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Doctoral research in management and business in New Zealand

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Doctoral Research in Management and Business in New Zealand

Peter Miller & Wayne Dreyer
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Introduction

The Graduate College of Management (GCM), in line with Southern Cross University’s Mission, concentrates in the doctoral area on developing research activities in fields of national and international significance where it can draw upon local resources and opportunities and, in return, make a significant contribution to other cultures and communities.

The genesis of this book goes back over a decade to September, 1998 when the Manukau Institute of Technology (MIT) and Southern Cross University (SCU) entered into a collaborative educational arrangement to deliver the SCU Master of Business Administration (MBA) program in New Zealand. As early as 2003, discussion took place between the partners to increase the scope of the Agreement to include the Doctor of Business Administration (DBA) program and in 2005, the DBA program was first offered.

After five years of successful delivery of the doctoral program in New Zealand, and a number of successful graduates from the program, the editors decided the time was right to scan the environment of New Zealand to investigate and record the current offerings of doctorate programs in management and business, to write some chapters to contextualize doctoral research and supervision in New Zealand, and to assemble a sample of the exemplary research projects being undertaken in the program and to make this scholarship available to others in a book of this nature.

This book is an important work to those who aspire to deliver collaborative educational programs or undertake doctoral level research and demonstrates, through the themes emerging in the book, the processes involved in planning, designing and implementing a successful doctoral level research program and consequent individual research projects. Importantly, the hurdles encountered by all researchers when undertaking research are identified and discussed frankly by the researchers and their supervisors.

The book’s focus, particularly in the second part, is on the process of the research project as opposed to the content of good research by management practitioners and as such covers various fields and methodologies. A completed thesis tells only part of the doctoral story. Here the authors describe what went on behind the scenes. For those interested in exploring a particular author’s work further, the theses themselves are available in hard copy format through the Southern Cross University Library and electronically through the Australian Digital Theses Program (http://adt.caul.edu.au/).
The studies included in part two of the book are not offered as the ‘best’ from the New Zealand program. Rather, they a selection of very good studies that can serve as models for other good research. Most practitioner researchers, especially if they are returning to academia after a long absence, are unsure about how to go about structuring and pursing their research project. All they know is that they have a complex, organisational problem which they think needs academic research to resolve. At the same time, they are a bit apprehensive of the research methodologies and scholarly writing required for the task. We hope this book will help novice ‘pracademics’ to overcome these inhibitions and seize the opportunity to engage with the academic community.

The exemplars included have used a wide range of research designs and methodologies—from quantitative studies to grounded theory and action research—and writing styles that vary from the traditional third-person to first- and second-person techniques. At the same time, the authors frankly discuss the many setbacks they encountered along the way which will help others considering a similar journey to avoid naive optimism and be realistically prepared for the challenges of completing the doctoral journey.

In keeping with the spirit of the DBA, the studies have been selected on the basis of their contribution to practice as well as theory—they would have helped or are assisting to solve actual organisational and/or management problems.

The book is divided into two parts. Part One, ‘Doctoral Research: Achievements and Realities’, comprising the first four chapters, addresses the research environment in New Zealand including trends in doctoral research, developing a successful doctoral program within a collaborative educational arrangement, and fresh thinking in research design and research supervision. The chapters in Part Two, ‘Research Priorities’, are case studies of doctoral research with a summary of each research project and a retrospective reflection from the researcher and the project supervisor. Readers will gain much from the window into the minds of these doctoral candidates, graduates and their academic supervisors.

Chapter 1, An Overview of Doctoral Research within Aotearoa/New Zealand, by Wayne Dreyer, sets the scene by examining trends in doctoral education in Aotearoa/New Zealand over the last 10 years. It discusses the recent phenomenon of the emergence of professional doctorates and in particular the Doctor of Business Administration (DBA). Finally the chapter has some brief reflections from a program director’s perspective of the introduction and experiences which make the DBA degree different from a purely academic focused research doctorate.

In Chapter 2, Cross Tasman Collaborative Education: A Case Study, Peter Miller and Wayne Dreyer explain the processes by which SCU and MIT came to develop an agreement to offer the SCU DBA program in New Zealand. The SCU DBA is a global award and offered in partnership with a number of overseas institutions, including the MIT. The overseas centres become collaborative partners with SCU in delivering the program. A brief history of the development of both educational institutions is provided and the chapter details the quality control and management
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of the program by the partners, and candidate and supervisor support systems that provide the basic infrastructure enabling the delivery of high quality doctoral education between the partners. Finally, the external recognition given to the program over the recent past is outlined.

In Chapter 3, Roslyn Cameron challenges existing models and discusses Emerging Research Designs in New Zealand Doctoral Projects. This chapter heralds mixed methods research as the third methodological movement, straddling the traditional divide between quantitative and qualitative methods. The chapter shows that an ‘either/or’ mindset is inadequate. Mixed methods research designs are more commonly used than might be perceived. Interestingly, Cameron’s own examination of doctoral research at SCU in the last decade indicates qualitative, quantitative and mixed methods research designs in doctoral work represents approximately one third each. The chapter is a convincing argument for the relevance and indeed prevalence of mixed methods research designs in business and management fields of research.

Peter Miller continues with Chapter 4, Research Supervision within Collaborative Partnerships. This explains how a structured but flexible approach, taking into account academic standards and candidates’ needs, has worked within the collaborative MIT and SCU partnership, indentifying the systems and changes needed to facilitate an effective supervision program across the Tasman. The other important subject of the chapter is self-knowledge, reflection and sharing ideas on practice, as supervisors learn together how to increase their effectiveness and broaden their scope of behaviour in working with doctoral candidates. This reinforces the point that there is no one best way to supervise a research project. There is room for learning and new approaches.

Part 2 commences with Chapter 5, Information Technology Knowledge and Skills Required by Accounting Graduates in New Zealand, by Thomas Tan and Andy Godfrey. It is important for accountants to possess IT knowledge and skills relevant to their roles to provide competent and professional services. However, the field of IT is wide and not all IT knowledge and skills relate to an accountant’s role. Experiences in teaching accounting information reveals that students regard some of the IT topics taught as irrelevant and the current literature is not prescriptive of the IT knowledge and skills that should be included in the accounting curriculum. This chapter investigates the kind of IT knowledge and skills accountants need and attempts to provide a more definitive conclusion on the IT knowledge and skills needed by NZ accounting graduates for them to perform competently when employed in an accounting role.

Chapter 6 is Crucible Influences on Leadership: Reflections on Northland Leaders’ Surthrival Experiences, by Steve Hinge and Wayne Dreyer. From the recent Global Financial Crisis and corporate failures, it is evidence that a vacuum has evolved from the leadership of senior corporate and government leaders. Influenced by their egos, short-term stock market pressures to generate significant returns for their shareholders, many of the leaders have demonstrated a basic lack of leadership values and moral integrity. This has prevailed in the US for the last decade and is
occurring more frequently in New Zealand. This chapter establishes a neologism called ‘surthrival’ to define the characteristics of ‘inside-out’ leadership—ie a combination of a number of modern leadership theories including Principle-Centered Leadership, ‘Authentic’ Leadership, Heart of Leadership construct, Crucibles, and leadership ‘voice’.

Chapter 7, Malaysian Private Education and New Zealand Business Education Providers, by Anthony Raman and Peter Miller concerns New Zealand business education providers. The chapter investigates the actual market perceptions held towards New Zealand business education providers by Malaysian private education and training organisations. Using a grounded theory approach, the aim of the research is to give New Zealand business education providers the strategies to enable them to develop marketing activities that take into account these perceptions. Strategies that are tailor-made to the marketplace will be developed and recommended to improve the competitiveness of New Zealand business education providers within the Malaysian marketplace.

Chapter 8, Building and Diffusion of Capacity Building Between Development Aid Sectors: An Explanatory Research Project, by Jacqueline Parisi and Stuart Middleton explores capacity building in nonprofit organisations (NPOs). There is a current gap in the literature around understanding the relationship between capacity building methods of NPOs and the methods used by private sector organisations. If the gap can be closed, it will enable the diffusion of private sector organisational capability building practices to NPOs. Utilising an inductive approach to building explanation and theory, the aim of the research is to build meso level theory regarding the diffusion of private sector organisational capability building practices to NPOs in the development aid sector, using Indonesia as the country of study. Learnings between the two sectors are examined and implications for inter-sector experience and enhancements are investigated.

The topic of Chapter 9—Just a Small Window to Get Some Leverage: A Critical Examination of the Rise of Te Wānanga o Aotearoa with Particular Emphasis on the role of the State in the Battle for Control of this Māori Tertiary Educational Institution, by Bruce Bryant and Wayne Dreyer—examines research undertaken on the Māori initiative known as Te Wānanga o Aotearoa (TWOA). In 2005, the State took control of TWOA, and the research examines the tactics used by the State to achieve this end, the likely reasons for the actions, and makes comparisons with the introduction of the New Zealand Settlements Act 1863, which confiscated customary Māori land that was conquered by military invasion, and made this land available to the European ‘settlers’.

The examples of doctorate research conclude with Chapter 10—The Dance of Collaboration: An Examination of Institutional Preparation for Collaboration within the New Zealand Tertiary Education Sector, by Donovan Wearing and Stuart Middleton. There is a wide range of literature on collaboration and the range of types or models of business collaboration, from purely transactional contract type arrangements to full mergers. This chapter explores the environment within which
sector leaders seek to better understand the ‘if, what and how’ tertiary institutions prepare for collaboration. Using semi-structured interviews with those involved in collaboration amongst tertiary institutions, the research aims to develop a coherent framework that might be used as a managerial best-practice model that can be applied to the tertiary sector to assist institutions ‘get ready, get set and get going’ when it comes to successful institutional collaborative preparation.

Taken together, the chapters in Part 2 cover local and international research projects on matters of interest to the researcher, the business community and scholars, by exploring hitherto unexamined topics, in new national and international contexts, with a variety of methods. The retrospective reflections from each researcher and supervisor universally endorse the significance of their relationship, whereas the obstacles faced in each project reflect a range of distinctive personal tests.

We trust you enjoy this book as much as we have enjoyed working with the authors in its development.

Peter Miller and Wayne Dreyer
April 2012
PART I

DOCTORAL RESEARCH: ACHIEVEMENTS AND REALITIES
Overview
This chapter introduces the book and sets the scene by examining trends in doctoral education in Aotearoa/New Zealand over the last 10 years. It discusses the recent phenomenon of the emergence of professional doctorates and in particular the Doctor of Business Administration (DBA). Finally the chapter has some brief reflections from a program director’s perspective of the introduction and experiences that make the DBA degree different from a purely academic-focused research doctorate.

Introduction
In January 2009 the New Zealand Education Review reported that ‘Doctorates are on the up’ and led its report by noting that doctoral enrolments and completions were increasing, which in its opinion, reflected ‘a sign that the continued emphasis on research and funding are paying off’ for Aotearoa/New Zealand Universities. At the time of this press release four of the eight universities in New Zealand had reported a growth in doctoral studies and completions and the early advice from the Universities reflects a significant rise in both candidate numbers and doctoral completions. Why? This trend is a question that needs further investigation and some of these issues will be discussed in this chapter.

