting power and domination. Petinelli-Souza e Barros (2010) also warn for the current need of the companies to create strategies of normalization for several aspects that are difficult to control, which were out of the economic-productive cycle and that, now, are part of the capital raw material, since they become necessary in the production, among them highlighting the emotion at work, creativity, proactiveness, motivation and commitment.

Therefore, to survive in this society and to this perverse society of control already presaged by Foucault and deepened by Deleuze, Gallo (2016) suggests that every educator must think about their educative practice the same way the students must think about the education they have. So, trying to understand the manager's education implies in trying to understand what the processes that produce the administrative discourse are (Petinelli-Souza & Barros, 2010); or even to question what there might be out of the horizon of the discursive formation in which these statements operate (Veiga-Neto, 2016) and finally to police yourself continuously about macro-political discourses and do not act as a vector of the consolidation of these societies of control in education (Gallo, 2016) in Management.

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# **The Moderating Effect of School Support on the Relations between Cultural Values and Teacher Accountability: An Eight-Country Study**

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## **Abstract**

The present study focused on the *personal* aspect of teacher accountability, distinguishing its two dimensions: external (reporting to supervisors and other constituencies) and internal (reporting to inner professional values). The study explored accountability relations with two cultural values: individualism and collectivism, and with school support, using a multi-national sample. Collectivism and individualism at both teacher and school level predicted internal accountability, while collectivism at teacher level predicted external accountability also. School support moderated the relations of individualism and collectivism with internal and external accountability at teacher level. These results underscore the importance of cultural values for understanding teacher accountability. They also have practical implications for the management of diversified teacher faculty.

## **Theoretical Framework**

Teacher accountability has become a topic of interest in education in recent years following educational policies that largely focus on school accountability. Relatively few studies have focused on accountability as a characteristic of teachers' professional identity, namely as a personal trait or disposition. Consequently, little attention has been paid to antecedents of teacher accountability, particularly its cultural predictors. The study therefore explored the relations of two cultural values - individualism and collectivism - with teacher accountability disposition, while considering the intervening contribution of school support to these relations.

*Teacher Accountability Disposition.* Accountability on the personal level is defined in terms of holding people answerable for their decisions and actions. At school, teacher accountability refers to relations between teachers and diverse "audiences," where teachers report on the process and outcomes of their work, while the respective audiences offer feedback in the form of work assessment, rewards or sanctions (Frink & Ferris, 1998). We treat teacher accountability as a personal disposition (Staw, Bell & Clausen, 1986; Steel & Rentsch, 1997), namely the typical way teachers understand accountability in their work, regardless of particular situations.

Research on school leaders' accountability in the last decade distinguished two accountability dimensions, determined by the type of audience. For example, Firestone and Shipps (2005) maintained that school leaders' external accountability alluded to constituencies beyond the individual leader, such as school district bureaucrats, while internal accountability represented inner values such as professional code and personal ethics. We adopted Firestone and Shipps' (2015) conceptualization and definitions for school leaders as individuals for the case of a school *teacher's* accountability. Thus teachers' external accountability refers to accountability to superiors (principal, superintendent) or

other external constituencies (e.g., parents), while teachers' accountability in light of their inner professional values, molded by professional and ethical codes, is internal.

*Accountability Disposition and Cultural values: Individualism and Collectivism.* We focus on individualism and collectivism as cultural values that have been extensively studied in comparative cross-cultural studies: individualism and collectivism (Ralston et al., 2014). These two constructs, characterizing individuals' cultural make-up (Erez & Earley, 1993), have often been found to explain attitudinal and behavioral differences among social groups and individuals (Singelis, Triandis, Bhawuk & Gelfand, 1995). Ralston et al. (2014) found that individualism and collectivism were stronger predictors of ethical behavior on the individual than on the societal level.

Accountability as a dispositional trait, only exists within a social arena. Because individuals are enculturated through socialization in their particular sociocultural context, accountability is by nature culture-specific, therefore might be understood on the basis of cultural characteristics (Gelfand, Lim & Raver, 2004). Following this line, we expect teacher individualism and collectivism to be related to teacher accountability. We adopt Singelis et al.'s (1995) horizontal dimensions of these two values, where individuals and collectivists alike see other people as more or less equal (as opposed to the vertical dimension, where some hierarchy and unequal status is expected).

*Individualism.* Individualism implies that individuals are autonomous and independent (Schwartz, 1994). Individualistic employees are characterized by an emphasis on values such as autonomy, competition, freedom, independence and achievement (Schwarz, 1994; Triandis, 1995). We argue that in schools, teachers characterized by individualistic values will tend to be accountable. Accountability of individualist teachers will rest with internalizing school goals and standards, and accepting performance evaluation. For these teachers, being accountable to superiors and other school stakeholders (external accountability) will be consistent with their motivation to be competitive and achieve personal goals through pleasing relevant stakeholders. Being internally accountability will be consistent with one's commitment to one's personal values at work. Hence our first hypothesis

*H1: Teacher individualism will be positively related to teacher external and internal accountability.*

*Collectivism.* In collectivist societies, the individual is defined in terms of interdependence and relationship with a group. Collectivist individuals see themselves as part of an encompassing social relationship, and their behavior, thoughts and feelings are determined by the group norms (Markus & Kitayama, 1991). Individuals' personal goals and attitudes may be consistent with those of the group, but if not, the group norms will prevail. In education, collectivist teachers will see themselves more as part of the teacher body than as independent individuals. Accountability will then be perceived in terms of team's formal goals. Collectivist teachers will tend to be externally accountable based on their motivation to conform to the team's or organization's rules and procedures. They will also tend to be internally accountable, based on their respective team's professional norms of conduct. Hence our second hypothesis

*H2: Teacher collectivism will be positively related to teacher external and internal accountability.*

*Accountability Disposition and School Support.* We expect school support to moderate the relations of both cultural values – individualism and collectivism – with accountability disposition. Based on Eisenberger, Huntington, Hutchison and Sowa's (1986) notion of organizational support, we maintain that school support is a powerful explicator of teachers' behavior and performance. School support may enhance collectivist teachers' tendency to show accountability because the perception of support coming from the organization may yield a reciprocal response to organizational demands and expectations. As for individualism, based on exchange theory (Blau, 1964) we predict that teachers who feel that school caters to their individual needs may reciprocate by channelling their individualistic tendencies to loyalty to the organization's needs and values. Hence our third hypothesis

*H3: School support will moderate the relations stated in H1 and H2. When school support is high, relations between individualism/collectivism and the two types of accountability (external and internal) will be greater than when school support is low.*

## Method

*Data Sources.* The study sample consisted of 2,418 schoolteachers from eight countries: Canada (169), China (127), Hungary (341), Israel (418), Spain (470) South Africa (315), the Netherlands (178), Zimbabwe (400). Although sampling was not random, data collection in each country was performed in an attempt to represent the country's teacher body in terms of personal background factors, such as gender and age.

*Accountability disposition scale.* A 20-item self-report accountability scale, back-translated into the respective languages, was adopted from Rosenblatt (2016). The scale contained the following two dimensions: *External accountability* (13 items, Cronbach  $\alpha=.86$ ) and *Internal accountability* (7 items, Cronbach  $\alpha=.82$ ).

*Teacher individualism and collectivism scales.* These scales, each with four items, had Cronbach's  $\alpha=.74$  and  $.86$  respectively. Both were adopted from Triandis and Gelfand (1998), with application of their horizontal dimension.

*School support scale.* This six-item measure was adopted from Eisenberger et al. (1986), Cronbach's  $\alpha=.88$ .

*Background variables.* Data was collected on teachers' gender and seniority, and on school size.

*Analytical approach.* We used the Hierarchical Linear Modeling (HLM) software, to account for the nested nature of the data (teachers within schools). This analysis was performed for the whole data, ignoring country differences.

## Results

Table 1 summarizes the study results regarding prediction of the two accountability constructs. The final model shows that at the individual level collectivism predicted external and internal accountability ( $\beta=0.12$ ,  $p<.05$ ;  $\beta=.13$ ,  $p<.001$ , respectively), while individualism predicted only internal accountability ( $\beta= 0.03$ ,  $p<.01$ ). At the school level, both collectivism and individualism predicted only internal (not external) accountability ( $\beta=0.07$ ,  $p<.001$ ;  $\beta= 0.05$ ,  $p<.01$ ). These results partially confirm H1 and H2.

School support predicted both external and internal accountability at the individual ( $\beta=0.16$ ,  $p<.05$ ;  $0.07$ ,  $p<.001$ ) as well as at the school level ( $\beta=0.15$ ,  $p<.05$ ;  $\beta= 0.07$ ,  $p<.01$ ). School support also moderated the relations between collectivism and both types of accountability at the individual level, but in two different directions. When school support was high, the relation between collectivism and external accountability was *positively* significant ( $\beta= 0.02$ ,  $p<.05$ ), but was negatively significant in the case of internal accountability ( $\beta= -0.02$ ,  $p<.05$ ). No interaction was found at the school level. These results partially confirmed H3.

Regarding background variables, men tended to be more internally accountable than women ( $\beta = -0.04$ ,  $p < .05$ ). Work experience was positively related only to external (not internal) accountability ( $\beta = -0.03$ ,  $p < .01$ ).

### Discussion and Conclusions

The study results provide a wide-ranging (individual, school) explanation of differences in teacher accountability scores. As expected, both cultural values – collectivism and individualism – predicted teachers' accountability disposition. However, collectivism proved a somewhat more powerful predictor, as it predicted more accountability variables than individualism. This may attest to teachers' inherent commitment to the school community. Their identification with school norms apparently led to increased accountability, particularly internal.

Internal accountability proved more strongly linked to individualism (at both analytic levels) than external accountability. This finding is consistent with individualists' inclination to focus on inner values, such as educational values and professional conduct (Schwartz, 1994). The link found between school-level collectivism and internal accountability may be explained in that at the school level, collectivist teachers tend to focus on organizational learning, namely professional collective training, and the development of a school ethical code.

Teacher perception of school support seemed to enhance the relation of collectivism with teacher external accountability, but unexpectedly *decreased* this relation with internal accountability. A possible explanation for this surprising result is that school support largely seems concrete, serving teachers' practical needs. Therefore, when these needs seem to be met, teachers' collectivism may be channeled away from internal accountability issues (professional commitment, ethical drive) and more toward external (organizational) ones, as a way to reciprocate the support these teacher experience. This speculative explanation needs further investigation.

These findings underscore the difference between external and internal accountability: the latter was more susceptible to individualism than external accountability at both teacher and school levels. External accountability, on the other hand, was more susceptible to collectivism at both analytical levels; this relation that was enhanced by school support.

The results of this study may inform accountability theory by highlighting the contribution of culture as a differential predictor of the two accountability dimensions: external and internal. Practically, they may help decision makers understand variations in accountability perceptions within a culturally diverse teacher body.

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**Table 1: Predicting External and Internal Accountability by Collectivism, Individualism and School Support (Hierarchical Regression Analysis)**

	External Accountability		Internal Accountability	
	<i>B</i> (SE)	$\beta$	<i>B</i> (SE)	$\beta$
Fixed Part				
Intercept	2.93 (0.21)***		3.51 (0.019)***	
Gender	-0.03(0.023)	-0.03	-0.04(0.019)*	-0.04*
Experience	0.003(0.001)**	0.03**	0.001(0.001)	0.01
School Support	0.21(0.016)*	0.16*	0.08(0.014)***	0.07***
Individualism	-0.0002(0.015)	-0.001	0.04(0.013)	0.03**
Collectivism	0.20(0.021)*	0.12*	0.22(0.018)***	0.13***
School Support x Individualism	-0.0002(0.017)	-0.001	-0.02(0.014)	-0.01
School Support x Collectivism	0.04(0.019)*	0.02*	-0.04(0.014)*	-0.02*
School size (Size*1000)	0.11(0.036)**	0.07**	0.03(0.027)	0.02
School mean school support	0.34(0.059)*	0.15*	0.15(0.045)**	0.07**
School mean Individualism	0.03(0.062)	0.01	0.14(0.047)**	0.05**
School mean collectivism	0.06(0.083)	0.02	0.28(0.063)***	0.07***
Interaction lvl2indiv	0.14(0.130)	0.03	0.18(0.130)	0.02
Interaction lvl2Coll	0.29(0.174)	0.04	0.09(0.100)	0.03
Random Part				
	$\sigma_e^2$	0.22	0.17	
	$\sigma_{u_0}^2$	0.04*	0.02***	

Note:  $p < .001 = ***$ ;  $p < .01 = **$ ;  $p < .05 = *$  Gender: Male=1, Female=2

# **Preparing Students to Work in the Changing Labour Market Through the Creation of Significant Learning Experiences.**

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## **Abstract**

The labour market today is complex. Students preparing for the school to work transition need to be able to identify and cope with vocational challenges, in turn helping to promote social integration and maintain employability. In this study we test the effectiveness of relaying crucial labour market information via an integrated course design using forward-looking assessment and a string of activities associated with focus group interviewing. Results indicate that a multi-phase focus group assignment can be an effective way of creating significant learning experiences. The extent to which significant learning took place was tested using semi-structured focus groups upon course completion. Despite being present to varying degrees, content analysis revealed that the learning experience was able to promote each of the six kinds of learning present in a taxonomy of significant learning (application, integration, human dimension, caring, learning how to learn, and foundational knowledge). Study limitations and future research directions are discussed.

## **Introduction**

Over the past several decades the world of work has been replete with advancements in technology and communications, organizational downsizing and restructuring (Maggiori, Rossier & Savickas, 2015). As a result, the labour market has become increasingly uncertain, competitive and fragmented (Baruch & Bozionelos, 2011), requiring career entrants to possess higher levels of effort, self-knowledge and confidence than in the past (Savickas & Porfeli, 2012). The dynamic nature of work has resulted in the use of ‘new’ and ‘contemporary’ career concepts (Gubler, Arnold & Coombs, 2014), requiring individuals to take on a self-directed role in career development.

Foundational to understanding how individuals navigate this career environment has been advancements in career construction theory (Savickas 1997; Savickas et al., 2009). Career construction theory argues that individuals construct a career through the implementation of a vocational self-concept that has been formed and refined through past memories, current experiences and future goals (Savickas, 2012). Individuals subsequently express this self-concept in their responses to developmental tasks, work traumas and work transitions (Porfeli & Savickas, 2012). For contemporary emerging adults (individuals aged 18-25; Arnett, 2014) launching their careers for the first time, this self-concept is inextricably shaped and reinforced by the educational system preparing them for the school to work transition.

Recent empirical findings suggest ill preparation for this crucial transition. In a time where the actor of the modern, protean career needs to be self-directed and values driven (Hall, 1976; 2002), we find frequent reports of career ‘floundering’ (Arnett, 2007; 2014). Furthermore, milestones once achieved by age 25 are taking longer to achieve, illustrated by delayed schooling, finding full time employment, owning a home, having children and getting married (Krahn & Galambos, 2014). In a study of 230 emerging adults from a variety of backgrounds, Smith and colleagues (2011) found views on such topics as morality, politics and business are often lacking in interest, substance, judgment, value or conviction. Overall, the mismatch between labour market demands and socio-demographic changes

underscores the importance of educating students on their role in the labour market and how to critically evaluate it.

In this study we test the effectiveness of relaying crucial labour market information via an integrated course design (Hawk & Shah, 2014) using forward-looking assessment (Fink, 2013) and a string of activities (Fink, 2009). First, a review of the appropriate literature is given, highlighting the salience of selecting the particular course we did. Second, a review of the instructional design is provided, briefly outlining the interrelatedness of course learning objectives, assignments and assessment methods. Third, we detail the use of student run focus groups and their ability to serve as significant learning experiences (Fink, 2003). Namely, we utilize two semi-structured focus groups at the conclusion of the course, to evaluate the extent to which the learning experience was able to promote each of the six kinds of learning (application, integration, human dimension, caring, learning how to learn, and foundational knowledge) described in a taxonomy of significant learning by Fink (2013).

### **Background and literature review**

Christina and Bjork (1991) refer to a true learning effect as one that endures over time, producing relatively permanent changes in skills, comprehension, and general knowledge. In traditional classroom environments where lecturing is the predominant instructional method, it is often reported that students perform poorly in their recall of facts, theory, ability to apply course concepts to everyday life, and critical thinking skills (Gardiner, 1994; Arum & Roksa, 2011). Student criticism of these content-centered learning environments is pervasive as well. For example, Courts and McInerney (1993) found that students were dissatisfied with instructor reliance on lectures and workbook exercises. Furthermore, students reported concern for insufficient instructor interaction and 'hands on'/experiential learning.

Given the complexity of the labour market, career entrants need to possess more than a simple understanding of course content. Rather, students preparing for the school to work transition need to be able to identify and cope with vocational challenges, in turn helping to promote social integration and maintain employability. One's level of readiness to cope with vocational challenges (e.g. networking, exploring and refining career options) is captured in the construct of career-adaptability (Savickas et al., 2009). Adaptive individuals are characterized as: being oriented towards and concerned for the vocational future (concern), possessing self-discipline and drive toward making responsible decisions (control), explorers of personal circumstances and seekers of career related information and opportunities (curiosity), and confident that they possess the skills to overcome work obstacles when they arise (confidence) (Porfeli & Savickas, 2012). Overall, adaptability refers to one's capacity and motivation to learn and adapt to the environment around them (Briscoe and Hall, 1999; Hall, 2002). To facilitate adaptability, colleges and universities have the important role of creating significant learning experiences, which promote high energy classrooms and increased student engagement (Fink, 2003).

### **Significant Learning Experiences and Integrated Course Design**

Students develop learning strategies aligned with their level of course engagement (Chin & Brown, 2000). More engaged learners tend to utilize deep learning strategies, which constitute a strong interest in wanting to learn and understand course content. Subsequently, these learners evaluate past knowledge and experiences in light of their new knowledge and set mastery or learning goals moving forward (Dweck & Leggett, 1988). Conversely, less engaged students tend to utilize surface strategies which often involve memorization or repetition of learning content and culminate in setting performance goals (Ames, 1984). Labour markets require and educational institutions desire engaged students who will retain information upon course completion, be able to apply knowledge in novel situations, possess critical thinking skills, and have an affective/motivational desire for additional learning. Fink (2013) argues that the creation of significant learning experiences through Integrated

Course Design (ICD) is essential in creating high energy student engagement, wherein the course produces lasting change, preparation for the world of work and valuable life skills.

The taxonomy of significant learning builds upon the seminal work of Benjamin Bloom (Bloom, 1956). Bloom argued that learning occurs in a hierarchical sequence from knowledge to evaluation, with each level requiring greater cognitive ability. Despite revisions (e.g. Anderson & Krathwohl, 2001), this taxonomy has remained relatively unchanged, despite substantial changes to the environment in which contemporary emerging adults learn (Smith et al., 2011). Furthermore, as argued by Fink (2013), learning has to move beyond the three taxonomies discussed by Bloom (cognitive, affective & psychomotor) to incorporate ways of evaluating whether or not the learning has produced a significant, lasting change in the learner’s life.

Significant learning experiences produce lasting change through incorporating several synergistic and interrelated kinds of learning. More specifically, learning experiences can change the way students: understand and remember information (foundational knowledge), learn how to manage complex projects (application), make connections between other learning experiences (integration), learn about themselves or others (human dimension), value or care about something (caring) or learn about the learning process itself (learning how to learn)(Fink, 2013, pp 34-37). A learning experience is deemed significant when the course as a whole, or individual learning experiences, promote each of the six kinds of learning.

In addition to promoting several types of learning, the design of learning-centered courses must also consider the inter-relatedness of several other factors. Instructors have the complex task of evaluating situational factors surrounding the course (logistics, expectations, biases), determining what students should learn (learning goals/outcomes), how they will learn (learning activities) and how they should be assessed on these learning goals (feedback and assessment) (Fink, 2007). The following sections highlight how in a course preparing leaders for a constantly evolving workplace, we applied an ICD (Hawk & Shah, 2014; Fink, 2007) using forward-looking assessment (Fink, 2013).

## Methods

### Instructional Design

We evaluated a course titled “Evidence Based People Management”, which was also presented to the students colloquially and on the course outline as “State of the Workplace: Preparing Leaders for a Constantly Evolving Workplace”. This is a 12-week, senior-level course (year 4), for students in the leadership stream of a Bachelor of Commerce degree program. Broad course topics included: talent management, the digitized workplace and working in temporary organizations. Additional situational factors (Fink, 2007) about the course are as follows: a) the class involved 70 students, b) it was offered in a live, face to face format, c) it required several pre-requisites to enroll and d) the instructor had taught the course before. Learning goals were designed to include and move beyond content mastery in order to promote each of the learning styles found during significant learning experiences. Learning goals 1-4 were prefaced with the statement “Through completion of this course, students will be able to demonstrate a(n):”. Learning goals 5-8 were prefaced by the statement “Through completion of this course, students will be able to:”

**Table 1. Summary of Course Learning Goals, Activities and Methods of Assessment.**

<b>Course Learning Goals</b>
Holistic and mature appreciation of the complex, individual, group and organization behaviors, dynamics and tensions routinely at play inside and between organizations (Caring; Integration).
Ability to collectively and meaningfully evaluate the impact of current trends that impact the workplace in written and verbal form, including evaluation of others’ perceptions of trends (Application).
Expertise in multiple, complex talent management perspectives (Foundational knowledge).
Capacity to lead or guide leaders on effectively managing organizational events through developed

expertise on these events (Application; Human dimension).
Develop an understanding as to the uses and analysis of literature reviews, using information literacy to extract material from a variety of sources (Foundational knowledge).
Convey information clearly in a variety of formats including written and oral communication (Human dimension).
Develop reading comprehension skills as an intentional, active, interactive process that occurs before, during and after reading (Learning how to learn).
Apply logical principles to address problems and engage in divergent thinking (Learning how to learn; Application).
<b>Course Teaching and Learning Activities</b>
Library article search (2,5,7); 2-3 page reflection on talent management perspectives (1,5,6,7); 3-page state of the workplace report (1,5,6,7); 12-16 page literature review on talent management (1,2,3,4,5,6,7,8); peer review of 2 other literature reviews (2,3,7,8); group -run focus group and 12-14 page report (1,2,3,4,5,6,7,8); 3 minute narrated presentation of focus group report (5,6).
<b>Course Feedback &amp; Assessment</b>
Self-assessment; Peer evaluation; Verbal Feedback; Written instructor & TA feedback; Post-course focus groups.

Notes. The content in the parenthesis for each course learning goal refers to domains of the taxonomy of significant learning (Fink, 2013). Numbers in parenthesis under *Course Teaching and Learning Activities* refer to the associated learning outcomes for each activity.

Table 1 lists each of the course learning goals, the teaching and learning activities designed to accompany each goal, and the way(s) in which each goal can be assessed. Learning activities incorporate the principles of active learning (Bonwell & Eison, 1991) and were designed in consideration of Fink’s (2007) “Model of Holistic Active Learning”, which advocates the use of activities geared towards acquiring *information and ideas*, getting *experience* with the subject and *reflection* of course material.

In regard to assessment, we utilized several methods consistent with the notion of ‘educative assessment’ (Wiggins, 1998). Educative assessment makes the argument that a good assessment not only provides strong rationale for a particular grade, it also educates the learner towards improved development. In the next section we move from broad evaluation of the course learning goals, activities and assessments to highlighting the value of one particular course activity- semi structured focus groups.

### **Focus Group Assignment**

Focus groups, traditionally used in marketing (Morgan, 1996) have also been used for overall course adjustments (Coe, Darisi, Satchell, Bateman, & Kenny, 2012) and as a vehicle to allow students and course instructors to adjust course elements (Brandl, Mandel, & Winegarden, 2017). Students are encouraged to interact, discuss relevant points and question or accept the socially constructed view of the group (Krueger & Casey, 2000; Morgan, 1997). Focus group discussions result in qualitative data where the unit of analysis is the thematic content of the focus group discussion (Zhang & Wildemuth, 2009).

The focus group assignment of this course consisted of 3 stages. First, students were guided through a mock focus/discussion group simulation in-class to learn the practical procedure/method of conducting focus groups. They were subsequently provided with lecture slides of the simulation to review. Second, in groups of 2-3, students were assigned the task of conducting their own focus groups. They were told that the purpose of the assignment was to “develop an expertise in the issue of how organizations manage talent and demonstrate a reciprocated relationship to talented members while trying to stay flexible in an environment in which work is often done in projects”. Furthermore, they were told that they could not recruit any other student for the focus group that was not a member of the

class. The expectation for learning in the conduct of separate focus groups was that students would be given the opportunity to reflect and critically analyze their views and that of their peers. This was made explicit during the third stage when groups were asked to prepare a research report and give a presentation to the rest of the class on their focus group findings. The form that was used for both self and peer evaluation of the research paper is provided below (Appendix 1)

### **Analytic/Evaluative Procedure**

We utilized a two-prong evaluative procedure in this study, the second of which will be discussed in detail below. First, we reviewed the extent to which course learning goals, learning activities and assessments met the essential steps of integrated course design (Fink, 2013). Phases 1 (initial), 2 (intermediate) and 3 (final; Fink, 2013 p. 92) were designed prior to the course start date, while some steps were evaluated/refined during and after the course end date (i.e. debug the possible problems, plan an evaluation of the course and of your teaching).

Second, it was important to evaluate the effectiveness of the in-class focus groups at facilitating significant learning experiences. To do so, we replicated the in-class focus group assignment with two groups of 5 students, several weeks after submission of the assignment. Focus group discussions took place after the end of the course and were three days apart from one another. In our focus group discussions, students were asked questions related to the temporality of work and their view of its perceived impact on their future careers (see Appendix 2). The first focus group had 3 females and 2 males and the second focus group had 2 females and 3 males; all under the age of 25. Each focus group lasted approximately 30 minutes with the same researcher serving as the moderator. Each interaction was audio recorded and observational data (e.g. non-verbal cues) was recorded as well.

Transcripts of the discussions were processed verbatim. Overall, the two focus groups helped us to assess the extent to which students learned from the 3 stages of the assignment. In other words, student responses to the focus group questions should represent an amalgamation of 12 weeks of exposure to the salient topics, learning through immersion in the literature and multiple sources of reinforcing feedback (self assessment, peer assessment, TA/instructor written and verbal feedback).

## **Results**

In this section we evaluate the extent to which a significant learning experience was achieved by reviewing transcripts from two semi-structured focus groups for the presence of Fink’s (2013) 6 types of learning. The presence of learning types was evaluated through the procedure of content analysis. The primary goal of content analysis is to describe a particular phenomenon in conceptual terms (Elo & Kyngäs, 2008). Content analysis makes that assumption that when words or phrases are placed into the same conceptual category, that they stand to represent the same idea (Cavanagh, 1997). The specific manifest content to be reported will be what Strauss and Corbin (1990) refer to as in vivo codes and sociological constructs. In vivo codes are explicit, literal, words and phrases used by the participant. From these in vivo codes one can derive sociological constructs. Thus, findings in this study were theory as opposed to data driven.

**Table 2. Summary of significant learning types.**

<b>Learning</b>	<b>Description</b>	<b>Verbs/Data Indicators</b>
Foundational Knowledge	Ability to understand and remember information about the phenomena.	Remember, Understand, Identify.
Application	Ability to use and think about new knowledge in different ways. Learn how to manage complex projects.	Use, Critique, Manage, Solve, Assess, Judge, Do (skill), Imagine, Analyze, Calculate, Create, Coordinate, Make decisions about...
Integration	Ability to make connections between other learning experiences. Connecting	Connect, Identify the interaction between..., Relate, Compare, Integrate, Identify the

	one body of knowledge to others.	similarities between.
Human Dimension	Ability to learn about oneself and others. Discovering how to interact more effectively with other people.	Come to see themselves as..., Interact with others regarding..., Understand others in terms of..., Decide to become...
Caring	Creation of new values, interests or feelings about something.	Get excited about..., Be ready to..., Be more interested in..., Value...
Learning How to Learn	Individuals learn about the learning process itself. Development of knowledge, skills and strategies to learn once the course is over.	Read and study effectively..., Set a learning agenda, Identify sources of information on..., Be able to construct knowledge about..., Frame useful questions, Create a learning plan...

Notes. Verbs/Data Indicators column is adapted from Fink (2013, p. 89).

Content analysis revealed that at the assignment level, the focus group exercise supported multiple kinds of significant learning. For example, some participants recalled key information gleaned from the assignment and even forecasted how such knowledge may apply to their future careers (Foundational knowledge, n=18). This participant recalled specific concepts from their group focus group assignment that were not enjoyable, but nonetheless they recognized the salience of such activities toward personal career development:

“I want to learn some new skills which I can use in my further life...because...to be honest I don't like creating statements (financial) or like Gantt charts ... I hate this stuff but I know I can use this, use them in my like future job in the management of projects. So I will learn them, I will try to figure out how can I manage them”.

Some participants utilized knowledge from their focus group assignment to make assessments about larger trends in the labour market (n=14). For example, one participant reflected upon a classmate's comments using application (Fink, 2013) to critique the literature on generational work values (topic of their focus group) and provide an alternative explanation to changes in felt empowerment.

“Just to touch on that, I don't, I don't... I agree with everything you're saying, however. We feel more empowered because we feel like we can make a change... so I don't necessarily think the values are changing, I think the vehicles and channels through which we've expressed these values are changing”. Some comments illustrate an ability to compare and contrast various learning experiences (integration, n=13). The following statement illustrates integration of such contemporary work issues as ageism, generational differences in the workplace, and the movement from a manufacturing to an information society.

“The majority of people I speak to enjoy the change of scenery, change of pace... my dad worked in a factory for a long time and everyone of his friends I've talked to are there for twenty years, they say they hate it because it's no change... so I don't think it's our generation that likes change, I think every generation likes change. But since there's less factory work nowadays we're attributing this change to our generation, whereas in the previous ones, like, they had those factory jobs for each other. They didn't have the ability to change, but if they could have I think they would have.

For some participants, the focus group assignment provided them with an opportunity to learn more about themselves and others (human dimension, n=15). The following statement illustrates a discovery, or perhaps reaffirmation, of how to interact more effectively with others.

“So for me I think the most important thing in any team is to have an environment which is open to feedback. Because to grow as a group is different than to grow as an individual and the only way to grow as a group is to give feedback to understand how you feel about the group and how others feel about the group. So...an environment that is not critical...an environment that is supportive ...”.

In some instances, responses within the focus group suggested the creation of new values, interests or feelings about something (caring, n=11). In the following instance, a participant reacts not only to the pervasiveness of new communication techniques (i.e. social media), but also their view on how instructors and students interact in contemporary educational institutions.

“Like, we're taught that we can change the world with one post on Facebook... can save a baby... not really, but ...you can kind of you know, feel more empowered now because our teachers are telling us

that you can do more. And like we're kind of like that. We can do more so I guess like our generation, we're kind of like babied I guess in a way. We're just like 'you can, you can do more' you know. We are better (prepared) like project management wise (because) you think that you can do better".

In our focus groups, we also were provided with several statements illustrating self-directed learning on the various topics covered for the class assignment (learning how to learn, n=10). In other words, individuals used their acquired knowledge from the focus group assignment to propose appropriate strategies moving forward to enhance that knowledge. For example, the participant here uses the labour market context of advanced, readily available IT systems to argue that the presence of information alone does not constitute user understanding. Thus, individuals need to learn to be able to distinguish valuable information from noise.

"I think that's under the assumption that when someone learns something they implement corrections to compensate for that learning, whereas that's not everyone; people happen to have a new insight and not act on that new insight. So, although I think it is very true that the information and technology does spread information much more readily and easily...and a lot of the information might be good and beneficial. But for someone to choose to use that information to improve themselves is a different topic from the fact of the information being available."

## **Discussion**

Results of this study indicate that one way of inculcating valuable information about the labour market is through integrated course design and evaluation using the taxonomy of significant learning (Fink, 2013). This is important because albeit to varying degrees, students continually try to make sense of the world of work and their place in it. From the ages of 18 to 25, they engage in both self-exploration and an evaluation of their surrounding environment (environmental exploration) to yield career related decisions (Flum & Blustein, 2000; Ng, Burke & Fiksenbaum, 2008).

Overall we found the value of using focus groups to be twofold. First, for a 12-week course geared at educating students on and preparing them for the current labour landscape, student run focus groups met all of the tenets of an effective learning activity (Fink, 2013). More specifically, this activity was tied to numerous learning goals and incorporated multiple sources of reinforcing feedback (self assessment, peer assessment, TA/instructor written and verbal feedback). Second, the use of post hoc focus groups as a source of assessment/feedback was also found to be effective. Even after several weeks, students were still engaged with the course content and provided responses illustrative of each of the 6 learning types.

Given the complexities of the labour market, it was important to prepare students for continued learning about the environment and their roles within it. In addition to integrated course design, the creation of a string of activities (Fink, 2009) was helpful in achieving this. For the focus group assignment this included: a mock focus/discussion group simulation; conducting their own focus groups and being members of another focus group; writing a paper on their findings and presenting an abbreviated version of the findings to the class. This string of activities required students to find resources (academic papers, magazines, websites, etc.), formulate a suitable topic, develop individual and group-based learning strategies, self-assess performance, and appropriately respond to feedback from multiple sources.

### **Contributions and Limitations**

This study contributes to the academic literature in several ways. First, it illustrates a suitable use of integrated course design (Fink, 2013) for a course educating and preparing future leaders for the constantly evolving workplace. Educators looking to design or revise a similarly themed course can reference and build upon the course learning goals, activities and methods of assessment presented in table 1. Second, through the use student-led focus groups as an instructional tool, focused on the course topics, we were able to find evidence of significant learning experiences. More specifically, we found support for using a focus group as a forward looking/authentic exercise (Wiggins, 1998)

reviewing the occurrence of significant learning. Furthermore, we demonstrate that focus groups can be used as an assessment of learning as a methodological contribution.

This study however is not without its limitations. While we were able to recruit 10 participants out of a class of 70 (14.3%), a greater number of focus groups would have enhanced our confidence that data saturation was met. In addition, future cross-sectional research should incorporate comparative findings for the use of focus groups against other qualitative or quantitative forward-looking assessment. Even more preferable would be the longitudinal evaluation of the forward-looking assessment method. Our study could have also been more explicit with its focus group questions. While we opted for a more covert way of assessing the 6 learning types, future research could more overtly ask such questions. For example, in regard to caring, one could ask each participant ‘did you develop any new feelings, interests or values about (topic) during the (learning activity)?’ Future studies should also consider additional metrics such as class evaluations, student engagement and performance, to evaluate the lasting impact of the assignment.

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**Appendix 1.**

	Rating	Comment
The abstract makes logical sense and is written in a way that is comprehensible. Includes the objective, method, and results.		
The introduction presents an argument for the importance of the topic.		
The research question is clear		
Tables and figures have legends that are clear and they demonstrate the same thing that is stated in the text.		
The methodology presented in the manuscript is accurate		
The methodology presented in the manuscript is properly conducted		
The discussion makes sense and it reflects what the data in the article reports.		
Implications for own career are stated (2+2)		
The bibliography is complete and formatted correctly		
The manuscript is concise and well organized.		
Claims are supported by arguments/facts and not by opinion.		

Positive comments:

When constructive criticism is required:

When linguistic alterations are required:

**Appendix 2.**

Anchor questions to guide the focus group discussions.

What do you see your role in project work? <sup>1</sup>
Please describe your ideal work environment.
In reflecting on past experiences, if you worked on a successful team project, what worked? If you worked on an unsuccessful team project, what did not work? <sup>2</sup>
What are the most important skills that make someone an effective people project manager <sup>3</sup> . Follow up- What behaviors are associated with each of these skills? <sup>3</sup>
Based on what you know about projects/project management what would you think is the ideal way that a project should be conducted? <sup>4</sup>
Let's shift gears a bit and talk about people your age, whom you might consider to be your contemporaries or "your generation." Do you believe that project work fits with the goals and values of people your age? Please explain.

Notes. <sup>1</sup> based on Huemann, Turner and Keegan, (2007). <sup>2</sup> Adapted from Hoegl, Ernst, and Proserpio (2007 and Hoegl & Parboteeah, 2003). <sup>3</sup> From Fisher (2011, p. 996). <sup>4</sup> Based on Newman and Williams (2015).

# **Creativity values in higher education: The 6 Ps model through case studies in polytechnic schools**

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## **Abstract**

The main goal of the current work is to understand the role of creativity in the scenario of polytechnic schools. The adopted framework was the 6 Ps of creativity (Rhodes, 1961; Runco, 2004, 2007a and b) in which creativity is argued in terms of the dimensions emphasised. Employing a qualitative methodology, the case study approach was the adopted strategy. Firstly, the empirical field covered the 8 schools of the Lisbon Polytechnic Institute (LPI), and subsequently the 3 schools considered the most creative were analysed. In a cross-case comparison, results show the different focuses that differentiate these schools according to their areas of expertise. Research avenues are provided and innovation strategies for public higher education are discussed.

## **Introduction**

Historically, traditional education models have been heavily questioned, and higher education has been losing ground in terms of knowledge creation since the 1980s (Scott, 2000; Limoges, 1996). This is due to increasing external pressures of government policies and economic agents to produce more applied and transferable knowledge, which has implications in pedagogical and education models, where the connection with the labour market and business in general has been unavoidable and usefulness and employability are thoroughly discussed (Scott, 2000). Global socioeconomic challenges have also put some pressure on higher education (HE) models. As Barr and Tagg (1995) note, we have shifted from an ‘instructional’ paradigm to a ‘learning paradigm, i.e., higher education institutions are now tasked with producing learning. The literature that discusses the new education models has stressed the essential role of creativity. Some authors, e.g., McWilliam (2009), have pointed to the teacher’s new roles, for instance. Teachers now have to be co-creators of new meanings, without being immune to the meanings of socioeconomic structures or the new training needs that emerge from complex economic systems. Traditional teaching methods no longer work, and new ones have been removing power from the hands of teachers. The student is no longer a passive apprentice and receiver, they no longer want to learn only what is already well established. The more traditionalist models can no longer prepare students to be creative in a constantly changing environment.

In this context, other authors such as Gaspar and Mabic (2015) point to the great economic, cultural, and macro-environmental challenges that are changing the role of universities. These are now leaving behind the traditional fashion of doing research to become entrepreneurial institutions, demanding more autonomy to make decisions, developing and implementing applied knowledge research projects

and transferring their social relations networks out of the academic community. Thus, academic competitiveness has been reflected in a variety of actions that go beyond the classroom, such as activities outside the curriculum, innovative and new modules, development of diverse skills, easy access to information, and environments conducive to new types of learning. At the intersection of all this, the stimulus provided by creativity is fundamental for the development of the university student (Gaspar & Mabic, 2015; Fields & Bisschoff, 2013). Due to this educational challenge, we intend to understand the role of creativity in Portuguese polytechnic higher education. Taking into account that the structure of HE is not very different from the one that exists in most European countries where university and non-university subsystems are alternatives for those who want a higher education degree. This binary system contemplates the existence of polytechnic institutions that, albeit with a university status, are clearly more focused on professional courses than universities. In Portugal, polytechnic education focuses on the training of technicians with a practical preparation, and in scientific and economic areas specific to each region. The conception-practice dichotomy would be at the basis of the most obvious distinction between both higher education subsystems, where universities would concentrate on developing the students' conceptual capacity, while polytechnic institutes would encourage their pragmatic skills. Nevertheless, the differences between these two higher education subsystems have become blurred, which has resulted in the effective similarity of their learning models.

Considering the mission of polytechnic higher education, more focused on the application and development of knowledge and on understanding and finding solutions for real-life problems, studying creativity within its scope is increasingly imperative. Assuming the matrix that characterises it, creativity-inducing practices and their respective management should be carefully considered also in this type of education subsystem. Polytechnic higher education schools must therefore play their role, identifying their creative potential and enhancing their performance; thus contributing to the degree of innovation of the country itself. In addition to fulfilling their mission in society, by identifying their creative potential and devising strategies to optimise their creative performance, schools are setting the course towards their differentiation. Consequently, they are self-assessing their state of the art, building critical thinking and defining strategies for the creation of knowledge, managing knowledge more efficiently, and consequently innovation as well. Taking these issues into consideration, the underlying question of this work was: What characteristics are associated to the creative potential and performance that identify LPI schools considered most creative?

### **Theoretical Framework and Model of Analysis**

Creativity is a complex construct. To reduce this constraint, the chosen framework was the 6 Ps model, developed over time by several authors and systematised by Kozbelt et al. (2010, p.24-25). This model congregates the various approaches to creativity in organisational contexts. It is divided and organised into two dimensions: creative potential and creative performance. For example, Runco and Pagnani (2011) describe the two dimensions with the following components: Potential is analysed by person (personality traits and characteristics), process (cognition), press (a. distal: evolution, culture; b. immediate: places, setting, environment). Creative performance includes products (ideas, patents, inventions, and publications), persuasion (historical reputation, systems-individual-field-domain, social attributions), personal interactions (state X trait; person X environment).

According to these theoretical meanings, and as applied to the educational context, this model was understood from a systemic perspective, i.e., potential and performance are interdependently linked. Thus, three propositions were developed to guide the ensuing research.

**P1.** *The most creative schools are those that simultaneously highlight all the components of creative potential, and their creativity is guided by the component that stands out in this dimension.*

People, processes, and stress factors indicate the existence of creative potential. However, this does not imply creative performance, although these components can eventually lead to it (Runco, 2007a and b). Creative potential in academia has been discussed by several studies and authors. For example,

Barbot, Besançon and Lubart (2015) list a set of characteristics associated with individuals, as well as the relationship of the people with their contexts, the social environments, and the characteristics of the tasks and processes involved in the pursuit of the objectives involved. Other examples associated with this component are the attractiveness of creative actors, creative actors, such as teachers, students and other academic agents to the creativity generation (Kozbelt et al., 2010; Runco, 2007a and b; Amabile, 1983); developing processes for creativity emergence, using creativity methods and techniques (Kozbelt et al., 2010; Runco, 2007; Simonton, 1984); pressing to be creative, building a creativity-oriented culture, and having places for creativity triggering (Kozbelt et al., 2010; Runco, 2007; Amabile & Grysiewicz, 1989).

**P2.** *The most creative schools are those that simultaneously highlight all the components of creative performance, and their creativity is guided by the component that stands out in this dimension.*

As pointed out in the literature and by the authors that have contributed to the robustness of the 6 Ps model, the existence of products, persuasion, and interpersonal relations clearly demonstrate the existence of creative performance (Runco, 2007a and b). On this topic, we can find many examples in the literature, among which: promoting the development of new products (e.g. differentiated training offer; new projects of applied knowledge; scientific outputs, such as patents, publications, competition ideas); and covering creativity in the curriculum, syllabuses, and assessment of the courses (Kozbelt et al., 2010; Runco, 2007; promoting communication (and persuasion ability) for being a creative person, whereby it keeps the reputation of being a creative school (Kozbelt et al., 2010; Runco, 2007; Runco & Richards, 1998; Amabile, 1990); establishing strong social interactions between teachers, students, and the other actors in the academic community in order to strengthen a true creative climate (Kozbelt et al., 2010; Runco, 2007a and b).

**P3.** *Creative schools are those that manage to transform their creative potential into performance, achieving a balance between these two components.*

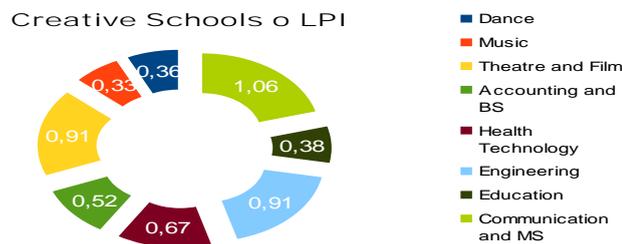
In the field of education, the potential-performance relationship is one of the most critical problems, particularly the new challenges and pressures that HE is currently facing; particularly the growing demand for the creation of applied knowledge for the surrounding environment or its transfer to society. Literature focused on knowledge-based society is vast in this field, where the Triple Helix model (e.g., Leydesdorff, 2006; Etzkowitz & Leydesdorff, 1998) stands out. This model stresses the importance of the relationship between universities, industry, and government. Thus, in order to respond effectively to these pressures, HE has to effectively manage creativity, harnessing potential and generating creative outputs to the outside, improving and increasing its performance (Etzkowitz, 1994). A well-managed potential promotes good academic performance; and, as noted by some authors (e.g., Barr & Tagg, 1995), it has major impacts on academic productivity and attracts more funding (Liefner, 2003). In these new challenges, HE assumes new functions by transforming its potential into performance, by assuming new functions in society, by requiring student training to be more adjusted to the demands of jobs, with more varied and rigorous qualifications (Guerrero & Urbano, 2012; Guerrero et al., 2016). The level of demand on higher education is greater, taking into account the agents who seek it, the increasing complexity and speed of knowledge, and the expectations that universities should contribute to the generation of knowledge (a traditional function), as well as to its transfer to the world of business, to the market and to the development of societies, a whole new function (Mian et al., 2012).

### **Method and Empirical Context**

The methodological background was qualitative, using the case study method as recommended by some authors in this area (Yin, 1994; Stake, 1994). The study was conducted in two phases: an exploratory and a confirmatory one, as some literature on qualitative approaches suggests (e.g., Miles & Huberman, 1994). In the first phase (exploratory), the empirical field was composed of the 8 LPI schools, grouped into 6 scientific fields: i) Arts: Lisbon School of Dance, Lisbon School of Music, and Lisbon Theatre and Film School; (ii) Business Sciences: Lisbon Accounting and Business School; (iii)

Health Sciences: Lisbon School of Health Technology; iv) Engineering: Lisbon Engineering School; v) Education: Lisbon School of Education; and vi) Communication: School of Communication and Media Studies. The main purpose was to identify which of them were the most creative. In order to do that, the criterion of the reference to its creative products and innovative achievements was used. As a data collection technique, semi-structured interviews were conducted with privileged interviewees. Thus, these interviews were conducted with the school's management (n = 6), namely the vice-president and those in charge of the arts, quality, innovation, and entrepreneurship departments. The collection and analysis of these data followed the spirit of the triangulation of the sources of evidence as recommended by Yin (1994) in order to determine which schools had the largest number of creative indicators. In this sense, websites and newsletters, as well as newspapers, were also analysed, and 85 pages of content analysis were produced. In line with Bardin (1977), content analysis was performed by analysing categories and producing graphs and tables reflecting relative frequencies data (RF). From this analysis, it was possible to reduce data and construct indicators that would lead to the identification and selection of the most creative LPI schools. From the categorical analysis, the most evidenced categories, i.e. creative indicators, were: awards won, participation in entrepreneurship competition, and development of innovative products/services/projects. The interviewees' perceptions on the creative potential and performance of schools were also analysed. From the triangulation of these data and via the construction of co-occurrence matrices, it was possible to identify the 3 most creative schools, which constituted the corpus of the exploratory phase case studies. Graph 1, based on these procedures, illustrates the circumscription of the empirical field for the second phase.

**Graph 1: Relative frequencies of category analysis (interviews, websites, newsletters, and newspapers)**



The exploratory phase followed the same methodological procedures. The three schools considered most creative in the preceding analysis were observed, and interviews were also conducted with the institutional interlocutors (n = 16): Communication and Media Studies (n = 5), Engineering (n = 5), and Theatre (n = 3) - (n = 6). In the Lisbon Theatre and Film School, following the suggestions of the interviewees, and although the schools are structurally together, they actually work separately and have very different characteristics. Thus, separate case studies were conducted. Consequently, in the confirmatory phase on the creativity in LPI, 4 case studies were constructed and not 3 as initially foreseen. It is also important to stress that in the phase that included the collection of data via interviews, the empirical saturation of the data was ensured. As soon as interlocutors repeated the same information, this form of collection was it was stopped. The number of interviews per case took into account the size of the schools themselves, using the criterion of proportionality, i.e., larger schools had more interviews. In this phase, a co-occurrence analysis was also performed. In the data analysis process, rules were defined to count units of register. The relative frequency of occurrence of units of register was used as the counting method. This process generated categorical and co-occurrence matrices of relative frequencies. This in turn helped us to visualise the categories highlighted in the cases, isolating the essential determinants in each case study. This analysis was carried out per category in each dimension and context unit (information sources), allowing for the intersection of several co-occurrences in the content analysis. In addition, the MAXQDA (version 12.1.0) software was used to help categorising and reducing data.

## Findings and Discussion

Our first concern was to understand the dimension of creative potential. According to the analysis model, the analysed components were person, process, and pressure/context. Table 1 shows the differences between cases for this dimension.

**Table 1: Creative Potential (components by relative frequencies)**

	Communication and MS	Film	Theatre	Engineering
<b>People</b>	15	6	9	5
<b>Process</b>	10,3	9,6	10,3	3,8
<b>Press/Environment</b>	9,3	4,6	4	8

As can be seen, the creative potential that drives schools is different. People are the main component in the field of Communication and Media Studies (RF: 15); in Film and Theatre, the focus is on the process (Film - RF: 9.6; Theatre: RF: 10.3); and in Engineering the focus is on the press and environment (RF: 8). This reflects the characteristics of their specific activities where each of these schools finds its strengths.

In the case of Communication and MS, the main people are students and teachers. In general, students in this school stand out for their restlessness, for always wanting more: they want to know more, to experience more, to go further. This sometimes creates frustration in the teacher, since students are naturally dissatisfied and very demanding in terms of the learning process. Students in this school have creative nuclei and show great dynamism and capacity of mobilising to generate new products with much autonomy. This stimulates teachers to be even more creative, and to provoke creativity in the teaching-learning process. The traditional model of teaching is not the most employed in this school. The teacher plays the role of an adviser promotes teaching via practical problems, collaborating intensely in the students' extracurricular activities. The faculty has the peculiarity of being constituted by experts in the areas where they teach, bringing in their knowledge and experience. Another aspect is the fact that the school invites alumni who have at least two years of experience to assist in laboratory classes. At Film and Theatre, the process is extremely important. Teaching in this school is very oriented towards know-how, deep mastery of techniques, both in performing arts exercises and in the creation and development of a film. In the specific case of the Theatre, it is neither the starting point or the goals that are important, it is the process that defines the language and writing of the creative exercise. Performing arts are a permanent process and hence the influence of this component. The process is always present: 1. Before, when they combine and define assumptions, deciding how things should be done and establishing objectives; 2. During the course of the exercise itself and in the methodologies to be applied, whether from improvisation or by setting standards; and, 3. After, post-première, the confrontation with the audience. In Film, the process is justified by the current learning model. It is strictly based on experimentation. All work is done by original student projects. These students have much autonomy and freedom, according to their interests, within predefined parameters, and the year they are attending. Assessing how the project has occurred is very important because it implies the very development and progression of students' learning. Error here plays an essential role: mistakes determine the development of the students' process, their individual development and learning. In Engineering, the great potential is the connection of the school to the external environment, both as pressure and as an externalisation of the knowledge produced within. This school is considered emblematic in its field of action, having developed emblematic projects for the innovation scenario in Portugal. This arises from partnerships established in the scope of different projects that have developed in recent years. It is a very technologically creative school, developing new solutions to problems that companies and government bodies present them. This school is not always able to meet all the requests made by companies, as there is a lot of demand to solve industry

problems. The focus on creating applied knowledge functions as a determinant of pressure, and it is felt in its collective.

Regarding creative performance, and according to the components conceived: products, persuasion and personal interactions, differences are also evident, as described in Table 2.

**Table 2: Creative Performance (components by relative frequencies)**

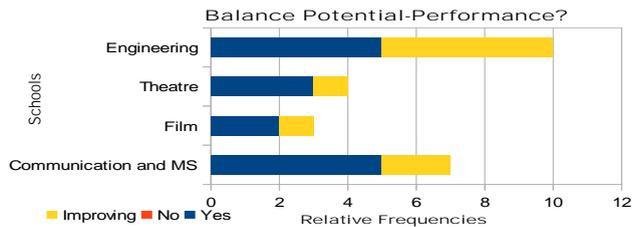
	Communication and MS	Film	Theatre	Engineering
Product	12,3	2,3	7,3	2,6
Persuasion	10,3	7,3	6	7,3
Interactions	9,6	1,2	5,3	3,3

The existing potential also determines the performance generated. According to the characteristics of both the study areas of the schools and their focus on the potential, the largest differences are seen in this dimension. The main creative performance in Communication and MS is the product generated (RF: 12.3). In the field of arts (Theatre and Film), where these two school come together in the dimension of potential, here they differ. In the case of Theatre, its performance is tied to product (RF: 7.3), in Film (RF: 7.3) and in Engineering (RF: 7.3) is Persuasion. These data isolate two types of performance: 1. by product (CMS and Theatre); 2. by persuasion (Film and Engineering). The personal interactions were the least visible component, being the least mentioned; with the exception of Engineering where it occupies the second place (RF: 3.3). In the case of CMS, its products are very emblematic and have great impact in the environment where they were generated. These products are considered very creative, e.g., television and radio shows, and extra-curricular activities for students. Since students and teachers are the main potential of this school together with the skills of excellence developed in the learning process, these students usually stand out in almost every competition they enrol in outside the school. This is regarded as one of its great strengths. Every education area of this school stands out in the national scenario, particularly as regards marketing and advertising in terms of creativity. In the case of Theatre, given that the product has its very own characteristics and results from an ephemeral process that culminates in the practice of performative art, this is what mobilises the entire creative process. Evidence of this component has been the appearance of many new theatres created by students of the school that have met there for the first time or in end of year shows that take place in renowned theatres in Lisbon (Teatro Nacional, Maria Matos, Trindade ...); in addition to the constant invitations to companies and festivals of international prestige. In the case of Film, persuasion is justified by its image associated with learning. The marketing of the school is well done, mostly backed by its reputation, reflected in the high level of demand for these students. This school has already won awards in international festivals, being one of just a few whose students have won awards at the Cannes International Film Festival. This school is associated to the birth and development of Portuguese cinema, both in the field of work and education. The emblematic people of the Portuguese cinema scene have gone through this school, either as students or teachers. In Engineering, reputation is also the core of its performance. The strong connection to the outside world and the applied knowledge and its transfer is what dictates data in this component. This school has been the origin of emblematic prototypes that have resulted from the resolution to problems posed by the external community. This validates its role and relationship with the outside world. The existence of tremendous human and technical skills attracts companies, and thus the school strives to make its actions pertinent in terms of collaboration, providing consulting services, as well as supervision and execution of projects.

When we observe the balance of creative potential and performance, there are no large differences between schools. Most claim that their performance is good, given their potential. Contingencies external to these schools prevent their performance from being even better. These contingencies, common to all, are the lack of resources due to the country's financial and economic distress and the heavy bureaucratic weight that affect the functioning of public schools. In every school there was at

least one interlocutor who, despite these barriers, argued that creative performance can be improved. Emphasis is placed on Engineering, where all respondents complain about the improvement of school performance. Graph 2 describes this reality.

**Figure 1: Balance between creative potential and performance**



Given the data, we discuss the propositions previously equated by the research. In relation to Proposition 1, every component of the creative potential dimension was referenced by schools. This reflects, as argued in the literature (e.g., Barbot, Besançon, & Lubart, 2015), its existence. However, schools are differentiated by the component that stands out in each of them. This also denotes their strategy and characteristics in its own field of expertise. In the case of Art schools (Theatre and Film), the process is the most important potential for creativity, implying a high focus on the field of techniques; in CMS, people are the core so that their domain is developed successfully, because they are the ones that communicate and develop projects; in Engineering, given its nature, applied knowledge and the transfer of knowledge, naturally its potential emerged from the factors of pressure and in the relationship with the surrounding environment.

Concerning Proposition 2, creative performance is conditioned by potential. Every component in this dimension was also evidenced, thus corroborating the finding of the literature on the 6Ps model (e.g. Kozbelt et al., 2010; Runco, 2007). It should be noted that the interaction component did not assume great weight in these cases. This might reflect the fact that this is a more transversal component to all the other areas, such as process, context, and persuasion. In every case, all the sources of evidence have exalted the importance of teamwork, establishing social networks, influence of the social environments created, and the good relationships among people. Perhaps as this is so inherent and acquired in the implementation of creativity, the interlocutors did not see the need to reinforce.

Lastly, in Proposition 3, when the interlocutors' perceptions of creative potential-performance balance in schools were measured, data also reinforced what the literature has been calling for the new challenges and roles of higher education (Leydesdorff, 2006; Etzkowitz & Leydesdorff, 1998). The need to build closer links with other societal agents, creating and developing knowledge, as a way to solve problems and attract resources (e.g., Liefner, 2003; Mian et al., 2012)

To sum up, according to the evidence of the data, we can say that the theoretical model previously developed and its premises were corroborated. The propositions were confirmed, allowing us to answer the question that jumpstarted this research. The characteristics associated with the creative potential in the most creative schools of LPI are people, processes and environments and pressure factors; those associated with its performance are products and persuasion, via the reputation and images created in society.

## Conclusion

But what is creativity? The literature says that it is a very complex construct, difficult to study; and therefore difficult to define. Authors such as Runco (2007a) and Runco and Pagnani (2011) argue that one must go beyond theoretical models that have been developed by a number of studies, and try to understand creativity in their contexts. It was in this spirit that the present study was conducted, generating the 4 case studies that have been briefly described. Trying to understand creativity in a

context of constant change, such as polytechnic higher education, must be seen as a concern of those in charge of devising innovation strategies for HE.

This study had a few limitations, inherent to the complexity of the issues raised. It is not easy to grasp, with the objectivity required to science, creativity in the context of teaching. It is recognised that the fact that the data are mostly based on the perception of the interviewees may not fully reflect the realities presented. Nevertheless, it is believed that the theoretical model adopted (6 Ps model), its adjustment to the case studies, and respective references adopted have alleviated these possible biases. It is a sufficiently comprehensive, solid model that has been tested over the last decades. On the other hand, the sample of respondents is also not very large, which may have only pointed to a restricted set of perceptions. In the two phases of the study, the empirical saturation of data was ensured, trying to reduce this limitation. However, in the future, working from a longitudinal study perspective, we intend to extend the sample to other interlocutors to confront and reduce this limitation.

Whatever is virtual in the present work is associated with the inputs generated by the case studies. First, they present actual realities of polytechnic higher education schools. It contributes, therefore, to the construction of knowledge based on empirical evidence, strengthening knowledge in the areas of creativity. Second, in addition to consolidating the theoretical frameworks already widely developed in the area of creativity, some issues in the field of education are being discussed. This discussion guides and proposes new clues to research. Thus, and assuming one of the conclusions drawn by the data, that different areas of teaching, such as arts (theatre and film), engineering and communication and MS, present different potentials, what distinguishes them in their domains of action also implies different strategies of innovation, oriented towards taking more advantage of performances. Consequently, their domains of performance also differ between product and persuasion, which may indicate different strategies employed to manage innovation and creativity. In this sense, schools have chosen to focus on the development of new products, or the connection to the outside world, convincing and persuading them of their creative projects, attracting and retaining resources, with implications for their image and reputation. The question then arises of knowing which different potentials generate different performances. One area to study further in the future is this relationship between potential and performance, their intersections, and how the performance potential can be transformed more optimally.

Studies on creativity are open-ended. No matter how much one tries to understand all its dimensions, its complexity does not allow us to generalise conclusions. The path involves studying and disseminating realities in context that allow an understanding in the moment of what is encompassed in its wide issues. More studies are needed, as well as more and diverse practices that allow comparisons and conclusions to be drawn, contributing to better understand creativity within the scope of its potential and performance, and to promote more effective innovative strategies for HE.

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# **Human Formation or Capital Formation"? An analysis of educational assistance in the prison system**

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## **Abstract**

The Brazilian penal code allows that the imprisoned population should receive educational assistance, in return, the penalty can be redeemed by one day for every 12 hours of study. The objective was to analyse the formative educational role in the prison unities of Minas Gerais. In this case study, data were collected from close observation of 17 prison unities; interviews with prisoners, agents, independent professionals and documental analysis were made. It was inferred that the Essential Formation, which should have been offered to compensate the low educational level of the imprisoned individuals, is rejected over the complementary formation that adequate the labour force to be exploited by private companies that act conjoined with the State. We conclude that the educational assistance contributes very little to the formation of the imprisoned and their resocialization being, after all, a way of super-exploitation.

## **Introduction**

The Federal Constitution of 1988 (CF/88) stated a series of rights for the citizen that determines a relation between the state and the Civil Society, between them we can highlight the universal access to health, religious freedom and access to work and education. On Education, the article 208° states that:

I - elementary and free of charge education from the age of 4 (four) up to 17 (seventeen) years old and being secured even its free offer to all of those who had not had the access to it on the proper age; II - progressive universalization of the free of charge secondary school; (...) VII - attendance to the student, in all the stages of their primary education, through supplementary programs of didactic school material, transportation, feeding, and healthcare. § 1° the access to essential education is free of charge and it is a public subjective right. § 2° the refusal to offer the essential education by the Public authorities or its irregular offer holds accountable the competent authority. § 3° It is a duty of the Public authorities to enrol students in the elementary school, to call them forward and, with their parents or guardians, zeal for their school frequency.

It is fit to highlight that Elementary Education contains the primary school, that assists children from the age of 4 to 6; elementary school, destined to children from the age of 7 up to 14; and high school which consists of teenagers from the age of 14 up to 17. Today, basic education is universal and free of charge. However, the State guarantees a public concession of private exploitation of the sector, maintaining the traits of the education which has is rooted in the ending of the first quarter of the 19th century, when education was thought to be an objective of the

brazilian State, to be done either by public or private institutions. Therefore, the unfolding process of education in the country is still defined by the comprehension of schooling as a public asset and as a commodity

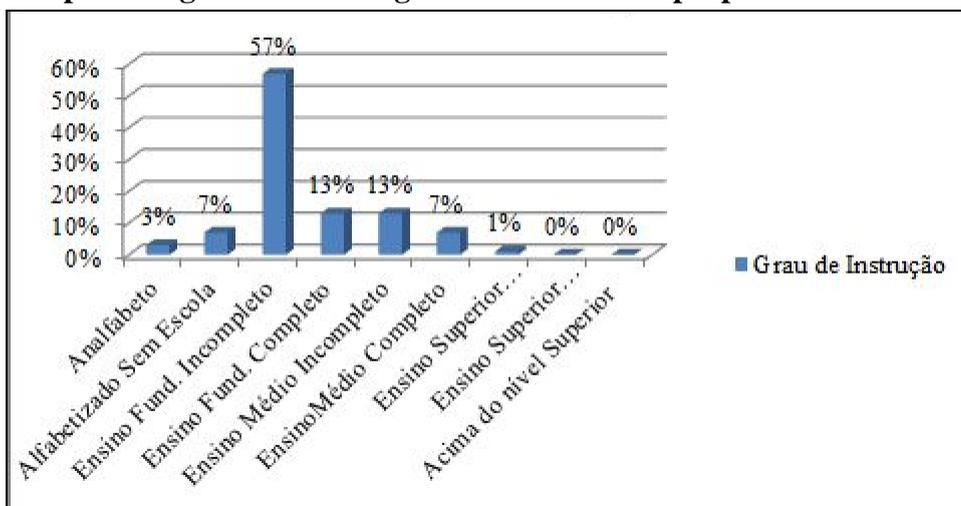
The brazilian penal code, according to the CF/88, foresees in its Law of Execution 7210<sup>1</sup>/84 (LEP) that the imprisoned population should receive, under the State's duty, maintenance and the provision of the following: material, healthcare, legal, social and religious assistance. Though the privation of freedom cannot curtail the other civil rights.

Educational assistance is dedicated to the V section of the LEP, it is also considered one of the measures of resocialization of the individuals deprived of liberty. It claims that for every 12 hours of study the imprisoned can be redeemed of one day of punishment. The essential formation exposed by the LEP 7210/84 states that prisoners can continue their studies indoors, for this all the levels of regular education should be offered, the elementary school (aiming literacy), high school and even superior education (college), which can be offered in person or by distance. Moreover, this educational assistance according to Machado (2008), also comprehends a professional qualification. Over this chaos, the imprisoned individual is forced to conclude elementary school, if one doesn't already have it, and the referral to a certain level of initiation or technical improvement.

When we refer to the resources for the education maintenance of the imprisoned population in brazil, that demographically surpasses 766 thousand people deprived of liberty, the education delivered in-prison reaches only 63.141 people, such assistance should be maintained administratively and financially with contribution from the Union and not only with funds destined to the Educational Ministry system and prison administration. This, however, does not happen.

When we take a look at the educational levels of the imprisoned individuals, according to the data from the prison information report and the prison department (2017) the imprisoned population in Brazil is composed of 67% of people that haven't even concluded elementary school, as it can be seen on the graph n#1. Most of them are black people with the ages that range from 18 to 24. It can be immediately seen that a prison system reflects its country reality.

**Graph 1: Degree of schooling of the interviewed people.**



Source: Data from Infopen 2017- made by the author (2017)

Furthermore, if we consider only the Prison System of Minas Gerais, a system considered to be a model for the other brazilian states, there are 68.354 prisoners, and 9.898 of these partake of

<sup>1</sup> The convicted that is doing his/her time in a closed or semi open regimen can redeem, by work or study part of his/her execution time. (According to the law 12.433, of 2011).

I - 1(one) day of penalty for every 12 (twelve) hours of school frequency - elementary, high school or even requalifying professional educational activity - parted in, at least 3 (three) days.

some educational activity, representing only 15% of the population. Within this group of prisoners that study, 28% (2864 people) also develop some labour related activity, because the same LEP which determines the redeeming of an incarceration day for each 12 hours of study, also allows the redeeming of an extra day for each three of work, be it from the maintenance of the prison infrastructure, or in productive private companies that have partnership with the state and sought to insert imprisoned workers in their production activities.

In the face of this context, we have assumed that the educational assistance is being exploited as one of the tendencies facing the prison system and has contributed little or has being incapable towards the imprisoned one educational formation, when it comes to human emancipation, in a way that is paramount to scrutinize what has been the role played by the alleged education in the brazilian prison system and what interests the State mediation has served.

This paper is composed in the following way: in our introduction, we sought to expose the universalization of Education in Brazil and the Prison System, the statistical data and the relation of what is stipulated in the law when it comes to redemption ("pay off "system). Then, the discussion on the educational role of education as a theoretical postulate, adopting the methodology used for our case study. In our analysis, we pursued the exposition of legal enforcement of educational assistance, the selection process, number of openings, the illegal commerce of the same and how the State measured the capital-labor relations in the prison system. We bring this case study to a conclusion on our reflections and theoretical contributions in the final comments section.

### **Theoretical assumptions: The educational role of education**

Here we present a double non-excluding argument on education. The first argument relates to education as universality of the social being, as genre, and here abreast with work and education, education is to ensure a further social production and reproduction of the human being, for the survival of the social being, in its eternal *devir*. The second argument consists in one that education can be while an ontological human category, a secondary mediation, that relates in a greater way, with an analysis that takes place in particular historical periods.

Taking this route, our understanding leads us to believe that the formative role of education "guides to form in the pupil very assertive possibilities, that in given circumstances seem socially important, and to limit, or modify, those that seem to be detrimental for this situation" (Lukacs, 2010, free translation) 221). Above all, when dealing with education in a sociability in which the self-valorisation drives relations, as Meszaros explains (2016), the formative role of education in capitalism limits itself to guaranteeing only the production of the necessary abilities to manage economy and the formation of intellectuals, as well as the developing of methods of political control.

In short, it is through praxis that the educational process is realized and is in this human act that the very own humanity genesis is found, therefore, not existing a human essence at first, since the very human race produces itself before its material conditions of existence. In the capitalist society, given the development of the productive forces, the complexity of human relations and reproduction of life contradictory forms individuals enveloped in alienated and reified relations, in which education limits itself, in a broader way, to the formation of the workforce.

So, when considering the reality of imprisoned individuals, given their role in the socioeconomic context, it is expected that the intentionality that drives state and private efforts in a pretence "education" that would "recover the inmate" to return this last one re-socialized and ready to live outside the prison walls. If this same exterior educational process doesn't seek to humanize, why the educational formation of these imprisoned individuals would? We are not advocating in favour of the end of education - in or outside prison - we are, emphasizing that education under the auspices of capitalism is incapable of emancipating individuals from an alienated life.

## **Formation in the brazilian context.**

Nonetheless the Magna Carta of 1988, in a 2015 Brazil, there is still 12,9 million of illiterate, 8% of the 204 million inhabitants (IBGE/PNAD, 2015), according to UNESCO/EFA (2015) Brazil is one of the 10 countries that together, represent 72% of the illiterate world population. And more than half of the population, 52% of the individuals with the age of 25 or more, don't have more than only the elementary school cycle complete, something around 9 years of study. Only 26,4. % manage to conclude high school (three years more of study) and in the superior education, compose only 13.5% of the population (IBGE/PNAD, 2015).

In the 21st century Brazil, what is observed is that the capitalist's children and from the less impoverished layers of the working class have their primary and high school, in private schools, where the content taught is directed so that they can get spots in more disputed courses in the Public Universities - which are the best in terms of quality in the country - and superior schools abroad, having then better chances of reproducing better material conditions than they already possess.

Whilst, at the other end, the most poverty-stricken part of the working class has their material access to (if any) education denied, since basic education given by the public system is of gruesome quality. The insufficiency of learning on both elementary and high school of the public-school network can be certified by the report published by the National Institute of Studies and Educational Research (INEP), through proficiency evaluations to signal the knowledge level on portuguese and mathematics. Data from INEP (2013) shows that students from the 5th and 9th grade (elementary school) and the 3rd year (high school) of the municipal network indicate that, respectively, 59.2%, 59.1% and 62.9% of the students got marks below 35% of the portuguese test; and that 28.3%, 57.1%, and 57.5% got marks below 35% of the mathematics test.

Well, as seen, 67% of the population of imprisoned haven't even concluded the elementary school (despite the fact that 52% on average in the country concluded elementary school), if we consider the ones that concluded only elementary school, this number goes up to 80% of the imprisoned population, what leads us to infer that these individuals, in which the access to work, education and the basic material conditions of reproduction of one's life is hindered, are the ones that fill the prisons. It is fit to highlight that the brazilian market is structurally marked by formality (38% recently) and informality (39% recently) (PNAD/IBGE, 2018) and, within the informal sector we have the realization of activities that demand low qualification which is socially considered to be illegal, such as drug trafficking and a broad network that sells smuggled or robbed merchandise. It is this illegal sector that absorbs a workforce with low qualification and forms a social latent group of imprisoned.

## **Methodology**

This research is a case study, using techniques such as data collection and observation in loco in 17 prison units located in the state of Minas Gerais - Brazil; interview semi-structured with inmates, agents, independent professionals and documental analysis.

The data collected for this case study are an outcome of a larger research, where interviews with prisoners, agents, directors and independent professionals that work directly in the prison environment have been collected. Four months of dedication and observation in loco were done, in prison units of the whole state above mentioned. During this period, it was possible to perform around 90 interviews, and gather the needed documents for a documental analysis, such as the term of partnership for the private and public institutions that obtain the interest in offering courses and use the workforce, reports supplied by the prison Department (DEPEN), the LEP and the contact with some documents inside the units.

We dealt with the data in a first moment with analysis of content to extract the categories that will be analysed afterwards, and then, we'll find their mediations trying to maintain the primacy

of the object in its totality through its reproduction daily. From the investigation, we present the analysis of the case taking as focal points the categories of educational formation, being the first unfolding an obligatory formation, and the second one a mediation of the State and the interests of the capital. Therefore, we will analyse the educational formation under two aspects: the essential formation and the complementary formation.

The data have been analysed under the light of the Marxian theoretical postulates, so we analyse the path of selection, distribution and unfolding in the relation between Capital-Labour in the formation courses, trying to comprehend their bases and internal structure.

### **Case Analysis: Educational Training in the Prison System**

Currently, only 15% of the prison population of Minas Gerais has essential or complementary educational activities (INFOPEN, 2017). There are no spot offerings in the educational courses for all the prisoners. As there is a greater search than offer, a spots market is created inside the walls of the prison. There are units in which the managers sell spots to the prisoners, that, negotiate their respective seats on the formation courses.

The requirement of studies and work of the deprived of freedom combined with the low offer of educational assistance and the extensive imprisoned population forces the prisoners to subject themselves to any kind of work offer that appears inside the unit. And the condemned inmate that refuses to work or study has a declaration of his/her decision sent to a judge and as punishment the offender is sanctioned with bad behaviour, and to this person any kind of benefit in prison is forbidden, the detainee is sent to the end of a waiting queue and will wait another year for reclassification.

Of the 193 units, 125 possess a classroom infrastructure, although only 111 are with educational activities currently functioning. Of these 111 units, only 36 possess IT labs, and it is in these units that distance courses take place, and 96 libraries can be found, however, there are units that have both the space, the worker but no books.

The 111 units that are with the educational activities functioning serve 9.898 thousand prisoners daily, in both modalities of teaching, and can enjoy two educational models, the essential and complementary. The essential education is the one that the State provides inside the units, through the implementation of public networks of schools and partnerships with the SEAP (Prison Administration Office). And the complementary education are the formations that both public and private institutions offer to qualify a capacitate the prison workforce, based on contracts between institutions and the State.

The individuals, after being deprived of freedom, are referred to the Technical Commission of Classification (CTC). Due to the superpopulation in the country, some units need to establish a waiting queue, in a way that the prisoners that show interest in studying and working overpass the others, and then should wait for their turn to be sent to work. Accordingly, to the legislation, the prisoners could only start working or studying after their classification on the Individual Resocialization Program (PIR) has been made, however, what has been made is exactly the opposite, the prisoners start to study and work and only then go through the CTC.

Yet, what has been happening in the prison system is a movement against of what is shown in the law, the same prisoners that were classified in the CTC for work, are the prisoners that study and make the complementary formations. In other words, it isn't by coincidence that the same prisoners are chosen, this is a movement that demonstrates the priority to designate education/qualification only for those who are being exploited in the inside of the prison walls labour, making their respective formations into a benefit and not a fulfillment of their rights.

As we can notice the table 1, more than 68 thousand imprisoned individuals are effectively having access to a formation, but these same people that are receiving the essential education are referred to the complementary education and that already have labour related activities.

**Table 1: Types and modalities of formation**

Type of formation	In-class education		Distance education	
	Men	Women	Men	Women
Essential	6971	603	219	4
Complementary	490	149	161	0

Source: Data from DEPEN 2017- Elaborated by the authors (2018).

The courses that aim for the essential and complementary formations are provided within the prison units on the established timetable by the directors, and according to relates, most of times, they don't follow through, leaving prisoners stuck in the middle of their formations, only 2378 (24%) of prisoners that started their formation managed to complete it. But we cannot attribute only to the slouchiness of the offering institutions, other characteristics are common to the prison system, for example, the transfer of prisoners to another facility next to their residence, or with a higher level of security, once after having their condemnations sanctioned are transferred from the prisons to the penitentiary complexes. And, lastly as related by the prisoners, they give up on their formation by not following what is established by the law for redemption, or by opting only to work.

As for the essential formation, it was observed that the formation realized inside the Brazilian prison is totally different and inferior to the one realized in the Brazilian society (which already is insufficient). We verified that as Machado (2008) and Julião (2006), the educational essence proposed turns into a panacea in the Brazilian prison system, because units do not possess the regular educational activities, due to the precariousness of the infrastructure, the prison overpopulation and the lack of incentive and interest with the prisoners, once the educational activities do not provide them any kind of financial gains and only one day of redemption for every 12 hours of study, or like is seen in reality, one day redeemed for every 10 days at school. School is transmuted from a basic right to a benefit, the reality shows that demand for study is quite large, however, the infrastructure of schools in the prisons is rather precarious. Classrooms are cells with blackboards, where teachers are imprisoned with their pupils, under the supervision of an agent outside, and only 10 students fit per shift. In one pavilion where more than 200 prisoners are, only 10 go to school, that is why going to class is seen as a prize. And from these 10 that manage to complete a school year, only 4 or 5 graduates.

For the obligation and "opportunity" of formation while secluded, each unit should be equipped with a library with instructive, recreative and didactic books (LEP 7210/84, ART 21°). However, the reality found is that the rare libraries are found only in the penitentiaries and the existing books come from school's donation from the municipalities, teachers, and prison pastoral. It is in this pastoral movement that it is clear the heavy investment of evangelic and Spiritism religions. According to relates in researches, the only books that inmates go after are the ones that are from spiritism of on the new testament, this due to the presence of the prison pastoral and the absence of the State in fulfilling their (the prisoners') rights. Other books found in the units are only there by a demand of the law, because they are not used and, the usage is not encouraged.

The minimal of structure would be the classrooms, however, the structure is in precarious conditions, broken desks, tagged and piled up; broken boards and some units unutilized by lack of

prison agents to share their jobs positions. Beyond that, didactic material like chalk, pens, notebooks, roll call lists and possible commemorative ornaments were of the teacher, so, the unit and school headquarters, didn't possess funds to maintain the minimal infrastructure working, on other moments school's administration would get a donation or another from the prison pastoral. Among the visited units, the one that possessed more functioning rooms had only 6, the other units had a smaller number and the capacity of students was also minor.

Some private colleges have dedicated their efforts on this legal obligation to offer for the inmate's education on the last decade. After concluding high school most of these prisoners do not have work spots available, those who have a family with a higher income can afford to pay for their studies inside the prison walls. This partnership is made from the same term stated in the law, the institution gains a tax benefit due to a "social wellbeing" which courts and the student that can afford to pay for his/her studies receives material in a weekly basis to complete these tasks and the exams under an agent supervision.

When looking at this complementary education, that, in theory, should be for those inmates that already have concluded the essential basic formation, and subsequently would be referred to a professional qualification, have been addressed to these prisoners that already perform some labour related activity, with the future intention to have this prison unit to use this workforce after being qualified. Prisoners are selected according to their respective CTCs, their behaviour and their interest regarding the conducted course. The courses are only offered because afterwards some company or association will need that workforce.

The prison training programs for development and qualification of the prison's workforce are laid down by arrangements and formal and informal partnerships with programs such as SENAR (National Service of Rural Education), SENAI (National Industrial Education Service), SENAC (National Commercial Education Service), EMATER (Company of Technical Support and Rural Extension), among other bodies such as IBAMA (Brazilian Institute of Environment and Renewable Natural Resources) and SEBRAE (Brazilian Support Service to Micro and Small Business) by a partnership term, and in which the unit facilitates by providing space and this "interested" imprisoned population and the private institution offers the course, afterwards this now qualified workforce will be an active army of workers hired by these same institutions, or by subsidiary companies.

So that the assets can be offered inside the prison units there's an assessment of these costs. The raw materials of each course are paid by these "interested" prisoners, by their families or by the prison pastoral, everything is made by donations to the private institution that provides the course. The expenses such as water, energy, security, and space are given by this prison unit, and the professional that will qualify this workforce is paid by the private institution. After being qualified, prisoners are hired by companies to develop such activity - most of in the areas of agriculture and industrial production - the condemned are paid  $\frac{3}{4}$  of a salary by bank account, that the same ones can only have access after becoming egresses and to the deprived of liberty that still are waiting for trial, receive only these days of redemption, being forbidden to them compensation.

For these more specific activities of a single production process, the same companies that hire this workforce have the obligation to offer the qualification courses, so tutors are spent inside these prison units, which use the same space of the classes, suspending then the essential educational activities of the unit until the capacitation has been done, and these, in turn, are almost all concluded.

The professional formation courses offered inside the units are one more way to establish partnerships to use this prison workforce. The courses are divided by the prisoner's gender, and encompass gardening, building, etc., being those in the labour related activities that demand force and teamwork are made by men, and the courses connected to aesthetics, delicate details, and thoroughness in execution of individual tasks are performed by women. Such sexual labour division emphasizes social inequality in face of the peers at work.

After analysing the ways that the educational activities are provided inside prison in Minas Gerais we inquire on this formation of the prisoners, does the interest of such formation relates in some extent with resocialization, or it is just only one other of the forms that the private sector uses to advance over the prison system? It is fit to say that, the historical and social movement that is imposed to the erosional system is that the educational activities are one of the ways of expansion of the education exploitation and that this exploitation intensifies the usage of the prison workforce, making the reverse also true.

## **Conclusion**

We sustain that there is a disguised interest from the educational assistance in the prison system, because it abstracts the meaning of formation, restricting itself to the earning of capital. From this analysis of terms and commitment and accompanying of the other activities done inside the units, it is possible to infer what are the mutual interests of this Capital-Labour relationship mediated by the State in the Prison System, whatever they are: exploitation of the workforce of the prison super production, that after being deprived of freedom start to compose this reserve army and after their respective formations will compose an active army of imprisoned workers, with working conditions similar to slavery.