Published Data across Universities
It appears as if the universities of Aotearoa/New Zealand do not differentiate between professional doctorates such as the Doctor of Business Administration (DBA) and the more traditional Doctorate of Philosophy (PhD) when completing statistical returns required by the Ministry of Education. This assumption is made as the Ministry’s website (www.educationcounts.govt.nz) does not differentiate between
a professional doctorate or a PhD. The data from the Universities of Aotearoa/New Zealand Universities shows a number of trends, (NBEET, 1989), namely:

- Doctor of Philosophy enrolments have grown from 3,221 in 1998 to 7,394 in 2009—a growth of 129% over the period.
- Completions and award of the degree increased from 402 in 1998 to 828 in 2009—a growth rate of 106 % for the period.
- Completions for International Students grew from 10.2% of total cohort in 1998 to 24% of the cohort in 2009. This is an interesting rise—for the previous 10 years the average was 10% of the cohort. Historically, international students are not in major numbers in the Aotearoa/New Zealand doctoral market.
- There is a huge gap between enrolments and completions, which reinforces anecdotal evidence of a high rate of non-submission of doctoral theses or dropping out for some reason.
- Of the 828 PhDs awarded in 2009, four Universities dominate—University of Auckland (241 completions), University of Otago (152 completions), Massey University (135 completions), and University of Canterbury (120 completions). The remaining five universities had 20.2 % of all completions that year. These ratios have remained static over a 10 year period. The exception to this generalisation is AUT University, which did not confer a PhD until 2003.

In assessing completions it is interesting to note that Management and Commerce graduates rose from 28 in 2002 to 84 in 2009—or, to place these in a percentile of all completions, Management and Commerce gained 5.6% of completions in 2002 and 10.1% in 2009. In Aotearoa/New Zealand the main areas for completions in 2009 were Natural/Physical Sciences, Society and Culture, and then Health. These three discipline areas accounted for 68% of all PhD completions in 2009.

**Professional Doctorates**

The chapter will now move on to the focus of the professional doctorate. A professional doctorate such as the DBA is not a PhD, nor is it meant to be. Usher (2002) offered a prescient view of the ménage of doctoral programs available in Australian higher education institutions when he published ‘A diversity of Doctorates: fitness for the knowledge economy?’ As he noted:

> The contemporary landscape of Australian higher education is increasingly characterised by a diversity of doctoral programmes. As well as the traditional PhD by thesis there has been a growth in professional doctorates and, latterly, doctorates by project. These last have now spread from their former confinement into Architecture and Design disciplines to Business Studies, Engineering and Education (p143).

The explosion in the professional doctorate market in Australia has recently been documented by Miller and Marchant (2009).
One of the arguments often put forward by many is that the changing nature of the offerings of doctoral degrees reflects demands placed on universities by the advent of the so-called ‘knowledge economy’. However, as Usher succinctly points out (p144) the use of the term ‘knowledge economy’ aptly changes one’s perspective of knowledge from an epistemological one to an economic one whereby knowledge is seen as a commodity in the marketplace. A further perspective is that offered by Lockhart and Stablein (2002, p191), who argue that ‘the economy has always been a knowledge economy’ and that traditionally ‘doctoral education in business has focused almost exclusively on the needs of future academic staff’.

This author, like many others, argues that the ‘knowledge economy’ is just another phase in the inextricable growth of capitalism. What has been different in this phase has been the speed of change assisted by the technology and the underpinning of the rationale for ‘bigger business’ espoused by neoliberal economic dogmatists. Since the time of Reagan, Thatcher and in Aotearoa/New Zealand, Roger Douglas, Western political socio-economic systems, governance, education and business activities have been dominated by an economic perspective of knowledge. The recent events in the world financial sector have led some such as Giroux and Giroux (2009, p1) to prophesise that ‘As financial meltdown reaches historic portions free market fundamentalism, or neoliberalism as it is called in some quarters, is losing both its claim to legitimacy and its claims on democracy’.

Western Universities have been inextricably bound up in the knowledge economy because they are an integral part of both the state and private apparatus involved production of knowledge. Universities have been under increasing pressure to perform to an economic model and in Aotearoa/New Zealand these pressures of compliance and economic modeling continue to flourish. As I have noted elsewhere (Dreyer, 2010), the last 10 years in the wider academy can be seen as a period where the ‘grim triad of capital, the market, and business… has underpinned much of the economic climate…’.

In Australia, the genesis of professional doctorates can be tracked to decisions made in the late 1980s and early 1990s by the National Board of Education and Training (NBEET). A useful discussion of the Professional Doctorates in Australia can be found in Miller and Marchant (2009). Neumann (2005, p173) points out that ‘… these awards were seen to have multiple purposes. Key among them was the need for the provision of opportunities for doctoral research in non-traditional disciplines and professional fields and the creation of a fast tracked doctoral qualification for the projected shortfall of academic staff at that time’. Hence the underpinning rationale can be seen to be one of pragmatism and the opening up new areas of professional endeavour. The advent of the professional doctorate also enabled non-traditional pathways into doctoral level research. Thus, while a professional qualification and/or experience are essential for entry into a professional doctorate these are not essential for entry into a PhD, in fact Universities still insist on a strong research based master’s qualification as the entry point into a PhD. Notwithstanding entry requirements as Sorros, Willis, Fisher and Storen (2005, pp151–152)
note ‘...the research focus of professional doctorates like the DBA is “concerned with researching the real business and managerial issues via the critical review and systematic application of appropriate theories and research to professional practice’.

While it can be argued that a professional doctorate is not a PhD nor is it meant to be, there are some underpinning economic (cash flow) issues that have driven the development of this new style doctoral qualification over the last 20 years. The DBA model aims to bridge the gap between both professional business and academic communities whom each group avows to serve. The universities were quick to develop a model that capitalises on the need for continuous lifelong education and executive development by, for and of practitioners. Economically they were practising real life neoliberal managerial education at the highest level, for much of the underpinning economic rational and thinking can be linked to that neoliberal icon of human capital theory. However Lockhart and Stablein (2002, p195) have identified three practitioner drivers in the demand for DBAs, these being:

- The need for ongoing formal learning.
- The desire by candidates to develop specific competencies for future employment (a classic example of human capital theory in action).
- The opportunity to conduct doctoral research on a problem for the mutual benefit of both practitioners and academics.

To return to this country of Aotearoa/New Zealand, the genealogy of business education can be traced back to the accounting programs of the former University of New Zealand. The first MBA was offered by the University of Otago in 1976 and by the early 1990s most universities offered a DBA program. Until 2010 there were 10 providers of MBA education of which seven are Aotearoa/New Zealand universities and one private tertiary provider, as well as Henley and Southern Cross University (SCU). In 2011, the UK based Henley was in the throes of withdrawing from the local market while SCU, who entered the market in September 1998 in a collaborative agreement with Manukau Institute of Technology, continues to offer and grow their suite of programs.

There are currently two providers of DBA-level education in Aotearoa/New Zealand—Massey University and SCU. The Massey DBA was introduced in the early 2000s while the SCU DBA was introduced in 2005. MIT identified a gap in the professional market in its region and negotiated with SCU to introduce the SCU DBA with a very small cohort of candidates in late 2005. Whilst there are some similarities in the broad objectives for research at doctoral level, as one would expect, the detail in how each university has modeled its program differs. It is not within the scope of this chapter nor is it professional to critique in detail another DBA, yet it must be pointed out that the SCU DBA appears to have greater emphasis on self-directed research in the thesis component of the degree. Both degrees are administered under their respective university doctoral research divisions and the examination the candidate’s thesis complies with acknowledged international standards.
Reflections of Five Years’ Experience

The decision taken in 2005 to offer the SCU DBA program in Aotearoa/New Zealand has proved to be a useful one for both institutions, and MIT’s first DBA candidates graduated at SCU in Lismore in 2010. Strategically the adoption of the SCU DBA allowed MIT to offer the total range of vocational focused business education programs from certificate to doctorate level and this meets the needs of MIT’s target population in the greater Auckland region. Successful operation of an off-shore University’s higher degree program requires a measure of collaboration and professionalism between institutions. In this case this has been achieved and in 2010 MIT was listed in AusLIST. This is the Australian Government Department of Education, Employment and Workforce Relations official list of accredited off-shore providers of Australian programs. What this guarantees is that wherever students undertake the program the facilities and resources are the same as in Australia. From both an institutional and student perspective it is important that at the highest operational level there is a measure of trust and professionalism—in this case, MIT and SCU academics and administrative staff have achieved this.

The SCU DBA consists of 24 units. Part One is Postgraduate Units (four). Most candidates would be granted advanced standing for these, but if their background is not business then these units are completed. Part Two is the preparatory stage and consists of units on quantitative research methods (one) and qualitative research methods (one), and postgraduate research proposal (two). Part Three is the thesis (16 units). The degree is awarded on successful external examination of the thesis. The model used in delivery of the SCU DBA is a part time blended learning model whereby once the formal teaching/learning (two research units) is completed to the required standard, candidates select a supervisor from the SCU approved Aotearoa/New Zealand-based supervisors. Candidates then complete their postgraduate research proposal and thesis under the supervisor’s guidance.

At MIT we aim to meet with all candidates once per trimester and there is a formal requirement that all candidates present their work in progress at bi-annual symposia held in Auckland. Candidates are also encouraged to attend SCU symposia held bi-annually at the Tweed Gold Coast campus. Supervisory staff take an active role in both symposia.

Prior to discussing some reflections the program’s demographics need to be discussed. The current MIT cohort is 28 candidates at various stages of their degree. The MIT/SCU collaborative agreement does not allow for full-time or international candidates. The current demographics of the cohort are as follows. The average age is early 50s, gender is 80% male, and ethnicity is 80% Pākehā/European in origin. Over 90% of candidates have a strong MBA background although there are two candidates with a PhD background. Their background is middle to senior executive across a range of companies and organisations. The cohort is at its ideal numbers (+/-5), for any more candidates place large pressures on suitable supervision staff. Suffice to say that without the supervision there is no degree.
Finally Lockhart and Stablein (2002, p198) observed in their experiences at Massey that three issues associated with running a DBA could be discerned, these being: academic entry standards, candidate attrition rates and candidate mobility. The experience at MIT some nine years later reflects these issues. One of the main early issues most candidates face is the issue of scholarship. Candidates often struggle in their writing and conceptualisations in the early stages as they have not come from research degree backgrounds. It takes a while for them to realise that the thesis is a major work project and that if it is to contribute to the professional pool of knowledge, then it requires new levels of conceptualisation. Many of the candidates have never been involved in a major research project and thus they do not have clear vision of what they want to achieve and find the checks and balances such as ethics approval frustrating. One candidate commented to me ‘I am a businessman, not an academic’ and that was his issue. He was not allowing the data to tell the story in the generation of new knowledge. So perhaps the entry selection criteria do need revisiting.

The second issue for Lockhart and Stablein is that of attrition. For the first few years the MIT experience was minimal attrition. The economic downturn increased the overall attrition rate and the applications for suspension of candidature for longer periods. Finally candidate mobility has been an important factor in this program’s short life. Mobility is increasing as candidates face uncertain economic futures and they either transfer or move offshore to seek better opportunities.

**Conclusion**

This chapter aims to be the scene setter for the rest of the book. Unlike in Australia, DBA programs are not common degrees in Aotearoa/New Zealand, with only Massey University offering these. The introduction of the SCU DBA brought a new player into a small market and it was a strategic move that suited MIT. The rest of this book discusses both the high and low points of our experiences.
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Chapter 2
Cross Tasman Collaborative Education: A Case Study

Peter Miller and Wayne Dreyer

Overview
This chapter charts the development of the collaborative educational relationship between the Manukau Institute of Technology (MIT) and Southern Cross University (SCU) in relation to the offering of the Doctor of Business Administration (DBA) program in New Zealand.

The SCU DBA is a global award and is offered in partnership with a number of overseas institutions. The overseas centres become collaborative partners with SCU in delivering the program. Candidates remain students of SCU.

A brief history of the development of both educational institutions is provided and details of the quality control and management of the programs by the partners is outlined. Candidate and supervisor support systems are detailed that provide the basic infrastructure enabling the delivery of high quality doctoral education between the partners. Finally, the external recognition given to the program over the recent past is outlined.

We acknowledge the input of Emeritus Professor Geoffrey Meredith, AM PhD, in the development of this chapter.

Introduction
Southern Cross University was established on 1 January, 1994, following the dismantling of the University of New England, which had been established as a network University in 1989. The Lismore campus in that network was known as The University of New England Northern Rivers.

Originally, the tertiary institution in Lismore was the Lismore Teachers’ College founded in 1971 and this institution was expanded and renamed the Northern Rivers College of Advanced Education in 1973. The Commonwealth Government of the day produced a White Paper on Higher Education in 1988 with an emphasis
on the development of larger institutions, and the Northern Rivers College of Advanced Education agreed to an association with the University of New England and became a network member under legislation enacted in 1989.

During 1992, an Advisory Group was established to consider the possibility of the network (University of New England) being dismantled. The Advisory Group recommended that a new University be established in the North Coast region of New South Wales as an academically integrated institution, incorporating the current UNE network centres at Northern Rivers and Coffs Harbour, with a potential of establishing additional sites at other North Coast Centres as required. In June 1993, the Commonwealth Minister for Employment, Education and Training and the NSW State Minister for Education and Youth Affairs announced that a new University would be established in Northern NSW incorporating campuses at Lismore and Coffs Harbour, and appropriate legislation was passed by both houses of the NSW Parliament in October 1993 and received Royal Ascent in November 1993, leading to the establishment of Southern Cross University from 1 January, 1994.

Business Studies was introduced at the College of Advanced Education in 1973 and over the iterations of the College to a College of Advanced Education and finally to a stand-alone University, the Business Faculty developed to offer postgraduate programs including higher research degrees.

Southern Cross University is now a dynamic Australian university situated on the North Coast of New South Wales. Its campuses are located at Tweed Gold Coast, Lismore and Coffs Harbour, with a new campus currently being developed at the Southern end of the Gold Coast. The University has around 16,000 students and offers a diverse range of educational courses and programs, with a choice of delivery modes. There are currently around 170 DBA students enrolled and in excess of 230 graduates of the program.

Manukau Institute of Technology (MIT) was opened in 1970 as the first of one of the new Polytechnics established by the then Department of Education, to meet Aotearoa/New Zealand’s needs for technical education. At the time it was unique as it was the first purpose-built Polytechnic, not one converted from a former technical school (Willyams & Netherton, 1996). The location in Otara was chosen for the new Polytechnic as it was close to the growing industrial/manufacturing area of East Tamaki. MIT started with 11 staff and 200 equivalent full-time students (EFTS).

Today, MIT has grown to a staff of approximately 850 full-time equivalent appointments and in 2009 there are approximately 23,000 students enrolled in a variety of courses, while the Institute graduated 2,600 students with MIT awards. MIT is a major player in the Aotearoa/New Zealand tertiary sector, with a target of 5,400 EFTS for 2009 and a major income from non-government fees in a variety of self-funding programs and initiatives such as the Southern Cross University Doctor of Business Administration (DBA) program. MIT is a government accredited institution with high quality degree, diploma, and certificate level
programs across many disciplines and trades. Also MIT is a national leader in transition education programs. Programs at MIT are New Zealand Qualifications Authority (NZQA) approved.

**The Educational Collaboration Agreement**

The educational partnership between MIT and SCU is governed by an Educational Collaboration Agreement that establishes the academic and business model for the collaboration. This collaborative agreement is a working example of what Sauvè (2002) and Scherrer (2005) describe as ‘Mode 1: Cross-border supply of education’ in their typology of modes of supply in the World Trade Organisation (WTO) sponsored General Agreement on Trades and Services (GATS) agreement on education.

Manukau Institute of Technology (MIT) and Southern Cross University (SCU) entered into a collaborative educational arrangement in September 1998 to deliver the SCU Master of Business Administration (MBA) program in New Zealand. As early as 2003, discussion took place between the partners to increase the scope of the Agreement to include the Doctor of Business Administration (DBA) program and in 2005, the DBA program was first offered.

Under the terms of the this specific Collaborative Agreement, SCU provides the higher education program (in this case the DBA) and MIT is responsible for the promotion, marketing and teaching of the SCU program in New Zealand. The candidates remain enrolled students of SCU throughout their program.

SCU controls the curriculum of the program and remains responsible to ensure that the delivery of the programs is of the same high standard and quality as the program delivered at the home campus of SCU. For example, admissions to the program are governed by the DBA Committee at SCU and all assessments are sent to SCU for assessment and examination. The final thesis prepared by the candidates is sent to SCU to be examined by independent external examiners under the supervision of the Higher Degrees Committee. All teaching/supervisory staff in the New Zealand program are approved by SCU.

The Collaborative Agreement was amended in May 2005 to include the delivery of the DBA program after years of successful delivery of the Master of Business Administration program.

**Organisational Academic Units Involved in the Collaboration**

**Graduate College of Management at SCU**

Following the establishment of the DBA in 1996 at Southern Cross University, strong arguments were developed for a separate Graduate College of Management (GCM) and advantages were seen for GCM to be established on the Tweed Coast, with land made available adjacent to the Tweed City Council facilities at Tweed Heads. Senior staff of the GCM were located at the Tweed Campus, although some
administrative facilities in particular organisation of distance learning programs, remained at the Lismore Campus until 2010. The significant growth of the MBA since its establishment in 1990 and further growth of Doctoral candidates with a launch of the DBA in 1996 provided sound justification for the establishment of a separate Graduate College of Management to cover the administration and delivery of all graduate programs in management and business, including doctoral programs.

When the Graduate College of Management was formally established, it assumed administrative responsibility for the academic quality and delivery of the DBA program. The Graduate College of Management is part of the Faculty of Business and Law and offers a range of postgraduate business courses and programs, including an MBA, DBA and a number of specialist Masters degrees.

The large distance education program in Australia, and the personalised on-campus program attracts students from around the world. The demand for courses and programs has resulted in these programs being offered in a number of locations in the Asia-Pacific region, enriching curriculum development and adding to the study experience of students.

Graduates are successful professionals who report a high level of satisfaction with their study experience. Courses are rated five stars for getting a job and are rated highly for graduate satisfaction (Good Universities Guide Postgraduate Guide, 2009) and the Doctor of Business Administration is consistently rated in the top three Australian Universities for overall satisfaction in research experience (Postgraduate Research Experience Questionnaire, 2006).

**MIT Faculty of Business**

The current MIT Faculty of Business was formed in early 2008 as a result of a major organisational restructure which dis-established four independent departments in the business disciplines and merged these to form a Faculty of Business. The Faculty offers a range of programs from Level 2 certificates to the SCU DBA. Among the programs offered are three discrete degrees as well as a number of National and MIT diplomas and certificates. The target for 2009 is 1600 equivalent full time students. The Faculty has approximately 110 teaching and administrative staff. The Faculty is a major entity at MIT.

The SCU collaborative agreement was initially established by the former Manukau Business School and concentrated on the Master of Business Administration and Master of International Business. As early as 2003 discussions took place between the two institutions to bring the DBA into New Zealand but the time was judged to be not right. In 2005, as part of a strategic initiative to grow the SCU presence in New Zealand, the then-director negotiated the terms for the offering of the DBA through MIT. His judgment was that the market in New Zealand was ready for another professional doctorate as apart from Massey University, all other Universities offered PhDs in the business/commerce areas. The DBA was launched in New Zealand in Trimester C of 2005 with just two candidates enrolling. Commercially this course was a ‘loss leader’, yet the decision to launch was judged
necessary to establish the DBA in the New Zealand market. In 2009 the DBA had 30 candidates and continues to grow as it has made its niche as a major player in New Zealand’s professional doctorate market.

The Southern Cross University Postgraduate Programs Office of MIT is an independent self-funding unit within the Faculty. It has a permanent staff of three: an academic (The Director) and two administrative staff (program managers). All other teaching or supervisory staff are contracted to the unit. As well as running the DBA, the office conducts the SCU MBA, a major MBA within New Zealand (140 plus students) and offers five other SCU Masters programs.

**Management and Quality Control**

Under the terms of the Agreement, a Management Committee comprising senior representatives from both institutions is established to oversight the arrangement. The role of the Management Committee is to facilitate full and frank discussions between the parties on any matter and to review the annual report on the delivery of the program. The Committee meets as a minimum twice per year. Outside these times, operational matters are dealt with by the DBA Director at MIT and the SCU DBA Director.

Local doctoral supervisors from MIT are coordinated by the SCU pod supervisor located at SCU. In addition to the contractual quality control arrangements, the SCU internal quality audit team regularly conducts quality audits on educational partners and of course, the Australian Universities Quality Agency also conducts audits of international partner operations as part of their review process for SCU.

**The DBA Program**

The Business faculty of SCU decided to first develop and launch a Doctor of Business Administration (DBA) program in 1996 under the guidance of Emeritus Professor Geoffrey Meredith. The DBA was one of the first business-related professional doctorate programs offered in Australia and its emergence as the dominant DBA program in Australia set the foundations stones for the academic structure and quality of other professional doctorates to be developed and offered by the University.