What can be observed, is that this essential Formation is overlooked in detriment of the Complementary Formation, since the first one, even with all its limitations of a capitalist formation, could contribute with the awareness of these individuals about their exploitation - in and outside prison -, with the comprehension of alienation resulting from alienated work and even, how the transformation of this social reality passes through the practice against capital. The second one, on the other hand, in addition to materially hindering the realization of the first one, generates a conformity within the prisoners, since they feel "favoured" when they get an "opportunity" among so many candidates that don't get it.

Moreover, it is anticipated likewise that after concluding the essential education, prisoners must be referred to complementary formation meant for professional qualifying, generating, thus, an opportunity for the private and public institutions to enter in the penitentiary system to provide this course ergo, train and receive cheap workforce.

We can observe that such movement of the obligation and how it is imposed on the prisoners it is just one other way of using the Rule of Law to conceal the interests of the partner capitalists, favouring one of the social classes and one other way of the State to mediate this labour relations, offering to employers and trainers the workforce that is under its tutelage through public policies.

We conclude, thus that this formation, albeit it allows the prisoner to have access to liberty in intermittent periods, does not allow freedom in an emancipatory sense, since there is no possibility of independently developing humane capacities through education, it acts as a mediator for the movement of capital.

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## **CHAPTER 5: From being good to doing good: social inclusion in workplace and societies**

### **Research and Integrated Intervention – a trajectory for social inclusion in the work and organizations field**

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#### **Abstract**

This study presents the integrated psychosocial conception, which intends to articulate different theoretical references as well as develop methodology on a psychosocial approach, in order to amplify the research and intervention fields. It presupposes organizational and work values, with a focus on social inclusion and collective doing. This conception based on Edgar Morin's complex thought, with a multidimensional look to the social context, founded on the theoretical studies about group processes and action research. The development of social projects in this perspective presents results that consolidate how important is the partnership construction process and the social actors' participation, for the production of information, structuration of knowledge and design of joint actions, in a dialogical practice for social transformation.

#### **A complex and integrated look to social research**

The conceptions of Morin's complex thought (2007) are source of inspiration to an integrated and amplified look to contemporaneous problems. The author suggests a thought logic, which enables a rereading of social relations, by constructing interconnections between nature and society as well as subjectivity and objectivity, understanding the human being in all it is physical, psychic and social dimensions. Points that a fundamental problem in society materializes itself in the occidental thought, represented by thoughts dichotomized from relations. Thus, the current social practices present themselves in established forms, which reflect premises related to such dichotomy. In that sense, actual beliefs and values that permeate the models of development and social organizations are set up for debate. (Ayres, 2012)

This reflection proposes a thought logic, which has as basis uniting, connecting, what on principle was considered separate, thus recognizing unity and interdependence. Therefore, Morin (2007) presents a pragmatological review, in which it's possible to identify multiple looks to the world, in an indissociable form where human beings share a common reality, in society, thus rearticulating individual-society. In that sense, Edgar Morin concerns himself with studying the world and social relations, approaching the possibility of an integrative rereading of the human being, in a complex perspective of life. (Ayres, 2012). In Morin's comprehension (2007), society produces compartmentalized knowledge, everyday life is invaded by presupposes of a specialized knowledge, in which the mechanistic and alienating

industrial era model, still determinant in our society, promotes a fragmented vision of social reality.

In this trajectory, the consideration of particularly concomitating problems, local and global, where all social actors are involved, being part of a social, political, economic and cultural context is presupposed. As Morin identifies (2007, p.87): “we do not have individual on a side and society on another; species on a side and individuals on another; [...]. Both processes are inseparable and interdependent.”

The assumption is to know and research starting with the pursuit of connections, for the mobilization of different knowledge, assuming a multidimensional and integrated look into the research and study fields. Thus, it is necessary, in a society’s framework, to map the social relations in their interconnections, on a mutuality perspective, concomitantly considered antagonistic and complementary, in the sense that human beings are conceived as part of the environment in which they live, a being of the world. Therefore, the current scenario of uncertainties and problems in the work and organizations field brings reflections on this political, historical and economic moment of human existence, having to acknowledge the multidimensional character of this social field.

In that sense, it is worth noting that to Morin (2007, pp. 79-83), the consolidation of a society’s differing collectives starts from action and collective construction, to the extent that they enable a disruption on the normative discourse. The action as a challenge, as decision-making, choice and, as such, does not simplify but outlines possibilities for further decisions. Therefore, a psychosocial approach presupposes the search for joint actions, considering those group and individual spaces, as dialog and conflict arenas, of tensioning and collective construction. As El Andaloussi reaffirms (2004, p.134): “partnership isn’t reduced to participation, nor to cooperation. The interested actors will only be able to solve their reciprocal problems if they accept to build the partnership. [...] from personal convictions in a confidence climate ruled by democratic relations.”

In this framework, the basis of complex thought offers a possibility of building a social research conception that has as goal a complex and integrated look that respects and aggregates the differences for the collective doing. A process that emphasizes the construction of partnerships in the work and organizations field, creating conditions so that everyone may exercise the role of protagonist into making research and intervention in a way that privileges a space of dialog, collaboration and possibility of expressing collective and individual interests (Ayres, 2012). A proposal that presupposes organizational values, founded in believing on the importance of the social actor’s participation for the experience of the social inclusion feeling, and thus, of belonging to the social group.

### **The research and the integrated intervention – approach and methodological presupposes**

The present work bases itself in the Integrated Psychosocial Conception (Ayres, 2012) that has a presupposes the complex thought of Morin (2007) and as pillars the theoretical studies on group processes (Mailhiot, 1985; Lane, 1989; Ayres, 2012) and the action research (Barbier, 1985; Thiollent, 1997, 2004; El Andaloussi, 2004). From those fundamentals, the methodological conception seeks to integrate and articulate different references, developing a methodology on the psychosocial framework, in a participative perspective, having as compromise the social action. A theoretical-methodological conception coming from the

assumption that individuals belong to different groups, are social and historical subjects, constitute a society and manifest themselves through collective construction.

In that sense, the presented conception prioritizes involving all social actors, that means, those who do, who have something to say, a collective structure, providing information, analyzing, interpreting and starting action, in a shared process. A process that seeks to emphasize the construction of a partnership between researchers and social actors, creating conditions so that everyone may exercise the role of protagonist, thus, favoring the social inclusion feeling. Therefore, this conception highlights the importance of the following methodological orientations for research development, as facilitators of the participation process: - Psychological Contract; Communication; Feedback Process e Collective decisions, described next:

**Table 1**

Methodological Orientations	Description
<b>Psychological Contract</b>	Basis for the formation and development of group/research, that begins with the proposal's presentation to all involved. Moment in which expectations, individual perceptions and the diverse interests of each person and the group as a whole are expressed. The goal is mutually establishing rules, norms and common purposes to the involved partners, which promote a feeling of satisfaction and belonging to the group. The psychological contract is the basis of interpersonal relationship, intragroup and intergroup, having a dynamic character. Being that way, it has to be revisited during the research's development
<b>Communication</b>	There is a compromise with the "argumentative process", adopting the freedom of speech principle, when seeking to clarify what is "not said". A communication between equals must be propitiated. Thus, all are invited into expressing their ideas and opinions, which tends to enrich each person's participation to the final results, through means that facilitate the expression of each individual and the group.
<b>Feedback Process</b>	Involves self-reflection and exchange of perceptions (exercise of dialog) between group members, in a transparency context. This transparency includes external aspects, which concerns motives and interests of the group, organization, identifying pressures and manipulations; And internal aspects that express themselves individually from the understanding of motives and emotional contents. The goal is verifying information obtained in group situations, when convergences and divergences happen between the different actors involved
<b>Collective Decisions</b>	The decisions are taken based on the knowledge and experience exchanged. This premise is founded on a democratic view of work, interpersonal and group relations. The interaction and the search for collective autonomy on the decision making are valued.

Source: Ayres 2012, p.104

Therefore, the methodological course is based on theoretical studies on the group processes, focusing on the reading of the group's operation and participation of each social actor involved. The methodological orientations prioritize the establishment of the psychological contract, use of feedback, confrontation between participants, expression and exploration of feelings and perceptions as well as the search and experimentation of new behaviors and the assessment of them, within a sociohistorical perspective. In that sense, the fundamentals are centralized in the psychological contract and on the joint establishment of actions, as well as in a continuous process of auto and hetero evaluation and monitoring, from the exchange of feedback between the social actors involved, on a permanent process of joint learning (researcher and social actors), in both the structuring of the work and the resolution of problems emerging from the situation experienced.

Based on those fundamentals, this conception of research characterizes itself for a theoretical/methodological model of group intervention in the sense that it has as basis the group process, the reading of the group's and each participants' movements, in an investigative way of examining human questions through action. It is a method of research and intervention in interpersonal relations, on and between groups. The proposal is to experience reality from the acknowledgment of differences and conflicts, thus facilitating the search for alternatives to that which is revealed. The path is an auto analysis process that propitiates conditions for the exchange of ideas and opinions, open to dialog and consequently to the possibilities of change in a social reality.

Therefore, this methodological basis supports itself mainly on assumptions of the methodology of action research and the theoretical studies on groups. It was developed considering all the theoretical foundations already described with the intention of promoting the production of knowledge and actions, from the active participation of the actors involved, in workshops and collective sessions, considered as places of learning, scientific investigation and collective production.

Through the exposed, the integrated psychosocial conception seeks to connect, reunite that which seems to be in opposition, in the sense of creating new possibilities of inter-relations, open to uncertainty, in a continuous process of searching for questions and answers. Thus, a process that seeks to emphasize the construction of a partnership between researchers and social actors, creating conditions that guarantee the collection of multiple information and data sources. In that sense, it is characterized by a continuous process of evaluation and monitoring, in which it proposes to review and revisit information and actions, considering the dynamic character of social life. The proposal is constructing a space of personal development, where all social actors and researchers can walk together in an actuation which enables the understanding between people, on a collaborative process. The instruments and activities of evaluation and monitoring are built based on the experiential-participation methodology, from exercises, discussion of practical situations, group dynamics' techniques, theoretical exposition, formal instruments of evaluation and data collection.

Therefore, the proposition is an integrative methodology, which connects the different scientific knowledges; the different social subjects, different learnings in a dialogical practice for action.

### **Social projects – integrating research and intervention**

The integrated psychosocial conception has been grounding the social projects developed in the field of work and organizations, of the Psychology Institute (IP) on Rio de Janeiro State University (UERJ). Those projects have as main goal promoting, along the Psychology course, activities directed towards an extension in the formation of Psychologists on the IP/UERJ, enabling opportunities, since the first periods: - of knowing different social organizations and the current practices of The Social Psychology of Work and Organizations; - of critically reflecting on this actuation field; of identifying and promoting research. – of the “exchange of experiences” through interchanges with diverse professionals; - of enabling the narrowing of relations between the IP and the community, organizations and society, through works directed towards diverse audiences. The activities performed seek to attend to the internal and external communities, with studies, researches and projects, constructing partnerships with institutions and segments of society, through an integrated and multidisciplinary vision of the object of study and action, whose central themes have as field the organizations and the work.

The projects seek the involvement of all (researchers and involved actors) in the production of an ample knowledge (academic and social), with the compromise of producing information, structuring knowledge and delineating actions, focused on participation and social inclusion. Different activities are promoted, including the formative (teaching and research) and social (extension) dimensions, which, indissociably, connect the academy to society, consolidating the teaching relation, research, and the extension, namely: - Formation of studies group; - Development of training activities for the different audiences; -Implementation of studies, researches and experimentation of innovative organizational processes; -Multiplication of the knowledge produced by the project's technical team; -Development of actions that involve society in general; -Academic and scientific production. The projects involve teachers, researchers and professionals, including graduates from UERJ itself, counting with the participation of diverse social organizations and society in general. The established partnerships have as orientation a process of dialog, founded based on confidence and respect, searching for the commitment of each person and the group itself, of common goals to the development of people, organizations and society.

Through the exposed, the actions of those projects seek to guarantee the use of multiple data sources, with the participation of all social actors, so that they can obtain an extensive diversity of information on the object of study investigated and attend to the demands of society. The conception has as objective creating conditions for the production of knowledge as well as that the participants, researchers and social actors experience, live and comprehend the studied phenomenon, with the commitment of producing information, structuring knowledge and delineating actions.

In that sense, the Projects, namely: - “Psychology of work and organizations – emphasis on organizational processes – guiding to the operation of junior enterprises; - “Psychology of work and organizations – the youth and work initiation in a perspective of social inclusion” and “Socialization and social inclusion – social groups’ movement – field of social psychology of work and organizations” were evaluated. This evaluation was based on the following action parameters, defined by the Extension Department at UERJ: 1- Impact on the student's technical, scientific, personal and social formations.; 2- Social impact by the transforming action on the theme/problem that constitutes its action objective, the field of work and organizations; 3- Impact on the production and diffusion of new methodologies and knowledge, considering the established partnerships and the number of participants involved. In the tables 2, 3 e 4 present the results of each project, respectively in the period 2017-2018.

**Project: Psychology of work and organizations – emphasis on organizational processes – guiding to the operation of junior enterprises**

In South America, Brazil is the country that possesses the biggest number of Junior Enterprises, which are organizing themselves in State Federations for their strengthening and exchange of experiences. Junior Enterprises are increasingly present as fields of study and practice, becoming relevant to the formation of university students, arguably constituting a complementary space of learning, where they can put to practice the knowledge gathered in the classroom. The Junior Enterprise, though having the “enterprise” denomination, is very peculiar, because its basic goal is found in the formation, the possibility of creating a bridge between the academy and society, from the practical application of theoretical knowledge. The Project, considering those peculiarities of Junior Enterprises, foment discussions and studies to the viabilization of UERJ's Psychology Junior Enterprise operation, which attends to its basic goals and enable its participants to experience practices and relations guided by democratic values, in which capitalism and the market are relativized and questioned (Ayres

et al, 2009). This makes a big difference in the student's formation, because it is in the practice, in the making, that ethical and professional dilemmas appear. The possibility of facing such dilemmas while under supervision and guiding are fundamental to the constitution of better prepared professionals, with extremely solid technical, theoretical and ethical capabilities. Moreover, this Junior Enterprise model allows the introduction of new values in the work field through those newly graduate professionals that bring with themselves all the reflections, learning and new ways of knowing how to do.

The Project was initiated in 2005, has since been evaluated and contemplated every year with scholarships. In 2010, was approved in the first Notice of Support to Projects of Research and Extension of FAPERJ – EXTPESQ – 2010, for the period of 2010-2012, has also participated in every notice (2012, 2013 and 2014) for UERJ's Academic Project of Junior Enterprises, promoted by the Department of Innovation at UERJ (InovUerj), having been contemplated with the 2<sup>nd</sup> and 5<sup>th</sup> places, respectively. The InterAção Jr, from the different testimonials of students who were and still are part of it is considered a social laboratory, where practices, ideas, critics, conflicts and dialogs are produced. In that sense, the results achieved come to reinforce the initiative for the exercise of innovative, paradigm breaking and experimental practices which propitiate a review of social organizations and the role of Psychologists in this field.

**Table 2**

<p><b>Project/Title</b> “Psychology of work and organizations – emphasis on organizational processes – guiding to the operation of junior enterprises – initiated in 2005.</p>
<p><b>Abstract:</b> Promote the technical and academical development of IP students, the social and economic development of the community, with the activities developed in IP/UERJ's Junior Enterprise on the Psychology of Work and Organizations field.</p> <p>The activities performed seek to attend to the internal and external communities of UERJ, by performing consulting projects, building partnerships with institutions and segments of society, in a multidisciplinary and integrated vision on the object of study and action in the Project, whose central themes are the field of organizations and work.</p>
<p><b>Websites:</b> <a href="http://www.interacaojr.uerj.br/">http://www.interacaojr.uerj.br/</a> ;<a href="http://www.sr3.uerj.br/depext/depex_acoes_extensionistas.php">http://www.sr3.uerj.br/depext/depex_acoes_extensionistas.php</a> <a href="https://www.sistemasextensao.uerj.br/consulta_web_siext/f/t/consultaprojetoman?chPlc=6858">https://www.sistemasextensao.uerj.br/consulta_web_siext/f/t/consultaprojetoman?chPlc=6858</a></p>
<p><b>Partnerships</b></p> <p><b>Internal:</b> UERJ's Production Center (CEPUERJ); Department of Innovation (INOVUERJ); Work Initiation Scholarship Educative Program (PEBIT); UERJ's Junior Enterprises; UERJ's Incubators. <b>External:</b> Universities, Junior Enterprises, private companies and public institutions.</p>
<p><b>Number of Participants:</b></p> <p><b>Project's team:</b> 01 coordinating professor; 06 associated researchers; 04 interns and 19 psychology students. <b>Audience reached:</b> 170 people from the internal community and 26 people from the external community.</p>
<p><b>Results</b></p> <p><b>-Impact on the student's formation: technical-scientific, personal and social:</b> implementation of studies, supervision and research groups, coordination of consulting projects; elaboration of technical reports.</p> <p><b>-Social impact by the transforming action on the theme/problem that constitutes its action objective:</b> - Working with the community: development of organizational consulting.</p> <p><b>-Impact on the production and diffusion of new methodologies and knowledge:</b> - knowledge multiplying workshops; publications; junior entrepreneurs participation in congresses, journeys and seminaries with</p>

paperwork and reports on the innovative practices in people management conducted by the Junior Enterprise.

### **Project: Psychology of work and organizations – the youth and work initiation in a perspective of social inclusion**

The Project focuses on the social inclusion of youth beginning in the field of work and organizations. The assumption considered is that work, in the current context, is one of the social forms in which this youth may express themselves and build their identity, in the sense that “working” contemporaneously occupies an important dimension in people’s lives. The following central question has been guiding the project: How to provide the youth with access to a space of discussion and practice about their professional roles, enabling reflections on the means of work and their life projects? The project’s consolidation has as basis the partnerships built with the Work Initiation Scholarship Educative Program (PEBIT), Socio-educational Program, conducted by CETREINA/UERJ and UERJ’s Ambassadors Program – with public and private schools of Rio de Janeiro and the State Technical School Adolpho Bloch. The results have been highlighting the need of creating a space of technical and emotional support to the youth that has precociously inserted itself in the job’s market, as a fomenting space of discussion to review and rethink public policies directed towards this youth.

**Table 3**

<b>Project/Title “Psychology of Work and Organizations – The youth and Work initiation in a perspective of social inclusion” - initiated in 2014</b>
<b>Abstract:</b> The present Project began in the Psychology of Work and Organizations Internship (SPA/IP/UERJ), from discussions over the field of work, organizations and the precocious insertion of the youth in the job’s market. Therefore, the following objectives were defined: - creating partnerships between the academy, companies and society; -propitiate the personal and interpersonal development of this youth, facilitating their self-knowledge and reflections about work, job market and possibilities of social inclusion, allowing the assessment of potentialities, consolidated in an individual action plan; - developing studies and research on the theme of youth and work initiation, allowing the definition of current reality transforming actions.
<b>Websites:</b> <a href="http://www.sr3.uerj.br/depext/depex_acoes_extensionistas.php">http://www.sr3.uerj.br/depext/depex_acoes_extensionistas.php</a> <a href="https://www.sistemasextensao.uerj.br/consulta_web_siext/f/t/consultaprojetoman?chPlc=6871">https://www.sistemasextensao.uerj.br/consulta_web_siext/f/t/consultaprojetoman?chPlc=6871</a>
<b>Partnerships</b>
<b>Internal:</b> Work Initiation Scholarship Educative Program (PEBIT) – students from the Foundation of Childhood and Adolescence (FIA) and from the Foundation of Support to Technical Schools (FAETEC); UERJ’s Program of Ambassadors. <b>External:</b> State Technical School Adolpho Bloch.
<b>Number of participants:</b>
<b>Project’s Team:</b> 01 coordinating professor; 01 associated researcher; 04 interns and 06 psychology students. - <b>Audience Reached:</b> 88 people in the internal community e 80 people in the external community.
<b>Results</b>
<b>-Impact on the student’s formation: technical-scientific, personal and social:</b> participation in a study and

research group; execution of technical work: -Assessment of the expectations and presentation of work – adjusting to the “real” demands of the group -interviews with companies and participants; Coordination of interpersonal development as well as evaluation and monitoring of work groups.

**-Social impact by the transforming action on the theme/problem that constitutes its action objective:**  
Construction of partnerships with companies and the society participating in the program – the space of joint construction; Coordination of personal and interpersonal development groups – “The youth and Work Initiation” – group experiences – construction of individual development action plans; -Evaluation and Monitoring – monitoring meetings, feedback interviews and interviews with the companies.

**-Impact on the production and diffusion of new methodologies and knowledge:** - knowledge multiplying workshops – integrated psychosocial conception; publications, participation in congresses, seminaries, journeys, with paperwork and reports of the practices.

### **Project: Socialization and social inclusion – social groups’ movement – field of social psychology of work and organizations**

The project emerges in the curricular Internship at SPA/IP/UERJ, having as main scope the guided experience of the group process, enabling a look to the movements of each individual and the group, in a group space, where the participants can share experiences, feelings and search for new behaviors, propitiating conditions to think and rethink their process of socialization.

The Project constituted itself from the partnership established with the Parallel Migrant Lives Program (PVP-Migrants), Brazil-France, CAPES-COFECUB, which consolidated a multilateral scientific cooperation involving teachers, students and research teams from different programs and universities, highlighting the institutional partnership with the Cáritas Archdioceses of Rio de Janeiro (Cáritas/RJ), through the PARES Program of Support to Refugees. In the sense that Cáritas, a pioneer in the work of assistance to Refugees in Brazil, initiated in the 70’s, allowed the opening of the research’s field both in Rio and Paris (Cáritas/France).

The results corroborate the importance of partnerships’ construction to the achievement of objectives. Stands out, as a consequence of those results, the partnership constituted in the project Portuguese for Refugees of UERJ and Cáritas/PARES/RJ to the execution of personal and interpersonal development groups with the migrants in refuge situation, participants of the Portuguese course, that are arriving in Rio de Janeiro, as well as the insertion of the project in the Cátedra Sergio Vieira de Mello (CSVM). This Cátedra implemented in 2004 by the UN’s agency for Refugees (UNHCR) has as goals promoting education, research and academic extension directed towards populations on a refuge situation, in cooperation with national university centers and the National Committee for Refugees (CONARE). In 2017, the Rectory signed an agreement with the United Nations High Commissioner for Refugees (UNHCR) for the implementation of the Cátedra Sérgio Vieira de Mello (CSVM) at UERJ, with the participation of diverse unities integrating the activities of work, research and extension.

**Table 4**

**Project/Title “Socialization and social inclusion – social groups’ movement – field of Social Psychology of Work and Organizations” – initiated in 2017.**

**Abstract:** The Project is related to the field of the Social Psychology of Work and Organizations having as

basis the discussions about the complexity in contemporaneity and the importance of integrated studies on social relations, social group's movements, work and social organizations. The theories related to group processes, as well as those directed towards the comprehension of the organizations field, sustain one of the means of study and intervention in the socialization process. The assumption is a psychosocial look to the socialization process, considering that individuals pass through similar situations on the process of entry in a group, institution or culture. Proposes a space that enables their self-knowledge and extension of social and cultural resources, important requisites in the social inclusion to a new environment.

**Website:** [http://www.sr3.uerj.br/depext/depex\\_acoes\\_extensionistas.php](http://www.sr3.uerj.br/depext/depex_acoes_extensionistas.php)

[https://www.sistemasextensao.uerj.br/consulta\\_web\\_siext/f/t/consultaprojetoman?chPlc=6855](https://www.sistemasextensao.uerj.br/consulta_web_siext/f/t/consultaprojetoman?chPlc=6855)

**Developed Activities** – Socialization – Human rights and Photography Workshops for refugees in RJ/Brazil, PPGPS/UERJ.

**Objective:** Knowing the culture, everyday life, work, trajectory and needs of migrants/refugees. Getting to know them from their own perspectives, reports, beliefs and values, in a process of recognition of the socialization process

#### **Partnerships**

-Paralel Migrant Lives Project (PVP-Migrantes), Brazil-France, Brazilian Post-Graduation Programs – in Collective Health (UnB) and in Social Psychology of UERJ (PPGPS-UERJ); Project “Socialization and social inclusion – social group’s movement” IP/UERJ and the Cáritas Archdioceses of Rio de Janeiro PARES Program of Support to Refugees.

#### **Number of participants:**

Project’s Team: 03 post-graduation teachers and researchers; 01 masters student; 01 psychologist and 03 psychology students.  
10 migrants/refugees originating from the following countries: Togolese Republic (01), Democratic Republic of Congo (05), Angola (02), Nigeria (01) and Cuba (01).

#### **Results**

**-Impact on the student’s formation: technical-scientific, personal and social:** Participation in a studies group, execution of technical work: - assessment of data from the migrants/refugees with the Cáritas/RJ; - Participant-observation reports.

**-Social impact by the transforming action on the theme/problem that constitutes its action objective, the field of work and organizations:** - construction of partnerships; execution of five workshops on Human Rights and Photography.

**-Impact on the production and diffusion of new methodologies and knowledge:** -Exposition “Projeto Vidas Paralelas Migrantes: Perspectivas Brasil/França” – 20 images and 4 panels with narratives and reflections produced by the migrants/refugees themselves during the workshops; - publications; -presentation in seminaries and congresses; - mapping of difficulties faced by refugees in their socialization process; - consolidation of partnerships for the execution of future works.

### **Final Considerations**

Through the exposed, the present projects seek to emphasize the appreciation of human beings, in an integrative conception, which considers the human being, in all it is physical, psychic and social dimensions and the organizations as a social field, of collective construction, consonant with the theoretical methodological foundations adopted. The projects have as focus the social inclusion, in a path of involvement of all social actors, with

emphasis on dialog, participation and collective construction. The objectives are directed towards students, teachers and professionals from the psychology area as well as other graduations, entrepreneurs, workers, businessman and the society in general. The partnerships constituted with diverse institutions allowed a larger scope to the actions, including a diverse and numerically significative audience. Therefore, the present projects results are allowing the enlargement and integration of the teaching, research and extension fields in the Applied Psychology Service of IP/UERJ, fomenting the interchange, the multiplication of knowledge and experience produced by the project's team. In this perspective, the project's proposal has been of permanent theoretical-practical guidance in the field of social organizations, propitiating critical analysis, the review of practices in this field and the identification of psychologists' actuation on the organizations. Stands out as an important result of the projects, the possibility to allow the execution of innovative practices and the comprehension of the challenges in this field. Through this scenario, it is expected to strengthen and allow the approximation of scientific knowledge and subjects in a dialogic practice towards social transformation.

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## **Work, Refuge and Social Inclusion**

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### **Abstract**

The “Vidas Paralelas-Migrantes Project/Brasil-França/CAPES/COFECUB” from the universities of Brasilia and Rio de Janeiro along with Cáritas/Arquidiocese/PARES/RJ Program, allowed the construction of partnerships seeking to understand, through multilateral collaboration, the global social-political-economic scenario in which subjects/refugees are inserted. Based on the Social Psychology of Work and Organizations it sought to comprehend the process of socialization and movements of those groups. The research/studies following these steps: 1<sup>st</sup>. “Partnerships for action-perspective/multilateral”; 2<sup>nd</sup> “Knowing the situation of refugees/RJ” 3<sup>rd</sup>. Human rights/photography workshops – social group’s movement. The results brought to light the need of a review in public policies, especially those related to work; of questioning values, beliefs and the “place” of refugees in this socio-historical context as well as the deployment of collaborative actions.

### **Introduction**

Since World War II we have been witnessing an increasingly powerful and tense migratory movement around the globe. In 1950 the United Nations High Commissioner for Refugees (ACNUR) is founded, best known as the UN’s agency for refugees, which “seeks adequate and lasting solutions” (ACNUR, 2017a, p.2). The world watches people, migrants, being displaced in search of better life conditions as well as refugees, who find themselves into life threatening situations, thus being “forced to abandon everything to preserve their liberty, security and life. It is not a choice but the only option possible to them.” (ACNUR, 2017a, p.2).

At the same time, there is the creation of global and regional policies to support and shelter this population. In Brazil, an important normative mark is law n° 9.474, from July 22 of 1997 (Brasil, 1997) which institutionalized the responsibilities of Brazilian government regarding this population, being considered one of the biggest and most modern laws on the topic. It was built upon many international agreements on the subject, defining mechanisms for the deployment of 1951’s Refugee’s Statute, as well as determining other measures. According to this legislation, it is up to Brazilian government to grant the refugee status to those seeking refuge, through deliberations from the National Committee for Refugees (CONARE), public agency responsible for reviewing the requests and declaring the acknowledgment, in first stance, of the refugee condition, also being accountable for orienting and coordinating the necessary actions for an effective protection, assistance and juridical support to those refugees. Furthermore, the legislation guarantees applicants and refugees access to social

rights, as the right to exercise paid activities, as well as access to the public services network. The migrants/refugees receive identity documentation that guarantees the right of not being turned back to their countries of origin, taking in consideration that this return may pose risk to their fundamental rights. Brazil features a tradition of refuge and worldwide recognition for being a country of sheltering and protection to refugees (ACNUR, 2016; ACNUR, 2017b).

On the other side, the global scenario of political, social and economic crises brings forward new and intricate questions on refuge, summoning us to a path that goes beyond legal aspects. In a psychosocial, complex and integrated perspective (Morin, 2007), the situation of refugees represents a context of vulnerability, of life alteration, which may result in psychological disequilibrium, by reflecting the loss of their social roles. Leaving their country determines losing their jobs, families and social identity, which may represent the most important loss in the lives of those people also tending to translate into future damage and affecting their psychic structures. One of the six priorities named by the Committee of European Communities (2003, p.6) to eradicate poverty and social exclusion, therefore promoting social inclusion, is related to work. An old factor, however still very present and in evidence in contemporaneous society. Thus, the studies and practices directed towards social inclusion must take in consideration the situation of vulnerability of those people, based on the social, economic and cultural indicators involved.

Upon this setting, the proposal is an invitation into a reflection on the themes of Work, Refuge and Social Inclusion under the light of the Social Psychology of Work and Organizations, having the comprehension of those people's socialization and the group's movements as theoretical-methodological basis. (Ayres, 2012)

The “Vidas Paralelas Migrantes” Project (PVP - Migrants), Brazil-France, CAPES-COFECUB has been building partnerships to understand the worldwide social-political-economic scenario in which subjects/migrants are inserted, thinking social transformation through multilateral collaboration. Against such a complex and multidimensional theme, the proposal was to integrate different partners and actions with the goal of amplifying the space of research intervention into the social and work relations, focusing on social inclusion. The following question worked as a guideline for the researcher's actuation: Which paths must be ethically walked in order to facilitate the process of socialization and the feeling of social inclusion to those people in a refuge situation?

This initiative may consolidate the goals of getting to know migrants/refugees and their socio-historical conditions, also contributing to a reflection on the reality of those groups through the workshops on Human Rights and Photography for Refugees in Brazil. The following themes were focused in this reflection: culture, religion, history, politics, economy, education, language, prejudice, feelings and, mainly, work in its psychological, cultural and symbolical dimensions, connecting the experiences at their home countries to Brazil.

### **Theoretical-Methodological Basis**

Since 2008 the PVP – Migrants has been developing research which seeks to unveil the everyday life, culture and work in the eyes of migrants/refugees in Brazil and France, pursuing the comprehension of the social, political and cultural dimensions of those groups' lives through the appropriation of digital culture and sharing of cultural expressions on a social network as well as in sociocultural spaces which favor critical reflection, social participation and the construction of public policies. The cultural dynamics developed by those groups have been studied by authors such as Hoefel, Severo, Merchan-Hamann, Santos

and the collective of extensionists from PVPI (2011) in addition to Andrade and Macêdo (2014), researchers of PVP-Migrants, based on the experiences conducted in the project.

The proposal is to consolidate multilateral scientific cooperation between the University of Brasilia (UnB), the Rio de Janeiro State University (UERJ), the Université Paris Descartes and the Université Paul Valéry (Montpellier III), into an interdisciplinary perspective on the subject of refuge in the contexts of Brazil and France, pursuing the establishment of a collaborative knowledge network. Thus, the present study seeks to deepen the researches linked to the PVP – Migrants coordinated by the Laboratory of Worker and Indigenous Health from the Department of Collective Health in the University of Brasilia as well as amplify its actuation scope in Brazil and France.

The theoretical-methodological path chosen was constructing an integrative perspective of the psychosocial research that had as starting point the articulation of theoretical references, which allowed bringing light to this field of study. The studies in Social Psychology of Work and Organizations follow the historic trajectory of human processes and their actuation field has been increasing to accommodate the complexity levels of work and organizational processes. In that sense, the psych-sociological look into the present drama of refugees seems indispensable to us, questioning values and beliefs guiding the social and work relationships as well as the place of human beings in this socio-historical context. The proposal is an integrated psychosocial conception to the scenario lived by the refugees, that has as basis the construction of partnerships between the Academy, Society and Civil Estate, looking at this group's processes in its historical experiences, built in a determined time and space, on every day's life, in a political, economic, social and cultural context. (Ayes, 2012; 2016)

In this perspective, the theories related to group processes as well as those directed at comprehending the social organizations field, sustain a way of study and intervention in the socialization process. Therefore, from the perspective of Social Psychology and the current conceptions of Work and Organizations Psychology focused in studying socialization processes, the proposed study has as basis the concept of socialization related to social inclusion, understood through the ideas of Martin-Baró (1982): “[...] entender la socialización como aquellos procesos psicosociales por en los que el individuo se desarrolla historicamente como persona y como miembro de una sociedad”. (p.163) as well as Borges and Albuquerque (2014, p.353) “[...] understood as the process in which an individual becomes member of a group, main subject in the process”.

The proposed research and studies intent to bring visibility to the contemporaneous life and work contexts of refugees, from their own perspectives in distinct spaces of production and reproduction of life, allowing the problematization and analysis of the way in which social relationships, in their multiple dimensions, establish themselves. The objective was allowing a dialog space, where social actors could generate, analyze and interpret information. In that sense, methodologically speaking, the research has as basis two theoretical lines: the research-action and the group processes. As said by Thiollent (2015, pp. 14-19), the research-action is a type of social research “conceived and fulfilled in strict association with an action or resolution to a collective problem and in which researchers and representative participants of the situation or problem are involved in a cooperative or participative way”.

In that sense, the theoretical-methodological basis developed sought to integrate differing theoretical lines from the researchers to promote the production of knowledge, from the involved actor's active participation in workshops, considered as spaces of learning, scientific

investigation and collective production, in agreement to the methodological presupposes of research-action and the theoretical studies about groups.

The qualitative and participative research method addressed the themes through images, especially photography, promoting debates and reflections related to the everyday life of migrants and their cultural narratives. The images are analyzed from their own meanings and evocated contexts, reasoning for their choice and production, feelings and experiences are shared, creating conditions that allow the voices of those people in refuge situations to go beyond what was pre-established, a living and pulsating empiricism along the meetings, beginning from the group's movement.

### **Development of the study**

Based on the theoretical-methodological conception presented, the studies were developed through steps, which enabled collective building. Thus, initially, it is possible to identify as a first step, named "Partnerships for action – a multilateral perspective", the constitution of partnerships that prioritize a collective structure, participative, a collaborative process to think on this group. The second step, "Getting to know the situation of refugees in Rio de Janeiro – Cáritas/RJ" has as main objective understanding the group, the social actors, the difficulties experienced and the possible demands. The third step, "Workshops on Human Rights and Photography – movement of the social group", sought to map real demands and consolidate the collective building through the voices of those social actors, since they could then perceive themselves as protagonists of the proposed study.

### **Partnerships for action – a multilateral perspective**

The "Vidas Paralelas Migrantes" Project (PVP-Migrants), Brasil-França, CAPES-COFECUB consolidated a multilateral scientific cooperation which involves students, teachers and research teams from different programs and universities. In Brazil, the project is coordinated by the Post-Graduation Program in Collective Health, UnB's Department of Collective Health, Laboratory of Worker and Indigenous Health from the University of Brasilia (UnB), having the co-participation of the Post-Graduation Program in Social Psychology of UERJ (PPGS-UERJ). In France, the program's coordination is from Université Paris Descartes – Laboratoire d'Éthique Médicale et Médecine Légale et Centre d'Études sur l'Actuel et le Quotidien (CEAQ), with the participation of Université Paul Valéry (Montpellier III). The research subjects are constituted of migrants originating from unfavorable environments, in the context of Brazil and France, specifically those situated in the regions of Paris, Montpellier, Brasilia and Rio de Janeiro.

This article discusses the course of the PVP - Migrants in Rio de Janeiro, from the technical support of the Post-Graduation Program in Collective Health of UnB, the local coordination of the Post-Graduation Program in Social Psychology of UERJ (PPGS-UERJ), research line: Contemporaneity and Subjectivation Processes, with collaborative participation from the extension project – Socialization and social inclusion –social groups' movement – field of Social Psychology of Work and Organizations in the Institute of Psychology of UERJ, highlighting the institutional partnership with Cáritas Archdiocese of Rio de Janeiro (Cáritas/RJ), through the PARES program of support to refugees. This partnership was and still is fundamental to the project, as Caritas is a pioneer on the work of assistance to refugees in Brazil, initiated in the 70's, which allowed an opening on the research field on both Rio and Paris (Cáritas/França).

Through the exposed, PVP-Migrants seeks to strengthen the theoretical and methodological sharing as well as the collective construction of knowledge between Brazil and France, with the development of joint research activities, teaching and extension. The development of this project, based on the consolidated partnerships, between national and international universities, the State and civil society, intends to favor the distribution of experiences and the contribution of Brazil to the construction of profitable strategies in health and worthy life conditions for migrants/refugees.

### **Knowing the situation of refugees in Rio de Janeiro – Cáritas/RJ**

According to data from the PARES (Refugees and Refuge Applicants Support Program), as of September 2017, there were around seven thousand and three hundred refugees and applicants in the state of Rio de Janeiro. Between those, a few more than 70% are men. However, in 2015 there was a noticeable increase in the arrival of women, both alone or accompanied by children or pregnant. The main nationalities received in Rio are Angola, Venezuela, Democratic Republic of Congo and Syria.

People arrived either forwarded by the Federal Police or indicated by those who know the work of Cáritas. When arriving at Cáritas, people in refuge situation are oriented to create an identification document with the Federal Police. After obtaining this documentation, they are allowed to have access to Brazilian public policies such as education, health and habitation. Caritas/RJ/Pares has a multi-professional support system, focused on the following goals:

Welcoming – Social workers team; - people receive information and orientation on housing, education, financial help, work, health, amongst others. The demand for work stands out, being present in around 30% of the support.

Legal Protection – Lawyers juridical team; - specialized professionals give general guidance on the condition of refugee and applicant of refuge in Brazil, as well as information on Brazilian rights.

Local Integration – Social workers, psychology and pedagogy teams; - the origins of this demand are difficulties accessing health, housing, education and the jobs market. Through the offering of individual and group psychological, support it is possible to inform and guide those people on the Brazilian context and to build collectively solutions.

One of the first barriers encountered by the refuge applicants that arrive in the city of Rio de Janeiro is the Portuguese language. A country's official language is a key factor to the socialization of refugees and refuge applicants as well as to their guidance and psychological support. Moreover, from the jobs market point of view, it is essential that they have domain over Portuguese. Thus, PARES in a partnership with Rio de Janeiro State University (UERJ) offers a Portuguese course in four different languages for refugee applicants. The course belongs to the activities developed by Local Integration. Its objective is to capacitate those arriving into having basic communication skills in Portuguese, so that they may circle around the city with a certain amount of autonomy as well as being able to apply to jobs, study, ultimately facilitating their socialization and social interaction processes.

The PARES professionals point out many difficulties faced by the refugees, highlighting those related to their insertion into the jobs market as well as those which are often present in their daily lives, such as:

The provisory permanence protocol delivered by Federal Police: the only identification document that the applicant has while waiting for a decision from CONARE. The difficulty exists in the fact that this protocol is rejected on most establishments, since employers and employees often doubt the authenticity of the document.

The time it takes to receive the official documentation of refugee – from six months to three years.

The foreigners work permit is different from the Brazilians one; it has different colors and an expiration date. Such differences generate mistrust and uncertainty amongst employers.

Difficulties proving past work experiences before arriving in Brazil. Differently from Brazilians, those people do not have their past work experiences registered in their work permits.

Official documents such as degrees, birth, wedding and death certificates, letter of attorney, school history and others need sworn translation – a type of translation that can only be done by selected translators – the TPIC (Tradutor Público e Intérprete Comercial – Public Translator and Commercial Interpreter). Many refugees and applicants come to Brazil with a professional trajectory that is interrupted by the migration. Many of those people are well qualified but fail to bring forward documentation that proves their professional trajectory or even when they do bring this documentation forward are then unable to afford the sworn translation.

Higher professional qualification not allowing an insertion in the Brazilian market because of all the bureaucratic impasses to the documents' certification and validation. Therefore, many people in refuge situation must adapt to positions, which are very different from the ones they had at their home countries. Sometimes they even submit to slavery like situations or receive significantly lower payment compared to the current market.

Difficulties when opening a bank account due to the requirement of documentation with a proof of address. For lack of knowledge, most bank workers do not recognize the provisory permanence protocol as an identification document.

Brazilian society's lack of knowledge when it comes to the rights of people in refuge situation. The misinformation leads to the requirement of documentation, which those people, do not own/do not have the need to present due to their condition, such as requiring a voter's title not knowing that those people do not have the right to vote in Brazil.

While newcomers, they experience unemployment with a lot of suffering, mainly when compared to the lives they had on their home countries, usually report symptoms such as insomnia and headaches – triggered by persistent thoughts of how they will be able to financially sustain themselves, feeling ashamed of the need to seek help.

The PARES team has been working towards appreciating and recognizing the specifics of this population, searching for partnerships for the constructions of collectively build paths to surpass the impasses they face on their everyday lives. PVP-Migrants is a way of amplifying their actuation with this population.

### **Social group's movement – Refugees RJ/Brazil – Human Rights and Photography Workshops**

The proposal developed, in the Rio de Janeiro, Brazil, was coordinated by professors representing the Brazilian Post-Graduation Programs: - in Collective Health (UnB) and in Social Psychology of UERJ (PPGPS-UERJ), with the participation of a master's student of this program, as the facilitator in the meetings of this refugees group. It has also counted with a partnership from the extension project – Socialization and social inclusion – social groups movements – field of Social Psychology of Work and Organizations of the Psychology Institute of UERJ, having three undergraduate students and the project's coordinator, in the function of participative observants, with the goal of elaborating reports, “qualitative” descriptions of a narrative type. The institutional partnership with the Cáritas Archdioceses of Rio de Janeiro (Cáritas/RJ), through the PARES program of support to refugees allowed the

constitution of a refugees group, which had amongst its members a psychologist representing the institution.

A total of five workshops on Human Rights and Photography for refugees in Rio de Janeiro/Brazil were performed in 2017, at the State University of Rio de Janeiro, in the Social Psychology Post-Graduation Program. Ten volunteer migrants / refugees from the following countries participated: Togolese Republic (01), Democratic Republic of Congo (05), Angola (02), Nigeria (01) and Cuba (01). The refugees discussed the following themes: Trajectory of the migration process; Reflections on their origins and Brazil – values and beliefs; Social Identity – origin and migration trajectory; Social Identity – mapping of work’s trajectory and process of socialization – difficulties of work in Brazil. Each workshop lasted for three hours, being held once a week, between august 10 and September 14 of 2017.

The methodology which based the encounters was experiential participative, in the form of workshops, utilizing photographs/images as key elements, involved handling of images, to each participant express their everyday life. Such workshops, named “Human Rights and Photography Workshops”, has as goals getting to know the culture, everyday life, work, trajectories and needs of migrants/refugees. Knowing them from their own perspectives, stories, values and beliefs, in a process of recognition of the socialization process. The table 1 presents a resume of the workshops, themes and activities proposed to the group, as well as the development of the encounters.

**Table 1 - Workshops**

<b>Theme / Activities – group processes</b>
<p><b>1st Trajectory of the migration process</b></p> <p><b>Activities – group processes:</b></p> <ul style="list-style-type: none"> <li>- Choosing a photography or image that represents your trajectory, your process of migration.</li> <li>- Report or describe the course from the origins until Brazil – locate on the world map.</li> <li>-Choose a picture that uniquely represents the process of migration</li> </ul> <p><b>Reports of participants:</b> The workshop was an important means of expression, allowing a connection between past and present”, “The workshop ‘touched’ in the psychological”; -“Brazil welcomed us: being at the university affects me, I feel at home, sheltered”; -“I felt security within the group”.</p>
<p><b>2nd. Reflections on their origins and Brazil – values and beliefs</b></p> <p><b>Activities – group processes:</b></p> <ul style="list-style-type: none"> <li>-Raising awareness to the culture of both Brazil and the refugee’s country of origin.</li> <li>-Presentation of videos and images from the Rio Refuges event.</li> </ul> <p><b>Reports of participants:</b> -Presented similarities and differences between the cultures of their original countries and Brazil, describing values and beliefs in reference to food, music, religiosity and fashion. Pointed the difficulties of language as a barrier to integration.</p>
<p><b>3rd. Social Identity – Origin and migration’s trajectory</b></p> <p><b>Activities – group processes:</b></p>

-Origins and trajectory – Picture which represents both themselves and a symbolism of the places where they have been.

-Final picture with the refugees' group and technical team

**Reports of participants:** -There were similarities in the reports: - memories of leaving their motherland; feelings felt during the departure in relation to what was being left behind, (jobs, projects and family – mothers, wives, children); the hopeful promise of returning or sending money as well as finding a place where they could live with safety; of prejudice and discrimination that they endured. Pointed the receptivity of Brazil, Brazilians and the Cáritas/RJ to the refugees as an important point for them to feel welcome and safe.

#### **4th. Social Identity – mapping the work's trajectory**

##### **Activities – group processes**

-Getting to know the individual work trajectory through the world map, pointing the localization, the profession and position they use to occupy; in every country.

-Creation of symbols representing work.

**Reports of participants:** Described their entire professional course from their graduation to the beginning of the migration process, taking in consideration the fact that they have been in many other regions before arriving at Brazil.

Most of the group has occupied positions with a diverse amount of functions in their work trajectory, more directed towards their need to survive. Majority has failed to get a job in Brazil and some even had the opportunity to get a work permit, all of them reported not worrying about their original professions when look for a job. The drawings, collages and images sought to symbolize the professions and difficulties found along their professional trajectory.

#### **5th. Socialization Process – difficulties of work in Brazil**

##### **Activities – group processes:**

-Mapping the difficulties of work in Brazil and possible ways to fix them.

-Images collage – elaborating a poster with images that depict themselves – similar to patchwork.

**Reports of participants:** They reported the difficulties of their process of socialization: -Language; lack of professional orientation; society's lack of knowledge on the situation of migrants/refugees; prejudice; bureaucratic questions on the legalization of their refugee status (personal documents, degrees, academical recognition). Possible solutions: more support from Cáritas when it comes to sharing information; spaces of dialog between newcomers and veteran refugees

### **Final Considerations**

The Constitution, international treaties and public policies of the refuge situation in Brazil (ACNUR, Brasil, 2016) are very advanced in what comes to social rights. On the other hand, the data made available by Cáritas/RJ and the reports from refugees recognize that their reality in RJ/Brazil is still far from the central premises of those public policies. They illustrate serious bureaucratic questions related to the officialization of their refugee citizenship and access to official Brazilian documentation, which guarantee their access to public policies such as education, healthcare and housing.

Against all of that, one of the biggest challenges to be confronted by refugees is work. It is a central question in contemporaneous society, of social identity construction, facilitator of the

socialization process and thus vital to their social inclusion. The presented data signals that refugees face, since their arrival, difficulties with documentation and consequently, the non-recognition of their social identity by Brazilian society, allowing the manifestation behaviors that make them feel unworthy professionally, turning them “invisible”. This situation has been getting worse, due to a local and global economic crisis. In 2017, unemployment in Brazil reached the highest average rate, 12.7%, since 2012.

In the first semester of 2018, 12,7 million people are without a job according to data made available by the Brazilian Institute of Geography and Statistics (IBGE). In that sense, the data indicates a need to revisit public policies related to refuge faced with the reality of refugees, taking in consideration the current Brazilian context, in its economic, political, social and cultural dimensions.

The main assumptions of this article have as starting point the understanding of a need for the establishment of partnerships, between the Academy, Civil Society and State as well as dialogical relations, seeking the participation of different social actors into the process of socialization of those in refuge situation. PVP-Migrants constituted a fundamental partnership to the accomplishment of the project, based on knowledge and values shared with a common goal: the refuge situation. Thus is reaffirmed the initiation into revisiting the initial question that guided this article: Which paths must be ethically walked in order to facilitate the process of socialization and the feeling of social inclusion to those people in a refuge situation?

The reports of those social actors, migrants/refugees, point to the importance of the workshops, so that they could express and reflect upon values and beliefs that cross Brazilian culture and those of their origins, in a perspective of the socialization process. The questioning is on their “place”, which space do they occupy, and can they occupy in this socio-historical context. Thus, the proposal is the creation of collective construction spaces, of partnerships that include social actors, in which refugees are put in scene. Spaces to search for ways that facilitate their socialization process, in a perspective in which the human can be protagonist of his own group, transforming his own life and society. As highlighted by Ayres (2012 pp.154-155) “a partnership built from values and beliefs that must be based in essential conditions of: transparence, confidence relations, recognition of diversity and compromise, through the invitation to collective action and to co-responsibility”.

In this way, succeeding those reflections, the following actions can be named as developments from study with the PVP-Migrants.

-The Social Psychology Post-Graduation Program (PPGPS) of UERJ with support from the extension project – Socialization and social inclusion – social group’s movements IP/UERJ, the University of Brasília (UnB) and the Refugee and Refuge Applicants Support Program (PARES Cáritas-RJ) promoted, in September and October of 2017, the exposition “Vidas Paralelas Migrantes: Perspectivas Brasil/França”. Totalizing around 20 images and four panels with narratives and reflections produced by the migrants/refugees themselves during the “Human Rights and Photography Workshops”

-In April 2018, the partnership between the extension project – Socialization and social inclusion – social group’s movements – field of Social Psychology of Work and Organizations of UERJ’s Psychology Institute with the project Portuguese to Refugees of UERJ and Cáritas RJ was established. The goal is to unite refugees forwarded by Cáritas, participating in the Portuguese course, which are experiencing the socialization process, to share their experiences, feeling and (re)think, review this life step, through the construction of joint action plans.

- The extension project – Socialization and social inclusion – field of Social Psychology of Work and Organizations of UERJ’s Psychology Institute, in April 2018, through the partnership established with the project Portuguese to Refugees of UERJ and Cáritas RJ becomes integrated to the Cátedra Sergio Vieira de Mello, which has the seal of UN/UNHCR. -PVP-Migrants CAPES/COFECUB has as goal the multiplication of the RJ experience in Paris in the months of November of 2018 to march 2019, through the formation of refugee groups.

In that sense, it can be affirmed that researchers and undergraduate students from IP/UERJ, consolidated an amplification of their professional formation on the theme of refuge and work in Brazil, as well as a new perspective in the psychosocial look to refugees arriving in the country, naturally seeking sheltering and orientation.

The way and proposed questions are to be built, in a dialectical process, with different partners, that allows the belief in collective making, continuous changing. As affirmed by Enriquez: (2002, p.22) “Societies that do not dream are societies that die. We shall, thus, take side for the living while there is still time”.

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# Fostering Marginalized Girls to Next Generation Leadership

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## Abstract

There are Five Strong Starts for Social Mobility. In order to be upwardly mobile a person needs to have these five factors in their favor. Children born into poverty typically do not have these five starts and become victims of intergenerational poverty. These factors were used to create a framework for comparison to a small Midwest town and a small nonprofit's practice for girls within the town. Since many of the girls were not born with the strong starts, the nonprofit's practices are compared to the framework to determine whether they are improving the social mobility trajectory for these girls.

*We are true to our creed when a little girl born into the bleakest poverty knows that she has the same chance to succeed as anybody else, because she is an American; she is free, and she is equal, not just in the eyes of God but also in our own.* --President Obama, second inaugural address

It is through leading others that I learn most. It is through leading others that I learn to govern myself. While leading others I continuously realized that no matter the age, position, or posture of the followers, their lives are fragile and deserve my gratitude, respect, compassion, and deepest care. When I lead others, I discover most about myself. Typically, leadership clouds my excess space and I need to meditate, focus, and get centered. When I am centered I can open up to co-creation. I was centered when I realized I am a social constructivist, most times. I was centered when I discovered my leadership philosophy. While I firmly believe love is a critical element to style of leadership. It was equally, if not more critical to have a strong degree of competence entangled with love to lead effectively.

My passion and purpose are singularly focused toward a single life goal. My life's goal is to improve social mobility for marginalized girls. I am on a quest to develop the "perfect" model to accomplish it. Accordingly, Richard V. Reeves and Kerry Searle Grannis of the Brookings Institute highlighted critical life circumstances for a child to be upwardly mobile in a brief called *Five Strong Starts for Social Mobility* (Reeves & Searle, 2013). When a child is born into these five circumstances he or she is deemed to have the best chance at becoming upwardly socially mobile. Forty two percent of African Americans born in the bottom tenth of the income distribution remained in that same bracket as adults (Hardaway & and McLoyd, 2009).

These strong starts are in life, school, postsecondary education, labor market, and family. In life, she must be born to an educated mother or born to capable parents. In school, she must have acceptable pre-reading and math scores and appropriate behavior. In postsecondary education, she must graduate high school with acceptable grades and enroll in postsecondary education. In the labor market she must obtain a postsecondary degree and be without a criminal conviction. For her family, she must get married and have a job before her first child. (Reeves & Searle, 2013)

Using the five strong starts for social mobility (“strong starts”) as a framework (“the framework”) I will use the progress of girls in a pilot program (the girls) and my interaction with them to highlight my leadership and leader development point of view. The girls are from a small central midwestern town. The framework has become the foundation I will use to build the work toward goal attainment. I will continue to refine it as I uncover additional research, have additional interactions with, and updates from the girls.

Social mobility is defined as the degree to which, in a given society, an individual's social status can change throughout the course of his or her life, or the degree to which that individual's offspring and subsequent generations move up and down the class system. In other words, it is the movement (or circulation) of individuals, families, or groups within a social space mapped by status, occupation, income, and similar variables through which members of a society may be defined. (New World Encyclopedia Contributors, 2015) For purposes of this discussion we are only focusing on upward mobility.

### **The Town vs. The Strong Starts**

**In Life - Educated Mother/Capable Parents:** Nearly 50% of households in the small town are led by female heads of households in poverty with low education. (Weinzimmer, Blahusova, & and Kotik, 2017) **In School - Reading & Math:** Less than 25% met 8<sup>th</sup> grade Reading/Math levels in the town’s public schools (Weinzimmer, Blahusova, & and Kotik, 2017). Similar to many public schools, many students across the country deal with the attitude-achievement gap (Mickelson, 1990). Many of these girls want to do well yet, their grades do not reflect the desire. **In School – Appropriate Behavior:** Many of the children exhibit behaviors associated with “polyvictimization”. (Office of Juvenile and Delinquency Prevention, 2009)

Polyvictimization refers to having experienced multiple victimizations such as sexual abuse, physical abuse, bullying, and exposure to family violence. The definition emphasizes experiencing different kinds of victimization, rather than multiple episodes of the same kind of victimization. (Finkelhor, Turner, Ormrod, S., & and Kracke, 2009) A recent cover story in the town’s local newspaper presented a local city councilman’s anger at the public school’s behavior statistics showing police visits to the schools for disturbances and burglary were up from the previous year. Internal disciplinary issues for disobedience (particular disrespect for authority) and disruptions were also up. Other trends were declining such as cutting class and bad language and police visits for investigations and medical. These statistics were for boys and girls. An extremely critical fact is, African American girls (and boys) are treated more punitively by those in positions of authority and they suffer harsher penalties (Epstein, Blake, & and Gonzalez, 2017). **In Post-secondary School - Grades acceptable for College:** The town has lowest graduation rates in state at 56% in 2015 (Weinzimmer, Blahusova, & and Kotik, 2017). Also, according to the Center for American Progress the state does not the criteria for career and technical education field (Jimenez & and Sargrad, 2018). **In the labor market – Post-Secondary Degree - unemployment rates in the town was 8.2 for whites and 9.3 for blacks in 2016 and the town was considered the worst city in the country for African Americans (Frohlich, Sauter, & and Stebbins, 2016). In the Labor Market - No criminal record:** Statistic were not easily identified. However, given the discipline statistics mentioned above the escaping a criminal record will be difficult for many of these girls. **Family - No Kids Before Marriage:** The town had a teenage pregnancy rate of 8.4% versus 6% at the state level. The teenage pregnancy rate for United States as a whole was about 9% (Weinzimmer, Blahusova, & and Kotik, 2017).

### **The Mission, The Current Environment, and The Way Forward**

The program’s mission is to provide girls with tools for mental, physical, and nutritional wellness, self-efficacy, and financial literacy. The organization’s goal is to help the girls to

become productive citizens. Sessions build on each other with every passing year. In addition, sessions are introduced as issues become apparent (i.e. physical abuse, thoughts of suicide).

However, despite my dreams for them I must acknowledge the disparities and challenges for African American women in this country are depressing at best. If she reaches higher heights, holding current statistics constant she will earn 63 cents for every one dollar a white man makes and have work 19 months to earn what a white man earns in 12 (Bibler, 2015). There are no female African American CEOs of fortune 500 companies for her to look up to and they barely total 2% of middle management (McGirt, 2017). I am inviting them to enter a workforce where she will likely experience overt bias and microaggressions and negativity that they do not belong in the corporate setting (Deitch, et al., 2003). And, all the while I am trying to prepare her to recognize it and handle it (as well as the stress that will accompany it) with grace while maintaining self-care. With this outlook, it also became apparent the girls needed to learn about Tribalism and Political Polarization and the extent it impacts their day-to-day lives. I stress how their (and their mothers') political activity, or lack thereof could impact their lives in the future with each vote, or lack thereof.

Finally, this framework is critical because most recommendations to improve social mobility are broad and impracticable for the moment. They suggest legislative and policy changes. For example, some even suggest the girls and their mothers undertake a major move to more prosperous neighborhoods (Chetty & Hendren, 2018). They typically do not have enough money to simply move. Also, the study does not consider "white-flight" (Wade, 2017). Numerous studies provide in-depth information on the problem. At this stage of my research practical solutions have been difficult to find. And, while there are various programs that may exist to help girls improve the lives of girls they are not well documented. Nor, have they been effective enough to make a significant impact across the country. While many of the local agencies and organizations work to provide basic needs and change life for many of its citizens, the general poverty statistics remain similar to previous years.

So, what's a girl to do? What are my choices? Do I join the ranks of those on the "define the problem" treadmill? Do I wait until some organization or government entities have crises of consciousness to "do the right thing" and change trajectories for these girls? No. Mahatma Gandhi said "Be the change you wish to see". I took his advice.

Armed with this information I began helping one girl on her path to college, then another. I conducted annual etiquette sessions with debutantes, high school seniors and invited them to discuss current events. These sessions provided me with a sense of their general wellbeing and helped me to challenge their thinking to help them to prepare for their next phase of post-secondary school experiences. These experiences helped to identify and frame the foundation for program creation.

Finally, in 2012 I created a program within an organization I belong. These girls were selected in their 8<sup>th</sup> grade year. Oversight of the group and their activities began as a team effort until the other members of the team stopped participating with their initial frequency and vigor for various reasons. I never stopped. I continued to lead sessions and activities.

The mission and practices established for this program were developed with love and the promise. I promised to love them and do everything in my power to provide them with resources to help them succeed and be better than they ever thought possible for themselves. They in turn had to promise to be respectful, receptive, and to try.

### **The Girls and The Strong Starts**

The nonprofit program is compared to the five strong starts framework. The current status of the girls in the pilot program is compared to each of the five strong starts framework. The girls are from one of the public schools in the town.

### **Urban Model for Next Generation Leadership**

In Life - Educated Mother/Capable Parents: Many of their mothers have some education, while others did not. As such, the remedy within the model called for more intense mentoring. The girls dubbed me their “Second Mom”. Originally, I suspected I had used 2 forms of leadership styles Transformational and Path-Goal. Currently, I am drawn to the idea and more evolved Transformational-Transactional model. As I familiarized myself with the details of the model I have relied heavily on the following five factors of the Multifactor Leadership Questionnaire, idealized influence attributes, idealized influence behaviors, inspirational motivation, intellectual stimulation, and individualized consideration (Antonakis & and Day, 2018).

I also leveraged the aspects of the Podsakoff model that supports identifying and articulating a vision, providing an appropriate model, fostering the acceptance of group goals, communicating high performance expectations (i.e. grades and not getting pregnant), fostering the acceptance of group goals, communicating high performance expectations, providing individualized support, and being intellectually stimulating (Antonakis & and Day, 2018).

### **Leader Member Exchange (LMX)**

My interaction with the girls developed over time. It began with excitement and subtle tests to ensure and confirm loyalty (Fairhurst, 2008). While the relationship developed at the group level, individual interactions emerged and each one engaged and developed in her own dyadic with me. Uhl-Bien described the process that occurred with the girls and the evolution of our interactions (Uhl-Bien, 2006) and relational leadership theory. Upon reflection embodied some to the tenants presented in *The Nature of Leadership* (Antonakis & and Day, 2018, p. 124) which described attachment theory. These relationships are also high-quality in nature (Stephens, Heaphy, & and Dutton, 2011). However, this can also be applied more directly and specifically in a mentoring context (Highly, Walker, Bishop, & Fritz, 2016). This is supported by their “Second Mom” description for our interactions through the years. They were highly relational and I discovered when I made room for co-creation of certain activities and practices we were all vested in the relationship and success of the group and individuals within it.

Also, “In Life” what does an educated mother provide? Upon reflection, etiquette lessons taught them “how to eat right” in their words. They have also made sure that I gave the ACCESS. I provided access to as many experiences of the average middle class kid my personal and organizational budgets would allow. In *Advancing Out of Poverty: Social Class Worldview and Its Relation to Resilience*, Abelev described how lower-class children are often not enrolled in extracurricular activities and other activities she called “the middle-class habitus”. My goal was to ensure they were accustomed to experiences as their peers when they reached college and the workforce. (Abelev, 2009)

I frequently tried to create was to “encourage” the girls to think through their decisions and actions to engage in self-leadership (Antonakis & and Day, 2018, p. 171) and ethical decision making. I gave them opportunities to lead groups of younger girls in other activities to give them opportunities to lead others. Some of the girls are leaders in their respective extracurricular activities as well.

I let them know that I have hope (Reichard, Avey, Lopez, & Dollwet, 2013) for their futures. I also let them know I faith that they have all they need to succeed within themselves. I tell them I believe in them. We discuss and co-create plans for the future. I work to get access to resources when needed. I will hunt it down! This is what middle-class mothers/parents tend to do (Abelev, 2009).

Finally, we have met in the same room for 5 years and I work to ensure they are psychologically safe. While I encourage them to make responsible decisions. I do my best to

be a listener and a source of comfort and insight. I heard them say to a younger group of girls “If something’s wrong tell Ms. Dawn because she will help you”, “Ms. Dawn will keep your secrets and help you out.” (Stephens, Heaphy, & and Dutton, 2011).

In School - Reading & Math: We did not collect or require grades at the beginning of the program and do not have access to their earlier grades. However, I established the grades criteria as an opportunity to identify issues and opportunities for assistance.

In School – Behavior: Typically, this group only had a few incidents over the course of the 5 years. I praise good behaviors and all wins. I call out bad behaviors. I threatened to expel girls if they got pregnant.

In Post-Secondary School - Grades acceptable for College: They all had grades acceptable for college. They have all graduated high school and been accepted to college. Four of the 10 ranked first, second, third, and fourth in the top ten graduates. Eight of the girls will be attending four-year institutions and 2 will attend community college. Those two joined the program in the final two years of the program. Nine of the girls have above a 3.0 GPA.

Since the girls have just graduated from college so this data is not available yet for the remaining Labor Market and Jobs categories. To date, none of the girls are pregnant. I plan to continue to be a resource and “second mom” forever as I am for my first mentee. My first mentee recently graduated from law school and “amjured” a course. She is preparing for the bar exam. She has not had children yet while her siblings have.

Finally, I teach them about the current political environment to help them understand political polarization and the impact of local, state, and federal legislative on their lives. We have voting celebrations when we leave the voting cites when they reach 18 years old. The goal of this is to activate critical consciousness (Rapa, Diemer, & and Banales, 2018). This is not considered one of the five factors but may fall within the “Second Mom” frame. In essence research has suggested that critical consciousness gives youth an internal frame to view and eventually challenge current constraints (Rapa, Diemer, & and Banales, 2018).

## **Conclusion**

The review of the small town and the starting point for these girls are not supportive enough for them to become upwardly mobile. It also suggests the social mobility trajectory of these girls looks promising with the “Second Mom” effect and participation in this mentoring program. I hope they continue to leverage their “Second Mom” relationship to help them navigate the factors. I also hope they find additional mentors, support functions, and resources to enhance their chances for success. The forms of leadership I found to be most useful were Transformational-Transactional leadership, Leader-Member Exchange, Relational Leadership,

## **Limitations of research**

This study is a preliminary review of practices to improve social mobility for these girls. Since the goal is to create the best available practice for social mobility, there are likely other models and forms of leadership to compare against current practices. For example, like Porter and McLaughlin (Porter & and McLaughlin, 2006) I may incorporate theories of “contingencies and context (Antonakis & and Day, 2018, p. 140) given the magnitude of ecology and context that impacts the girls day-to-day.

This research relies heavily on the five factors to assert potential success. Additional insight might be provided by a review of financial literacy, a more in-depth study of critical consciousness, and the impact of ethnic studies.

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# **Reception to the refugees in the Rio de Janeiro, Brazil: an experience in the context of community and intercultural social psychology**

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## **Abstract**

The refugee condition pass through the identity question, of inclusion and social exclusion, preconception. Even in Brazil, a multicultural country and multiethnic it is observed racial prejudice and sociocultural exclusion. We have witnessed Congolese and Angolans refugees discriminated and confused as “fugitives” by the less informed in the sense of having committed any crime in their home country. Are considered as invaders, that will compete for meager job vacancies, by the attendance in the public health posts, by meager social benefits distributed to the unprivileged with Brazilian nationality. Not only are the Brazilian borders open to refugees, protected by the law 9.474 of 1997, but there is a global movement in which the territorial borders have become diluted. Despite all the risks, of all losses (of social networks, of their identity, of their culture) the option to take refuge in another place means oftentimes the option for life. This works aims to share my experience as internship supervisor in community/intercultural psychology of the graduation in psychology, aiming at listening, psychosocial reception, and the cultural integration of 40 Congolese refugee families. We received their appeals for help to finding job, because they aim for autonomy, insert socially to give continuity to their life projects. They do not only bring needs. Have expertise, and they seek opportunities to collaborate with the reception country. It’s necessary to broadly disseminate the refugees’ condition, with a view to their integration and real acceptance by the various segments of society, in addition to public policies consonant with this law.

## **Introduction**

Sensitive to the subjective issues surrounding immigration (object of study of the Master in Social Psychology) in 2016, I was aware of the presence of a group of Congolese refugees, inhabitants of the Baixada Fluminense, where the University where I teach and supervise is located groups of trainees in Community, Clinical and Legal Psychology. Thus, a specific group of supervision in Community and Intercultural Psychology was formed, aiming at the Reception of Refugees, a partnership was made with the Brazilian Red Cross in Rio de Janeiro (which had been providing psychological assistance to refugees from various backgrounds, residents of the city of Rio de Janeiro) and made contact with the Caritas Archdiocesan of Rio de Janeiro.

Thus began the process of orientation of ten trainees of the tenth period of Psychology, presenting them the Intercultural Psychology and the subjective aspects experienced by the immigrants in general, about their own identity, in transformation when establishing new exchanges, now carried out in the country of cultural shock and the process of acculturation, the psychological suffering to the detriment of the rupture of ties with the country of origin and its social and familiar networks, the necessity of belonging, etc. Then, a bibliographical

survey was carried out and a collection of films and documentaries were set up on the issues specifically related to the refuge, and the whole team devoted themselves to studying this material. Strategies of mapping and surveying of psychosocial demands were drawn, as well as possible interventions, according to the paradigm of Community Psychology. Finally, the location of these refugee families began, from the information that they were residing in Gramacho, Duque de Caxias.

The first contact occurred at a demonstration held by Congolese refugees on the shores of Copacabana beach, protesting against the civil war in their home country. Some of the leaderships were identified, the presentations were made and the team's proposal was reported, with the exchange of telephones and e-mails.

From this first meeting, there have already been two supervision groups, each with ten students and lasting one year. There were many challenges to overcome so that the team could develop the actions of raising demands and psychosocial interventions.

One of the significant products of this stage was the election of this theme for the completion of the Graduation Course in Psychology, by five trainees. The mentioned monographs will be used as bibliographical reference of this article.

### **Supervised Internship in Community Psychology: Psychosocial Support and Shelter for Refugees living in the Baixada Fluminense**

The supervised internship in Community Psychology aimed at the population of refugees living in the Baixada Fluminense was conceived with the objective of providing psychological and social support and shelter to the immigrants and refugees living in the Baixada Fluminense. Among the main actions to be carried out are the incentive to preserve family ties and social networks, the memory and culture of the country of origin, their customs and traditions; familiarization with the culture of the host country (language, customs, traditions); referral to psychological care. Social support refers to benefits and rights, inclusion in social programs, entrepreneurship, income generation and employability.

From the initial meeting a greater approximation was established in order to listen to their demands and together we seek solutions to the problems and difficulties pointed out. One of the first obstacles to be overcome was finding a place where we could meet with this group. All the actions were carried out with the own resources of the internship groups and through campaigns and events they carried out, such as a "Conversation with Refugees", held in the auditorium of the university, where students from all Undergraduate courses at Campus Belford Roxo were personally invited to attend.

Gradually, more effective strategies for carrying out actions with the group were developed in a more continuous way. "Conversation wheels" were held with the Congolese refugees in their homes, while some trainees did playful activities with the children. The team began to attend commemorative events and the monthly meetings promoted by Cáritas, where basic food baskets were distributed to these families. The "talk wheels" group expressed the desire to prepare a typical Congolese lunch for the team, who provided the ingredients, thus providing a unique intercultural experience and a significant rescue of their culture of origin.

Parallel to the actions carried out in Gramacho, during these two years, both groups of trainees carried out campaigns to collect food, clothing, footwear and domestic utensils

(although our work was not a welfare service, we sought help to the most essential needs material extreme of the group). At the same time, interdisciplinary events were organized at the University in order to publicize the presence of these refugees in the Baixada Fluminense, with a focus on deconstructing the prejudice with which, in a general way, the population interprets the meaning of refuge, confusing refugees with fugitives law. In these meetings, the academic community had the opportunity to hear from the students themselves, the reasons that led them to leave their home country, how they are living in Brazil, the living conditions they are currently in and their greatest needs and needs.

Based on the manifest interest of five trainees to do their field research and monographs with the refugee group, we scheduled a semi-structured Focus Group interview based on a guiding topic with open questions. This event took place on May thirty-first, two thousand and seventeen, at thirteen hours, with the participation of ten women and one man (Congolese and Angolans) who lived near the interview site, seven community psychology interns, the supervisor of traineeship and guide of the monographs, which acted as mediator, in order to facilitate the interaction and participation of all the interviewees.

This form of intervention made it possible for all of them to dialogue amicably, sharing their experiences from the past, referring to what motivated them to come to another country, how it was received, how it has been the help of the government and the help of Brazilians as a whole. A mixture of emotions and feelings, which pass between the frustration of having to abandon everything in their country of origin and the hope, when coming in search of a new history of life (FERREIRA, 2017).

Godim (2003) emphasizes that the Focal Group interview is an excellent resource to understand the process of constructing the perceptions, attitudes and social representations about the whole process that a group lives, providing us with the information about the experience of this group group while residing in that location. Through these interviews, it was sought to identify the problems encountered by these refugees when interacting with the Brazilian society (FIGUEIREDO, 2017).

These narratives were recorded after the signing of the Informed Consent Term and the Instrument of Consent for audio and video recordings and then transcribed, analyzed and interpreted by the trainees in monograph orientation groups in the light of the objectives and research problems related to each monograph and the theoretical framework below.

### **Concept and Brazilian Legislation on the Refuge**

The Brazilian Refugee Law (9.474 / 97), considered a world example, is designated by the United Nations as a broad law that takes into account the issue of human rights violations related to the exclusion of refugee rights (BANDEIRA, 2017).

The concept of refugee arose in 1951 at the Geneva Convention, and since then it has been altered in response to the demands that appear over time. The term refugee is used to categorize people in movement and who have human, political and social rights.

Hayden (2006 apud BÓGUS; RODRIGUES, 2011) points out the contrast between the term refugee and the term economic migrant, expressing it through dichotomies: voluntary / involuntary; economic reason / political reason; society of non-violent origin / society of violent origin; in synthesis, this differentiation can be expressed by the economy / violence binomial. The definition of Refugee present in the 1967 Protocol establishes this opposition

between those who leave their country voluntarily and those who are forced to leave because they are in a situation of fear for their own lives and are therefore protected nationally and internationally.

We emphasize that the concept of refugee in force in Brazil is described in Law 9.474, drafted in 1997, through the partnership of UNHCR and civil society, composed of 49 articles, thus defining the mechanism for the implementation of the Refugee Statute. considered to this day by the UN itself as one of the most modern, most comprehensive and most generous laws in the world. It includes international refugee protection mechanisms and creates a national body - the National Committee for Refugees (CONARE) - to dictate the refugee's public policy and decide on the requests presented in Brazil (BARRETO, 2010 apud SOUZA, 2017).

From the mentioned law, we highlight its first three articles:

I - because of well-founded fears of persecution on the grounds of race, religion, nationality, social group or political opinion, is outside his / her country of nationality and is unable or unwilling to accept the protection of that country;

II - not having a nationality and being outside the country where he had his habitual residence before, can not or does not want to return to him, depending on the circumstances described in the previous paragraph;

III - due to a serious and widespread violation of human rights, he is obliged to leave his country of nationality to seek refuge in another country (BRASIL, 1997).

According to the National Committee for Refugees (CONARE, April 2016), about 8,863 refugees from 79 nationalities live in Brazil, 28.2% of whom are women. The main groups come from Syria (2,298), Angola (1,420), Colombia (1,100), Democratic Republic of Congo (968) and Palestine (376) (FERREIRA, 2017).

Since 2001, Brazil has been developing resettlement projects for refugees, with the first group coming here, made up of Afghans. Over the next two years, more than 105 Colombians were welcomed. In 2004, Brazil opened a regional program for the resettlement of Latin American refugees with the objective of protecting refugees from conflict and persecution regions and at the same time helping countries that host large numbers of Colombians, such as Costa Rica and Ecuador (UNHCR, 2000 apud FERREIRA, 2017). Brazil allowed the opening of an UNHCR office and the resettlement of refugees, becoming a reference for refugee protection in South America (JUBILUT, 2006).

Ferreira (2017) reports that, according to data from UNHCR (2000), refugees in Brazil are supported by NGOs, UNHCR and the Government or donations. In other words, the entire aid for refugees is made up of representatives of the State (Ministry of Health, Ministry of Education and Federal Police), representatives of civil society (Caritas Archdiocesan of São Paulo and Rio de Janeiro) and the representative of the International Community. The latter offers them assistance for medication, food, housing (shelters and public shelters), medical care (also coming from public hospitals). In addition, they receive legal guidance regarding their legal status in the country and integration into the local community, with special emphasis on Portuguese classes and professional training courses.

The National Committee for Refugees, a body linked to the Ministry of Justice, is responsible for recognizing the status of foreign applicants as immigrants or refugees. These, because they lack protection from their countries, find themselves in a specific situation that requires additional safeguards, with a legal regime that protects their rights, known as "international protection of refugees". And according to the CONARE report (2016), requests for refuge

increased by 2,868% in the last five years, from 966 in 2010 to 28,670 in 2015. By 2010, 3,904 refugees had been recognized. In April 2017, the total reached 8,863, representing a 127% increase in the accumulated number of recognized refugees, including resettled. Syrians are the largest recognized refugee community in Brazil, totaling 2,298, followed by Angolans (1,420), Colombians (1,100), Congolese (968) and Palestinians (376). In all, 79 nationalities are present in Brazil, and only recognized refugees are counted (FERREIRA, 2017, p.18).

We highlight here the peculiar situation experienced by the Congolese, with whom we have been working since 2016, who seek refuge due to the frequent violence caused by mass persecution, arbitrary arrests, torture and execution of opponents of the government, a problem that revolves around the Civil War, which lasts for over twenty years, for which there is forced recruitment of children and adolescents to the rebel army in the east, constant sexual violence against girls, women and children.

According to Souza (2012 apud Ferreira, 2017), the Dominican Republic of the Congo, also known as ex-Zaire, has experienced these continuous conflicts for years, with its most devastating period occurring between 1998 and 2003. It all happened when Rwanda, Burundi and Uganda signed an agreement with Congo rebels to destroy Laurent Kabila, the father of the current unsatisfied president, who received support from the governments of Angola, Zimbabwe, Chad, Sudan and Namibia. The result of this War totaled 3.5 million deaths. After this period there was a moment of peace, lasting for very little time. Conflicts were further aggravated by fighting between the rebels living there and government troops in the eastern part of the North Kivu region. During this period, around 250,000 people left their country of origin, resulting in the emptying of several villages and more than 1.2 million displaced people who arrived to other countries in search of peace and protection, escaping the fear of lose one's life.

Perhaps we do not have, as much as we try to be empathetic, conditions to imagine the immense psychic, emotional, social, existential devastation that these people have been suffering for years. Ferreira (2017) points out Erickson's (1964) thesis on the effects that the migratory process generates on the subject, based on the experience of new traumatic world images, which entails the need to assume "new identities". More recently, Glissant (2005) has proposed a poetics of Relation, referring to the way a rhizome identity, or identity relation, inherently open to contact, meets other roots. Thus, the author does not consider the human as being, but as being in relation to the other, with the world and therefore in continuous process, changeable, and not an absolute entity. One being in relation to the other, to the world. Thus, Glissant's proposition corroborates Moita Lopes's (2001) postulate that our identity configurations are constantly updated and co-constructed through discourses, as well as constructing others and the social world.

We can then infer the extent of all these experiences lived by these people, in their country of origin, as well as during the migration process itself as an refugee in itself, an adventure with unimaginable consequences, and the impact of reaching a totally unknown country, of which perhaps they had no more references, than the stereotypes conveyed by the media about Brazilian culture.

Taking as a reference DeBiaggi's (2004) proposition, migration can produce many kinds of changes in identity (including occupational and political identity) and in the individual's sense of self in terms of gender. On the other hand, Stevens (2007) states that if, on the one hand, the formation of our identity is built on our belonging to ethnic, racial, linguistic and religious

identities and, above all, to distinct national cultures, on the other concept of identity has undergone profound transformations stemming from the process of globalization of the contemporary world.

Another consequence of the process of migration that, according to Sluski (1997), causes intense psychic suffering is the loss of social and family networks. These losses can compromise the behavior, attitudes and even the physical and mental health of the immigrant or refugee. While a stable, reliable, solid social network "protects" an individual from illness or cooperates to cure some pathology. The process of reestablishing social networks can happen through the identification of the individual with the place to which he was inserted. The lack of identification can disrupt the creation of this new bond and bond, since this new network must correspond to the interpersonal need. This process can last for years, and often the refugee does not even realize the overload resulting from this process, a critical stress.

### **Community and Intercultural Psychology**

Intercultural Psychology, a branch of Community Psychology, focuses on the sociocultural and intercultural dimension, developing less ethnocentric postures and understanding its object as constituted by the interaction of two or more cultures, besides emphasizing the understanding of interpersonal behavior between different cultures, the processes of adaptation in another culture, the meaning for the subject of being "foreign", the processes involving the return to the country of origin, respect for and preservation of cultural and ethnic traits (ANGELINE, 2007 apud FERREIRA, 2017).

On the other hand, the essence of community psychology consists of a survey of the needs, demands and resources of the community, listening to the individuals themselves, their priorities (SOUZA, 2017). And, after this mapping of the main problems of the community, the community psychologist aims at the joint construction of alternatives and actions, so that the community assumes its problematic and how to deal with it, developing critical awareness and autonomy (SARRIERA ; SAFORCADA, 2010), seeking alternative ways of coping and solving their problems (CAMPOS, 1996).