The need for a professional Doctorate such as a DBA was emphasised in a discussion paper prepared for Australia’s Pro-Vice-Chancellors (Research), which identified the extent and range of professional Doctorate programs available in Australia at universities during the early 1990s. Twenty-two Australian universities at the time were awarding professional doctorates and of the remaining 15 universities responding to a survey, nine indicated that they were in the process of formulating policies to introduce these awards. Support for professional Doctorates including a DBA was stated in the following terms:

- They would provide extended and advanced training in a professional field with projects and investigations applied in nature and oriented to practice in the professions and where the setting might be industry-based rather than campus-based.
DBA programs serve different consumer markets to PhD Awards keeping in mind that at the time, Australia had several thousand executive managers with a completed coursework Master Degree (including MBA) which would not qualify for admission to candidature in PhD programs.

There was an immediate demand for a DBA in the field of management consulting and for senior executives within public and private sector entities who had an ‘Internal Consultant’ role within their organisations.

Many senior personnel had completed a Master Degree that had complemented their first Degree with a broad program of course units and often a minor project, and these executives now wished to focus specifically on areas of importance for Australia and Asia with the opportunity of converting knowledge gained through advanced course units with the production of publishable research papers and a thesis.

DBA would provide qualified candidates with a credible terminal qualification—the DBA would have relevance for senior executives in private and public sectors and also would have relevance in educational institutions.

Through the proposed specialist program in key cities in South East Asia, SCU had the opportunity of meeting the demand for a terminal Award at Doctoral level with hundreds of senior public and private sector graduates who would see the DBA as an attractive terminal qualification.

In general terms, the DBA would meet a need in the field of business and related professional areas by providing postgraduate opportunities for candidates with appropriate background experience, providing extended and advanced training in professional fields associated with the faculty of business and computing, and furthering relationships between SCU and the Business and Professional communities to their mutual advantage.

DBA programs offered by Australian Universities are diverse in terms of both curriculum and advanced standing arrangements. The SCU DBA is classified by the Australian Government Department of Education, Employment and Workplace Relations (DEEWR) to be a doctoral research degree as the thesis component of the degree is a minimum of 66% of the program (that is, 16 units of 24 units of study). Most other Australian DBA programs are not considered to be research degrees as the coursework component of these degrees are much higher and in some cases candidates may submit portfolios of research papers and are not required to undertake a major research project in the form of a thesis.

The program has been reviewed many times since its establishment in 1996. The program was initially established as a ‘credit based’ award in 2006 and had a structure as shown in Table 2.1 below:
Table 2.1: 2006 Structure of the DBA Program

<table>
<thead>
<tr>
<th>Units</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>4 x</td>
<td>MBA units</td>
</tr>
<tr>
<td>2 x</td>
<td>Research methods units (Qualitative Research Methods and Quantitative Research Methods)</td>
</tr>
<tr>
<td></td>
<td>Doctoral supervisors are appointed at the near completion of the units above</td>
</tr>
<tr>
<td>2 x</td>
<td>Preliminary units (Preliminary Literature Review and Research Proposal)</td>
</tr>
<tr>
<td>16 x</td>
<td>Thesis units</td>
</tr>
<tr>
<td><strong>Total 24 units</strong></td>
<td></td>
</tr>
</tbody>
</table>

As demonstrated in the table, while the program was a ‘unit based’ award, the SCUDBA is classified by the Australian Government Department of Education, Employment and Workplace Relations (DEEWR) to be a doctoral research degree as the thesis component of the degree is a minimum of 66% of the program.

DBA candidates undertake and produce a major thesis, usually of between 60,000 and 85,000 words. Like all doctoral research programs, the undertaking of a large and rigorous research project is undertaken by the candidate under the supervision of an experienced academic who is appointed to supervise the project.

In 2006, a Course Review of the DBA was undertaken to consider re-accreditation of the degree for a further five years. The review provided an opportunity to consider the governance and structure of the other professional doctorate program then in existence, the Doctor of Education (EdD).

To take advantage of the opportunity provided by the DBA formal review, a number of committees and working groups were established to consider the University’s professional doctorate programs and in what direction the programs might go forward into the future. The Chair of the DBA Review Committee, Professor Martin Hayden, was also the Chair of Programs Committee of Academic Board, with three external members of the panel. The outcome of the review was a recommendation to Academic Board that the DBA be reaccredited for a further five years and this was accepted by the University Council in 2007.

The review report included a number of recommendations:

- That the DBA be more strongly promoted as a research higher degree qualification and that the focus of this promotion be upon its suitability as a qualification for tertiary level teaching and for problem-solving across a wide range of fields in business and management.
- That a proposal for there to be three examiners for a DBA Thesis be rejected.
- That an intention to develop a Centre for Professional Doctorates be supported.
- That an intention to apply a set of generic rules to all professional Doctorates be supported.
- That a policy of limiting to a maximum of 10 the number of Doctoral candidates per supervisor be supported.
That an intention to embed the two units—Qualitative Research Methods and Quantitative Research Methods—in all Master Degree Programs that articulate with the DBA be supported.

That the DBA and fee paying PhDs be the principal focus of the Graduate College of Management’s Higher Degree by Research activity.

That an intention to develop a Graduate Attribute to apply to the DBA program be supported.

That an intention for the Graduate College of Management to embrace its alumni more proactively be supported.

That an intention to make the action research approach a significant vehicle for DBA theses be supported.

That an intention for the Graduate College of Management to seek more research and development grants from large companies be supported.

That an intention for a Graduate College of Management to explore industry partnership possibilities that will support DBA and MBA research be supported.

That the College investigate further the progression and attrition data and address this issue based on the findings.

The DBA course review also concluded with a strong statement of support:

The Southern Cross University DBA Program is one of the largest and most successful programs of its type in Australia. It has a current enrolment of 180 students all full fee paying. It enjoys strong market demand from across Australia and the Asia/Pacific region. The program is making a significant contribution to the University’s strategic priorities. It is held in high esteem among business management educators across Australia. It is distinctive for its focus on the development of research skills, its high levels of candidate satisfaction, the quality of supervision, its vastly superior completion rates and its high overall quality standards.

In making its recommendations for re-accreditation for a further five years, the panel commended the Graduate College of Management for the following achievements:

• The extraordinary market success, as evidenced by the strong demand for the program, its remarkable retention and completion rates, and the high peer esteem in which it is held.

• Its impressive commitment to continuous quality improvement as evidenced by numerous initiatives to provide better forms of support for candidates and supervisors, the decision to raise the IELTS score required for admission to the DBA to 7 and the activities of the Course Advisory Committee in implementing internal course review procedures.

• Its willingness to support a proposed Professional Doctorate Centre, which is likely to have benefits for other Schools across the University.

• The uncompromising approach to the maintenance of high quality standards in the approach to the assessment of candidate performance in the DBA program.
Accordingly, the finalisation of the formal DBA review took the opportunity to change the rules of the DBA program to introduce the ‘time based’ structure and apply this structure to the approved Doctor of Education (EdD) program so that the revised structure became the generic structure for all present and future professional doctorate programs. The revised structure adopted for all professional doctorate programs is shown in the Table 2.2 below:

**Table 2.2: Generic Structure for all SCU Professional Doctorate Programs**

<table>
<thead>
<tr>
<th>4 x</th>
<th>Postgraduate units relevant to the proposed research project</th>
</tr>
</thead>
<tbody>
<tr>
<td>2 x</td>
<td>Research methods units (Qualitative Research Methods and Quantitative Research Methods). Doctoral supervisors are appointed at the near completion of the units above</td>
</tr>
<tr>
<td>1 x</td>
<td>Professional Doctorate Research Proposal (2 unit equivalent)</td>
</tr>
<tr>
<td>1 x</td>
<td>Thesis units (16 unit equivalent)</td>
</tr>
<tr>
<td><strong>Total 24 units</strong></td>
<td></td>
</tr>
</tbody>
</table>

A new Doctor of Indigenous Philosophies (DIP) was introduced using the generic structure in 2007. A number of other new professional doctorate programs are proposed. The International Centre for Professional Doctorates assumed administration of the DBA, EdD and DIP programs from 1 January 2008 with Associate Professor Peter Miller appointed as the foundation Director of the Centre. The University Council formally approved the establishment of the Centre in its minutes of 15th February 2008, Agenda item F2.

The rationale to have the current Graduate College of Management DBA staff form the basis for the International Centre for Professional Doctorates, to be located at the Tweed Gold Coast campus included the excellent world class administrative support systems the team had developed but it also made available to all professional doctorate candidates and their supervisors significant learning infrastructure to support the amalgamated programs.

### Candidate and Supervisor Support Systems

Up until 2004, most of the DBA candidates worked predominantly on their own, with a supervisor with whom they shared and created new knowledge as they pursued the research project. The rapid increase in enrolments over the early years of the program and the concentration on admission and student growth meant that the administrative systems and infrastructure to support the program were a secondary consideration to the priority of the program’s establishment and growth. As a result, the future success of the program and the ability of the program to sustain additional candidates were potentially restricted.

Accordingly, in early 2005, the then Director of the DBA program, Associate Professor Peter Miller, developed and established a number of knowledge sharing technologies, techniques and practices, including an online Doctoral Candidates
Centre, online Doctoral Supervisors Centre, doctoral symposia, and later in 2007, an online professional development program for supervisors. The cost of underwriting this project was provided by Professor Peter Baverstock from the University’s Graduate Research College.

The infrastructure encouraged collaborative knowledge creation and sharing by of doctoral research and supervision by the use of electronic networks permitting asynchronous distance learning in a real-time collaborative environment. Included in the initiatives was also the Doctor of Business Information System (DoBi) which included a full client relationship management module and management of enquiries system. The concept of self-service was also introduced as all paper-based forms were web-mounted and a new six monthly web-based reporting system for both candidates and supervisors was developed and implemented.

**The Doctoral Candidates Centre on MySCU**

MySCU is the University’s intranet learning platform which is Blackboard based. A unique feature of the support for this program is evidenced by the creation of a Doctoral Candidate Centre on MySCU. This was established as a central place where all doctoral candidates can visit to find resources, network and communicate with other candidates, complete candidate progress reports and to generally assist candidates to better understand the processes and procedures that affect them. Its main objective was to break down the isolation some doctoral research candidates encounter and create a community of scholars as well as provide assistance to remote location candidates.

The online centre aims to be the focal point for candidate contact with the University. Candidates are able to access an array of academic resources, to engage in discussion forums on matters affecting their candidature and establish specific forums to seek engagement from other candidates from around the globe engaged in similar research to their own research projects. Candidates also use the online centre as a portal to submit their six-monthly progress reports. A screen shot of the online centre is provided in Figure 2.1 below.
MIT On-Campus Resource Facilities

A SCU Postgraduate study room has been established by MIT for the sole use of SCU students. This room is part of the SCU facility at MIT and includes a suite of computers, a printer, a small research library, and other necessities (tea making etc) that candidates may need. All candidates have access to the room including after-hours access by swipe card.

University Library

Access to the SCU library is provided through the Doctoral Candidate Centre on MySCU.

The University Library provides a range of resources, services, training, and personal assistance for locating information within the Library or obtaining information from outside the collection. Universities in Australia and some overseas universities extend reciprocal borrower status to students of SCU through University Library Australia.

Document Supply

The Document Supply Service requests copies of journal articles not held in the SCU collection and borrows materials from other Australian libraries. Documents are requested electronically and are delivered in electronic form directly to the candidate’s desktop.

EndNote Software

Southern Cross University is the holder of a site licence for EndNote software, enabling staff and candidates to use EndNote to create their own bibliographies and documents or dissertations formatted with their style of choice.
The Library provides support for EndNote, including training sessions customised to user level. There are numerous resources provided on the Library web site including filters, connection files, and training materials. The web site also provides details of the training schedules for each campus, and the EndNote software itself can be downloaded from the site.

**Australian Digital Theses Program (ADT)**

SCU is a member of the Australian Digital Theses program. This is a national collaborative program that aims to establish a distributed database of digital versions of theses produced by postgraduate research students at Australian universities. Candidates are encouraged to submit an electronic version of their thesis so that it can be included in this national database.

**The Doctoral Supervisor Centre on MySCU**

The Doctoral Supervisor Centre on MySCU was established as a central place where all doctoral supervisors can visit to find resources, network and communicate with other supervisors, share innovative supervision ideas, access supervisor training modules, complete progress reports for their candidates and to generally assist supervisors in their role as a supervisor of DBA candidates and to better understand the processes and procedures that effect them.

Once access to the Centre is established, all supervisors (including local co-supervisors) have access to:

- SCU’s extensive electronic library resources, databases and more than 5,000 full text online journals.
- The alerting systems to enable staff to be advised of the publication of their favourite journals or authors.
- A SCU email account and address.

The resources provided to candidates in the doctoral candidate centre are duplicated in the supervisors centre to enable supervisors to understand and appreciate the resources provided to their candidates. In addition, supervisors are able to contribute to discussion forums on best practice supervision and to submit their six-monthly progress reports.

**Doctoral Research Symposia**

The New Zealand cohort has a colloquium at least once each trimester and a doctoral symposium is conducted at least once per year. New Zealand candidates are also encouraged to attend one of the annual symposia offered by SCU at the Tweed Gold Coast Campus. The symposia give candidates an important opportunity to mix and network with other candidates and supervisors for intellectual exchange and support. Attendance at one symposium per year (in any location) is compulsory for all DBA candidates.
The symposia often cover topics such as:

- Library skills
- Working with SPSS
- Doctoral supervision
- Undertaking literature reviews
- Publishing during candidacy, and
- Research methodologies.

The main aim of the symposia is to provide candidates the opportunity to present their research project to their peers and supervisors, discuss where it is placed, and to get feedback on their direction and assistance with problems or issues.

The aims of research in progress presentations are to:

- Inform other researchers and academic staff of the status and direction of the candidate’s proposed/current research project.
- Provide candidates with the opportunity to put forward ideas and to receive critical feedback on their planned or current research project.
- Give candidates an opportunity to reflect on their research by having to prepare a presentation to their peers.

**Supervisor and Candidate Reporting System**

Candidates and supervisors are required to complete six-monthly progress reports. Candidates gain access to their progress reports through the Doctoral Candidate Centre and supervisors gain access to their reports through the Doctoral Supervisors Centre. The reports require candidates and supervisors to comment on the progress of the research project and the nature of the supervisory relationship. Reports are returned directly to the program Director. Should either the candidate or supervisor raise a matter requiring attention, it is dealt with by the program Director.

The progress reports are web mounted onto the University’s student system known as Student One. The reports not only obtain information on the projects but are also used to obtain continuous feedback from candidates about their overall experience in the program that can be measured and benchmarked over time.

**Supervisor Professional Development**

The policy on the supervision of doctoral candidates is to appoint a suitably qualified and experienced local supervisor for all candidates. All supervisors must meet the following criteria:

- Have a doctoral qualification
- Be experienced in research and/or in the supervision of research higher degrees
- Have relevant knowledge and expertise for the research project
- Have sufficient time and access to adequate resources to supervise the research project.
All supervisors must apply to be appointed to the Professional Doctorate supervisor register on the appropriate form and undergo a rigorous review to ensure that they are experienced researchers capable of undertaking doctoral supervisory roles.

SCU also appoints a suitable member of its permanent staff to be the principal supervisor for all overseas partners. SCU utilises a ‘pod’ model whereby one principal supervisor is appointed to take responsibility for principal supervision of all candidates (and co-supervisors) at an overseas location (partner).

The principal supervisor does not supervise directly each individual candidate’s research project (this being the role of the local co-supervisor) but provides a quality control watch over the project and the local co-supervisor(s).

In addition to the quality control role with the co-supervisor, the principal supervisor has formal roles for each candidate’s project including:

- Liaison with local partner doctoral coordinator
- For ethics applications assists the Co-supervisor with the ethics process and forms
- Responsible to monitor progress reports from the partner’s candidates and supervisors
- Takes action where progress is not satisfactory
- Signs off qualifier programs
- Final sign off for thesis submission.

All doctoral supervisors have access to an online supervisor professional development program. The wide-ranging campuses of SCU and network of overseas partners necessitated an online program to enable Higher Degree Research (HDR) supervisors in a number of national and overseas locations to participate in HDR supervisor professional development. Professional development for doctoral supervisors will be discussed in detail in Chapter 4.

**External Recognition**

As was mentioned above, DBA programs offered by Australian Universities are diverse in terms of both curriculum and advanced standing arrangements. The SCU DBA is classified by the Australian Government Department of Education, Employment and Workplace Relations (DEEWR) to be a doctoral research degree as the thesis component of the degree is a minimum of 66% of the program (that is 16 units of 24 units of study). Most other Australian DBA programs are not considered to be research degrees as the coursework component of these degrees are much higher and in some cases candidates may submit portfolios of research papers and are not required to undertake a major research project in the form of a thesis.

Comparisons between DBA programs are therefore difficult. However, the SCU DBA has been benchmarked against other Australian DBAs by the Australian and New Zealand Academy of Management (ANZAM). Results show that the SCU DBA is the largest DBA program by enrolments and has the largest number of graduates when compared to other DBA programs (ANZAM 2005).
In 2005, the DBA leadership team—consisting of Professor Peter Miller, Director of DBA, Ms Sue White, DBA Administrator, Ms Chantelle Howse, DBA Administrative Officer and Ms Susan Riordan, DBA Administrative Officer—was awarded the Vice Chancellor’s Award for Excellence and Achievement in the improvement in process category for the development and establishment of the web based candidate’s and supervisor’s centres and the customer service management software developed specifically for the program.

Each year graduates from Australian universities are asked to complete an independent Government ‘Postgraduate Research Experience Questionnaire (PREQ)’. The report is released by Graduate Careers Australia and is aimed to provide a national picture of selected aspects of graduates’ research experience to allow national comparisons of educational quality among the 39 Australian universities.

The 2005 report showed that in respect of our postgraduate research candidates (includes both DBA and PhD graduates), Southern Cross University achieved the following rankings:

- number 1—Overall Satisfaction
- number 1—Goals and Expectations
- number 1—Intellectual Climate
- number 2—Skill Development
- number 2—Thesis Examination
- number 11—Infrastructure.

The 2006 report also showed a number 3 rating for overall satisfaction.

Further external recognition came from The Melbourne Institute (Williams & Van Dyke, 2006), which was formed in 1962 under the leadership of Professor Ronald Henderson. It was the first economics research institute in an Australian university. The Melbourne Institute aims to be a major institute of applied economic and social research that is nationally and internationally renowned in academia, government, business and community groups. In November, 2006, the Institute released its report, Rating Major Disciplines in Australian Universities: Perceptions and Reality. In that report, SCU had the highest number of doctoral completions (principally DBAs) in Business and Economics over the period. Monash University was ranked second and University of New South Wales, third.

In April 2008, the Hong Kong Council for Accreditation of Academic and Vocational Qualifications (the HKCAAVQ) re-accredited the Doctor of Business Administration degree for a period of five years after an exhaustive review process that involved senior professorial staff from a number of overseas universities.

In October 2008, the Malaysian Qualification Agency (MQA) and the Ministry of Higher Education approved the SCU DBA—the first for a foreign University DBA in Malaysia. Equally significant was that the accreditation was accorded a Category ‘A’ approval, which is usually only reserved for PhD programs.
In November, 2008, Professor Brian Stoddart, former VC of La Trobe university presented an independent report, an investigation into the structure, range of activities, performance and supervisory arrangements concerning the University’s DBA program. The investigation coincided with the then SCU Director of the program stepping down from the position.

The report concluded that:

Broadly, SCU may be satisfied that the DBA program is fundamentally sound. It consistently attracts good numbers of quality students from Australia and New Zealand as well as overseas, specifically in Singapore, Malaysia and Hong Kong. The program is conducted through a structured supervisory system that ensures students receive consistently high levels of supervision. The student support systems are excellent, with exemplary customer service readily available. Academic standards are high as attested by the time taken to complete, and by the evidence that a reasonable number of students are admitted to but do not complete the program. There is a strong process of continuous improvement imposed on the program.

In addition, the report made four commendations:

• Commendation 1—GCM is commended for the construction of a professional development program for doctoral supervisors
• Commendation 2—GCM is commended for the consistently high customer service provided to students by both academic and administrative staff
• Commendation 3—GCM is commended for having created such a stimulating learning environment for students
• Commendation 4—GCM is commended for the high level of continuous improvement shown throughout the life of the DBA program.

The independent report was acknowledged as a tribute to the leadership of the program over the previous five years.

Conclusion

The Southern Cross DBA is a global award and offered in partnership with a number of overseas institutions, including the Manukau Institute of Technology in New Zealand. The overseas centres become collaborative partners with SCU in delivering the high quality research program. Candidates remain students of SCU. This chapter has provided a brief overview of the MIT and SCU collaborative education agreement, including the educational infrastructure that underpins the success of the agreement.
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Stoddart, B, 2008. An investigation into the structure, range of activities, performance and supervisory arrangements concerning the University’s DBA program. Independent review. Kyneton

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Overview

Mixed method research is a growing area of methodological choice for many academics and researchers from across a variety of discipline areas.

This chapter provides a brief overview of the rise of mixed methods research, its usage in business and management fields, a discussion on the emergence of mixed methods research designs, and it presents empirical evidence of mixed methods usage in DBA theses undertaken at MIT in New Zealand.

This chapter is based in part on the chapter, ‘Changing the paradigm: emerging research designs in professional doctorates’, in Professional Doctorate Research in Australia: Commentary and case studies from Business, Education and Indigenous Studies (Miller, P & Marchant, T, 2009).

Introduction

A new era in research methods is emerging and has been quietly heralded by several emerging authorities in the field of mixed methods research as the third methodological movement. Like the mythology of the phoenix, mixed methods research has arisen from the ashes of the paradigm wars to take its place alongside the more established traditions of quantitative and qualitative research traditions (Cameron & Miller, 2007). The fields of applied social science and evaluation are among those which have shown the greatest popularity and uptake of mixed methods research designs.