### **Narratives of Congolese Refugees**

Through the focus group interview, it was possible to observe in their narratives, pain and suffering. Among their pressing demands are the need for food, rent, clothing, clothing, even financial aid so that they can bring their family members to Brazil.

After the interview data was collected, it was transcribed to identify categories for analysis of the narratives, listing four categories:

#### **1. Suffering due to lack of family bond**

The suffering related to the loss of contact with family members is present in many narratives, which reveal that many left their country, immigrating alone or with some family members, in search of security, peace and financial stability, in order to bring the families left to behind.

It is possible to observe such suffering through the narrative of the focus group, in response to the question: How do you live here in Brazil?

*Refugee SA:* Life here is hard, a very hard life, because the family is far away, if you are alone, raise the children, survive, it is hard! The people really need is support, without support the people suffer! But with help, with the Brazilian people here good heart helps, but it is difficult.

*Refugee J:* We stayed with the kids far away, back in the Congo. I have three children who stayed there in the Congo [...].

## 2. Lack of Work

One of the most frequent narratives refers to the difficulty to obtain work, with which they would be able to maintain the family in Brazil. They report that part of this difficulty in getting a placement is due to prejudice because they belong to the other nationality, because they are not only immigrants but, above all, refugees.

*Refugee J:* We just need a job, now you can help me today, today gave me rice eaten, gave me food to eat, but it has to work. If you do not have a job like that, am I going to stay? [...] I have to work to bring my children here. If you do not have a job, how will my son come here? [...] here you go and it's very good. [...] Hospital is also much better. Therefore, we have to work to bring the children, the husband and all the people.

*Refugee Z:* Hi, my name is Z, I'm a refugee from the Congo, [...] I beg you to see, work, it can be any job, I'm going to work, to support my daughter, I have three children, one was born here, that's what we want. Our story is very difficult, I do not want to remember, because it's sad, God knows how we got here, but we want to work, that's what I wanted to talk about.

Most of the refugees we serve are women, who find themselves in greater employment difficulties due to the lack of day-care centers in the region in which they reside. In turn, many of them do not have their labor categories validated in Brazil, although Law 9.474 / 97 ensures the facilitation of the procedures for the recognition of diplomas and certificates. Many of these refugees are teachers, physiotherapists, lawyers. On the other hand, few companies provide opportunities for refugees.

## 3. Lack of effective support offered by the Brazilian Government

Despite Law 9474, considered the most comprehensive and international host, and the creation of CONARE (National Committee for Refugees), which provide for public policies of refuge and decides on the requests for refuge in the country, many are obstacles to the allocation of refugees, which, as we have seen above, do not have work or constant help from the government.

Brazilian law guarantees that the situation of the refugee will be taken into account and facilitate entry into educational institutions. Thus, some universities offer refugee vacancies through UNHCR, enabling them to be included in higher education.

In addition, the refugee is entitled to be treated throughout the national territory by the Unified Health System (SUS), through the SUS card, acquired through the provisional protocol, RNE or CPF. Through the Cadastro Único para Programas Sociais (CadÚnico), you can participate in programs such as Bolsa Família, Minha Casa, Minha Vida, Continuous Benefit Benefit, Social Rent, ProJovem and Social Electricity Tariff. In case of legal support, the public defender will offer guidance through lawyers free of charge, and may be given through the Public Defender's Office or the Public Defender's Office.

But the narratives reveal the ineffectiveness of the law, we can see in the following narrative, when the interviewer A. questions about the help received by the Brazilians:

Interviewer: You said that Brazilians have a very good heart, and that Brazilians help, but do Brazilians or the government give support to help you?

Refugee: [...] the government does not give no, it does not help, even when you arrive, they only pay R \$ 300, that R \$ 300, you will pay the whole house, which lasts only 3 months, and can stay up to 6 months. [...] it takes time to get out the documents [...].

Even more serious, pointed out by Souza (2017) was denounced in the narrative of the interviewee SA, referring to the consequences of lack of documentation and employment, since, in addition to the difficulty to pay for housing, buy medicine for the children , many refugees are recruited into trafficking and end up giving in due to survival needs.

*Refugee SA:* the person already comes from outside, fleeing the war, here is complicated, can not have it, sometimes that person goes where? She is forced to live in the street, the head of the person changes, instead of being a person of good, ends up becoming a person of evil, going to the traffic, because the government did not support, put that person to live in the street. No one can endure suffering, he enters into banditry, becoming a thug, and this could be avoided with less bureaucracy so that the person can work and guarantee his. That is, although Law 9.474 / 97 fully protects refugees, what has been occurring on a daily basis is the extreme abandonment and helplessness of this population.

Even more serious is the social violence to which they are subjected, often, finding no other option to ensure their survival in this "welcoming country", except for crime. 4. Prejudice Their narratives reveal that they are discriminated against because they were not born in Brazil and need work, "occupying a place that is not theirs", suffering reprisals. According to Congolese Kongo Nzalambila, who has lived in Brazil for eight years, and who also fled his country due to violence, one of the prejudices suffered by Africans in Brazil refers to the issue of being treated as ignorant, in addition to being associated with crime or confused with fugitives.

In addition, it should be made clear that, despite the belief among the Brazilians themselves that we are a welcoming, open and receptive people to foreigners in general, there have been episodes of prejudice and xenophobia directed at Congolese and Angolan refugees, as well as aimed at many Afro-descendants living in Brazil. This fact is highlighted by Ferreira (2017) in his monograph:

In a documentary made by a TV network, "Special: Refugees and immigrants suffer prejudice in Brazil," it is possible to perceive in the speeches of the protesters who are fighting for the authorization of the new law of migration, a speech loaded with prejudice. As an example we highlight the statement of one of the interviewees: "We do not know who is entering our country, we do not know if they are criminals!". According to Price Atel, one of the Congolese who participates in the recording [...] is often heard phrases such as "go back to Africa, go eat bananas!" (FERREIRA, 2017, page 28).

Through their narratives, it is possible to observe an arduous and challenging trajectory, mainly for the reasons that made them leave the country of origin. When they arrive in Brazil, they find it difficult to get a job, since they have another culture, another language, and still receive various expressions of prejudice.

At the same time, they are grateful to Brazil for their welcome, since nothing they spend here compares with what they have experienced in their country of origin. At no point did they express their desire to return to the Democratic Republic of Congo, but instead, their narratives reveal the desire to continue living in Brazil, cultivating the hope of living the present and the future in peace, security and dignity in this country that welcomed them.

## **Weighing the pros and cons of the refuge in Brazil**

From the objective of knowing the experiences of refugees living in Gramacho, and the meanings they have given to this migratory experience. The narratives collected through the focus group interview reveal the feeling of loss of social networks, the pain caused either by having left relatives in their home country, by the prejudice and discrimination with which they are treated, by the lack of work and by the struggle survival.

His narratives allow us to infer that the Brazilian refugee law has not been effectively fulfilled, since it does not corroborate its postulates. In spite of the precariousness in which they are living in Gramacho due to the absence of public policies that ensure, in fact, their rights propagated in law, besides the prejudice suffered and the social exclusion to which they are subjected, they remain believing that better days will come.

It is important to reflect on what we are producing through a serious contradiction, verified by our team, present in the narratives of this group of refugees, between what is legally intended to offer as a refugee in Brazil and what has been happening. We must realize that as a nation we are producing social violence of various kinds, such as prejudice, xenophobia, discrimination and social exclusion, misery and criminality.

In this sense, it is necessary to evaluate the motives and interests by which Brazil opens its borders widely, since the image of a modern, open, generous country, but which does not guarantee fundamental human rights or even the precarious condition of subsistence.

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## **Values and Transformation: A case study in elder care innovation**

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### **Abstract**

For more than a hundred years, the organization, mission, culture and values of this Illinois-based home for the elderly has adapted and evolved. Using results from the first four years of an eight-year appreciative longitudinal qualitative research project, this paper will explore how, over time, a through-thread of identity exists in the organization's values, heritage, and culture to enable a new president to evolve the organization's leadership, mission, clients, and staffing.

### **Introduction**

From its origins helping the destitute, to its current mission helping the elderly, to a future vision of innovative care for those with memory afflictions, the Scottish Association (name changed) has served needy residents for generations. Originally a refuge for homeless Scottish men, the organization transformed over time to a nursing home and later added critical care and hospice services. Bringing together a diverse community of stakeholders around a common core mission of “kith and kin,” or “friends and family;” the Scottish Association focuses on the values of “enterprise, education, and equality.” This paper will explore how values can provide a through-thread of identity as an organization transforms.

When a new president came “to lead the organization into the future and to make sure that we are adhering to those values that inform our identity as Scots in America;” the president grappled with the core issue of how the Scottish Center functioned as a loosely coupled system (Orton & Weick, 1990, pp. 203-233). The president broadened the mission of the home, identified the core values, and created an innovative future direction. Most recently a new facility offering innovative memory care was added.

Socializing this transformation became an enactment – the kind of act where leaders can “unrandomize variables, insert vestiges of orderliness, and literally create their own constraints (Weick 1969, p. 243).” By molding and energizing values, he brought energy and direction to this radical transformation. In this way the president created the “social-contextual conditions that facilitate versus forestall the natural processes of self-motivation and healthy psychological development” (Ryan & Deci, 2000, p. 68).”

Preliminary findings from the first four years of an eight-year appreciative longitudinal qualitative research project are incorporated in this research. This case study is done using Return on Values methodology. The Return on Values Initiative, as described at <https://cvdl.ben.edu/return-on-values/>, explores “the relationship between culture, values, and performance in small to mid-size companies.” It is a three-year research initiative of the Small

Giants Community, Benedictine University's Center for Values-Driven Leadership and University of Michigan's Center for Positive Organizational Scholarship.

## **Literature Review**

Fifty years ago, Glaser, Strauss, and Strutzel did pioneering research into the dying process which revolutionized the understanding of the dying process including the study of caregiver emotions, caregiver burnout, and compassion fatigue; as well as the discovery of grounded theory (1968). The later research has distinguished between burnout and compassion fatigue both of which are related to stress that others put upon caregivers or the stress that caregivers put on themselves (Nyatanga 2012). As Nyatanga points out, when caregivers sacrifice their well-being to go above and beyond, they can find the caregiving rewarding yet also suffer from compassion fatigue, burnout, and emotional exhaustion (2012). Workplace organizational interaction tends to relate with caregiver burnout (Alacacioglu, et. al 2008; Kearney, et. al. 2009; Potter, et. al 2010). Hospice caregivers experiencing burnout suffer in performance, self-satisfaction and motivation; but those that experience compassion fatigue are still able to function in the organization at a high level according to Kearney, et. al (2009).

Compassion fatigue, which Slocum-Gori et. al. (2013) calls a 'cost of caring' for patients, can leave caregivers in a compromised state (Alacacioglu, et. al 2008; Lazarus 1988). While caregivers may provide needed care, they do so in a compromised state where they struggle to process personal grief, other's pain, and emotional low while comforting families.

In evaluating organizational culture's impact on nurses' workplace stress, McVicar et. al found that adjusting the organizational culture, pay or work-shift can only have a short-term impact (2003). Qualitative research has found that nurses have three major concerns: personal concerns, concern for the patient and concern for the family (Peterson, et. al. 2010).

Rather than taking a deficit perspective, Slocum-Gori et.al. (2013) advocate the study of caregiver compassion satisfaction that may result from the emotional rewards that caregivers may experience in patient care. In another positive application, Maslow's Hierarchy of Needs is suggested as a perspective for palliative caregivers to encourage those they care for to reach self-actualization and transcendence (Zalenski & Raspa 2006).

## **Methodology**

The eight-year longitudinal quantitative analysis includes structured appreciative inquiry interviews done on a cross section of the staff of the Scottish Home using the Return on Values project methodology. The structured interviews focus on the organization prior to building the new house (2014); when the new house is build and half full (2017/2018); and after the house is fully operational (2022). In addition to the structured interviews yearly research visits are performed. The authors performed these interviews in June 2014 and January 2018. The cross section of the organization included the following caregivers: Gus Noble, President of the Illinois Saint Andrew Society; Lynn Elker, Administrator; Chris Cortez, Director of Admissions and Marketing, Linda Goy, Director of Life Enrichment; Chante Wright MA, BSN, Registered Nurse (RN), Director of Nursing; Clarice Hinsdale, Director of Food Service; Isidro (Sid) Cisneros, chef; Sue Shuttleworth, Assistant Director of Housekeeping and Laundry; RNs and Certified Nurse's Aides (CNAs).

The method of Appreciative Inquiry (AI) is one that helps groups build on their 'positive core'. AI offers a way to understand and extend best practices within the organization and to

build upon these competencies, as an alternative to the typically negative connotation of problem-solving (Ludema 2003).

According to Ludema (2003), Appreciative Inquiry is structured based on the '4-D' cycle of:

- Discover – Appreciate the best of what is
- Dream – Imagine what could be
- Design – Determine what should be
- Destiny – Create what will be

Six characteristics are attributed to organizations that embrace Appreciative Inquiry (Ludema 2003):

- Organizing from the positive core
- Nurturing appreciative learning cultures
- Sustaining positive change
- Liberating the voice and energy of the people
- Cultivating appreciate leadership
- Levering business as an agent for world benefit

Through this, an organization can build hope and appreciation that becomes sustainable.

### **The Scottish Home**

A small private community elder care facility, the Scottish Home offers nursing, convalescent, and end of life care on five richly wooded acres in North Riverside, Illinois. Gus Noble, a Scot, is the current President of the Illinois St. Andrew Society and directs the society that owns the Scottish Home based on being true to its values and mission. Dating back to 1845 and being the oldest Sec.501(c)3 organization located in the state of Illinois, the St. Andrew's Society operates the Scottish Home., the St. Andrew Society is an open society with diverse membership that includes individuals from Scottish lineage, heritage or simply by inclination. The St. Andrew Society built the Scottish Home in 1910.

The St. Andrew Society's mission is "to nourish Scottish identity through service fellowship and the celebration of the Scottish culture." Gus refers to Scottish identity as "an inclination toward a set of values." His role is to ensure that the values are clearly articulated and embedded in everything done at the St. Andrew Society (including the Scottish Home).

As the President of the St. Andrews Society, Gus speaks with passion, conviction and clarity about the importance of the Scottish home values and culture;

In Scotland we have a thing called haggis, and if you don't like haggis you find out pretty quickly...it's a joke...Haggis is one of those iconic foods that is fierce. It's a bit like a hot dog made out of all the vital organs of a sheep, so it's self-selecting. You come along and eat haggis. If you don't run away then you're part of the family...it's a crass way of saying that there are certain values we have here. We have a culture.

There are three core values and a spirit that are referred to in the Scottish Home interviews:

Core Values:

Education

Enterprise

Equality

Spirit of “Kith and Kin”

In this paper, ‘core values’ will refer to the first three of the above dimensions and ‘values’ will refer to all four.

### **Value of Education**

The value of education for the Scottish home was “born out of the 18<sup>th</sup> century Scottish enlightenment that was characterized by the surge of scientific and intellectual pursuits” according to Gus who also shared that:

If we take education to begin with, as an organization we strive to, at The Scottish Home, make residents feel comfortable and their families feel happy. To do that, we measure ourselves, we share weekly meetings. What works for individual residents may work for another resident. We try to learn from the experience that the residents have had with their caregivers. But from a cultural prospective we have a museum and we have the world’s only Scottish American Hall of Fame, and what we try to do with the Hall of Fame is to tell the stories of individual Scottish Americans who exemplify best practice at something; who exemplify contributions of an artist, lawyer, politician or scientist. We use the Scottish American Hall of Fame to tell people...about the reason they were put in into the Hall of Fame. That’s an important process.

### **Value of Enterprise**

Enterprise and entrepreneurialism is born out of Scotland’s spirit of invention according to Gus who shared:

“We know that our values will never change, but by keeping focused on what is best for the residents, what’s best for our customers, we are allowing ourselves to evolve and to really be enterprising in the way we approach that evolution.”

This value of enterprise was highlighted by Gus in one particular incident that he shared:

One of our residents, bless her, she was on Hospice and we knew that she was dying. We knew that she wasn’t going to be with us for very much longer and she became quite weak. It was in the winter. Here in Chicago the winters can be very fierce, and it happened to be on one of those biting cold days in the middle of winter, and we looked out the window and the snow was beginning to fall in kind of the late afternoon time, and this resident said to us...I want to feel the snow falling on my face for one last time. And we knew that if we took her outside it was so cold she probably wouldn’t make it. So the two caregivers that were with her at the time went outside and brought in bowl of snow and very gently they dropped it onto her face so she could feel the snow, and at the same time they made a small snowman which they put beside her bed, and the smile on that lady’s face was just the most valuable I’ve discovered in all my time here. And that really speaks for the culture.

## **Equality**

Gus described equality as the “quality of individual and opportunity and in freedom of every kind that’s inspired best by Robert Burns great poem, A Man’s a Man for All That.” Additionally, Gus shared:

If you look at the equality of every individual and every opportunity as one of our core values, I want to see our residents feeling like they are part of a community and a home that is really focused on what they like, what they want, what they need and I use this very basic example. If a resident spent her whole life getting out of bed at 6:30 and having a bowl of blueberries, just because she moves into the Scottish Home doesn’t mean to say she gets up at 7: 30 and has strawberries. We have to do all we can to respect what it is that the individual resident wants and needs and desires from her moving into the Scottish Home”

## **Kith and Kin**

Kith and Kin, or friends and family, is described as the spirit of the Scottish Home by Gus. He shared that:

There is nowhere else like The Scottish Home. We’re the only Scottish organization that owns and operates a nursing home but it’s also unique because it’s informed by the Scottish spirit of kith and kin--the friends and family--the concept--the spirit of kith and kin that the Scots have become the world over is the very fabric of The Scottish Home, and that’s the passion I have. It was ignited by me recognizing this spirit of kith and kin where you move to The Scottish Home and you become part of a family here. The measure of our success I always say is not necessarily in pence, shillings or in dollars and cents. Of course we’re an organization that has to survive and thrive financially but the real measure of success of The Scottish Home is when the daughter of one of our residents comes into The Scottish Home and I can look in her eye and know that she is well rested; that she was able to put her pillow on the head at night because she doesn’t have to worry about her mother being looked after at The Scottish Home. She knows and is confident to sleep knowing that her mother is being cared for as closely as she would in her own home, and that really is the thing that is the passion I discovered I have for elder care.

Additionally;

The residents become friends of the caregivers, and the caregivers can therefore immediately recognize when somebody’s comfortable or they want to be comforted in the same that you can your own friend. And that sense of bonding to somebody, there’s a sense of obligation. There’s a tremendous pride in knowing that the person that you’re caring for is thriving cause you’re giving something to them, and I feel and see that every day at The Scottish Home and there’s nothing better than walking into the dining room and seeing the residents smile, or walking into The Scottish Home in the morning and having a conversation with one of the residents and saying... I remember one lady said to me, isn’t it great to be alive sitting in the garden at The Scottish Home looking at the flowers and that sense is a wonderful part of The Scottish Home.

## **The Intersection of Values, Culture and Philosophy**

As living these values builds a culture of caring as kith and kin, the caretakers build close personal relationships with the residents.

“And that really speaks for the culture. The fact that everybody feels that they have a bond to our residents; to their families; to the caregivers; we’re in this together as you would be in a family in your own home. “ (Gus Noble)

This inspirational “outlook” provides sensemaking and meaning-making within the structure of the culture:

We have a culture. We have a philosophy. We have an outlook on life that really is an inspiration to the people who either choose to live here, chose to come and work here, chose to support the organization through their volunteerism or their philanthropy chose to come along to our events. There is a culture that is the thing that binds everyone. There is a belief in putting something above yourself...service above self as they say .... is a very important part of our culture ....., and you see from the staff that work here to the people who come and volunteer. You see this every day. (Gus Noble)

### **Caretaker Values**

Beyond the perspective of the President of the St. Andrews Society, the values pervading the organization reflect this same meaning-making as Registered Nurse (RN) Gina McCabe reflects when she shares that:

The Scottish Home probably a century ago was a place for desolate, homeless, needy people to come and I really think that that jives with my philosophy of human beings are human beings regardless of what they’re able to afford, and so when I came here learning about their philosophy once I was here made me feel like the values that this place was founded on were values that I also agreed with.

### **The Vision of the Caledonian House**

Based on and leveraging the unique values of the Scottish Home as a proud anchor point, Gus was open to adjusting tactics and strategies:

“ if you have that as an anchor point, then identity can move and be resonate and relevant with the times ... in which you are trying to accomplish your mission. While strategies change; tactics may change....our values must never change. We are who we are, and we have to be proud of the things that we inherit from the Scots who came here and started our organization in 1845.”

Based on those values Gus targeted an innovative, best in class new care model that still leveraged the same values and sense of family and home:

We intend to build a new system and a new structure; a new operational and architectural structure to care for those people who have Alzheimer’s Disease and other forms of memory loss. Gone will be the long double loaded corridors that you find in traditional medical institutional models of care. Instead, you’ll find twelve rooms built in a round so that each room opens up onto a great room where you would find a dining table, a fireplace, you would see your friends and activity taking place, and the resident no longer feels daunted by the empty corridor that she would see immediately upon exiting her room. She would see all these things and she would also

see and smell food being prepared in the kitchen that's right there in the heart of the home. And that sense of family and home are very important for The Scottish Home today, but they will inform what we will become tomorrow. It's consistent with our history, but the Caledonian House will be best in class memory care in a non-institutional setting.

Holistic care by a single care giver is a key component of the innovative transformation of the care model involved in opening the Caledonian House as Gus explains:

The key difference in the Caledonian House that you will find over traditional institutional medical models of care where you have three different workers caring for residents in food service, housekeeping and nursing services will be changed and evolved to a more holistic approach to caregiving where one person will be trained to provide all three of those service.

Having the holistic care giver, as Gus explains, provides much better care for the residents:

And what that does is it increases meaningful interaction between the resident and their caregiver and it builds the bonds of familiarity that are so important to person-centered memory care. It's a very important thing we're doing, and we feel that the Caledonian House will afford us an opportunity to give back to the care giving community at large by working with people to evaluate this new model of care and to give back as a service to those people who are involved in care and again making good on our commitment to the belief and the value of education and critical thinking that's inspired by Scotland that we can all do better; that we can all be educated; and find a better way of caring for those people who really need our love.

Lynn Elker, the Scottish Home administrator, focused on the ability for this universal worker to have a pride in their work and to earn a respectable living without the challenges in wage discrepancies that existed in the existing care model:

But we need a new model of care for a lot of reasons. Number one, this care is very expensive so we have to find a model where people are going to be able to afford it, and we also...I talked about that discrepancy in wages. Well, when you're the universal worker you're making a living. You're going to be paid more an hour that you actually will be making a living. And your contribution to this home, you will take ownership in this and have so much pride because this is your home and it's your family.

### **The Transformation to the Caledonian House**

The Caledonian House opened in 2016 with two floors each home to ten residents. The rooms all have private bedrooms and full bathrooms, and all open to a great room where activities take place by the fire side. Meals are enjoyed as a family using an open kitchen that fills the floor with the aroma of cooking. Gus proudly shared:

It is the culmination of a lot of work, not just design and building and staffing, but the culmination of our evolution of us over the years culturally as we seek to be relevant to the needs that we see around us.

Gus shared how the completion of the new house was driven by the frontline care givers rather than top down:

.., it is quite a proud moment for me and my colleagues here. .. through the process of the design and building of the house they have been involved so that that unseen change may be more striking. .., it never would have happened if it was just me ... it was a way to bring more of the organization to be involved . . . I said 'the guys in the

ties' know nothing about the daily rhythm and I need to be respectful of the front line care givers and how they operate . . . once we empowered them on issues like the design of the kitchen and the layout of the laundry, I just had to step back . . .we turned those challenges into opportunities.

Taking the position of Administrator of the Caledonian House after a customized development plan, Chris Cortez shared on the challenge for the new facility:

“the importance of getting the right fit is finding someone who can accept the role of the universal care giver. They are not CNAs alone.”

Jim Boyle, the administrator of the Scottish Home campus, shared an anecdote on how the traditional values of the Scottish Home were being lived at the new Caledonian house:

We had a resident move in who had only been with us for a couple of days . . .she had some relatives come over and she wanted to go out for a hamburger and a coke. And so what the care partners did is they took some hamburgers out of the freezer, they came here and got some cokes and they put a tablecloth on the visitors table. And they made them a hamburger and a coke for the resident and her friends. What was great was that they saw what needed to be done and did it and they made the day for that resident. . . typically in this industry no one would approve something like because of concern for the budget

### **Conclusion**

Across the Scottish Home, the values espoused by their president - enterprise, education, equality, and a spirit of 'kith and kin'-were evident. In the transformation of the Scottish Home the president, Gus Noble, struggled with the dynamics of how the Scottish Home operates as a loosely coupled system (Orton & Weick, 1990, pp. 203-233). The organization's mission was broadened, the core values were identified, and an inspiring innovative future direction was targeted through a dramatic transformation.

This transformation became a social enactment – an action where a leader can “unrandomize variables, insert vestiges of orderliness, and literally create their own constraints (Weick 1969, p. 243).” In focusing and activating these values as the leader, Gus brought dynamism and direction to this dramatic transformation. Thus Gus was able to create the “social-contextual conditions that facilitate versus forestall the natural processes of self-motivation and healthy psychological development” (Ryan & Deci, 2000, p. 68).”

The Scottish Home demonstrates how cultural values can drive inspiration, context, meaning and transformation.

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## **Organizational values of a Junior Psychology Enterprise – a participatory management perspective**

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### **Abstract**

InterAção Jr, Junior Enterprise of the Institute of Psychology of UERJ, organization of work and education, formed and managed by undergraduate students in participatory model. The research, based on the integrated psychosocial conception (Ayres, 2012), carried out with 30 junior entrepreneurs, aimed to provide reflections and discussions on the current organizational values, measured by the Inventory of Organizational Values / IVO (Tamayo, Mendes & Paz, . It presents six dimensions of the organizational culture: Autonomy X Conservatism; Hierarchy X Equalitarianism; Domain X Harmony. The results allowed junior entrepreneurs to review the practices and organizational values that guide their performance, from the analysis of the results, comparing with the values defined by the founders, represented by the mission and institutional pillars.

### **Characterization of Junior Enterprises**

Literature reports the emergence of the Junior movement, in 1967, at France. The Junior Enterprise is a non-profit civil association constituted by college students, with the mission of amplifying those students' formation, the social and economic development of their communities, the entrepreneur spirit of its members, the contact of students with the job's market and society, with the guidance of teachers and specialized professionals. In Brazil, the junior movement began in July 1988, being the current Latin America country with the biggest number of Junior Enterprises, which are organizing themselves in state federations to strengthen the movement and exchange experiences. (Matos, 1997; Moretto, 2004).

In 2012, Rio de Janeiro State University (UERJ), pioneered, through the creation of the Department of Innovation (INOVUerj) as being the first brazilian university to financially support the junior movement. Since the beginning, Notices destined towards UERJ's junior enterprises (JrEs) were constituted, having the last Notice of 2015 contemplated 12 (twelve) junior enterprises at UERJ, with the objective of contributing to their development and consolidation.

InterAção Júnior – UERJ's Psychology Institute's (IP) Junior Enterprise was founded in 2006, it is a company, formed and managed by graduation students of the Psychology course at UERJ and counts with students of any period in its composition. The basic goal is the formation of those students, in their education, conducted by a supervised practice, establishing a partnership between the job's market and the academy. Therefore, it is configured as a special "enterprise", atypical, whose grounding is stimulating permanent critical reflection on the market, on current models, on professional practices and on challenges that present themselves between the academic spaces and the job's market. Thus, since the initial moment the reflection on its operation had as focus questions related to the mode of organization and participatory management, in the search to attend to individual and

collective goals, therefore the Junior Enterprise's goals. Thereby highlighting the place occupied by every member and the possibility that each one of them has of leaving their mark at UERJ'S Psychology Junior Enterprise.

Thus, began the collective construction of the JrE's operation seeking the approximation between theory and practice so that it could mirror and guarantee the interests, values and objectives of its members. The founder group was guided by the question: Which Junior Enterprise do we want? The path traveled sought to build an organization oriented by the effective participation of its members, based on relations of confidence and cooperation, emphasizing continuous dialog on the collective making. Therefore, the proposal was outlining an organization made by people for people. Thus, an organization constituted on a praxis that would occur on a constant interactional movement, in which new organizational ways of doing could be produced and put in scene, generating and fomenting a space of people's appreciation. (Ayres et al, 2009)

On that path, InterAção Jr's founding committee, with an emphasis on collective construction, involved all of the Psychology Institute's segments, teachers, students and administrative technicians, on the definition process: of the Junior Enterprise's Name, its Business, its Mission, its Pillars and Organizational Structure, as described on Table 1.

**Table 1: Charaterization of InterAção Jr**

<b>Characterization of InterAção Jr</b>
<p><b>Chosing the JrE's Name</b></p> <p>The foundation of InterAção JR, in 2006, comes from a demand by the students in the Psychology of Work and Organization Internship, in a process that sought to integrate the expectations of students, teachers and directors of the Psychology Institute (IP), considering the approximation between theory and practice as essential. From the discussion, the group proposed the creation of a contest, named "Looking for a name", that had as goal involving the different segments of IP in its creation.</p>
<p><b>Business</b></p> <p><b>Education:</b> the formation, professional qualification of students and dissemination of new practices in the field of Psychology. In that sense, services the different areas of Psychology, service which must be conceived through the promotion of critical reflections on traditional knowledge, seeking innovative practices that may contribute to social and scientific development.</p>
<p><b>Mission</b></p> <p>Promoting human development with ethical compromise, contributing in an innovative way to the teaching, research and practice of Psychology in its many actuation fields.</p>
<p><b>Pillars of actuation</b></p> <p><b>Entrepreneurism:</b> Identifying and making use of opportunities in a continuous, creative and bold way, taking responsibility for its actions and results.</p> <p><b>Excellency in actuation:</b> Interline the actuation into the planning, transparency, quality and monitoring of</p>

the actions' results.

**Ethics:** Respect and follow the Federal Council of Psychology Ethics Code and the Junior Enterprise Movement Ethics Code primed by the appreciation of human beings in an integrated way, taking in consideration their subjective, emotional and cognitive aspects.

**Dialog:** Having transparency in communication and appreciating dialog, being trustworthy, clear and precise in transmitting information on its totality, as well as being able to promote and host the free circulation of ideas, critics and suggestions.

**Team:** Favor teamwork, appreciating the quality of interpersonal relations, through the effective participation of all its members and relationships of support, cooperation and trust.

**Knowledge:** Create, develop and consolidate knowledge, founding all actions of the enterprise through research and process of learning, providing then the training and actualization of its members, the production and transmission of knowledge.

### **Organizational structure**

The organizational structure is circular, which allows more fluidity and quickness in information exchange, when compared to the traditional pyramid model.

Its composed by four nucleus, namely, planning, projects, communication and development. Each nucleus is composed by members and a nucleus coordinator.

The four coordinators form the executive council, which is the stance of deliberation on ordinary subjects of operation. Its registered in the founding statute that the maximum deliberative stance occurs through general meetings, having a minimum quorum of half plus one for the taking of strategic or/and extraordinary decisions.

Through the described, it is fundamental to emphasize the importance of InterAção Jr's institutional role to the consolidation of teaching, research and extension college goals, in the sense that it is part of UERJ, a state institution of public education, therefore, contributing to society's development.

### **The theoretical foundation of the study**

The study field of values has been showing as increasingly relevant in the context of work and organizations, because of its known influence in important aspects such as satisfaction and performance at work, as well as organizational productivity and climate. The table 2 presents a few authors that have been standing out in the study of themes related to the proposed article, that has as goals: investigate how the conduct and values of current junior entrepreneurs represent the premises built based on participative management, outlined in the mission and pillars of the JrE's foundation.

#### **Table 2: Main definitions of values**

**Individual Values: Rokeach, (1979):**

Human values are conceptualized as consisting of a relatively small number of core cognitions present in every society about desirable end-states of existence and desirable modes of behavior instrumental to their attainment that are capable of being organized to form different priorities. If the words symbolizing such a small number of core ideas were eliminated from any given language, individuals growing up in such a society would have no cross-situational standards by which to live and no linguistic tools with which to rationalize, and they would not know how to go about meeting societal demands about behaving competently or morally. They would have no principles or rules to guide them in making decisions or resolving conflicts. Most important, they would not know what to do in order to go about maintaining and enhancing their self-esteem

**Cultural Values: Hofstede (1984):**

In the center is a system of societal norms, consisting of the value systems (the mental programs) shared by major groups of the population. Their origins are in a variety of ecological factors (in the sense of factors affecting the physical environment). The societal norms have led to the development and pattern maintenance of institutions in society with a particular structure and way of functioning. These include the family, education systems, politics, and legislation. These institutions, once they have become facts, reinforce the societal norms and the ecological conditions that led to them. [...]

One of the most effective ways of changing mental programs of individuals is changing behavior first (Bem, 1970: 60). That value change has to precede behavior change is an idealistic assumption which neglects the contribution of the situation to actual behavior.

**Universal Human Values: Schwartz and Bilsky (1989):**

Values are concepts or beliefs, pertain to desirable end states or behaviors, transcend specific situations, guide selection of behavior and events, and are ordered by relative importance.”

The authors identified the universal types of values and established ten motivational kinds grouped in two bipolar dimensions of values: Self-transcendence (Universalism and kindness) that opposes Self-promotion (Power, achievement, hedonism). On the other hand, there is Openness to change (Hedonism, Stimulation and Self-determination) that is opposite to Conservatism (Tradition, Conformity and Safe) (Schwartz, 1994, 2005)

**Organizational Values: Tamayo (1996):**

Principles or beliefs, hierarchically organized, related to states of existence or desirable behavior models that guide the company's life and are serving individual, collective or mixed interests.

The concept adopted by this study is Tamayo's (1996) in the sense that it integrates individual, collective or mixed interests, basis of the collective construction. Complementing this definition, stands out the presence, noted by Tamayo and Gondim (1996), of cognitive, motivational, functional and hierarchical aspects in an amplified look to the constitution of organizational values.

The cognitive aspect is related to the content of values that are constituted from the perception and knowledge of reality. The motivational ones are associated with people's interests, that are the origin of values, being able to refer to both personal interests and those who have been collectively deliberated. In that sense, it is the aspect that motivates action, giving it direction and emotional intensity. The function is the orientation of people's behavior in the organizations; presents then, a somewhat defined way of expected behaviors in that

organizational context. The hierarchical has its importance once different organizational values are classified considering the priority order of each value to guide the organization's life. (Tamayo, 1996)

To measure the values in this context, the Inventory of Organizational Values (IVO) (Tamayo, Mendes & Paz, 2000) was used, it is an instrument composed by three bipolar dimensions for representing the way in which every respondent perceives organizational values. Each of the dimensions, namely, (1) Autonomy versus Conservatism; (2) Hierarchy versus Equalitarianism; and (3) Domain versus Harmony, is mapped considering the perception on the current moment as well as in the ideal situation.

The dimensions defined by Tamayo, Mendez & Paz (2000, p.299-302):

-Autonomy versus Conservatism, has as basis the notion of difference between individual and group interests. The dimension of Autonomy concerns the consideration of human beings as capable of managing themselves and following their own interests in a way that is harmonic with those propagated by the organization. The organizations with conservatism values comprehend that individual interests do not differ from the common ones. Thus, Tamayo, Mendes and Paz, (2000, p. 299-300) point that “values characteristic to the group's interests refer to the necessity of conserving the uses, mores, structures of power (...) emphasizes the maintenance of the status quo on the organization, and interdiction of behaviors that may disturb the norms and traditions of the company”.

-Hierarchy versus Equalitarianism. In Hierarchy the perspective is to use the differences of power in the roles to guarantee that an organization's members will fulfill established goals. On the opposite pole, are present in Equalitarianism the appreciation for openly expressing ideas and differing opinions, from a participative perspective, valuing the wellbeing of all.

-Harmony versus Domain, are related with the environment's domain through the company's self-affirmation. In Harmony, the company's search for a pacific accommodation with the environment and competing organizations is identified. On the other hand, Domain reflects an intense and dominant positioning by the company against the consumer market.

Based on those parameters, the objective of this study constituted itself in propitiating to IterAção Jr members a space of reflection on the values that guide their current behaviors in the organization against values defined by the founders, represented by the mission and pillars of the JrE.

The focus of this article is presenting the values' survey results, performed through the Inventory of Organizational Values (IVO) (Tamayo, Mendes & Paz, 2000), having constituted the first and second steps of the research. It is important to highlight that from the methodology adopted to the research's conduction, the results were the starting point to the group's discussion on the way they were positioning themselves daily. This perception verified from the values can be compared to the formal material, instituted through the pillars of operation, that guide organizational actions and, therefore, the organizational values.

### **Methodological proposal for conduction of the research**

The methodological basis to the research's conduction has as focus the Integrated Psychosocial conception (Ayres, 2012), that has as philosophical base the complex thought of Morin (2007) and as pillars the theoretical studies on group processes Mailhiot, 1985; Lane, 1984; Ayres, 2012) and action research (Barbier, 1985; Thiollent, 1997, 2004; El Andaloussi, 2004), prioritizing the involvement of all social actors, meaning, those who make, who have

something to say, in a collective structure, participative. From that conception, the following methodologic orientations, described on char 3, are present in the entire process of collective construction (Ayres, 2012), configuring itself as guiding “method” to the research’s path.

**Table 3: Methodologic orientations of the Integrated Psychosocial Conception**

<b>Methodological Orientation</b>	<b>Description</b>
<b>Psychological Contract</b>	Mutual establishment of rules, norms and common purposes for the involved interlocutors, that may propitiate a feeling of satisfaction and belonging to the group.
<b>Communication</b>	Expression of differing points of view. Everyone is invited to express their ideas and opinions.
<b>Feedback Process</b>	Self-reflection and Exchange of perceptions (dialog exercise) between the members of the group, in a context of transparency. Verifying information obtained in group situations, when convergences and divergences happen between the different actors involved.
<b>Collective Decisions</b>	The decisions are taken in function of the Exchange of knowledge and experiences. This premise bases itself on a democratic view, not authoritarian, of work relations, of interpersonal and group relations. Interaction and the search for collective autonomy are valued in the decision making.

Source: Ayres 2012, p.104

Therefore, many phases are proposed and executed in a participative mode, through reunions and interviews, with a goal of enabling the group’s reflection and learning as well as the exchange of the experiences. In that sense, the proposal can be defined as a research intervention, with the objective of generating means of mapping, thinking and reviewing the organizational values of InterAção Jr, having as focus the involvement of all participants. Thus, junior entrepreneurs responded to the instrument, exposing the perceptions of prioritized values in the organization’s daily behaviors, and visited the current situation of InterAção Jr from which they considered organizational values in an ideal situation. Therefore, the emphasis was propitiating a space of dialog so that those social actors could identify and analyze the responses and from that, reaffirm and re-signify the beliefs.

### **Development of a research intervention**

In that sense, in 2017, a contact was made between the researchers bound to the Extension Project: Psychology of Work and Organizations – emphasis on organizational processes – Orientation to the operation of Junior Enterprises and the team that is currently part of the Enterprise, setting up a meeting to present the research intervention. In this initial contact, they explained the research’s objective of verifying the perceptions of junior entrepreneurs on the real and desirable values present in the practices of InterAção Jr, having as a proposal the involvement of all in every step. Thus, a way configured as research intervention, in the sense that it sought the reflections and discussions of the group on the organizational values and proposed actions.

For the research intervention’s execution, the following steps and activities were fulfilled, according to methodological orientations.

**Table 4: Developmental steps of the research intervention**

<b>Steps – methodological orientations</b>	<b>Activities Performed</b>
1. Psychological Contract and Communication	<ul style="list-style-type: none"> <li>-Dispatch of a proposal-invitation to the execution of an initial meeting;</li> <li>-Initial Contact to present the research intervention and action definitions for the research's alignment;</li> <li>-Presentation of proposals to all junior entrepreneurs, seeking to engage their participation on the research's future steps.</li> <li>-Provision of a specific e-mail address for questions and information.</li> </ul>
2. Communication	-Mapping of the organizational values – data gathering – virtual dispatch of the IVO - data tabulation and analysis of the responses.
3. Feedback Process	<p>Collective Session:</p> <ul style="list-style-type: none"> <li>-Presentation of the responses to the junior entrepreneurs</li> <li>-Stimulus to a reflection on the results</li> <li>-Discussion and assignment of collective meanings to the research</li> <li>-Creation of commissions to the elaboration of an action plane to work the discrepancies between real and desirable values.</li> </ul>
4. Collective Decisions	<ul style="list-style-type: none"> <li>-Presentation of the action plans elaborated by each commission and group discussion</li> <li>-In this step action lines and deadlines were clarified and responsibilities were distributed along members.</li> </ul>
5. Feedback Process and Collective Decisions	<ul style="list-style-type: none"> <li>-Periodic reunions (once every 2 months) for monitoring the action plans</li> <li>-After a minimum period of a semester with periodical monitoring, a new survey is done with the respondents and return of results.</li> </ul>

### **Results of mapping the organizational values**

This article has as an objective presenting the results related to the second step, in the mapping of the organizational values from InterAção Jr, having been considered the answers of 30 junior entrepreneurs who were members during the years of 2016 and 2017. The tabulation of results related to the six dimensions proposed by IVO, are presented on table 5.

**Table 5: Percentage of Answers in function of maximum pontuation.**

<b>DIMENSION OF VALUE</b>	<b>PERCEPTIVE SCOPE</b>	<b>PER VARIABLE ANSWER SUM</b>	<b>MEDIUM ANSWER</b>	<b>PERCENTAGE</b>

<b>Autonomy</b>	<b>REAL</b>	126	4.2	70%
	<b>DESIRABLE</b>	171	5.7	95%
<b>Conservatism</b>	<b>REAL</b>	117	3.9	65%
	<b>DESIRABLE</b>	167	5.6	92.8%
<b>Hierarchy</b>	<b>REAL</b>	108	3.6	60%
	<b>DESIRABLE</b>	157	5.2	87.2%
<b>Equalitarianism</b>	<b>REAL</b>	106	3.5	58.9%
	<b>DESIRABLE</b>	166	5.5	92.2%
<b>Domain</b>	<b>REAL</b>	117	3.9	65%
	<b>DESIRABLE</b>	133	4.4	73.9%
<b>Harmony</b>	<b>REAL</b>	86	2.9	47.8%
	<b>DESIRABLE</b>	164	5.5	91.1%

### Data Analysis

The most desired aspect for the participants is Autonomy (95%), which could be highlighted as one of the main aspects that makes this organization different from the others, in the sense that it seeks to consolidate a democratic environment, of self-development, where everyone is the protagonist of the JrE's story. Complementarily, it is the scope that is perceived as the most valued in the everyday organizational actions (Autonomy: 70%). Its important to affirm that this dimension is one of the fundamental factors in the operational structure of the participative management model in the enterprise, because the more relations are based on the dialog and appreciation of everyone's contribution to the collective results, the more autonomy is required of each participant as a condition for the adequate operation.

When it came to Conservatism, its indexes presented values in the real (65%) and desirable (92.2%) scopes which are slightly lower compared to autonomy (70% and 95% respectively). While the medium answers of participants on the perception of autonomy and conservatism realities were of 4.2 and 3.9, respectively, in the desirable scope of perception, the answers were 5.7 and 5.6, also respectively. Such data indicates that conservatism express itself with slightly less strength than autonomy, but still, makes itself present when compared to the other indicators. The assumption is, due to the fact of the operational model being so innovative, the aspect of conservatism is fundamental to guarantee that the pillars are kept and resist the influences of the actual model in the University and society. Among the strategies highlighted in literature as maintainers of culture are stories, rituals and language (Zanelli, Borges-Andrade e Bastos, 2014; Robbins, 2005; Chiavenato, 2010). Those practices are very present in the daily life of InterAction Jr, the story of its name choice is a good example as well as other rituals that stand out, such as the integration process of new members, instead of a selection, and the communication codes, which permeate the context of junior enterprises.

In the Hierarchy versus Equalitarianism pair, the respondents positioned themselves, on Hierarchy, with medium answers in the importance scale of 3.6 for real hierarchy and 5.2 for desirable hierarchy. On the other extreme, to equalitarianism were attributed medium indexes of 3.5 for the real perception and 5.5 on the desirable one. Those indexes demonstrate that the participants consider the desire of having more equalitarian relations than hierarchical ones and believe that in reality there are more hierarchical practices than equalitarian ones. The difference between the poles' mediums is very small (0.1 on reality and 0.3 on the desirable perspective). A hypothesis to this result is in the fact that InterAção Jr, besides having a structure that appreciates egalitarian participation and the rupture with vertical hierarchical structures, is inserted in a specific culture, the Rio de Janeiro State University (UERJ) which has a hierarchically accentuated organizational structure.

The Harmony versus Domain pair presented results, respectively, with the biggest and smaller discrepancies between real and desirable. On the first pole's case, Harmony had 43.3 percentage points of distance while this difference was of only 8.9 points on the Domain pole. Those dimensions trace the relation between InterAção Jr and the external environment on what concerns its capacity of self-affirm for the market. Considering the company's institutional material, its easy to notice the constant search for contributing "in an innovative way with the teaching, research and extension", based on pillars such as those of excellency in actuation, ethics and entrepreneurship. Its thus highlighted the self-affirmation of an ethical-technical rigor as well as a rigor in delivering innovative services.

On the other hand, Harmony, was both valued by the participants in the desirable scope and perceived as the least valued dimension on the real scope. The institutional material shows hypothesis on that sense. In the operational definitions of the pillars that may be related to Harmony, (Dialog, Team and Ethics) the emphasis is on cooperation with internal clients, there are no mentions of the concern with competitors and the environment in any institutional document, as suggests the definition of Domain in question.

### Final Considerations

The study sought to enable the mapping of InterAção JR's organizational values with the main goal of propitiating a space for reflection on the values that guide its everyday actions in the organization. Therefore, from this results' presentation, the junior entrepreneurs group could discuss, in a collective way, and decide on the maintenance and reinforcement of values initially defined by the founder group, which still constitute the JrE's pillars of operation.

Thus, the presented mapping helped as a starting point in the current group's discussion concerning the manner in which they were positioning themselves every day. This perception measured from the values can be compared with the formal material, instituted from the mission and pillars of operation, that guide organizational behaviors, and thus, ground the organizational values.

In that sense, the following results (table 6) were highlighted and focused on the junior entrepreneurs' discussion group.

**Table 6**

Analyzed Dimension	Related Pillars	Considerations
Autonomy	Entrepreneurism Dialog Knowledge	Most desirable value to maintain Most strongly perceived as real

<b>Conservatism</b>	Knowledge Dialog Ethics	Strongly perceived value Important factor for the culture's maintenance and reproduction.
<b>Hierarchy</b>	Ethics	Perception of more hierarchical than egalitarian practices
<b>Equalitarianism</b>	Dialog Team	Perception of more hierarchical than egalitarian practices The participants wish to have more egalitarian relations
<b>Domain</b>	Entrepreneurism Excellency on actuation Ethics Knowledge	Factor with the smaller discrepancy between real and perceived Relates to the biggest number of pillars. Coherent with the mission and business of the JrE.
<b>Harmony</b>	Dialog Team Ethics	Factor with the biggest discrepancy between real and perceived Review of this value to lower the difference between real and desirable

With that, the joint review of its members practices was favored as well as the discussion of what is considered ideal for the group in question. In collectively realigning those opinions the strengthening of this organizational culture was favored. The Psychology of Work and Organizations studies are consistent in associating stronger cultures to cohesion, loyalty and organizational commitment (Robbins, 2010).

The culture and organizational values work as clear guides of the subject's actions, lowering the sensation of ambiguity. It is also important to highlight that, being the paradigms of InterAção Jr so different from those present in the social groupings in which it is inserted (UERJ/Rio de Janeiro/Brazil), makes this constant review of values even more important.

Thus, the proposed path for the conduction of this research, the Integrated Psychosocial conception (Ayres, 2012), allowed the participation and inclusion of social actors, in this case the junior entrepreneurs, as protagonists of the research itself. In that sense, it can be affirmed that conditions were created for both the production of knowledge and for the conscience of researchers and involved actors, against the studied phenomenon, strengthening the compromise in producing information, structuring knowledge and delineating actions, to the transformation of social reality.

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## **CHAPTER 6: From Overwork to Wellbeing in Organizations 4.1**

### **Occupational stress: a study in a Brazilian public university hospital**

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#### **Abstract**

The study aimed to analyze the occupational stress in administrative professionals working in a public university hospital in Brazil. The research was descriptive and explanatory, through a quantitative case study. The results indicated that 70.6% of these professionals presented states of stress. The prevalent symptoms were fatigue and anxiety. The sources of tension predominantly indicated the coexistence with stressed and emotionally unbalanced individuals. The main indicators of work impact were the lack of motivation and the difficulty of remembering recent events that were previously remembered naturally. Based on the multivariate analysis, it was observed that higher levels in the individual's sources of tension and lower actuation of the regulation mechanisms led to an increase in occupational stress levels.

#### **Introduction**

The great transformations that have been occurring in the work scenario and, consequently, in the organizations, start demanding greater efforts from the workers, especially those related to the mental context. As a consequence of the increase in these demands, individuals, pressured by the occupational context, begin to suffer from the phenomenon of stress (Quik, et al., 1997, Levi, 2005, Cooper, 2008, Koolhaas, 2011).

There is a consensus in the literature that intense stress can have a greater negative impact on the individual's physical and mental health (Cooper, Dewe; O'driscoll 2001) and that, in extreme situations, this stress can cause heart diseases, generalized pain, gastrointestinal disorders, anxiety, depression, sometimes with evolution to death (Karasek, et al., Johnson et al., 2005, Levi, 2005).

Over the years, the "stress at work" theme has been a subject of great interest by the scientific community, generating studies on different occupations, indicating that stress levels are increasing among the several professional categories such as managers, security professionals, educators, communicators, health professionals, retail professionals, among other categories (Tamayo, 2007, Bezerra, Minayo & Constantino, 2013, Braga, Zille 2013, Zille et al., 2016).

As a consequence of stress, workers tend to decrease in the performance and quality of their work, generating increased costs for organizations. Occurrences, such as, health problems, increase in absenteeism and turnover, deterioration of the organizational climate and the high number of accidents at work, have been observed in different occupational environments (Rees, 1995; Jex, 1998; Chen, Cunradi, 2008).

From a point of view of relevance, this study is important because it addresses occupational stress in technical-administrative professionals of a public university hospital, located in Brazil, more specifically in the State of Minas Gerais, central region of the country. These professionals deal with the pressure to meet goals and deadlines, in addition to the overwork, in a hospital environment, a fact that contributes to the increase of the tension degree and, consequently, the occurrence of physical and mental exhaustion, like stress, as stated by Bianchi (2001) and Peduzzi and Anselmi (2002).

In this context, the present study aimed to describe and to explain the manifestations of occupational stress in the perception of technical-administrative employees of a Brazilian public university hospital, located in the State of Minas Gerais.

### **Theoretical framework**

For Cooper, Cooper & Eaker (1988), the root of the word stress comes from the Latin *stringere* and means "to squeeze". The authors mention that the word stress is in the Anglo-Saxon vocabulary since the seventeenth century, used to describe "adversity" or "affliction". In the eighteenth century, the word stress is used to express pressure or strong effort of the human body. However, it is only in the twentieth century that the term gains the contemporary scientific connotation (Selye, 1956, 1959, Rossi, 1991).

To Cooper (2008), the stress is a reaction that occurs in the individual, caused by psychic disorder, resulting in physical, psychological and behavioral symptoms. Such occurrences are present in workers' lives, and may cause significant health damage. According to Couto (2014) stress can be classified according to some typologies: overload or monotony stress; eustress or distress; acute or chronic stress.

One of the first concerns related to stress was observed by Selye (1936, 1954), based on influences and studies of the German physiologist Bernard who proposed important subsidies for its understanding, when he pointing out the capacity to maintain the constancy of the internal balance, 'homeostasis', as one of the most characteristic traits of all living beings.

#### **Occupational stress**

For French (1983) the stress arising from work situations is called occupational stress. It is a reaction of the individual to his / her work environment, which in some way affects him / her. These threats can be understood as stressing agents that characterize an unproductive relationship between the individual's psychic structure and his or her occupational environment, demonstrating that excessive changes are being directed towards the worker and that he or she is not adequately prepared, from the psychological point of view, for internalize these changes in a positive way.

Lipp (2005) considers that stress in the workplace has dysfunctional consequences for both individuals and organizations. He points out the frequency of work-related accidents, relationship problems, excessive delays and absences, increased medical leaves, and high staff turnover. All these consequences interfere directly or indirectly in the performance of the workers and, consequently, in the reduction of the organizations productivity.

According with Canova & Porto (2010), the factors that predispose the occupational stress are the nature of the task and occupational role of the workers, personal characteristics and variables of situational and personal nature such as social support and conflicts. On the other hand, these authors affirm that the national studies present predisposing factors as work overload, family-work interference, organizational climate, gender (women are more stressed), absence of physical activity practice, personal values incompatible with

organizational values, little autonomy to carry out the work , high degree of physical and mental effort in the activities execution, lack of participation in decision-making processes, risks related to safety, absence of social support and lack of interventions to predict and eliminate the occurrence of occupational stress.

### **Stress symptoms and sources of tension**

According to Lipp (2001, 2005) there are physical and emotional reactions related to stress. The physical symptoms that occur most frequently are increased sweating, muscle tension, tachycardia, hyperactivity and nausea. Still according to the author, in relation to psychological symptoms, the most prevalent are anxiety, anguish, interpersonal difficulties, doubts about himself / herself, excessive worry and emotional hypersensitivity.

Regarding sources of tension, according to Couto (2014), they can be understood as a state in which the organism is prepared to act, physiologically and psychologically. The tension or the propensity to tension varies according to the personality of each individual. It is important to emphasize that tension is not an inherent trait of personality, but rather a characteristic acquired throughout life.

Zille et al. (2013, 2016), point out that the main sources of excessive tension related to work, stressor inducers, are the performance of several activities at the same time, with a high degree of charges; work with tight and intense schedules; work philosophy guided by obsession and compulsion for results, that is, nothing is good, it is always necessary to improve; and the work overload, caused by the intense use of technologies (e-mails, software, management and production integrated systems, among others).

### **Stress coping strategies**

According to Lazarus & Folkman (1984), the psychological coping strategies are related to the psychoanalytic description of the adaptation and defense mechanisms that are initially directed towards the stress coping through instinctive, affective, impulsive behaviors and intra-psychic conflicts. Through this perspective, defense mechanisms are considered as primary, automatic and rigid manifestations that seek to regulate negative emotions and reduce anxiety (Mendonça & Costa Neto, 2008).

Stress coping strategies are diverse, some focus directly on the problem, others focus on the cognitions and emotions triggered by stressful events, or still focus on both contexts. It should be considered that the strategies are specific to each situation, so the stressed individual could adopt strategies such as tolerate a particular situation, reduce the intensity of the emotions in the face of a given situation, confront, accept, ignore or even suppress a threat. A coping strategy cannot be considered good or bad, it may be functional or dysfunctional, depending on the effectiveness in achieving the objective of recovering the balance of the individual against a given situation (Garrosa-Hernandez, et al., 2003).

### **Reference model for the study of occupational stress – MTEG**

The reference model was developed and validated by Zille (2005), who, after adapting its constructs, served as reference for the development of this study.

It is structured in five constructs: sources of tension at work (FTT), individual's sources of tension (FTI), regulation mechanisms (MECREGUL), stress symptoms (SINTOMAS) and work impact indicators (IMPACTOS). First order constructs are explained by second order constructs, which in turn are explained by the corresponding indicators, and the exception is made to the IMPACTOS construct, which is explained directly by its indicators. Work processes, labor relations, insecurity in working relationships and coexistence with individuals of difficult personality are second-order constructs that explain the FTT.

Responsibilities above limits, style and quality of life and motivation are second-order constructs that explain FTI. Interaction and deadlines, regular rest, work experience and physical activity are second-order constructs that explain MECREGUL.

Finally, the second-order constructs that explain the SINTOMAS construct are: hyper-excitability and sense of humor; psychic symptoms of the sympathetic nervous system and gastric system; and symptoms of increased tonus, dizziness / vertigo, lack / excess of appetite and relaxation.

The MTEG makes it possible to classify the levels of stress intensity from the parameters developed by Zille (2005), being a) absence of stress: a good balance between the psychic structure of the individual and the psychic pressures arising from the evaluated work situations; b) light / moderate stress: indicates the occurrence of stress manifestations, but in a compensated degree, and may not generate important impacts for the individual; c) intense stress: it indicates an important coexistence with some of the main symptoms of stress, such as pronounced nervousness, anxiety, anguish, fatigue, difficulty of concentration at work, insomnia, pain in the muscles of the neck and shoulders due to tension, among others; and d) very intense stress: the individual presents significant problems of concentration, as well as important difficulties in carrying out their activities in a general way, previously performed with normality. The work starts to be impacted in a very important way. The organic and psychic conditions present significant changes becoming imminent the need for clinical and psychological treatment, aiming at to control and / or eliminate the causes of imbalance in the relationship between the psychic pressures arising from the environment and the psychic structure of the individual. The symptoms are the same ones mentioned in the intense stress situation, but with greater intensity (Zille, 2005, p.191).

### **Methodological procedures**

The research was characterized as descriptive and explanatory, with a quantitative approach, having as strategy the quantitative case study (Yin, 2001).

The population was constituted by 145 technical-administrative professionals of a public university hospital, located in Minas Gerais. The calculated sample, based on Barnett (1982) with sample error of 5%, reached the necessary index of 101 individuals. However, the sample obtained, in turn, had 102 valid questionnaires, number above the minimum required that made possible the accomplishment of all statistical analyzes planned for the study with safety.

Data collection was done through the application of an online questionnaire (Google Forms platform), adherent to the MTEG, composed of 86 closed questions and 4 open questions in order to provide freedom to the respondents to complement information regarding certain specific issues. To mark the responses, a Likert scale was used, varying in 5 points (never, rarely, sometimes, frequently and very frequently).

The analysis began with the evaluation of absent, extreme, average, median, standard deviation, minimum and maximum data for each of the evaluated dimensions. To identify differences in the average of occupational stress in relation to the demographic data, functional data and lifestyle and health data, T-student and ANOVA tests were performed. For all analyzes,  $\alpha = 5\%$  was considered.

Subsequently, the relationship between stress and the other variables of the study (sources of tension at work, individual's sources of tension, work impacts and regulation mechanisms) were evaluated through correlation analysis and linear regression analysis. The correlation analysis aimed to indentify the existence of a linear relationship between two variables. The

linear regression, in turn, aimed to predict changes in the dependent variable according to changes in the independent variable (simple regression) or in more than one independent variable (multiple regression) (Hair, et al, 2005). Two regressions were performed, one multiple and one simple, considering that stress was sometimes a dependent variable and sometimes an independent variable.

### Presentation and analysis of results

According to Zille (2005) the criteria for occupational stress analysis indicate that absence of stress is  $< 1,75$ ; light and moderate stress is  $> \text{ or } = 1,75$  to  $< 2,46$ ; intense stress is  $> \text{ or } = 2,46$  to  $3,16$ ; and very intense stress is  $> \text{ or } = 3,16$

Table 1 shows the grouping of those surveyed by stress levels and the descriptive analysis of each level. It is observed that 70.6% of the respondents have manifestations of stress at varying levels. This means that, for such a professional contingent, there is an imbalance between the psychic structure and the psychic pressures related to work situations.

**Table 1: Analysis of stress level**

Stress Level	Frequency			X	Med	SD	MI	MX	Percentis	
	N	%	% Acum. (stress)						25	75
Absence of stress	30	29,4	--	1,45	1,50	0,23	1,03	1,74	1,28	1,67
Light / moderate stress	36	35,3	35,3	2,06	2,07	0,19	1,77	2,37	1,85	2,23
Intense stress	30	29,4	64,7	2,73	2,69	0,17	2,47	3,14	2,58	2,87
Very intense stress	6	5,9	70,6	3,37	3,31	0,21	3,22	3,78	3,23	3,49
Global analysis	102	100,0	70,6	2,16	2,10	0,61	1,02	3,78	1,71	2,63

Source: Research data, 2017.

For 35.3% of the studied individuals, the manifestations of stress occur in an *intense* or *very intense* way. For such professionals, therefore, it is necessary to make important changes in the relation between the occupational environment and the psychic structure of the individuals surveyed, in order to minimize or even prevent the occurrence of stress manifestations at work.

For the same percentage, manifestations of stress occur, but at a light / moderate level. This data indicates that, for such professionals, the occurrence of stress is present, but still in a compensated way, and may not have serious consequences for the individuals and the organization. However, as Zille (2005) argues, the maintenance of light / moderate stress and its aggravation over time can lead to behavioral, emotional and organic impacts for individuals with implications in professional activities. Thus, it is concluded that it is necessary to monitor the level of stress of such professionals in order to verify the continuity or not of such occurrence over time.

Overall, the percentage of stress manifestations is 70.6% and confirm results of researches performed in Brazil with workers of several categories that presented a similar stress manifestations percentage of 70% (Isma, 2010), as well as the following surveys, with percentages similar to those found in the research presented here (Zille et al., 2016, Pereira, 2018).

### Stress symptoms and sources of tension

For the analysis of stress symptoms, the respondents were reassembled. Those classified in *absence of stress* were maintained in this group and those categorized with *light / moderate, intense and very intense stress* were regrouped in the category *some level of stress*.

The results allow to state that more than a third of the respondents classified in *some level of stress* show symptoms such as fatigue (55.6%), anxiety (44.4%), pain in the neck and shoulder muscles (41.7%), nervousness (37.5%) and anguish (33.3%). Such data are significant, since stress symptoms manifested over time can cause illness and decrease in the productive capacity of the individual. The data obtained in this research regarding the symptoms of stress confirm the results obtained with other researches carried out in Brazil (Zille, 2005; Zille, Braga & MARQUES, 2008; Zille, Braga & Zille, 2011; Couto, 2014; Zille *et al.*, 2016).

With respect to the sources of tension, which are those that induce the stresses identified in relation to the researched individuals, they are divided into two categories: those directly related to work (sources of tension deriving from work) and those related to the characteristics of the individuals (individual's sources of tension). For analysis of these sources of tension, the individuals were also grouped into "absence of stress" and "some level of stress".

In a global analysis, for both work-related and individual-related sources of tension, the incidence of tension was significantly higher for those individuals with stress manifestation, which was an expected premise and was confirmed by the research.

For individuals with some level of stress, the source of 'tension at work' that manifested itself with greater intensity was the coexistence with people who were stressed and emotionally unbalanced (33.3%). Other sources of tension were also pointed out, such as performing several activities at the same time with a high degree of charge (31.9%) and the performance of a complex work that results in wear and tear (27.8%). Such data indicate a need to review the way individuals relate with their coworkers in the work environment, peers and superiors, in order to reduce the levels of tension and, consequently, stress manifestations.

Regarding the individual's source of tension, those with intense or very intense tension represented 35.3% of the respondents.

For those with some level of stress, the source of tension that manifested itself with greater intensity was 'to lead the life in a very rushed manner, with little or no free time to perform other activities' (58.3%). Other sources related to the individual were also identified as important: to have the impetus to perform more and more work in less and less time; to think and / or perform two or more things at the same time, without completing them (47.2%) having a very full day with a series of commitments at work and outside it (34.7%); not being able to disconnect of work even outside it and have rest times taken by professional activities, were also cited by at least one third of individuals who were identified with some level of stress.

### **Work impact indicators and regulation mechanisms**

For individuals with some level of stress, the work impact indicator that manifested itself with greater intensity was the lack of motivation towards work (22.2%). The other indicators were perceived by those classified with some level of stress in percentages that varied around 20.0%, namely, the difficulty of remembering recent events and losing control over life events, including work.

The regulation mechanisms or coping strategies show relevance for the majority of respondents (56.9%). This analysis relies more specifically on those individuals who presented absence of stress manifestation (29.4%), according to data in Table 2. These individuals believe that the regulation mechanisms are determining factors so that they can be more balanced in relation to their psychic structure, to withstand the tensions they have been receiving in the occupational environment.

The strategies considered most important and with greater effectiveness used by individuals who did not present stress manifestations were the following: resting on weekends and holidays (93.3%); enjoy vacation regularly (90.0%); use personal experience in solving difficulties and problems related to work (83.3%); use free time to relax / rest (80.0%).

### **Relation of stress with the sources of tension, regulation mechanisms and work impact indicators**

In the case of this research, two regressions were performed since stress is sometimes a dependent variable, sometimes an independent variable. The first regression, classified as multiple, evaluated the relationship between stress (dependent variable) and sources of tension and regulation mechanisms (independent variables). The second regression, classified as simple, analyzed the relationship between stress (independent variable) and work impact indicators (dependent variable). The dependence relations cited are based on studies by Zille (2005). Medium-to-high intensity correlations were observed between *occupational stress* and *sources of tension at work, individual's sources of tension, work impact indicators, and regulation mechanisms*.

The relation between occupational stress, sources of tension and regulation mechanisms was analyzed in the regression model and it was identified an adjusted  $R^2 = 0.387$ . Thus, it can be inferred that 38.7% of the variations in occupational stress are explained by the variations in the regulation mechanisms and in the individual's sources of tension, therefore, it is concluded that the individual's sources of tension and the regulation mechanisms have an impact on occupational stress levels.

The estimated equation for the case was:  $EO = 1.874 + 0.368 FTI - 0.229MR$ . So, increases in the individual's sources of tension, lead to increases in occupational stress; and increases in the use of regulation mechanisms, lead to a decrease in occupational stress levels [F (3,98) = 22.52; p <0.000].

The variable sources of tensions at work was not included in the model. This finding does not mean, however, that this source is not important for predicting occupational stress levels.

It was identified in the analysis of the relationship between occupational stress and work impact indicators an adjusted  $R^2 = 0.484$ . It can be inferred, therefore, that 48.4% of the work impact indicators variations are explained by the occupational stress variations [F (1,100) = 95,599; p <0.000]. The estimated equation for the case was:  $IIT = 0.069 + 0.952EO$ . Thus, increases in occupational stress, lead to an increase in the work impact indicators.

### **Conclusions**

With respect to the stress analysis, the results showed that the majority of respondents presented the manifestation, which varied from light / moderate to very intense stress, and the percentage of intense and very intense stress is present in a little more than a third of the sample.

As for the sources of tension, the main one, with occupational origin, which induces stress situations, was "to live with people who were stressed and emotionally unbalanced". Regarding the sources of tension that are inherent to the personal characteristics of the respondents, the one that proved to be more important was "to lead the life in a very rushed manner, performing more and more activities in less time".

In relation to the work impact indicators caused by stress, those who showed greater intensity were the lack of motivation towards work, the difficulty of remembering recent events that

were previously naturally remembered and the possibility of losing control over the events of life, including work.

With regard to the regulation mechanisms, most of the respondents believe that these mechanisms have some relevance. All the evaluated indicators were significantly more frequent in the group of individuals without stress, when compared to those individuals with stress. This finding is in line with the results of other researches, such as the researches performed by Zille (2005); Zille et al., (2016). The regulation mechanisms act as elements capable of reducing stress levels, that is, the greater the use of regulation mechanisms, the lower the levels of stress perceived by individuals (Zille, 2005).

In the relationship between occupational stress and sources of tension and regulation mechanisms, it was observed that increases in the individual's sources of tension lead to increases in occupational stress; and increases in the use of regulation mechanisms lead to a decrease in stress levels for the surveyed population. In the analysis of the relationship between occupational stress and work impact indicators, it was verified that increases in occupational stress lead to increases in work impact indicators.

With respect to the contributions of the study, from the academic point of view, this research confirms the Explanatory Theoretical Model of Occupational Stress - MTEG (Zille, 2005), which was based on the Brazilian reality, regarding the antecedents and consequent of work-related stress. Significant correlations were observed between the studied variables, as well as the adequate percentages of adjusted  $R^2$ , which indicates the robustness of the model.

The study also sought to contribute in an important way by analyzing the work environment and the reflections that have been taking place in relation to the psychic and organic aspects related to the technical-administrative professionals who work in the health area. In this direction, it contributes to the researched institution by making it aware about the identified contexts, making possible the adoption of measures related to the management and organization of work that can minimize the situations of excessive tension within the work environment, improving people management policies so that it can result in a greater balance between the work demands and the psychic response capacity of the workers. More specifically, one of the important points analyzed is related to the organization of work, regarding to performing several activities at the same time with a high degree of charge and the complexity of the developed work, resulting in wear and excessive fatigue. Finally, in general terms, it was observed the occurrence of an imbalance between the work demands and the amount of allocated personnel, generating overload and increased tension in the accomplishment of the activities.

It remains as a recommendation for the next researches, the extension of the study, analyzing other functional groups working in the researched entity and others, acting in the health area.

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# **Quality of Life Policies at Work and Occupational Stress in Brazil**

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## **Abstract**

This article encompasses meta-review of national academic production upon the constructs of life quality and occupational stress, aiming to retake the contemporary debate about their implications on welfare at and with work, notably in a context which signals to radical transformations derived from the so-called fourth industrial revolution. As a result, studies found have references centered on classical theories and approaches, mostly formulated in the 1970s, based on knowledge produced by the Human, Behavioral and Socio-Technical Relations schools, emphasis on quantitative measurements, from questionnaires and diagnostic tools, with limited space for the expression of experiences and subjective realities of the investigated individuals.

As for the empirical findings, there is a recurrence of application and validation of international measurement instruments which involve greater consideration of contemporary specificities and transformations in the world of work, corroborating criticisms to derived QWL interventions and programs, due to their partial nature, little concern with causes associated with the proposed factors, giving them, not infrequently, acritical, a-historical and a-social characters.

Considerations are also taken regarding the limitation of programs concerning mediation and anticipation of conflicts, under short-term perspectives, with reduced integration with other initiatives of personnel management systems, as well as with poor management involvement. In short, they point to the predominance of partial initiatives, disregarding welfare management in the workplace, in a more systemic, participative and integrated manner.

## **Introduction**

This article seeks to identify and review the national literature on the themes: Quality of Work Life - QWL - and Occupational Stress. Thus, critical aspects of studies in this field, carried out in Brazil, are addressed. Hence, a first element of criticism is the wide use of authors and theoretical references of the 1970s, notably in QWL studies. Great emphasis on empirical research of descriptive nature and quantitative character is also placed, excluding the perspective of the subjects, the voices, livingness and experiences of the workers. Their considerations and expectations are, therefore, not perceived.

Advances, however, refer to surveys which jointly address QWL and Occupational Stress, many of them, nonetheless, still of a quantitative nature, which, although showing important issues of the different professions, does not establish the relationship of stress with QWL aspects. In other words, relations between factors which influence, in a multivariate way, the constructs under analysis.

Finally, there are publications resulting from empirical research aimed at the investigation of QWL intervention programs and occupational stress management. As a result of the bibliometric review, there are recurrent criticisms of organizational formulation and implementation processes, the recurrence of initiatives focused on health and work safety

dimensions, ignoring structural and far-reaching factors. In this regard, we point to the low strategic impact of the programs, target of the reviewed studies.

## **Theoretical framework**

### **Quality of work life**

Quality of work life (QWL) can be seen as a movement of humanization of work, which is concerned with themes such as satisfaction, motivation and occupational well-being, as a counterpoint to the Taylorism's ideas of production, characterized by dehumanization and excessive specialization at work (Sant'Anna & Kiliminik, 2011).

Thereby, quality of work life began in the 1950s, based on the Tavistock Institute (England) studies, where Eric Trist and colleagues developed a sociotechnical approach to work, aiming at the satisfaction of the worker in performing their work (Rodrigues, 2009).

According to Rodrigues (2009), in the 1960s, the idea of QWL gained a boost. Already in the decade of 1970 there emerged important theories of QWL which have become known worldwide. Thus, the model of Hackman & Oldham (1975) was a model with much repercussion in Brazil and worldwide. For them, high motivation and job satisfaction as well as high productivity depend on the existence of three psychological states at work: perceived meaningfulness of work, perceived responsibility for work outcomes, as well as knowledge of work outcomes. But for this to occur, work must consist of five basic dimensions: skills variety, task identity, task significance, autonomy, and feedback at work (Hackman & Oldham, 1975).

Another important model of QWL currently used is Richard Walton's (1973) theory. The author criticized the emphasis on productivity and technology to the detriment of human values loss in the organization. His proposal consisted of valuing the worker, and he proposes a model with the following criteria: fair and adequate compensation, safe and healthy work conditions, opportunity of use and development of human capacity, opportunity of continuous growth and safety, social integration at work, constitutionalism in organization, work and total life space, social relevance of work (Walton, 1973).

Westley (1979), a recognized author in the QWL area, highlights four main elements which are obstacles to the achievement of quality of work life - economic, political, sociological and psychological aspects. According to him, economic exploitation of workers generates a sense of injustice (economic problem). Concentration of power in the hands of a few generates a problem of insecurity for the workers (political question).

In the sociological aspect we have the anomie, that is, organizational rigidity, mechanization and loss of work significance lead the workers to lack of involvement in the work processes. We also have the psychological elements, the alienation of workers caused by the differences between expectations and achievement at work. In order to achieve quality of work life, these four elements should be prioritized (Westley, 1979).

In the 1980s, the important theory of Huse & Cummings (1985) was developed, which explained the main factors for QWL: worker participation, work or job design, improvement in the work environment and innovation in the reward system.

### **Occupational stress**

The term stress was originally developed in the 1930s by Hans Selye in order to name the set of reactions developed by an organism undergoing an adaptation effort. This author discovered that when an organism is subjected to stimuli threatening its homeostasis (organic

balance), it tends to react in an adaptation effort, and if the stimuli are excessive, they can cause a series of negative consequences for the organism (Selye, 1956).

According to Selye (1956) there are stressors on one side and also the response of the individual to the stressing stimuli. For the author there would be two types of stress. The first one is called eustress or positive stress, that is, when the individual reacts well before stressors, when there is a positive result of the effort generated by the person's tension facing a threat or challenge. The second one is the distress, or negative stress, which occurs when there is an inadequate adaptive process, causing a disruption in individual balance due to over-exertion, which can even lead to several diseases. (Limongi-França, 2004).

Selye (1956) called General Adaptation Syndrome the attempt to adapt to stimuli of threats, challenges and life tensions. The first phase is called Alarm Reaction and consists of increasing heart rate, blood pressure and respiratory rate, as well as increasing blood sugar concentration so as to respond to threatening stimuli. If the stress process continues, the individual tries to establish a resistance to the stressor agent, moving to the so-called Resistance Reaction, in which there are changes of mood and irritability, insomnia, possibly causing digestive system ulcerations, among others.

After a long exposure to the most severe stress, we have the last phase, which is called exhaustion, in which the complete failure of the mechanisms of adaptation, exhaustion and more severe illness of the organism occur, which might also lead to death.

Other stress theories have been developed, and some have been directed toward the working relationship, a permanent source of stress, threats and challenges. Thus, we highlight some of the more recent and influential emerging theories of stress.

An important theory was developed by Karasek (1979). He highlighted the difference between the demands of work and the needs and resources of workers. When this relationship is not well-balanced, occupational stress occurs. Hence, when the work environment imposes demands above the capabilities of the worker, we have, as a result, occupational stress. Therefore, stress is linked more to work characteristics than to worker's interpretation.

In accordance with Karasek (1979), occupational stress also occurs by the combination of demands and controls existing in organizations. Tasks involving high demands and low control capacity lead to a high dose of tension and, therefore, stress. But jobs which involve high demands, but also enable a high capacity for control over work do not lead to excessive stress, and are called active jobs (Karasek, 1979). Subsequently, the author also incorporated the idea of social support, that is, interpersonal relationships in organizations are also very important for the emergence of diverse tensions, and the support of colleagues and bosses are moderators before stress. (Baker & Karasek, 2000).

Other important authors in the research of a theory on stress were Lazarus and Folkman (1984). For them, stress is a particular relationship between the person and the environment, whose demands are assessed by the person as exceeding their resources. Thus, the events themselves are not stressful, but they depend on how they are interpreted by individuals and how they respond to them. The authors reinforce, therefore, the cognitive function of perception and interpretation of stress factors by people. In other words, what can be a source of stress for one individual will not necessarily be the same for another one. In short, stress depends on the individual's evaluation and reassessment in relation to stressors and ways of coping with them, that is, it depends on the cognitive and behavioral efforts the individual uses to deal with the facts or stressful events of life. (Lazarus & Folkman, 1984).

Another important author in developing a theory about stress at work is Cooper. In the late 1980s and 1990s, he published some models aimed at understanding occupational stress. For him, each individual seeks stability in their relationship with the world, having balanced thoughts and emotions in dealing with it. Stress occurs when there is a force driving a

psychological or physical factor beyond its stability, causing strong tension in the individual (Cooper & Eaker, 1988).

Still according to Cooper & Eaker (1988), there are environmental factors (aspects of work and also of people's private life) and individual factors (personality traits and attitudes) which influence on the consequences of stress for people. There are also moderators who help with stress reduction, such as job control and social support (help from bosses, coworkers, friends and relatives). Specifically in relation to work, there are five environmental categories responsible for stress at work, which are: factors intrinsic to work (working conditions, long hours or shifts, overload, among others), labor relations (hierarchical and political pressures and lack of social support), role in organization (ambiguity and conflict of roles), career (job security, status problems), organizational structure and atmosphere (autonomy, freedom, participation and identity at work).

### **Methodology**

Knowledge advances depend on information accumulation and analyses in the most varied fields of knowledge, and today, this accumulation is increasingly voracious. Thus, the works which synthesize several studies produced in a given area are increasingly important. In this way, the meta-analysis synthesizes a number of conclusions in a specific research field. Therefore, review studies are justified due to the enormous amount of information produced in the various scientific branches. The review studies allow to synthesize, in a single work, several other works in the area, thus showing the current level of a given research problem (Figueiredo Filho, 2014).

In addition, according to Gil (2008), the bibliographic survey allows the author to analyze broader aspects of the different phenomena studied. Hence, we performed a meta-analysis through a bibliographic survey of studies related to the subject of quality of work life (QWL) and occupational stress. A non-systematic, non-exhaustive survey of occupational stress and quality of work life (QWL) research in Brazil was performed, mainly in the field of Administration, an area which has been dedicated to this topic. In this respect, the terms quality of work life and occupational stress were investigated on Google Scholar. Books, articles and annals of congresses by national authors related to the theme were analyzed. Literature review papers or papers on critical aspects about quality of work life and occupational stress were prioritized, both with regard to the theoretical discussion of this theme and about the problem of intervention in this research field.

### **Data presentation and analysis**

#### **Quality of work life and occupational stress: theoretical-methodological considerations**

In the 1980s, the first most consistent national studies on quality of work life and also on occupational stress emerged. So we have the pioneering studies of Lúcio Flávio Renault de Moraes, about worker's QWL in the IT sector of Minas Gerais state. We also have Eda Fernandes's studies on QWL carried out at the Federal University of Rio Grande do Sul (Rodrigues, 2009). In addition, we have the more consistent studies of Couto (1987) on occupational stress, focusing on executives.

In the 1990s, other studies on quality of life and occupational stress in Brazil emerge, in the implementation context, in many companies, of the Japanese total quality model. Therefore, in order to have total quality in organizations, workers should also enjoy a good quality of life at work (Limongi- França, 2004). Thus, in the 1990s, in Brazil, Limongi-França (2004) develops an approach which still has a great influence on studies and interventions in this

field in our country. Based on psychosomatic medicine and biopsychosocial analysis, the author proposes an integrated vision of the human being, involving biological, psychological and social factors, concomitantly. In other words, he advocates the development of programs focused on the biological (diet, rest, smoking, alcoholism, drug addiction), psychological (recognition, self-esteem) and social aspects (social work environment, social support).

Hence, QWL and occupational stress studies have been gaining ground in Brazil in recent years, influenced mainly by the foreign QWL and occupational stress models, and in some cases, by national authors as well. The exclusive study of quality of work life (QWL) has accumulated important research and discoveries. Sampaio (2012) shows several recent national studies, which only study the issue of quality of work life (without addressing the study on stress).

Among the studies cited, we have highlighted the ones developed by Kanikadan and Limongi-França (2007) on English teachers, using the biopsychosocial methodology; Ferreira, Alves and Tostes (2009) on federal civil servants, having the notion of QWL as practices implemented in organizations; Mônico and Guimaraes (2000) focusing on the management of the national postal and telegraph company, using the Walton model; Goulart and Sampaio (2004) on public and private companies from different sectors, based on Hackman and Oldham, as well as Walton and Westley; Kilimnik and Castilho (2002) on Human Resources professionals who left organizations and became autonomous, using the Hackman and Oldham model; Valle and Vieira (2004) on technical-administrative workers of a Federal University, based on the Walton model; the work of Belo and Moraes (2011a) on Magistrates, based on Hackman and Oldham; Sampaio and Rocha (2011) on accountants, using Walton; Belo and Moraes (2011b), on street sweepers, based on the Westley model; Belo and Moraes (2012), about employees of a government bank, based on Hackman and Oldham.

According to Andrade *et al.* (2006) there are also several studies and researches only on occupational stress in Brazil (without taking into account quality of work life). They are quantitative and qualitative studies. Most of them use Cooper's model (1988) as a guide for research. According to the authors, from the quantitative point of view, we have the studies of: Couto (2000), which uses Cooper's model in a Newly Implemented Industrial Unit; Ayres (2003) predominantly uses a quantitative methodology, in entrepreneurs of incubated companies; Ayres *et al.* (2002) makes use of the quantitative and qualitative methodology, and the SPSS software, focusing on bankers; Oliveira *et al.* (2005) presents a study in an Ultrasonography Unit through a descriptive and quantitative analysis, complemented with qualitative procedures.

We add that there is also the study made by Zille (2011), who makes a quantitative research, with its own model, on managers. The qualitative analysis is performed by Veloso and Pimenta (2004), who propose to analyze the sources of pressure by contrasting the results with the Cooper model. Pereira *et al.* (2006) analyze stress from a qualitative approach, with a constructionist perspective, in a military organization. Another qualitative approach is performed by Souza *et al.* (2007), who study stress from an interpretative stance in a pyrotechnics industry (Andrade *et al.*, 2006).

There are also some national studies which jointly address quality of work life (QWL) and occupational stress. They use, predominantly, the theoretical models of Hackman and Oldham (1975) and Walton (1973), and occupational stress by Cooper, Sloan, Williams (1988). These surveys are quantitative studies which apply questionnaires based on the aforementioned theories. Thus, we have studies by Santos (1999) in the automobile industry in Minas Gerais state, Cabral and Honório (2009) on cooks, Moraes (2000) on military police, Paiva and Couto (2008) on a public company in Minas Gerais state. We also have Paiva's (2002) research on teachers from public and private institutions, the work by Lipp and Tanganelli

(2002) on magistrates; Marconatto and Rodrigues (2008), researching the purchase sector of a large national company, among others.

In the international literature there are quantitative researches analyzing the relations between the meanings of work and the quality of life at work, stress and organizational commitment (Morin, 2008). In addition, there are quantitative studies showing that some quality of work life policies, for example, work enrichment, and exercise of different and multiple tasks can lead to occupational stress. Thus, aspects considered as favoring the quality of life at work, such as variety of skills, autonomy, responsibility, among others, when placed excessively, can become occupational stress factors (Xie & Johns, 1995; French & Caplan, 1993).

Studies which analyze only the quality of work life or occupational stress present important results on the favorable and unfavorable points of quality of work life and also the main aspects of occupational stress of the different professional categories. However, when they approach only one of the theories, they do not establish the possibility of making inferences between them.

Similarly, national surveys which study stress and QWL simultaneously, while applying separate questionnaires on each theory, lead to isolated results on QWL and occupational stress. Therefore, these surveys do not establish the relationship between occupational stress and quality of work life (QWL), how the first aspect influences the second one, whether there is a relation of interdependence (or not) between them, and what the consequences are on each other. Therefore, we recognize that a better analysis of the relationship between quality of work life (QWL) and occupational stress is also lacking.

It is therefore necessary to verify how stress can influence the view which subjects have on quality of life at work (and vice versa). Medeiros and Ferreira (2011) affirm that there is a lack of studies articulating QWL and moral harassment, QWL and work psychodynamics, QWL and burnout, among others, and we also understand that there is a lack of studies which better articulate the dimension between QWL and stress. Finally, the various studies which concomitantly work on stress and QWL frequently use theories developed in the 1970s, which, as we shall see to follow, are often outdated models which fail to account for the diversity of the current world of work and its transformations. Thereby, new studies are needed to articulate the so-called quality of work life (QWL) with the idea of occupational stress.

Similarly, there are some important theoretical discussions about Quality of Work Life (QWL) and Occupational Stress in Brazil. We will reestablish here some literature review studies carried out in the QWL area, as well as in the occupational stress area.

For Sampaio (2012), in a literature review study of QWL in Brazil, production in different areas of knowledge (psychology, administration, nursing, among others) hinders evolution and interdisciplinary dialogues on the subject. In his view, there are few review and meta-analysis studies, whereas empirical studies are performed with small samples compared to international studies. For Medeiros and Ferreira (2011), QWL studies prioritize the tertiary or service sector, but studies are lacking in the primary sector in Brazil (agriculture), as well as studies which do not include informal workers, cooperatives, or even volunteers.

In summary, several criticisms are made to the field of QWL in Brazil; we will focus mainly on some theoretical criticisms directed to the models of analysis and evaluation of QWL used by the researchers in their studies. Hence, with regard to quality of work life (QWL), Sampaio (2012), in his review study, makes several criticisms to the researches carried out. Firstly, he criticizes the use of models produced in the 1970s, such as Walton (1973) and Hackman and Oldham (1972). The latter came to produce reviews of their own model, which are not mentioned in the national studies. Other authors also criticize the use of the "classics" in Brazilian studies on QWL for being outdated and also for the primacy given to productivity

and the idea of "adapting" men to work, giving them "means" to withstand labor demands. (Medeiros & Ferreira, 2011).

For Sampaio (2012), there is an attempt to establish some national models and instruments. However, there is no "dialogue" attempt among them, which leads to a competition, generating difficulties in advancing research on the subject. Criticisms of Sampaio (2012) and Medeiros and Ferreira (2011) to the use of models from past decades in the study of QWL considered old-fashioned and "outdated". Nonetheless, we would extend the criticisms to the very notion of constructing a theoretical model which measures the Quality of Work Life in the various organizations in a "complete" way. Would the use of ready-made and "finished" models in the QWL analysis, external to the workers, with no possibility of listening to them, not impair the understanding of what they themselves mean by QWL? In other words, to what extent would ready-made and finalized models not prevent the idea of thinking and performing QWL from workers' point of view, that is, from the perspective of the subjects themselves, in short, from an anthropological or anthropometric point of view?

Such dilemmas and questions have, to a certain extent, already been put forward in researches on occupational stress. A review study of academic production in the annals of the National Association of Post-Graduate Programs and Research in Administration (1998-2008) points to the absence of the subject in several contemporary researches on occupational stress (Andrade *et al.*, 2010). According to the authors, as stress occurs because of an imbalance between subject and environment, it would be very important to understand this subjectivity, this human singularity, by listening to these individuals. However, they point to the absolute predominance of quantitative research in the study on stress, which clearly excludes the subject's participation in the research. They conclude by advocating a "methodological revitalization" which gives voice to the subjects, and provides a better knowledge of their subjectivity (Andrade *et al.*, 2010).

We emphasize that it is not a question of making a radical critique of theoretical models, which helps in the comprehension and understanding of some important variables for the study of QWL and occupational stress. However, we remark that many models have limitations, do not follow the transformations of the world of work, in short, are insufficient for understanding the complex world of work today. Moreover, they exclude the possibility of listening to the subjects, of understanding their subjectivity and their complex interaction with work relations.

In this regard, in a study about bankers, Veloso (2004) points out the limits of the exclusive use of Cooper's traditional theory (1988), for the purpose of understanding work stress. The author found stress factors which were not predicted in the model. In addition, he states that it is important to analyze the work process in the bank, views of the subject about their profession, elements that are not part of Cooper's theoretical model. In summary, the author highlights the model limitation and the importance of conducting interviews and qualitative research in order to raise the opinion and view of the actors to understand in detail the situations and experiences of pressure in the work environment.

Thus, returning to the criticisms made to the study of occupational stress, and transferring it to the QWL area, would the existing models be sufficient for the analysis of the workers' quality of life in the various organizations, of completely different branches, types and sizes? Would it not be important to return to the view of the subjects themselves about what they understand by and how they perceive QWL, as well as their aspirations and desires? In brief, we understand that it is important to retake the notion of QWL from the subjects themselves, based on a view of the social actors, that is, workers from different and diverse organizations. Hence, apart from ready-made "models" (some designed in the 1970s, others are more recent), would it not also be important to understand the quality of work life from the worker's point of view? To understand their desires and longings? These questions are

already perceived, as we have seen, in some occupational stress studies, and we believe that they are also relevant to QWL research. And we could also extend such criticisms to the concomitant studies of QWL and occupational stress, seen previously.

Finally, there are several challenges for the QWL area, for the Occupational Stress area as well as for their intersection. We have highlighted some theoretical issues we deem relevant for both areas, and now we will glimpse some critical aspects which refer to the application of QWL or stress management programs in organizations.

### **Quality of work life and occupational stress: organizational dimension**

The issue of Quality of Work Life (QWL) in Brazilian organizations is also the result of several criticisms, as well as the quality of life and occupational stress programs carried out within them.

In business theory and discourse, there is the idea that people and human resources management are fundamental to the organization, however, in practice, this does not always occur. The same applies to the Quality of Life at Work, since several organizations advocate applying it, but it is not always true. Moreover, the lack of widely accepted concepts about Quality of Work Life allows simpler and more isolated programs to be classified and claimed by organizations as belonging to the QWL approach. In sum, it cannot be said that the QWL constitutes the core competence of national companies (Tolfo & Piccinini, 2001).

One of the most compelling criticisms about the accomplishment of QWL programs in contemporary national organizations is the one developed by Ferreira (2009, 2015). This author criticizes the hegemonic view in the Brazilian QWL field. For him, the majoritarian view of the field in Brazil is directed to an “assistencialist” focus, which does not implement a true well-being in organizations.

According to Ferreira (2009, 2015), it is necessary to think about a model of preventive QWL rather than a “goodwill” model. Thus, the author contrasts his theoretical-empirical model, which he calls counter-hegemonic, and that, in fact, would better elaborate the question of well-being in organizations, theoretically and empirically. This model, still under construction, starts from the idea of understanding QWL from the perspective of the workers, not only from the organization. Besides, he also proposes substantive and structural changes in organizational contexts (2015).

Still in accordance with the author, it is important to emphasize that, based on the hegemonic approach of QWL currently existing in Brazil, important empirical questions arise regarding the implementation of programs in organizations. Thus, Ferreira (2009) criticizes the realization of partial programs, and, to some extent, “assistencialist”, of QWL, in national organizations. According to him, these programs have some adherence at first, but later, there is a great participation decrease in them. Hence, according to this author, there is an instauration of “assistencialist” and anti-stress-like programs and of dubious effectiveness in various Brazilian organizations (Ferreira, 2015).

In other words, according to Ferreira (2009, 2015), QWL practices are offered in the form of body-mind restoration programs, such as gyms, yoga, ballroom dancing, labor gymnastics, walking groups, among others. However, such activities have the objective of alleviating the wear and tear experienced by workers, while elements such as work overload, pressure on employees and poor infrastructure remain untouched (Ferreira, 2009).

In this respect, these are merely assistance and compensatory management practices, which claim to cure the harms of work, but which, in practice, distance themselves from elaborating the elements which jeopardize workers’ well-being. Thus, the practices performed are focused on the individual to manage the negative consequences which arise in the work environment, without alterations perspective.

In this type of approach, productivity continues to be the main objective; these QWL activities often acquire an ancillary and compensatory character (Ferreira, 2009). In addition, the participation of workers in this kind of assisting QWL program tends to decrease dramatically over the years, not reaching even 20% of its target audience at long term (Ferreira, 2015). Thus, core labor issues for the fatigue of workers such as work overload, non-ergonomic jobs, among others, whose roots are organizational in nature, are not transformed, and they do not depend only on individuals. Such activities would therefore be the containment of stress manifestations (Ferreira, 2015).

Thereby, we agree with Ferreira's criticism regarding the placement of "assistencialist" programs in organizations, which do not promote QWL and, therefore, worker's well-being. However, we could extend Ferreira's criticisms (2015) to the fight against occupational stress. We understand that companies which carry out isolated quality of work life programs and projects (or fight against stress) would not be effectively fighting against occupational stress. To implement it, organizations should modify aspects of work organization, not just the individual. Thus, in order to effectively combat occupational stress, it is necessary to understand and raise several organizational aspects, such as interpersonal relationships (horizontal and vertical), relationships with tasks and their meanings, workload, hours worked, organizational atmosphere, among others.

In other words, the roots of occupational stress refer to working conditions and, therefore, they must be modified in order to reduce stress. Individual interventions are often criticized for placing the problem of increased stress and reduced well-being in organizations over individual (in) competencies, and consequently something which does not concern the characteristics of the company itself, discharging it of responsibilities (Zanelli, 2010).

Hence, reducing stress from the primary point of view involves primarily elaborating the elements which cause occupational stress, and implies, for example, redefining tasks, offering more decision and authority to workers, among others. It is linked to disease prevention actions (Zanelli, 2010). Secondary prevention involves relieving the consequences of stress before diseases appear. Finally, tertiary prevention attempts to intervene in existing diseases so as to minimize their impacts (Hurrell Jr & Sauter, 2013; Zanelli, 2010).

In summary, we believe that to be able to reduce occupational stress in an authentic and preventive way, it is necessary to refer to its roots, that is, to the working conditions themselves, to the work organization, which is the main responsible for well-being, malaise and tension generation in the professional environment. Specific or isolated quality-of-life or stress-oriented programs do not tackle stress-generating primordial aspects, which refer to the psychosocial conditions in which work relationship occurs.

### **Final considerations**

As we have seen, the study on quality of work life and occupational stress in Brazil faces several dilemmas and challenges. From a theoretical point of view, we understand that there are several critiques of the models used for the study of QWL in organizations, many of them from the 1970s (Sampaio, 2012) and which, therefore, have not followed the drastic and gigantic transformations in the current world of work.

Moreover, we sought to show how the theoretical models on stress or QWL and the quantitative studies which usually accompany them bring important data about the reality of quality of work life and stress in the different professions. However, such analyses often exclude the view of social actors (workers) about labor processes, their subjectivity, and thus have several limitations in the analysis and understanding of the different professional categories reality.

From the implementation of QWL policies and programs point of view, according to Ferreira (2015), national organizations are carrying out quality of work life programs in a partial and isolated way from their working relationships. Therefore, we have quality of life programs such as gymnastics, ballroom dancing, yoga, among others, activities which are positive themselves, but unable to address the malaise in organizations issue, marked by work overload, multiple tasks to be carried out in a short time, tension in work teams, etc. Moreover, these organizations are not implementing policies to combat stress either, since to carry them out, one has to change the organization of work itself, that is, to rethink the relation of the worker to the tasks, their content and meaning, their interpersonal relations with other workers, with the bosses, remuneration, benefits, possibility of development. Therefore, we believe that it would be necessary to change the current notion in many organizations of the idea of QWL as isolated programs of quality of life or welfare for a culture of health and organizational well-being, which, in fact, provides health, physical and mental well-being for workers. Thus, in addition to partial programs of QWL or stress-fighting, the organization of work itself must be elaborated in order to ensure that substantive changes in the organizational environment can be achieved in order to truly achieve the health and well-being of workers in different organizations.

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## **A study on occupational stress and quality of working life of professors in a higher-education federal network**

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### **Abstract**

Occupational stress and quality of working life (QWL) are the subjects approached in this research work. Occupational stress represents an intervening factor in work relations and life quality of professors in a higher-education federal network of the state of Rio de Janeiro, Brazil. Thus, the research proposes to analyze the relation between occupational stress and QWL of higher-education professors, identifying its impacts, following Cooper's and Vilas Boas and Morin's approaches. This is a qualitative and exploratory research. A semi-structured interview was performed for data collection, with the participation of 34 professors, located in three *campi*, divided between the *baixada* and south of Rio de Janeiro. The selected professors work for more than two years in the federal network. The selected technique for data treatment was content analysis. There was the confirmation of stressful factors in work relations and their impact in the professors' life quality, subject of this research. There were found work leaves due to physical and mental diseases, change of campus, discharge of functions and the institute. In the narratives it was perceived how much suffering the professors demonstrated, almost a calling for help and they hope a public management takes care of the human resources, just as they manage the material resources. Other sources of pressure and dimensions were shown, which leads to reflect about the continuity of the research with the professors, to contribute to the strategies that balance the indicators affecting the professor's health, and assessed in this research, in order to minimize this situation.

### **Introduction**

Since the Industrial Revolution in the early 20<sup>th</sup> century, the organizations went through transformations aiming to increase productivity, bring maximum efficiency in the execution of tasks, and think about the worker's satisfaction. According to Rodrigues (1994, p. 20), "in this period there are the first movements and structured, systemized applications inside the organization, using the quality of working life – QWL". According to the author, the organizations aimed to increase the results through limited resources, causing changes in commercial aspects and production. Thus, by changing the form of production, indirectly the strategy of handling with people was reshaped.

In this context, "the human capital starts to be understood as a fundamental strategy to face the radical transformations" (GIL, 2008, p. 39). However, in the core of this step there are the workers, whose adaptation to this new context was not linear nor salutary. Therefore, in order to increase productivity, the performance of tasks that implicated new and better results was due to economic issues, and the worker did not possess the knowledge about the role performed in the process of development and growth of the organizations.

Paraphrasing Couto (COUTO,1987 apud BCHECHE; KILIMINIK, p. 101, 2015), “the main factors of pressure that affect the individual in the work are related to the urgency of the activities imposed and the bad time management, associated to a series of exigencies”. To comprehend the causes of these work pressures, the research developed aims to understand the causes, the factors and the tensions that workers suffer in their work environment.

To investigate this field of knowledge, the present research was structured based on the following methods: Vilas Boas and Morin’s (2014) Quality of Working Life and the researches of Walton (1973, 1980, 1985), Hackman and Oldham (1975), Boisvert (1977), Nadler and Lawler (1983), Levine, Taylor and Davis (1984), Huse and Cummings (1985) and contemporary researches as: Fernandes (1996), Limongi França (1996, 2007, 2009, 2012), Sampaio (2004, Sant’ Anna and Kilimnik (2011), and occupational stress in the studies and model of Cooper et al (1976, 1982, 1988, 2011), Karasek (1979), Lazarus e Folkman (1984), Rossi (2009), Zanelli (2010), Zille (2010, 2011), Lipp (2012), Limongi França, Rodrigues and Kanakidan (2012). This division is due to the understanding that there could be a descriptive approach of each of these aspects, according the theories that approach these subjects.

In the 70’s, the researcher Walton (1973) conceived the expression “life quality”, which according to him was used to describe certain environmental and human values neglected until then by the industrial societies. Because of the technologic, productive and economic development, there was the workers’ exploitation, who was lead to the top of physical exhaustion, having as consequence the state of fatigue. From that time in Brazil, there was an unbridled search for the quality of production quality and improvement in results. The companies aimed the excellence of quality, which according to Fernandes (1996, p. 22) was “understood as the tendency to constant improvement and form of work organization, having the goal of continuous improvement of the productive process”.

From this point of view, it is understood that the organizations aim for professionals who adapt to the exigencies of the contemporary working world and to the competitive market. Therefore, the QWL conquers space as an aspect inherent to the process of competitiveness, allied to the worker’s well-being in the institution (LIMONGI-FRANÇA, 2007).

Thus, the guiding question of the research is: how does occupational stress affect the QWL from the professors’ point of view in a federal network of higher education in Rio de Janeiro? According to Vilas Boas and Morin (2015), understanding the QWL and the impacts that lead to the professor’s malaise is a challenge, but it brings benefits to workers and society.

Therefore, the research considered, besides answering to the proposed objective, conceive strategies – in the management of this education federal network, especially in the higher education – that increase the knowledge about this worker’s health and his/her insertion in this work organization.

## Method

The research was performed in Rio de Janeiro Federal Institute in four *campi*. They were chosen for offering undergraduation courses. The procedures of data collection of the interviews followed the following criteria: sending e-mails to the directors of the education institution; waiting for the directors’ acceptance; scheduling day and time of the interviews, in which there were the higher number of professionals in the campus. The choice for professors also met the following criteria selection: gender, different ages, with children or without children, experience in higher education. The filter of time was also considered, contemplating the exercise of the function for more than five years, even outside the federal network. The campus location – *Baixada Fluminense* and *South Fluminense*, and the teaching time in higher education completed the data. Thirty-four interviews were performed. The

professors chose the places of the interviews, where they felt more “protected”. A script was elaborated following the models that grounded the study performance.

The Content Analysis (CA) was used in order to assess data found in the answers, treating and interpreting them according to the models and theories that guided the research foundation. Some criteria were respected, such as “exhaustiveness (complete assessment of the text); homogeneity (separation between subjects to be studied); the objectivity (coding results); and the adequacy (to the objectives of the study). Therefore, data were separated in categories in order to have the maximum clarity and precision. The *campi* and subjects of the research received codes respecting the consent form.

### ***Data collection***

Two questionnaires were applied to the professors: one regarding the demographic and professional survey with 10 questions and other with 16 discursive semi-structured questions, following the script proposed by the models of Vilas Boas and Morin (2014) and Cooper et al (1988). The interviews were performed in the *campi* where the professors worked during the research. All interviewed professors followed the work regime of 40 working hours per week, with exclusive dedication.

The contact with these professors was made through work colleagues in common. However, it does not mean that there was an immediate accept to answer the interview questions.

The Vilas Boas and Morin’s (2014) systemic approach of QWL highlights the factors (characteristics, relations, charge, hours and safety in work) and indicators (meaning of the work and in the work, well-being and psychologic suffering, stress related to work, commitment, presence, work and life balance). The Occupational Stress Approach of Cooper et al (1988) indicates the factors intrinsic to work, the role of the organization and the relations with work, career, structure and organizational environment.

Because of the complexity of the studies about QWL and Occupational Stress, it is suggested that future researches could also observe the work organization, the leadership, and studies that focus on the worker’s health.

### ***Characterization of the subjects of the research***

#### ***Campus 1 – South Fluminense***

Seven professors were interviewed. All male, 14.28% are single and 85.78% are married; they have between 1 and 4 children, and are in average 40 years old. The average of academic experience is 8 years. As for the qualification and titles, 4 are doctors and 3 have a master’s degree.

For the professors of this campus, there are elements registered in their narratives that compromise QWL according to Vilas Boas and Morin’s model: excess of bureaucracy, work overload, conflicts, lack of materials to execute work, pressure, deadlines, distant workplace, unhealthy and bad environments, inadequate planning, physical environment, relationships, among others, as shown by the professors’ speeches. According to a professor’s statement:

A factor that compromises QWL is the lack of materials and the intern structure that can prevent you from doing your work. This work is very important. A simple example: “I arrived in the classroom and the laboratory machines had no access to the network.” This is irritating. There is an IT technician that prepares the place for the teacher and when he does not perform his job, it disturbs mine. (E6:C1).

#### ***Campus 2 – South Fluminense***

Nine professors participated in the interview, 55.56% are female and 44.44% are male; 6 are married, 2 are divorced and 1 is single. Age range is in average 42 years. They have between 1 and 2 children. They have academic experience of 14 years in average, of which 6 years in

average in the institute. Regarding the professors' qualification and titles, there are 4 doctors and 5 masters.

The interviewees affirm that the stress indicators are pressure due to deadlines and publications. They refer to the time to the task performances:

We live with a lot of pressure – deadlines, articles, researches; it is very complicated. This makes the relationships bad. In my case there is the aggravating factor of distance. We miss family, children (pause). I miss spending more time with my family (pause). That is why I demand so much of myself when performing tasks with quality. As I do not have my family around, I work. (E8:C2).

### ***Campus 3 – Baixada Fluminense***

There was a number of 50% of women and 50% of men; 12 were married, 3 were single and 3 were divorced. The age range was around 40 years old. As for the titles and academic qualification, 10 are masters and 8 are doctors. In average, the interviewees have 14 years of professional experience, of which 8 years were in the institute. All professors have exclusive dedication of 40 hours per week.

In this campus, it stands out that the distribution of workload is one of the biggest indicators of stress and it causes the reduction of life quality.

For me, what impairs life quality is the lack of balanced schedule distribution. Here we have cases of professors who have a large workload and those who do not. Lack of planning. I see that many coordinators are amateurs. I myself had many times a workload larger than those of my colleagues. This disturbs my life. I am very tired. (E23:C3).

They also highlighted that having a technic management surrounded by elements that constitute the effective management would reduce the occupational stress.

The management would be a variable that would disturb the quality of working life. Not the personification of this management, but the way it is organized to do things, with no planning. I even think that here it is cultural to do things without planning. (E30:C3).

These speeches confirm that QWL is impaired by the structure of the professor's work, for example, the speeches about schedule distribution and lack of planning, as well as the conflicts in relationship that come from this lack of structure, according to the base of the QWL General Model (MORIN, 2008) and the Systemic Approach of QWL (VILAS BOAS; MORIN, 2017).

However, there are evidences that the biggest causes of stress are related to the physic, psychological, mental and hormonal components that occur when an individual needs adaptation (LIPP, 2012). "When stress is triggered, it can cause diseases (silence) as I already said, the determinant thing is to perform my work, with no difficulties. Without anybody who makes it difficult or disturbs it". (E2:C1).

Performing tasks is something that does not bother them, but not having autonomy, placed by a manager who is a leader and favors interpersonal relations in work relations.

The statement of the professors in this campus is relevant as well as the other *campi*. The lack of work organization is a factor that generates a stressful environment, directly affecting the work performance and life quality of this worker. To them "Some kind of disorganization that leads to work overload. Unplanned tasks, lack of material and resources. Having people intruding where they are not supposed to nor is this their job." (E3:C1). These are aspects that must be considered to reflect on the management from the point of view of possibilities for adaptation and changes.

Relationship problems are associated with a QWL factor that refers to the characteristics of work relations. Therefore, the speeches demonstrate that this QWL factor affects the stress indicator related to work. Lack of headship access can also be considered a structural problem.

I entered the institute along with other professor. I delivered my documents, however they did not accept my master's degree. I do not know if it was due to the public notice, or something else, I did not get it but he did. He received it. I do not know how. I was treated differently. This part makes me really sad. (Pause). Does it stress me? I do not know, but it makes me really sad. I think it stressed me before. Now I say it does not matter, I need my job to supplement my income. If not, I would have left. Now, I would rather not to think about this. I am like this (pause) financial. I have made a lot of effort, I have the qualification, nothing could stop me. I should be rewarded for this. This makes me really sad. Very much. (E10:C2).

These narratives demonstrate that there are traces of an inadequate management for the kind of work performed in the institution, as well as the commitment of work and personal life relations.

### ***Results and discussions with the approaches: QWL and occupational stress***

The results and discussions came from the treatment of data following the QWL approaches of Morin and Villas Boas (2016) and Cooper et al (1988).

Even though we perceive that men are more objective in the answers, the suffering and perspective of change is present with no gender distinction.

Some professors were suspicious when talking about subjects related to organization, especially regarding management. With the interviews, it is clear how much the professor suffers and does not have support and/or a safe place, they feel alone. In the social perspective, there is almost a distance between the human being and the professor. The professor must play a character and act according to the scenario. In the organizational perspective, they are subjected to the rules, bureaucracy, to the coercive and psychologic power and to the compliance of a contract. In a human perspective, the man shows, intense, tense and potent. Being in a classroom is more than a profession, it is a mission.

According to the results of the interviews, there was a sense of compromising and commitment in labor activities. Being a professor is not being a myth or immortal, but a man who builds, who performs a role and a bond between dreams and accomplishments, who involves emotions and responsibilities along with the students. However, this struggle is solitary in some moments and there is a lot of suffering, constantly among a precarious work. They did not report a concern from the management to understand the dimensions, meeting these perspectives. Even the man or the woman who claims to be immune to these stressful factors, when answering the questions that required confirming this immunity, surrendered and realized that they were "masking" their answer.

The professors reported an environment of occupational disease when speaking about the other *campi* and managements, they cried or blamed themselves for not reaching out of the situation of vulnerability they were in. Sometimes because they were in a probative situation, and sometimes because they did not know what is a public organization, among other factors that discouraged their attitude, their identity, their pride and even their knowledge. What calls attention the most is that in no campus was there a work of survey and monitoring of these factors, these work leaves, powering the stress. It is impressive that because they suffer alone, they do not know that there are other colleagues who are going through the same situation. That causes conflicts with colleagues, headships and management technicians.

It was observed that there are still factors and indicators that directly affect the professors' well-being and personal life, even for those who work in the South *Fluminense*, a place known for lower violence rates, low traffic, country life, which was understood as a better life quality. Many of those who are located in the South *Fluminense* are not from there. That distances them from their family and causes changes, resulting in the distance from their homes, friends, spaces and territories. Some even thought about exoneration for this reason. But they remember their economic needs and reduced possibilities because of age and effort, making them impotent to act.

In this research there is also no difference of gender when it comes to suffering at work. Both men and women cried, made similar statements of exclusion, with the same behavior, that is, both were alone and did not want contact, they asked for work leaves in case they did not get the change of campus. The pain does not choose a gender. The common sense that men are more rational and the women are more emotional is not true when it comes to psychologic suffering.

### **Considerations**

The performance of this work resulted in the reflection of the components of QWL created by the authors, and applicability of Morin's (2008) initial approach developed by Vilas Boas e Morin (2015, 2016, 2017). The study highlighted that some aspects identified deserve deeper studies, such as: leadership, depression, sadness, fear, among others, which values the importance to continue studying QWL with professors.

In Cooper, Cooper e Eaker's (1988) approach, the following sources of pressure were confirmed, intrinsic to work: role of the organization, the relations, career, structure and organizational environment. However, other sources were identified, such as: violence in the environment, the leadership issue and consequences of stress on sexuality, among others that were not studied by the authors, and that lead professors to search for the help of a specialist in health. Some needed prescription medication and to others some alternative therapies were indicated. Even finding other factors, indicators and elements presented by the authors (COOPER et al 1988; VILLAS BOAS; MORIN 2014), there was no commitment of the approaches. However, the research showed other sources of pressure that could lead to the professor's sickening. This study suggests that through data analysis, there is the possibility of increasing components of occupational stress.

Finally, it stands out that professors recognize the relation between stress and QWL. Some work leaves, due to psychologic diseases, change of campus or conflicts in relationships came from the lack of QWL and a high level of stress.

It was noticed that some professors idealized that when applying for the position in a federal institution, they would be in "heaven", and that problems such as lack of infrastructure, air conditioning, lack of work organization, violence inside the campus and around it would be unacceptable. However, many cases occurred in this level and affected many professors, making them wish to apply for a new position. According to a professor "to me, suffering this kind of violence in many environments was a reality check, I did not expect to be mugged inside the campus. Today I need to think well not to abandon everything. I am living a nightmare".

Therefore, the broadening of the studies is proposed in other *campi* and federal institutions. Going against the grain of a politic logic and creating an organizational model that meets or reduces the occupational stress and improves QWL requires a more detailed analysis of each campus in its formation, occupation and objective of action.

The goal of this research is, therefore, to contribute to new researches that look inside the organizations and see that the talent is performed with people and by people.

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# **Recruiting Happy, Socio-emotionally Balanced and Mature Managers in Finland and Elsewhere**

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## **Abstract**

The purpose of this paper is to explore and evaluate which emotional intelligence skills Finnish recruiters value in job ads the most when they seek new managers mainly in Finland. The results were validated by doing interviews in a group of a LinkedIn, which called themselves as “The emotional intelligence network”. The results of these interviews were used as an analysing tool by comparing Western recruiters emotional intelligence requirements with skill requirements found from Finnish job ads.

On the basis of the research conducted with mixed sample and methods approach, recruiters mainly in Finland, but also in other Western countries, seek happy, socio-emotionally balanced and mentally matured managers. Happy managers are positive, optimistic and good in interpersonal relationships. Socio-emotionally balanced managers are at the same time independent and flexible and have good tolerance of stress. Mentally matured managers are self-aware, socially responsible and assertive.

## **Introduction**

In this paper, the main research question was: *which emotional intelligence skills do recruiting managers value the most when they hire new people into managerial positions in Finland?*

Daniel Goleman has claimed that emotional intelligence will account for success at home and at work (Goleman, 1995). According to him, emotional intelligence will help in work life, both in teamwork and in cooperation, as it aids learning together how to work more effectively (Sternberg, 2000, p. 402.). Goleman even claimed that emotional intelligence will confer “an advantage in picking up the unspoken rules that govern success in organizational politics” (Goleman, 1995, p. 36).

Claims such as Goleman’s made us interested in the possibility that emotional intelligence skills may be just as important, if not even more important, than single IQ scores, when recruiters evaluate potential employees. The topic of emotional intelligence is important, because exploring and developing it helps us motivate ourselves, manage stress, and resolve conflict with others. We wanted to explore this topic in more detail, as emotional intelligence determines how effectively we express emotions within the cultural contexts of our workplaces and is this a determinant for managerial success as for example Hughes have claimed (Hughes et al. 2005.). No wonder that recruiters take it into close consideration when screening applicants or prospects for managerial jobs.

The goal of this paper is to build options for HR professionals and managers, who would like to evaluate and develop the emotional intelligence skills of their employees, and to find out

which skills are commonly valued among recruiting managers. They can also compare how their employees match these valued skills. In addition, this paper offers guidance for people applying for managerial positions by helping them understand and develop skills that are valued by recruiting managers. This way they can improve their employability and competitiveness in the job market. It is also important that recruiting managers take emotional intelligence skills into account in order to guarantee good relationships between managers and subordinates in their organizations. This will enhance the emotional functionality, efficiency, and competitiveness of their organizations. Thus, hiring managers should take these skills into consideration in the recruitment process (Lynn, 2008, p.1.).

### **Literature review**

Emotional intelligence, as a psychological concept, was developed by Peter Salovey and John Mayer, according to whom "emotional intelligence is the ability to perceive emotions, to access and generate emotions to assist thought, to understand emotions and emotional knowledge, and to reflectively regulate emotions to promote emotional and intellectual growth" (1997, p. 10). Mayer and Salovey's (1997) model is about the domain of emotional intelligence and describes several discrete emotional abilities which can be divided into four classes (Sternberg 2000, 401). The most basic skill in this domain of emotional intelligence is the perception and appraisal of emotion. The second area is assimilating emotion in thought. The third and fourth areas are understanding and analysing emotion, and reflective regulation of emotion (Sternberg, 2000, p. 400).

The term "emotional intelligence" implies something having to do with the intersection of emotion and cognition (Sternberg 2000, 398). Emotional intelligence refers to the ability to recognize meanings of emotional patterns and to solve problems based on them (Salovey & Mayer, 1990; Mayer & Salovey, 1997; Sternberg, 2000, p. 400). Emotional intelligence entails the ability to monitor one's own and others' feelings and emotions, to discriminate among them, and to use the knowledge that comes from those actions to guide one's thinking and functioning (Emmerling et al., 2008, vii). Emotional intelligence includes the competence in perceiving and communicating emotions, as well as in understanding emotions of self and others and regulating emotions (Moshe et al., 2009, preface). The abbreviation EQ, often used of emotional intelligence, refers to "emotional quotient", a measure of EI, which is more known than EI itself (Henry, 2011, xiv).

Emotional intelligence refers to a generic competence in perceiving emotions and a competence that helps us regulate emotions and cope well with emotive situations (Moshe et al., 2009, p.3). It is said that the concept of "intelligence" is poorly formulated and badly misunderstood, because enumerating a person's IQ does not inform us of how their intelligence plays out as an ongoing process in real life contexts (Sternberg, 2000; Moshe et al., 2009, p. 22). This lets us understand emotional intelligence as a process: it too should be viewed through how it is expressed in handling everyday problems. Example of this is how a person adapts to the difficult situations in life (Moshe et al., 2009, p. 22.).

Sternberg describes several competing models labelled as "emotional intelligence" (Sternberg 2000, p. 400). After Salovey and Mayer published their first model on emotional intelligence, Bar-On developed his own theoretical model (2000, pp. 363–364). Bar-On's model was originally developed to evaluate the different aspects of emotional ability and to conceptualize it. Bar-On says that emotional intelligence means the combination of personal, emotional, and social factors that affect an individual's ability to cope with the pressure and demands of the environment (Bar-On, 1997, p. 3). Bar-On's model was intended to answer the question

“Why some individuals are more capable to succeed in life than others?” (Sternberg, 2000, p. 402.) The model reviewed psychological literature for personality characteristics that seemed to be related to success in life, as well as identified five broad areas of functioning relevant to success. These five areas are (a) intrapersonal skills, (b) interpersonal skills, (c) adaptability, (d) stress management, and (e) general mood (Sternberg, 2000, p. 402.).

The third emotional intelligence model is by Goleman (1995). It has five areas: (a) knowing one’s emotions, (b) managing emotions, (c) motivating oneself, (d) recognizing emotions in others, and (e) handling relationships (Sternberg, 2000, p. 402). More than five million copies have been sold of Goleman’s book “Emotional Intelligence: Why It Can Matter More Than IQ”, which tells a lot about the interest towards emotional intelligence.

Below is a description of how the concept of emotional intelligence has presented itself over the years (Mayer, 2006, pp. 5–6).

1900–1969: Intelligence and emotions as separate, narrow areas

- Testing of intelligence was developed, and during this time, modern psychological test methods were developed. Emotions were studied as their own subject, separated from intelligence. There was ongoing debate about which comes first, emotions or physical reaction. The goal of psychologists was also to identify social intelligence, but the concept of intelligence remained cognitive (Mayer, 2005, pp. 5–6).

1970–1989: The pioneers of emotional intelligence

- During this period, researchers started to be interested in how emotions and cognition affected each other. Through the theory of multiple intelligences, Gardner brought up the concept of intrapersonal intelligence. The field of artificial intelligence worked on discovering how a computer can take the emotional aspect of stories into account. The concept of emotional intelligence was used during this time (Mayer, 2006, pp. 5–6).

1990–1993: Emotional intelligence surfaces

- Salovey and Mayer (1990) came up with the concept of emotional intelligence. In a scientific article, it was claimed that emotional intelligence is real intelligence (Salovey & Mayer, 1993). At the same time, brain research was being carried out, which for its part forwarded the research on emotional intelligence (Mayer, 2005, pp. 5–6).

1994–1997: The popularization of emotional intelligence and expanding the concept

- The concept of emotional intelligence was popularized during this time. It spread all over the world (Goleman, 1995). Emotional intelligence tests started to surface (Mayer, 2006, pp. 5–6).

1998–present: Research on emotional intelligence and its institutionalization

- Clarification of emotional intelligence and empirical research started and continues today. There has been a lot of effort to define the concept again by using new test methods. Numerous scientific articles have been written about emotional intelligence (Mayer 2006, 5–6). One of the latest examples of this is the article “A meta-analysis of emotional intelligence on job satisfaction mediated by job resources, and a test of moderators” (Miao et al., 2017, p. 116).

Emotional intelligence at work has been explored globally. Nowadays, there is an increase in studies on how to develop emotional intelligence. One study in emotional intelligence had a sample of 358 leaders from the international Johnson & Johnson group (Cavallo & Brienza, 2001). The gender distribution in the study was 55 percent men and 45 percent women. Demographically, they came from all continents. The purpose of this study was to find out which leadership competences can have an impact on making a leader as high potential leader, meaning that they get the best possible performance in organizations in comparison with leaders having an average performance and capacity. The 360-degree evaluation indicator included 183 claims and was based on the own competence model of the consortium and the emotional intelligence competencies of the ECI-meter (Simström, 2009). The results indicated that leaders with high emotional intelligence skills were more successful than other leaders. Managers, colleagues, and subordinates of these leaders were unanimous about the fact that the competences that differentiate top level performers from others were confidence, performance level, ability to make initiatives, ability to influence others, leadership skills, and ability to initiate change. The colleagues of leaders thought that women as leaders possessed a lot of emotional self-consciousness, and they thought that they were service-oriented and helpful as well as had good communication skills and the ability to help other people in developing themselves. In this study, the geographical and cultural differences were minor (Simström, 2009).

In our paper, the findings are based on Bar-On's overall definition of emotional intelligence, which means that "emotional intelligence is an array of non-cognitive capabilities, competencies, and skills that influence one's ability to succeed in coping with environmental demands and pressures" (Bar-On, 1997, p. 14). The fifteen traits by Bar-On, which were compared in this study, are emotional self-awareness, self-regard, assertiveness, independence, self-actualization, empathy, social responsibility, interpersonal relationships skills, stress tolerance, impulse control, reality testing, flexibility, problem solving, optimism, and happiness.

### **Data and methodology**

Two different kinds of methods were used for the empirical part of this study: a case study of selected Finnish job ads from a period of approximately one month, and qualitative interviews of recruiting managers to achieve deeper knowledge and collect data concerning the subject of this research.

The sampling of the ads was selected from Aamulehti and Helsingin Sanomat Sunday editions from 6 December 2015 to 24 January 2016. Helsingin Sanomat and Aamulehti were chosen because they are significant newspapers in Finland; Helsingin Sanomat was the second most read newspaper in Finland in 2015, while Aamulehti was the seventh on the same list. The selected ads needed to be ads for a managerial, leadership, director, or top specialist positions. The 71 positions that qualified for this study are listed as below:

- Managing directors or equivalent (13)
- Functional directors/executives (17)
- Sales managers (11)
- Other managers (11)
- Foremen (10)
- Project managers (3)
- Other professionals (6)

A content analysis of ads was conducted, since we wanted to interpret how Bar-On's emotional intelligence factors were visible in job ads. Content analysis is a good option for

doing this, since it is a research option that is used for summarizing large amounts of unstructured textual data into interpretable data relevant to the research topic and questions (Hakim, 2000, p.1; Elo & Kyngäs, 2008; Saunders et al., 2009, pp. 266–284).

We looked for skills based on Bar-On's model of emotional intelligence. The keywords found in the ads were compared with Bar-On's emotional intelligence list and interpretation of their meanings. After this, all the mentioned factors were collected into an Excel file and later analysed to find out which factors were most commonly used. Altogether, 71 positions were found and fitted for this study. Related to these positions, 62 personality skills were found, which can be thought of as emotional intelligence skills. Each of those 62 skills were investigated to see which emotional intelligence skills they were related to regarding Bar-On's emotional intelligence factors. After that, it was counted how many times each skill was mentioned in the 71 advertisements.

After counting the number of times the skills were mentioned in the job ads, a simple conversion chart was formulated to demonstrate the most often mentioned intelligence skills and how they compared to items on Bar-On's list of emotional intelligence. This list includes six of the most frequently mentioned emotional intelligence skills, which were then combined with those emotional intelligence factors from Bar-On's list with which they were thought to correspond.

To increase the validity of the results from the analysis of the Finnish ads, we decided to do interviews of recruiters outside Finland in a LinkedIn group called "The emotional intelligence network". This group defines themselves as follows: "Emotional intelligence is the capacity to integrate feeling and thinking to make optimal decisions. Being 'smart with feelings' is essential to effectively leading – building engagement, navigating challenge, and accelerating change. The skills of emotional intelligence have practical application in numerous areas of organizational and professional performance."

The group discusses the challenges and opportunities of increasing emotional intelligence in the workplace, shares practices, and learns together. The group is hosted by Six Seconds, The Emotional Intelligence Network, a global not-for-profit corporation that supports change agents in making a positive difference (The Emotional Intelligence Network, 2016).

This group represented emotional intelligence experts in our research, mainly from Western countries outside Scandinavia. None of the interviewees were Finns. Only two interviewees represented Denmark, others came from the USA, the UK, Canada, and elsewhere. Because of this, the LinkedIn Emotional Intelligence network group acts in the research as a Western benchmark group against which the emotional intelligence requirements of the Finnish managers are compared. At the same time, the results of these interviews represent the Western world's emotional intelligence requirements for managerial positions.

By conducting interviews within this group, it was ensured that the interviewees were already familiar with the concept of emotional intelligence and therefore qualified to answer the given question. Any answers that did not directly answer the research question were left out, and in the end, 20 valid responses were received for this research. Asking the question on LinkedIn instead of personal interviews means that there is no possibility of interviewer bias, which increases the validity the research. The main disadvantage is the inability to acquire more detailed information from respondents.

29 people from the LinkedIn Emotional intelligence group were selected as the target group of the interviews as they had recruited persons to managerial positions. The interview question was: "What are the emotional intelligence skills you value the most in a candidate

when you hire someone for a managerial (or specialist) position?” The interviewees were informed that they will remain anonymous in the research, although their names and job titles could be seen on LinkedIn. This was done to provide them with an opportunity to safely reveal their honest opinions and ensured the quality of the information in the research.

After doing this, the qualities mentioned in these answers were compared to Bar-On’s fifteen emotional intelligence factors. The interview results were also compared to the results of the content analysis conducted on the ads.

In addition, both qualitative and quantitative analysis were used to analyse the interviews. Quotations of interviews and handling them by themes represents qualitative analysis. Counting the frequencies of themes represents quantitative analysis of the same interviews.

Using qualitative and quantitative content analysis of ads and interviews at the same time represents a so called mixed research method, which is a good way to confront a given research question from more than one angle, resulting in a more than one type of investigative perspective.

## **Results and discussion**

In this section, the research material from the content study of the ads and interviews is compared to emotional intelligence factors introduced by Reuven Bar-On. The Bar-On model describes EI as an array of interrelated emotional and social competencies, skills, and behaviours that impact emotionally intelligent behaviour (Bar-On, 1997).

Based on the content analysis of the job ads, the most frequently mentioned personality skills were:

- interpersonal relationship skills and empathy: cooperation and interaction skills,
- optimism/positive attitude and creativity,
- open mindedness/flexibility and self-actualization,
- assertiveness and independence,
- self-awareness and social responsibility, and
- happiness and stress tolerance.

Based on the analysis of interviews, the most valued skills were:

- interpersonal relationship skills,
- self-awareness,
- empathy,
- optimism,
- assertiveness/self-confidence, and
- happiness.

Cooperation and interaction skills were the most wanted skills in the job ads. They can be associated with interpersonal relationship skills of the Bar-On’s model. Interaction skills are also likely to be related to empathy, thus empathy can be valued as a popular emotional intelligence skill among recruiters who are looking for skilled managers.

Other important emotional intelligence skills valued by recruiting managers were optimism, positive attitude, creativity, assertiveness, independence, flexibility and self-actualization, self-awareness, happiness, and stress tolerance. These competences can be strongly associated with the motivation level of an employee, which may be one reason why recruiters look for these skills.

Assertiveness is needed, for example, in the important task of communicating company's values to the staff. Values determine the short-term goals that direct an individual's thoughts and actions in a current situation (Feather, 1980; Pervin, 1983). Independence was mentioned both directly and indirectly, which adds to its importance. According to Bass (1985, p.33), a leader who can best guide transformation in a work environment is a person the staff can identify with. A transformational leader is a person who can make sure that the process of change is implemented (Bass, 1985, p. 33). This is related to having good interpersonal relationship skills, which is an important quality in managerial work, as confirmed by this study.

To sum it up, interpersonal relationship skills was most frequently mentioned both in the job ads and the LinkedIn interviews and hence appear to be the single most important skill. Therefore, according to the research, this is the most sought after skill to which employees wishing to succeed in business should pay attention. This skill is important because we live in this world interacting with other people. This skill is also related to social responsibility; since we live in the world with others, we need to invest resources and concern in social responsibility (Hughes et al., 2005, p. 78.). This skill also helps in our stress tolerance which again is an important emotional intelligence trait according to previous studies (Hughes et al., 2005, p. 79) as well as to this research.

### **Conclusions**

When combining the results of the content analysis and interviews, the most popular emotional intelligence skills were:

- interpersonal relationships-skills (Mature and Happy),
- self-awareness (Mature),
- optimism/positiveness (Happy),
- assertiveness/self-confidence (Mature), and
- happiness (Happy).

We also found from the research material other skills, as mentioned in the previous section of Results and Discussion, which we regard as balance skills (B) such as, stress tolerance, flexibility, independence and social awareness.

When we combine these skills by using common sense and logic, we can claim that recruiters in Finland and other Western countries seek happy, socio-emotionally balanced and mentally matured managers. Happy managers are positive, optimistic and good in interpersonal relationship skill, which is needed to create happy relationships at work and elsewhere. Socio-emotionally balanced managers are at the same time independent and flexible and have good stress tolerance. Mentally matured managers are self-aware, socially responsible, assertive and skilled in interpersonal relationships.

We chose two different kind of samples; the first one for the content analysis of ads and the second one was interviews for validating the research results. The sampling of the content analysis was clearly wider than that of the interviews of the LinkedIn Emotional Intelligence network group in the internet. This group and it's interview results acted in the research as a Western benchmark material on which were compared the emotional intelligence requirements of the Finnish managers. By using these mixed samples and methods the validity of the results were improved. The research results can be used to improve manager's everyday life. This makes the results of the study especially valuable in practice. The list of the most wanted skills may give guidance on which emotional intelligence competences

people who apply for a manager position should focus on. Finnish HR managers and recruiters can re-consider which skills they should emphasize when they attempt to place new people into managerial positions. In conclusion, we want to raise awareness of the most valued socio-emotional skills which managers can utilize to make recruiters to see them positively different than other managers. We also want to emphasize the fact that emotional intelligence skills can and should intentionally be developed.

### **Theoretical and practical contribution of the research**

The most valued emotional intelligence traits for managers were found and “translated” into Bar-On’s “language”. Job applicants can benefit from this information and apply the knowledge when presenting themselves in job interviews. This increases their chances of getting a new managerial job.

On the other hand, HR managers can also use this information when they evaluate job applicant’s emotional intelligence capabilities. They can also use this information when they evaluate people in their own organization and try to help them to develop their own capabilities in emotional intelligence.

Finally, HR managers can increase the effectiveness of their organization and the happiness of the people working in the organization if they utilize the information and put into practice the processes suggested in this paper.

### **Limitations of the research**

The scope and results of this research are valid mainly for Finland and, to some extent, in the Western world. Its results cannot be generalized directly to the whole world.

### **Suggestion for further research**

The most sought after emotional intelligence skills can also be studied outside the Western world, for example in Asia and Africa. The results would likely differ not only between continents but also between countries, like for example S. Schwartz (1992; 1994) has verified in relation to values.

Unfortunately we have very limited information what kind of weight the emotional intelligence skills have in the final selection phase when selecting people into managerial positions. One of the hypotheses is that professional competence in the field and previous business results are much more decisive in the choice of leaders than skills on leadership and emotional intelligence. On the other hand, we have both practical and research-based information that it exist in Finland a lot of shortcomings in emotional intelligence skills between supervisors and subordinates, which have caused bad consequences for both sides. Therefore the question why these shortcomings exist could be one of the future research topics. The main writer of this article, Keijo Varis, is planning to conduct such a study in the future in Finland in co-operation with the Forum of Finnish Human Resource Managers.

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# Values, personal and work demands as determinants of wellbeing amongst european retail workers

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## Abstract

The related literature suggests that "healthy employees" can be a source of sustained competitive advantage as organizations avoid the increasing costs associated with stressed employees (Briner and Reynolds, 1999; Appels and Mulder, 1988, 1989; Shirom, Westman, Shamai and Carel, 1997). This study focused on addressing psychosocial issues they have to do with labor welfare workers (both base and managerial) in the food sector in Spain. With a comprehensive purpose of the way both the burnout and engagement occurs, the scientific literature (Schaufeli, Bakker and Salanova, 2006) integrates both phenomena under the model of work-related (Maslach, Schaufeli and Leiter Demands - Resources, 2001; Grau et al, 2005). Of the 200 surveys sent, 111 were returned so the response rate stood at 55 %. Almost 89 per cent of the participants were women. Average age was 37.70 ( $SD = 10.92$ ). All the participants worked in the retail sector. The survey was sent on paper directly to the workplace . It was anonymous and confidential. Results showed that material environment, social environment, adjustment of the organization to the worker, adaptation of the worker to the organization, and market and service-oriented values negatively correlated with *burnout*. Regarding *engagement*, all the predictor variables with the exception of social environment positively correlated with vigor. The results showed that social environment had a negative influence on vigor; whereas adjustment of the organization to the worker, adaptation of the worker to the organization, and market-oriented values had a positive influence on it.

## Introduction

For the past 50 years, we have witnessed an almost exponential rate of growth in interest among scholars and practitioners concerning the concept of quality of work life in general and wellness promotion in particular. Although the concept of stress plays a major role within this construct, the knowledge accumulated provides only a poor understanding of how chronic stress affects the productivity and health of workers. By and large, the literature suggests that work stress is the principal cause of poor motivation, dissatisfaction, and high rates of absenteeism (Atance, 1995; De Valk and Werner, 2000; Dolan, 2006). In recent years there has been an increased interest in examining mental health in the workplace and its impact on a given firm's success and competitiveness. The related literature suggests that "healthy employees" can be a source of sustained competitive advantage insofar as organizations avoid the increasing costs associated with stressed employees (Briner and Reynolds, 1999; Appels and Mulder, 1988, 1989; Shirom, Westman, Shamai and Carel, 1997).

### Retail and Professional Wellness

This study focused on addressing psychosocial issues they have to do with labor welfare workers (both base and managerial) in the food sector in Spain. Regarding the percentage of

the active population employed in the retail sector, according to the Generalitat of Catalonia (2015), about 318,000 people are currently employed in the trade sector. In the case of some Latin American countries, the sector employs 16% of the population of working age.

The novelty of this work lies in the fact of focusing on one sector, the Retail, which has been little studied with respect to issues related to labor and social welfare of their workers. Retail sector has experienced over the past three decades processes of expansion and significant growth. At Spanish level, for example, the trade sector accounts for over 17% of GDP, ahead of the industry and other sectors of classical economic activity (Official College of Economists of Catalonia, 2013). The same trend has also been observed in recent years in other countries, such as Chile (Duran & Kremerman, 2008). In general, companies in this sector have invested heavily in technological improvement, process innovation, product design, however, at the level of human resource management has deepened less about the needs and particularities of workers in this economic sector. Retail sector is very broad in terms of sub-sector (food, personal equipment, house ...) and company size. Large companies in this sector are acting as key players in promoting technological innovation processes, corporate restructuring and reorganization of the forms of work (Ritzer, 2008; Kerfoot & Korczynski, 2005).

### **Burnout approaches**

The term *burnout* was established by Maslach (1978). It refers to a specific kind of work-related stress. The negative consequences of burnout can be seen on both an individual and an organisational scale: *On an individual scale*, Burnout causes a state of emotional exhaustion; that is to say, health workers feel tired of dealing directly with patients, and the relationship with them even becomes a source of irritation. It also causes a state of depersonalisation, that is to say, health workers become cold and distant towards their patients. Finally, burnout produces a feeling of a lack of self-fulfilment in their work, leading to dissatisfaction and a lack of motivation towards their job. They feel that they are incompetent and have failed in their profession. They feel exhausted professionally. They feel that they have little control over the quality of their work, but they consider themselves to be personally responsible for the success or failure of their work. Burnout is a condition of great fatigue resulting from prolonged mental and emotional stress, beginning with feelings of inadequacy at work. This later evolves to a point at which the individuals' physical and mental functions actually deteriorate. Depression, anxiety, irritability and somatic problems are also common symptoms. *On an organisational scale*, Burnout leads to increased absenteeism due to health problems, dissatisfaction with work and a lack of motivation. As a result, the working climate is directly affected and organizations have to face considerable financial losses every year.

In the last forty years, there has been increased interest in studying the *burnout syndrome*. At first, this type of problem was classified under the generic terminology of *stress* or, more specifically, as *professional stress*. It was not until a few years ago that the term *burnout* began to be used to refer to a very specific type of stress that affects professionals who provide a care service. The etiology of the problem is still not clear. Nevertheless, some studies have shown that there is a direct relationship with aspects of the social and working environment and of the individual's environment (Dolan and Renaud, 1992; Gil Monte and Peiró, 1997). The literature has also shown that, of all these aspects, the characteristics of work are significant predictors of burnout. These characteristics include the type of task, autonomy and feedback at work, professional skills and the need for growth. The few existing studies that have simultaneously examined exposure to stress, burnout, and their effects on health imply that measuring burnout may help identify individuals at risk (Melamed et al.

2006). In light of the evidence that indicates that the burnout syndrome is chronic in nature, it is very likely that burned-out individuals run a significant risk to their health (Shirom et al. 2005). While stress in general has preoccupied researchers and scholars for approximately the past fifty years, burnout has become an important research topic only in the last twenty years. Burnout is now believed to be one of the main causes of low morale, dissatisfaction, and absenteeism in the workplace, and it has also been suggested to have a negative impact on the health of individuals who suffer from it (Atance, 1995; Appels and Mulder, 1988, 1989; Shirom, Westman, Shamai and Carel, 1995). Although it was initially identified with stress in general and with stress in the professions in particular, burnout has now come to refer to a specific type of stress that affects care-providing professionals.

Shirom (2004) identifies several conceptual models in the literature on burnout. For example, while Freudenberger (1980) pioneered work in this field, Maslach's classical model, which was developed in collaboration with certain colleagues, has become the model most widely used by both researchers and practitioners (Maslach, 1982; Maslach and Leiter, 1997; Maslach and Jackson, 1986; Maslach, Jackson and Leiter, 1996). These authors maintain that the burnout syndrome consists of three dimensions, namely, emotional exhaustion, depersonalization, and a lack of personal fulfilment. Maslach (Maslach and Jackson, 1986) elaborated an instrument termed the *MBI (Maslach Burnout Inventory)* that is widely accepted and utilized in the study of burnout across occupations. Pines (1993) later proposed a uni-dimensional model of burnout that was intended to overcome the limitations of Maslach's model. Pines defined burnout as a *state of physical, emotional, and mental exhaustion caused by continuous exposure to emotionally stressful situations*. He also elaborated a new burnout measurement tool termed the *BM (Burnout Measure)* that consists of the sole dimension of emotional exhaustion. Another group of researchers has recently defined burnout as an *affective state characterized by a sense of loss of physical, emotional, and cognitive energy*, and they have validated this model through an instrument called *S-MBM* (Shirom, 2004; 2005).

In contrast to this focus on disease and health problems, the renowned psychologist Abraham H. Maslow introduced the concept of positive psychology in the early 1950s within the field of humanistic psychology (Maslow, 1959). This holistic perspective concerning psychological development and self-actualization laid the foundation for the profession of individual and family counselling (Satir, 1964) and organizational development consulting (Massarik, 1992). This refers to such positive experiences as wellbeing, optimism, flow, and so forth. At the individual level it involves the character strengths of love, vocation, courage, aesthetic sensibility, leadership, perseverance, forgiveness, originality, future-mindedness, and genius. At the community level it is associated with civic virtues and those institutions that motivate individuals toward better citizenship, including responsibility, parenting, altruism, civility, moderation, tolerance, and work ethic. Proponents of positive psychology state that its aim is to understand and then promote those factors that allow individuals, communities, and societies to flourish, and that it is a descriptive rather than prescriptive endeavor (Keyes et al., 2000).

While burnout has been investigated in many work settings and for many occupational categories, vigor has been studied primarily in sports psychology and medicine, only rarely being explored in organizational or management contexts (Shirom 2005). Nevertheless, support appears to be growing for the construct and predictive validity of vigor. In this study we propose to use the concept of vigor as the opposite of burnout. Hybrid vigor in biology is defined as a renewed enthusiasm or excitement for what may yet be possible that has been

acquired from diverse sources. Shirom (2003) defines vigor as the feeling on the part of an individual that s/he possesses physical strength, emotional energy, and cognitive liveliness, which together comprise a set of interconnected affective experiences. Consequently, vigor as an extension of the "positive organizational psychology" school of thought may be characterized by "positively oriented human resource strengths and psychological capacities that can be measured, developed, and effectively managed for performance improvement in today's workplace" (Luthans, 2002). Fredrickson (1998) and Seligman and Csikzenmihalyi (2000) are other scholars who have also investigated vigor from this perspective.

### **Engagement concept**

Another interesting concepts is to deepen Engagement. (Salanova and Llorens, 2008). As Bakker and Schaufeli (2008) suggest, there are numerous publications character informative about the term "engagement", aimed at identifying how to evaluate skills that promote and engage valuable persons organizations (Giardini and Frese, 2008; Walter and Bruch, 2008).

From the academic perspective, we have identified three approaches to the study of engagement:

- The first one (Harter, Schmidh and Hayes, 2002), identifies a set of factors related to work that act as motivators, such as support one receives from colleagues resources and supervisor, feedback about performance , opportunities to learn and grow professionally, opportunities to use personal skills. These factors are evaluated through an instrument called "Gallup-12". The empirical results obtained so far indicate a high relationship between the variables included in the operational definition of engagement with organizational performance.
- Secondly, it is considered the engagement in terms of commitment of the person with the organization, beyond what would be its sphere of responsibility for the position held.
- The third model conceptualizes the engagement independently of labor resources and positive organizational outcomes (such as commitment), specifically considered a positive affective-motivational state, which makes the person feel a welfare state and personal fulfillment. Authors who defend this third model regard it as the antipode to the job burnout (Maslach, Schaufeli and Leiter, 2001).

With a comprehensive purpose of the way both the burnout and engagement occurs, the scientific literature integrates both phenomena under the model of work-related (Maslach, Schaufeli and Leiter, 2001; Grau et al, 2005 ), identifying two types of processes. On the one hand, a process that harms health, the burnout mediates between the demands of work and a shortage of resources to address them, with negative consequences causes on the health of the person. On the other hand, a motivational process in which the engagement acts as a mediator between job resources and positive organizational outcomes (Tetrick , 2002; Schaufeli , Taris and Bakker, 2006).

### **The Conceptual Model: A Configurational perspective to study burnout and engagement**

This study was set out to explore a problem that directly affects professionals who perform a service to others (in the broad terms of the concept , ie not only care level but also commercial) . As well as affecting the quality of work life of professionals, burnout syndrome has negative repercussions on the quality of the services provided by public and private health systems. Therefore, burnout syndrome is a work-related problem of international scope,

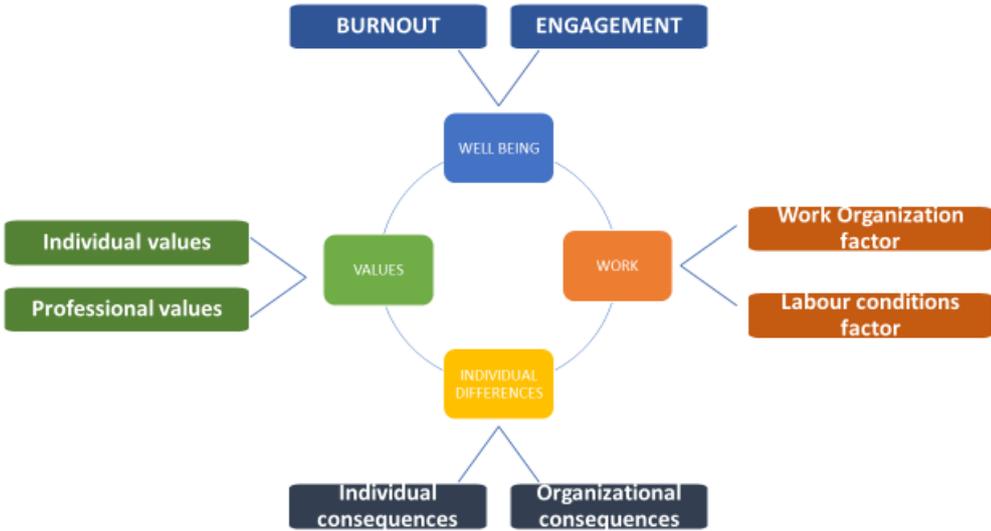
affecting the health of both the individual and the organisation, and one that requires an equally global plan of action.

The model proposes that positive emotions, such as happiness, joy, pride, and love, have physiological and psychological effects, including low autonomic reactivity relative to the effects of negative emotions that promote health and thereby contribute to engagement. The model also suggests that negative emotions and an inability to cope with job demands increase the likelihood of health problems and burnout. The hypothesis is that certain configurations of factors (personal, professional and organisational) lead to an increased risk of burnout and, as a consequence, to a deterioration in the general health of the individual.

Therefore, the research questions for the present study are:

- 1. What are the socio-demographic factors and key individual differences that play an important role in explaining the burnout / engagement retail worker?
- 2. What are the key labor and organizational factors that correlate significantly with burnout / engagement retail worker?

**Figure 1.**  
**Conceptual Model**



## Methods and procedures

### Sample and procedure

The sample of this study was composed of 111 people who voluntarily answered the survey. In total 200 surveys were sent so the response rate stood at 55 %. Almost 89 per cent of the participants were women. Average age was 37.70 ( $SD = 10.92$ ). All the participants worked in the retail sector.

The survey was sent on paper directly to the workplace. It was anonymous and confidential. At the end of the survey, it will be given the opportunity to the respondent to indicate your email to participate in subsequent phases of the study. Once answered, each centre took care of getting the questionnaires answered by staff who had participated in the survey.

### Measures

*Working conditions.* The variable of working conditions was measured with 23 items taken from Blanch, Sahagún, and Cervantes (2010). It is composed of three dimensions: material environment (4 items), social environment (4 items), and adjustment of the organization to the worker (15 items). Examples of items are: 'Physical environment, facilities, and equipment' for material environment, 'Comradeship' for social environment, and 'The current management of work in my center satisfies my interests' for adjustment of the organization to the worker. Items of material and social environment were scored on a bipolar continuum that ranges from 0 ('dreadful') to 10 ('optimal'). Items of adjustment of the organization to the worker were measured on an 11-point frequency rating scale ranging from 0 ('never') to 10 ('always'). Cronbach alpha values were .88 for material environment, .91 for social environment, and .97 for adjustment of the organization to the worker. Cronbach alphas were above .70 (Nunnally & Bernstein, 1994).

*Adaptation of the worker to the organization.* This variable was measured with 7 items from Blanch et al. (2010). Example of item is 'I adapt to my centre's policy'. All the items were measured on an 11-point frequency rating scale ranging from 0 ('never') to 10 ('always'). The Cronbach alpha was .91, which meets the criterion of 0.70 (Nunnally & Bernstein, 1994).

*Market and service-oriented values.* They were measured with two scales taken from Blanch, Ochoa, and Sahagún (2012). These scales measured the degree of importance that employees gave to market and service oriented values when it comes to managing their work centres. The scale of market-oriented values consisted of 4 items (e.g., 'Productivity'); whereas the scale of service-oriented values consisted of 3 items (e.g., 'Common good'). All items were measured on an 11-point Likert scale ranging from 0 ('little importance') to 10 ('great importance'). Cronbach alphas were .85 for the market-oriented values scale and .87 for the scale of service-oriented values scale. All Cronbach alpha values meet the criterion of 0.70 (Nunnally & Bernstein, 1994).

*Burnout.* It was measured with 15 items taken from Bresó, Salanova, Schaufeli, and Nogareda (2007). This scale is based on the Spanish version (Salanova, Schaufeli, Llorens, Grau, & Peiró, 2000) of the Schaufeli, Leiter, Maslach, and Jackson's (1996) Maslach Burnout Inventory - General Survey. It is composed of three sub-scales: Exhaustion (5 items); cynicism (4 items); and efficacy (6 items). Examples of items are: 'I feel emotionally drained from my work' for exhaustion; 'I have become less enthusiastic about my work' for cynicism;

and 'I can effectively solve the problems that arise in my work' for efficacy. All the items are scored on a 7-point frequency rating scale ranging from 0 ('never') to 6 ('always'). Cronbach alphas were .91 for exhaustion, .75 for cynicism, and .68 for efficacy. All Cronbach alpha values meet the criterion of 0.70 (Nunnally & Bernstein, 1994), except for cynicism.

*Engagement.* It was measured with 17 items taken from Schaufeli, Salanova, González-Romá, and Bakker (2002). This scale consists of three sub-scales, which are vigor (6 items), dedication (5 items), and absorption (6 items). Examples of items are: 'When I get up in the morning, I feel like going to work' for vigor; 'I am enthusiastic about my job' for dedication; and 'When I am working, I forget everything around me' for absorption. All the items are scored on a 7-point frequency rating scale ranging from 0 ('never') to 6 ('always'). Cronbach alphas were .78 for vigor, .88 for dedication, and .78 for absorption. All Cronbach alpha values meet the criterion of 0.70 (Nunnally & Bernstein, 1994).

### **Statistical analysis**

Regression analysis was carried out to analyse the data of this study. Regression equations were calculated for each dimension of burnout and engagement separately. Each dimension of burnout and engagement was regressed on working conditions, adaptation of the worker to the organization, and market and service-oriented values. All these variables were introduced together in the same regression equation.

### **Results**

Descriptive statistics in Table 1 showed that material environment, social environment, adjustment of the organization to the worker, adaptation of the worker to the organization, and market and service-oriented values negatively correlated with cynicism and exhaustion. Adaptation of the worker to the organization and market and service-oriented values were positively correlated with efficacy. Regarding engagement, all the predictor variables with the exception of social environment positively correlated with vigor. With regard to dedication, all the predictor variables had a positive correlation with this dimension. Finally, adjustment of the organization to the worker, adaptation of the worker to the organization, and market and service-oriented values positively correlated with absorption.

**Table 1.** Descriptive statistics.

Variable	<i>M</i>	<i>SD</i>	1	2	3	4	5	6	7	8	9	10	11	12
1. Material environment	7.50	1.71	--											
2. Social environment	6.40	2.30	.55**	--										
3. Adjustment of the organization to the worker	6.03	2.16	.56**	.57**	--									
4. Adaptation of the worker to the organization	8.30	1.45	.49**	.33**	.60**	--								
5. Market-oriented values	7.63	1.63	.43**	.27**	.39**	.41**	--							
6. Service-oriented values	8.13	1.80	.55**	.33**	.39**	.45**	.80**	--						
7. Burnout: Cynicism	2.11	1.50	-.37**	-.54**	-.48**	-.39**	-.37**	-.39**	--					
8. Burnout: Exhaustion	2.20	1.70	-.29**	-.42**	-.49**	-.44**	-.30**	-.31**	.63**	--				
9. Burnout: Efficacy	4.85	0.80	.09	-.06	.13	.36**	.28**	.24**	.04	.11	--			
10. Engagement: Vigor	4.36	1.00	.21*	.09	.43**	.43**	.50**	.41**	-.31**	-.30**	.49**	--		
11. Engagement: Dedication	4.20	1.33	.26**	.24**	.56**	.47**	.48**	.39**	-.43**	-.35**	.37**	.85**	--	
12. Engagement: Absorption	3.85	1.13	.13	.02	.38**	.32**	.32**	.22*	-.12	-.10	.37**	.74**	.75**	--

\*  $p < .05$ ; \*\*  $p < .01$  (one-tailed)

The results of the multiple regression analysis for each dimension of burnout (Table 2) showed that social environment was negatively related to cynicism; whereas the other predictor variables (e.g., material environment, adjustment of the organization to the worker, adaptation of the worker to the organization, market-oriented values, and service-oriented values) were not significantly related to cynicism. Regarding the dimension of exhaustion, we found that social environment, adjustment of the organization to the worker, and adaptation of the worker to the organization were negatively related to it. However, material environment, market-oriented values, and service-oriented values were not significantly related to exhaustion. In relation to efficacy, we found that adaptation of the worker to the organization and market-oriented values were positively related to it; whereas material environment, social environment, adjustment of the organization to the worker, and service-oriented values were not.

**Table 2.** Results of multiple regression analysis for burnout and engagement

Variable	Burnout			Engagement		
	Cynicism	Exhaustion	Efficacy	Vigor	Dedication	Absorption
	$\beta$	$\beta$	$\beta$	$\beta$	$\beta$	$\beta$
Material environment	.11	.18	-.04	-.12	-.18*	-.10
Social environment	-.41**	-.26**	-.17	-.21*	-.07	-.26**
Adjustment of the organization to the worker	-.14	-.24*	-.08	.36**	.48**	.44**
Adaptation of the worker to the organization	-.13	-.25*	.41**	.19*	.16	.11
Market-oriented values	-.10	-.01	.28**	.37**	.33**	.30**
Service-oriented values	-.13	-.13	-0.06	.05	.04	-.06
$F_{(6, 104)}$	10.59**	8.29**	4.87**	11.08**	14.19**	6.67**
$R^2$	.38	.32	.22	.39	.45	.28

\* $p < .05$ ; \*\* $p < .01$  (one-tailed)

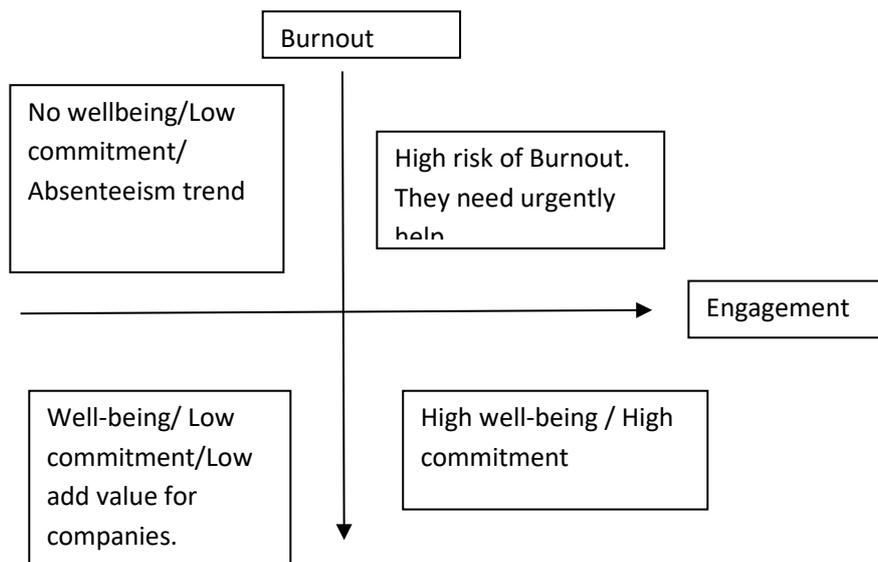
Table 2 shows also the results of the multiple regression analysis for each dimension of engagement. As we can see, the results showed that social environment had a negative influence on vigor; whereas adjustment of the organization to the worker, adaptation of the worker to the organization, and market-oriented values had a positive influence on it. The regression coefficients were not statistically significant for material environment and service-oriented values. Regarding dedication, we found that material environment had a negative influence on it; whereas adjustment of the organization to the worker and market-oriented values had a positive influence on it. Social environment, adaptation of the worker to the organization, and service-oriented values were not significantly related to dedication. In relation to absorption, we found the same pattern of result as with the dimension of dedication. Material environment had a negative influence on absorption; whereas adjustment of the organization to the worker and market-oriented values had a positive influence on it. Social environment, adaptation of the worker to the organization, and service-oriented values were not significantly related to absorption.

### Discussion and conclusion

At Burnout level, there seem to be significant differences according to the contractual situation (temporary or permanent) or the type of work dedication to the centre (full-time or part-time). The data point out that workers with permanent contracts and also those who work full time, have a level of exhaustion and cynicism that is higher than that of part-time workers. In this sense, these results are in line with those obtained in other studies with groups that perform a care activity (Netemeyer et al, 2012, Slaski et Cartwright, 2002, Sun et al, 2013).

Likewise, at the level of Engagement, the results obtained also point out that workers with a permanent contractual situation and full time, are the ones who show more positive attitudes and an emotional attachment to work.

**Figure 2.**  
**Profiles of High/Low risk to Burnout and Engagement**



Analyzing the level of responsibility exercised in the company, the results obtained go in the same direction. People with managerial responsibilities in the company show higher levels of engagement than those without responsibilities. And, at the same time they also show levels of cynicism, exhaustion and loss of professional efficiency superior to the rest.

At the level of conclusions, companies need and look for dedicated and committed workers (with high levels of engagement). However, at the same time this poses a greater risk of burning at work. For this reason, they must develop effective programs to reduce psychosocial risks related to work. According to classical literature (Arnold and Reynolds, 2012; Keeling et al, 2013;), the retail business sector has adopted unstable and temporary forms of employment (Cheung et Tang 2010; Chelariu and Stump, 2011;). However, the results of this study describe a group of workers with stable jobs and stable dedication, which however is also affected by this type of psychosocial risks. This opens in the future interesting lines of applied research in this field.

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# **Safety Value in Practice for an Effective Occupational Health and Safety Training**

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## **Abstract**

The aim of this study was to evaluate the effect of safety training and identify an explanatory model to describe interactions between knowledge, attitudes, behaviour, health outcomes and safety climate. The study involved workers (N = 124) of an Italian Higher Education Institution. All outcomes were measured prior to training and at different post-training periods. Safety training had an impact on different outcomes, but the decrement of this effect after three months suggested the opportunity to deliver a continuous training. Data highlight that correct risk perception can determine safer behaviour through mediation of positive attitudes toward safety and occupational safety climate. We contributed to identifying effective safety training information in order to provide evidence-based programmes limiting health damage.

## **Introduction**

In the workplace, our state of health is continually subject to potential damage: data regarding accidents and occupational diseases highlight only few among the factors threatening our health. In fact, WHO originally interpreted health as "a state of complete physical, mental and social well-being and not just the absence of disease or infirmity "(WHO, 1948), however in 1986 it added that "health promotion is the process of enabling people to increase control over and improve their health". Recently, a new definition of health has been proposed as "the ability to adapt and self-manage, in the face of social, physical and emotional challenges to which life inevitably exposes us" (Huber, M., Knottnerus J.A., Green, L., van der Horst, H., Jadad, A.R., Kromhout, D., Leonard, N., Lorig, K., Loureir, M.I., van der Meer, J.W.M., Schnabel, P., Smith, R., van Weel, C., Smid, H., 2011). The new definition places the individual at the centre of the process and makes the idea of well-being relative, depending on context, to personality and moods: a definition of health that becomes relative and evaluates the individual's ability to adapt.

Globally, according to estimates by the International Labour Organization (ILO, 2015), more than 313 million non-fatal work accidents occur per year (860,000 per day) and 6,400 people die from either work accidents or occupational disease (2.3 million deaths every year, largely from occupational disease). This means that every 15 seconds a worker dies from causes directly linked to work and there are about 150 workers suffer an accident at work. 4% of world GDP (i.e. 2.8 trillion dollars) is the annual cost in terms of lost workdays, production interruption, medical expenses, rehabilitation and compensation.

Given these data, it is clear that while rules and regulations are necessary, they are not sufficient in protecting health in the workplace and reducing the incidence of accidents. There

is a need for other broad-spectrum strategies (Normlex, 2006) incorporated into national prevention policies that provide effective information and training for the management of residual risks, through promotion of *self* and *hetero* protective behaviours. In fact, training helps limit accidents that are at least partially due to lack of knowledge of risks and / or inappropriate practices.

Effective training to protect health involves increasing favourable attitudes towards safe practices and a greater frequency of safe behaviour. Consequently, this affects the way in which workers carry out their activities, through the acquisition of knowledge and specific skills, useful for effectively addressing risks (Mushayi, T., Deacon, C., & Smallwood, J., 2017). It is therefore necessary to provide help to improve the design and delivery of future safety training (Prasad, R., Feng, Y., & Hardy, M., 2018). Training is not always successful, so it is necessary to identify factors influencing its effectiveness for health protection, focusing on conditions that may motivate a continuous adherence to practices as well as factors that influence the way in which training is conducted in order to improve perception of risk and implementation of safe behavior, especially in conditions of uncertainty and variability in a working context (Colligan, M. J., & Cohen, A., 2004).

Early research focused heavily on individual worker, design of work and basic protection. Over time, attention shifted to a more organized context (Hofmann, D. A., Burke, M. J., & Zohar, D., 2017). In fact, research has shown that social and organizational aspects of work context, such as safety climate / culture, have supported or inhibited performance of safety behaviours learned during training. This must be taken into account for the improvement of the quality of safety training, in order to identify best practices and provide optimal use of available resources (Sarpy, S. A., Burke, M., Rabito, F., & Hughes, J. C., 2017): we know little about methodologies used and even less about effectiveness.

Some published documents (OSHA, 2012) define appropriate training contents in order to make workers aware of potential risks in relation to the real needs and interests of recipients, so as to limit distractions during training sessions. Furthermore, pedagogical style of trainer that fosters involvement through classroom discussions is essential to motivate workers to learn (Demirkesen, S., & Arditi, D., 2015). To this end, we highlight the need for trainers and those responsible for training to be updated on the most suitable training methods and to use exercises that include activities carried out under temporal pressure (Cushion, 2018).