Relatively speaking, there is less dialogue and literature on the use of mixed methods in applied business than in other discipline areas where mixed methods has witnessed higher levels of acceptance, such as the social sciences, health and education. Business disciplines have traditionally been undertaken within the quantitative paradigm,
with some exceptions. It has only been very recently that mixed methods has been introduced and explicitly utilised within applied business research (Cameron, 2008; Hurmerinta-Peltomaki & Nummela, 2006; Molina-Azorin 2007).

This chapter provides a brief overview of the rise of mixed methods research, its usage in business and management fields, a discussion on the emergence of mixed methods research designs, and presents empirical evidence of mixed methods usage in DBA theses at Southern Cross University (SCU). Completed New Zealand based DBA theses will be discussed along with the currently enrolled New Zealand based DBA candidates.

**Literature Review**

Mixed method research is a growing area of methodological choice for many academics and researchers from across a variety of discipline areas. Creswell and Plano Clark (2007, p5) define mixed methods as follows:

> Mixed methods research is a research design with philosophical assumptions as well as methods of inquiry. As a methodology, it involves philosophical assumptions that guide the direction of the collection and analysis of data and the mixture of qualitative and quantitative data in a single study or series of studies. Its central premise is that the use of quantitative and qualitative approaches in combination provides a better understanding of research problems than either approach alone.

Teddlie and Tashakkori (2009) refer to the eight stages in the history and philosophy of the human sciences. Stage eight is referred to as the Institutionalization of Mixed Methods as a Distinct Methodological Orientation (1990 to the Present). The authors refer to mixed methods as the third research community and note that there is a short but notable list of mixed methods publications that have appeared in the last 15 years. Mixed methods emerged in the late 1980s and grew in continental Europe and the United Kingdom, followed by an uptake by scholars from the USA. The fields within the human sciences that have seen the spread of mixed methods include: evaluation research; management and organisational research; health sciences; nursing; psychology; sociology and education (Teddlie & Tashakkori 2009, p78).

Creswell and Plano Clark (2007) have also mapped a brief history of mixed methods research and its evolution to date and have posited four, often overlapping, time periods in the evolution of mixed methods. These four time periods are: the Formative period (1950s–1980s); Paradigm debate period (1970s–late 1990s); Procedural development period (late 1980s–2000); and the Advocacy as a separate design period (from 2000 on). Buchanan and Bryman (2007, p486), in reference to organisational research, conclude that:

> The paradigm wars of the 1980s have thus turned to paradigm soup, and organisational research today reflects the paradigm diversity of the social sciences in general. It is not surprising that this epistemological eclecticism has involved the development of novel terminology; innovative research methods; non traditional forms of evidence; and fresh approaches to conceptualization, analysis, and theory building.
Mixed methods research as a third methodological movement is developing and evolving with recent studies of the use of mixed methods in the fields of counselling (Hanson, Creswell, Clark, Petska & Creswell, 2005); qualitative research conducted in Switzerland (Eberle & Elliker, 2005); nursing (Twinn, 2003); education (Niglas, 2004); social and human sciences (Bryman, 2008; Plano Clark, 2005); evaluation research (Greene, Caracelli & Graham, 1989); and business research (Cameron, 2008; Hurmerinta-Peltomaki & Nummela, 2006; Molina-Azorin, 2007) providing empirical evidence of the extent of utilisation of mixed methods in contemporary research. Creswell and Plano Clark have concluded that ‘today, we see cross-cultural international interest, interdisciplinary interest, publication possibilities, and public and private funding opportunities for mixed methods research’ (2007, p18).

Several authorities have been emerging as mixed methodologist researchers and theorists (Bazeley, 2003; Bergman, 2008; Bryman, 2008; Creswell, 2003; Greene & Caracelli, 1997; Mertens, 2005; Mingers & Gill, 1997; Creswell & Plano Clark, 2007; Tashakkori & Teddlie, 2003). The interest in mixed methods has seen the recent emergence of several publications including academic journals, chapters within research texts (McMillan & Schumacher, 2006) and research texts themselves that are dedicated to mixed methods. The most comprehensive publication of mixed methods to date has been the edited Handbook of Mixed Methods in Social and Behavioural Research (Tashakkori & Teddlie, 2003). In January 2007 the first issue of the Journal of Mixed Methods Research was published and this was followed by the first issue of the International Journal of Multiple Research Approaches in October 2007. In 2009 a new online journal, The International Journal of Mixed Methods in Applied Business and Policy Research published its first issue. Several texts solely dedicated to mixed methods research have recently been published (Andrews & Halcomb, 2009; Bergman, 2008; Cameron & Miller, 2009; Creswell & Plano Clark, 2007; Greene, 2007; Teddlie & Tashakkori, 2009).

In the field of management research, Mingers (1997) and Mingers and Gill (1997) have been strong advocates for multimethodology or pluralism, as has Bazeley (2003). There is a small but growing body of research that is researching the incidents and usage of mixed methods in business research. Rocco, Bliss, Gallagher and Perez-Prado (2002) explored how mixed methods was approached in the fields of human resource development (HRD) and adult education, and Mingers (2003) reviewed the information systems literature in reference to the use of multimethod research. Four similar pieces of research have aimed at discovering the extent and current role mixed methods plays in certain business/management fields through a process of systematic review of empirical studies. The first was a study conducted by Rocco et al (2003) and reviewed 16 online articles from 1999 to 2001 in the Information Technology, Learning and Performance Journal. The second study was undertaken by Hurmerinta-Peltomaki and Nummela (2006) and involved the review of articles from four major journals in international business during the time span of 2000 to 2003. The third was a study of the use of mixed methods in the field of strategic management and in particular Resource Based Review research (Molina-Azorin
2007). The fourth study involved the methodological scan of conference papers from the 2007 conference of the Australian and New Zealand Academy of Management (ANZAM) (Cameron 2008).

A large study by Bryman (2008) of published social science journal articles from 1994 to 2003 that utilised mixed methods found that just under half of those that used mixed methods did so by presenting the qualitative and quantitative data in parallel and only 18% of the articles genuinely integrated the two sets of findings. The studies by Hurmerinta-Peltomaki and Nummela (2006) and Cameron (2008) found similar findings. Hurmerinta-Peltomaki and Nummela (2006) analysed mixed methods in International Business journal articles from 2000 to 2003 and found that the majority of these (60%) used both qualitative and quantitative data collection but analysed these within their own tradition (i.e., quantitative data analysed using quantitative methods and qualitative data analysed using qualitative methods).

Cameron (2008) reviewed conference papers from the 2007 conference of the Australian and New Zealand Academy of Management (ANZAM) (n=281). Quantitative papers represented just under one third of the papers (32%), followed by conceptual papers (30%). Qualitative papers represented 28% of the papers and mixed methods represented 10%. Papers were categorised as either conceptual or empirical (qualitative, quantitative and mixed methods). This process identified a total of 197 papers with an empirical research design. Of these empirical studies 28 (14%) utilised a mixed method. The majority of mixed method type papers were in the classification (n=22 or 78%) that analysed qualitative data qualitatively and analysed quantitative data quantitatively. The study of the use of mixed methods in strategy research by Molina-Azorín (2007) reviewed literature in the Resource Based Review (RBV) published between 1984 and 2006. Computerised searches of two databases along with manual searches of articles from all issues of the *Strategic Management Journal* between 1984 to 2006 was conducted. Molina-Azorín (2007) utilised the mixed method design categories of Morse (1991, 2003) to group mixed methods research designs in his study. The findings from this study point to the dominance of the qual→QUANT design in RBV mixed methods studies. This is a sequential research design where the quantitative research is dominant and is preceded by less dominant qualitative research.

The results of these studies point to an over reliance of mixed methods research types which maintain the quantitative qualitative divide and the non use of more integrated mixed method designs. A major challenge for researchers in the business disciplines wishing to use mixed methods and those who build research capacity, relates to the levels of integration between qualitative and quantitative methods that such research achieves or claims to achieve.

In summary, mixed method research is a growing area of methodological choice for many academics and researchers especially in business disciplines where it appears that its adoption is somewhat delayed when compared to other social science disciplines. The remainder of this chapter will present a discussion of the emerging research designs employed in mixed method research. Followed by the
presentation of preliminary results of a study into the design and methodological choices found in Doctor of Business Administration (DBA) theses from Southern Cross University (SCU).

**Mixed Method Research Designs**

Mixed methods research designs use both quantitative and qualitative approaches in a single research project to gather or analyse data and several mixed method theorists have developed mixed method typologies (Creswell, 2003, 2007; Greene & Caracelli, 1997; Mertens, 2005; Miles & Huberman, 1994; Morgan, 1998; Morse, 2003; Tashakkori & Teddlie, 2003).

Typologies are the study or systematic classification of types that have characteristics or traits in common and form part of models and theories. Neuman (2006, p55) defines typologies as a way to classify theoretical concepts that is created by ‘cross-classifying or combining two or more simple concepts to form a set of interrelated sub-types’. Typologies are used by theorists to assist them in organising abstract and complex concepts. The mixed method typologies developed by three sets of authoritative mixed method scholars will now be presented.

Greene and Caracelli (1997) have published extensively on mixed methods in evaluation research and have developed a typology of mixed methods designs that include three component designs and four integrated designs. Table 3.1 depicts these in tabular form.

**Table 3.1: The Greene and Caracelli Designs for Mixed Methods Research**

<table>
<thead>
<tr>
<th><strong>Component Designs</strong></th>
<th><strong>Integrated Designs</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Triangulation</strong></td>
<td><strong>Iterative</strong></td>
</tr>
<tr>
<td>Different methods are used to assess the same phenomenon toward convergence and increased validity.</td>
<td>Dynamic and ongoing interplay over time between the different methodologies associated with different paradigms. Spiral type design.</td>
</tr>
<tr>
<td><strong>Complementary</strong></td>
<td><strong>Embedded/nested</strong></td>
</tr>
<tr>
<td>One dominant method type are enhanced or clarified by results from another method type.</td>
<td>One methodology located within another, interlocking inquiry characteristics in a framework of creative tension.</td>
</tr>
<tr>
<td><strong>Expansion</strong></td>
<td><strong>Holistic</strong></td>
</tr>
<tr>
<td>Inquiry paradigms frame different methods that are used for distinct inquiry components. The results being presented side-by-side.</td>
<td>Highlight the necessary interdependence of different methodologies for understanding complex phenomena fully.</td>
</tr>
<tr>
<td><strong>Transformative</strong></td>
<td></td>
</tr>
<tr>
<td>Give primacy to the value-based and action-orientated dimensions of different inquiry traditions. Mix the value commitments of different traditions for better representation of multiple interests.</td>
<td></td>
</tr>
</tbody>
</table>

(Source: Greene & Caracelli, 1997, p23)
Creswell (2003) has built on his earlier work in terms of mixed methods research designs and has developed a four type typology. These four major mixed methods research design types are classified using categories associated with variants, timing, weighting and mix. The four designs are: triangulation; embedded; explanatory; and exploratory. Table 3.2 summarises Creswell’s mixed methods research designs typology as published in his latest work (Creswell & Plano Clark, 2007).