In order to propose a training programme based on efficacy evidence, recent relevant literature had been analysed beforehand (Ricci et al., 2016). Meta-analysis has showed that training has positive effects on specific attitudes and beliefs that workers have about protection of health in the workplace and knowledge about possible harmful effects of certain professional activities. However, there is less evidence of effectiveness of training on worker behaviour and health.

The cited results are in line, in part, with a previous meta-analysis (Robson, L.S., Stephenson, C.M., Schulte, P.A., Amick, B.C. III, Irvin, E.L., Eggerth, D.E., Chan, S., Bielecky, A.R., Wang, A.M., Heidotting, T.L., Peters, R.H., Clarke, J.A., Cullen, K., Rotunda, C.J., Grubb, P.L., 2012). Overall, literature shows that direct classroom training, usually the most widely used and studied method, is not always the most effective. This is in accordance with indications who states greater effectiveness is determined by active and engaging training methods for training recipients (Burke, M. J., Sarpy, S. A., Smith-Crowe, K., Chan-Serafin, S., Salvador, R. O., & Islam, G., 2006).

### **Purpose**

The aim of this study was to evaluate the effect of safety training and identify an explanatory model for an Italian higher education institution workforce.

It is therefore a contribution for those wishing to ensure effective training in relation to specific health protection needs, so that, based on evidence, precise interventions can be provided to meet various improvement objectives.

Outcomes of 10-hour training programme, delivered over a period of 16 weeks, were evaluated considering the causal relationship between safety training and its effects on outcomes related to knowledge (risks, risk symbols, symptoms, etc.), attitudes (e.g. towards correct use of tools and equipment), behaviour (violation of norms, correct posture, etc.), health outcomes (e.g. symptoms and perception of disability) and safety climate. This is the first study that assessed effectiveness of workplace safety training for a higher education institution workforce and it's the first in Italy that quantitatively examined the four levels of intervention.

### **Explanatory model**

The Reasoned Action Theory (Fishbein, M., & Ajzen, I., 1975) was used as an explanatory model, according to which behaviours are, above all, the result of intention to implement them. This intention arises from attitudes and beliefs an individual has about the consequences of their actions, together with a subjective evaluation of outcomes. This implies that intention to act safely is not primarily generated by a generic attitude towards safety in the workplace, but from a more specific one related to specific safe behaviours (e.g. use of PPE and evaluation of consequences). Social environment also influences individual actions by providing commonly accepted norms and motivation to adapt to the expectations of target groups.

It was also hypothesized that the construct termed "safety climate" allows for inclusion of effects of habits, addictions, acute emotional states and other unintentional behaviours in the model, as foreseen by the Planned Behaviour Theory (Ajzen, 1985). In fact, we believe that the notion of a safety climate may include aspects of subjective rules (beliefs about normative expectations of others) and perceived behavioural control (perception of difficulty in implementing a specific behaviour), proposed by Ajzen. The studied constructs were therefore:

**Knowledge:** what every worker knows about risks present in the workplace.

**Attitude:** personal assessment that determines a subjective representation of one's surrounding world (Eagly, A. H., & Chaiken, S., 1993), established, according to the tripartite model, by cognitive (positive or negative beliefs), affective (positive or negative emotions,) and behavioural components, which generate actions to approach or move away from an object. Predictive ability of an attitude with respect to implementation of safe behaviours increases if it is formulated by direct experience: its memory is more accessible and it can be expressed more accurately.

**Behaviour:** Reason (1990, 2008) distinguishes between intentional or non-intentional dangerous actions, deriving from cognitive failures or from a deliberate refusal of procedures and rules (intentional violations) by the worker.

**Health:** bio-psycho-social well-being level.

**Safety climate:** perceptions of workers on the degree of commitment that their organization shows towards their health protection. Safety climate is the real regulatory limit which sets the rules by which people and groups adjust their behaviour. According to some studies, this condition defines the most effective predictor of intention to act safely. (e.g. Quick, B. L., Stephenson, M. T., Witte, K., Vaught, C., Booth-Butterfield, S., & Patel, D., 2008).

### **Participants and training programme**

This study involved workers (N=124) of a higher education institution present throughout Italy. None of the participants had previously received specific safety training in the workplace. Only a general training course, required by Italian law, had been delivered in an e-learning format. Moreover, appropriate and specific training was provided only to employees belonging to the emergency team and to the internal staff trained in first aid. In addition, supervisors had received instructions as teachers on the contents to be delivered during on-the-job sessions foreseen by training programme of this study.

Participants characteristics: female 83%; precarious workers 19%; age (mean±sd)  $40.2 \pm 8.9$ ; schooling (mean±sd)  $15.7 \pm 2.4$ ; seniority (mean±sd)  $10.2 \pm 9.5$ .

In order to adequately carry out the programme, participants were divided into groups (except for individual on-the-job training), varying in size from 19 to 23.

All experimental conditions conformed to the ethical and deontological code of Italian psychologists

A training programme of a total of 10 hours as defined by Italian legislation "specific for workers employed in a medium risk environment" (8 hours is the minimum by law) was carried out. In agreement with company management, the programme exceeded the minimum set by the national standard by 2 hours. Contents of provided training: driving for work purposes; work-related stress; use of VDT, work environments; emergency management; first aid. For each of these six topics the following aspects were considered: type of risk, signage, safe actions, related consequences, worker obligations and penalties, individuals with specific responsibilities.

Data highlighted (Aksorn, T., & Hadikusumo, B. H., 2008) that a reduction in the percentage of accidents, unsafe behaviour and risky working conditions is positively correlated with training programs that include accident analysis (as in step 3 of our programme), workplace inspection (as carried out, by analogy, in step 1 through videos), safety incentives (see in this sense as reinforcement provided on the job during step 2.), control of contractors (a less relevant aspect in this case and not included by company decision).

STEP 1 (4h): original audio-visual material (IFOA, 2016), validated by external experts was created. A video (about 90 minutes) was produced mainly on company premises in order to encourage maximum identification of participants and generate an entertainment aspect of this educational video (Castaneda, D. E., Organista, K. C., Rodriguez, L., & Check, P., 2013). Verbal labels were also used as affective markers, facilitating attribution of meaning and use of information (Peters, E., Slovic, P., & Hibbard, J., 2004). The video highlighted wrong behaviour sequences in black and white and safe ones in colour. Subtitles were inserted to reinforce contents (Giannini, A. M., Ferlazzo, F., Sgalla, R., Cordellieri, P., Baralla, F., & Pepe, S., 2013). This material was then delivered in a classroom setting by an expert instructor who at the end of each section led a group discussion. The author of the storyboard was the main researcher. The original sequences were created by qualified experts in the field of workplace health and safety (PratiCARE, 2015).

STEP 2 (2h): an individual contextual training was adopted to analyse behaviours on the safe use of VDT. This was conducted by a person specifically trained on the contents and methods of the programme. Total duration was 2 hours composed by 15-minute weekly sessions for eight weeks.

STEP 3 (4h): an interactive classroom approach conducted by an expert instructor was used to review the contents of the previous sessions. Participants were divided into groups (4-5 participants) in order to compare problematic personal cases. Each group then prepared a specific case, chosen by consensus, to be presented in plenary. This represented an opportunity for mutual learning, given the fact that affective salience of a personally experienced event can trigger decisions regarding future behaviour (Peters et al., 2004). The case studies were used in terms of "just culture", i.e. overcoming the culture of guilt, oriented

on only identifying the culprit of an adverse event (Regulation (EU), No 376/2014). This was intended to promote processes where professionals are able to distinguish between acceptable and unacceptable behaviours

### **Methods: measures and procedures**

Measures with a guaranteed psychometric quality were made with previously validated instruments or ones specifically created for this study at T<sub>0</sub>. Every effort has been made to check for disturbance variables.

Knowledge: ad hoc scales to evaluate: correct recognition of workplace signs and graphically represented protection actions; correct answers concerning preventive roles and protection procedures; correct recognition of legislation concerning obligations and penalties for workers. Reliability (Cronbach  $\alpha$ ) = .884; Sensitivity (Ferguson  $\delta$ ) = .973; Asymmetry, Kurtosis (Shapiro-Wilks' normality test) = -.69, 1.75 (n.s.); Test – Retest correlation = .667,  $p < .01$ .

Attitudes and beliefs: self-assessment questionnaire, created ad-hoc, to investigate attitudes towards safe practices (cognitive and affective components). Reliability (Cronbach  $\alpha$ ) = .727; Sensitivity (Ferguson  $\delta$ ) = .971; Asymmetry, Kurtosis (Shapiro-Wilks' normality test) = -.16, .17 (n.s.); Test – Retest correlation = .776,  $p < .01$ .

Behaviours: behavioural observation check list, reduced version of REBA (McAtamney, L. Y. N. N., & Hignett, S., 2000).

Health outcomes: detected in relation to personal experiences of accidents, injuries, occupational diseases, near misses, self-reported unsafe behaviours (originally single item reformulated as open questions). Sensitivity (Ferguson  $\delta$ ) = .908; Asymmetry, Kurtosis (Shapiro-Wilks' normality test) = -.81, .23 ( $p < .01$ ); Test – Retest correlation = .751,  $p < .01$ .

Safety climate: a reduced version of Scandinavian questionnaire on occupational safety climate (The Nordic Council of Ministers, 2013). Reliability (Cronbach  $\alpha$ ) = .889; Sensitivity (Ferguson  $\delta$ ) = .951; Asymmetry, Kurtosis (Shapiro-Wilks' normality test) = .04, .22 (n.s.); Test – Retest correlation = .649,  $p < .01$ .

Distribution of questionnaires to participants took place on company premises in the presence of researcher to guarantee confidentiality and correct filling out. Each questionnaire was marked with an anonymous code.

Observation of finalized action sequences took place in the same workplace. The researcher, without interfering with the work activity, observed the worker and filled out REBA check list.

Taking into account the findings of Ricci (2016), all measures were taken: before training (T<sub>0</sub>), at the end of programme (T<sub>1</sub>), three months after programme (T<sub>2</sub>) and only for the outcome on knowledge, 6 months after the training session (T<sub>3</sub>).

### **Analysis and Results**

A repeated measure analysis of variance (ANOVA) and post hoc t-tests (Bonferroni correction) were carried out to evaluate training effects over time. Threshold for rejection region was set at  $\alpha = .05$  and the  $f^2$  was used as effect size indicator (Richardson, 2011). The Greenhouse-Geisser correction was applied when sphericity could not be confirmed (Mauchly's test).

Using a series of structural equations (SEM - Structural Equation Modelling - with observed variables - path analysis), it was possible to specify the relationships among the key theory constructs (structural model), evaluating the model fit. Then the variance / covariance matrix between observed variables was reproduced, allowing for an evaluation of model adequacy to

observed data, i.e. the goodness or consistency of model fit (chi –squared test of model fit). Furthermore, following indications about the most appropriate indices to describe an overall model fit (Hu, L. T., & Bentler, P. M., 1998, 1999), we relied on the Standardized Root Mean-Square Residual - SRMR (mean variance and residual covariance not explained by the model: a value <.08 is desirable), the most sensitive to indicate poor models, as well as on incremental fit indexes, evaluating model fit compared to a null model assuming no relationships among variables: the Comparative Fit Index - CFI (ranging from 0 to 1: higher values indicate a better fit) and the Tucker - Lewis Index - TLI (a TLI  $\geq 1$  points out a good model fit). Analyses were performed with SPSS 21.0 and MPLUS version 7.3.

Baseline level of safety sign recognition and protective procedure knowledge was already acceptable, but awareness of preventive roles and protection procedures, as well as correct perception of legislative constraints, were quite unsatisfactory. All measures were summed into a total score that showed significant changes over time  $F_{[2.74; 246.7]} = 141.2$ ,  $p < .001$ ;  $\eta^2_{par} = .62$ ): increasing from T<sub>0</sub> to T<sub>1</sub> ( $\eta^2_{T_1-T_0} = 9.9$ ,  $p < .01$ ) but decreasing between T<sub>1</sub> and T<sub>2</sub> ( $\eta^2_{T_2-T_1} = -5.8$ ,  $p < .01$ ) and further, though more slightly, from T<sub>2</sub> to T<sub>3</sub> ( $\eta^2_{T_3-T_2} = -1.2$ ,  $p < .05$ ), while remaining higher at T<sub>3</sub> than at baseline ( $\eta^2_{T_3-T_0} = 5.7$ ,  $p < .01$ ).

At T<sub>0</sub>, subjects showed mainly positive attitudes towards safe practices that revealed significant variations over time both for cognitive and affective dimension scores (respectively:  $F_{[2; 180]} = 48.92$ ,  $p < .001$ ;  $\eta^2_{par} = .35$ ;  $F_{[2; 180]} = 4.11$ ,  $p < .05$ ;  $\eta^2_{par} = .04$ ). Cognitive dimension did not change from T<sub>0</sub> to T<sub>1</sub> ( $\eta^2_{T_1-T_0} = .479$ ,  $p > .05$ ), but decreased significantly from T<sub>1</sub> to T<sub>2</sub> ( $\eta^2_{T_2-T_1} = 3.6$ ,  $p < .01$ ), so much that it was lower than T<sub>0</sub> in the last survey ( $\eta^2_{T_2-T_0} = 3.2$ ,  $p < .01$ ). Positive emotions increased slightly at T<sub>1</sub> ( $\eta^2_{T_1-T_0} = 1.2$ ,  $p < .05$ ) and did not vary at T<sub>2</sub> ( $\eta^2_{T_2-T_1} = .9$ ,  $p > .05$ ).

Risky behaviours changed significantly over time ( $F_{[2; 180]} = 49.78$ ,  $p < .001$ ;  $\eta^2_{par} = .36$ ), decreasing from T<sub>0</sub> to T<sub>1</sub> ( $\Delta_{T_0-T_1} = .68$ ,  $p < .01$ ) and then settling at T<sub>2</sub> ( $\Delta_{T_2-T_1} = .13$ ,  $p > .05$ ) on values significantly better than those detected at T<sub>0</sub> ( $\Delta_{T_2-T_0} = .81$ ,  $p < .01$ ).

The safety training seemed to have a significant effect on participants' attention to health and risk subjects ( $F_{[2; 180]} = 15.29$ ,  $p < .01$ ;  $\eta^2_{par} = .15$ ): self-reported injuries and / or near-misses increased significantly between T<sub>0</sub> and T<sub>1</sub> ( $\eta^2_{T_1-T_0} = 1.5$ ,  $p > .01$ ), although they returned to baseline levels at T<sub>2</sub> ( $\eta^2_{T_2-T_0} = .18$ ,  $p > .05$ ).

At T<sub>0</sub>, participants believed that management placed great importance on health protection in the workplace. This positive perception increased significantly over time ( $F_{[1.5; 135.04]} = 3.59$ ,  $p < .05$ ;  $\eta^2_{par} = .04$ ). It did not vary from T<sub>0</sub> to T<sub>1</sub> ( $\Delta_{T_1-T_0} = .22$ ,  $p > .05$ ) but it rose significantly from T<sub>0</sub> to T<sub>2</sub> ( $\Delta_{T_2-T_0} = .97$ ,  $p < .05$ ).

### Consistency of theoretical model to empirical data

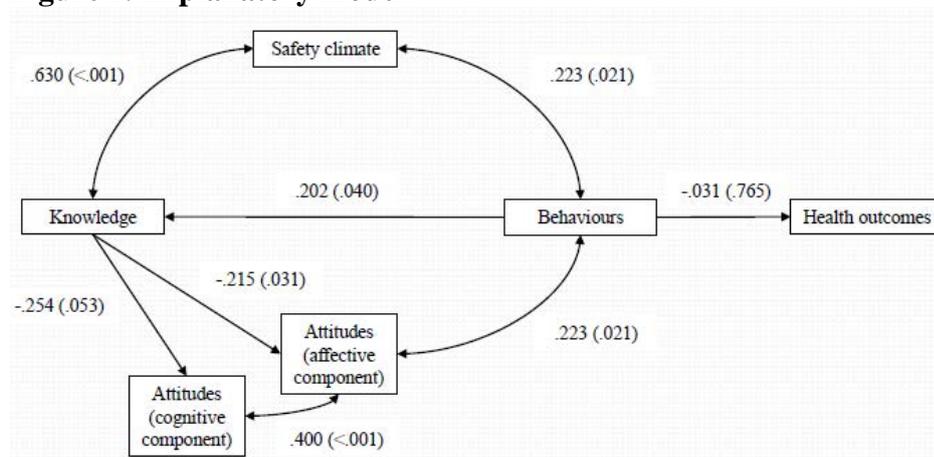
We hypothesized that safe behaviour can be predicted from relationship pattern described by the planned behaviour theory (Ajzen, 1985, Ajzen, 1991) and that this may have a relation with perception of occupational health. In this model, attitudes (cognitive component and affective component) towards a specific behaviour and perceived safety climate are the determinants of the behaviour itself as a result of previous knowledge. This means that, following an effective training, an improvement in the four learning levels indicated by Robson can be considered (2012): knowledge of adequate risk perception, attitudes towards expected behaviour, safe behaviour, health outcomes. In this model, we should also include, as explained by the Theory of Action (Hacker, 1985), an effect on knowledge, starting from behaviours learned through training.

Before fitting the model to data, we considered the number of factors we were dealing with and sample size. Given that estimation methods have asymptotic properties, SEMs require very large samples and when samples are small, estimates are likely to be inaccurate and the

fit test is not very powerful. In the absence of problems with data (e.g. missing values, non-normal distributions) a minimum sample of 200 subjects is recommended for each SEM. However, smaller samples may be sufficient, if variables are very reliable and correlated, effects are strong and the model is not too complex (Bearden, W. O., Sharma, S., & Teel, J. E., 1982; Bollen, 1990). Our final choice was to test a model formed by only observed variables set up using summed scores or single-item measure for each construct (Bagozzi, R. P., & Heatherton, T. F., 1994; Baumgartner, H., & Homburg, C., 1996). This approach allowed us to represent the essential elements of the conceptual model, even if, in most situations, it underestimated relationships between variables. Relationships between the six parameters included in the final model were then tested through SEMs.

The most fitting model (Figure 1) was not significantly different from the theoretical model (test of model fit:  $\chi^2_3 = 3.46$ ,  $p = .629$ ) and showed satisfying fitting indexes (SRMR < .035, CFI = 1.0; TLI = 1.06). The structural model can therefore be defined as adapted to the reproduced data and appropriate to empirical findings.

**Figure 1. Explanatory model**



Model showed that the increase in knowledge was correlated (significance threshold) to a decrease in the false sense of security which leads to risks (overconfidence) and to emotions leading to greater caution ( $p = .03$ ). These factors, i.e. beliefs and emotions, corresponding to cognitive and affective dimensions composing attitudes, were coherently strongly interrelated ( $p < .001$ ). In fact, an increase in knowledge, resulting in a better perception of risk, produces an effect on behaviour through cognitive and emotional basis of attitudes. Therefore, it seems that knowledge contributes to questioning the system of beliefs and emotions which, before training, had led to feelings of excessive confident about the degree of health protection.

The emotional basis turns out to be a psychosocial mediator between knowledge and behaviour, in a relationship of mutual correlation ( $p = .02$ ). It can predict worker behaviour and is, in turn, influenced by it. Similarly, a recent study aimed at evaluating effective interventions to improve knowledge and safety perceptions in adolescents indicated that knowledge determines indirect effects on behavioural intention through attitude and self-efficacy (Guerin, 2017).

Moreover, work behaviour affects possessed knowledge. Knowledge is acquired on the basis of what has been done, or on one's own direct experience. We could say that people actively learn in the environment in which they are placed and that learning is facilitated by action, compared to passive observation alone (Frese, M., & Zapf, D., 1994). Therefore, it can be assumed that no training action directly modifies behaviour, but, at most, creates conditions and removes obstacles so that expected behaviours are adopted.

This model is therefore composed of a lower part which identifies with intra-individual mechanisms that are determinant in behaviour and a superior one which involves social mechanisms external to the individual, the so-called social conditioning that influence behaviour. Indeed, in the superior part of this model a very strong reciprocal interrelation ( $p < .001$ ) emerges between improvement of knowledge for a correct perception of risk and safety climate created by the fact that individuals adapt their behaviour as a result of social pressure exerted within their workgroup. Receiving adequate training for real workplace risks leads workers to believe there is genuine attention to their health. This, in turn, stimulates them to acquire more specific knowledge. Finally, safety climate correlates with safe behaviour ( $p = .02$ ). The belief that there is an increased attention in their social environment towards better health protection motivates workers to produce safe behaviours in a virtuous circle. Also in this case, knowledge does not directly determine behaviour, but acts through a psychosocial mediator. The idea that certain behaviours are socially rewarded leads workers to implement those behaviours deemed expected. The mere fact of acting in this way only reinforces the belief that these behaviours are socially accepted. Lastly, the hypothesis according to which training can result in favourable outcomes for the health of workers was not confirmed.

### **Discussion**

Training influenced all the studied results (knowledge, attitudes, behaviour, health outcomes, safety climate), with a decrease in the effect of training after three months, except for observed behaviours and safety climate (effect was weak, but did not decline over time). Implemented behaviours and safety climate are related factors (Zohar, 1980): the effect of training on concrete changes in behaviour is conditioned by those factors that make up the safety climate.

Knowledge and skills acquired through training, as well as the correct perception of risk, are necessary, but not sufficient as predictors of safe performance (Beus, J. M., McCord, M. A., & Zohar, D., 2016), given that everyday behaviour is influenced by informal rules and social conditioning (e.g., Asch, 1956). In fact, the motivational determinant, which in our model includes attitudes and safety climate, represents the decisive factor for implementation of safe behaviour.

We believe that safety training effectiveness is partly due to the real value that the company attributes to it, like in this Higher Education Institution. In order to evaluate the decrease of effect on training, future research should examine this aspect in more detail through extended post-training surveys.

We have helped to clarify that the effects of safety training can become permanent only by providing programmes on a continuous basis and underlining their real usefulness, instead of just merely fulfilling regulatory obligations. It means to adopt adequate training methods for teaching, linked to training needs, goals, contents, participants and work context characteristics.

We have also provided valid measures and methodological indications to assess the effectiveness of training. So, this training method could be promoted in different economic sectors.

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## CHAPTER 7: Novel perspectives on organizational value research: developing concepts, scales and measures

### The Value Circle Based on the Items of an “Unknown” Scale

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#### Abstract

Two scales for the measurement of personal values, the PVQ of Schwartz et al. (2001) and the IRVS of Hermann (2003), are compared. The PVQ is popular in psychological and cross-cultural research, the internationally unknown IRVS scale is often used in German sociology and criminology. Both scales are built on different theories (individual need theory and dimensions of societal value change, resp.) using different statistical methodologies (MDS and FA, resp.). On the basis of a representative German sample on crime prevention, it is shown that analyzing PVQ and IRVS data with PVQ methodology leads to robust model solutions that support the value circle theory. Conversely, using the methodology that is standard for IRVS data (oblique factor analysis) largely confirms the dimensional predictions for PVQ data but leads to unstable solutions for IRVS data.

#### Introduction

Various scales exist for measuring personal values. The most popular ones in psychological research are the SVS (Schwartz Value Survey) and the PVQ (Portrait Values Questionnaire), both developed, in various versions each, by Schwartz and his collaborators (Schwartz, Sagiv, & Boehnke, 2000; Schwartz, Melech, Lehmann, Burgess, Harris, & Owens, 2001) to measure “universals” in values, i.e. values that are similar in content and structure across different cultures and countries. In terms of content, the SVS and the PVQ focus on the same personal values, but the scales differ radically in their items. SVS items ask the respondents to assess a value (e.g., “PLEASURE (gratification of desires)”) *as a guiding principle in their life* on a scale from 0 (“not important”) to 7 (“of extreme importance”), with an (odd but rarely used) additional score of -1 (“opposed to my values”). In contrast, the more recent PVQ consists of items that briefly describe a particular person in terms of his/her goals, aspirations, and desires. Each such “portrait” reflects a particular personal value such as power or hedonism. Participants are asked to compare themselves with the portrayed person, using a 6-point response scale from “very much like me”, “somewhat like me” etc. to “not like me at all” (for the PVQ items and their coding, see Schwartz, 2003).

Despite the formatting differences, the SVS and the PVQ lead to highly similar results (Schmidt, Bamberg, Davidov, Herrmann, & Schwartz, 2007): (1) There are ten “basic” values. (2) Their inter-correlations can be represented as distances among points on a circle

using multi-dimensional scaling (MDS). (3) On this circle, the value points are ordered as PO=power, AC=achievement, HE=hedonism, ST=stimulation, SD=self-direction, UN=universalism, BE=benevolence, TR=tradition, CO=conformity, SE=security, PO=power. (4) The circle can be cut into four parts, forming the “higher-order values” *SeH= self-enhancement* (PO, AC) opposed to *SeT= self-transcendence* (BE, UN) and *OpC= openness to change* (HE, ST, SD) opposed to *CoN= conservation* (TR, CO, SE), as predicted by (Schwartz, 1992).

The SVS and the PVQ have both been used successfully in hundreds of studies, but the PVQ is recommended by Schwartz (2003) as today’s scale of choice, primarily because its items are more concrete and less cognitively complex than the SVS items. This makes the PVQ suitable for use with all sub-sets of the population, including persons with little or no formal schooling. The PVQ also does not offer the odd “-1” response scale category as an admissible answer.

The SVS and the PVQ both rest on the same theoretical foundation, a set of arguments on how individuals cope with the challenges and demands of their biological needs and social environments (Schwartz & Bilsky, 1987).

Other scales for the measurement of personal values exist too, in particular lexicographic scales such as the Estonian Value Survey (Aavik & Allik, 2002) or the Austrian Value Questionnaire (Renner, 2003). They also lead to comparable statistical structures (Borg, Dobewall & Aavik, 2016) but bring out, by design, more culture-specific than universal values. None of these scales has been applied much in value research.

This is clearly different for the IRVS (Individual Reflexive Value Scale; Hermann, 2003, 2014), which has been used frequently in German criminology and sociology. The IRVS is closely related to studies on societal value change. In this context, Klages and Herbert (1983) proposed the „Speyerer Wertinventar“, an inductively developed collection of items focusing on “goal categories of shaping one’s life“. This inventory was originally meant to widen Inglehart’s (1977) “narrow value space” (Pöge, 2017) of material and post-material values by adding political, historical, individual-hedonistic and other goal categories in order to increase the predictive power of value measurements. This led to time- and context-related values from other life domains such as “sexual freedom”, “performance-related pay”, “equal rights for women“, or “government capable of acting“, but also to “universal” values in the sense of Schwartz (1992) such as striving for power or adhering to traditions.

The items of the IRVS were formulated in a traditional rating format, similar to the SVS, and using an introduction essentially as follows (Hermann, 2014): “People have certain ideas that govern their life and their thinking. We are interested in your ideas. Please consider what you are really after in your life: Then, how important are the things and life orientations that we have listed here? Please take a look at the various issues and mark on a scale from 1 to 7 how important they are for you. “Seven” means that it is very important, and “one” means that it is completely unimportant. With the values in between, you can grade the importance of the issues.”

In a series of studies, all based on factor analysis, the Speyerer Wertinventar was developed further, leading to items with clear loadings on two orthogonal dimensions: “kon values” (duty, acceptance, security) and “non-kon values” (self-actualization, social/unsalaried engagement). They served to distinguish four value types: “Value specialists” (e.g., “order-loving conventionalists” with high kon and low non-kon priorities), but also “value generalists” such as, in particular, the “active realists” (Franz & Herbert, 1986). Active realists combine striving for diligence and law and order with an equally high esteem for participation and self-determination – a combination of values that according to Roßteutscher (2004, p. 204) “contradicts the basic assumption of value theory in general”. However, in a dimensional model, all combinations of factor levels are possible and they are also observed

empirically by simply classifying respondents on the basis of their mean scores on the dimensions.

In later studies, Klages and Gensicke (2006) expanded the system of value dimensions to three (slightly oblique) dimensions (SC: security & convention, CE: creativity & engagement, HM: hedonism & materialism). However, it is not quite clear on which set of items – there are numerous versions of Klages’ value inventory – these dimensions are based. In any case, the reported three dimensions are similar to a three-cluster version of Schwartz’s four higher-order value types, where the higher-order values of the openness-to-change type are absorbed into Klages’ CE (i.e., SD) and into Schwartz’s self-enhancement (i.e., ST and HE), resp.

Obviously, when comparing the Schwartz value circle model and its basic and higher-order values with the various values identified by Klages and his coworkers, one notices *similar or even identical terms* such as “hedonism”, “security” or “self-actualization”. However, the structure among the values implied by the two models is quite different. In the value circle, the values have a particular structure of closeness and oppositions whereas in Klages’ model, the different values are simply a collection of independent dimensions. The value circle implies that if an individual strives relatively strongly for, say, stimulation, then he or she should also emphasize hedonism but put less emphasis on tradition. Thus, the various values are inter-connected in certain *trade-off* relations.

The co-existence of two scales, the PVQ and the IVRS, that are both frequently used in different fields of social science research, leads to a number of questions. Quite generally, one can ask for the cross-validity of these scales: Do the PVQ and the IRVS scales support Schwartz’s value circle model or Klages’ value dimensions model? That is, one can ask whether the IRVS, if viewed through the methodological lens that is standard for the Schwartz scales (2-dimensional ordinal MDS), supports the value circle model (with a particular order of the points representing basic and higher-order values). Conversely, if one uses the methodology associated with the IRVS (oblique 3-dimensional factor analysis) on PVQ data, will this support the value typology proposed by Klages and his coworkers? Moreover, when combining both scales, do we arrive at a deeper understanding of how individuals generate their value judgments? And do these analyses suggest improvements on how to measure personal values? Are there particular values that are missing in either scale, and, if so, how would they fit into the structure of the given values? These questions will be studied in the following.

## Method

*Sample.* A random sample of 9.998 persons, representative of all persons aged 14 and over, resident in private households in the city of Mannheim (register), was drawn in November 2016. The survey was sent out by mail. 3.272 persons returned filled-out questionnaires (36% returns). The gender and age demographics of the participants closely match the population statistics (Hermann, 2017).

*Instruments.* The survey was designed to collect data useful for crime prevention. The substantive items covered the respondents’ experiences, opinions, and attitudes with respect to different forms of delinquency. In addition, personal values were measured by the PVQ21 (see Schwartz, 2003, for the 21 items of the PVQ) and Hermann’s 2014 version of the IRVS. 34 items were culled from the 37 IRV items (dropping 3 items because they could not be clearly coded): 1=Respecting law and order, 2=Having a high standard of living, 3=Having power and influence, 4=Using one’s own ideas and creativity, 5=Striving for security, 6=Helping socially disadvantaged groups, 7=Asserting one’s needs and prevailing over others, 8=Working hard and being ambitious, 9=Respecting opinions that you don’t agree

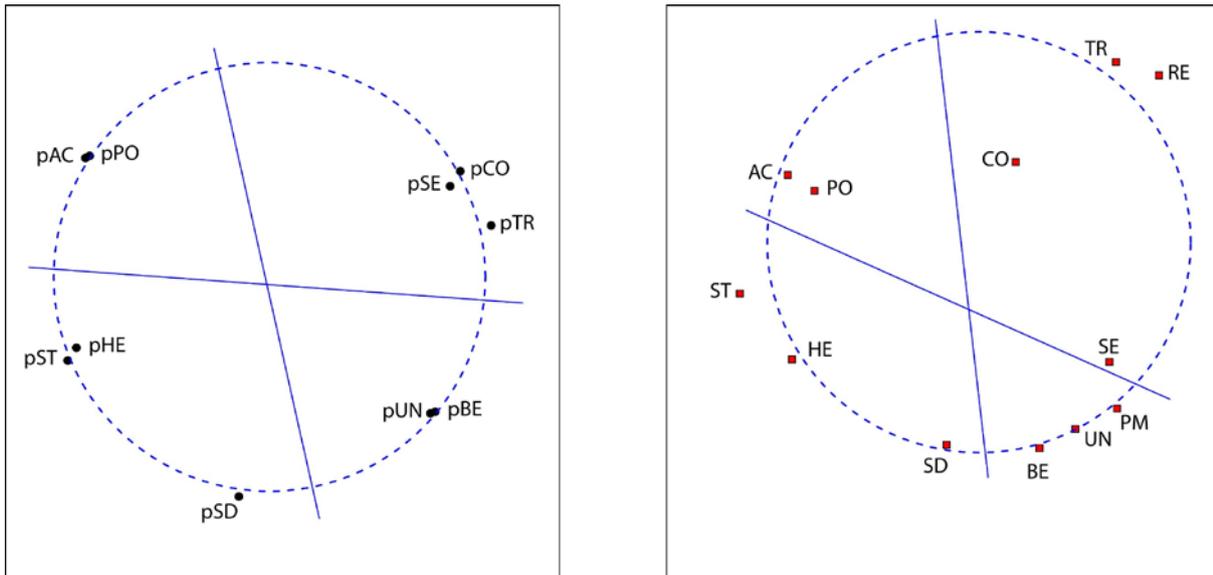
with, 10=Engaging oneself in politics (dropped), 11=Enjoying the good things in life, 12=Living and acting on one's own responsibility, 13=Doing what others do, 14=Adhering to traditions, 15=Having a good family life, 16=Being proud of German history, 17=Having a partner one can rely on, 18=Having good friends who respect and accept you, 19=Having a lot of contact with other people, 20=Living health-consciously, 21=Being guided by emotions when making decisions (dropped), 22=Being independent of others (dropped), 23=Behaving environmentally conscious, 24=Religion and religious faith, 25=Having a clear conscience, 26=Living according to Christian norms and values, 27=Living so that others are not harmed, 28=Living an exciting life, 29=Living an easy and comfortable life, 30=Having a life full of enjoyment, 31=Having inner peace and harmony, 32=Being hard and tough, 33=Striving for quick success, 34=Being clever and more cunning than others, 35=Showing moral courage, 36=Respecting others, 37=Tolerance.

These 34 items can be coded in terms of Schwartz's Theory of Universals in Values into ten "basic values" (see Bilsky & Hermann, 2016), plus two extra value types, "peace of mind" and "religion", added by Borg, Hermann and Bilsky (2017). The items can also be coded according to Hermann (2014) into nine "sub-scales" such as HO = Hedonistic orientation, KK = Conservative conformism, or NL = Norm-oriented achievement ethics. These categories correspond to factors found in various relatively exhaustive factor analyses.

*Data Analysis.* The standard data analysis method used by Klages and his coworkers is factor analysis. Their final typology rests on three slightly oblique factors. Thus, we here analyze both the PVQ and the IVRS data using oblique factor analysis of the inter-correlations of the observed ratings, expecting that both scales replicate the basic factors of the Speyerer Wertinventar. The standard method used by Schwartz and his coworkers is (ordinal, 2-dimensional) MDS. What is not always clear is whether absolute or centered ratings are used as data. On the one hand, it is argued that "what really interests us is the relative importance of the ten values to a person, the person's value priorities". However, „for multidimensional scaling, ... use the absolute scores for the 21 items or 10 value means", because "the exact linear dependence among items, created by centering, is problematic" (ESS Edu Net, 2013, p. 4). Borg & Bardi (2016) have shown, however, that for MDS, centering or not centering does not make much difference for mostly positive inter-correlations (see also Borg, Hermann, & Bilsky, 2017, demonstrating this explicitly for IRVS data). We thus use centered rating values as data, without much further ado. To study the value structure within individuals, we use unfolding on the PVQ and the IRVS value indexes after adjusting the 6- and 7-point response scales to equal length and orientation. Technically, we run ratio-scale unfolding to avoid degenerate solutions and because it is the most testable model, mapping the data directly into distances in the unfolding model, without any transformations (Borg, Groenen, & Mair, 2018). We also use centered ratings in Unfolding as data rather than the absolute (observed) ratings to eliminate the first principal component that only represents the persons' mean ratings rather than the structure of the variables.

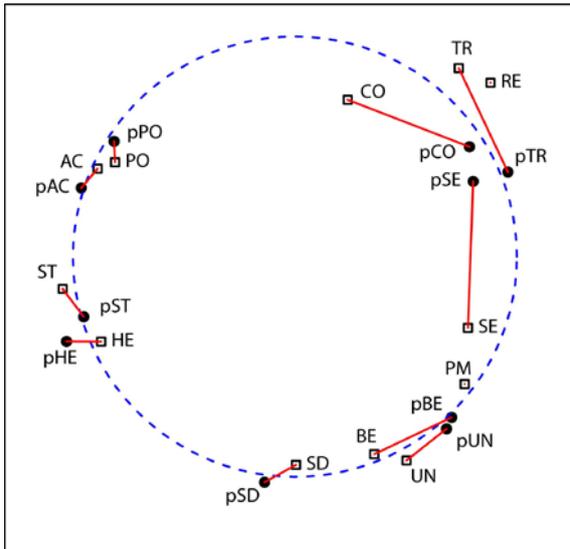
## Results

The PVQ item inter-correlations range from -.20 to .55, with a mean of .15; 90% of the correlations are positive. Hence, persons who rate some value *X* highly also tend to rate other values highly, and vice versa. For the IRVS items, the correlations range from -.15 to .81, with a mean of .19, and 90% positive. This implies a strong first principal component in both cases, as expected.

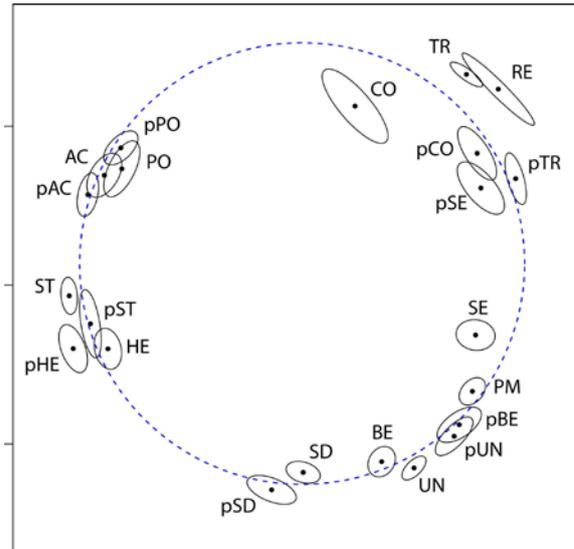


**Figure 1.** MDS representations of ten basic values based on PVQ items (left panel) and 12 basic values based on IRVS items (right panel); circles optimally fitted to configurations; straight lines partition the configurations into opposite “higher-order” value groups self-enhancement vs. self-transcendence and openness to change vs. conformity, respectively.

Factor analyses of the PVQ items with three components lead to solutions that clearly replicate Klages’ final 3-factor theory (Klages & Gensicke, 2006), with factors SK: security & convention, CE: creativity & engagement, and HM: hedonism & materialism. The factors are slightly non-orthogonal (with a maximal correlation of .17 using oblimin rotation). However, the usual criteria for the number of factors (eigenvalue > 1, Catell’s scree test, and parallel analysis; see Hayton, Allen, & Scarpello, 2004) all indicate that the solution space should be 4- or even 5-dimensional. When running the factor analysis again with four dimensions, the HM factor falls apart, with the hedonism items forming their own factor. The four factors are characterized by items with loadings of .50 or higher as follows: F1 = {2, 4, 13, 15, 17}; F2 = {5, 7, 14, 16, 20}; F3 = {3, 8, 12, 19}; and F4 = {6, 10, 11, 21}. (Numbers denote items in the listing under “Instruments” above.) This corresponds to Schwartz’s higher-order values self-enhancement, conservation, self-transcendence, and openness-to-change.



**Figure 2.** Joint MDS configuration of 12 IRVS values and 10 PVQ index values (labeled with “p” tags); based on inter-correlations of indexes; line segments connect corresponding points.



**Figure 3.** Joint representation of Figure 4, with 95% confidence regions for each of the 22 personal values.

Factor analyses of the IRVS items lead to similar but structurally less robust results. Again, all number-of-dimension rules clearly suggest an at least 4- to 5-dimensional solution space. One reason is that items on religion (items 24 and 26) form a factor of their own in any factor solution that is based on all items. When dropping these items from the item set, a 4-dimensional solution roughly replicates the Schwartz higher-order values. However, one rather comprehensive factor emerges with loadings of at least .50 for values such as “partner”, “family life”, “friends”, “security”, “good conscience”, and “peace and harmony”. Moreover, the Klages factor “hedonism and materialism” partially emerges once more in the solutions, with its hedonistic focus on “stimulation” but not on “enjoy life”. One can drop items from the IRVS set of items, and/or run the factor analyses with more factors. This eventually leads to the nine “sub-scales” used by Hermann (2014) to code the items.

We now turn to the methodology used in the PVQ context. The various items of the scale are first used to construct indexes for the various values by averaging the scores of the items that belong to the same content category. These indexes are then correlated and subjected to MDS. Figure 1 shows the MDS solutions for the 10x10 and the 12x12 inter-correlation matrices of these value indexes, resp., after eliminating meaningless (i.e., not data-based) differences by Procrustean methods (Borg & Groenen, 2005). Both solutions are obviously quite similar, with the various value indexes positioned similarly along circles optimally fitted to each configuration of points. Both solutions also have an almost equally good and significant fit to the data: The Stress values are excellent (.029 and .058, resp.) and significant ( $p=0.00$  in permutation tests; see Mair, Borg, & Rusch., 2016) in each case. The solutions also replicate previous findings, and, most importantly, they are theory-compatible, supporting the predictions of the Theory of Universals in Values (Schwartz, 1992). One notes, though, that the PVQ values are somewhat more clustered (in terms of the higher-order values) than the IRVS-based values. Both configurations can be perfectly partitioned into the two opposite groups of higher-order values, self-transcendence vs. self-enhancement and openness to change vs. conformity, respectively, as theoretically predicted. However, the value security (SE) is clearly closer to the self-transcendence items BE and UN in case of the

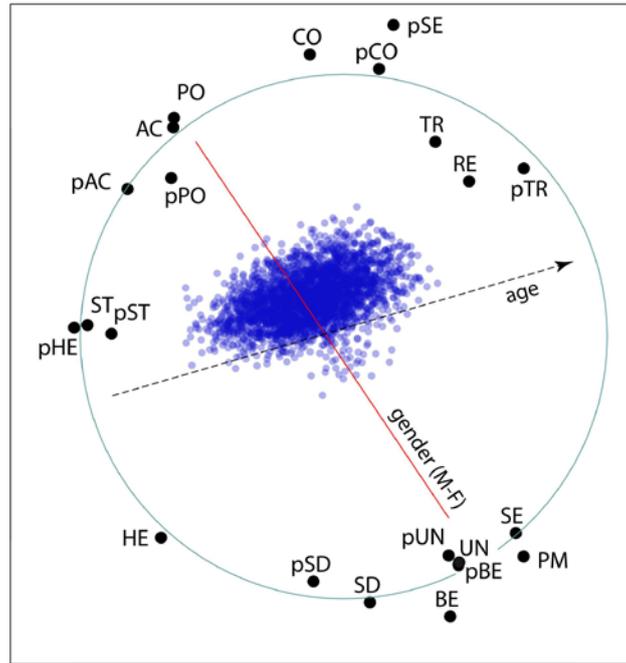


Figure 4. Unfolding solution of IRVS and PVQ values; person points are unlabeled (shaded circles); dashed arrow represents age (older to the right, i.e. towards TR and RE); solid line is discriminant for gender (females lie more towards BE and UN); points with labels such as pTR denote value indexes based on PVQ data.

IRVS, while for the PVQ data it is close to PO and AC. This reflects that the security items focus on different aspects of security in the different scales.

When scaling the inter-correlations of all ten PVQ and twelve IRVS index values together in one single MDS analysis, one obtains Figure 2. Its fit is excellent (Stress=.09) and significant ( $p=0.00$  in a permutation test). It also replicates previous findings (Schwartz, 1992; Borg, Hermann, & Bilsky, 2017), and it supports the value circle theory of Schwartz (1992).

Figure 3 shows 95% confidence regions for the various points in the MDS solution: All confidence regions are quite small. Hence, the configuration can also be considered statistically robust (Borg et al., 2018). Drilling deeper into the fit criteria, one finds, however, that religion (RE) is somewhat of an outlier, contributing by far the most to overall Stress.

The ten pairs of points with equivalent TUV codes are connected by line segments in Figure 2. This makes clear that substantively equivalent points are close in MDS space. Only CO, TR, and SE show larger discrepancies. This reflects that the respective items focus on different issues *within* these value domains. Overall, the configuration with its 22 points is almost perfectly circular. Note that we did *not* enforce circular constraints onto the MDS solution as in spherical MDS. Rather, the structure is “in the data” and simply surfaces in exploratory MDS.

Figure 4 shows the (metric) unfolding solution for the combined PVQ and IRVS data (Stress=.17;  $p=0.00$ ). It makes clear that above results also hold *within* individuals, not just for correlations across individuals. In Figure 4, each of the unlabeled points in the circle’s center represents one of the respondents. The distances from each person point to the value

points (points with labels TR, pTR, etc.) correspond closely to the observed rating scores. That is, the closer a person point is to a value point, the more this person strives for this value.

The two inserted lines in Figure 4 are the discriminant of gender (females are more at the bottom of the plot; individuals are significantly separated by gender on this line (*t*-test)) and the line that optimally represents the age distribution of the sample (dashed line, running roughly horizontally, with older persons more towards the right of the plot; fitted age scale correlates with .50 with the external age variable). The two inserted lines correspond to what has been found before with respect to gender (Schwartz & Rubel 2005; Borg, Hertel, & Hermann, 2017).

## Discussion

The results show that the IRVS and the PVQ data can both be represented well in the value circle model. The Stress is small and significant for both types of data, and the MDS configurations are robust, highly similar, and exhibit the theoretically expected circular arrangement of value points.

Unfolding shows that the value circle also holds within individuals. The fit of the model is excellent, the Stress is small and significant, and the value configuration again satisfies the value circle predictions. Moreover, the person points are distributed in space in a way that replicates studies on age and values, and gender and values.

What is different for the IRVS-based and the PVQ-based results is the somewhat different location of the security values. This finding can be explained by the different items that measure security. The IRVS items ask about the importance of health as a value, and about security in general as a goal, while the PVQ items focus on security provided by the state. One can argue that the respondents in this particular German sample understand the notion of striving for security largely in the sense of striving for material security (job security, income, risk avoidance). This would explain the close neighborhood of security and peace of mind. On the other hand, it is remarkable that the IRVS notion of security is only shifted on the value circle towards the self-transcendence values and away from self-enhancement, but it is not moved to a different value region.

A value that is harder to integrate into the value circle is religion. It exhibits by far the highest relative contribution to the overall Stress of the MDS and the Unfolding solution. In factor analyses, the items on religion always form a unique factor. This cannot be explained by the relatively low mean ratings for religion, by the number of missing values, or by the left-skewed distributions of the religion items, because other values (e.g., “Doing what others do as well” or “Being clever and more cunning than others”) are even more extreme in their (small) means, number of missing values, and left-skewedness. Rather, it seems that religion is simply an issue that is partly unique, and that does not relate systematically to the standard basic values for many persons. Across all respondents, however, religion fits well into the structure of the value circle because it sits in a neighborhood that makes sense in terms of content in Figures 2 and 4.

Peace of mind, on the other hand, is completely contained in the 2-dimensional value circle structure. It seems to be a value that complements the structure of universal values in a

meaningful way. This shows, once more, that the theory of universals in values (TUV) represents a value framework that is open for additions. Borg et al. (2016) report other cases of culture-specific values that complement the TUV values and the value circle.

When analyzing the IVRS and the PVQ data by using the factor analysis approach, the results replicate the predictions of three value dimensions of the Klages value typology for the PVQ data, but not so clearly for the IVRS data. Yet, three dimensions are not sufficient by all standard criteria for the number of factors. On the other hand, adding more dimensions does not explain much additional variance, but the factors become clearer. However, in the end, factor analysis seems to simply identify the basic values as factors. The circular structure of these values is lost in any case. This means that the Klages value typology rests on somewhat arbitrary criteria. On the other hand, the value type of “active realists” – whose “discovery” plays an important role in this research domain – does not even require this typology, because individuals who rate all values relatively highly (relative to the respective sample means) are not incompatible with the value circle model. Yet, they do not form discrete classes but simply the extremes of a continuous multi-variate distribution.

Numerous versions of the Speyerer Werteinventar exist, and the IRVS set of items is just one example. When analyzing these item batteries by factor analysis, one does not arrive at particularly robust structural insights (Pöge, 2017). Moreover, when we used somewhat different item subsets of our IRVS data, we always ended up with an additional factor, religion. In the MDS analyses, the religion items can at least be adequately embedded into the value circle in a substantively meaningful position. The peace-of-mind items fit perfectly into the value circle, giving additional meaning to the neighborhood of BE, UN, and SD values. In other words: The value circle *easily admits additional items to its structure*, both formally and substantively, whereas additional values simply lead to additional factors in factor analysis.

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## Norm Acceptance - a Unidimensional Moderator of Delinquent Behavior?

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### Abstract

Norm acceptance (NoA) has been used as a unidimensional moderator in research on the values-delinquency relationship. We here define NoA as a multifaceted attitudinal construct, and test three hypotheses: The defining facets are systematically reflected in the structure of the respondents' ratings of the "badness" of delinquent behaviors; basic values and NoA-indicators based on these facets show the correlational pattern predicted by the Theory of Universals in Values (TUV); basic values explain different amounts of variance in these indicators. Using data from studies on crime prevention, we tested these hypotheses by applying Multidimensional Scaling and hierarchical Regression Analysis. Results corroborate our hypotheses, suggesting that indicators derived from a multifaceted definition of norm acceptance are more informative than a global score.

### Introduction

There has been a growing interest in clarifying the relationship between *personal values* and *delinquency* in recent years. Values were mostly assessed with questionnaires commonly used in socio-scientific survey research, and delinquency by means of self-reports comprising both petty and serious offenses (e.g., Boers, Reinecke, Seddig & Mariotti, 2010; Dölling, Hermann, Laue & Weninger, 2014; Hermann, 2003, 2004; Pöge, 2017). In these studies, *norm acceptance* played repeatedly a cardinal role as a moderator of the values-delinquency relation (e.g., Hermann, 2003; Seddig, 2016).

Norm acceptance (NoA) is a well-established term in penal law (cf., Jacobs, 1991), characterizing the willingness to show law-abiding behavior. It has been operationalized for research purposes by means of behavioral items describing a broad spectrum of norm-violations like fare-evasion, drug-consumption, bag snatching, bribery, or assault. The task of interviewees is then to evaluate each of them on a scale from "not at all bad" to "very bad". Despite the diversity of these items, answers have usually been aggregated in one general NoA-indicator (cf., Hermann, 2003; Bilsky & Hermann, 2016). This practice is backed by factor analyses, which yielded one prominent factor of norm acceptance (Hermann, 2003).

However, individual perceptions and expectations, social bonds and roles, together with temporary and contextual conditions are likely to influence the appraisal of norms, and, thus, their perceived validity and liability. Legal norms, for instance, may still be applicable and binding although outdated and questioned by single persons, individual groups, the general public or even by legal authorities. Thus, devaluating or ignoring a particular norm while accepting others may seem more or less legitimate (e.g., Bilsky & Wetzels, 1994; Bottoms & Tankebe, 2012), depending on its scope, its perceived importance, and on whose interests it putatively serves - or impairs. A prominent example is the legalization of cannabis.

**Facetizing Norm Acceptance.** In view of these reservations, treating norm acceptance as a homogeneous concept by sticking to only *one general NoA-indicator* when researching the values-delinquency relationship looks problematic. Conceiving norm acceptance as a *multifaceted attitudinal construct* instead may be more adequate. Whether and to what extent this assumption holds is in the focus of the present study.

Drawing on related research on lay-theories of crime and delinquency (e.g., Bilsky & Wetzels, 1994; Bilsky, 2003; Brocke, Göldenitz, Holling & Bilsky, 2004), pertinent comments of criminal law experts, and common operationalizations, we suggest *facets* that seem suitable for specifying norm acceptance beyond its general meaning. We integrate them in one tentative *mapping sentence* that defines norm acceptance as an *attitude toward norm violation*:

Person (x) assesses behavior that affects a {concrete, abstract} *victim* by causing *damage* to {property, health, health + property} and the *seriousness* of which is legally categorized as a {petty, serious} offence → as {1=not at all, ..., 7=very} “*bad*”

This mapping sentence serves as our *structural hypothesis* for analyzing representative data from studies on crime prevention that focus on the interrelation of norm acceptance with values and delinquency (Hermann, 2003). That is, we claim that different forms of delinquent behavior cannot only be categorized conceptually in terms of the above facets, but we predict that these categories are also useful in discriminating respondents’ observed ratings on the badness of these behaviors into sub-sets corresponding to the conceptual categories.

Given that this hypothesis is confirmed, we derive *a set of NoA-indicators*, each of them focusing on either the affected victim, the type of damage, or the seriousness of the offence. Former studies with only one comprehensive NoA-indicator (Bilsky & Hermann, 2016; Borg, Hermann & Bilsky, 2017) yielded a *sinusoidal pattern of correlations* between this indicator and basic values operationalized in accordance with the Theory of Universals in the Content and Structure of Values (TUV). This pattern results from the *circular structure of values*, which reflects the mutual motivational conflicts and compatibilities among them (Schwartz, 1992; Schwartz & Bilsky, 1987). Consequently, we expect that correlations between basic values and specific NoA-indicators show a similar pattern.

However, because of the greater homogeneity of norm-violating behaviors subsumed under a specific NoA-indicator, such indicators are supposed to differ from each other with respect to their relation to values. In the following, we concentrate on the *victim facet*, which distinguishes between concrete (i.e., individual person or group, company) and abstract (i.e., generalized other, community) victims. This distinction seems of particular interest because *concrete* victims are closer to the everyday experience of laypersons. Consequently, *norm violations* affecting this type of victims are supposed to be more salient and perceived more differentiated than those concerning abstract victims. Hence, we expect that attitudes toward norm violations (i.e., norm acceptance) affecting concrete victims can be better predicted by means of values.

## Method

**Data and Sample.** The present analyses are mainly based on data from representative samples collected in Freiburg and Heidelberg in 1998 in the context of a study on community crime prevention (N=2930). Participants’ age varied between 14 and 70 years (mean: 39 years; 44% female; cf. Hermann, 2003). To validate our structural findings, we cross-checked them with results from four other studies on crime prevention conducted in Heidelberg 2009 and 2017 and in Mannheim 2012 and 2016.

**Instruments and Scores.** Information on norm acceptance and values was collected in a survey in written form. *Norm acceptance* was assessed with an instrument already employed in former studies on values and delinquency (Hermann, 2003; see Table 1). Subsequent to our structural analyses (below), specific NoA-scores were computed by averaging those items that proved to be adequate indicators of the respective facet. *Values* were assessed with Hermann’s Individual Reflexive Value Scale (IRVS; Hermann, 2003). IRVS items were re-coded according to TUV and combined into ten basic value scores. These scores were centred person by person and used throughout the following analyses. They represent the values Universalism (UN), Benevolence (BE), Tradition (TR), Conformity (CO), Security (SE), Power (PO), Achievement (AC), Hedonism (HE), Stimulation (ST), and Self-Direction (SD). These, in turn, can be subsumed under four higher-order values: Self-Transcendence (UN, BE), Conservation (TR, CO, SE), Self-Enhancement (PO, AC), and Openness to Change (HE, ST, SD; cf., Bilsky and Hermann, 2016; Borg, Hermann & Bilsky, 2017).

**Table 1 Norm Acceptance Scale: Instruction and Items (Hermann, 2003)**

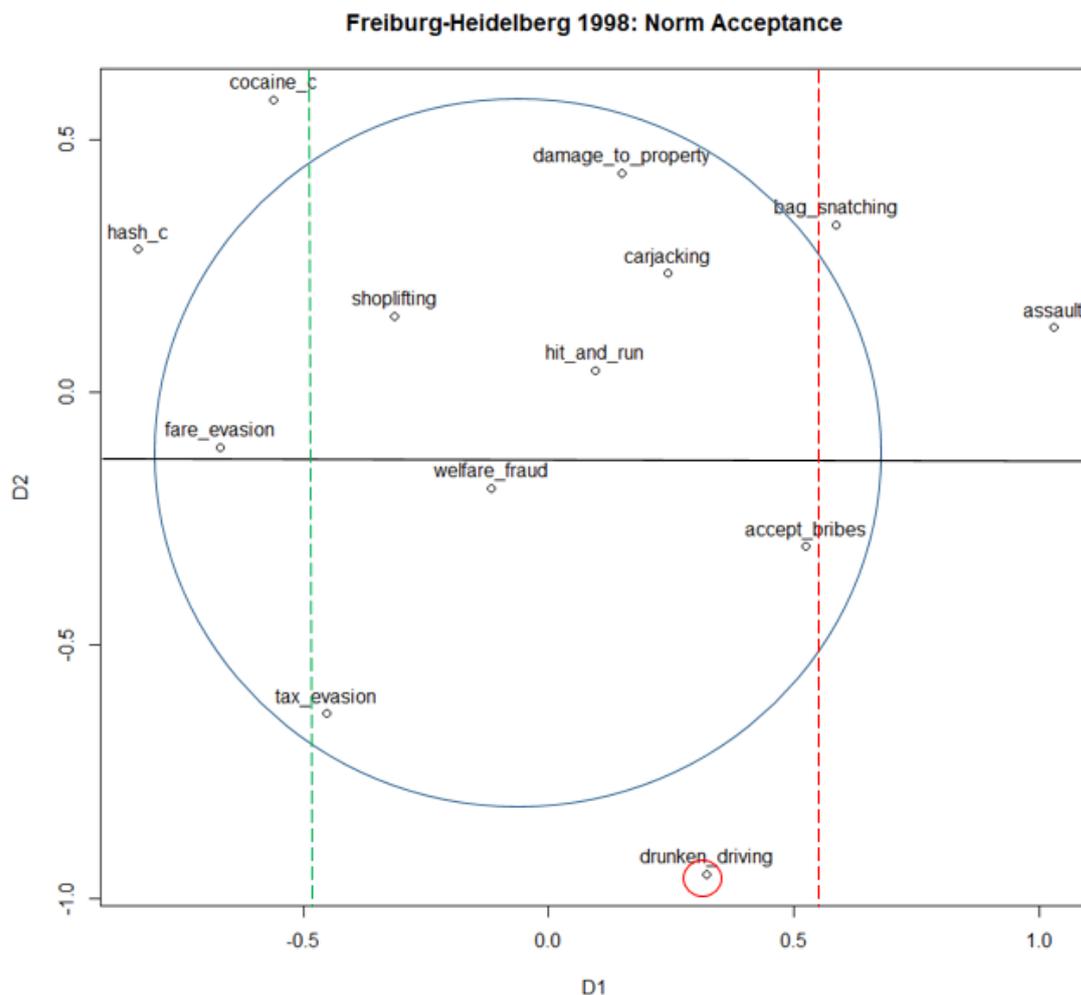
<p><b>Norm Acceptance Scale</b>  <b>Instruction: “There can be different views on different behaviours. Please state whether the following behaviours are, in your opinion, bad or not.”</b>  <i>Items are rated on a seven-point scale from “not at all bad” (1) to “very bad” (7)</i></p>
1 Travelling without prepayment
2 To take goods worth approx. 50 Euro from a warehouse without payment
3 To drive with more alcohol than allowed
4 To snatch the handbag of another person
5 To take cocaine
6 To take hashish
7 To beat s.o. without being in an emergency situation
8 To hit the windows of a call booth
9 To evade tax if possible
10 To make demands on sick pay, unemployment benefit or other social payments without being allowed to do so
11 To open a car that you don’t own and make a joyride with it
12 To accept a bribe
13 Not reporting a damage made to a parking car

**Hypotheses.** First, we hypothesize that the three facets of norm acceptance specified in our mapping sentence can be distinguished empirically when analyzing self-report data from representative samples (structural hypothesis). Second, we hypothesize to find a sinusoidal pattern of correlations between the basic values distinguished by TUV and specific NoA-indicators based on the above facets (correlational hypothesis). Third, and more specifically, we expect that basic values explain more variance of a NoA-indicator that refers to norm violations affecting concrete as opposed to abstract victims (differential hypothesis).

**Data Analyses.** Our first hypothesis on the structure of norm acceptance is tested by means of ordinal multidimensional scaling (MDS; see Borg & Groenen, 2005; Borg, Groenen & Mair, 2018). Facets specified in our mapping sentence are expected to surface as non-overlapping and exhaustive regions in two-dimensional space. The second hypothesis, concerning the sinusoidal pattern of correlations between specific NoA-indicators and values, is tested by means of zero-order correlations and by partial correlations, controlling for age and gender. Finally, the third hypothesis is tested by means of hierarchical regression analysis, in which the respective NoA-indicator serves as criterion and the basic values as predictor variables. These latter variables are inserted in two steps, always starting with conservation values (TR, CO, SE) which yielded the highest positive correlations with norm acceptance in past research (Bilsky & Hermann, 2016; Hermann, 2003). On a second step, values belonging to one of the remaining three higher-order values were added to check whether and to what extent they explain additional variance in the criterion. All computations were accomplished using R-Packages.

## Results

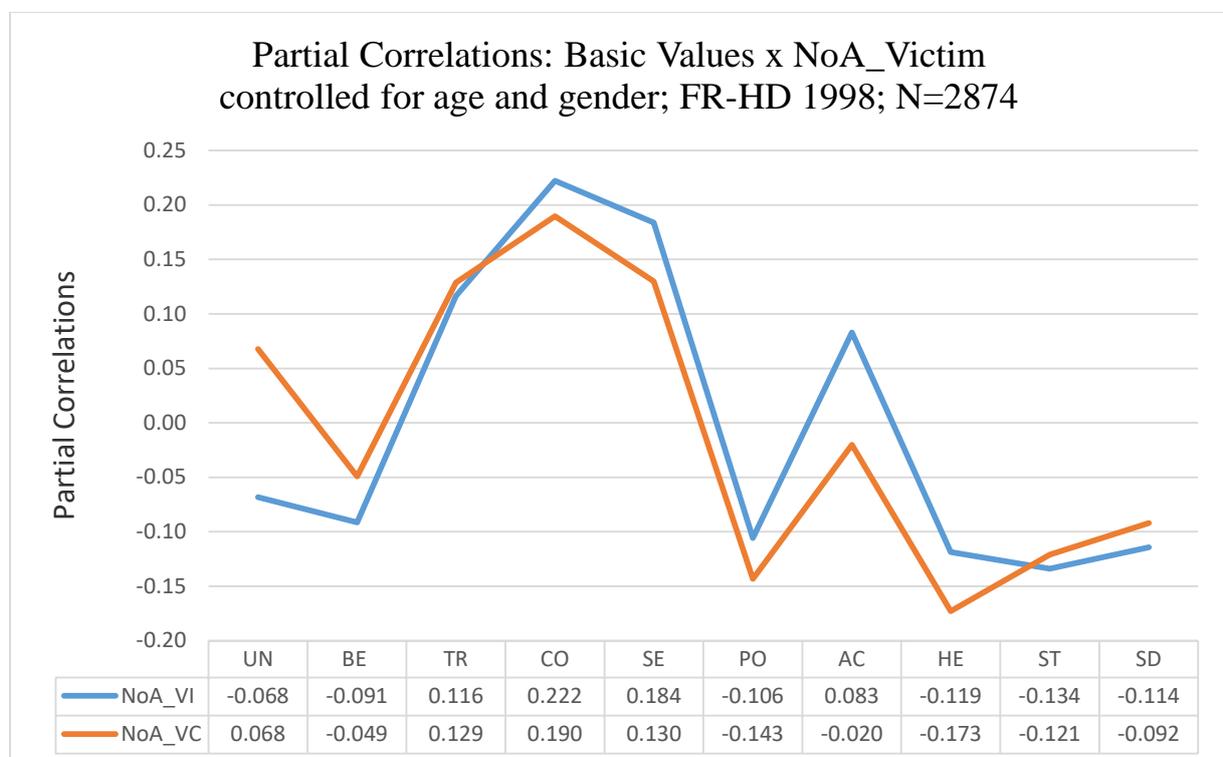
**Facets of Norm Acceptance.** A two-dimensional ordinal MDS of the inter-correlations among the NoA-items (stress-1=0.113; permutation test:  $p < 0.001$ ) from the crime prevention study in Freiburg and Heidelberg (N=2930; Hermann, 2003) yielded the structure shown in Figure 1.



**Figure 1. Two-dimensional ordinal MDS of NoA-Items, partitioning the plane by three facets: victims (horizontal line), damage (circular line), and seriousness (vertical lines)**

As to be seen, the three facets *victim*, *damage* and *severity* specified in our mapping sentence can be clearly distinguished in MDS representation of the inter-correlations of the 13 items. Thus, the horizontal line separates items focusing on concrete (above) victims from those asking about abstract victims (below). The circular line partitions items on property-related damage (inside) from those on health related damage (outside). The vertical lines, finally, separate offences with respect to their seriousness, with petty offence on the left and more serious offences towards the right side of the MDS-plot. The horizontal order of seriousness is also evident from a one-dimensional ordinal MDS of NoA-items (stress-1= 0.35; permutation test:  $p < 0.001$ ). Comparable structures were found in four subsequent studies on crime prevention in Heidelberg (2009, 2017) and in Mannheim (2012, 2016). Only “drunken driving” could not be localized unequivocally within this structure.

**Correlational Pattern of NoA-Indicators and Values.** Based on the two-dimensional MDS, specific NoA-indicators were constructed, representing the *victim*, *damage*, and the *seriousness* facet, respectively. Zero-order and partial correlations between these indicators and the 10 basic values operationalized according to TUV yielded in each case the expected patterns. Figure 2 shows the correlational pattern for those NoA-indicators that relate to type of victim: NoA-VI comprises shoplifting, damage to property, carjacking, and hit-and-run. NoA-VC includes tax-evasion, welfare-fraud, and accepting bribes; according to Goossen, Sevä and Larsson (2016), these norm-violations are typical forms of white-collar crime. Both indicators are limited to behaviors that cause damage to property and go beyond petty offence.



Note: VI=concrete victim (individual person, group, company); VC=abstract victim (general other, community)

UN=Universalism, BE=Benevolence, TR=Tradition, CO=Conformity, SE=Security, PO=Power, AC=Achievement, HE=Hedonism, ST=Stimulation, SD=Self-Direction

**Figure 2 Sinusoidal relation between norm acceptance relating to victims of crime and the 10 basic values according to TUV**

For example, the persons' degree of striving for conformity (CO) correlates with the persons' norm acceptance with about .20 in general; if the norm focusses on behavior that negatively affects a concrete victim (e.g., a particular individual), the correlation is somewhat higher (about .22) than in case where damage is done to an abstract victim (.18). The values on the X-axis in Figure 2 are ordered as predicted by the TUV. This entails that the functions are not truly sinusoidal, as predicted. However, when swapping power and achievement, the functions become sinusoidal. Such swappings of neighboring values on the value circle relative to the predominant order of the values on this circle could be observed repeatedly in value research (see Bilsky, Gollan, Roccas et al., 2015). However, as long as the values belong to the same higher-order-value, such deviations are of minor importance.

**Predicting Norm Acceptance.** Table 2 summarizes the results of three hierarchical regression analyses with conservation values entered on the first step and values indicative of one other higher-order value on the second step. These latter variables contributed significantly to predicting norm acceptance. However, the absolute increase in explained variance ( $R^2$  change) was only marginal. As regards our differential hypothesis, values explained consistently more variance in the NoA-indicator relating to concrete as opposed to abstract victims. These findings could be replicated with data from three out of four representative samples from Heidelberg (2009, 2017) and Mannheim (2016).

**Table 2 Hierarchical regressions, using norm acceptance as criterion and basic values as predictors**

Hierarchical linear Regression	Model	R squared	
		Freiburg-Heidelberg 1998 (N=2694)	
		NoA_VC community/abstract items: d9,d10,d12	NoA_VI individual/concrete items: d2,d8,d11,d13
step 1	lm (NoA_x ~ TR+CO+SE)	0.1012	0.1601
step 2	lm (NoA_x ~ TR+CO+SE + UN+BE)	<b>0.1174</b>	<b>0.1668</b>
	change	0.0162 ***	0.0067 ***
step 1	lm (NoA_x ~ TR+CO+SE)	0.1012	0.1601
step 2	lm (NoA_x ~ TR+CO+SE + PO+AC)	<b>0.1061</b>	<b>0.1706</b>
	change	0.0049 ***	0.0105 ***
step 1	lm (NoA_x ~ TR+CO+SE)	0.1012	0.1601
step 2	lm (NoA_x ~ TR+CO+SE + HE+ST+SD)	<b>0.1090</b>	<b>0.1632</b>
	change	0.0078 ***	0.0031 *

## Summary and Discussion

The present study is based on massive data from five crime prevention studies, which analysed the values-delinquency relationship, using norm acceptance as a unidimensional moderator of this relation. Due to the criminological context of these studies, the facets chosen for differentiating the prevailing concept of norm acceptance relate to penal law and to lay-theories of crime.

Overall, our analyses have shown that it is possible to differentiate norm acceptance, as predicted by our structural hypothesis. Thus, the three facets *victim*, *damage*, and *seriousness of offence* could be identified in two-dimensional space when submitting the correlations among norm acceptance items to ordinal MDS. These findings were cross-validated with data from four subsequent studies on crime prevention. Only one item - drunken driving - could not be unequivocally localized across analyses. This item stood out in the MDS for a very high stress per point, and in a two-factorial PCA because of its relatively low commonality. This may indicate that participants were doubtful about how to interpret this particular item - possibly, because drunken driving does not necessarily result in a damage but is more likely interpreted as a latent threat to the health and property of others.

In accordance with our second hypothesis, the indices derived from the above facets of norm acceptance correlated systematically with basic values. The observed deviations from the predicted sinusoidal pattern do not challenge this hypothesis. This holds since empirical studies on the circular value structure derived from TUV have shown, that power and achievement occasionally change places but remain neighbors. Keeping this in mind, together with the fact that both values are indicators of the same higher-order value “self-enhancement”, the present results corroborate our correlational hypothesis.

Finally, our differential hypothesis was backed by our data, too. It claims that, using basic values for predicting norm acceptance, the explained variance in the criterion will depend on the facets considered for deriving the respective NoA-indicator. This could be demonstrated paradigmatically for indicators building on the distinction of concrete (individual person or group, company) and abstract (generalized other, community) victims. In this case, values explained more variance when the respective indicator related to concrete victims. Presuming that norm violations affecting a concrete victim are more salient and perceived more differentiated, attitudes towards these violations (i.e., norm acceptance) are likely to be evaluated against the background of one’s own values - and to be better predictable, therefore. This is, of course, still a tentative interpretation, which needs additional evidence. Thus, finding a convincing explanation for the observed differences remains a pending task.

Our findings suggest that indicators derived from a multifaceted definition of norm acceptance can be more informative than a global score. Yet, such indicators do not cure the problems of aggregation. Depending on the issue under study, it may be necessary to narrow down the focus of concern, even by using single item indicators. Subsuming, for example, the consumption of cocaine (item 5) and hashish (item 6) in one joint indicator “drug abuse” would obscure existing differences in tolerating the consumption of these drugs.

With respect to future research, some further considerations intrude. Thus, several NoA-items relate to norm violations that may entail very different consequences, depending on the contextual factors, which would need being considered, and on the respective penalty range. Since such information is not evident from these items, rating the „badness“ of the respective

norm violation remains unavoidably vague. Future research should include such information in order to facilitate more sophisticated evaluations (see Brocke et al., 2004).

Taking another perspective in analyzing the values-delinquency relationship than a primarily criminological one would suggest a different approach for investigating the role of norm acceptance - and different facets. Focusing on the overlap of the legality and perceived legitimacy of norm breaking behavior, for instance in the context of drug consumption, or on the (a)morality of the perpetrators' behavior that serves their goals at the expense of others, are just two examples. In any case, disentangling the many facets of norm acceptance should help to further resolve the complex relation between values und delinquent behavior.

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# Using Job Facets to Structure Work Values: Developing a Model that Holds Across and Within Individuals

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## Abstract

A new mapping sentence for personal values, including negative values and moral virtues, is presented. Then, focusing on work values, we discuss two facets (modality of work outcome and performance relatedness) that have been proposed to explain their structure. It is argued that these facets are rather unreliable for classifying work values. In interviews, people also use different mental file drawers when talking about their jobs, namely categories called “job facets” in job satisfaction research such as supervisor, pay, and advancement. Using a sample of 471 employees who rated the 21 work values of the MWVM, we show that the item inter-correlations reflect these job facets as sectors of a circumplex that approximates a circle in MDS space. The principal components of the items can be represented as vectors in the same space. Finally, we present a model that shows that the work value circle also holds within, and not just across, almost all individuals.

## Introduction

Scientific progress is often hampered by poor definitions of the constructs of interest. One typical problem is that hypotheses or empirical findings become part of the definition. An example is Rokeach's (1973) definition of personal values as “enduring beliefs”. This definition automatically prevents studies of value change: Values that change are not values—by definition! Adding “relatively enduring” does not fix this problem, but simply introduces fuzziness. Another example is requiring that values “transcend specific situations” (Schwartz & Bilsky, 1987). This makes it impossible that values become relevant only in highly specific situations. An additional and fundamental problem is that nominal definitions of values *always* contain notions of “desirable end states” or “goals”. We therefore propose a mapping sentence definition of values *in terms of value items* rather than a nominal definition (based on Borg & Shye, 1995; Guttman, 1982). A mapping sentence expresses the structure of an empirical observation of the type “Domain:={Subject × Stimulus} → Range:=Response”. For personal values, we propose: “An item belongs to the universe of value items if and only if it satisfies the following blueprint: *Social unit*:={Person *p*; person *x*; group *G*} in *context*:={unspecified; *c*} when confronted by *method*:={observation; interview; questionnaire; experiment} with *object*:={situation *s*; behavior *b*} in *life area*:={general; work; health; family; education; economy; leisure; social; other} responds by expressing in *modality*:={cognitive} the *importance*:={low ... high} of the object's *existence*:={does exist; does not exist} for *purpose*:={unspecified; instrumental *i*; terminal *t*} of *social reference group*:={person *p*; person *x*; group *G*; company *C*; other}.” For example, person *p* when answering a questionnaire (in a typically unspecified context) rates the object “earning a lot of money” as “10=very important” for him- or herself (for an unspecified purpose, presumably for his/her general well-being) on a rating scale from 0=“not important” to 10=“very important”. For work values, “life area” is set to “work”, and the “object” facet is interpreted as “work outcome”, with elements such as recognition, money, security,

advancement, etc. Note also that our mapping sentence restricts value items to cognitive assessments. This reflects the common notion that values are “beliefs”.

Value items, so defined, are not attitude items. The reason is not because attitudes are “less stable” or “more specific” than values, but because values are assessed differently than attitudes, i.e. in terms of their *believed importance* for some purpose, and not in terms of how *negative or positive one feels* about some object. Hence, one may conclude, for example, that “having a lot of power” is important for one’s well-being, but one may not feel positive about it. The stability or the specificity of values or attitudes is, in any case, an empirical issue. In sum, the above mapping sentence<sup>2</sup> allows more precision in the analysis of individuals’ (with certain characteristics such as gender and age) values related to work.

Regarding work values, various authors have formulated a “modality of outcome” facet that can be used to explain their structure. Five examples of this modality facet are Herzberg et al.’s (1958) notion of hygiene and motivator goals; Alderfer’s (1972) existence, relatedness, and growth needs; Elizur’s (1984) cognitive, affective, and instrumental work values; Maslow’s five categories of basic motives (Kaasa, 2011); or the distinction of extrinsic and intrinsic needs (Amabile et al., 1994). When classifying work value items on these facets, one finds that they correspond to the same “circumplex” of work value items in a multidimensional scaling (MDS) space. Hence, apart from the wording and the number of categories, these facets are structurally equivalent (Borg, 1990). Yet, classifying work value items by the modality facet is not easy and often unreliable. Is “recognition”, for example, an affective or a cognitive or an instrumental work outcome? It seems to have something of everything.

Levy & Guttman (1981) proposed a second facet for work values. It distinguishes values that are dependent on the individual’s performance; those that depend on the individual’s group performance; and those that are not dependent on performance. Examples are pay hikes for individual performance, bonus allocations for group performance, and salary levels that depend on time in the job, respectively. Elizur (1984), Borg (1986), and Elizur et al. (1991) simplified this “relation to performance” facet into reward vs. resource values. Although this facet also works to structure work value items, it is not very reliable either when classifying work value items by different raters and even in re-ratings by the same raters.

When interviewing people about their jobs, one finds that employees do not talk about their jobs in terms of categories such as Alderfer’s (1972) needs, for example. Rather, they typically use a set of more concrete mental file drawers such as “work itself”, “co-workers”, “pay and benefits”, “rewards”, “advancement”, “security”, or “supervision” (Borg & Mastrangelo, 2008). Research on job satisfaction also uncovered such “natural” categories and supported their replicability in hundreds of studies, called “job dimensions” or “job facets” in this context (Spector, 1997; Fields, 2002). There is no universal list of job facets, but different lists of job facets are similar and usually small. The popular and extensively researched JDI (Smith, Kendall, & Hulin, 1985), for example, identifies five facets of job satisfaction: Work itself, supervision, coworkers, pay, and promotion. In contrast, research on general values has led to a list of “basic” values that are deemed exhaustive and also universal (Schwartz, 1992). These values are markers on a *continuous* circular scale with a

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<sup>2</sup> Note that this definitional framework does not make use of the notion “desirable” in the domain of the items. It therefore easily admits counter-ideal or negative values (Aavik & Allik, 2006; van Quaquebeke et al., 2014). It also captures organizational values and moral virtues (Stavrova et al., 2013; van Oudenhoven et al., 2015) as special cases of values if one sets the reference group facet to “Company X” or to “Country Y”, for example.

typical *order* of values and two *opposite* groups of “higher-order” values as opposite arcs of the circle: Openness to change vs. conservation, and self-transcendence vs. self-enhancement (Schwartz, 1992), also called risk vs. rules and relations vs. results, respectively (Borg et al., 2011).

Job facets are typically identified by means of factor analysis (FA). However, FA cannot detect non-linear patterns. Thus, value researchers typically use multidimensional scaling (MDS). We here predict that the structure of work values corresponds to the circle of general personal values (Borg et al., 2017b; Borg et al., 2016). One requirement for the value circle model is that the center of the value circumplex be “empty”. This center typically exhibits items that are not specific, not unique, highly similar to each other, “grey” or “washed out” (Elizur et al., 1994; Guttman & Levy, 1991). With work value items, values with such a blurry focus are, however, hard to conceive, and we know of no work value items that were constructed with that property in mind.

We then ask whether the value circle also holds *within* individuals and not just for correlations *across* individuals. Borg et al. (2017a) proposed that the observed person-by-item ratings can all be mapped *directly* into a geometric model. No correlations across individuals are needed. Rather, in their *unfolding model*, persons and values are both represented by points located in space such that the distances among person points and value points optimally correspond to the observed ratings (Borg & Groenen, 2005; Borg et al., 2018). Given an unfolding solution, we also consider the validity of the model by asking whether persons with different demographics can be discriminated in the model space. Schwartz & Rubel (2005) found that the strongest value difference between men and women in over 100 samples from around the world is that men tend to value power more than women, and women tend to value benevolence more than men. We therefore expect that men are closer to power work values, and women closer to benevolence work values. Another interesting person facet is age. Recent research on general values has shown that persons move towards conservation values and away from openness to change and closer to self-transcendence and away from self-enhancement when they get older (Borg et al., 2017c).

The ratings were collected using the “Munster Work Value Measure” (MWVM) questionnaire, a German-language instrument that integrates various approaches from work motivation research, but also on general personal values. The (translated) items of the MWVM are fully reproduced in Krumm et al. (2013a) and exhibited in abbreviated form in Table 1. Note that this instrument contains a special set of items focusing on the value of sustainable work outcomes, on things that last and that can be passed on to the next generation.

Each MWVM item begins with a definition of the work outcome, followed by the question “How important is [outcome X] to you?”. Participants were asked to respond by positioning a slider on a graphical scale ranging from “not important at all” to “very important”. The position of the slider was transferred into data points ranging from 1 (not important at all) to 100 (very important). Two sample items are: “**Enjoyment**: To experience fun and enjoyment at work. How important in enjoyment to you at work?” and “**Variety**: To work on new and different tasks. How important is variety to you at work?”. These items satisfy the mapping sentence for work values above, with the outcome (e.g., “enjoyment”, “variety”) as the object, the purpose left unspecified, the social reference group given as “to you” (i.e., the respondent him- or herself), life area specified as “at work”, and the range formulated as an importance rating scale. All work value ratings were c

## Method

### *Sample*

The data come from 471 participants recruited from an existing database and via Internet advertisements where a chance to win 30 Euros was offered as an incentive. Age ranged from 20 to 66 years, with a mean of 44 years. 70% were full-time employees, 27% worked part-time.

### *Data Analysis*

An FA (PCA) with varimax rotation was run on the work value items. This is the standard methodology in job satisfaction research, generating a set of dimensions that are often called “job facets” in this context. In the current analysis, this set is taken as the conceptual background for assessing the results of data analyses that are more common in research using facet theory methodology.

Inter-item correlations were used to check the overall structure of the 21 MWVM work value items in 2-dimensional MDS space. The fit of the MDS solution is measured by the Stress coefficient, tested for statistical significance with permutation tests (Mair et al., 2016). The FA factors were optimally embedded into this MDS space using regression methods with the MDS coordinates as predictors of the FA loadings. Expressed geometrically, we drew a directed line through the centroid of the MDS configuration and rotated it such that the projections of the item points onto the line correlate maximally with the loadings of the items on a particular factor (Borg et al., 2018).

The MDS configuration is interpreted by partitioning it as much as possible by the content facets of the items represented in this space (Mair et al., 2016). In particular, we tested the performance of Elizur’s (1984) modality and performance-dependency facet, but also a category system of “job facets” based on research on job satisfaction.

Unfolding was used to study the (centered) ratings directly, representing every person and every work value in a common MDS space. We used metric unfolding to avoid degenerate solutions (Borg & Groenen, 2005) and to make our model very testable, because this model takes the data most seriously, mapping them *as they are* into the distances of the model.

## Results

**Table 1. The items of the MWVM and their factors in a PCA.**

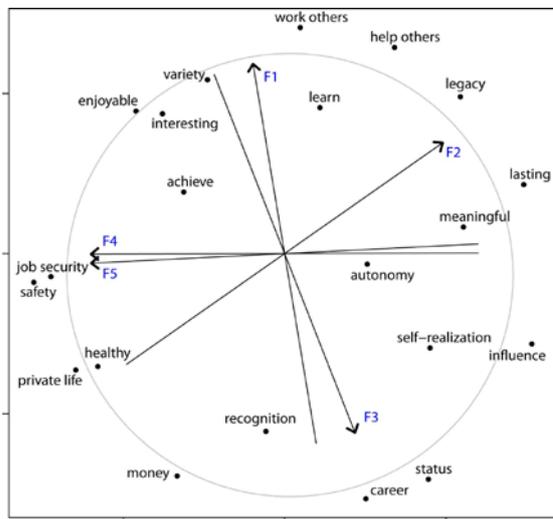
Work value	Label	Factor Loadings					h2
		F1	F2	F3	F4	F5	
Work output that lasts	lasting	.16	<b>.63</b>	.20	.23	-.11	.53
Have time/energy for private life	private life	.12	.00	.15	.23	<b>.72</b>	.61
Make much money	money	.11	-.14	<b>.60</b>	.33	.34	.62
Pass on know-how	legacy	.24	<b>.70</b>	.04	.12	.15	.59
Having high status	status	.03	.30	<b>.78</b>	-.01	.02	.70
Healthy working conditions	healthy	.02	.21	.10	.31	<b>.61</b>	.52
Help other people	help others	.22	<b>.70</b>	-.12	.27	.18	.66
Interesting work	interesting	<b>.75</b>	.09	.06	.19	.17	.63
Promoting career	career	.15	.00	<b>.71</b>	.04	.01	.54
Autonomy at work	autonomy	<b>.58</b>	.13	.22	.03	-.16	.43
Meaningful work	meaningful	.47	.47	.29	.23	-.06	.58
Influence on others	influence	.04	<b>.62</b>	.40	-.18	.11	.59
Achievement	achieve	<b>.55</b>	.24	.12	<b>.50</b>	-.01	.62
Can learn	learn	<b>.57</b>	.33	.10	.18	-.07	.48
Self-realization at work	self-realization	.49	.25	.41	-.04	.05	.47
Safe job	safety	.18	.11	.11	.79	.32	.79
Work with others	work w. others	.34	.47	-.01	-.04	.44	.53

The varimax-rotated principal components of the 21 work values of the MWVM are shown in Table 1. A scree test and parallel analysis both show that more factors are not needed. The factors are easy to interpret. F1 collects the items that measure how much a person “enjoys” her work, together with the usual indicators of what makes a person’s work enjoyable such as “interesting”, “variety”, “can learn” etc. F2 assesses a job’s sustainable impact on other people (generativity, being able to pass on know-how, help others, etc.). F3 is on status and career; F4 is safety and achievement. F5 may be interpreted as a work-life balance dimension with healthy working conditions and having enough time and energy for leisure times.

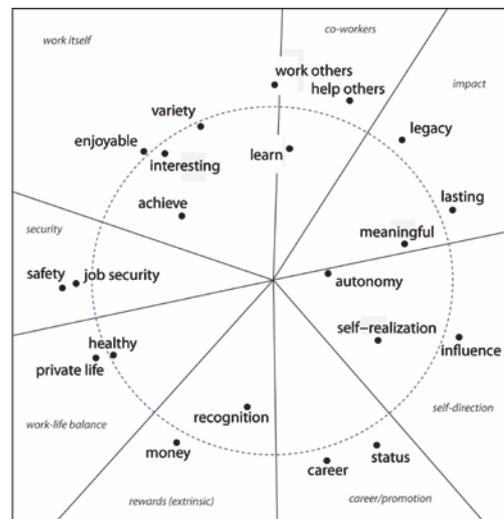
An (interval) MDS analysis of the inter-correlations of the 21 items is more revealing, because it is not as rigid as FA, allowing the data to speak more for themselves (Figure 1). As in all similar studies reported in the literature (see, e.g., Borg, 1990), the 2-dimensional solution is sufficiently precise. Its Stress is .255, indicating good and “significant” model fit ( $p=0.00$  in permutation tests).

The Stress contributions of the different value items range from about 7% (“job security/stability”, “helping other people”) to 2% (“enjoy”, “money”). Hence, no value item can be diagnosed as an outlier that definitely does not fit into this model.

The FA-factors can be embedded into this MDS space as directed lines. The projections of



**Figure 1.** MDS configuration of the inter-correlations of 21 work value items, with five factors from PCA (see Table 1) embedded and shown as arrows; circle optimally fitted to value points.



**Figure 2.** MDS as in Figure 1; regions (“circumplex”) distinguish eight different “job facets”.

the value points onto these lines correlate with the factors F1 to F5 in Table 1 with .58, .84, .92, .65, and .67, respectively. We note that the FA-factors form three groups of vectors in MDS space: (1) F1 and F3 (with the opposite direction), hinting at a psychological opposition (“you can’t have both”) of higher-order values of the category “material rewards” vs. those belonging to an “enjoyable and interesting job”; (2) F4 and F5 “security/stability” vs. “self-actualization/meaning”; and (3) F2 as a singleton that captures the notion of sustainable outcomes, an issue not addressed in older work value instruments (Krumm et al., 2013a, b).

The MDS configuration can be understood as a value circumplex, as predicted and as found also in Krumm et al. (2013a). It is easy to partition this configuration into regional wedges that correspond closely to job facets (Figure 2). The traditional modality facet, in contrast, does not work that well, i.e. it does not allow one to identify wedge-like regions. If, for example, one codes our MWVM value items as much as possible as the work value items reported by Elizur (1984, p. 384f.) into instrumental, cognitive, and affective values, a rough partitioning of the space is possible, but only in an *axial* way with partitioning lines running diagonally downwards from the left-hand side to the right-hand side, not a circumplex.

Unfolding the data in 2-dimensional MDS space leads to Figure 3. Its Stress is .192, which indicates an excellent and significant ( $p=0.00$  in permutation tests) fit for a metric unfolding model. Breaking down the global Stress to values and persons shows that few individuals

may be considered misfits. (Mis-fitting individuals rate, for example, two values positioned next to each other in Unfolding space – such as money and recognition – quite differently.) Overall, the unfolding space shows the assumed circle structure of values. In comparison to the MDS solution, the various “job facets” remain distributed along the value circle in the same order even though they are less evenly distributed.

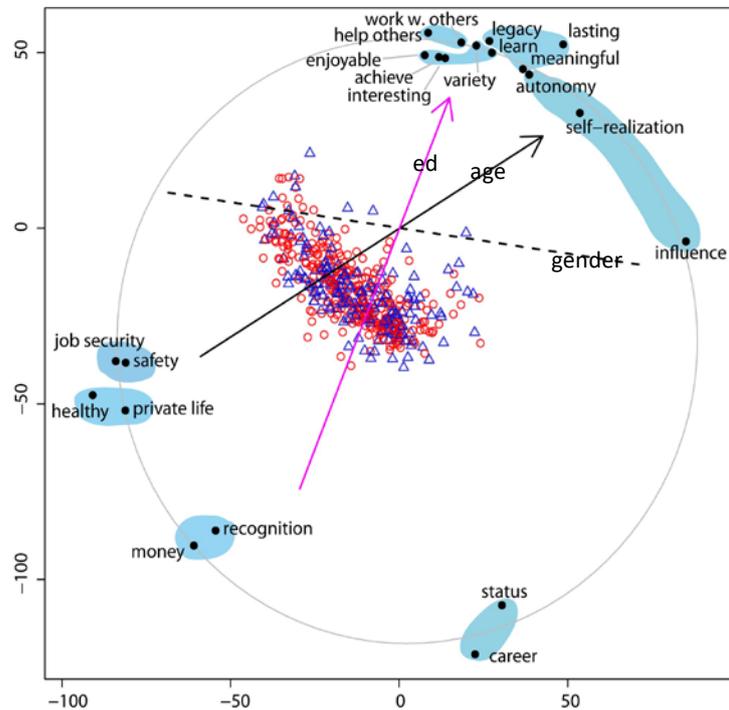
The person points are shown as triangles (females) and as circles (men) in Figure 4. The dashed line running almost horizontally shows the discriminant for gender. On this line, the two gender groups can be significantly discriminated, although the means are not very different. The two directed lines (arrows) represent age (the more vertical arrow) and education level of the respondents. They are correlated with the individuals’ age with .231, and with education level with .230. This shows, for example, that older as compared to younger employees tend to be closer to enjoy/meaningful/legacy and farther away from money/career, which is consistent with other research (e.g., Hertel et al., 2013). In addition, with higher levels of education, values of security are less important and values of self-realization and autonomy receive higher attention.

### Discussion

In this paper, a mapping sentence is introduced for value items, including negative values, and also moral virtues. This mapping sentence differs from related proposals: Its range does *not* refer back to a facet of the domain (typically to “purpose”), thus leading to a proper mapping. This mapping sentence allows understanding the items in the sense that a person is confronted with a stimulus (e.g., “good chances for advancement”) first, and then a particular question is asked. This question could be an attitude question or a value question or some other question where a facet such as “purpose” is not relevant (e.g., “Is that true for most employees in your company?”).

Regarding work values, we concentrated on one particular content facet, the object or outcome facet. We here suggest to structure outcomes using the job facets of job satisfaction research. We also predicted that the job facet categories are not just qualitative groupings but should lead to a particular circular structure of the work value items’ inter-correlations.

Our results clearly revealed the predicted circumplex. We also found that the center of this circumplex is rather empty. This is typical for personal values in general. Attempts to explain an inside-outside position of a value in a circumplex of values with an additional facet – thereby turning the circumplex into a radex – are rare (Bilsky, Niemann, Schmitz, & Rose, 2005; Janik & Bilsky, 2015) and so far not very successful. The typical explanation for such a “modular” facet of a radex is that the items on the inside are “more complex”, and those on the outside more focused on specific topics (Shye, Elizur, & Hoffman, 1994). As a consequence, the inside items are more highly inter-correlated because they share more features. In the work value context, items on the inside have been classified as more related to the respondent’s own performance than items on the outside. One may pursue this notion further, but then one would need items that are constructed in that sense. The usual work values items constructed by intuition or by lexical methods all seem to refer to work values of similar complexity. Moreover, examining the performance-dependency of work outcomes would require participants with rather similar work contexts (job type, organization size, etc.).



**Figure 3. Metric unfolding solution for work value items; circle optimally fitted to value points; circles represent men, triangles women; dashed horizontal line is discriminant for gender of persons; arrows represents educational level and age of persons, respectively; patches correspond to sectors in Figure 2.**

The results demonstrate the assumed circular structure of work values, suggesting that there is not just a set of independent work value dimensions (as assumed by PCA) but that the various values (job facets, value dimensions, value sectors etc.) are in a *dynamic relationship of closeness and oppositions*. For example, persons who value money highly appear to believe that this is incompatible with helping others as a work value. This opposition is a central notion of the Theory of Universals in Values (TUV) of Schwartz (1992), where it is captured in the opposition “self-transcendence” (containing the basic value types of universalism and benevolence) vs. “self-enhancement” (with power, achievement, and, to some extent, hedonism values). The second opposition of higher-order values in the TUV, “openness to change” vs. “conservation”, can be related to the opposition security vs. meaning.

From a practical perspective, the perhaps most important finding of this study is that the work values circle also holds within not just for correlations across individuals. This offers new and parsimonious opportunities when using work values in human resource applications. For instance, in personnel selection, a person’s position can first be located in the 2 x 2 system of higher-order work values, beginning, if possible, with the most important opposition. If the person positions herself far away from the desired value pole (e.g., a person striving for work values related to risks rather than rules while applying to work as an engineer in a nuclear power plant), the selection process can be terminated early, saving more fine-grained

assessments of the person's position on the value circle. Such a step-wise adaptive approach may also be useful for guiding qualitative interviews. The unfolding approach also allows diagnosing how a single individual who does not fit into the work value circle deviates from the model. Such an individual might be given special attention in a selection or placement process, for example, because work values are useful indicators of person-organization fit (see, for example, Borg, Groenen et al., 2011; Krumm, Grube, & Hertel, 2013b).

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# Quantitative Facet Theory

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## What is Facet Theory?

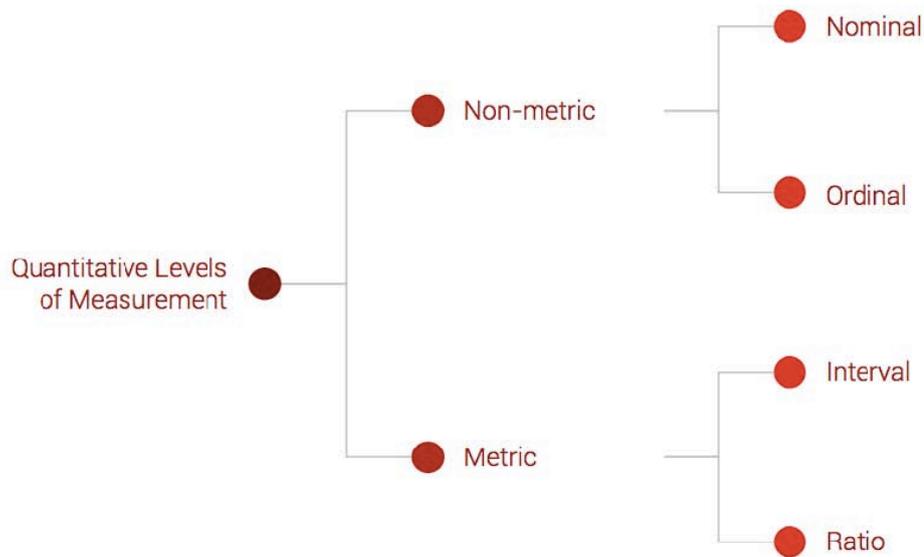
In this paper we will present and discuss the facet theory approach to social research. To be more precise, we will be concerned with the traditional facet theoretical, which is quantitative in its nature.

We start by asking the question what is facet theory? There are several answers to this question. Facet theory is a systematic approach to designing, organizing, conducting and analysing complex research and it is also a data reduction method. Traditional facet theory is also a quantitative approach to research. Facet theory has the characteristic of being descriptive rather than inferential and may be either exploratory or confirmatory. The validity of the results from facet theory research is established through replication, repetition, and amendment rather than confidence intervals or significance levels.

## What is quantitative and qualitative facet theory?

It is important to establish what we mean when we say that traditional facet theory is a quantitative approach (there is also a qualitative form of facet theory that will be the subject matter of our second paper).

There seems to be little ambiguity or confusion when defining quantitative approaches to research: These approaches are numerical and deal with the evaluation of number-based responses. However, qualitative research has different meaning to different researchers. In statistics the term “qualitative” is understood in reference to the notion of “level of measurement”. On this understanding the word qualitative is used as a synonym of “non-metric” where this means levels of measurement that are nominal or ordinal (see figure 1). These forms of measures are able to provide information about the ranking or frequency of events but no notions about measurements being made with fixed scales of assessment are possible. In other branches of the social sciences speak about qualitative research they mean research that is non-numerical: For example, text or narrative analyses.

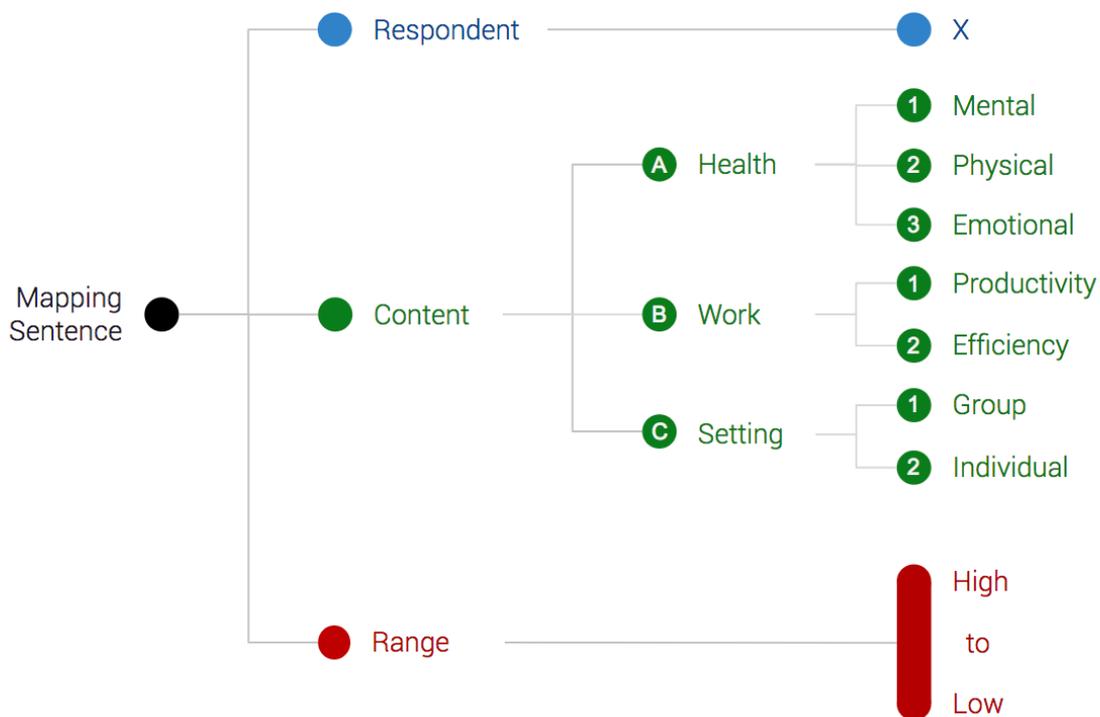


**Figure 1. Levels of Measurement**

In this paper we are concerned with quantitative facet theory when using a non-statistical understanding, that is to say that uses data that is numerical. On a statistical understanding however, traditional facet theory analyses only consider the ranking differences between data points (non-metric data or ordinal level data) and is therefore qualitative.

One component that is common to both quantitative and qualitative facet theory is the mapping sentence. A schematic diagram of the components of a mapping sentence is given in figure 2 and more details are provided in the next section.

**Figure 2. Components of a Mapping Sentence**



### Components of a Mapping Sentence

As can be seen in figure 2., a mapping sentence has a predetermined content and structure. The mapping sentence is then written as a normal prose sentence to specify the research domain. This commences with the specification of the respondent(s) (x) who will be the subject of the enquiry. The research content is then specified. For example, the persons specified will evaluate the importance of a diverse corporate climate for his or her A {a1 mental, a2 physical, a3 emotional} health and work B {b1 productivity, b2 efficiency} in a C {c1 group, c2 individual} setting. This example specifies 3 facets (A, B, C) with subdivisions of these known as elements (a1, a2, a3, b1, b2, c1, c2). Finally, a range facet is specified that states the type of observations or measurements that will be gathered to assess the research content. For example, this may be: R {high to low} importance.

To summarise, a mapping sentence for quantitative facet theory has the following components: ▶ Facets (Population facet; Content facets; Range facet), ▶ Elements (subdivisions of facets), ▶ Connectives (connective words to specify the relationships between the facets). An arrow  $\longrightarrow$  is placed in the mapping sentence after the content facets and before the range facet so as to indicate that the content is mapped into the range.

### The Mapping Sentence as an Expanded Hypothesis

Mapping sentences may be understood as being expanded hypotheses as the initial stages of research that uses a mapping sentence may use a mapping sentence that has not previously been used. As such the facets, elements and their interrelationships are hypotheses

about the manner in which respondents will experience the content domain as it is a definitional framework that specifies the content and scope of a research domain. In achieving these goals the mapping sentence promotes a thorough understanding of research subject(s) and goals in a manner that is more thorough than a simple or even a complex hypothesis. Furthermore, after data has been gathered and analysed the mapping sentence may be modified and then used as a template for later research

### **The Mapping Sentence as a Questionnaire Template**

When using a mapping sentence approach to design a questionnaire one facet element is chosen from each facet (called structuples). This procedure is repeated with different element permutations until the content area is thoroughly addressed. Questions are then designed that reflect all permutations. For example, in the mapping sentence given two paragraphs above: structuple a1b2c2 addresses mental health and work efficiency in a group setting. Using structuple to design question aids in the formation of questions: again using the above example - a1b2c2 - “How important is a diverse corporate climate for your mental health and work efficiency when working in a group?” The approach also promotes clarity in question formation and helps to prevent redundant questions.

### **The mapping Sentence as a Data Interpreter**

In complex research with multiple variables the data may become *messy* and hard to interpret. The pre-definition of categories give researchers an idea of what to expect. Furthermore, data can be understood in context.

### **The Mapping Sentence as an Aid to Cumulative Research**

By adopting a traditional facet theory research using a mapping sentence the researcher is forced to survey contemporary research in order to identify facets and elements for incorporation in the mapping sentence. A wide variety of methodologies may be employed with research tools all being developed using the same mapping sentence and thus facilitating comparability of results from different methodologies. The common range facet also ensures that different methodologies will yield comparable results.

### **Statistical Analysis: Smallestspace Analysis (SSA)**

Smallestspace analysis computes the non-metric (ordinal) correlations between all of the responses to all questions asked or other measures taken. These pair-wise correlations are graphically depicted as points in Euclidean space, where the nearer two items are the more correlated they are.

### **Facet Theory versus Factor Analysis**

Both facet theory (SSA) and factor analysis are data reduction methods that produce diagrams of items in regard to item similarities. Both provide a theoretical structure for the data analysed through the identification of latent variables. However, whilst factor analysis

attempts to explain variation in data in terms of regression lines, SSA provides structural hypothesis of the empirical relationships of items in the data set. The shape of the plots of items depict the psychological inter-relations. Linear relationships are not assumed. SSA allows for the modification of hypotheses in the mapping sentence in the light of data analysis. SSA focuses on the concept of defining of a content area. Factor analysis lacks the theoretical structure present in a mapping sentence and assumes a linear regression line adequately illustrates the relationship between items in an analysis.

### **The Strengths of Facet Theory: The Pitfalls of P-Values and Significance Levels**

The objective of traditional inferential statistical approaches is to reject the null hypothesis. This is achieved through the identification of P-values, significance levels and confidence intervals. P-Values are often thought to be an indicator of error or validity. However, it has been claimed that they are actually “a measure [of] evidence against a hypothesis or hypothesized model” (Sellke et al. 2001) that assumes a hypothesis is true. When using significance levels an Alpha value is selected by researcher in an arbitrary manner, often  $\alpha = 0.05$ . In such a case research that discovered  $P = 0.042$ , would allow the null-hypothesis to be rejected but not at  $P = 0.055$ . Facet analyses can be thought of as being descriptive where validity is established through replication of research using the same, or modified, mapping sentence.

### **The Application of Facet Theory**

The example that we provide below is a seminal example that clearly illustrates facet theory in the area of values research. More recently values research using facet theory has been conducted focused on specific values, (e.g., Fisher (2013); Lyons, et al (2010)).

#### **Example: A Faceted Cross-Cultural Analysis of Some Core Social Values By Shlomit Levy & Louis Guttman (1985)**

The aims of this research was to develop and to test theories about structure of interrelations among “core” values for Western Europeans. The institutional framework for the research was therefore cross-national research facilitated by the Working Group on Values and Social Problem Indicators in Contemporary Europe. The research adopted an overall definition of values which they revised by adding and developing facets. Their research was concern with the criteria used for allocating rewards to various reference groups. The samples were of from two countries: Israel - 549 adult urban Jewish residents, 20+ years old who were recruited mid-November 1980; Switzerland - 3,932 male army recruits who were of an average age of 20.

The research first noted how definitions of values had evolved over the years. For example, values = “interests, pleasures, likes, preferences, duties, moral obligations, desires, wants needs, aversions and attractions...” (Williams, 1968); Value = “an enduring belief that a specific mode of conduct or end-state of existence is personally and social preferable to alternative modes of conduct or end-states of existence” (Rokeach, 1976). From this the

authors concluded that values were a multivariate concept where many existing definitions address only part of the concept. The authors identified a common range to enable the comparison of results. This is given below in the mapping sentence for a “value”.

### **A mapping Sentence for a “Value”**

An item belongs to the universe of value items if and only if its domain asks for a (cognitive) assessment of the importance of a A {a1 situational, a2 behavioral} goal in a B {b1 cognitive, b2 affective, b3 instrumental} modality in life area (y) for C {c1 itself as a, c2 a more primary} purpose in life area (z), and the range is ordered from R {very important that it should to very important that it should not} exist for that purpose.

To explain the above mapping sentence: category of goal is identified (facet A); category of modality is identified (facet B); category of assessment is identified in (facet C).

The authors used this mapping sentence to develop 10 “fundamental values” items which assessed orientation toward at least three different kinds of recipients: self (personal) - self-oriented, possibly egotistic ▶ others (interpersonal) - oriented to others, possibly altruistic transcendental being (impersonal) - oriented to God/gods. They further sub-classified items by the modality of behavior: cognitive - ex: behavior such as agree (know), believe, honor, etc; affective - ex: enjoy beauty, behave according to feelings; affective & instrumental - ex: feel secure, live comfortably.

### **Mapping Sentence for the Fundamental Values**

Subsequently, Levy and Guttman (1985) developed a mapping sentence for fundamental values:

The extent to which respondent (s) assesses the importance for his or her country that most of its people should have positive behavior oriented to A {a1 personal, a2 interpersonal, a3 impersonal} recipient in behavioral modality B {b1cognitive, b2 instrumental, b3 affective} → R {high to low} importance for the well-being of his or her country.

### **Questionnaire and Structuple**

Earlier in this chapter we noted how structuples were profiles of facet element items and how structuple profiles may be used to develop research tools, such as questionnaire items. Below we list examples of this procedure for the Levy and Guttman (1985) study:

For the good of the country, it is important that most people in (name of country):

a3b1-2 work hard

a2b1-2 understand and help others

a2b1 believe in God

a3b1 Respect the authority of governing bodies (Israel)

a2b1 Respect the delivered principles of the ancestors (Swiss)

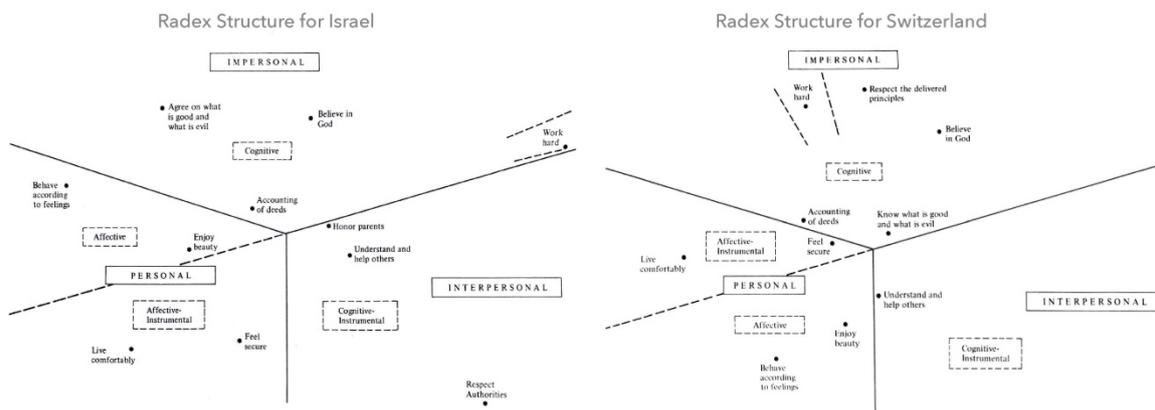
a3b1 Agree on what is good and what is evil (Israel)\*

a3b1 Know what is good and what is evil (Swiss)\*

\* The two countries used different verbs that may have different meanings, though defined by the same structures. More facets may be necessary to distinguish between these.

Having gathered data using these questions correlation matrices were developed for the two sample sets using monotonicity coefficients, in which pairs of items were selected exhaustively and the coefficients plotted using smallest space analysis.

## Results



Images from Levy & Guttman (1985)

The above plots led to the modification of the original mapping sentence:

### Revised Mapping Sentence

The extent to which respondent (s) assesses the importance for his or her country that the behavior of most of its people be to A {a1 respect [cognitive], a2 help [instrumental], a3 feel for [affective]} recipient B {b1 self, b2 others, b3 nonhuman natural phenomena, b4 transcendental being} with regard to a C {c1 specific, c2 general} aspect of institutional component D {d1 life, d2 property, d3 principles, regulations, d4 procedures}  $\longrightarrow$  R {high to low} importance for the well-being of his or her country.

The revisions in the mapping sentence resulted in a narrower scope with specific elements in facet A, additional elements facet B and an added content facet D. This enabled a

template to be developed that allowed the interpretation of the research findings and to guide future research into social values.

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# **Struggle for personal success – the moderation of team cohesiveness and gender**

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## **Abstract**

Past research based on Social Cognitive Theory has demonstrated a relationship between employees' self-perception and workplace personal performance and success. Yet, mainstream research was conducted in traditional workplace settings and there are insufficient conceptual frameworks to endorse its establishment in team-work settings. Furthermore, despite the significant demographic changes in the work force, the impact of gender on this relationship has not been examined. The current paper intends to suggest a conceptual framework which integrates self-efficacy as antecedent of personal success, while team cohesiveness and gender moderating this relationship.

A quantitative laboratory study was performed among 576 working students studying for an MBA. Participants were involved in a computerized business simulation course which encompass a virtual workplace and management decision making in competitive team-work settings. Peer evaluation was used to measure the personal contribution of each teammate. The study used two data sources: questionnaire for each participant and objective personal grade of each participant representing personal success.

The results indicate that self-efficacy is a key antecedent and strongly associates with personal success. Additionally, team cohesiveness negatively moderate the relationship between self-efficacy and personal success, which means that the relationship is higher for individuals who belong to less cohesive teams. The role of gender was found to be highly significant. Males are associated with self-efficacy and interestingly, gender negatively moderates the relationship between self-efficacy and personal success, which means that the relationship is stronger for males than females. This study has theoretical implication to the field of human resources and practical implication to workplace managers and policy makers.

## **Introduction**

Understanding the consequences of work teams' dynamics is of increasing concern to organizations (Robbins and Judge, 2009). Specifically, the dynamics and conflicts between personal factors and teamwork contextual factors, are important for organizational researchers, since it elicit out team member's performance and success. Interestingly, members of work teams are confronting the challenge of uplifting their supreme competence for personal purposes, while experiencing the social complexity of teamwork. Following the social interdependence theory (Johnson et al., 1998; Johnson and Johnson, 1999) the purpose of people efficiently working together and cooperating is to maximize the individual and the other team members' performance and success. However, though collaboration considerations, each member would like to be recognized and rewarded for his or her competence and contribution to the project task and team success (Wageman, 1997).

Consequently, the current study deals with the question of how team contextual factors influence the execution of perceived personal capabilities.

Drawing upon the social cognitive theory (Bandura, 2012), the purposes of this research are: First, to develop and test theory-based prediction on how teamwork context influences the relationship between individual's self-efficacy and personal success. Second, given the significant demographic changes occurring in the work force, to examine potential gender distinction in work team context. This research can contribute to the understanding of the dynamics in team work context and help practitioners to efficiently manage self-managed work teams.

## **Literature review**

### **Personal success and Self-efficacy**

Personal success is an established key aspect of workplace employee and significantly affects personal features as career, wage, work responsibility, employability (Nauta et al., 2009), and status (Janssen and Gao, 2015). The literature well encourages the challenge of enhancing our understanding of the subject and inspires its antecedents. One stream of research stems from the Social Cognitive theory. This theory is highly applicable and relevant to explain individual's challenge experiences and performance in workplace dynamics (Bandura, 2012). It suggests that individuals hold beliefs about their ability to succeed in a particular situation, and motivate the engagement in a particular project and the actual success.

The belief one has in his or hers' ability to succeed in a particular situation is known as individuals' self-efficacy (Ormrod, 2006). It relates to the beliefs people hold regarding their power to affect situations and achievement across a broad range of situations (Chen, Gully & Eden, 2004). This belief strongly stimulates the motivation a person essentially has to competently encounter challenges (Chen, 2016). In general, the literature differentiates between specific self-efficacy, which applies to the ability to achieve in task-specific situations and generalized self-efficacy that refers to the conviction in one's aptitude to achieve across a broader range of circumstances (Luszczynska, Gutiérrez-Doña & Schwarzer, 2005).

Self-efficacy is critical in how an individual approaches goals, tasks, and challenges (Luszczynska & Schwarzer, 2005); and has been linked to workplace performance (Maddux, 1995). Highly efficacious individuals strive to accomplish tasks and persevere longer in their efforts (Tipton & Worthinton, 1984). Research specifies that individuals with high self-efficacy perform significantly better in task-specific situations than individuals with low self-efficacy (Gist et al., 1989) and this form of self-belief is further applicable in stressful situations (Randle, 2012; Nelson et al., 2013). Consequently, we hypothesize that:

H1: Self-efficacy positively affects personal success.

### **Team cohesiveness**

During teamwork the individual experiences in-group interaction and collaboration among team members, since team-mates are directed towards mutual benefit and goals. This manifestation signifies an endeavor towards team cohesiveness. Research indicates that there is a positive relationships between social cohesion and workload sharing (Barrick et al., 1998) and between cooperation and workload sharing (Erez et al., 2002). Cohesion motivates high learning climate and encourages sharing knowledge among members towards effective adaptability of the project (Townsend and DeMarie, 1998). Cooperation and a good relationship among the team members might result in a more caring and committed relationship between the members. Commitment to the team increases members' satisfaction

with teammates and their willingness to help team members and improve team results (Bishop and Scott, 1997). Commitment and satisfaction create a work environment where members are more involved in their project and have more interest in its success (Elmuti, 1996).

Thus, in case of high cohesiveness between team members we should expect collaboration, shared relationships and mutual support which enhances all team member's personal performance and success. Nevertheless, these members' elevation create work environment in which the differences between team-mates are reduced and the success of noticeable and excel individuals is buffered. On the other hand, in case of low cohesiveness, there are less shared relationships, team performance is highly related to individuals' abilities and skills and consequently the individual success is highly noticeable. Thus, we hypothesize that:

H2: Team cohesiveness moderates the relationship between self-efficacy and personal success, in a way that the relationship is higher when team cohesiveness is lower.

### **Gender**

The significance of gender in workplace dynamics is well documented. The Social Cognitive theory postulates that employees who experience anxiety and fear are unlikely to experience increased self-efficacy because they feels inefficacious and prone to poor performance (Bandura, 1977, 1997). Studies associate lower self-efficacy with women (Pasamar and Alegre, 2015; Horner, 1972). Women are more prone to fear of success (Horner, 1972). They are more anxious about achieving success since they expect adverse consequences (Alper, 1974), concerning fear of rejection and loss of femininity (Hoffman, 1974). Research further indicates that women attached less importance to success in workplace than men because of unequal opportunities (Cassirer and Reskin, 2000). These suggest that the relationship between self-efficacy and success will diverse by gender. Therefore, we hypothesize that:

H3: Males will exhibit higher self-efficacy than females.

H4: Gender moderates the relationship between self-efficacy and personal success, in a way that the relationship is higher for males.

### **Methodology**

*Sample and procedure:* Participants were MBA students involved in a simulation of business management. They were organized into small teams, each team represented the management of one firm that interacted cooperatively and competed with other firms over several months. The teams were permanent during the management period and were required to operate in the dynamic hi-tech PC and chips industry. Intopia B2B business simulation (Thorelli, Graves, & Lopez, 2005) was used as the business environment. The main objectives were to develop the managerial and strategic skills, by practicing the abilities to manage a virtual global firm, operating in several international markets. Each management team was responsible for improving the firm's short-term and long-term performance, to create a competitive advantage in the dynamic arena in which it operates. Overall, the sample consisted of 576 graduate students, which were divided into 96 teams (6 members per team). Most of the participants were males (64%). Ages ranged between 22 and 51, with average age of 31. All participants were in their last year of an MBA program and 97% were working. Their specialization track in the MBA program was diverse: finance (33%), marketing (28%), information systems (23%), and management and organizational behavior (16%). The family status of the participants was: 40% single, 60% married.

*Measurement:* The study's data set was assembled from two sources. The first source was a questionnaire completed by each participant and includes the independent variables. The items were phrased based on the literature. Three items for self-efficacy were based on Chen

et al. (2001) and four items of team cohesiveness were based on Stokes (1983). Respondents were asked to indicate their level of agreement with different statements on five-point Likert scale, ranging from 1 = strongly disagree, to 5 = strongly agree. Demographic variables were also collected. The second source, relates to the dependent variable and was the students' actual performance which was measured as the students' final grade at the end of the simulation (composed from the team grade and the peer evaluation of each teammate).

## Results

*Validity and reliability:* First, items were subjected to an Exploratory Factor Analysis (EFA) with Varimax rotation. EFA yielded two factors explaining 70.1 percent of the cumulative variance. All items were satisfactorily loaded ( $> 0.70$ ). Next, Confirmatory Factor Analysis (CFA) was used for validity. The results confirm the constructs ( $\chi^2$  value (12) = 33.23,  $p < .05$  ( $\chi^2/df < 3$ )); CFI = .987; NFI = .980; RMSEA = .055. The CFA shows that the scale items loaded satisfactorily on the relevant latent variables. The standardized loading estimates for all items are significant and above 0.5. Average Variance Extracted (AVE) estimates were .57 and .60, Composite Reliability (CR) estimates were .79 and .86, and Cronbach's alpha measures were .77 and .86 (respectively, for self-efficacy and team cohesiveness). Therefore, the constructs show acceptable convergent validity and internal consistency.

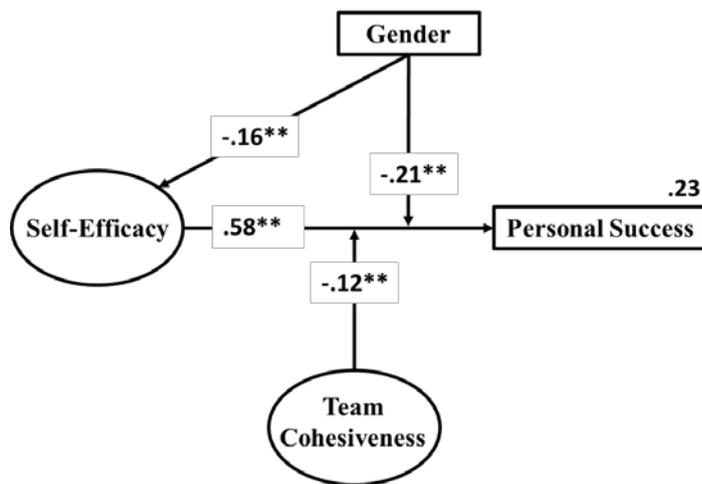
*Model testing:* A path analysis was conducted to check the research hypotheses using Structural Equation Modeling (SEM), based on the maximum likelihood approach. The path analysis results show that the overall fit statistics (goodness of fit measures) exhibit an acceptable level of fit ( $\chi^2$  value (37) = 97.55,  $\chi^2/df < 3$ ,  $p < .05$ ; CFI = .970; NFI = .954; RMSEA = .053), indicating that the path model is valid. The path model, regression standardized coefficients, and their significance are illustrated in Figure 1. Table 1 shows the variables' total and direct relationships and the statistical measures.

**Table 1: Hypotheses testing – Direct significant relationships**

Relationship	Standardized Effect	Regression Weights (direct)		
	Direct	Estimate	C.R.	p
Self-efficacy → Personal success	.580	.921	6.872	<.01
Team cohesiveness*Self-efficacy → Personal success	-.118	-.116	-3.119	<.01
Gender*Self-efficacy → Personal success	-.208	-.333	-3.362	<.01
Gender → Self-efficacy	-.163	-.214	-3.502	<.01

Figure 1 indicates that, as expected, direct relationships exist between self-efficacy and personal success ( $\beta=.58$ ,  $p<.01$ ). Team cohesiveness negatively moderates the positive relationship between self-efficacy and personal success ( $\beta=-.12$ ,  $p<.01$ ). This indicates that team cohesiveness dampens the positive relationship between self-efficacy and personal success which means that self-efficacy has a significantly stronger positive effect on personal success when team cohesiveness is lower (see Figure 2). Hence, hypotheses H1 and H2 are supported.

### Figure1: Conceptual model – path analysis



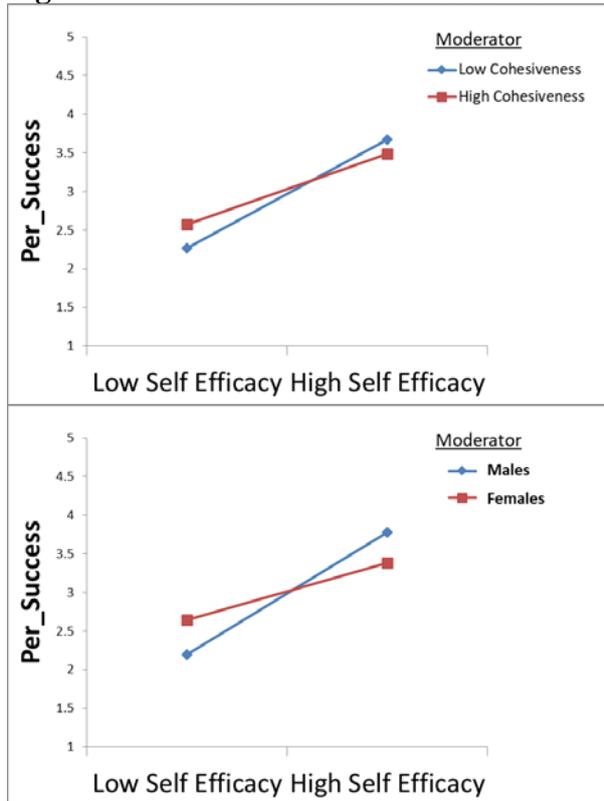
The model further shows that gender has negative relationship with self-efficacy ( $\beta=-.16$ ,  $p<.01$ ), meaning males exhibit higher self-efficacy than females. Furthermore, gender negatively moderates the positive relationship between self-efficacy and personal success ( $\beta=-.21$ ,  $p<.01$ ). This indicates that gender dampens the positive relationship between self-efficacy and personal success which means that self-efficacy has a significantly stronger positive effect on personal success in case of males compared to females (see Figure 3). Therefore, H3 and H4 are supported.

### Discussion

Applying to the Social Cognitive theory (Bandura, 2012), the purpose of the current research was to model the effect of self-efficacy on personal success in teamwork while integrating contextual factor - team cohesiveness; and individual difference factor, namely gender, as moderating factors.

Overall, the study follows previous research (Chen, 2016) and emphasizes the importance of self-efficacy in order to achieve personal success. However, the study shows that this relationship depends on context and can be reduced by the presence of individual differences (Judge et al., 2007), gender in our case. Interestingly, team cohesiveness, as consequence of interdependency experience, lessens the effect of self-efficacy on personal performance. This innovative finding added to previous research, indicating higher effect of self-efficacy on team members' performance under condition of low task interdependence (Katz-Navon and Erez, 2005). This occurrence further differ from team-efficacy which highly relates to team performance in case of high team interdependency (Gully et al., 2002). Additionally, gender highly relates to self-efficacy. Females were found to have lower self-efficacy than males (Pasamar and Alegre, 2015). Moreover, self-efficacious females feels less able to execute their skills and competence into personal success. The reason for these findings may results from, higher anxiety for achieving success or fear of success (Horner, 1972; Alper, 1974), which may leads them to loss their femininity (Hoffman, 1974); or fear of making effort for nothing, because of unequal opportunities (Cassirer and Reskin, 2000).

**Figure 2: Team cohesiveness moderation**



**Figure 3: Gender moderation**

The current study findings contributes to theory and practice. From theoretical point of view, the study supports and contributes to the literature on the Social Cognitive theory. It enhances our understanding of how individual's self-efficacy is positively related to personal performance and indicates that the relationship is negatively moderated by team cohesiveness. The study further contributes to the literature on social interdependence theory by pointing out that interdependency in team work should be thoughtfully implemented, to prevent buffers in the execution of individual self-efficacy. From practical perspectives, the study advices managers to create team environment were members can efficiently support each other while their personal contribution to the team success are recognized, rewarded and well transformed to personal success. Additionally, female workers should deserve a special treatment, in order to alleviate their perceived workplace anxiety and fear of unequal opportunities and enhance their self-efficacy.

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# Conceptual Model for Identification of the Food Safety Culture Maturity Index

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## Abstract

Organizations are adopting practices and strategies to internalize the Food Safety Culture. However, there is a shortage of managerial tools that allow measuring the intangible variables of FSC, especially related with employee behavior. This article presents a conceptual model that identifies a Food Safety Culture Maturity Index tested in two Brazilian factories in the food and beverages industry. The proposed model, based on the literature on Food Safety and Organizational Culture, includes nine key organizational dimensions that measure safety culture, subdivided into indicators to measure the degree of internalization of the food safety culture. In the application of the model, hypotheses were tested regarding the main variables of the proposed model. The results show that the both companies do not have the level expected by the international benchmarking.

## Introduction

Over the last 25 years, researchers from many different academic backgrounds have studied the concept of Safety Culture (SC). In those studies, two separate views can be found: the engineering approach that focuses primarily on the formal aspects of the organization that influence safety (procedures, management systems, controls and policies); and a psychological approach focused on workers' perceptions, feelings and attitudes, with respect to the safety and risk climate of the organization (Antonsen, 2009, Ball et al., 2010a, Brannon, et al., 2009).

These different approaches to SC are reflected in Food Safety (FS) studies and evidence the missing element in managerial practices that hinders integration of food sciences into behavioral sciences (Yiannas, 2009). In this sense, researchers have identified that FS problems are often not only associated with technical issues, such as lack of knowledge about the topic (Sneed & Henroid, 2007; Sneed et al., 2004; Taylor, 2011). Recent studies have shown that even employees who possess knowledge on FS, occasionally behave inconsistently when dealing with safety standards demanded by the company (Henroid & Sneed, 2004; Sneed & Henroid, 2007).

In this sense, it is increasingly more important to comprehend both the role of organizational culture in safe human behavior (Arendt & Sneed, 2008; Griffith et al., 2010; Abidin et al., 2014; Yiannas, 2009), and intangible variables from organizational culture in safety management (Arendt et al., 2011; Ellis et al., 2010; Lee et al., 2012). However, if on one hand the research on this subject has evolved in its conceptual dimension, it is still fragile when it comes to the creation of assessment instruments to measure Food Safety Culture

(FSC) quantitatively (Jespersen, 2017, Griffith et al., 2010; Taylor, 2011; Yiannas, 2009). The 2017 Global Food Safety Conference emphasized this point: “*FSC is not just about changing behavior, it’s about sustaining it. To sustain behavioral change, indicators, metrics, consequences and accountability must be built into food safety systems*” (Global Food Safety Conference, Executive Summary, 2017).

To overcome this gap, our study shows the results of a research that has developed a conceptual framework supported by researches on Organizational Culture (OC), SC, and FS; which has nine dimensions, further divided into KPIs with the objective of identifying FSC maturity level. This framework, named Food Safety Culture Maturity Index (FSCMI), serves to assist companies and their managers in assessing the internalization of desired behaviors for food safety practices. In order to illustrate its application, we applied the model to two Brazilian multinational factories from the Food & Beverages sector.

### **From OC to SC, and FS**

Definitions of Organizational Culture have included several common themes such as customs, values, beliefs and modes of action (Schein, 1992). The approach presented by Schein (1992), the three level model, shows that the nucleus of OC (tacit assumptions) is composed of values that lie outside individuals’ awareness and deciphering cultural patterns may help to anticipate or explain behaviors.

The term SC was born from the Chernobyl nuclear disaster in 1986 and since then has increasingly been applied by numerous industries in order to describe a company's safety status (Flin, 2007). Most SC definitions describe the way in which people think or behave in relation to shared safety attitudes, beliefs and values and present a vision in which safety culture characterizes a company (Cox & Cox, 1991; Hale, 2000; Fang et al., 2006). Some researchers (Johnson & Scholes, 1999; Cooper, 2000, Guldenmund, 2010; Nielsen, 2014) use the Schein (1992) three level model to understand SC.

The theoretical foundation shows that FSC adapt the concepts of OC and SC and represents the way a company practices FS (Yiannas, 2009; Lee et al., 2012). FSC has the premise that problems in industry are particularly caused by behavioral elements, and those related to OC (Griffith et al., 2010).

### **SC and FSC Assessment Models**

Various scales and instruments were developed with different dimensions, factors, and variables. Many authors proposed models to assess SC such as: Zohar (1980) *Multilevel Safety Climate Scale*; Cox and Cox (1991) *Cox & Cox Questionnaire*; Diaz and Cabrera (1997) *Safety Climate Questionnaire*; Mearns et al. (2001) *Offshore Safety Questionnaire*; Singer et al. (2003) *Stanford Tool*; Silva et al. (2004) *Organizational and Safety Climate Inventory*; Fang et al. (2006) *Safety Climate Questionnaire*; Parker et al. (2006) *Development Levels for Safety Culture Maturity*; Nielsen and Mikkelsen (2007) *Danish Safety Culture Questionnaire*; Clark (2010) *Integrative Model of Safety Climate*; Chen and Li (2010) *Hospital Survey on Patient Safety Culture*.

On the other hand, few authors have proposed FSC assessment models. In this sense, we can highlight, in chronological order, the studies of: Yiannas (2009), Griffith et.al. (2010), Ball et al. (2010), Taylor (2011), Neal et al. (2012) and Abidin et al. (2014).

### **Proposed Conceptual Model: Food Safety Culture Maturity Index (FSCMI)**

The FSCMI is based on recent studies on FSC (Griffith et al., 2010; Singer et al., 2003; Mearns et al., 2001; Fang et al., 2006; Nielsen & Mikkelsen, 2007; Clarke, 2010; Silva et al., 2004; Yiannas, 2009; Whiting & Bennett, 2003; Fleming, 1999; Chen & Li, 2010; Diaz & Cabrera, 1997; Lee, 1998; Flin, 2007; Guldenmund, 2000; Gordon & Kirwan, 2005; Abidin, et.al., 2014; Ball et al., 2010b; Taylor, 2011; Neal et al., 2012) and international initiatives for food safety value internalization, identified in such studies. Most of these studies were done in collaboration with leading global organizations to understand the practice of FCS management.

The FSCMI model has nine dimensions that encompass the main aspects of FSC (Table 1). To facilitate its operation, these dimensions have been further divided into KPIs, with their respective variables, and now constitute constructs (instruments that support in the assessment of concepts or variables that are not feasible for direct assessment). The KPIs represent the index that allows the assessment of food safety internalization levels in the company.

The figure that graphically represents the FSCMI is a Plateau Scale (Figure 1). This form was chosen for its positive growth significance. The same way in which authors such as Westrum (1996) who classified organizations by level of SC evolution (pathological, bureaucratic, generative), Reason (1997) and Parker et al. (2006) which included the reactive and proactive levels in the typology. The five FSCMI levels were denominated immature, reactive, managed, mature, and internalized, and represent the nine model dimensions that superimpose themselves over FSC to improve FS performance.

**Figure 1: FSCMI Levels**

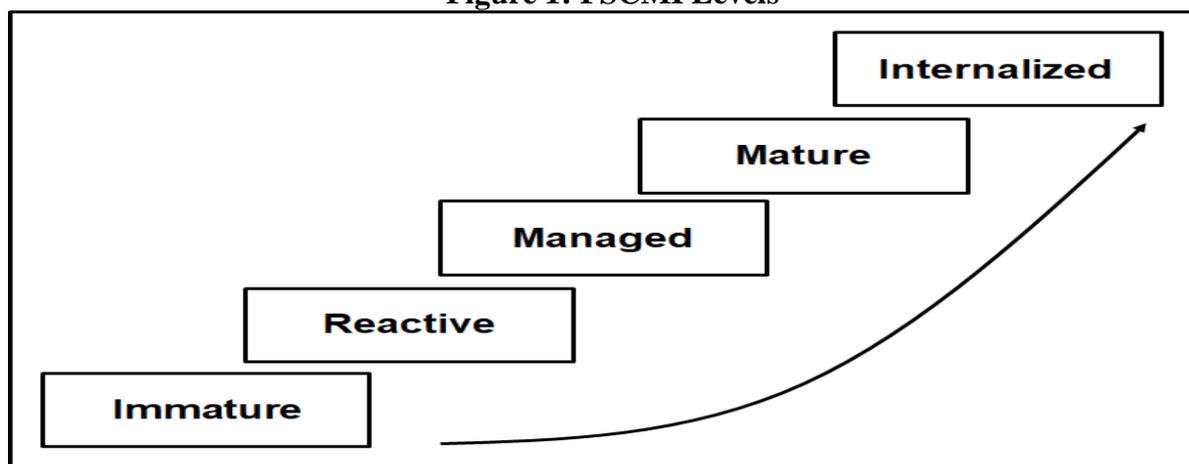


Table 1 presents the FSCMI dimensions along with their respective operational definitions, KPIs, and variables, as well as the authors who supported in the theoretical basis.

**Table 1: Model Dimensions, Definitions, KPIs, and Variables**

<b>Dimension</b>	<b>Definition, KPI and Variable</b>	<b>Author</b>
Work Pressure	Aspects that impose negative pressure towards FS practices. Avoid time limitations that create difficulties to standard FS procedures. Lack of leadership support and work environment. Indicators: Head Count, Work Volume, Pressure for Results, and Work Pressure (deadlines).	B, C, G, L, M, O, P, R
Infrastructure	Availability and quality of infrastructure that supports FS. Types of resources: instalments, equipment, FS supply and training. Indicators: Equipment, Training, Quality, and Availability.	A, B, E, F, G, H, L, N, R, S, T
Management	Behave as an owner when dealing with FS. Reinforce the importance of FS, enforcing discipline to maintain procedures. Promote the mindset focused on each person's responsibility to choose safer practices. Indicators: Feedback, Critical Control Aspects, Norms and Procedures, and Managerial Role.	A, C, M, R
Risk Perception	Consciousness of the risk of making FS related decisions. Lack of conscientiousness and responsibility when dealing with risky situations. Indicators: Knowledge, Behavior, Haste, Self-assurance, Negligence, and Improvisation.	A, D, E, F, L, M, N, O, P, Q, R, T
Responsibility	Coordination of activities, policies, and procedures for guiding or controlling FS. Execution of FS practices with regular and detailed verification of employees' conformity. Indicators: Owner Role, Responsibility Sharing, Discipline, Ethics.	A
Leadership	FS vision that defines organizational expectations and inspires followers to embrace FS. Actions that show commitment to FS and trust in company practices. Indicators: Model, Value, Trust, Vision.	A, F, G, I, J, O, P, L, R
Team Work	Collaboration between employees to guarantee FS. Helping, and supporting coworkers when dealing with FS. Indicators: Collaboration, proactivity, and Cooperation Between Sectors, trust and mutual respect.	A, B, D, E, G, I, L, M, N, R
Communication	Quality of FS information and knowledge transference between managers and employees. Employees can speak freely about any subject that may affect FS. Indicators: Quality, Dialogue, Openness and Content.	A, B, G, I, J, K, L, R, T
Commitment	Application of positive reinforcement tools (ex.: recognition) and negative ones (ex.: advices) so that employees become engaged and committed to FS behavior and betterment. Indicators: Recognition, Importance, Pride, Sense of Belonging.	A, B, C, D, E, F, G, H, I, S, T

Authors: (A) Griffith et al. (2010); (B) Singer et. al. (2003); (C) Mearns et al. (2001); (D) Neal et al. (2012). (E) Fang et. al. (2006); (F) Nielsen and Mikkelsen (2007); (G) Clarke (2010); (H) Silva et al. (2004); (I) Yiannas (2009); (J) Whiting and Bennett (2003); (K) Fleming (1999); (L) Chen and Li (2010); (M) Diaz and Cabrera (1997); (N) Lee (1998); (O) Flin (2007); (P) Guldenmund (2000); (Q) Gordon and Kirwan (2005); (R) Abidin, et.al. (2014); (S) Ball et al. (2010); (T) Taylor (2011)

## **Research Methods**

This study aimed to present an instrument for assessing employees' perceptions of the FSC in their organizations using a mixed methods approach: an in-depth interview and focus groups (qualitative approach), and the application of a questionnaire (quantitative approach). A two-phase exploratory design was used with a combination of qualitative and quantitative methods to assess the FSC of two multinational food and beverage industries located in north and south of Brazil. In the interviews and focus groups phase, a qualitative method of data collection was conducted with a randomized group of employees, to assess specific perceptions (Flick, 2007) of FSC in organizations. A survey, a quantitative approach, was developed based on findings from the literature review. The questionnaire was used to collect empirical data on employees' perceptions toward organizational FSC.

The target population of this study was full time operational employees. Participants for the interviews (n = 30 = 4%) and focus groups (n = 168 = 21%) were selected randomly from the population. For the survey the entire operational population was invited. It has been noted that the use of participants from different types of onsite operation helped increase credibility through triangulation (Shenton, 2004). Operational directors or managers participated only in the interviews. From the surveys distributed 39% (n = 310) participated in the survey. Not all participants in focus groups and interviews participated in the survey.

A total of 15 focus groups were gathered to obtain data; 8 sessions with employees from operations, 4 sessions with supervisors, 2 sessions with employees that participate Food Safety Teams (FST), and 30 interviews with management. The number of participants in each focus group session ranged between 10 and 12. Each focus group session lasted between 60 and 90 minutes. All discussions were audio-recorded, and field notes were taken during each session using a moderator form adapted from Krueger (1998).

To apply and collect the survey the population (n = 795) was invited to meet the researchers in the companies' auditorium. Approximately 30 employees per hour. After instructions and the employees answered the questionnaire without identification, they were asked to drop it in a closed box, for total confidentiality. After 8 rounds in each company, 400 questionnaires were distributed for each operation industry and 78% respondent's rate. A survey questionnaire consisted of the FSC measurement with the nine dimensions and four variables already presented in Table 1. In total, 36 items were generated as a scale to measure FSC. Participants were asked to rate their level of agreement to 36 statements positively worded, describing FSC in their current workplace. They responded using a five-point Likert scale ranging from 1 = Strongly Disagree to 5 = Strongly Agree.

After a pre-analysis of the answers to verify their consistency with those referring to the FSCMI variables, the data was grouped according to the dimensions and indicators. Then, it was organized and submitted to statistical *t-student* type tests to compare the researched companies to international benchmarks. The use of the statistical technique ANOVA was done to evaluate the variance of distributions of variables represented by indicator constructs among researched companies. The statistical calculations were done using the SPSS software version 13.

To identify cultural differences among operational employee FSC perceptions, we replicated the same methods (qualitative e quantitative) in both companies studied. This way, we were able to relate differences in FSC comparative dimensions. For each of the nine FSCMI dimensions we applied two hypotheses: (a) There is similar maturity in both companies, and (b) There is individual maturity inferior to international practices in the food and beverages industry.

## **Results and Analysis**

A total of 310 completed questionnaires were collected from respondents in both food companies. 148 useable surveys were obtained from industry A and 162 from industry B.

One of the most relevant results of studying the companies chosen was finding that both have Food Safety Teams (FST), despite not having FSC KPIs. Both companies showed relevant maturity levels for each of the variables studied, with variations in their degrees of intensity.

Similarly, it is important to register that both companies did not show results superior to international benchmark standards, having only presented results equal to international benchmarking standards in few variables.

The impact that undesirable behaviors causes in companies induces them to adopt and implement food safety practices and strategies. Such impact is assessed in each dimension's group of KPIs. We noted that the results of the KPIs for the dimensions of the model vary according to each company's particularities (Ball et al., 2010). However, few KPIs showed more positive results than others did. Such is the case of quality programs applied to the area of manufacturing. The study revealed that the companies studied consider certain indicators as more important than others, without a positive correlation between them. In relation to the differences between both companies, most of the KPIs presented little or no difference between them, indicating a similar degree of food safety maturity between them. The biggest difference shown is in the leadership dimension. This occurs both depending on whether the role of factory managers is considered to be a professional example in food safety practices, and factory managers having difficulties in accepting suggestions from any subordinate to guarantee food safety when they may negatively impact the companies' financial and operational results.

Despite indicator measurements showing average results between 2.6 and 3.4 in individually, some sample units evaluated the companies with a minimal degree on international benchmark (4.0) of FSC. The research results strongly suggest that the companies still have not achieved a degree of internal maturity of food safety culture. This evaluation shows that practices have yet to reach the international benchmark degree. This becomes increasingly evident in the hypothesis tests, subsequently described.

We used the ANOVA statistical technique for hypothesis 'A' (there is similar maturity in both companies) with a 5% significance level. In this way, we obtained similar results in 38% of the companies' KPIs (shown in Table 2).

**Table 2: Hypothesis Test Results ANOVA**

Dimension	KPI	Anova p-value	Result
Infrastructure	Infrastructure utilization	0.0000	There is evidence in the indicators to reject H0 a $\alpha = 0.05$
Responsibility	Discipline	0.0000	
Risk perception	Knowledge	0.0000	
Leadership	Model	0.0000	In these cases, having the same distribution means both companies average similar results.
Leadership	Value	0.0000	
Leadership	Trust	0.0000	
Leadership	Vision	0.0000	
Teamwork	Sector cooperation	0.0000	
Teamwork	Mutual trust and respect	0.0000	
Communication	Dialogue	0.0000	
Communication	Communication content	0.0000	
Commitment	Recognition	0.0000	
Commitment	Sense of belonging	0.0000	
Commitment	Pride	0.0000	

Hypothesis 'B' (There is individual maturity inferior to international practices in the food and beverages industry), was tested with all dimensions. For this, we utilized the student Teste-t, with a 5% significance level, for each company separately. Both companies' test resulted KPIs from all dimensions evidenced the rejection of the null-hypothesis and assumption of the alternative hypothesis as truthful. In other words, there is evidence that the values from all

KPIs from all dimensions are inferior to international practices. This result shows that companies still have many opportunities for enhancement regarding FSC.

In the qualitative results, the work pressure dimension was associated in the interviews to Company A's recent restructurings, consequently provoking an increase in work volume that did not affect the FS quality standard, according to those interviewed. In the focus groups, according to employee perception, the lack of a resting area for both gender negatively impacts FSC, especially for women who are not interested by games played mostly by men.

In relation to the Risk Perception dimension, both companies' practices were not mitigated on the same level as international benchmarking practices. In the qualitative analysis, there were no observations from the interviewees regarding pressure during the work, but the production focus group mentioned an atmosphere of urgency and anxiety for productivity records. It is noted that behaviors without focus on food safety are due to lack of understanding of the impact they have. Much information may be being repeated, but without the effective internalization of the correct behavior by the employees. The difference in perceptions between the two groups is significant in assessing how goals and objectives help increase compliance and reduce risks.

According to the literature goals and objectives can improve food safety performance, increase compliance, and reduce the risk of foodborne diseases (Lee, 1998). Company B monitors organizational performance through indicators and audits. Good manufacturing practices (GMP) is considered an instrument for shaping employee behavior, but in practice it does not exploit FSC indicators.

The importance of the Leadership dimension, as we have seen in the review of the literature (Taylor, 2011), was very present, since it plays a fundamental role because leaders are considered models to follow and clearly defines and conveys the company's vision about the expected behavior of each employee. Employees have difficulty understanding the reasons of things. The vision of excellence is perceived as having quality products, but not necessarily with food safety.

On the Communication dimension, the results suggest that internal communication (posters, banners, internet, etc.) on food safety used to guide employees is not very present in all areas of the factory. For employees, what matters most in communication is to understand managers' expectations about behaviors related to food safety, and to be able to maintain an open dialogue that facilitates the exchange of information on any matter that may impact food safety.

## **Conclusion**

The Food & Beverages industry has become increasingly aware of the importance of FS as a competitive advantage, and that management based on control, compliance and audits is not enough to deal with challenges posed by accidents, incidents and the tangible and intangible costs of recalls.

Faced with the current framework, the search for instruments that contribute in defining plans of action for the internalization of unconscious presumptions that favor food safety behavior is of prime importance in the sector. An organization's knowledge of its cultural maturity

level is fundamental for efficient investments in changing from an ethics of obedience to an ethics of responsibility in manufacturing of safety products.

Summing up, the Food Safety Culture Maturity Index (FSCMI) is a key methodological tool in order to contribute to companies widening of the meanings of existing FS control measures, guiding its members in terms of their attitudes, practices, and behaviors.

Finally, if managers understand the factors that lead to FSC in their organization, they may be able to use the information to prepare themselves to manage their organizations with the unconscious presumption that FS is an unnegotiable value.

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## **CHAPTER 8: Values in transition: evidence from comparative studies**

### **Varieties of capitalism and genderism and commitment in transitional countries**

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#### **Abstract**

The article examines the impact of various factors of employee commitment in four European countries, Austria, Slovenia, Hungary and Croatia. The starting point of our analysis was the theory of Varieties of Capitalism and within it the theory of Varieties of Genderism. A comparison of three transition countries, show a common development of the characteristics of post-socialist transformation. Austria is the country for comparison and for evaluating differences. At the same time, due to the different systems of flexibility of entrepreneurial, social and labor policies across the CEE region, there are considerable differences. The data was drawn from the ISSP database 2015 based on representative samples in the four countries analyzed. The results show that all four countries have some common factors that generate employee commitment. However, there are factors that differentiate these countries among themselves in the direction of the theoretical assumptions of the above.

#### **Introduction**

Even though they are a part of global economic markets, the labour market remains within the domain of national politics, national institutional structures and the balances of power that govern it. In this regard the theory of Varieties of Capitalism (Soskice, 1990) looked at different types of adaptation to globalization. The crisis 2008 has caused many companies to react with a greater degree of intensification and flexibility of work and pushed employees into a greater conflict and difficulties in reconciling work and family responsibilities.

Our assumption for the present research is that there are many economic circumstances, institutional arrangements and contextual factors that affect employee commitment. Changes in socioeconomic conditions may decrease or increase the levels of commitment in society (Rigotti, Otto, & Mohr, 2007). These conditions are not determined simply by voluntary choices of firms' managers, but are favoured or hindered by the institutional context, that is, by a series of institutions and policies that act at the macro and micro levels, and that are closely interrelated between each other.

Social exchange theory (Blau, 1964) is the main theoretical perspective in which these relations are conceptualized. Social exchange theories highlight the norm of reciprocity along which outcomes are compared with input by employee. If non-standard jobs are related to low pay, low skill, high work intensity, poor working conditions, employees would react by withdrawing their attachment to such work and organizations. The motivational processes of

social exchange theory and the norm of reciprocity (Blau, 1964; Homans, 1961) may explain the relationships among human resource practices, trust-in-management and employee commitment (Settoon, Bennett, & Liden, 1996).

### Varieties of Capitalism

The Theory of Varieties of Capitalism highlights the advantages of “coordinated market economies”, that is more organized as in the Japan and Germany types vis-à-vis the “non-coordinated market economies”, prevailing in Anglo-Saxon settings. However Anglo-Saxon model of economy – which is more dependent on market - showing better adaptation to this new situation even in the face of economic crisis in 2008. The “coordinated market economies” by Soskice (1990) features a regulation system in which the market role is more limited vis-à-vis the state or associations. Although there are differences between them, Central and Northern European countries can be singled out as forming part of this group: Germany, Austria, Switzerland, The Netherlands, and Scandinavian countries. In the 1990s, some countries in the EU, which were in the process of transition from socialism to capitalism, shared a common path of developing certain characteristics of a post-socialist transformation. At the same time, due to the various systems of industrial relations and flexibility, different entrepreneurial, social and labor policies across the CEE region, constitute considerable differences among CEE countries (Bohle and Greskovits, 2012). The institutional arrangements cover the entire spectrum of varieties of capitalism: (a) *neo-liberal countries* group consist of Latvia and Lithuania, Romania and Croatia; (b) *embedded liberalism* group consists of the Czechia, Hungary, Poland and Slovakia; (c) *neo-corporatism* in Slovenia, which still has a degree of corporatist industrial relations arrangements (European Commission, 2012; (d) *state-centred market economy* in Greece.

From this division, we could expect that countries such as Hungary and Croatia will be more similar in the shaping of their economic systems, institutional and social policies, entrepreneurial, workers' and social legislation and policies. According to these characteristics Slovenia could be more similar to corporatist systems, namely Austria in our case.

Hypothesis 1: Slovenia and Austria, as (neo)corporatist countries, will have some similarities in determinants of commitment such as: »not being afraid of losing a job as negative determinant of commitment«; »gender is not so important in determining commitment«, since social policies in corporatist and neo-corporatist countries enable better employment arrangements (more long term employment relations) and better reconciliation between work and private life in comparison with liberal and neoliberal countries where employment arrangements are more flexible (more short term oriented), where social policies do not support participation of women in labour market so intensively.

*Slovenia and Austria, as (neo)corporatist countries, will have some similarities Hypothesis 1a reads »not being afraid of losing a job as negative determinant of commitment«; Hypothesis 1b reads »gender is not so important in determining commitment«, compared to Hungary and Croatia as (neo)liberal countries will have some similarities where Hypothesis 2a reads »people are being afraid of losing a job as negative determinant of commitment«; Hypothesis 2b reads »gender is important in determining commitment«.*

On the other hand all three transitional countries will have some historic trajectories in institutional framework which resemble common historical heritage of being socialist countries in the past. For example all socialist countries proclaimed full time employment participation of women in labour market and they developed child care infrastructure and

social policies to enable woman to take active role on labour market. Austria does not have this infrastructure so developed since it has never encouraged women to be full time employment and its social policy was explicit genderisng.

### **Work family interface**

Several demographic, economic, organizational, and workplace changes that have occurred worldwide over the last 30 years have affected the labour market, work, and family life across the globe. Fierce economic competition, technology advancement, economic crisis and unemployment, transition from communist to capitalist system, the amount and flexibility of work hours, location of work, increased the work load of workers and in the way they manage their work.

European Fifth European Working Conditions Survey (Eurofound 2012) showed that in EU 27 an average of 39.4% of respondents have reported these changes . Working hours increased in EU 27 for 16.5% of respondents. Working at very high speed all the time or nearly all the time reported 22.8% of respondents in UE 27. Working more than 10 hours two times per month in UE 27 reported 9.9% respondents. Working more than 10 hours five times per month in UE 27 reported 8.8% respondents. Working schedule is more than average (61.1%) determined by the company. European Sixth Working Conditions Survey (Eurofound 2015) reports that little changes regarding working time quality were made since 2010. The result of such working conditions in EU is difficulty to manage work - family responsibilities and duties for a lot of employees in EU countries. Considering that the work-family conflict has been found to have a negative impact on life satisfaction increases the likelihood of psychological burnout and increases the number of negative psychosomatic consequences for the health of employees (Allen, Herst, Bruck & Sutton, 2000), we can expect negative consequences also for work outcomes such as job satisfaction, affective and continuance commitment (Allen, 2001) and intention to quit. *Hypothesis 3: Perceived work family conflict by employee has negative effect on his/her affective commitment.* Research (Hammer and Zimmerman 2011) suggests that organizational context such as supportive organizational culture, supervisor, or mentor are all beneficial in reducing work-family conflict. *Hypothesis 4: Perceived family-supportive organization by employee is generator of his/her affective commitment.*

### **Definition of commitment**

Commitment has been defined many times. Mayer & Allen (1997) defined commitment as a “psychological link between an employee and his or her organization that makes it less likely that the employee will voluntarily leave the organization” (Meyer& Allen, 1997). Their definition includes three dimensions: affective, continuance and normative commitment. The three components of commitment are considered to be psychological states which employees experience to differing degrees. Each individual is assumed to experience the components of commitment in varying strengths. This model is perhaps the mostly empirically tested and says that employees with high affective commitment (AC) stay in an organization because they wish to; employees with high continuance commitment (CC) stay because they need to; employees with high normative commitment (NC) stay because they must. We employ this model as a theoretical background of our analysis. In our analysis limit ourselves to two dimensions of AC: (1) identification with organization and (2) willingness to exert effort on behalf of the organization. CC refers to an employee’s awareness that costs are associated

with leaving the organization. It is associated with an employee's perceptions of employment alternatives. In our analysis CC is measured with one item only and includes the likelihood of: "staying in the organization although there might be good chances on the labour market". Normative commitment was not included in our analysis.

### **Gender and work related attitude**

Gender in the work place is important factor in developing employees' commitment in organization. Women and men experience work in different way (Wayne et al,2006; Marques, Chambel and Pinto, 2015). They enter the organization with different expectations and needs. As a single or a couple they have different social position in the outside life-world which influences their participation on the labour market and employment. This participation is an individual reaction to the structural conditions that are present in each country and is largely conditioned by institutional conditions and social policies. *Hypotesis 5: Gender in the work place is important factor in developing employees' commitment in all four countries.*

Since the organization of work by couples and family varies and is dependent on the country of origin, it makes sense to look at the differences between countries and by sex. In analysing the involvement of women in the labor market, social policy which inhibits or fosters this inclusion is very important. Our analysis therefore also includes the concept of "welfare state".

Welfare state has been defined as a 'state which has a policy of collective responsibility for individual well-being' Esping-Andersen's (1990) introduce »The Three Worlds of Welfare Capitalism«, a typology of gendering welfare in order to cluster welfare states with reference to women's labor market behavior. The classification of liberal, social democratic, and continental-conservative welfare states is also expected to have a bearing on the gender values expressed in people's attitudes toward women's labor market participation and toward the division of labor between men and women. The expected pattern is that the social democratic countries would be the most supportive of women's labor force participation, the conservative-continental countries the least supportive, and the liberal countries somewhere in between the two clusters. This classification somehow resemble the Varieties of Capitalism theory and it is to some extent compatible to its framework.

Blossfeld and Hakim (1997) expanded the typology of welfare regimes identified by Esping-Andersen in 1990 by identifying two additional groups of countries: the formerly socialist states and the South European states. The collapse of socialist regimes across Southeastern Europe changed the rules of the political game and led to the transformation of these societies. The status of women was immediately affected. The paper contrast the status of women in the post-socialist societies of the region with their status under socialism.

### **Varieties of genderism and commitment**

Durring the 1990s many competing typologies emerged, aiming to analyze social policies from a feminist perspective. These included typologies that differentiated between countries with a strong, modified or weak Breadwinner model. Slowly, typologies have been developed that distinguish between the different stages of 'familiarisation' and defamiliarisation by 'genderizing welfare policies', as the most commonly used categorization for analysis. Leitner (2003) made the most important move among these typologies when he introduced the category of 'implicit' and 'explicit' familialism.

The common familialized/defamilialized dichotomy blurs the distinction between conservative policies that explicitly support the male-breadwinner model and *laissez-faire* policies, which only implicitly support the male-breadwinner model in the sense that given the present patriarchal society, *laissez-faire* policies will likely allow current gender inequalities to continue because it forces many mothers to stay at home, when they cannot find affordable day care and when their male partners cannot afford to miss their jobs to stay at home with the children (Saxonberg 2013).

Saxonberg (2013) argued that it is better to analyze the policies of different countries than to analyze welfare regimes in those countries. Analyzing welfare regimes (Welfare regimes approach) means paying attention to outcomes (such as the percentage of women in the labour market) while gendering welfare approach is more concentrated to differentiation between social policies which eliminate gender roles. Instead of talking about familialized/defamilialized dichotomy Saxonberg (2013) talks about gendering or degendering social policies. He proposes the term 'genderizing' to describe *policies that promote different gender roles for men and women*. 'Degenderizing' policies then would denote *policies that promote the elimination of gender roles*.

To assess this situation in countries under our analysis we start to introduce data regarding social policies in each country separately. The employment rates for women with children are highest in Sweden, Slovenia, Denmark, and Finland, followed by Austria, Latvia and Estonia. Part-time work for mothers is particularly common in the Netherlands (79% of total employment), the United Kingdom (59%), Germany (59%), Austria (45%). However, the figure is very low in Slovenia and Slovakia, and part-time work for mothers is generally not very common in most of the new Member States.

The amount of time worked and how the work is shared in households are important factors affecting individual decisions on working hours, since these decisions are generally taken in the overall context of the household. For the Member States for which the Labour Force Survey (2005) provides data, among couples aged 20-49 where at least one partner has a job (29% on average): this model is more common in **Hungary** and it is Breadwinner model. The most common model is for both partners to work, either full-time (45% on average), dual career family: this model is particularly common in the new Member States (especially **Slovenia**) or part-time this model is most common in **Austria** (27% of couples) and it is a Breadwinner model.

These differences may to some extent reflect differences in job opportunities or the possibility of organising work time from one country to another, differences in social customs or even access to childcare services (availability, cost in relation to income).

**Austria** Saxonberg (2013) categorises Austria among countries with *explicitly genderizing* social policies. It provides 16 weeks of Maternity leave and 100% replacement rate. No paternity leave. Parental leave is 2 years with flat rate payment and 4 years if single parent.

*Hypothesis 6: Due to the part-time participation of women in the labor force in Austria which is not causing the work-family conflict, the commitment of employees in Austria is higher than in Slovenia, Hungary and Croatia. Hypothesis 7 a: In Austria, flexible working time is not a predictor of AC and CC, because the part time schedule allows for a good balance between work and family obligations for most women who are employed. Hypothesis 7b: In Austria, the ability to receive time off in order to perform urgent family responsibilities is not a predictor of AC and CC, because part time working schedule allows for a good balance between work and family obligations for most women workers.*

**Hungary** Lately, attention has been focused on East European countries regarding the historically high proportion of women employed. The questions ranged from whether this employment was due to a purely economic concern of families or is it due to the public attitude regarding the participation of women in the labor market and consequently producing a more equal position of women in the public and private spheres.

Post-communist Hungary after Saxonberg (2013) today represents a borderline example of a country that is partly degenerating and partially implicitly genderizing in its social policies. The country offers early maternity leave and a two-year leave, which allows a 70% compensation, which is still a degenderizing social policy according to the criteria. It also provides a conservative social policy by offering a universal three-year flat-rate payment for those who are not eligible for a two-year leave.