Table 3.2: The Creswell Mixed Method Design Types

<table>
<thead>
<tr>
<th>Design Type</th>
<th>Timing</th>
<th>Mix</th>
<th>Weighting/Notation</th>
</tr>
</thead>
<tbody>
<tr>
<td>Triangulation</td>
<td>Concurrent: quantitative and qualitative at the same time</td>
<td>Merge the data during interpretation or analysis</td>
<td>QUAN + QUAL</td>
</tr>
<tr>
<td>Embedded</td>
<td>Concurrent and sequential</td>
<td>Embed one type of data within a larger design using the other type of data</td>
<td>QUAN(qual) Or QUAL(quan)</td>
</tr>
<tr>
<td>Explanatory</td>
<td>Sequential: Quantitative followed by qualitative</td>
<td>Connect the data between the two phases</td>
<td>QUAN → qual</td>
</tr>
<tr>
<td>Exploratory</td>
<td>Sequential: Qualitative followed by quantitative</td>
<td>Connect the data between the two phases</td>
<td>QUAL → quan</td>
</tr>
</tbody>
</table>

(Source: Adapted from Creswell & Plano Clark 2007, p85)

Tashakkori and Teddlie (2003) have developed a very comprehensive typology of mixed methods which results in six types of multistrand mixed designs. Mixed method designs involve the mixing of the quantitative and qualitative approaches only in the methods stage of a study, whilst mixed model designs involve the mixing of the quantitative and qualitative approaches in several stages of a study. This results in six types of multistrand mixed designs as depicted in Table 3.3. The authors of this typology assert that it is the multistrand mixed methods designs which are the most innovative and widely used mixed method designs (Tashakkori & Teddlie, 2003, p685).

Multistrand designs use more than one methodology and are characterised by three dimensions. They have single or multiple approaches. They use two methods to answer either exploratory or confirmatory research enquires. Another dimension is the stages of integration or the incorporation of both qualitative and quantitative data sets. The third dimension is the procedures for linking the strands either sequentially or concurrently. These dimensions create six types of multistrand research designs to which the sequential mixed model design has been applied to this research. The methodologists also note the parallels between this particular type and Creswell’s explanatory and exploratory mixed method designs (Tashakkori & Teddlie, 2003, p688).
Table 3.3: The Tashakkori and Teddlie Two-Dimensional Framework for Conceptualising Multistrand Mixed Designs

<table>
<thead>
<tr>
<th>Procedure</th>
<th>Mixed Method</th>
<th>Mixed Model Study</th>
</tr>
</thead>
<tbody>
<tr>
<td>Concurrent</td>
<td>Concurrent mixed method design</td>
<td>Concurrent mixed model design</td>
</tr>
<tr>
<td>Sequential</td>
<td>Sequential mixed method design</td>
<td>Sequential mixed model design</td>
</tr>
<tr>
<td>Conversion</td>
<td>Conversion mixed method design</td>
<td>Conversion mixed model design</td>
</tr>
</tbody>
</table>

Source: (Tashakkori & Teddlie, 2003, p687)

Leech and Onwuegbuzie (2009, p265) note that the ever increasing number of mixed method research designs has begun to bewilder researchers:

Over the last several years, a plethora of research designs have been developed. However, the number of designs that currently prevail leaves the doctoral student, the beginning researcher, and even the experienced researcher who is new to the field of mixed methods research with the challenge of selecting optimal mixed methods designs.

The authors have developed a three dimensional matrix design that attempts to create an integrated typology of mixed methods designs. The three dimensions are: level of mixing (partially mixed versus fully mixed); time orientation (concurrent versus sequential), and; emphasis of approaches (equal status versus dominant status). When these dimensions are crossed a matrix of eight research designs results (Leech & Onwuegbuzie, 2009). The authors do not claim this integrated typology is exhaustive but state that they believe most mixed methods studies can be categorised by one of these eight designs.

Mixed methods typologies and research designs are not without critics and McMillan and Schumacher (2006, p401) draw attention to both the advantages and disadvantages of using mixed methods. They list three disadvantages, the first being the need of the researcher to be proficient and competent in both qualitative and quantitative methods. The second disadvantage is the extensive data collection and resources need to undertake a mixed method study. The last refers to a tendency to use mixed methods label liberally to studies which only superficially mix methods. Tashakkori and Teddlie (2003), Bazeley (2003), Onwuegbuzie and Leech (2005) and Earley (2007) have all attempted to address these issues through advocating for research education that explicitly covers mixed methods in the research syllabus for novice researchers.

**Empirical Evidence**

An Internal Research Grant has funded the study that analysed the DBA theses from SCU. The study investigated the research designs and methodologies utilised by DBA candidates from 1997 to 2007. One hundred and eighty six theses have been analysed and coded as either: Pure Quantitative; Pure Qualitative; Mixed but predominantly Qualitative; Mixed but predominantly Quantitative; Mixed with
a balance between quantitative and qualitative. Of these only one had explicitly utilised a mixed method research design. Graph 3.1 below provides frequencies for the research approaches utilised in this sample.

**Graph 3.1: Research Approach Employed in DBA Theses at Southern Cross University from 1997 to 2007**

DBA theses that used a pure quantitative approach represented 31.7%. Those who used a pure qualitative approach represented 28.7% and a total of 39% used a mixture of both quantitative and qualitative research methods. The mixed methods figure is the total of three categories:

- Mixed with predominantly qualitative (15.6%)
- Mixed with predominantly quantitative (10.2%), and
- Mixed with a balance between the use of both qualitative and quantitative (13.2%).

The coding of these three categories is open to subjective interpretation and issues of inter rater reliability had to be addressed during the study.

This study has only just been completed and a full analysis of the findings is pending. What can be gauged from this preliminary analysis is that for research conducted in the SCU DBA program from 1997 to 2007, the mixing of quantitative and qualitative research methods represents just over one third of the theses under investigation.

The DBA theses were also coded for research design and methods used. The coding of the methods used involved multiple response coding, as for many of the research studies more than one research method was employed. Table 3.4 depicts the findings from preliminary data analysis on the frequencies of research design types and the three highest scoring methods for each research design type.
### Table 3.4: Research Design Type and Methods Used in DBA Theses (SCU)

<table>
<thead>
<tr>
<th>Research Design Type</th>
<th>Three highest scoring methods used (multiple response coding)</th>
<th>TOTAL Research Design Types</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Highest reported method</td>
<td>Second highest reported method</td>
</tr>
<tr>
<td>Exploratory</td>
<td>Survey 57</td>
<td>Interviews 55</td>
</tr>
<tr>
<td>Case Study</td>
<td>Case Study 55</td>
<td>Interviews 54</td>
</tr>
<tr>
<td>Descriptive</td>
<td>Survey 33</td>
<td>Interviews 19</td>
</tr>
<tr>
<td>Explanatory</td>
<td>Survey 9</td>
<td>Interviews 7</td>
</tr>
<tr>
<td>Action Research</td>
<td>Action Research 6</td>
<td>Interviews 5</td>
</tr>
<tr>
<td>Experimental</td>
<td>Survey 6</td>
<td>Experimental; Observation 4 each</td>
</tr>
<tr>
<td>Grounded Theory</td>
<td>Interviews 6</td>
<td>Case Study 3</td>
</tr>
<tr>
<td>Longitudinal</td>
<td>Survey; Case Study 2 each</td>
<td>Interview; Content analysis 1 each</td>
</tr>
<tr>
<td>Quasi Experimental</td>
<td>Survey 1</td>
<td></td>
</tr>
<tr>
<td>Mixed Methods</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

(Source: Cameron and Miller (forthcoming))

The exploratory, case study and descriptive research design types were the most popular in DBA research, with the most frequently used methods being survey, interviews, and case study. However, the projects can be methodologically diverse with some projects utilising grounded theory, action research, ethnography and post-structuralism. At the time of writing there were only four completed New Zealand based DBA theses. However there were approximately 30 candidates enrolled.

The four candidates utilised different approaches: two with a mixed method but with predominantly quantitative approach and two with predominantly qualitative approaches. Research methods used involved multiple response coding, as for many of the research studies more than one research method was employed. One candidate
used an exploratory action research design and utilised the following data collection methods: interviews; content analysis and; observation. Another candidate used an exploratory case study research design and utilised the following data collection methods: interviews; survey and; case study.

**Conclusions**

This chapter has explored the emerging use of mixed methods across disciplines but more specifically across business and management fields. The literature supporting this rise of mixed methods as a third methodological movement has been presented along with several of the most utilised mixed methods typologies. Empirical data from a study into DBA theses from SCU during 1997–2007 was presented. The findings point to an increase use of mixed methods across business and management fields, as represented by the study and explored methodological use in DBA theses. The survey, interviews and case study were the most frequently utilised data collection methods. DBA theses that were New Zealand based were then analysed in more detail. It was found that both theses utilised a mixed with predominantly quantitative or qualitative approaches.

Onwuegbuzie and Leech (2005) appear to support the proposition that doctoral candidates need to be proficient at both quantitative and qualitative research methodologies to prepare them to be pragmatic and competent researchers. However, they contend that the best way to accomplish that goal is to replace quantitative research methodology and qualitative research methodology courses from research curricula with research methodology courses that teach both quantitative and qualitative techniques within a mixed methodological framework simultaneously.

It may be that the teaching of research methods for doctoral candidates in the traditional form of teaching quantitative and qualitative research methods as separate units needs to be re-examined.

**Author Profile**

Dr Roslyn Cameron is a Senior lecturer in the School of Management & Marketing at Central Queensland University (CQU). Roslyn teaches and researches in the areas of mixed methodologies, global mobility, leadership, skill recognition, skilled migration, recruitment and career development. She is the Editor of the *International Journal of Mixed Methods in Business and Policy Research*. She has several publications relating to the use of mixed methods in business research and continues to research mixed methodologies in business discipline clusters and vocational education and training. Roslyn is a regular presenter of workshops on Mixed Methods at the SCU DBA Symposia. Her own PhD thesis utilised a Sequential Mixed Model research design.
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Overview

In any doctoral level program one of the issues faced by a University is the professional development and training of new supervisors. As a global doctoral research program, it was necessary that Southern Cross University (SCU) was able to deliver high quality research supervisor professional development to the supervisors of the doctoral candidates located at various overseas locations.

Supervisor professional development is delivered to overseas doctoral supervisors in two different formats. The first is regular, six-monthly face to face workshops with the local supervisors providing a personal face to face experience that is often seen as the traditional method of delivering professional development to research supervisors. The second is the availability of online professional development that may be undertaken either in a self-paced way as a resource or in a moderated way as professional development.