*The hypothesis 8a: Due to the full-time participation of women in the labor market, the flexible work schedule is an important predictor of affective commitment AC and Continuance commitment CC in Hungary. The hypothesis reads 8b: Due to the full participation of women in the labor market in Hungary, the important prediction of Affective commitment AC and Continuance commitment CC is 'possibility to take time off for personal matters'.*

**Croatia** Regardless of the fact that state socialism supported the full time employment of women and equality of females and its emancipation as a means of social modernization, today's picture of the Southeast European region regarding women's equality in the majority of countries in this region is quite a traditional and patriarchal society. Dobrotić, Matković and Zrinščak (2013) argue that after great push toward retraditionalism mainly caused by catholic church, legislation in the process of Croatia closing in on EU membership changed (eg, the prohibition of discrimination / sexual harassment, etc.) and began to abandon old practices, however researchers find that the in gender agenda in social policy did not change significantly. This can be an indicator which would allow us to categorise Croatia as implicit genderisation social policy. A female employment rate in 2015 was 56 % with high differences between female (37.5%) and male (48.8) employment rate but percentage of female part time work was 7% (Eige. Europa.eu, 2018).

*Hypothesis 9a: Due to the full participation of women in the labor market, flexible work schedule is an important predictor of affective commitment AC and continuance commitment CC in Croatia. The hypothesis reads 9b: Due to the full participation of women in the labor market in Croatia, the important prediction of Affective commitment AC and Continuance commitment CC is 'possibility to take time off for personal matters'.*

**Slovenia** In 2015, the employment rate in Slovenia for men was 72.7 percent, which approximates the EU average (75.9 percent), while the employment rate of women (64.3 percent) was near the EU average. The percentage of female part-time employment is 11%, compared to Netherlands where more than 75% of women work part-time and 47% in Austria, 7% in Hungary and 7% in Croatia. Source: Eurostat, LFS (lfsi\_emp\_a) and European Commission. Data refer to women and men aged 20-64.

Slovenia is an exception to social policies between transitional ex-socialist countries. Due to the inherited good institutional child care infrastructure from the period of socialism, mostly left governments during the transition period, which were favorable towards women's participation in the sphere of labor and society as a whole, degenerating social policies in this

period, Slovenia is a special feature of women's participation in the labor market. Most women who are active in the labor market are employed full-time. Slovenia is a country dominated by a family with two breadwinners, where both men and women are employed full-time. Such a type of family, where two full-time careers are present, it is evident that the reconciliation of work and family life is very complex.

Degenderizing social policies in Slovenia can be seen in The Parental Care and Family Benefit Act from 2014 which defines four types of parental leaves financed by the state social security system: maternity leave (105 days at 100 percent), paternity leave (a non-transferable right of ninety days at 100 percent for fifteen days and paid social security contribution based on statutory minimum wage for the remaining seventy-five days), parental (260 days at 100 percent), and adoption leave (150 days for a child aged from 1 to 4, 120 days for a child aged from 4 to 10 at 100 percent).

In addition, it should be noted that despite the degenderizing of social policies in Slovenia and despite the public opinion that supports the participation of females in the labor market, unpaid work in the private sphere remains divided. This double burden on women in Slovenia suggests that the coordination of work and family is even more difficult for them.

*The hypothesis 10a reads: Due to the full-time participation of women in the labor market in Slovenia, the flexible work schedule is an important predictor of Affective commitment AC and Continuance commitment CC. The hypothesis reads 10b: Due to the full participation of women in the labor market in Slovenia, the important prediction of Affective commitment AC and Continuance commitment CC is 'possibility to take time off for personal matters'.*

## Data

The analysis uses the ISSP Work Orientations module data. In most recent survey all four countries participated (ISSP Research Group, 2017), (ISSP Research Group, 2013).

Only working population sample was included in the analysis. The sample size is for Austria 614, Hungary 567, Croatia 531 and Slovenia 488 respondents. The measurement of the depended variables, namely affective and continuance commitment, was performed using Likert scale responses to the items 'I am willing to work harder than I have to in order to help the firm or organization I work for succeed' and 'I am proud to be working for my firm or organization' for the former, and 'I would turn down another job that offered quite a bit more pay in order to stay with this organization' for the later. Relatively low correlations among items measuring each of the component of commitment, and the fact that only three indicators were used lead us to decision to use each of the items separately in the analysis and conclude based on the results about the reliability and validity of each of them. For the ease of interpretation, we treat the three variables as numeric.

Independent variables in the model of OLS regression were, except for the few numeric variables (years of schooling, hours working weekly), all dichotomised due to the ordinal nature. This makes the interpretation of coefficients in the context of exploratory analysis performed more straightforward.

## Results

In examining the average employee commitment in the four countries, we can conclude that the most committed employees are in Austria (63%), compared to Slovenia (56%), Hungary (58%) and Croatia (52%) for the variable Working harder. For the variable Being proud in

Austria (72%) , compared to Slovenia (74%), Hungary (63%) and Croatia (61%). For the variable Stay in Austria (36%) , compared to Slovenia (28%), Hungary (20%) and Croatia (18%).

Hypothesis 6 is supported. In Austria, employees would be prepared to work more for their company, and would be prepared to reject a better paid job in order to keep the current one. Among all four countries, Slovenian employees are most proud of their businesses. In Croatia and Hungary, employees are much less proud of their businesses, and they would not refuse a better paid job. Table 1 Results shows the results of regression analysis for all countries together.

**Table 1: Coefficients of regression equitation for all countries together**

Table: Coefficients of regression equitation for all countries together

	WORK_H I am willing to work harder (AC)					PROUD Being proud to the company (AC)					STAY Turn down another job to stay with this company (CC)				
	M0	M1	M2	M3	M4	M0	M1	M2	M3	M4	M0	M1	M2	M3	M4
(Constant)	2,74***	2,48***	2,64***	2,17***	2,05***	3,04***	2,73***	2,92***	2,17***	2,08***	2,53***	2,27***	2,39***	1,73***	1,73***
W_CEN_		0,31***			0,18***		0,35***			0,19***		0,31***			0,15**
FT_PT		0,27***			0,18**		0,25***			0,11*		0,06			-0,04
FEAR_L		0,04			-0,17***		0,26***			-0,04		0,48***			0,17**
v_time		0,21***			0,06		0,19***			0,06		0,17**			0,03
W_F_CO			-0,05		0,05			-0,28***		-0,12**			-0,16**		0,01
W_L_TI			0,33***		0,24***			0,28***		0,15***			0,41***		0,27***
FLEX_F			0,28***		0,19***			0,22***		0,11*			0,36***		0,26***
SAT_MA				0,37***	0,32***				0,44***	0,36***				0,4***	0,3***
j_secu				-0,02	0,03				0,23***	0,22***				0,32***	0,28***
j_h_in				0,18**	0,17**				0,15***	0,13**				0,37***	0,33***
j_adva				0,16**	0,14*				0,09*	0,07				0,16*	0,14*
j_inte				0,4***	0,37***				0,61***	0,57***				0,52***	0,47***
j_inde				0,14*	0,08				0,14**	0,09*				0,07	-0,02
j_help				0,09	0,09				0,12**	0,11*				0,01	0,02
j_usef				0,18**	0,17**				0,22***	0,21***				0,17**	0,18**
SEX_M	0,2***	0,21***	0,17***		0,17***	0,13**	0,14**	0,1*	0,1**	0,09**	0,14*	0,15**	0,1	0,08	0,08
age_49	0,08				0,04	0,13*				0,09*	0,23***				0,18***
age_65	0,06				0,04	0,14*				0,12*	0,36***				0,31***
Educ_y	0,03***				0,01	0,03***				-0,003	0,01				-0,03**
Hours_	0,006*				0,001	0,007**				0,004*	0,001				-0,002
superv	0,31***				0,13*	0,23***				0,05	0,35***				0,11
union_	-0,03				-0,02	0,1				0,08	-0,07				-0,05
child_	-0,01				0,02	0,03				0,07	0,02				0,06
si	-0,22**	-0,19**	-0,25***	-0,08	-0,13*	-0,09	-0,04	-0,09	0,1	0,08	-0,28***	-0,22**	-0,31***	-0,09	-0,14
hu	-0,13*	-0,06	-0,1	0,21**	0,2**	-0,3***	-0,21***	-0,28***	0,16**	0,14**	-0,54***	-0,42***	-0,5***	-0,04	-0,05
hr	-0,32***	-0,31***	-0,25***	0,01	-0,03	-0,23***	-0,18**	-0,15**	0,19***	0,17**	-0,52***	0	-0,42***	-0,07	-0,07
AT (fixed)	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
R Squar	0,04	0,08	0,09	0,16	0,20	0,05	0,12	0,11	0,31	0,34	0,06	0,11	0,12	0,21	0,24

W\_CEN\_2 Intrinsic (Disagree: Job is just earmin money); FT\_PT Full time job preference; FEAR\_L Not at all worry of losing job; v\_time Important: Decide Time; W\_F\_CON Work-Family Conflict (Sometimes or more); W\_L\_TIME Work-life balance (Not difficult take time off); FLEX Flexible woking hours; SAT\_MAN Satisfaction (management); j\_secure Job quality: Job Security; j\_h\_inc Job quality: High Income; j\_advanc Job quality: Advancement; j\_intere Job quality: Interesting; j\_indepe Job quality: Independently; j\_help Job quality: Help Other People; j\_usef Job quality: Usefull to Society;

Table 1 Results Model 0 (M0) shows regression coefficients for background variables: demographics mainly. The level of the explained variance is not large (AC 4-5% and CC6%), which is in accordance with the literature of Meyer and Allen (1997). The most important among all demographic variables are gender, since it significantly affects AC (Beta coefficient is .020 \*\* \*, .013 \*\* and CC .014 \*) and the employee's supervisor. *Hypothesisi 5* is confirmed. Differences between countries are statistically significant.

Table 1 Model 1 (M1) shows the results of the regression analysis for the second set of variables; value orientations of employees. They explain 8-12% variance for AC and 11% variance for CC. The most important is the intrinsic orientation to work. It is followed by the importance of the possibility of the employee to determine the beginning and the end of a work shift. This indicates very strong importance of flexible working time for generating employee commitment. Somewhat less important is the orientation towards employment for the full time work. People want to have a stable employment, which is reflected in the next

variable, where people are afraid that they will lose their jobs. Gender differences are statistically significant, as are differences between countries.

Table 1 Model 2 (M2) shows the results of the regression analysis for the third set of variables that indicate the presence of conflict between work and family. The model explains 9 to 11% variance for AC and 12% variance for CC. The most important variable is the ability of employees to take some hours off work for urgent dealings that are imposed on them by private and family life. Flexible working hours are the second most important factor for generating employee commitment. However, work interference during family life negatively influences the employee's commitment. *Hypothesis 3 is confirmed*. Gender does not affect the emergence of CC, it only affects AC. Differences between countries are statistically significant.

Table 1 Model 3 (M3) shows the results of the regression analysis for the fourth set of the variables that are work characteristics. The model explains 16 to 31% variance for AC and 21% variance for CC. The most important variable is satisfaction with management. Employees develop their affiliation to the organization if the organization provides them with interesting work, work which is sensible and useful to society, and is accompanied by a high income and long term employment. Gender does not affect the emergence of the CC, but only AC. Difference between countries are statistically significant.

Table 1 Model 4 (M4) results of the regression analysis for all independent variables that are combined together in a common model. Model explains 20 to 34% variance for AC and 24% variance for CC. Looking at which factors have the most impact on shaping and creating employee commitment, the strongest factors stand in the following order: Interesting job; Satisfaction with managers; No difficulties getting an hour or two of time off work for personal and private matters (work-life balance); The factor determining the start and end of work (Job and worker flexibility (flex time)); The intrinsic value orientation (Centrality of work) that »the job is more than just earning money«.

If we look at which factors generate the most employee commitment in our four countries, we would have to say that the factor that the employee can balance work and private life showed great importance. Employees should be allowed to take an hour or so off work in order to take care of private matters. This ensures the employees a balance between private and working life. This factor is on the third place. On the fourth place is flexible time where employees can decide the start and the end of work. This is also an important factor for reconciling work and private life. Hypothesis 4 is supported.

Among the medium-impact factors of employee commitment we can include: gender; Job security. Being worried about losing the job (“How much do you worry about the possibility of losing a job?”); Job High Income; Job is useful to society; Job advancement; “What type of employment is preferred by the individual”: Full time preference. In the group of medium-impact factors that generate employee commitment, we find factors such as gender (Hypothesis 5 is supported). and job security.

Among the weak-impact factors of generating employee commitment, we can include the characteristics of work, such as a high degree of work autonomy (working independently) and work where an individual can help others.

## Differences among countries

In Appendix is the presentation of the regression analysis of country-specific factors of employee commitment (Table 2). There is a slightly different distribution of factors here. The strongest factors are still interesting job, and that the job is useful and relevant for society, and that an individual can take a short time off at work in order to perform essential private life related obligations. It is not surprising, however, that one of the stronger factors of generating employee commitment is being satisfied with the leader. The stronger factors are still high income and employment security. In Austria, the Beta coefficient for the variable »My job is secure« is (.110\*\*, .149\*\*\*, .213\*\*), Hungary is (.133 \*\*) and Croatia is (.116 \*\*) in addition to Slovenia where the Pearson correlation coefficient is .29. For these factors it can be said that they point to the common characteristics of generating employee affiliation for all four analyzed countries.

Among medium-impact factors which generate employee commitment, there are already differences between countries. The job and work, which offers the prospect of promotion is no longer important. Its value is significant only for Slovenia (.185\*\*, .101\*, .132\*), and not so much for the other three countries. In contrast, a job in which an employee can help other in need is more significant in other three countries: in Hungary (.108 \*\*, .119 \*\*, .213 \*\*), in Croatia (Pearson's correlation coefficient .32 and .21. ) and in Austria (Pearson's correlation coefficient is .21). It is not as important in Slovenia; the coefficient even stands in the negative (the Beta coefficient for the variable "In my Job I can help other people" is -.103 \*). These two last factors of generating employee commitment (the importance of the prospect of promotion and the negative impact of work, where employees can help others) in Slovenia show a fairly high degree of individualism as a value orientation, which has been present among Slovenes in recent times.

Gender influences employee commitment in Hungary (Beta coefficient for gender variable is .097 \*\* and .077 \*), and Croatia (.091 \*\* and .116 \*\*)(*Hypothesis 2b is confirmed.*), but not Austria and Slovenia (*Hypothesis 1b is confirmed.*). In this sense, the differences are visible in the APPENDIX.<sup>3</sup> In Hungary and Croatia, a strong predictor of the generation and formation of employee commitment is the intrinsic value orientation towards work. The variable "Work is not just a means of earning money" stands in Hungary (.089 \*\*), and in Croatia (.112 \*\*). Flexible working time is also more important in Hungary (.151 \*\*\*)(*Hypothesis 8a is confirmed.*) in Croatia (.145 \*\*)(*Hypothesis 9a is confirmed.*) and in Slovenia (.147 \*\*) (*Hypothesis 10 a is confirmed.*) than in Austria, where it does not show any influence(*Hypothesis 7a is confirmed.*). Age is the second demographic factor that shows that older workers are more committed to their companies in Slovenia (.174 \*\*\*), Hungary (.099 \*) and Croatia (.092 \*).

Variable »Not difficult to take time off for private matters« is important predictor of generating commitment in Slovenia (Hypothesis 10b is supported), Croatia (Hypothesis 9b is supported partially) in Austria (Hypothesis 7b is rejected), but not in Hungary (Hypothesis 8b is rejected).

Among the weak-impact factors is the factor of »leaving a well-paid job in order for the family to benefit from it«. We can find differences between countries here following the same pattern from above. This factor has an impact only in Hungary (.161 \*\*\*) and in Croatia (.099 \*\*). Weak-impact factors (a high level of autonomy, an option to help others in need and other demographic variables) have an impact only in one country, therefore they are

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<sup>3</sup> A reader can obtain a numerical display from the authors.

more indicative of the specificities of individual countries and we will not pay much attention to them here.

## Discussion

The results obtained in the analysis of the factors of employee commitment in four countries (three of these are transition countries: Slovenia, Hungary and Croatia, and the fourth is Austria, which is not a country in transition) show that this region has some common features in the economic area. These four countries have some regional affinity (cultural, religious, they are part of a common history). The results show that all four countries have some common factors that generate employee commitment and can be summarized in the direction of generalization, which indicates that there are some factors that determine the characteristic of the region (the first part of the analysis). However, the differences between them must also be understood. In our analysis, we have identified differences between countries in terms of the adaptation of individual countries in transition to the conditions of the global economic system, which is basically capitalist. The theory of Varieties of Capitalism and with in the Theory of Varieties of Genderism served as the starting point for us. In order to move closer to a successful economy, each of them has chosen the path and goal that sets different conditions for management in the country, different institutional arrangements, entrepreneurial and labor legislation, social policy and, consequently, directs companies and organizations into specific measures, which also represents conditions for employees. Employees respond in specific ways and in the theory of social exchange we can find the starting point for the understanding of formation of employee commitment. The social exchange in companies takes place in a wider economic and social context. According to theoretical starting points of Varieties of Capitalism, the countries were divided into two groups: the first one is Austria and Slovenia, while the second group is Hungary and Croatia. They also reflect the diversity of industrial relations systems and precarious employment across the CEE region. Austria can be seen as a corporatist country, Slovenia as neo-corporatist. Embedded liberalism is present in Hungary and neo-liberalism can be found in Croatia. We hypothesised that job security (the fear of losing a job) will not have an impact on employee commitment in Austria and Slovenia (hypothesis 1a), but will have an impact on commitment in Hungary and Croatia (hypothesis 2a). This hypothesis is rejected. It has an impact in Hungary and Austria, but has not an impact in Slovenia and Croatia. In this regard, reactions of employees should also be different. In Austria women work predominantly part-time which is different from Slovenia where women work full time – the same as in Hungary and Croatia. For explanation of the differences among four countries under the study it is better to use Varieties of Genderism as an explanation, where social policy is evaluated in terms of (de)gendering effect on society. Flexible time is important in Slovenia, Hungary and Croatia, but not in Austria. The main hypotheses are supported (Hypothesis 7a, 8a, 9a, and 10a).

Organizational outcomes and the organizational behaviour should mirror these differences. In the case of commitment, we were able to show these differences.

Gender is a strong factor in generating employee commitment in Hungary and Croatia, but not in Slovenia and Austria. Hypothesis 5 is partially confirmed. Here too, there are differences between countries following the pattern above. Employees would »refuse a well-paid job which would benefit their families«. This factor has an impact only in Hungary and Croatia. Even the strongest factor in generating employee commitment, which is »interesting job«, is more important in Hungary and Croatia than in Slovenia and Austria.

Our assumption for the present research was that there are many economic circumstances, institutional arrangements and contextual factors that affect employee commitment. Changes in socioeconomic conditions (transition from socialism to capitalism) may decrease or increase the levels of commitment in society (Rigotti, Otto, & Mohr, 2007). These conditions are not determined simply by voluntary choices of firms' managers, but are favoured or hindered by the institutional context (child-care infrastructure), that is, by a series of institutions and policies (de-genderising social policy) that act at the macro and micro levels, and that are closely interrelated between each other.

One more apparent contradiction must be found at the end. Our data shows that women are dominant in the centrality of work and at the same time they have a generally lower level of commitment. One possible explanation would be that this value orientation, which shows the importance of intrinsic orientation towards work is very important for women participating in the labor market. However, when they enter the labor market, because of various reasons (intense work load arising from unpaid work performed at home), unfavorable circumstances in the workplace (inflexible time of work, family unpleasant organization and weak support from the leaders for maintaining the balance between work and family) and poor institutional support (such as the prevalence and accessibility of kindergartens and homes for the elderly) bring about a high level of imbalance between work and life of women, which results in lower levels of employee commitment.

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## Appendix

**Table 2: The regression coefficient of country-specific factors of employee commitment**

	Madziarska			Slo			AU			HR		
	work	stayed	stay	work	stayed	stay	work	stayed	stay	work	stayed	stay
SEX	.057*	.077*								.091**	.116**	
Work cent 1 Job is money		.083**									.112*	
Work cent 2 Enjoy having		.26								.142**		
W_L Sometimes or more							.101**	-.084*				
W_L Difficulty to take time of				.213***	.153**	.108*	.106**	.24*	.115*		.20*	.107*
W_L Remained in unsatisfying job		.20										
W_L Give up job opportunity			.161***									.099*
Flex time			.151**	.147**	.21					.145**		.21
Full time							.116***					
J satisf	.33	.50	.34	.22	.43	.42	.113**	.50	.42	.37	.52	.41
Sat man	.22	.28	.33		.136**		.149**	.130**	.23	.111**	.214***	.124*
Sat col	.118*	.29					.20	.28	.21	.24	.26	
Fear L	-.128*	.22				.21			.127**			
No phys			-.185***									
No stress							.094*					
V Job	-	-										



## **Institutionalization of corporate governance practices in the Brazilian context: a process in evolution**

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### **Abstract**

This article outlines how the evolution of adoption of sound corporate governance practices on the Brazilian organizations has been adding to its institutionalization through time. Adoption of such practices comes along as a difficult assimilation process, for there are cultural barriers grounded in traditional social actions. The national history and scandals involving the largest Brazilian enterprise, Petrobrás, flare up such topic once again. The theoretical-empiric analysis is grounded on an institutional perspective and secondary data acquired of the Brazilian context. From the literature on corporate governance, it is proposed a typology and identifies new institutions that spring up in the Brazilian scenario, indicating that international corporate governance standard has being inserted in the Brazilian organizations in growing process of bureaucratization.

### **Introduction**

The recent democratization in Brazil having started since the 1980s has followed a tortuous path trail with many advances, although also with setbacks and reversals as the result of a historic corporative culture and disrespect for Brazilian citizens. It is noted that the national political scenario is still contaminated with favoritisms, partiality and behaviors targeted at advantages-taking and appropriation of the public-related by the private realm. Civil society is consternated with the absence of altruism and commitment by politicians and entrepreneurs with righteous honesty, to the point where they do not fathom whom to vote for and question whether it is worth keeping such structure regarded as a democratic one. In spite of that, the established democratic institutions have been proffering their indignation against the level of corruption reached, and an ardent desire for changes emanates from the Brazilian society.

Brazilian organizations have moved forward towards professional takes on management, allowing for a greater participation of stakeholders in corporate decision making. In line with Viera and Mendes (2004), the capital markets have evaluated the corporations' governances and this has been an important factor, which has been affecting companies' market values, as well as the risk-rating of stocks investments. Rossoni and Machado-da-Silva (2013) evaluated how legitimacy is weighing on the market value of companies listed in BM&F Bovespa, by means of adherence to the New Market where the company's value is independent of prestige from councilors and independent of the reputation built through time. In contrast, within the public realm, a setback is perceived in relation to that, for the recent populist policy from the government has been bearing issues on this institutional base, which seeks to establish and maintain the much-needed trust in the capital market so as to keep on attracting international investors. Concerning this, in the private sphere, the Brazilian entrepreneurial behavior still

endures much influence from a provincial viewpoint tethered to patrimonialist values in which favoritisms and partiality prevail, and there is a movement towards a more effective and rational standpoint, as advocated in more developed countries, which made a great difference in bringing about a period of unprecedented prosperity for Americans, for instance. This more efficient viewpoint builds on formal rationality, whose fundamentals of the social action is the means-ends reasoning, by means of the utility calculus of consequences based upon Weber. Castor (2000) points out that Brazil shows in its practices some paradoxes that spring up linked to the political movement that still prevails over the logics of economic and social development. The political influence that the economy undergoes has been felt by the Brazilian society more profoundly, ever since the start of Dilma Rousseff's second mandate, in January 2015. The populist and assistentialist policy of her first mandate as the chief executive pulled apart the government's revenues and funds, which brought about a fiscal crisis; and the situation worsened with the political crisis deriving from the investigation carried out under the powers of the Federal Police Service, in what was coined "Lava Jato operation" about a corruption scheme involving the operations of Petrobrás and Brazilian contractor businesses aimed at financing political campaigns and bribes.

Historically, this governance crisis is repetitive in Brazil, for the State, in the best Keynesian style was largely responsible for boosting the industrial development of the country starting in Vargas era. Castro and Souza (2004) found out that the State was responsible for promoting all necessary infrastructure towards the country's growth and responsible for creating the main companies destined to ensure such development. The Brazilian large companies are not older than 50 years in existence, and a great many were or are state companies. During the government period of FHC (1994-2002), several privatizations took place so as to shorten the size of the State and its direct influence in the economic activity. This reform was interrupted with the start of president Lula's term, who began to enlarge the influence of the Government over state companies, provoking one more governance crisis that is putting at stake the credibility and reputation of government, and worsening the uncertainties about the future political and economic. Soleimani, Schneper, and Newbury (2014) found out that the entrepreneurial reputation has its roots in national beliefs concerning the role of the corporation in society, and that these beliefs conjure up according to the preference of powerful players that directly perform inside the organizational field. The work by these authors investigated whether the differences between the rights and legal protections of stakeholders, lenders and workers affect the reputation of entrepreneurial corporations, with the use of a 593-sample of the largest open-capital companies starting from 32 countries, along the period from 2007 to 2011. It was verified that in societies where stakeholders wield an elevated degree of legal rights, the impacts over the corporate reputation are positive. Similarly, the negative relation between the volatility of profits and reputation becomes even greater as the rights of lenders are breached.

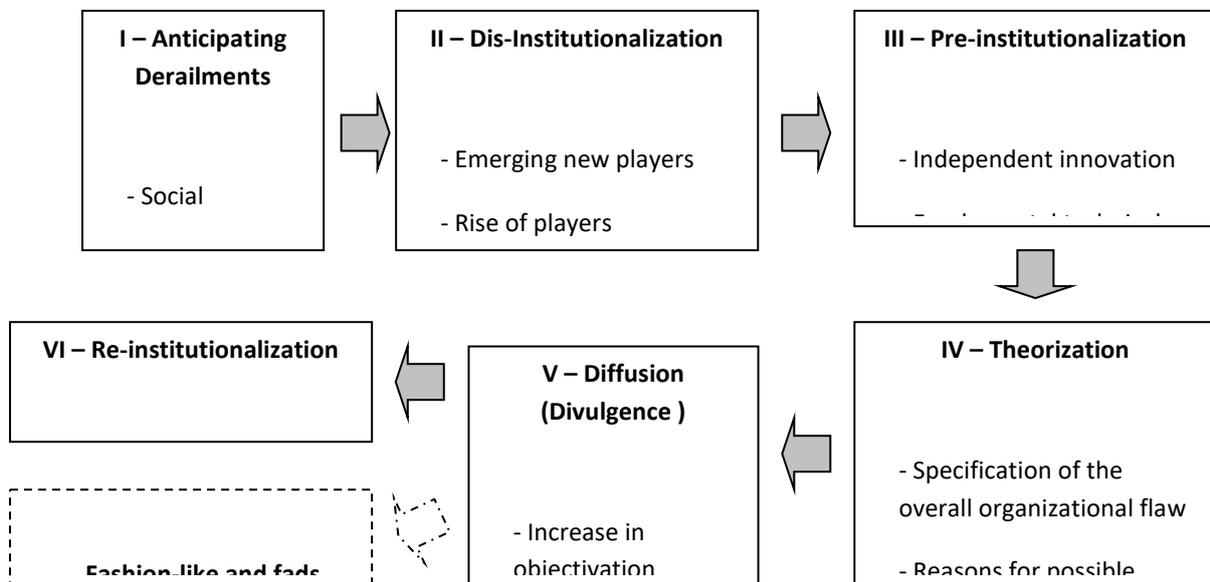
It is noticed that the evolution of the adoption of the principles of corporate governance in the Brazilian corporate society has contributed to increase the reputation of the companies and the institutionalization of their practices over time. Secondary data were used to verify the paradox between the patrimonialist and bureaucratic domination system, identifying the contradictions in terms of corporate governance. This study comes forward as an exploratory and qualitative one, as it seeks to explain in which manner the corporative governance in Brazil has been contributing to the unilateral-practices traits and has been evolving towards more collective concerns, and contributing alongside, to the transformation of the domestic entrepreneurial context of patrimonialist prevalence for a more rationalized standard. The methodology this research used a documental survey on cases of domestic companies, in

order to explain the effects the institutional pressures in Brazilian organizations. Starting from the research issue, it is explained, in an objective fashion, the evolution of corporate governance in Brazil and its institutionalization departing from the empirical data.

### Institutionalization

The phenomenon of institutionalization entails the study of institutional changes which is meant to be identified within the Brazilian domestic context. In the literature, there are various attempts at identifying which are the steps of institutionalization. Tolbert and Zucker (1996) observed three stages: habitualness, objectification and sedimentation, but ignored how institutional arrangements may erode and be replaced. Moreover, Machado-da-Silva and Gonçalves (1998) warn that these moments, as they are called by Berger and Luckmann (2005), must not be thought out as taking place in a temporal sequence, but rather simultaneously. Greenwood et al. (2002) suggested six stages illustrated in Figure 1, from institutionalization until re-institutionalization.

**Figure 1: Stages of Institutional Change**



Source: Greenwood, Suddaby, and Hinings (2002, p. 60).

In the description these authors, stage I occurs as events, or derailments, destabilize practices deemed successful wins. These derailments could turn out as a social upheavals, technological interruptions, ceased competitiveness, or regulatory modifications. These changes draw the II stage earlier as new players are in place, as already existing actors rise up and as entrepreneurship rises locally. These factors unbalance the consensus built up socially within the field level, by way of the introduction of new ideas and the possibility of change springs up. Tolbert and Zucker (1996) refer to stage III as that of a pre-institutionalization, in which the organizations innovate singly, seeking solutions technically viable for the issues perceived locally. New practices, in order to turn out largely adopted are theorized among the players immersed by means of scripts (stage IV). Theorization accounts for devising abstract categories and elaboration of networks of cause and effect in order that simplification is made, for a broader adoption. Divulgence is made only in case the new ideas as presented with full acceptance and considered more suitable than the existing practices. Such transition is attained through alignment of the new ideas within the ongoing prescriptions, which in turn

confer moral legitimacy to them (Suchman, 1995; Tolbert & Zucker, 1996), and/or is attained through making the case of its functional superiority, or pragmatic legitimacy. A successful theorization is followed by diffusion. This takes place as the divulged innovations become objectivized, attaining a social consensus over its pragmatic value, and therefore, they are even more diffused, and a lot of the times, they may sound as fads for the immersed social players. Stages IV (theorization) and V (diffusion) correspond to the phase of semi-institutionalization. Fulsome institutionalization occurs when the density of the adoptions provides for ideas with cognitive legitimacy (Suchman, 1995) and the ideas are regarded as certain. Once completely institutionalized, ideas may survive through generations, uncritically accepted as a definitive standard (Tolbert & Zucker, 1996).

It is worth noting that the fundamental question is not on whether the structure is or is not institutionalized, but rather on what empirically prevails in relation to the level of acceptance of the standards, regarded to be going right by a proportion of players who are immersed inside the organizational field. Because of that, the stage of theorization is taken as particularly important, for it is in this stage that internalization occurs. Organizations imitate one another because they anticipate similar benefits. In this sense, pragmatic legitimacy is grounded on an assumed bond among the new ideas and the economic outcomes. It is feasible to size up that the good practices of corporate governance are placed within a set of social institutionalized rational actions inside the international context, once that they are defined by the search for organizational efficacy and for preservation of stakeholders' interests. Therefore, establishing the rules for rational governance, which preserve such principles, in turn, confronts other governance practices grounded in patrimonialist principles within the domestic context, which may compromise the outcomes of the organization, the stakeholders' return, and the preservation of interests by society, such as quality of the environment and the health of the population. Thus, we propose a typology pertaining to the models of governance in order to situate corporate governance inside the Brazilian context, and to identify the stage in which institutionalization of good practices is founded.

### **Typology for Studies on Corporate Governance**

According to Torfing et al. (2012, p. 1), "*in generic terms, governance can be defined as the process of steering society and the economy through collective action*". Its basic principle is to preserve social and economic interests. Researches on this theme, performed during the decade of 1990 focused on large corporations. The transition from a socialist State to a market economy, and the increment of financial markets around the world impacted corporate stewardship. Works on the governance framework of the organizations (Anderson et al., 1998), which investigated the set of means that evolve within the organization in order to steer the managerial decision making, identifying that this frameworks are interdependent settings. There was a hike in comparative research work and historic research on governance that raised the idiosyncrasy of the American system (Davis & Robbins, 1999), bringing up front the style of governance to solve the issues of separation between ownership and control of the organization. While the agency's theory may be taken as an empiric theory of the corporation, it may equally be deemed a prescriptive theory, that is, not an explanation of what it is, but instead, a viewpoint of what governance might or might not be, acknowledging the competence about the rhetoric by corporate managers (Useem, 1996). Blair (1995) argued that corporative governance implies a set of legal, cultural, and institutional arrangements that determine what the corporations can publicly perform, who controls them, how such control is carried out, and how are allocated the risks and returns of the activities that they wage. On the basis in the institutional theory, we proffer a typology aimed at investigating the construct

of governance from the level in which the research issue is situated, which may shift from the structural pole to the voluntarist pole, or shift to both, as shown in the Table 1. Kogut (2012) showed the influence of social networks on corporate behaviors and governance, which takes on from the micro level to the macro-structure. Thus, corporate governance may be tackled as an independent variable (internal outlook) or dependent (external relations). The role of the highest administration is essential for the efficacy of governance systems and the theory of agency representativeness, and the limits of structure on the strategy surface as assumptions suitable for the performance of researches. Relation between agency and structure, and the alluded deterministic and voluntarist perspective is another relevant aspect which needs to be explored (Reed, 2005) and may be useful in analyzing corporate governance in Brazil.

**Table 1: Typology on Corporate Governance**

<b>Corporate Governance</b>	<b>Features</b>	<b>Authors</b>
Structural: national system of governance as institutional matrix in the state-nation level	Grounded on economic institutionalism Minimizes the agency's costs and maximizes the stakeholders' prosperity	North (1991) Gordon (1997) Bebchuk and Roe (1999)
Agential: owners of a corporation have as a goal to hike up the value of their investments at a minimal risk	The objective is to increase the organization's price Influence of the corporate manager in the definition of the company's direction	Gilson (1996) Katzenbach (1997)
Network: collaborative action for coordinating strategies of the players with different objectives and preferences in the network	Practices observed in the context of actions and initiatives by influence of agents Ability of the players to implement public policies in a network	Parker (2007) Blanco, Lowndes, and Pratchett (2011) Kogut (2012)

### **Evolution of the Corporate Governance Practices in Brazil**

In the trends in research, it is noted how corporate governance is still starting out in Brazil. Cardoso's (1963) theory about the Brazilian entrepreneurial mindset depicts well the evolution of business reasoning in the country and reveals the historical need to ameliorate corporate governance in order to ensure the long term survival of Brazilian companies. For this author (1963, pp. 168-169), among these typical Brazilian "industry captains", the enterprise undertakings were incentivized more by acquisition of long term governmental financing than by the private initiative of "conquering" new ways, as well as incentivized by the anti-entrepreneurial behavior of too much garnish and swindling of profits for purchasing real estate and/or foreign money allocations; indeed, all these characterized commonplace procedures. For Clemente (2004), the historic context in which Brazilian companies have been developing, chiefly the open companies, presents a concentrated control by few owners – not rarely with family ties. With the growth of the companies, expansion of businesses and economic opening, the need for credit rises as well as need for capital which allows for an increase in the productive scale. Before this new scenario, companies start a process of capital opening, the number of owners is higher and necessity of a professional administration becomes evident. Management contracts are essential for limiting the action of professional managers and Brazil still is in baby steps on this, since a great part of the governance of the Brazilian companies is not professional. The development of enterprise management skills, pressured by a more competitive capital market makes owners far away from the enterprises' day-to-day and makes them, in turn, enact influence towards decisions of the board of directors. This evolution stresses a new question: how to handle the management of the company so as to maximize the interests of owners?

According to Vieira and Mendes (2004), corporate governance may be viewed as a mechanism that is destined for bringing about greater transparency, discipline, and accountability by managers of the companies toward stakeholders. Ensuring that stakeholders have a larger array of access to the information allows for cutting down the asymmetry of information contained in the markets, and this brings down, consequently, the cost of the companies intakes and ensures that stakeholders be treated in an evenness fashion and that they can make decisions on investments adequately to enhance their outcomes. In Brazil, seeks with its alterations, to propitiate for minority stakeholders to reduce risks and maximize their participation in companies control (Brasil, 2001). It is not part of the average Brazilian citizen to invest in the Stock Exchange and one of the reasons is their natural dislike for risks. In order that such impact is made smaller, in establishing levels of governance, Bovespa (2002) understands that the criteria set forth the different levels of governance hold a solid correlation with valorization and lower volatility of the shares. Bhojraj and Sengupta (2003) also points strong evidence that the companies which show good practices of governance tend to have a lower capital cost and, therefore, a lower risk. The companies with reasonable governance practices in Brazil are a recent phenomenon and the statistical data are still very early so that definitive results are attained. There is a trend in the direction that the market is ready to pay a “governance premium” over the share prices, which seems to be strictly linked to the lower credit risk associated with such companies. The economy of the liberal market steered by state regulation is a plausible combination and can yield reasonable outcomes.

### **Cases of Corporate Governance Practices in Brazil**

The most recent and most quintessential case one could mention in Brazil, is undoubtedly, the scandal at Petrobrás. Jacometti (2012) argues that the concern with the establishment of good practices of corporate governance is still incipient. Another aggravating factor pointed by the author is that, in most of the companies, such governance is not professionally implemented, and when indeed it is implemented it happens with ceremonious purposes targeted at fulfilling the capital market demands. One of the main goals of implementing corporative governance, which consists of circumventing conflicts of interest between the agent (company managers) and the principal (shareholders) turns out being placed at stake, opening possibilities for a deviation of conduct, and consequently, possibilities for corruption deeds. Since the corruption deeds are started by members from highest ranks at companies, there is a hard tendency for the so-called spill-over to take place, or overflow of the corruption deeds at the inferior levels, permeating the organization as a whole until it reaches a point of corruption when it stays institutionalized within the organization (Misangyi, Weaver, & Elms, 2008, Ribeiro, 2010). With respect to the public capital companies, such outlook is seen more critically. According to Barbalho and Medeiros (2014) part of the problem is the duality of the strategic goals of state organizations. An enterprise such as Petrobrás has to perform both its economic-activities-driven functions as an end (exploration, refinement, and distribution of oil and derivate products), and functions of public policies. In this realm, there is always the risk of confounding between the State’s policies with those of the Government, which may end up in “moral risks of political rigging of the state-owned company by its agents” (p. 481). The administration of the state-owned company tends to resonate the inheritance of patrimonialist domination, characteristic of the Brazilian society, once that “in patrimonialism, governing authorities and clerks are confused with the means of administration, privately benefiting from their public occupations” (Ribeiro, 2010, p. 8415).

The recent crisis caused by cases of corruption at Petrobrás shows the relevance of maintaining effective the good practices of corporate governance, since the crisis was set, in

first place, by a signaling to the market of the existence of a state governance crisis. In the popular case underway, the purchase of refinery Pasadena Refining System Inc. (PRSI), in Texas (USA) in 2006, for instance, brought about a loss accumulated at US\$659.4 million according to the report elaborated by CGU (2014). However, not only the values were questionable. As the Contracts Theory points up, all contracts are faulty, although the risks may be worsened in cases of asymmetry of information between the parties. The framing of the contracts for acquisition of refinery PRSI by Petrobrás illustrates such assertion, since the report by CGU (2014) points to a series of clauses clearly disadvantageous, which caused great risk in the deal, whose clauses were suppressed from the purchase and sale contract, and clauses on the agreement of the stakeholders approved by Directors of Petrobrás. Jacometti (2012) highlighted that corporate governance influences the price paid in the market for the company shares, which can be verified in the case. Since the onset of the governance crisis, this state-owned enterprise has seen its market value depreciate roughly at 70% between 2014 and 2015. Even under unrelenting vigilance, it was possible to find corruption deeds inside Petrobrás, which gave fruit to the largest case of corruption investigation and money laundering in Brazil, called Lava Jato Operation (MPF, 2015). The investigation pointed up that contractors made co-optations with public agents at Petrobrás in order to overpay and bid as winners in billionaire biddings for public contractor works, with evidence to the construction of refinery Abreu e Lima, in Pernambuco. Unfortunately, unreasonable stories of dissolutions and bankruptcies of large corporations in Brazil are every-day facts in the history of the national economy. The motives are indicative of a sociologic analysis of Brazilian business behavior. If not, let us see some cases, according to Castor (2000, pp. 81-82):

Almost as a general rule, Brazilian companies, as they grew and had to make the transition from business-driven capitalism to the modern capitalism showed to be unable to capitalize (...) and wound up being absorbed by large enterprises (...), or yet when the State scuttled the protectionist barriers that made for the birth and survival (...). The Brazilian industry of electronic appliances is only one of the many examples. In the decades from 1950 and 1960, companies with majority Brazilian capital (...) were expressive of nearly the entirety of the industrial production with brand names such as Arno, Walita, Prosdócimo, Indústria Pereira Lopes/Clímax, and Cônsul. All of them belong nowadays to large multinational enterprises. The pharmaceutical sector, which had large-scale national laboratories in the 1940s and 1950s has already been for many years also internationalized.

The case of Perdigão's merging with Sadia, in 2009, showed the acute issues of corporate governance in Brazil, where entrepreneurial culture still is contaminated by easy gains. In this case, it lacked good practices of governance, since a financial director could not single-handedly make the decision of investing in the financial market on risk operations. Instead of hedging the operations, Sadia sold out much greater futures, risking on whether the Dollar would not hike in 2008. That is to say, he subjected the company to an absolutely reckless risk, of oscillation of the assets can take place in a systematic fashion. The company lost R\$760 million with the operations, more than their accumulated financial outcome in 2007, at R\$689 million. According to Valenti (2009), the failure of Sadia's governance was made evident, with relation to the "hole" left by their financial director, who hired risk operations of values much superior to what was statutorily allowed to him, the reason for which he was prosecuted by the company. Why did these cases occur and will they continue to occur in the Brazilian business context? This is just what we should answer in the next section.

## **Institutional Pressures on the Practices of Corporate Governance**

On the basis of the described cases so far, the Brazilian business management reality suggests that the social actions which prevail are traditional and are destined for maintenance of the specific interests, but not collective. The evolution towards the model of the new market, nonetheless, seems to lean toward changing this reality. In observing the several cases, it is perceived that the Brazilian scenario presents the three types of governance that we defined in the section on typology. There are cases of corporate governance grounded on either the agency-driven model, structural or the network model. Jacometti (2012) shows the transition of the patrimonial model to the bureaucratic model, which has been gradually put in place in Brazil and he shows that this has been growing more intensely over the last years. The good practices of corporate governance within the international front have been gaining ground in the country. The research on the practices and outlooks of businesses' social responsibility (RSE) in Brazil (Ethos, Akatu, and Ibope, 2008) shows just that. The data reveals that 50% of the companies researched on, out of a total of 899 have at least 22 RSE practices employed out of a total of 56 practices evaluated, and that 79% of the companies have at least 13 practices. Taking from the research, this percentage is indicative of a rise in the companies' involvement over the last years, considering a comparison of a study performed by the Akatu Institute in 2004, wherein 50% of the companies had deployed just 11 practices.

Faoro (1987) already asserted that the Brazilian historical context flourished on traditional bases and still maintains these features. In the commercial strand of the economic activity, export farming developed, from the colony to the Republic, as well as the industry. Over the years, the state patrimonialism spurred the speculative sector of the economy and the prevalence of profits as a game and adventure, or, on the other side, patrimonialism was interested in the economic development under the political command, in order to satisfy imperatives dictated on by the management staff, with its civil and military component. Brazilian reality shows to repeat the capitalist experience, from which the techniques, the machines and the enterprises were adopted, without accepting its intrinsic anxious feel to transmigrate. In Ramos (1983), differently from what took place in the fully developed, countries, the ownership and stewardship still have not distinguished themselves in the industrial enterprises. It would be, so, allowed to call them "clan-like", so much out front in its stewardship is the influence of kinship criteria, more than the rational bureaucratic ones. The founders of the trade bourgeoisie class and industrial in Brazil are long-gone farmers and immigrants. Many industrialists of São Paulo are still major coffee farmers, or descendants, and display a great pride of the family, and at their companies they resist administrative modernizations. Another factor that bears influence on the managerial mindset are the famous Brazilian own ways. Second Ramos (1983), gimmicks would be the genuine Brazilian process of solving hardships, alluding to the contents of norms, codes and laws. It is precisely the formalism which makes for the gimmicky ways. Formalism would be the primary strategy and the gimmicky ways the secondary strategy. The efficacy of the own ways reflects the ongoing highly oligarchic power framework. Industrialization has been starting out a process of reasoning, tending towards the efficacy of the own ways. There occurs a paradox between the historic reference of tradition, which gives the basis to patrimonialism and the bureaucratization of the Brazilian society based on weberian instrumental rationale.

## **Conclusions**

Faced with the contradictions brought about by the trend of adopting the bureaucratic model of corporate governance in a rational basis, overshadowed by traditional practices, there

comes along the dilemmas and the challenges of the modern Brazilian organizations. The success of a business and its resulting growth hinges on good practices of corporate governance and professional skills-development of entrepreneurial management. In line with Castor (2000, p. 87), in more developed business-driven economies there is a clear distinction between the concepts of capital ownership and administration. Owners set the goal of their satisfactory incomes for their capital, and, for such, they hire professional managers who take on devising strategic plans and organizing the company's activities. The outcomes of the research at hand showed that the problems of corporate governance in Brazil refer to the need of setting as priorities the means-ends rational actions, and rational-values pursuant to the definitions by Weber (1994). The demand for enacting governance that takes heed of transparency, sustainable development, and social accountability base upon a combination between the instrumental and substantive rationale so as to tackle the new necessities institutionalized into society. Thus, the most suitable governance format would be corporate governance in networks, taking into consideration the context of institutionalized practices.

Other proposals, more radical on advocating practices based on sustainability could be assessed by regulatory entities of economy. The idea that whoever polishes the environment must be taxed on has been gaining supporters worldwide and there is a clear tendency by consumers to punish, by way of boycotting and shunning, firms that divulge deceitful advertisement about products, use social accountability as a marketing strategy, or that degrade the environment and exploit employees. But, we were able to make sure that one of the manners to change the entrepreneurial mindset it the coercive take to it, by means of laws and norms and the take as communicative action legitimated within society and reflected upon the social practice. Another paramount measure is education of newer generations with the standpoint of sustainability, as has been in place in several countries, and the adoption of public policies along this line of thought. The deep-seated culture of sustainable development values is a slow process that evolves pursuant to the institutionalized social deeds in time; and the rules of corporate governance taken up as successful presuppose. We endeavored to contribute to this topic, in that we presented a typology about corporate governance, in line with empirical cases, and in explaining how institutionalization of good practices of corporate governance in Brazilian organizations has been moving forward. The established institutions attempt to change the ongoing political system and at rooting out the historic recurrences of corruption in the country. The developed world hopes for this attitude by Brazilian organizations so that continuity is given to this process to consolidate this positioning.

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# **Regulation and voluntarism in practice: a comparative study of a regulatory industrial relations system (IRS) and a voluntarist IRS according to workers who have experienced both**

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## **Abstract**

This paper aims to compare a regulatory and a voluntarist Industrial Relation Systems (IRS) according to a same group of workers who have experienced both. The theoretical framework dealt with the objective aspects of the British and the Brazilian IRS, based on the recent historical facts that have influenced the formation of both systems. The methodology can be characterized as qualitative and descriptive, and data were obtained from the analysis of semi structured interviews conducted with 23 Brazilian workers. Results show that low-skilled workers value more the labour rights foreseen by the Brazilian legislation than the high skilled ones. Regarding the English IRS, there is a general sense of better work conditions that seems to overcome the need of law regulation.

## **Introduction**

Collective bargaining and measures to ensure employment and social rights has become less and less popular, gaining power a current defending industrial flexibility and autonomy in the use of the labour force to compete in the new global trade (Blyton & Turnbull, 2004; Esping-Andersen, 1996). The Brazilian regulatory IRS was formally established in the 1930's and remained practically untouched (Azevedo, Tornelli & Silva, 2015) until 2017, when a new law was enforced in the whole nation, changing the nature of the system and adopting some principles of the voluntarist IRS. The debate between voluntarist and regulatory system is not a new one. Nevertheless, not much was said from the perspective of a same group of workers who have experienced both a regulatory and a voluntarist IRS. Therefore, the question the present study sought to confront was: What is the perception of Brazilian workers who have experienced both a regulatory and a voluntarist IRS about both systems?

## **Brazilian LRS**

Labour legislation was consolidated in a single normative document, the Consolidation of Labour Laws (CLT), in 1947. A structured employment system was consolidated based on a strong hierarchy of jobs and standard contracts, for an indefinite period and with strong restrictions on dissolution (Azevedo et al., 2015). A great deal of labour obligations were imposed on companies (Costa, 2010b), raising the costs of formal contracting. Employees and employers were forced to fit into a particular union according to their professional category (Carvalho Neto, 2001; Carvalho, 2008). Nevertheless, the new rules left out the large mass of rural workers and public servants, as well as large numbers of urban workers

who came to enjoy the status of regulated employment only in 1963 (Carvalho, 2008; Costa, 2010b).

The promulgation of the Federal Constitution of 1988 allowed greater freedom of association by explicitly extinguishing the intervention of public power in trade unions and granting freedom to define its statutes and general rules. In practice, important changes have taken place in the structure of trade unions. The organization began to be from the bottom up, that is, under the leadership of the workers; decisions were taken in large assemblies and no longer by small groups; the members began to elect their own leaders, usually charismatic people like Luís Inácio Lula da Silva, and sought to negotiate directly with employers through collective bargaining (Carvalho Neto, 2001; Carvalho, 2008).

From 1990, the country adopted policies of integration to the new world order, which had as main platform the economic opening and deregulation of the economy (Costa, 2010b; Moreira et al., 2013).

Changes in the Brazilian labour relations system were implemented, such as the possibility of temporary suspension of the employment contract for economic reasons; the introduction of participation in profits and results (PLR); wage de indexation (Draibe, 2003) and the creation of the bank of hours to replace overtime pay, a practice introduced into the normative system based on collective bargaining (Carvalho Neto, 2001).

According to Tiezzi (2004), Brazilian and foreign researchers indicate that the Brazilian social protection system, until the early 1990s, was too large and complex compared to countries with the same level of per capita income and urbanization rates.

At the beginning of the 21st century, President Lula was elected. Relevant changes happened during the 13 years of the PT government, but there was no really reform of the Brazilian IRS.

In December 2016, just a few months after assuming the presidency as a result of Dilma Rousseff's impeachment, President Michel Temer announced a Bill with major changes in labour legislation. In July 2017, the bill was approved by the National Congress and converted into Law coming into force in November 2017 (Planalto, 2017). There is still much controversy about this law. The trade union representatives consulted the ILO and the organization stated that under Convention No. 154, ratified by Brazil, the project should have been submitted to the organ for prior consultation, and has positioned against whatever could be considered as a reduction of workers' rights (CUT, 2017).

In a law sanctioning ceremony, the government defended that there was no reduction of labour rights guaranteed by the Constitution, but rather a modernization of the system in order to make the labour market more dynamic and reduce labour disputes (Planalto, 2017).

### **English LRS**

The British Welfare State (WS) was consolidated by the Labour government elected in 1945 under Keynesian foundations (Deeming & Johnson, 2017).

By the 1970s and 1980s, economic crisis hit most the developed Western countries and the foundations of the WS began to be counteracted by a current defending the minimum state, described by some authors as more appropriate in the new globalized order (Deeming & Johnson, 2017).

In the following years a series of Acts were issued by the Government, restriction union act., Employment Acts (1980 and 1982) significantly restricted strike action. In 1984, a major strike paralyzed miners across the country. In response, the government introduced the Trade Union Act, which made trade union action even more difficult (Lockwood, 2006).

In relation to individual labour rights, changes also occurred during the 18 years of conservative rule. The timeframe for dismissal without just cause and the period of

compulsory reinstatement to post-maternity work were increased (Blyton & Turnbull, 2004). The Wage Councils, which established minimum wages in sectors where union organizations were not as strong as in the manufacturing, hospitality and retail sectors, were abolished in 1993 (Lourie, 1997).

In 1997, the Labour Party came to power with the main promise of ensuring a minimum infrastructure and justice to labour relations, but without adopting the radicalism of previous labour governments or breaking completely with the policies then in force. Such positioning was popularly called the "third way" (Gall, 2012).

Prime Minister Tony Blair's government was determined to act as a "stepping-stone to economic opportunity" and not as a "safety net in difficult times" (Deeming & Johnson, 2017, 13). Thus, those who could not find a job would have the opportunity to enter the labour market through public works programs after training, and only when needed would they receive assistance during the transition period (Deeming & Johnson, 2017).

A large package of measures focusing on reducing unemployment in specific groups, known as the New Deal (1998), subsidized jobs and retraining training. (Myck, 2002). The Labour government also argued that lack of regulation weakened the British collective bargaining system (Bogg, 2012) and introduced a statutory recognition procedure for trade unions. (Bogg, 2012; Parliament, 1999).

The possibility of statutory recognition of trade unions did not change the emphasis on private arrangements at company level, since the intervention of trade unions in the negotiations between employees and employers continued to be a procedure to be considered only in the absence of other alternative (Colvin & Darbishire, 2013).

The Minimum wage legislation and working time rules that are still in force were introduced in 1998 (Parliament, 1998). In 2010, Prime Minister David Cameron's conservative-led coalition government took power with the proposal to implement austerity policies to contain the public debt and fiscal deficit in which the country had plunged, especially after the collapse of the country banking system in 2008-2009.

The flexibilization of the rules governing employment contracts as a way of encouraging employment gained force (Deeming & Johnson, 2017). An example of this was the emergence and popularity of Zero Hour Contracts (CZH) (Grady, 2017), where the employer is not obliged to offer the employee a minimum labour demand and the rights come to exist only from the effective exercise of the labour activity. On the other hand, the employee also has no commitment to accept the demand when called by the employer. In 2016 there were about 900,000 workers in England in CZH (Gov.UK, 2017).

There has been a significant decrease in the number of unionized employees. In England, until the early 1980s, two-thirds of the workers were covered by some sort of collective bargaining agreement. In just over a decade this number had already fallen to one in five employees (Bogg, 2012).

When it comes to immigrant workers representation the issue is even more sensitive. In London, foreigners tend to carry out less valued activities and are subject to lower salaries, longer hours of work, bullying and great insecurity (Alberti, 2016; Datta et al., 2007).

Any subject that involves the labour market is very sensitive to the British, and this is perhaps one of the main explanations for the outcome of the referendum held in June 2016. Faced with the possibility of deciding whether or not to remain in the European Union (EU), the main issue that was discussed among the population was the immigration. Or rather, the free access of EU workers to the English labour market. Part of the population claimed that workers from EU countries took jobs from the British (Dhingra, Ottaviano, Sampson & Van Reenen, 2016). And 51.9% of the valid votes were for the exit (Electoral Commission, 2016). Paradoxically, immigration of EU workers is beneficial to the UK in several ways. Firstly, there was an increase in productivity and in overall wages. Immigrants need to live, live,

commute, eat and so on, therefore there was an increase of the demand. Secondly, EU immigrant workers seemed to be younger, to have more formal education than the British and to pay more taxes than they consume in benefits of social welfare. And finally, data indicate that natives born in the areas that received the largest number of immigrants did not suffer a decrease in wages or employment opportunities (Dhingra et al., 2016).

## **Methodological Aspects**

### **Qualification of the research.**

It was a qualitative research, with a descriptive focus, in a simple case study about the experience of Brazilian professionals who have already passed through a system of regulating labour relations with the new labour reality in a voluntarist system.

Data were obtained from its different sources: I) semi-structured interviews with Brazilian workers, and II) documents produced in Brazil and in England.

Up to October 2017, a total of 23 informants were selected through the technique snowball. Following this method, the first participants of the research were recruited by the researcher and were asked to indicate others. The interview script was constructed based on the theoretical framework, observing the particularities of the Brazilian IRS and the English IRS and the average interview time was 40 minutes.

### **Profile of respondents**

All informants in this research have completed high school and the vast majority have completed or are attending university education. There was a significant participation of workers in positions that require specialization and the salary range was always higher than the minimum wage. Only one respondent considered herself unable to communicate in English. All the others have total or reasonable command of the English language.

Seventeen women and six men were interviewed. The mean age was well distributed in the range of thirty years old (11), forty years old (6) and fifty (5) years old.

All the 23 interviewees have permission to work in England. The vast majority (14) have a European passport issued by other countries, such as Italy and Portugal. Two interviewees acquired the right to live and work in England after marrying British citizens and two others over the course of time living in the country. There were also two interviewees descended from English parents and three others who obtained the work visa requested by the English company.

As to the level of schooling, six have postgraduate degrees, ten have a university degree in England, and only five have completed just the second degree.

The professions and occupations varied widely, but were concentrated in the service sector. Only one respondent (E-4) came to occupy a position in the industry. These data can be related to the economic profile of England and especially London, where in the last four decades the industry has lost more and more space for the service sector (Data et al., 2007).

The salary was also always above the minimum value of the hour. This fact can be explained by the fact that, in addition to the national minimum wage stipulated by law, there is the called Living Wage, which is calculated independently based on real life costs and voluntarily paid by employers.

## **Results**

## **Documentation**

For low-skilled workers, having permission to work in England did not improve the quality of their job nor their wages. E-22 said that long after she was already working the employer discovered that she had a European passport. "But it made no difference," she said. Like hers, there were other reports of Brazilians who worked illegally in England for some period and, even after acquired permission to work they remained in the same job, as in the case of E-23. High skilled workers, on the contrary, considered that having work permission was impressive: "The Human Resources Dept. asked me, 'Do we need to sponsor the visa?' And I answered 'no, I have an Italian passport'. And they replied, "oh, that makes it much easier!" (E-8).

In Brazil, the basic documentation of the worker is the CTPS, a type of worker identification card. Although all the interviewees have had some experience of employment with a work contract in Brazil formalized in the CTPS, they have also worked without any legal formalization, specially in jobs that required little or no specific skills.

## **Benefits in Brazil**

In general, the interviewees considered the Brazilian labour law benefits as a feature of the Brazilian IRS and sees them in a positive way. It was very common to hear phrases such as "*All those employee's rights are great*" (E-21, E-3, E-5).

Some interviewees worked in large organizations and they also mentioned benefits provided by companies, such as: reimbursement of transportation expenses, food, language courses, medical expenses and private health plans for the family.

## **Benefits in England**

According to the respondents, in England rights and duties are defined in the internal regulations of organizations or individual contracts of employment. They say that the terms vary widely, but in general they consider that the worker has fewer benefits than in Brazil, but still they consider having better opportunities, recognition and possibilities in England than in Brazil.

Either in England and in Brazil there are laws establishing minimum rights that must always be observed. In England, those are called the statutory rights, but in many cases, terms are set out in employment contracts or by professional associations or organizations. Some interviewed highlighted the education, medical care, dental care and even medicines below cost provided by the British Government as benefits.

## **Flexible contract**

Some companies in England leave it to the discretion of the employee to decide the duration of their journey. Interviewees considers the possibility of choosing the journey a benefit very common in England but rather improbable in Brazil.

Zero Contract Hour (ZCH) is becoming increasingly common in England (Grady, 2017) and the growing number of respondents who have had this experience reinforces this. Part of the interviewees consider it positively, as the demand, remuneration and entitlements, such as vacations, raise in reflection of the availability and professionalism of the worker. But others see it as harmful to the worker either because "*there is no guarantee*" (E-3), "*if there is no demand it has no remuneration*" (E-15) or "*It is difficult to make other commitments as the employer thinks you are always available.*" (E-15).

Telework or home office also emerged. In Brazil, it is common to work from home after hours. That is, take extra work home or to other places outside the work environment. Santos (2012) verified that Brazilian female executives reached the point where they can no longer distinguish the hours that they dedicate to the personal life of the hours that dedicate to the professional life. Home and work can be easily mixed.

In this study, it was considered as positive and more common in England than in Brazil. The workers who have experienced it emphasized the convenience of working at home for a few reasons. Firstly, there is no physical and emotional exhaustion with commuting, therefore they can devote the time they would spend in commuting into work. And finally, they have more autonomy to reconcile the diverse demands of life.

These findings are in line with literature suggesting that teleworking facilitates the balance between private and professional life, and points to the economy and autonomy of time as the main advantages of teleworking (Aderaldo et al., 2017).

### **Conflict Resolution**

Two interviewees resorted to conflict resolution agencies in England and both were successful in their plagues.

In Brazil, there is a principle that the interest of the employee should always prevail in the resolution of the conflict (Delgado, 2016). This can have a negative impact over the employee professional image and difficult future employment, said some interviewees. According to the Brazilian General Report of Labour Justice (2016), the rate of new cases in the Labour Court in 2015 was 1.7%, meaning that almost two in every 100 Brazilians had a labour lawsuits that year.

### **Collective Representation**

Two respondents reported having been represented by trade unions in England and say *“it was a bad cost-benefit relationship [...] The union was going to do this (salary readjustment negotiations) to the category if I had given my union contribution or not (E-08)*. In turn, E-7 reports that it was risky to participate in strikes in Brazil because *“who gets involved with unions gets fired”*

Only one informant said that she is represented by a union in England and considers it essential for the rights of the employees. She has been working for a major airline in England for more than 10 years and the union is always acting in their behalf: "I think we're going to go on strike in the next few months again" (E-21).

These data suggest that, while in Brazil, workers support for strikes and collective representation is closely related to the perception of individual gain or loss that results from these movements, as the literature has already pointed (Almeida, 2008).

Although the intervention of unions is mandatory in the Brazilian legislation, trade union action in Brazil may be falling short of workers' needs (Carvalho Neto et al., 2016; Cruz et al., 2012), which makes the perception of "cost-benefit" relationship highlighted by E-8 being unbalanced.

Another possible conclusion is that the low number of workers who have joined unions either in Brazil or in England corroborate the general tendency of workers to maintain the non-union status quo by mere inertia (Bogg, 2012). In the Brazilian case, it also indicates the Brazilians' unwillingness to fight for their rights outside the courts (Almeida, 2008).

## Conclusion

As a response to the research question: What is the perception of Brazilian workers about regulatory IRS adopted by Brazil in comparison to English voluntarist IRS? It was observed that there is a difference in workers' experience and perception about Brazilian IRS. However, this is mitigated when it comes to the perceptions of this group about the English IRS.

Brazilians with higher educational level considered they had good work and life conditions in Brazil and share a distinct vision about the Brazilian IRS from those in opposite conditions. The explanation may be related to the opportunities they have.

Brazilians who considered they had good jobs, remuneration and possibilities of progressing in their career in Brazil were lawyers, managers etc., with University level education. For those, the basic labour rights provided by Brazilian legislation are less relevant than the career plan and the benefits policy provided by some companies, such as private health insurance and reimbursement of expenses. They believe each individual should seek professional fulfilment and that it is up to the Brazilian State only to promote minimum guarantees for the worker, that is, they present a vision based on economic liberalism. In balance, they feel the greatest loss they had in migrating to England was precisely the availability of cheap labour they had in Brazil, which allowed them greater dedication to work. After all, in Brazil, these individuals could count on another network of professionals who did all the domestic chores.

Another group of respondents reported a different situation. They consider that they did not have a well-defined career plan in Brazil. They felt impotent and incapable of defending their interests, even through collective representation. They believe rely on government intervention to improve workers' lives in Brazil and value the rights provided in the Brazilian law, such as 13th salaries, unemployment insurance and sick paid leave. Invariably, individuals in this group had a lower level of education than those in the first group.

When it comes to the English IRS, the findings were more homogeneous. There is no distinction between perceptions among the groups of workers interviewed. The vast majority of respondents perceive and value flexibility, transparency and equal opportunities in the work relations. They do not feel hostage to the employer as they consider themselves able to negotiate or simply change jobs. They also do not fear unemployment and most of the time the contract ends when they realize that it is time to leave for new opportunities. They realize that they have choices and take responsibility for them.

Thus, this work contributes to the understanding that workers' perception of the IRS is much more related to technical capacitation and career opportunities than to the IRS structure itself. The education level of the workers is an important aspect to be considered in the IRS dynamics. In Brazil, for instance, as some authors emphasize, as the supply of unskilled labour is high, the bargaining power of this mass ends up being small, which generates a feeling of impotence and the necessity of the intervention of the State in the balance of forces between capital and labour.

In England, the identity of the workers was formed in a different dynamic and they assumed a greater role in the labour relations. Once the Brazilians workers enter this scenario, they are empowered and feel safer to defend their interests.

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# **Psychological contract: A comparative study with workers in the Brazilian and British Industrial Relations Systems**

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## **Abstract**

This paper aims to compare aspects of the psychological contract formed by a same group of workers in both a regulatory and a voluntarist Industrial Relations Systems (IRS). The theoretical framework dealt with aspects of the psychological contract theory. The research was qualitative and descriptive and the data came from the analysis of semi structured interviews conducted with 23 Brazilians workers with experience in the Brazilian and the British IRS. Results indicate that there is a great difference in the perception and type of psychological contract in Brazilian firms against British firms.

## **Introduction**

Laws, treaties, agreements, court decisions, contracts or any other normative act can determine, to a greater or lesser extent, the explicit rules of the labour market. However, the way individuals perceive their work relation is subjective (Arnold & Silvester, 2016, Rousseau, 1995). It means that it is possible that two workers, hired by the same employer, at the same time and under the same conditions may perceive the employment relationship in a very different way (Lopes & Silva, 2008).

In fact, the subjectivity of relationships is inherent in human beings. Psychology has dealt with this discussion for many years, and more recently the question has shifted from therapy practices to organizational studies, under the construct of the psychological contract (CP) (Arnold & Silvester, 2016, Fantinato & Casado, 2006).

Therefore, this study aimed to compare the perceptions of a same group of professionals who have already passed through a regulatory IRS in Brazil in relation to an opposite IRS such as the voluntarist system in England, according to the psychological contract theory.

## **Theoretical Aspects: The Psychological Contract**

The term psychological contract was coined in 1960 by the North American researcher Chirs Argyris. The author observed that there is an unspoken expectation of an exchange of material resources implicit in the employee-employer relationship, whereby the employer should meet the needs of security and salary of the employee and the employee, in turn, should deliver good results. Since these issues were not dealt with in formal work contracts, he classified them as part of a psychological contract (Argyris, 1960; Coyle-Shapiro & Parzefall, 2008).

Levinson, Price, Munden, Mandl and Solley (1962) introduced more complex questions to the concept. Research showed that the parties also expected the exchange ratio to be reciprocal and balanced. There is, employees would perform better as long as the organization satisfied their basic needs to the same extent and vice versa. Such findings have

contributed to the study of the subject, but have led to two difficult questions: First, how to guarantee the satisfaction of the expectations of the parties, if they often arise from unconscious and unknown factors? And second: how to determine the expectation of the employer when it represents an organization, formed by several people? (Agarwal, 2017; Coyle-Shapiro & Parzefall, 2008).

The topic went through a period of little evolution, until Rousseau (1995) revitalized the debate (Agarwal, 2017; Coyle-Shapiro & Parzefall, 2008). Removing from the definition the need for reciprocity and the satisfaction of needs, the author argued that the psychological contract is an individual and subjective belief about reciprocal obligations existing in labour relations.

The essence of the concept, therefore, is precisely the psychological aspect, related to the subject's beliefs in work relations (Agarwal, 2017; Coyle-Shapiro & Parzefall, 2008). From this new perspective, the subject become central to several studies (Arnold & Silvester 2016, Agarwal, 2017).

Rousseau (1995) also affirmed that PCs are changeable, as it is a consequence of mental schemas formed throughout life, largely determined by cultural, educational and social experiences exposed. It is even possible that before the first professional experience the individual already has his or hers own core of beliefs regarding the meaning of work.

Is suggested that each individual experiment the CP in a very singular way (Fantinato & Casado, 2006).The subjective character of CP has been reinforced in several studies (Agarwal, 2017, Conway & Briner, 2009, Raja, Johns & Ntalianis, 2004, Lopes & Silva, 2008). Maguire (2001, apud Lopes & Silva, 2008) suggested that the worker's PC is largely related to personal aspects and do not depend of the organization.

Researchers indicates that personality traits such as openness, conscientiousness, extroversion, agreeableness and neuroticism identified by Costa & McCrae (1998). can affect the employees 'perceptions of their employers' incentives, thus affecting the type of psychological contract that will be formed (Agarwal, 2017, Lewis 1997, Raja et al., 2004, Nikolaou, Tomprou & Vakola, 2007).

For example, extroverted individuals seem to be attracted to some specific characteristics of the content of work and not the reward or the salary offered. On the other hand, Individuals who mark high in neuroticism do not deal well with stress and therefore value the characteristics of work that, when satisfied, reduce their anxiety and irritability, such as job security and benefits. Those who mark high in agreeableness demonstrate a positive relation with extrinsic incentives (Nikolaou et al., 2007). Metz, Kulik, Cregan & Brown (2017) found that managers that mark high in conscientiousness and extraversion personality traits are more likely to establish relational CPs with their employees.

When it comes to expatriation, Lewis (1997) suggests that applying personality tests in the employees before reassigning them into another culture could decrease the likelihood of breach of psychological contracts.

According to Lewis (1997), employees evaluate nine factors when introduced into a new culture: 1) the possibility of balancing time; 2) the receptivity of the employer; 3) the external environment; 4) the amity of colleagues; 5) prior knowledge of the culture; 6) the level of happiness perceived in the country of origin; 7) the promises and obligations of both parties; 8) the environment at work and 9) the salary. All these 9 factors are equally evaluated and there is no suggestion of an order of relevance between them. If one or more components of that model are violated, dissatisfaction increases.

Since the definition proposed by Rousseau (1995), the construct has been widely used in the field of contemporary organizational studies. Greater focus has been placed on the consequences of the breach or violation of the psychological contract (Agarwal, 2017; Coyle-

Shapiro & Parzefall, 2008). However, it have a greater implication and should also be considered in the labour relations studies as it deals with the perception of the subjects who are part of it. Due to a methodological limitation, in the present research only the perspective of the employee was targeted.

## **Methodological Aspects**

### **Qualification of the research.**

This was a qualitative research, with a descriptive focus, in a simple case study about the PC formed by Brazilian professionals in both a voluntarist industrial relation system and a regulatory one.

The data of this research were obtained from 23 semi-structured interviews, conducted by the researcher, mostly in England (21) and in Brazil (2).

It was used the snowball sampling technique to select the informant. The main advantage of the technique was the location of inaccessible respondents, as well as greater guarantee of homogeneity in the profile of the participants, reinforcing the relevance of the research results (Baldin & Munhoz, 2011).

The average interview time was 40 minutes and to preserve their identity, they were treated only by (E) followed by the number corresponding to their interview.

### **Profile of respondents**

All the 23 Brazilians who took part of this research have completed high school, and the vast majority have completed or is attending university level education. Almost all have proficiency in English language by the time of the interview, although some recognized having learned the language while already living in England. There was a significant participation of workers in positions that require specific knowledge and training, and the salary range gravitated always above the minimum wage.

The profile differs from studies about Brazilians working in London (Datta et al., 2007) in Madrid and Lisbon (Téchio, 2006) and in New York (Margolis, 1994). It may be attributed to two main facts. First, to the size of the sample, due time and scope limitation. And second, to the fact that only Brazilians who had permission to work in England were considered. This was peculiarly relevant for the objective of this study as undocumented workers they are in the margin of the IRS of the country of destination (Téchio, 2006).

The personal profile of the 23 interviewees: 17 females, 6 males; 6 females around 50 years old and 11 around 30 years old; males from 30 to 40 years old; almost all of them with excellent language proficiency; only 5 of them had British citizenship and almost the others had European citizenship; 17 of them lived for around 10 years in the UK.

**Table1: Professional Profile**

#	Main Work in Brazil	Main work in England	Average wage in England (In GBP)
E-1	Restaurant Clerk	Cleaner	\$10.00/Hour
E-2	Events promote	Nanny, saleswoman	\$12.00/Hour
E-3	Lawyer	Lawyer	\$300.00/Hour
E-4	Car salesman	Furniture factory manager	\$12.00/Hour

E-5	Sales representative	Cooker, restaurant manager, restaurant owner	\$12.00/Hour
E-6	Saleswoman	Cleaner, Saleswoman	Greater than the minimum
E-7	Bank clerk	Manager	Greater than the minimum
E-8	Bank manager	Bank manager	Greater than the minimum
E-9	Administrative Assistant	Cleaner, clerk, store manager	Greater than the minimum
E-10	Project manager	Marketing analyst	Greater than the minimum
E-11	Physiotherapist	Physiotherapist	\$60.00/Hour
E-12	Lawyer	Executive assistant	Greater than the minimum
E-13	Lawyer	Lawyer	Greater than the minimum
E-14	Accounting auditor	Accounting auditor	Greater than the minimum
E-15	Actress	Nanny	Greater than the minimum
E-16	University professor	Primary school teacher	Greater than the minimum
E-17	Senior Market analyst	Senior Market analyst	Greater than the minimum
E-18	Physiotherapist	Physiotherapist	Greater than the minimum
E-19	Lawyer	Lawyer	Greater than the minimum
E-20	Lawyer	Lawyer	Greater than the minimum
E-21	Bank Clerk	Flight attendant	Greater than the minimum
E-22	Manicure	Manicure	Greater than the minimum
E-23	Primary School teacher	Cook	Greater than the minimum

*Source: Prepared by the authors of this research based on data from the interviewee*

### **Differences related to the educational and social level**

There was clearly two distinct groups of Brazilians workers in England found in this research: those with a complete upper education level, usually from a high-middle class or upper class in Brazil, who arrived in England with excellent command of the language; and those with primary level of education, who did not have good command of the language when they arrived in England and were part of the lower class in Brazil. The perceptions of these two groups of workers were very different, especially regarding the Brazilian IRS. Therefore, it will sometimes be necessary to return to this distinction during the presentation of the results. For didactic purposes, the former was defined as group 1 and the latter as group 2.

This division meets the literature. Almeida (2008) found that there is a great difference in the conception of the world, values and in the culture of Brazilians with a higher academic qualification in relation to those with a lower level of education. Higher-educated workers tend to align more easily with the values of developed Western societies; are less hierarchical, patrimonialist and defend a minimal state. Lower-educated workers tend to view that "God decides destiny" (Almeida, 2008, pp. 31) and that the "Father state must solve everyone's problems" (Almeida, 2008, pp.35).

Formal education, often determined in Brazil by economic condition, may be the fundamental cornerstone that leads to opposite perceptions and views about the Brazilian IRS among its people. The existence of a large group of unskilled labour weaken the bargaining power of millions of workers, reinforcing the long existing feeling of powerlessness among those in this condition and contributing to the believes that only strong state intervention can balance forces between capital and labour (Almeida, 2008).

Yet, in a study evaluating the impacts of some certifications imposed on Brazilian bankers by state regulators, Amorim, Cruz, Sarsur & Fischer (2017) suggested that this type of initiative, taken without employee participation, does not necessarily mean a technical improvement in the practice of the profession. On the contrary, it may even be another factor of pressure and dissatisfaction of workers.

## Results

### Why work in England?

Group 1 workers consider that they had good jobs and good prospects in Brazil, but decided to leave the country because they "wanted to know what it's like to live in another country" (E-8), "to have new life experiences" or "have international work experience (E19, E-20).

England can be an ideal destination for Brazilian workers for at least three reasons. Firstly, these workers often have a European passport that allowed them, at least until recently, to work in England. Secondly, by the proximity to other European countries. They value being able to spend a few days in another nearby country, often easier, faster, safer and cheaper than traveling within or from Brazil. And thirdly, because they have reasonable command of the English language, as it was part of the main private school curriculum in Brazil.

It was remarkable that none of the respondents in Group 1 attributed their decision to go to England for economic reasons. On the contrary. E-8 states that she was already determined to go and would accept even a lower position in the bank she was being hired for, and was very surprised when they offer her a salary with a similar purchase power to what she received in Brazil. E-19 held a position on the legal board of a large Brazilian company before moving to England, a situation similar to E-20, who was the legal manager of a large Brazilian organization. E-21 considers that if she had continued in the company where she worked in Brazil before going to England she could even have reached the upper echelons in the organization and reached the board.

On the other hand, for Brazilians in Group 2, migration was invariably due to economic reasons. It was very common to hear from the interviewees that they "had a very difficult life in Brazil", "it was very tight" (E-1, E-15, E-23). This is the most common situation reported in the literature dealing with the emigration of Brazilians. Datta et al. (2007), Margolis (1994) and Téchio (2006) pointed that the majority of Brazilians who migrate to developed countries aim to obtain higher salaries.

Workers from group 2 consider the life standard they have in England considerably higher than what they had in Brazil. It was also reported that in England it is possible to maintain a good standard of living by working on what would be considered under-job, a situation that has no similarity in Brazil (E-1, E-2, E-4, E-5, E-7, E-9).

Once again, group 2's statements differ largely from group 1's. The latter, considered having a very high life standards in Brazil, where they often owned their own house, maybe even a house by the sea side, had housemaids (E-8, E-11, E-19, E-20, E-21). In England, thought, these workers live as middle class.

The wage and income inequality between skilled and unskilled workers across Brazil is far, far greater in Brazil than in England and this appears to be driving Brazilians workforce towards immigration.

### Why return to Brazil?

Group 1 interviewees believe that if they return to Brazil, they can get good jobs: "my international experience is very valued in Brazil" (E-17), "being in England is a differential in my career" (E-16), "I have no doubt that the company for which I worked in Brazil would hire me again if I decide to go back to Brazil" (E-19).

These findings are in line with what Freitas (2014) pointed out, which indicates that the return to Brazil is marked by high expectations and plans, and reinforces the findings verified by Fantinato & Casado (2006), in the sense that, often, the terms of the contract

psychological conditions begin to be defined even before the formal contract. That is, even before they are hired.

Two interviewees from group 1 actually returned to Brazil after the experience in England and considered to be well successful. E-10 reports that she had a good job at a marketing company in London but decided to return to Brazil to have her first child. She was promptly hired as a project manager at a large Brazilian business school. E-14 also mentioned that she did not have problem to obtain a good job in the Brazilian branch of the company she worked for in England when she returned to Brazil.

However, returning does not seem to be a good option for workers of the group 2. Those who have already tried considered it an unsuccessful experience and decided to return to England (E-6, E-7). Others, who have not attempted it, fear they would not find a good job: "Where would I work? I'm a nobody in Brazil, but I'm somebody here in England. It should be the opposite, right? But it's not" (E-9).

There are also those who have considered this possibility, but do not anymore: "My first plan was to raise money in England to open my own business in Brazil. [...] But I've changed my mind [...]. I have some close friends in Brazil who own their business, and they persuaded me to give up the idea. So, I've opened a restaurant here in England. And now I already have the second". (E-5)

Respondents from group 2 reinforce the findings of Irigaray and Freitas (2014), that Brazilians immigrants that move for economic reasons have difficulties to be re-inserted into the labour market when they return to the country of origin. The psychological contract that these workers construct in relation to the type of work they will have in Brazil is also shaped by high levels of expectations and are often breached.

### **Meritocracy and Equal Opportunities**

Respondents agree that social level differences are less perceived in England than in Brazil, as "at the end of the day, painters covered in paints and executives in suits go to the same Pub." (E-11). They emphasize that hard work and commitment prevails: "I've worked with people who are born here, studied and went to university here, but are not in my position yet" (E-9) and: "I earn good money and always have work to do simply because I am good at doing what I do" (E-18). Only one interviewee considers that he was deprived of the employment relationship because he was not an English citizen:

*"My boss trained me and always said that I would take his position. But when he left the company they hired someone from the market, an English man, with not even near the experience I had. Off course was very frustrated. I definitely saw I would never be promoted to the position, so I resigned (E-4).*

In the statement, the breach of the employee's psychological contract occurred due the frustration of his expectations, in accordance to the results presented by of Tekleab and Taylor's study (Robinson, Kraatz & Rousseau, 1994).

There is also a relevant aspect related to (in) equality of opportunities is the perception that in Brazil, "it is necessary to know someone important to get a job" (E-6). Even in England, some informant stated "My boss is Brazilian. Everyone is Brazilian. I doubt he would fire me" (E-23), and of workers who were able to obtain employment through the indication of another Brazilian and vice versa. "If you ask me for an indication, of course I would indicate a Brazilian fellow" (E-22).

But there were also reports of workers who were able to obtain employment in England on the basis of their own effort, sending curriculum, presentation letters and recommendation

letter from a former employer or acquaintance (E-8, E-10, E-12, E -14, E-16, E-17, E-19, E-20, E-21).

### **Domestic work**

According to Teixeira, Saraiva & Carrieri (2015), the origin of domestic work in Brazil goes back to the abolition of slavery, when it became the main source of employment for former female slaves. Since then, domestic work has always been associated to female work and inferior social condition.

In England, the perception about housework is very different. E-4 is a male and decided to leave the furniture manufacturing company where he had work for several years to open a cleaning agency along with his wife, where he also works as cleaner.

Likewise, there have been other accounts of workers who have done domestic work in England for some time and did not feel discriminated. On the contrary. As E-7 pointed out, "In England you can have a good life even working as a cleaner". E-11 is a physical therapist but do some work as a baby sitter every once in a while.

### **Transparency in labour relations**

One of the main differences in work relations in Brazil and in England pointed out in this study is the way in which communication between boss, subordinate and colleagues are made:

*"Brazilians are not used to hear the word 'no'. And they are not used to say it as well. It doesn't matter if you are the boss or the subordinate [...]. It's not like in England. Here, if there is something to be said, it will be said in front of you, for you, eye to eye, whether it's good or bad, compliment or not. You simply know what that person is thinking about you. In Brazil, it's the opposite. Sometimes the person will tell you something about your work but it's not true. It's not what they are thinking. I learned to be more direct in England, but was punished for that in Brazil. In the end, I wasn't speaking anymore, I wasn't expressing my opinion even if I was asked to do so. And then one day, when I decided express, I was fired (E-10).*

Other reports follow the same line (E-2, E-5, E5), reinforcing that clear, true and constant communication in the work environment appears as one of the main factors of CP maintenance, as verified by Arnold and Silvestre (2016).

### **Conclusion**

This work contributes to the understanding that workers' perceptions of IRS's have a strong relation to individual characteristics, such as formal educational level and the job opportunities. It corroborates previous studies presented and points to a great difference in the conception of the world, values and culture between higher and lower educated workers. While the formers tend to align more easily with the values of developed Western societies, are less hierarchical, patrimonialist and defend a minimal state, the latter defend a controlled labour market by the governments.

In general, Brazilian workers say they are more satisfied with the work they do in England and do not think about returning to Brazil. It may be a result of a better social, economic and political situation they find in England, as violence, unemployment and low wages in Brazil were regularly mentioned by the interviewees when they spoke about their country.

But the results also suggest that there is a greater perception of the meaning of the work the respondents do in England. At least two core characteristics of a meaningful work presented by the leading literature in the subject were present in the discourse of the Brazilians regarding their work in England. They are: 1) relationship with colleagues and superiors, discussed in topic 4.5 Transparency in relations and recognition and 2) recognition, discussed in topic 4.3 - Meritocracy and Equality.

In Brazil, the respondents claim that "one never knows what the employer is thinking" and can be punished for saying the truth, while in England, the relationships are perceived as more transparent, direct and sincere. For those reasons, respondents perceive more recognized and valued for the work they do in England than in Brazil.

The contributions of this research to the field of labour relations resided not only in the analysis of two distinct IRS's from the perspective of the same group of interviewees, but also by reinforcing the importance of considering the subjective or psychological perspective of the subjects in the labour relations. In doing so, this study has paved the way for further investigations that have this similar approach.

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# **Shared Working Places of Jews and Palestinians in Industrial Areas as a Basis for Changing Mutual Attitudes**

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## **Abstract**

Intergroup Contact theory suggests that daily contact can create a change in attitudes and behavior towards the other group when optimal conditions are met. This study focuses on contact between Palestinians and Jews in shared workplaces, where ethnic conflicts and conditions of inequality exist. Based on a survey, comprised of 250 Jewish and Palestinian industrial employees, a theoretical integrated model was constructed and tested using regressions and AMOS 22 Modeling. Findings - Contact theory works, even when the optimal conditions are not fulfilled, but more for the Palestinians than the Jews. Equality at work and economic benefits were the major contributors to changing attitudes toward the other group of co-workers, and the formation of the “other group’s” social images.

## **Introduction**

The industrial parks in Judea and Samaria serve as meeting points between two groups - Palestinians and Jews - who share the same workplace. Regarding these groups, a situation of inequality prevails among Jews and Palestinians, in relation to power and access to resources, mainly owned by the Jews. Furthermore, ongoing severe and violent conflict is a constant state in the relations between these groups.

For a long period of time, the Israeli job market provided work opportunities for the Palestinians in Israel. However, over the last several years, as a result of security issues, working in Israel, within the “green line” is restricted in regard to the Palestinians. Therefore, finding workplaces in Judea and Samaria is easier for them, along with the advantage of it being closer to their homes. By 2014, a regulation by decree established equal work conditions for the Palestinians, including salaries and other compensations. Considering the high rate of unemployment in the West Bank, these industrial parks serve as crucial lifesavers for the Palestinians.

Intergroup Contact theory suggests that daily encounters at shared meeting points should serve to improve attitudes towards the other group, reducing discrimination, fear and typical poor images. However, this theory has mainly been tested in cases where optimal conditions exist, and inequality and conflicts are absent.

The aim of this research was to examine whether the expected positive results would be found in the specific situation of the shared work places in Judea and Samaria. The research focuses on two kinds of changes: a change in personal relations towards the other group of co-workers, and a change at the collective level, regarding the image of the other collective society

## Theoretical and Empirical Background

Intergroup Contact hypothesis suggests that daily contact situations can serve as a sustainable platform for creating a possible positive change in images, attitudes and behavior towards individuals from the "other" group (Knifsend et al., 2014). Macinnis and Page-Gold (2015) described this contact as a real, daily interaction, over a long period of time. Intergroup Contact theory assumes that the positive influence of daily contacts generates feelings of friendship, respect for the other, and equality (Hayes et al. 2007; Hale, 1998; Bridges, & Tomkowiak, 2010).

Allport (1954) suggested that four optimal conditions must be met in order to achieve a positive change: both groups must experience equal status, mutual dependency, shared goals, and shared norms. In situations where these optimal conditions are not met, the attitude change could be a negative one (Dhont et al., 2013; Aberson, 2015). Some researchers disagree and argue that the contact itself is enough, even without satisfying the optimal conditions (Knifsend & Juvonen, 2014; Chen & Graham, 2015).

There are situations when interactions take place between groups who have basic conflicts - technical, national or otherwise. Researchers believe that daily contact can reduce hostility among groups (Swart & Hewstone, 2012; Wagner & Hewstone, 2012). Others, like Dhont et al (2013) or Aberson (2015), claim that the results of contact in conflict situations will be negative.

Daily contact and interaction in the workplace between dissimilar groups differ in nature from other types of contact, such as meeting in the neighborhood, at shops, playgrounds or schools. Participants engaging work relations cannot choose with whom to be in touch (Mutz & Mondak, 2006). Yet, only a handful of studies have examined this results of this particular kind of contact. Considering the above mentioned literature we can assume the following, regardless of the inequality and conflict-related issues:

H1: The emotional feelings of friendship between the two groups will induce a positive change in attitudes toward the other group's co-workers.

H2: The emotional feelings of equality between the two groups will induce a positive change in attitudes toward the other group's co-workers.

H3: The emotional feelings of mutual respect between the two groups will induce a positive change in attitudes toward the other group's co-workers.

H4: The positive change in attitudes toward the other group's co-workers on the personal level will create a higher positive collective image of the other group (Jews and Palestinians alike).

Intergroup Contact theory does not include the influence of the economic benefits created for both groups as a result of the shared workplaces. Because of the especially severe, poor economic circumstances of the Palestinians and the profit made by the Jewish industry, one can assume the following:

H5: The economic benefits will strengthen the positive change in attitudes towards the other group's co-workers.

H6: The economic benefits will create a higher positive collective image of the other group (Jews and Palestinians alike).

## **Method**

### *Sample Characteristics*

The research is based on quantitative and qualitative methods. In-depth, semi-structured interviews were conducted, among Jewish and Palestinian workers in different factories at the Barkan Industrial Park.

The central themes which emerged through the interviews analysis process served as the basis for establishing the quantitative survey. structured questionnaires were distributed.

A total of 250 employees – 140 Palestinians and 110 Jews - from 11 different factories located at the Barkan Industrial Park participated in the study. These employees represent both the management and junior levels. The sampling method was a stratified sampling; the strata were defined by ethnicity. Ninety percent of the Palestinian respondents were males compared to 46% males in the Jewish group. The average age of the Palestinians was 30 years; the average age of the Jews was 45 years. The average seniority among Palestinians was 4 years, while among Jews it was 7 years.

### *Research Procedure*

The respondents were approached at their places of employment. Instructions were given to those responsible for carrying out the research in the workplaces to select participants randomly from each rank (strata of ranks). The respondents were asked to complete the questionnaires, and their anonymity was ensured.

### *Measures*

The survey measures were based on two processes: in-depth, semi-structured interviews and scaled used in the research literature. The scales for respect (3 items), friendship (5 items) and equality (3 items) were taken from "intergroup anxiety" scale (Stephan, & Stephan, 2000); intergroup images were taken from Alexander (2005). The economic benefits scale (2 items) and change of attitudes scale (1 item) were based on the interviews. For these items, the respondents were provided with alternatives in the form of a Likert scale (1= strongly disagree, 2= disagree, 3= neutral, 4= agree, 5= strongly agree).

The questionnaire also included the following background data: Gender, age, education, place of residence and work history.

The statistical package used in this study was SPSS. First, linear regressions were performed for both groups, after which Structural Equation Modeling was conducted for the Palestinians using AMOS 22.

## **Results**

Validity and reliability: Exploratory Factor Analysis (EFA) with Varimax rotation was used, explaining 67%-74% of the cumulative variance factors (Palestinians, Jews). The Cronbach's alpha coefficients range was 0.56-0.85.

Model testing: Two stepwise regressions were employed, explaining 53% of the variance of image of Jews as perceived by Palestinians, and 30% of the variance of image of Palestinians as perceived by Jews.

Tables 1a and 1b summarize the linear regression results for Palestinians and Jews, with Image of the “other group” as the dependent variable.

As seen from Tables 1a and 1b, there are different factors influencing the perceived images of the other held by the two groups, particularly the insignificant influence of daily contact on Jews regarding their image of Palestinians.

**Table 1a: Linear regression analysis for image of Jews as perceived by Palestinians as the dependent variable (N=140).**

	Beta	t	Sig.
Economic benefits	.388	4.898	.000
Respect from other group	.178	2.304	.023
Equality at work	.170	2.262	.025
Change of attitudes of “other group’s” co-workers	.153	2.018	.046

**Table 1b: Linear regression analysis for image of Palestinians as perceived by Jews as the dependent variable (N=110).**

	Beta	t	Sig.
Equality at work	.450	5.369	.000
Economic benefits	.228	2.726	.008

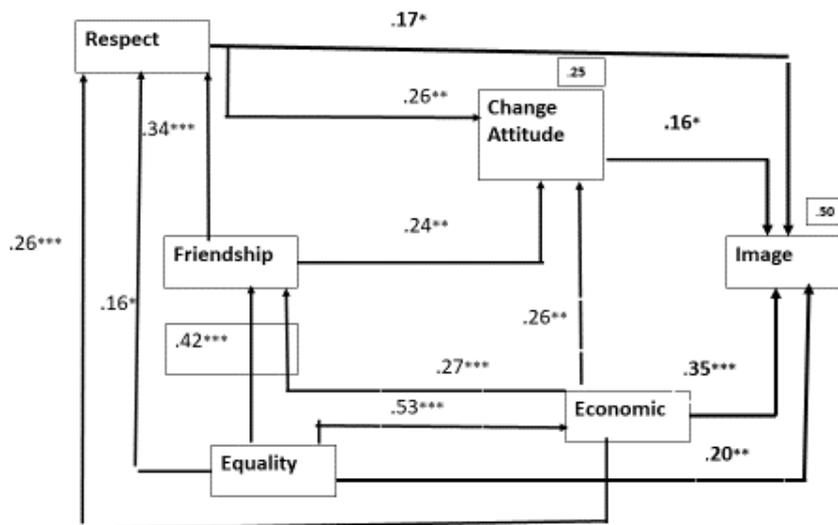
For the Jews, a linear regression was also conducted to see which factors influence the change in attitudes towards their Palestinians co-workers (the path analysis could not be performed due to the small number of respondents. The factors explained 58% of the variance. The results are shown in Table 2:

**Table 2: Linear regression analysis for the changing attitudes of Jews towards Palestinians as the dependent variable (N=110).**

	Beta	t	Sig.
Friendship	.469	5.369	.000
Respect	.358	4.095	.000

Regarding the Palestinians’ perceived image of Jews, a path analysis was conducted to check the research hypotheses using Structural Equation Modeling (SEM), based on the maximum likelihood approach. The path analysis results show that the overall fit statistics (goodness of fit measures) exhibit an acceptable level of fit ( $\chi^2$  value (2) = .485,  $\chi^2/Df=.243$ ,  $p > .05$ ; CFI = .999; NFI = .999; RMSEA = .000), indicating that the path model is valid. The path model, regression standardized coefficients, and their significance are illustrated in Figure 1. Table 3 shows the variables' total and direct relationships and the statistical measures.

**Figure1: Path analysis model**



a parameters are standardized parameter estimates and only significant paths are displayed.  
 b R<sup>2</sup> appears in the right-hand corner. \*p< .05; \*\* p< .01; \*\*\* P<.000)

**Table 3: Hypotheses testing –Total and direct significant relationships**

Relationship	Standardized Effect		Regression Weights (direct)		
	Total	Direct	Estimate	C.R.	p
Equality → Jews' image	.535	.200	.158	2.702	<.01
Economic → Jews' image	.475	.348	.302	4.443	<.00
Respect → Jews' image	.212	.172	.168	2.200	<.05
Changed attitudes → Jews' image	.158	.158	.122	2.089	<.05
Friendship → Jews' image	.112	.000			
Economic → Changed attitudes	.420	.264	.297	3.288	<.01
Equality → Changed attitudes	.406	.000			
Friendship → Changed attitudes	.333	.245	.344	2.940	<.01
Respect → Changed attitudes	.255	.255	.323	3.009	<.01
Equality → Respect	.497	.162	.131	1.999	<.05
Economic → Respect	.356	.264	.235	3.309	<.00
Friendship → Respect	.344	.344	.382	4.204	<.00
Equality → Friendship	.564	.422	.307	5.374	<.00
Economic → Friendship	.266	.266	.213	3.389	<.00
Equality → Economic	.533	.533	.485	7.533	<.00

It can be concluded that in the case of Palestinians, all of the hypotheses were confirmed. In the case of the Jews, Hypotheses H1, H3 and H6 were accepted; Hypotheses H2, H4 and H5 were rejected.

## Discussion

The research shows that the dialectical relations between the Palestinian and Jewish co-workers generated a positive change of attitudes, despite political-security conflict and inequality issues. The relations also led to an improved collective image of the other group. This development occurred due to the combination of economic cooperation alongside interpersonal emotional processes. However, these changes were mainly

experienced by the Palestinians, the weaker group. Moreover, the change of attitudes on the personal level of the Jewish workers toward the Palestinians did not spill over toward the Jewish group's perceived image of Palestinians on the collective level. It was also found that for the Palestinians, economic cooperation may not be sufficient to cause an attitude change. The emotional-cultural processes which emerge in the factory setting through intergroup contact are crucial for fostering and maintaining positive attitudes between the parties. Two factors were found to be of particular importance: Palestinians' sense of equality with Jews, regarding working conditions, i.e., salaries and being treated with respect by the Jews. The subject of respect plays a major cultural role in Arab societies, and it should be well considered in any further interactions between the two groups, in workplaces, as well as in other encounters.

In conclusion, the research only partially resolved the debate about the influence of daily contact situations on the relations of groups that are unequal and experience ongoing conflict. It appears that it is primarily the weaker group that benefits more from daily contact and undergoes a change of attitudes, in accordance with Intergroup Contact theory.

There are some limitations in this research: First, the relatively small number of Jewish participant because of the outbreak of Palestinian terror attacks which occurred in the middle of the research. Second, the current study only examined the hypotheses in one industry. Future research is recommended to focus on measuring the effects of intergroup contact between the Jews and Palestinians in other industries and areas of employment, such as: tourism, healthcare, trade, etc.

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## **CHAPTER 9: Ethics, trust and reciprocity as new strategic capabilities in Organizations 4.1**

### **Humility as a Foundational Strategic Capability**

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#### **Abstract**

This research based on interviews with 25 in-depth interviews focused on team humility and understanding its components. The findings suggest that teams that exhibit humility flourished within a culture of psychological safety, had a habit of promoting others, and a tendency to seek advice and help broadly both inside and outside the team construct. Humble teams exhibit kinship, extraordinary collaboration, professional excellence, shared values and an attitude of inquiry. This culture creates a flexible and adaptable human system with the embedded commitment to success – critical in the increasingly volatile, uncertain, complex and ambiguous 21<sup>st</sup> century world.

#### **Introduction**

Humility is a character trait that has long been studied and is beginning to be recognized as valuable to leader success as it allows them to embrace their shortcomings and skill-set gaps in order to more effectively compensate for them (Ancona, et al. 2007; Frostenson, 2016). Humble perspectives unlock an attitude of inquiry, allowing individuals to suspend judgment and truly value the input of others, objectively seeking to understand new things (Marshall & Reason, 2007) and ultimately improving organizational outcomes (Vera & Rodriguez-Lopez, 2004)

Humility also results in higher-performing, more positive organizations (Cameron et al., 2003) creating a mindset within these organizations that allows its members to listen to and understand one another's unique perspectives, value others' strengths, and to openly compensate for weaknesses in ways less-humble organizations cannot (Evans, 2015). Because teams are the defacto unit of performance operation (Edmondson, 2012; Edmondson, 2016), it is within them that humility must exist in order to impact organizational performance. By allowing teams to consistently learn and improve, it not only unlocks better performance today, but also lays the foundation for better decisions and actions in the future (Edmondson, 1999; Edmondson, 2012).

While only a few studies exist that focus on humility within team contexts (Owens & Hekman, 2012 & 2016), Edmondson (2012) presented a case for team success tied directly to humble behaviors, including inquiry over advocacy, learning versus executing, asking for help, admitting mistakes, and comfort with being wrong. Furthermore, some of the literature on organizational culture suggests that humility is a trait found in positive organizations (Cameron, et al., 2003) and that it can strongly affect performance (Evans, 2015) allowing its members to create strong working systems through networks of positive relationships built on a foundation of trustworthiness (Wong & Boh, 2014).

## **Humility as a Team Level Construct**

The most important first step in understanding humility as a team construct is to create a solid understanding of what it is. By combining definitions from Tangney (2000) and Owens and Hekman (2016), together with feedback from the interviews in this study, I suggest the following description.

Humble teams, despite being highly capable, clearly understand their individual and collective strengths and weaknesses. They possess a fierce resolve to deliver their objectives in service of the group and the organization. They willingly admit mistakes, acknowledge limitations, actively seek help and feedback, remain open to new ideas, share praise for successes, accept blame for failures, and do whatever it takes to achieve their mission.

Humility provides a platform for capabilities that enhance modeled individual leader and follower performance as a result of improved engagement (Ogunfowora & Bourdage, 2014) and increased psychological safety (Walters & Diab, 2016).

Because most of today's work occurs in teams that come together for periods of time, with individuals taking on different roles based on given situations or needs (Edmondson, 2012), humility must be understood as a construct at a team level. My goal with this dissertation is to effectively answer the question "How does humility affect team performance?" In order to do so, I will test a causal model of the process within which the humble characteristics of leaders and teams affect performance.

While the discourse and research on humility has been extensive, the majority of it has been focused on individual humility (Tangney, 2000;). While individual performance was once the major way in which productivity could be impacted, the modern organization now structures most of its work so that it is executed in teams, making individual performance impacts less relevant to those looking to study performance (Katzenbach & Smith, 2015) . Furthermore, for teams that need to innovate and solve challenging problems, a culture of humility may unlock their ability to perform at higher levels (Greer, 2013; Hess & Ludwig, 2017; Edmondson, 2016).

## **Research Method**

A total of 25 hour-long interviews were conducted during this study as a forum in which to gather data around the underlying dynamics and factors that contribute to and impact a humble team culture. The interviews were semi-structured and responsive (Rubin & Rubin, 2012), guided by the following four-questions

What is your role in the organization?

Have you ever known a truly humble leader, team, or organization? What did you observe that made them different or set them apart as truly unique? In what ways did it make them more effective? What do you think contributed to their success?

Would you please share with me a story of when you felt you had seen humility impact performance at a team level? Please describe the context and the situation? What do you believe were the circumstances that contributed to making this possible?

Reflecting back on all of your experiences, what do you believe are the ways in which humility has the potential to impact performance?

Each interview was recorded and transcribed for accuracy resulting in 298 pages of written transcripts and 83 pages of interviewer notes. These were coded per the methodology described by Rubin and Rubin (2012) and Creswell (2014). The combined data were

analyzed to identify the most common themes, coded in a database, and analyzed a second time to look for any additional themes to emerge.

The first wave of interviewees were recruited from referrals of those in my personal and professional network. Subsequent interviewees were referrals from those who had been interviewed.

The sample exhibited interviewee diversity for demographics (see Table 8) and experience (see Table 2) demonstrates the wide diversity I was able to capture even within this set of 25 interviews. The rich experiences and backgrounds of each of the interviewees was helpful in surfacing the details of how team humility is expressed and what the potential sub-components were.

**Table 7. Interviewee Demographic Diversity**

Percentages	Participants
24% / 76%	Gender: Female / Male
40% / 60%	Age: Over 50 / Under 50
40% / 60%	Background: Technical / Nontechnical
20% / 40% / 16% / 24%	Employers: Large / Medium / Government / Other

**Table 8. Breadth of Interviewee Career Experience**

Number (out of 25)	Possess Work Experience in:
8	Overseas / expatriate roles
8	Consulting
7	Not-for-profit
6	Entrepreneurial
6	Sales / Marketing
5	Accounting / Finance
4	Military
4	Academic
4	Blue collar work

## Results

The most consistent theme that emerged from all of the interviews was the marked difference that existed in the perceptions of the interviewees between teams that were humble and those that were not, thereby validating the hypothesis that team humility was an observable and material phenomenon. Detailed analysis of the interviews and subsequent categorization of the codes resulted in the identification of five separate components of a humble team culture: (a) kinship, (b) attitude of inquiry, (c) extraordinary collaboration, (d) shared values, and (e) professional excellence. In addition, the interviews surfaced two other co-existing organizational dimensions, humble leaders and psychological safety, that co-presented with

team humility, suggesting that their presence was common to organizations in which humble teams were present.

### Kinship

The deeply loyal and supportive culture similar to that found in close-knit families. Members of the team share credit and opportunities, reveling in the successes of their teammates and pushing for their successes as much as for their own.

Responses related to depending on others, maintaining deep relationships and other-focus in teams represent 12% of individual humble characteristics and 22% of all team humble characteristics highlighted in the interviews. In addition, 28% of all comments regarding team outcomes and results referenced kinship. Kinship related comments from the interviews included:

There was a “web of trust” and “intense loyalty.”

There was a “camaraderie within the team (even through it was remote).”

There was a “fierce defense of people.”

They “viewed themselves as brothers and sisters” and created a “community.”

“Even years later, we still have a relationship.”

These were all consistent with the theme of kinship, in which there is a deep, underlying loyalty and trust, with a strong cohesive culture of support toward achieving their collective objectives. Often, this deep connection and loyalty persisted long after the dissolution of the team. Several of the interviewees even mentioned staying in touch years later if they had been a part of one of these teams.

### Attitude of Inquiry

An attitude of inquiry is a deep-seated curiosity and commitment to learning from those both inside and outside the team in order to deliver their objectives. Humble teams maintain an open mind to the possibility of new ideas, information, or perspectives, actively seeking them out, and using them to shape their work.

11% of all comments about team characteristics and 14% of those related to individuals were related to an attitude of inquiry. Some of the detailed descriptions from these interviews included:

They practice the “art of learning – from customers, peers, and others”

They share “tons of knowledge about getting things done.”

“They seek to understand.”

They “surround themselves with people smarter than they are.”

They “ask for and value other people’s opinions” and “seek broad input from outside sources.”

“They don’t feel like they have all the answers.”

Interviewees cited both a learning focus and a willingness to seek outside help or expertise from individuals and teams that operated humbly. One interviewee even suggested that this was the true test of a humble team.

### Extraordinary Collaboration

Extraordinary collaboration describes the team’s spirit of willingness to work together in extraordinary ways taking on tasks that others might consider beneath them, working across functional lines, and exhibiting a level of flexibility around traditional task assignments in service of the team’s goal. Members of these teams are not afraid to take appropriate risks in order to help the team achieve its objectives.

Some of the detailed descriptions of these elements from the interviews included:

They “assumed positive intent.”

They operated so that “issues [were] a system behavior not an individual problem.”

There was “no hierarchy, just people” with “feedback taken and everyone heard from.”

“Within the team, [they] deferred to one another, giving someone else the shot” and “deferred to one another,” there was “selflessness in how they work[ed] together.”

They “operated as a unit.”

There was an “environment of trust” with “no politics.”

The element that emerged most consistently as a humble team characteristic was the level of extraordinary collaboration, representing 30% of all comments made about humble teams. Codes associated with this variable and describe a positive attitude in which members of the team work together well, often ignoring organizational norms with respect to status, level, title, role and function in favor of achieving the team’s objectives.

### Professional Excellence

Professional excellence describes an exemplary skill and competency coupled with an unparalleled work ethic. Teams with high levels of professional excellence are highly competent, with demonstrated expertise in their field, and possess a fierce resolve and an unwavering drive to succeed.

Professional excellence as a theme represented 8% of all individual comments and 6% of all team comments and includes such observations about the team culture as:

They had a “serious commitment to personal excellence.”

They “paired humility with extreme competence.”

They “performed above [their] weight class” and set “high standards.”

They had a “willingness to go the extra mile.”

They had an “ability to perform” and were “high performing.”

They would also “hold [other] people accountable.”

Furthermore, interviewees commented that professional excellence was a “given,” suggesting all humble teams and leaders had to be highly competent to be considered humble, otherwise, as one interviewee summarized, “they were not being humble, they were just being realistic.”

### Shared Values

Humble teams share a commitment to the team’s goal and the organization’s core values, putting them ahead of their own personal goals. Humble teams have a strong set of shared core values that they live out. They share an exemplary work ethic, a dedication to one another, and a connection to a higher organizational purpose that sets them apart from other teams.

Shared values represented 22% of all comments about team characteristics and 10% of the comments made about humble individual characteristics. Some of the descriptions that highlighted a culture strongly connected to the team’s shared values included:

They had “common goals” and a “commitment to the mission / purpose.”

The “group or team was valued more than an individual opinion.”

They felt that “character matters more than all else, and holding people accountable for ethical decisions is key.”

They “held one another accountable” in an “honest environment.”

They were “living out their values.”

### **Leader / Individual impact**

In each interview, the mere introduction of humility as a team or leadership concept almost immediately brought forth a visceral reaction in the interviewee that brought their entire

demeanor to life. In addition, nearly all interviewees immediately described a humble leader that had had a great impact not only on them, but on others around them. This was consistent whether it was someone they had recently worked with, or someone who had supervised them decades prior.

In addition, none of those interviewed could provide examples of humble teams being led by leaders who did not possess humility, and posited that team members “mimic how the leader treats others.” These findings are consistent with those found by Owens & Hekman (2012 & 2016) in their study of leader and team humility, as well as other research on leader influence on team culture (Owens, Johnson & Mitchell, 2013; 2015; Rego, et al., 2017; Chiu, Owens & Tesluk, 2016).

### **Psychological Safety**

When describing humble teams, and their experiences with them many interviewees described how “free of fear” it was, and that they could “tell the leader the truth without getting into trouble” and that “no one was afraid to speak up.” In addition, team members were “open to constructive criticism” and “have hard / authentic conversations” in an effort to “hear” from one another. These descriptions are consistent with descriptors of Psychologically Safe environments (Edmondson & Lei, 2014; Edmondson, 1999). Suggesting that while not a component of a humble team culture, it is likely a condition that may correlate well with it.

**Figure 3. Humble Team Culture Conceptual Model**



### **Summary**

The rich experiences and backgrounds of each of the interviewees was helpful in surfacing the details of how team humility is expressed and what the potential sub-components were. The most consistent theme that emerged from all of the interviews was the marked difference that existed in the perceptions of the interviewees between teams that were humble and those that were not, thereby validating the hypothesis that team humility was an observable and material phenomenon. When the data from these interviews are brought together, it suggests the proposed conceptual model (Figure 1) that encapsulates not only the components of a humble team culture, but also the relationship between it and both psychological safety and leader humility.

### **Discussion**

As Edmondson (2016) pointed out, difficult challenges require adaptability in order to effectively maximize the input of a diverse set of individual expert contributors. Humble teams often work more flexibly than other teams, regularly shifting roles and work without being overly strict about maintaining traditional divisions of labor according to function or

hierarchy. They cooperate in order to get their work done, and willingly volunteer for tasks typically considered beneath them in service of the greater purpose and goals of the team. Members of these teams work across functions and organizational silos. They are not afraid to take appropriate risks and change the approach in order to help the team achieve its objectives; these findings are consistent with research at both the team (Edmondson, 2016; Rashid, Edmondson & Leonard, 2013) and the individual level (Fernández-Aráoz, 2014). These are not groups of underachievers; rather, like Navy Seals, they are each high-performers in their own right who come together with an outsized determination to deliver something extraordinary. Like those elite teams, they are “rock stars” in their own areas, often considered experts in their fields, and possess an unwavering drive to accomplish their task, a finding consistent with how individuals display professional will (Collins, 2001 & 2005; Reid, et al., 2014) and determination (Fernández-Aráoz, 2014).

Humble teams commit to achieving the team’s and the organization’s goals, often putting them ahead of their own personal goals. They align themselves with a higher organizational purpose and feel connected to the core values of the team, the wider organization, or an overarching wider purpose – a description consistent with the findings of Edmondson (2016). Humble teams have a strong set of shared core values that they live out. Their exemplary work ethic, dedication to one another, and connection to a higher organizational purpose sets them apart from other teams.

Successful teams are able to out-learn their competition and accomplish innovative and creative tasks more rapidly as a result of their ability to maximize the knowledge and capabilities of all members of the team while tolerating failure and learning from it (Edmondson 2011; Edmondson, 2012). At the heart of creating psychological safety, however, is the need for humility—an understanding of one’s own limitations and strengths and a willingness to embrace the inputs of others (Edmondson, 2016; Schein, 2013). Team members must be able to say, “I don’t know,” then ask for, and be open to, receiving help (Edmondson, 2012; Schein, 2013). Trust is necessary for mutual learning, a critical part of any team’s work, and that can only be built through a process of humbly approaching situations in such a way that all potential contributors perceive their assistance as both welcome and valuable (Schein, 2013). This practice of humility is hard to develop, where individuals would often rather fail than admit their own shortcomings and depend upon someone else to help (Schein, 2013).

In addition, as data surpasses our human capabilities (Etzioni, 1989), humility may provide a strategic capability. It allows us to accept the shortcomings of a current course of action or decision, and to encourage discourse to adapt the approach as needed when further information was analyzed and became available (de Vries. 2012; Etzioni, 1989).

## **Conclusion**

While the discourse and research on humility has been extensive, the vast majority of it has been focused on individual humility (Tangney, 2000). While individual performance was once the major way in which productivity could be impacted, the modern organization now structures most of its work so that it is executed in teams, making individual performance impacts less relevant to those looking to study performance (Katzenbach & Smith, 2015). Furthermore, for teams that need to innovate and solve challenging problems, a culture of humility may unlock their ability to perform at higher levels (Greer, 2013; Hess & Ludwig, 2017; Edmondson, 2016).

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# **Factors affecting moral blindness of managers in business environment**

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## **Abstract**

Moral issues do not appear in everyday life with a red flag flying over them. In most cases the moral issue requiring attention appears in a broad and sometimes misleading context of social behaviors (Butterfield, Trevino & Weaver, 2000). Messick and Bazerman (1996) describe the business environment as “a moral minefield” in which “at any moment, a seemingly innocuous decision can explode and harm not only the decision-maker but also everyone in the neighborhood...” (p.9). Moral issues are inherently complex, have ambiguous implications, and are often difficult to recognize (Thiel, Bagdasarov, Harkrider, Johnson & Mumford, 2012). Moral recognition, is the ability to determine whether a situation involves moral issues. This moral recognition ability represents a key input to moral decision making and is crucial for business managers.

## **Moral recognition**

Morally sensitive person notes various situational cues and is able to visualize several alternative actions in response to that situation (Tirri & Nokelainen, 2011). Rest (1986), developed a model involving four stages of moral decision-making. Rest calls the recognition stage 'moral sensitivity' and defines it in two ways: a minimal definition and a wide definition. The minimal definition includes the general feelings of the moral agent in the situation about possible injury to stakeholders welfare (Rest, 1986). Rest relates to moral sensitivity as an individual characteristic differing in power amongst different people. Jones (1991) extended Rest's four component model of ethical decision making by focusing on the nature of the moral situation itself and how it influences the moral decision-making process. Jones (1991) defined a new variable – moral intensity which includes six elements: magnitude of consequences, social consensus, probability of effect, temporal immediacy, concentration of effect, and proximity. Jones (1991) proposed that a more morally intense situation would result in more people recognizing the issue as moral; and, as such, they would evaluate it more critically as a moral problem resulting in an intention to act morally. According to Sonenshein (2007) traditional models of ethical decision making were found to be inadequate for understanding how business managers respond to moral issues under conditions of uncertainty and equivocality. Sonenshein contends that researchers know little empirically about the process of sense making of moral issues in real social context. "This is in part because the research methodologies (scenario studies) frequently used to study responses to ethical issues. The scenarios often depict situations with less equivocality and uncertainty than in natural settings" (Sonenshein 2007, p.1035). We therefore conclude that the use of reports on moral issues from everyday life is much more suitable to evaluate EDM. There is a significant difference between using hypothetical and sterile dilemmas designed by the researcher in a laboratory setting to using real life dilemmas in describing the MDM phenomena (Wark & Krebs, 2000; Krebs, Denton & Wark, 1997; Wark & Krebs, 1996; Haviv & Leman, 2002). According to Walker (2000) the situations that which confront people

everyday life are much more complicated than any of the sterile situations presented by researchers in the field of moral decision-making.

The goal of the current study is to describe the key factors influencing the recognition of moral issues in the real everyday work environment of managers. In order to achieve an initial understanding of the process of moral recognition the researcher must create a platform which makes it possible for the participants to report on their moral recognition process. This demands collecting the data by way of interviews, or retrospective reports, which describe the everyday experiences of the participants and the way they cope with different types of moral issues (for example: Wark & Krebs, 1996).

This current study will concentrate on two main research questions :

What are the factors that influence managers on recognition of moral issues in the business environment?

What are the factors that influence managers for failure to recognize moral issues in a business environment?

## **Method**

### **Participants**

220 MBA students with managerial experience at two different Israeli universities , most of them were employed in high-tech firms.

### **Procedure**

The participants were divided randomly into two groups: moral recognition group and moral recognition failure group. Each group received detailed instructions for writing a report about a moral issue they had experienced in their workplace

**The moral recognition group** received the following instructions:

Try to think of a moral dilemma that you have dealt with during your work as a manager.

Write it down and comment on the following points:

Describe the dilemma and the environment in which it occurred.

What makes this particular dilemma a moral dilemma?

What made you think of this particular incident?

What was the course of action you chose?

What were your reasons for making this decision?

Describe your feelings during the treatment of this dilemma.

**The moral recognition failure group** was given the following instruction:

You are requested to try to think of and write a report on a managerial problem you have dealt with only to realize later on that you failed to see the moral implications and as a result, employees/colleagues/supervisors/suppliers/customers or others were injured.

Describe the situation of this event and its components.

What makes this event a moral dilemma?

Describe/explain what prevented you from seeing the moral dilemma of this event.

Describe your feelings after you realized that this event had moral implications?

Did you learn anything from your failure to see the moral implications of this case?

If you had to pass a message on to others what would you say in order for them 'not to miss similar events in the future'?

## **Results**

### **Factors which influence recognition of moral issues**

An analysis of the content of participants' reports brought to light 13 themes that described factors that influenced them in recognizing moral issues

The distribution of recognition factors amongst all the participants in the study is presented in Table 1. \*

Out of thirteen recognition factors, care and compassion is reported as being the most influential factor on recognition of moral issues in a complex environment (25.4%).

\* Due to space limitations we don't present in this paper examples of participants verbal responses for each theme

This factor relates to the possibility of emotional, financial or physical damage to another person or animal and revealing understanding of another's distress, one participant reports: *"I had a problem when I was faced with firing an employee; because of her personal situation I knew that this would cause her enormous injury that I wasn't sure she would recover from and find another position because of her relative older age."*

**Table 1 – Distribution of recognition factors by all participants**

Factor	Frequency	Percent
Social Consensus	4	2.5
Fear from deviation from organizational and professional norms	35	22.3
Fear from deviation from personal moral norms	27	17.1
Pressure from superiors	3	1.9
Care and compassion	40	25.4
Psychological proximity	3	1.9
Magnitude of injury to stakeholder	12	7.6
Personal consequences to the decision-maker	5	3.1
Accumulation of several events	3	1.9
Managerial experience	11	7
Attention to the moral issue by a cue from a third person	2	1.2
Reactions to behavior of stakeholders	10	6.3
Intuition	2	1.2
<b>Total</b>	157	

**Factors that lead to recognition failure of moral issues**

Content analysis revealed 16 factors that influenced the failure to identify the moral issue in business situations : 'Negative emotions', 'Positive emotions', 'Selective attention' , 'Fatigue and mental strain', 'Lack of general moral imagination', 'Lack of systemic moral imagination', 'Lack of professional knowledge', 'Lack of managerial experience', 'Culture misunderstanding', 'Strategical financial thinking', 'Anxiety over possible injury to the decision-maker', 'Motivation for success', 'Social/ managerial pressure to perform a task', 'Psychological distance', 'Organizational culture', 'Selective attention' , and 'Mental models'.

### Distribution of causes of failure to recognize moral issues

Table 2 presents the frequency of the causes offered by participants for their failure to identify issues. From the content analysis we learn that negative emotions factor makes up 14.8% of the total factors that influence the failure to recognize moral issues and is found to be the most frequent factor to influence the ability to recognize moral issues in a complex situation. Negative emotions express themselves simultaneously, or early, in the decision-making process, influencing the decision-maker.

**Table 2 – Factors given for failing to recognize moral issues**

Factor	Frequency	%
Negative emotion	18	14.8
Positive emotion	4	3.3
Selective attention	6	4.9
Fatigue and mental strain	5	4.1
Lack of general moral imagination	12	9.9
Lack of systemic moral imagination	10	8.2
Lack of professional knowledge	6	4.9
Lack of managerial experience	7	5.7
Culture misunderstanding	5	4.1
Strategical financial thinking	9	7.4
Anxiety over possible injury to the decision-maker	8	6.6
Social/ managerial pressure to perform a task	9	7.4
Psychological distancing	2	1.6
Mental model	7	5.7
Motivation to success	9	7.4
Organizational culture	5	4.1
total	121	

An example of a report by one of the participants describes this influence of negative emotions (anger, fear, depression) on the recognition of moral situations:

*"I think that the emotions I felt as a result of threats to my success and belittlement by my superiors in the company made me blind and I couldn't control myself. I could see a man who was equal to me trying to score points for a presentation. Some of my comments during the discussion sprang from a weak place in me because I experienced unfairness and prolonged stress over the rivalry between us."*

The factor "lack of general moral imagination", is 9.9% of the total frequency of all the types which influence the failure to recognize moral issue

## Discussion

The current explorative research examined the factors that influence the recognition of moral issues and the failure to recognize them in the competitive and complex business environment. The results of the current study show that rational theories which dominated the study of EDM, do not adequately outline causal mechanisms of EDM. The focus of the current research provide a framework for understanding more deeply the complexity of EDM processes, and the factors influencing them as was contended by Theil & Al (2012) and Sonenshein (2007). Unlike Dukerich et al.(2000) which used Jones's (1991) six moral intensity factors, this study tries to describe the complex phenomenon of ethical recognition by the application of the exploratory approach independent of any theoretical model, as espoused by the grounded theory philosophy (Glaser & Strauss, 1997). This allowed for the introduction of moral recognition factors previously unmentioned in the past studies that dealt with ethical recognition. The findings of the study puts care and compassion at the head of the list of factors for recognition of moral issues are compatible with the trend seen in the last decade that sees emotions as an important part in the process of decision-making (de Sosa, 1987; Kahneman, 2003; Salovey, 2003; Schwartz & Color, 1983). This approach is supported by the results of neurological research, such as Damasio's (1994) somatic marker theory that put these emotions at the fore of psychological research.

The second most frequent factor in influencing recognition of moral issues in business situations is the influence of external norms. The frequency of this factor represents high awareness of managers to professional ethical standards and that is a wide consensus of the participants about the importance of professional ethics and acceptable behavior in the business environment. It is possible to see the similarity between 'professional standards' and 'social consensus' and Jones' (1991) social consensus dimension.

The second research question of this study dealt with describing the factors influencing failure to recognize moral issues. The current research findings are in line with Messick & Bazerman (1996) who claims that many managers do not properly recognize moral situations, and as a result they make improper decisions from a moral point of view.

Of the 16 factors found to influence the failure to recognize moral issues, negative emotions were most frequent (14.8%). The influence of negative emotions on behavior of employees in organizations was raised by several scholars (Weiss & Cropanzano, 1996; Ashkanasy et al., 2002). Forgas (2000) for example stresses that people experiencing negative emotions are more influenced by intuition and act without thinking.

The findings about the importance of the influence of motivational factors on failure to recognize moral issues are supported by social psychologists (for example: Ashforth & Fried, 1988; Gioia & Manz, 1985; Snook, 2000; Schweitzer et al., 2004).

Expectations' influence on the perception and interpretation of a situation increases as does the ambiguity of the situation (Sonenshine, 2007). According to Kunda (1990), expectations influence one's world view: "We all come to believe what we want to believe because we want to believe "(p .213).

### **Promotion - Prevention Model for Moral Issues Recognition**

Based on our results we offer an inclusive model that describes moral recognition in a business environment based on Regulatory Focus Theory formulated by Higgins (1998). Our model (PPMIR) suggests reciprocal relations between the factors which cause moral recognition and the factors which cause moral recognition failure point on a phenomenon in which lower level of the same factor (for example: openness) will enhance the failure to recognize moral issues while a higher level of the same factor will enhance moral recognition. For example: the amount of experience and knowledge about a certain level will enhance recognition while lack of experience and knowledge will cause failure to recognize moral issues. Figure 1 present the 'promotion-motivation model' of moral issues.

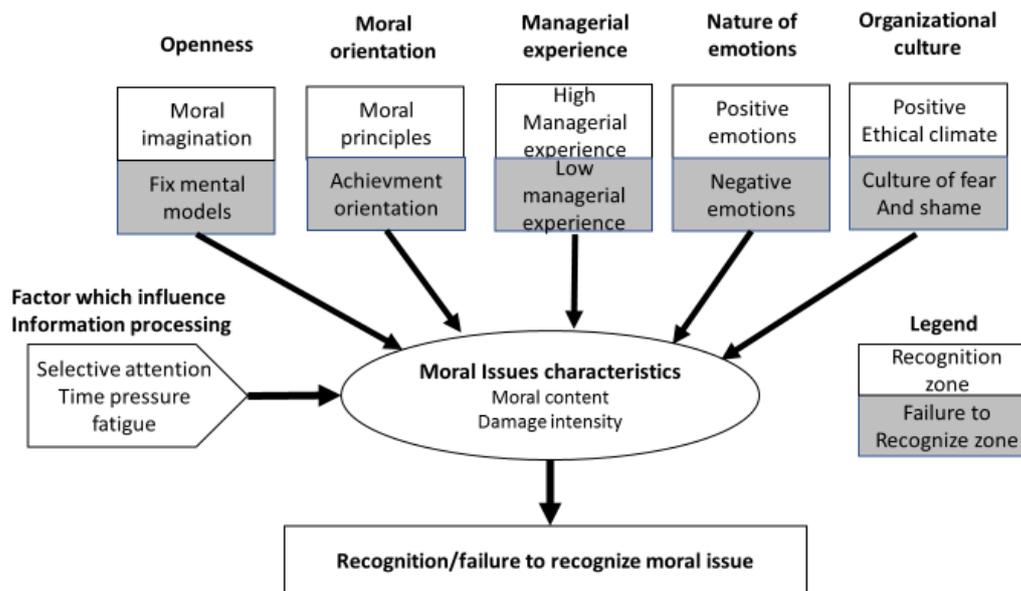
The five variables are: 1. Types of emotions – positive emotions contribute to recognizing moral issues (identification area) while negative emotions contribute to a failure to identify them (failure to identify area). 2. Experience and knowledge – knowledge and experience contribute to identification, while a lack of knowledge and experience contribute to a failure of identification. 3. Motivations directed by the desire to preserve the moral identification increases the desire to act according to moral principles and rules of professional ethics, on the other hand the achievement motivation to be promoted in the organizational hierarchy at any price contributes to failure to identify. 4. Moral openness – creative moral imagination brings the decision-maker to predict possible developments of moral compromise to stakeholders as a result of his decision in contrast with actions according to the mental model and routine scripts which will make moral situations vague and difficult to identify.

5. Organizational culture – the organizational culture that employees and managers work under the pressure of superiors who demand that financial goals of the organization are achieved at any expense and are characterized by tolerance to moral injustices certainly adapts to failure of identifying moral issues. On the other hand the organizational culture is based on moral values, preservation of fairness in competition and respect of individuals, all positive for influencing the identification of moral issues. The pressure to make decisions in a short time will cause mental overload on the decision-maker and thus affect his ability to discern moral issues.

### **Conclusions**

The findings of the current study have theoretical importance for the research of the moral recognition process and shed new light on the relationship between the cognitive and emotional spheres in the moral recognition process. Using managers' reactions to moral issues deriving from their everyday lives produces diverse reactions that represent more deeply and validly moral decision process in the real world.

### **Figure 1. Promotion- Prevention Model for moral issues recognition**



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# **The relationship between personal values and styles of conflict management**

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## **Abstract**

The purpose of this research was to test the circular relationship model between values (Self-transcendence, Conservation, Self-enhancement, and Openness to change), and styles of conflict management (SCM) - Obliging, Integrating, Avoiding and Dominating - proposed by Bilsky and Rahim (1999). Data were collected from a total of 362 multinational automobile company employees by using an electronic self-administered questionnaire. The results evidenced that the circular model isn't suitable to explain the relationship between values and SCM. This study advances values and conflict relationship literature by testing earlier framework and opening avenues for future research.

## **Introduction**

People deal with conflicts in different ways. In this sense, studies have been conducted to explore and understand the antecedents that influence how people deal with conflicts. Personal values are one of the antecedents associated with the management of conflicts. Morris et al. (1998) investigated the influence of cultural differences of values on the Conflict Management styles (SCM) in American and Asian managers. Also, Bilsky and Rahim (1999), tested the conflict structure and suggested the relationship between the values structure and SCM. In the following year, Bilsky and Wülker (2000) analyzed the correlation between the SCM and the ten types of values of Schwartz Values Theory (Schwartz, 1992). Ajum, Karim and Bibi (2014), analyzed the correlation and regression of the four poles of values structure and SCM. This study innovates by has testing the circular model of relations between values and SCM proposed by Bilsky and Rahim (1999).

## **Conflict: concept and management styles**

The style adopted for dealing with conflict has been an object of several studies (Thomas, 1992; Rahim, 2001) and different concepts were proposed (Pondy, 1966; Thomas, 1992; Rahim, 2001). Baron (1990) after doing a literature review, defined conflict as an ongoing process that involves not only opposing interests but, at least in some cases, feelings and negative thoughts about the adversary. Rahim also conceptualizes conflict as an interactive process expressed by incompatibility, disagreement or lack of harmony within, or between social entities (Rahim, 2011). The interpersonal conflict is related to a disagreement or an incompatibility, emphasizing the hierarchical level of organization members in a diatic relationship (Rahim (2002).

For Blake and Mouton (1997), the way people act in conflicting contexts is represented in two dimensions - orientation to production and orientation to people. From them five types conflict solutions emerge: Retreat, Cut off the edges, Use of force, Negotiation and

Troubleshooting. Thomas (1992) proposed a reinterpretation of the Blake and Mouton framework (2000) and suggested that the behaviors can be classified into two basic dimensions named Assertiveness and Cooperation. Assertiveness is defined by the person's orientation to satisfy his or her own interests, while cooperation is focused on how much the person seeks to satisfy the interests of the other party involved in the conflict. The variation of these dimensions generates five styles to deal with the conflict: Competition - assertive and non-cooperative; Collaboration - assertive and cooperative; Negotiation - both intermediaries: assertive and collaborative; Avoiding - non-assertive and non-collaborative and Obliging - non-assertive and cooperative.

Rahim (2001) used two dimensions related to the orientation that each person can adopt when managing conflicts. They are: meeting one's own interests or meeting the interests of others. The interconnection of these dimensions gives rise to the five styles of conflict management proposed by Rahim (2001). Although the dimensions proposed by Rahim (2001) have different names than those presented by Thomas (1992), they are almost identical: Assertiveness seems to be similar to the satisfaction of self-interests and Cooperation is similar to satisfying the interests of others. The same occurs with the Domination and Competition style, Integration and Collaboration. The other three styles receive the same name.

Definitions of each SCM proposed by Rahim (2001):

a) Integration: this style is characterized by the integration of the two dimensions: orientation to oneself and to others. For Follett (1923), integration involves interests and motives, standards and an ideal of justice. The exchange of information and openness to achieve a result that is agreed upon by those involved are features of this style;

a) Obliging: refers to low orientation to oneself and high orientation to others. In this style, there is a tendency to minimize the differences and potentiate the factors in common among those involved. There is an element of self-sacrifice in this style. It may take the form of false generosity, charity, or obedience to the orders of another party (Rahim, 2001);

b) Domination: in this type of style there is a high orientation to oneself and low orientation to others. This is also known as Competition. This style has been identified as an orientation gains versus losses or as a behavior to overcome the opposition of another party (Rahi, 2011);

c) Avoiding: this style is defined by a low orientation to oneself and to others. Using this strategy means reducing the satisfaction of both parties' interests as a result of their failure to address and solve their problems (Rahi, Psenicka, 2002b, 308);

d) Negotiation: in this style, there is the search for intermediating the orientation to oneself and to others. It involves 'giving and taking or dividing', by which both parties give up something to make a mutually acceptable decision. This may mean dividing the gap, switching from the concession, or seeking a fast and mid-term position (Rahim, 2011).

According to Rahim, Antonioni Psenicka (2001), among the styles of conflicts and performance, what stands out most is the Integration style. However, all styles may be appropriate, depending on the situation experienced.

## Personal values concept

Schwartz's values theory, which defines values as desirable and transituational goals that vary in importance and serve as principles in the life of a person or another social entity (Schwartz, 2006) was employed in this work; For Schwartz (2006) values, as they are goals, can motivate the actions of the people, besides being used as criteria to justify the action adopted by them. According to Schwartz (2005), values in the literature have the following characteristics: a) values are beliefs; b) refer to something desirable that evokes individual motivation to achieve it; c) transcend specific contexts; d) guide the judgment and selection of behaviors, events, and people; e) are organized hierarchically according to the priorities chosen by individuals.

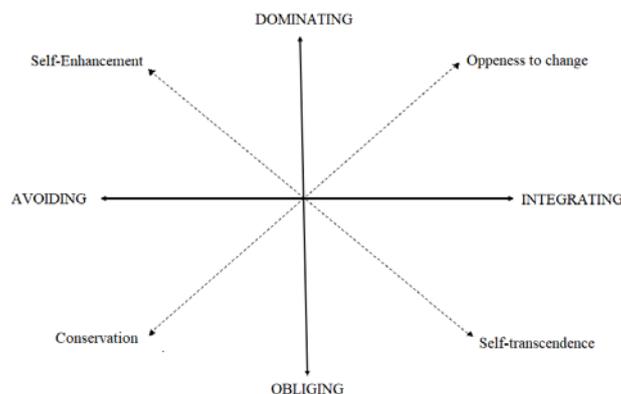
Values are acquired through group interaction or personal experiences and are manifested in both general and specific contexts. Because of these characteristics, values are inherent to any person, regardless of social class, country of origin, gender, age, life experience and others. (Schwartz, 2005).

Values are organized into two bipolar dimensions with four poles represented by Opening to Change versus Conservation and Self-Promotion versus Self-Transcendence. Thus, while the Openness to Change comprises values that emphasize individual and independent actions and thoughts, Conservation contemplates submissive self-restraint, preservation of traditional practices, and protection of stability. With regard to self-transcendence, values emphasize acceptance of others and concern for collective well-being; in the opposite direction, Self-Enhancement encompasses the values that emphasize the own realization and the power over the others (Schwartz, 2006)

## Hypotheses

Among the contributions to research that investigated the relation of values to the styles of conflict management, we highlight the contribution of Bilsky and Rahim (1999), who suggested a circular model of relationships between conflict management styles and personal values to which eight hypotheses are associated (Figure 1)

**Figure 1: Hypotheses of the relationship between types of personal values and conflict management styles in two spatial dimensions.**



Source: Bilsky; Rahim (1999).

H1s: SCM Dominating is positively correlated with Self-Enhancement and Openness to Change values and by these predicted;

H2s: SCM Dominating is negatively correlated with Conservation and Self-Transcendence values and by these predicted;

H3s: SCM Avoiding is positively correlated with Self-Enhancement and Conservation values and by these predicted;

H4s: SCM Avoiding is negatively correlated with Openness to Change and Self-Enhancement and by these predicted;

H5s: SCM Obliging is positively correlated with Conservation and Self-Transcendence values and by these predicted;

H6s: SCM Obliging is negatively correlated with Self-Enhancement and Openness to Change and by these predicted;

H7s: SCM Integrating is positively correlated with Self-Transcendence and Openness to Change and by these predicted;

H8s: SCM Integrating is negatively correlated with Self-Enhancement and Conservation values and by these predicted.

Bilsky and Wulker (2000) analyzed the correlation between the types of conflicts and the ten values proposed by Schwartz (2000). Ajum et al (2014) analyzed the correlation and regression of the four poles of values and conflict management styles: Self Transcendence x Obliging; Conservation x Avoiding; Openness to Change x Integrating; and Self Enhancement x Dominating. These relationships are insufficient to analyze the circular model of relations between values and SCM. This study aims to analyze all the hypotheses that contribute to testing the circular model proposed by Bilsky; Rahim (1999).

### Method

Participants: The data were collected from a sample of 362 a multinational automobile company employees who worked in São Paulo (Brasil). The sample is 81,5 percent male and 18,5 female; almost 70 percent are more than 26 years old and 80 percent are undergraduate or graduate; for 40 percent, work experience has been more than 20 years.

Measures and data collection: PVQ-21 and ROCI-II were the measures employed in this study. Two criteria were regarded in order to select the measures two criteria: previous validation and reliability. PVQ-21 validation for Brazilian people was tested by Lombardi et al (2010) and Campos e Porto (2010). ROCI-II Validation for Brazilians was analyzed previously by Araújo, Guimarães & Rocha (2005). The questionnaire with both measures was sent to 1.600 employees. The answer rate was 23 percent.

### Results

Every dimension pole is correlated significantly with at least two SCM indicating that there is association between the independent variables and the criterium variable (Table 1)

**Table 1 – Correlations between values dimensions and conflict management styles**

Values	SCM
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	Integrating	Obliging	Avoiding	Dominating
Self-transcendence	0,281**	0,015	0,028	-0,305**
Conservation	-0,123*	0,081	0,327**	-0,290**
Self-enhancement	-0,202**	-0,038	-0,254**	0,464**
Openness to change	0,093	-0,065	-0,163**	0,175**

\* Correlation is significant at the 0,01 (2-tailed); \*\* Correlation is significant at the 0,01 (2-tailed)

### Hypothesis H1s Testing

Multiple regression generated two models, in which model 2 presented a higher predictive power, with adjusted  $R^2$  of 26.2% (Table 2).

**Table 2 – Predictive power of the Poles of Self-Enhancement and Openness to Change in relation to the Domination style**

Modelo	R	R square	Adjusted R square	Std. Error of the Estimate	Change Statistics					Durbin-Watson
					R square change	F change	df1	df2	Sig. F Change	
1	0,483 <sup>a</sup>	0,234	0,232	0,59554	0,234	109,759	1	360	0,000	2,167
2	0,515 <sup>b</sup>	0,266	0,262	0,58376	0,032	15,678	1	359	0,000	

a. Predictors: Self-enhancement; b. Predictors: Openness to change.

Durbin-Watson, Tolerance, and FIV statistics remained within acceptable levels. The results of the multivariate regression analysis showed that Self-enhancement explains 23.2% of Dominating and when associated to Openness to Change, the explanatory power increases to 26.2%, which means an increase of 3% in the explanation of the first model (Table 2). The results corroborate Hypothesis H1s.

### Hypothesis H2s Testing

Multiple regression generated two models, in which the second model showed greater predictive power (adjusted  $R^2$  of 21.3%) (Table 3).

**Table 3 – Predictive power of the Conservation and Self-Transcendence poles in relation to the Dominating style**

Model	R	R square	Adjusted R square	Std. Error of the Estimate	Change Statistics					Durbin-Watson
					R square change	F change	df1	df2	Sig. F Change	
1	0,330 <sup>a</sup>	0,109	0,107	0,6421	0,109	44,102	1	360	0	2,172
2	0,466 <sup>b</sup>	0,217	0,213	0,60268	0,108	49,632	1	359	0	

a. Predictors: Self-Transcendence; b. Predictors: Self-Transcendence, Conservation.

Durbin-Watson, Tolerance, and FIV statistics remained within acceptable levels. Self-transcendence explained 10.7% of Dominating Style. The explanatory power increases

to 21.3% when this variable is associated with Conservation. Therefore, the results corroborate the hypothesis H2s

### Hypothesis H3s Testing

Multiple regression generated two models, with model 2 having a higher predictive power, with adjusted R square of 10.9% (Table 4).

**Table 4 – Predictive power of the Poles of Self-enhancement and Conservation in relation to the Evasion style**

Model	R	R square	Adjusted R square	Std. Error of the Estimate	Change Statistics					Durbin-Watson
					R square change	F change	df1	df2	Sig. F Change	
1	0,292 <sup>a</sup>	0,085	0,083	0,51446	0,085	33,599	1	360	0,000	2,039
2	0,338 <sup>b</sup>	0,114	0,109	0,50704	0,029	11,614	1	359	0,001	

a. Predictors: Conservation; b. Predictors: Conservation, Self-enhancement.

Durbin-Watson, Tolerance, and FIV statistics were within acceptable levels. Conservation explained 8.3% of the Avoiding variable. The explanatory power increased to 10.9% when this variable was associated with Self-enhancement. The results partially corroborated the H3s hypothesis because, although the Self-enhancement value was presented as a predictor with correlation to the style, the correlation was negative instead of positive, as was previously hypothesized.

### Hypothesis H4s Testing

Multiple regression resulted in only one model that showed predictive power, with adjusted R square of 1.6% (Table 5).

**Table 5 - Predictive power of the Opening to Change pole in relation to the Avoiding style**

Model	R	R square	Adjusted R square	Std. Error of the Estimate	Change Statistics					Durbin-Watson
					R square change	F change	df1	df2	Sig. F Change	
1	0,136 <sup>a</sup>	0,019	0,016	0,53291	0,019	6,816	1	360	0,009	2,038

a. Predictors: Openness to change

Durbin-Watson, Tolerance, and FIV statistics remained within acceptable levels. Openness to Change alone explained 1.6% of the variable Avoiding. Thus, this hypothesis was partially corroborated.

### Hypothesis H5s Testing

Multiple regression generated only one model, which had adjusted R square of 1.5% (Table 6).

**Table 6 – Predictive Power of Conservation Pole with Obliging Style**

Model	R	R square	Adjusted R square	Std. Error of the Estimate	Change Statistics					Durbin-Watson
					R square change	F change	df1	df2	Sig. F Change	
1	0,133 <sup>a</sup>	0,018	0,015	0,34784	0,018	6,441	1	360	0,012	1,993

a. Predictors: Conservation

The Durbin-Watson, Tolerance and FIV statistics have reached acceptable levels. The results of the multivariate regression analysis showed that Conservation explained 1.5% of the Obliging variable. The hypothesis was H5s was partially corroborated, with positive correlation only with the Conservation pole.

### Hypothesis H6s Testing

Multiple regression generated a model with the Openness to Change as an independent variable with predictive power and that presented adjusted R square of 1.3% (Table 7).

**Table 7 – Predictive power of Openness to Change pole in relation to Obliging Style**

Model	R	R square	Adjusted R square	Std. Error of the Estimate	Change Statistics					Durbin-Watson
					R square change	F change	df1	df2	Sig. F Change	
1	0,124 <sup>a</sup>	0,015	0,013	0,34825	0,015	5,582	1	360	0,019	1,990

a. Predictors: Openness to change.

The Durbin-Watson, Tolerance, and FIP statistics were within acceptable levels. The result showed that Openness to Change explained 1.3% of the Obliging. Therefore, the hypothesis H6s was partially proven.

### Hypothesis H7s Testing

The multiple regression generated two models, in which the model 2 presented higher predictive power, with adjusted R square of 11.1% (Table 8).

**Table 8 – Predictive power of the poles of Self-Transcendence and Openness to Change in relation to the style Integration**

Model	R	R square	Adjusted R square	Std. Error of the Estimate	Change Statistics					Durbin-Watson
					R square change	F change	df1	df2	Sig. F Change	
1	0,303 <sup>a</sup>	0,092	0,089	0,39542	0,092	36,396	1	360	0	1,965
2	0,341 <sup>b</sup>	0,116	0,111	0,39062	0,024	9,890	1	359	0,002	

a. Predictors: Self-transcendence; b. Predictors: Openness to change

The multivariate regression analysis showed that the Self-transcendence, an independent variable, explained 8.9% of the Integration variable and when associated with the variable

Openness to Change, the explanatory power increased to 11.1%, which means an increase of 2.2% explanation of the first model. So, the H7s hypothesis was partially corroborated.

### Hypothesis H8s Testing

Multiple regression generated two models in which model 2 presented a higher predictive power, with adjusted R square of 9.6% (Table 9).

**Table 9 – Predictive power of the Self-enhancement and Conservation poles in relation to the Integration style**

Model	R	R square	Adjusted R square	Std. Error of the Estimate	Change Statistics					Durbin-Watson
					R square change	F change	df1	df2	Sig. F Change	
1	0,227 <sup>a</sup>	0,052	0,049	0,40408	0,052	19,579	1	360	0,000	1,951
2	0,318 <sup>b</sup>	0,101	0,096	0,39391	0,050	19,83	1	359	0,000	

a. Predictors: Self-enhancement; b. Predictors: Self-enhancement, Conservation

The multivariate regression of the independent variable Self-enhancement explained 4.9% of the Integration, a dependent variable. When associated with the Conservation as independent variable, the explanation rose to 9.6%. Thus, the hypothesis H8s was corroborated.

### Discussion

In order to analyze the Bilsky and Rahim circular model, the hypotheses are summarized and discussed here. First, the discussion considered the pole of Dominating versus Obliging SCM and its correlation with values predictors. Second, the discussion of the other conflict management style – Avoiding versus Integrating – was done.

Hypothesis (H1s) related to Dominating conflict management style was corroborated regarding the relationship with Self Enhancement and Openness to Change values. They are positively and significantly correlated and those values are predictors of Dominating style. Regarding the circle, hypothesis H2s was proposed and negative correlation with Conservation and Self-Transcendence and prediction of those values were expected and corroborated. Regarding the circle, Obliging was expected to be correlated positively with the Conservation and Self Transcendence values and by those predicted (H5s). However, the Obliging has no significant correlation with both values and only Conservation resulted as a predictor variable. The other hypothesis (H6s), which proposed the negative correlation between Obliging and Self-Enhancement and Openness to Change values and by those predicted was also partially correlated as only the last value showed predictive power and no significant correlations.

The other pole oppose Avoiding versus Integrating SCM. Avoiding was expected to be positively correlated with Self-Enhancement and Conservation and by these values predicted (H3s) and negatively correlated with Openness to Change and Self-Transcendence and by these values also predicted (H4s). These hypotheses were partially corroborated. Avoiding was negatively correlated with Self-Enhancement and Openness to Change, positively correlated with Conservation and no significant correlation was found between that style and Self-Transcendence. Integrating style was expected to be positively correlated with Openness

to Change and Self-Transcendence and by these values predicted (H7s) and negatively correlated with Self-Enhancement and Conservation and by these predicted (H8s). The h7s hypothesis couldn't be corroborated as Integrating has shown no correlation with Openness to Change. The pole Avoiding x Integrating and Dominating x Obliging has no perfect relationship with predictor values. Therefore, is not possible to say that the circular model proposed by Bilsky and Rahim (1999) fits well to describe the relationships between SCM and personal values.

### Final remarks

The purpose of this research was to test the circular relationship model between values (Self-transcendence, Conservation, Self-enhancement, and Openness to change), and SCM (Obliging, Integrating, Avoiding and Dominating) proposed by Bilsky and Rahim (1999).

The results contest the circular model as the only part of compatible and opposite relationships between both poles of SCM and values could be found. The main deviant results are between Obliging Style and its predictor values.

Further research is necessary in order to propose and empirically validate a theoretical framework that can support empirical studies in which values and SCM could better explain relations between other constructs.

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# What Really Fuels Trust? Cultural Difference as an Antecedent of Trust and Helping Behavior

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## Abstract

Discretionary helping behavior in the workplace provides unique value to organizations, and is built partly on trust in supervisor that is built on perceptions about the target. We posit that cultural dimensions like power distance shape which bases of trust are more salient for developing and acting on trust. In a study of 103 undergraduate management students, we find that power distance and benevolence interact to predict willingness to help a supervisor. Specifically, we find that when individuals' power distance level is high, a supervisor's benevolence makes little difference in willingness to help. In contrast, when individuals' power distance level is low, the supervisor's benevolence appeared to be a powerful predictor of willingness to help.

## Introduction

Helping others is facilitated by interpersonal trust as a lubricant in daily interactions. In business settings, the most commonly used term for beyond contractual duty conducts is organizational citizenship behavior (OCB), exemplified by helping with job-related problems, volunteering for extra duty and tolerating the occasional inconveniences of work without complaining (Colquitt et al., 2013). Often, OCB is considered very valuable due to its impact on organizational operation and effectiveness (Cropanzano and Mitchell, 2005; Wat and Schaffer, 2005; Zellars and Tepper, 2003). In organizations, such behaviors are highly desired, but by definition left at the discretion of employees (Organ et al., 2006). Ample research shows that OCB is considerably influenced by interpersonal trust (e.g., Cropanzano et al., 2017; Kannan-Narasimhan and Lawrence, 2012). For example, Frazier et al. (2010) found that trust in supervisor may influence OCB by allowing a subordinate to focus attention on the tasks, and add value to the organization through increasing performance outcomes. Kim, Dirks, Cooper and Ferrin, (2006) concluded that trust in supervisor has the highest impact on OCB's altruism / helping dimension. Trust is essential in leadership relationships and for positive follower outcomes. Recently, Brower, Lester, Korsgaard and Dineen (2009) showed that mutual trust between manager and subordinate is conducive of the highest level of performance and OCB. Nevertheless, trust is fragile and often violated in day-to-day leadership interactions.

Trust research traditions given rise to a wide range of definitional debates and there are over 70 definitions of the concept of trust (Dietz and den Hartog, 2006). Rousseau et al. (1998: 395) defined trust as: "the psychological state comprising the intention to accept vulnerability based upon positive expectations of the intentions or behaviour of another". This definition indicates that trust involves a choice on the side of the trustor (Dietz, 2011). While developing their Integrative Model of Organizational Trust (IMOT), Mayer, Davis and Schoorman (1995) defined intention to trust in the same vein. The IMOT proposes that the

main antecedents of trust include both a dispositional aspect (i.e., trustor's propensity to trust) and situational aspects (i.e., trustee's perceived ability, integrity and benevolence) (Schoorman, Mayer and Davis, 2007). In a recent interview, Roy Lewicki contended that the model has "become a dominant standard in the research literature" (Gillespie, 2017: 210). Research on trust violation and repair process has produced useful insight into how integrity- (e.g., misreporting resulting in trust violations) and competence-bases (e.g., technical mistakes) affect trustworthiness, and how trust can be recovered (Kim et al., 2006).

Although studying these antecedents has advanced our understanding of the trust process, we believe that IMOT offers a somewhat limited scope for the range of trust building decisions regarding the choice of helping. In fact, the benevolence base of trust and possible cultural background differences often goes unnoticed. This crucial omission limits the generalizability of previous trust violation and recovery research to leader-follower relationships, and calls for more comprehensive models of trust, as suggested by Grover et al. (2014). A benevolent supervisor could be characterized as the one who renders individual care to different subordinates, and avoids putting subordinates in the embarrassment of humiliation and face losing (Pellegrini and Scandura, 2008). We develop our rational on benevolence and cultural views link that in turn may provide individuals dissimilar cues in deciding helping others.

#### *Hypothesis Development*

Trust in supervisor was found besides being positively associated with work performance and OCB, also to be contingent upon the cultural background of the respondents (Wasti et al., 2007; Wu et al., 2012). People can indeed be differentiated on a number of cultural views they foster. A particularly potent cultural dimension in work settings is power distance, which Hofstede (2001) conceptualized as individuals' acceptance of the unequal distribution of power in societies and institutions. In a multi country comparison, Wasti et al. (2007) suggested that individualism and low power distance often go hand in hand, where collectivism is more closely tied with high power distance. Research has shown that trust operates more narrowly in collectivistic contexts (House, Hanges, Javidan, Dorfman and Gupta, 2004). This is because collectivistic people are more influenced by in-group biases, relatedness, and interdependence (Hofstede, 2001). House et al. (2004: 30) defined institutional collectivism as "the degree to which organizational and societal institutional practices encourage and reward collective distribution of resources and collective action". For instance, Pellegrini and Scandura (2006) found that compared to individualistically oriented ones, collectivistic people produce more working together than working alone, especially when they are working with in-groups.

It should also be taken into account that some people are more likely to trust than others, i.e. they have a higher general willingness to trust (Mayer et al., 1995). Trust disposition is a stable trait because it is largely formed during early childhood (Erikson, 1963). Similarly, Kramer (1999) stipulates that trust is based on three relations: (1) trust disposition as a characteristic of the trustor; (2) (perceived) trustworthiness as a characteristic of the trustee; and (3) the organizational setting as the specific context or domain through which trust is deliberated. In fact, Van Dyne et al. (2000: 18) found that "both collectivism and propensity to trust were positively related to subsequent OCB." As we targeted to focus upon the impact of power distance, we decided to control for institutional collectivism, and propensity to trust. Taken together, our hypotheses are:

H1. Perceived ability of the supervisor will predict behavioral choice to help, and power distance level will generate an interaction.

H2. Perceived integrity of the supervisor will predict behavioral choice to help, and power distance level will generate an interaction.

H3. Perceived benevolence of the supervisor will predict behavioral choice to help, and power distance level will generate an interaction.

## Method

*Sample and Procedure.* To test our hypotheses, we recruited 103 undergraduate management students (mainly from US, with two from China, and one each from Mexico, Africa, the Middle East) at the University of South Carolina. The sample had an approximate average age of 20 years, and females were somewhat overrepresented (64%). Having accepted to fill an online survey, firstly each participant was randomly assigned to read one of two vignettes that described a hypothetical manager. In one vignette, students were asked to imagine they worked for a manager who was portrayed as high on integrity and ability but low on benevolence. The other vignette depicted a manager who was benevolent, but low on ability and integrity. The purpose of the vignettes was to induce variance in perceptions of the dimensions of the target's trustworthiness. Participants then answered a battery of survey items designed to measure the constructs under investigation. The understandability of the vignette(s) and the psychometric properties of the survey were tested with a pilot study.

Our dependent variable was measured with a behavioral choice scale adapted from Naumann (2010). It asked participants about their willingness to volunteer to help after overhearing the manager discuss a special project that would require substantial work. Among other items completed by the participants, we measured demographic variables as well as individuals' trust propensity, using a scale from Mayer and Davis (1999). We measured participants' judgements of their manager's ability, benevolence, and integrity with items adapted from Mayer and Davis (1999).

Finally, we measured participants' power distance and institutional collectivism levels using scales from the GLOBE study (House, Hanges, Javidan, Dorfman and Gupta, 2004). Most of our measures used a 7-point Likert-type scale with anchors ranging from "strongly disagree" to "strongly agree." Some GLOBE measures used anchors specific to the measure, but these were also measured on a seven point scale.

## Results

We tested our hypotheses with a series of linear regression models predicting willingness to help. In the analyses, we controlled for individual propensity to trust and institutional collectivism, but focused on interactions between trust dimensions and power distance. The results are displayed in Table 1. Model 1 of the table tests the interaction between perceived ability and power distance. It reveals no statistically significant main effects, and the effect of the interaction between ability and power distance ( $b = -0.11$ ;  $SE = 0.15$ ;  $ns$ ) is likewise not statistically significant, failing to support Hypothesis 1. Model 2 in Table 1. tests the main effect of integrity and the interaction between integrity and power distance. The main effect in this case was barely significant ( $p < .10$ ) whereas here the interaction ( $b = -0.07$ ;  $SE = 0.14$ ;  $ns$ ) was not reach to statistical significance, providing partial support to Hypothesis 2. We

tested Hypothesis 3 with Model 3 of Table 1. That model shows positive and statistically significant main effect for benevolence ( $b = 1.84$ ;  $SE = 0.80$ ;  $p < .05$ ) and power distance ( $b = 1.88$ ;  $SE = 0.73$ ;  $p < .05$ ). More relevant to our theoretical development, the model reveals a statistically significant interaction ( $b = -0.34$ ;  $SE = 0.16$ ;  $p < .05$ ) between benevolence and power distance, so Hypothesis 3 was supported.

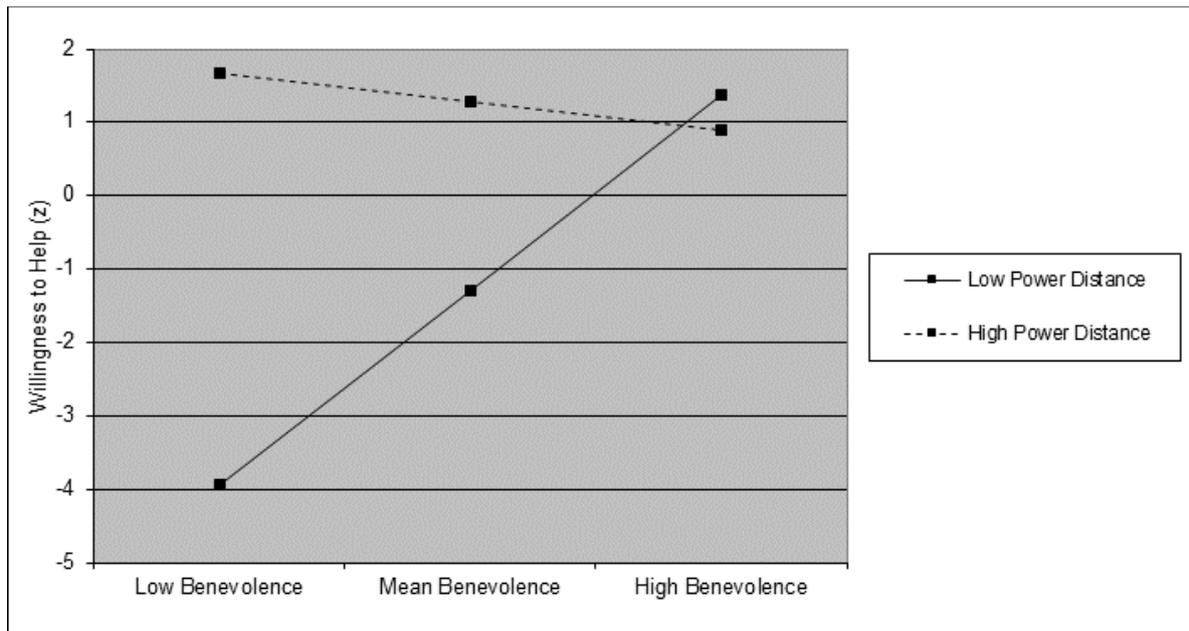
**Table 1: Results of Regressions Predicting Helping Behavior Interactions with Power Distance**

	Model 1	Model 2	Model 3
Propensity to Trust	-0.17	-0.17	-0.21
	(0.22)	(0.22)	(0.22)
Institutional Collectivism	-0.09	-0.09	-0.11
	(0.23)	(0.23)	(0.23)
Ability	0.52	0.00	-0.05
	(0.80)	(0.21)	(0.21)
Integrity	0.39†	0.72†	0.35
	(0.22)	(0.71)	(0.21)
Benevolence	0.15	0.17	1.84*
	(0.18)	(0.18)	(0.80)
Power Distance (PD)	0.87	0.68	1.88*
	(0.73)	(0.62)	(0.73)
PD x Ability	-0.11		
	(0.15)		
PD x Integrity		-0.07	
		(0.14)	
PD x Benevolence			-0.34*
			(0.16)
Model F (7, 102)	2.55*	2.51*	3.22**
Adjusted R squared	0.10	0.09	0.13

Note: N = 103; †  $p < .10$ , \*  $p < .05$ , \*\*  $p < .01$ . Standard errors in parentheses.

Figure 1 shows the nature of the interaction between benevolence and power distance. The figure demonstrates the effect of benevolence at levels of power distance one standard deviation above and below the mean. It shows that the participants were more sensitive to their manager's benevolence to the extent they subscribed to a cultural view of low power distance. Participants with views of culture that include high power distance were more likely to offer help to the manager regardless of their impression of his benevolence. The effect appears to be substantial, as participants who reported low values of power distance and low levels of benevolence had a willingness to help the manager that was more than three standard deviations below the mean of the entire sample.

**Figure 1: Interaction between Power Distance and Benevolence in Predicting Willingness to Help**



### Discussion

The role of values as the unseen drivers of behavior, are today even more important in the organizations of the 21<sup>st</sup> Century. Achieving high levels of trust from the employees is an important agenda for management, in general. An employee, as a trustor is the party who places him or herself in a vulnerable situation under uncertainty. Trust here is understood as the strong reciprocity value endorsed by subordinates to trust their leaders who provide them with genuine care and benign treatments. The trustee is the party on whom the trust is placed, and has the opportunity to take advantage of the trustor's vulnerability (Dietz, 2011). Although the IMOT predicts (Schoorman et al., 2007) perceptions about managers in terms of their competence in their job and truthfulness in their dealings with others would matter most, in the present study, neither of these variables had a sizable effect on the behavioral decision to help. Moreover, there were no differences between the respondents with different power distance levels. These results may be interpreted to mean that for individuals with predisposed to the merit of collective action and a high willingness to trust, neither perceptions of ability nor integrity of a supervisor are consequential in deciding to help. As a cautionary note, as this data was collected with a quasi-experimental study, where the respondents had to imagine how they would behave, and this could have made them to

deemphasize these attributes less than normally they would do. Nevertheless, as the manipulation checks showed that it was effective, this effect may not have been excessive.

Regarding benevolence and power distance relationship, however, the story was quite different. Among high power distance abiding group, one could expect that preference for dependence relationships between superiors and subordinates to be a greater, and thus benevolence may weigh less in deciding to help. In contrast, a preference for consultation and interdependence between superiors and subordinates can be expected in lower power-distance view group, and thus benevolence appeared to be primary for this group. Quite often, short-term leader–follower relationships are marked by a power differential, and dependency based trust. This could be a given for the high power distance abiding group, and they reported that they would chose to help their manager under any circumstance. However, the low power distant respondents were reluctant to answer positively to a supervisor who needed help, but was not benevolent. Thus, benevolence appeared to be especially important for the low power distance view group.

In sum, when supervisors demonstrate benevolent leadership which triggers social exchange and induces positive emotional feelings towards the supervisors, the subordinates build trust for their supervisors and feel obligated to reciprocate with extra-role behavior to support the supervisor. Benevolent leadership appeared to increase trust in supervisor by enhancing perceptions of interactional fairness for this US sample. Like any other study, there are also some limitations that need attention and problematize generalizability of the results. First, this was mainly a US student sample with only a few internationals. Secondly, the sample size was modest, but we deemed it was enough at this early stage of the study. Future research should recruit larger, and internationally diverse samples for more detailed comparisons.

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