This chapter discusses the development and delivery of supervisor professional development to higher degree research (HDR) supervisors in New Zealand.

Introduction

The SCU Doctor of Business Administration (DBA) program is classified by the Australian Government Department of Education, Employment and Workplace Relations (DEEWR) to be a doctoral research degree as the thesis component is a minimum of 66% of the program. DBA candidates therefore undertake and produce a major thesis, usually of between 60,000 and 85,000 words.

Like all doctoral research programs, the large and rigorous research project is undertaken by the candidate under the supervision of an experienced academic who is appointed to supervise the project.

The traditional terminology for supervisors of research degrees in Australia is to refer to them as Higher Degree Research (HDR) supervisors. In New Zealand, the correct terminology is to use the term doctoral supervisors. The SCU policy
on the supervision of doctoral candidates is to appoint a suitably qualified and experienced local supervisor for all candidates. All doctoral supervisors must meet the following criteria:

- have a doctoral qualification
- be experienced in research and/or in the supervision of research higher degrees
- have relevant knowledge and expertise for the research project
- have sufficient time and access to adequate resources to supervise the research project.

All off-shore supervisors must apply to be appointed to the Professional Doctorate supervisor register. Their application is assessed to ensure that they are experienced researchers capable of undertaking doctoral supervisory roles.

As SCU regulations only allow a permanent employee of the University to sign off a completed thesis in addition to the local off-shore supervisor, SCU also appoints a senior member of the full time staff to be the principal supervisor for each overseas partner. SCU utilises a ‘pod’ model whereby one principal supervisor is appointed to take responsibility for principal supervision of all candidates (and co-supervisors) at an overseas location (partner).

The principal supervisor does not supervise directly each individual candidate’s research project (this being the role of the local co-supervisor) but provides a quality control over the project and the local co-supervisor(s). In addition to the quality control role with the co-supervisor, the principal supervisor has formal roles for each candidate’s project including:

- Liaison with local partner doctoral co-ordinator
- For ethics applications assists the co-supervisor with the ethics process and forms
- Responsible to monitor progress reports from the partner’s candidates and supervisors
- Takes action where progress is not satisfactory
- Final sign off for thesis submission

There are no prescriptions on how a doctoral research project should be supervised and each supervisor will bring to the project their own ways of doing things and experience. Therefore, the process will never be systematically described or prescribed. Research supervisors often adopt the ‘style’ of supervision of the supervisor that supervised their own doctoral research project if the experience was a good one. Where their own doctoral experience and relationship with their supervisor was not effective and beneficial, often supervisors learn from this experience and endeavour not to do the things their own ineffective supervisor did to them.

In addition to these experiences, supervisors have natural and preferred ways of supervising research projects in much the same way that leaders or managers in organisations bring to their roles their own values, behaviours and styles of management (Dubrin, Dalglish & Miller, 2006). When a doctoral research program is delivered globally, cultural differences in supervision behaviour also emerge.
Given these differences, the design and development of professional development for doctoral supervisors is an exciting challenge. It is further complicated when the supervisors come from diverse backgrounds and sub-disciplines.

The chapter is based on a published research article:


**A Strategy for Delivering Professional Development to Globally Based Doctoral Supervisors**

Supervisor professional development is delivered to all DBA supervisors including overseas doctoral supervisors in two different forms. The first is regular, six-monthly face-to-face workshops with the local supervisors providing a personal face to face experience that is often seen as the traditional method of delivering professional development to research supervisors.

The second method is the availability of online professional development that may be undertaken either in a self-paced way as a resource or in a moderated way as professional development.

The combined strategy is significant as the objective is to ensure that all overseas doctoral supervisors have access to some form of professional development and have a rigorous understanding of the SCU policy and procedural framework affecting doctoral candidates. First, the regular six-monthly doctoral supervisor workshops will be discussed and then the development of the online professional development resource will be detailed.

**Doctoral Supervisor Face to Face Workshops**

The face-to-face doctoral supervisor workshops are delivered in conjunction with the doctoral candidate symposia and are offered to local research supervisors usually every six months. It is important to maintain strong links with local supervisors so that they feel a part of SCU and can appreciate the SCU research culture.

Senior academic staff from SCU who have multiple completions of doctoral candidates and are experienced in professional development of research supervisors facilitate the workshops. The format of the workshop is relatively informal and it is usual for the following issues to be covered in discussions during the course of the workshop:

- The structure of the DBA program, its rules and policies.
- Resources available to both candidates and local supervisors through the online doctoral centres. Demonstrations on how to access the centres are usually conducted.
• Any anticipated structural changes to the program that might affect candidature.
• Recent developments in policy or practice.
• Sharing of effective supervision styles and benchmark supervision practices.
• Problems or issues that may have arisen with candidates or supervision since the previous workshop.

It is important to note that while the workshops are structured, they remain informal with a relaxed atmosphere where supervisors from different backgrounds and cultures can come together in a safe and friendly environment to discuss frankly issues that might lead to more effective supervisory practice.

The Online Professional Development Program

In 2007, the then Director of the DBA program, Associate Professor Peter Miller commissioned a well known education consultant, Dr Geof Hill, and participated in developing a supervisor professional development program. The wide ranging campuses of SCU and network of overseas partners necessitated an online program to enable HDR local supervisors in a number of national and overseas locations to participate. The program needed to be relevant for HDR supervisors from all disciplines. The cost of underwriting this project was provided by Professor Peter Baverstock from the university’s Graduate Research College. The objectives of the HDR supervisor program were to:

1. Assist supervisors to examine the nature of HDR supervision and to discuss what might constitute ‘effective’ research supervision.

2. Assist supervisors to articulate and reflect on their supervisory practice in a collegial environment.

3. Expose supervisors to different models of supervisory practice.

4. Assist supervisors to develop a critical understanding of the teaching and learning processes involved in effective HDR supervision.

5. Engage supervisors in a reflective process to challenge and extend their understanding of effective supervision.

6. Expose supervisors to the resources available to assist effective supervisory practice outside the SCU environment.

There has been considerable discussion about supervision of HDR in the higher education literature for the past twenty years. Within this context it has been acknowledged that professional development for HDR supervisors improves the completion rate of candidates (Zuber-Skerritt, 1994; Conrad, 1996, Pearson and Brew, 2002; Manatunga, 2005). In Australia the focus on completion has been accentuated by the Federal Government’s intervention in the field. Minister Kemp’s (1999) funding formulae for higher degree research, essentially providing funding only on the completion of the degree, drew universities attention to factors that enhanced completion and emphasised the importance of professional development.
for HDR supervisors. Minister Nelson’s (2002) subsequent changes to funding formulae reinforced the already established demand for professional development for research supervisors and added a new agenda of research training for research students. This second wave’s emphasis on completions accentuated the importance of the design of HDR supervision training and also drew attention to curricula design aspects in the development of this training.

When universities acknowledged the importance of professional development programs for research supervisors they initially offered a range of face-to-face workshops (Zuber-Skerritt, 1994; Conrad, 1996). More recently, educational computer technology development in Higher Education has enabled the emergence of web-based resources and on-line programs for research supervisor professional development. The fIRST (for Improving Research Supervision and Training) resource, developed by the Australian Technology Network (ATN) universities in 2002 was an example of one such resource. It offered a number of on-line activities to help research supervisors improve their practice.

**HDR Supervision Training Curriculum**

An important by-product of the Nelson (2002) Federal initiatives was to draw attention to the importance of research training. This focus also accentuated the importance of curricula for HDR supervisor professional development. Manatunga (2005) points out that prior to the pressure on improved supervision through the Federal policy initiatives, research supervisors learnt about supervision through their own experiences of being supervised. As universities began offering workshops for HDR supervisors the content addressed such issues as matching of supervisors and prospective students, ensuring there are regular meetings between student and supervisor and bringing together groups of students where information can be simultaneously provided for them (Zuber-Skerritt, 1994).

More recently, discussions about appropriate professional development for HDR supervisors have narrowed to explore the specific value of reflective practice and communities of practice in the professional development of HDR Supervisors (Pearson & Brew, 2002). Whether explicit or implied, professional development in HDR supervision has been underpinned by the exploration of the overarching question ‘What is ‘good’ research supervision?’ Within this question is nested a set of related questions, asking:

‘What is “good” research?’

‘What is supervision?’, and

‘What is research?’

The ‘What is Research?’ question has been amply answered by others (for example Stenhouse, 1981) revealing the history of debate associated with different paradigms impacting on individual views of research. This debate establishes the position that the term ‘research’ represents disputed territory.
The ‘What is Supervision?’ question is implicit in most of the literature about HDR supervision and gives rise to multiple perspectives. Manatunga (2005) describes one area of dissonance in the literature which distinguishes between administrative and pedagogical ways of investigating HDR supervision. This dissonance can be seen as answering the ‘What is Supervision?’ question with different constructs of ‘good’ supervision.

Exploring all three questions emphasises the importance of adopting an approach that accommodates the multiple-construct nature of research and recognises that there are no single answers but responses informed by the many paradigms of research and research supervision that underpin these practices.

**An Online Professional Development Program for Doctoral Supervisors**

Pearson and Brew (2002) advocated reflection of practice situated in the practitioner’s (research supervisors) own experiences. This suggested a philosophy of the reflective practitioner (Dewey, 1933; Schon, 1983) suggesting that when professionals reflect on their practice this enables them to identify ways in which their practice can be improved.

Manathunga (2005) advocated building on practitioner prior knowledge and understanding to open up the private space of research practice. This initially aligns with a philosophy of practitioner investigation (Anderson & Herr, 1999; McNiff, 2002) that suggests that when reflective practice is undertaken in a rigorous and explicit way this helps practitioners to articulate to themselves and others the nature of their professional practice. In articulating their practice to themselves, professionals are then more open to investigating and changing their practices. It also suggests a philosophy of community of practice (Wenger, 1998; Wenger & Snyder, 2000) that can occur when professionals meet together for the explicit purpose of sharing and reflecting on their professional practice. This provides a vehicle which should enable all participants to improve their personal practice.

Communities of practice (Wenger & Snyder, 2000) are, as the phrase suggests, a gathering of practitioners with the intent to share good or best professional practice. This educational approach creates an opportunity for practitioners (in this case research supervisors) to impart their experiences of supervision. This initially helps to articulate the nature of that practice and makes explicit what is often tacit. It also helps a practitioner to become self-aware, a step towards essential critical reflection of practice.

The multiple construct nature of research supervision begged for a professional development program that exposed participants to the range of ways of thinking about ‘good’ research supervision; helped them to identify which of the ways related to their own views of good research and good research supervision; and helped them develop critical reflection of their practice.
Manathunga’s (2005) distinction between administrative models of supervision and pedagogical models poses one set of constructs for exploring ‘good’ research supervision. The pedagogical frameworks for practicing HDR supervision have been in existence since very early writing about the practice (Connell, 1985) and have continued in recent times (Pearson and Brew, 2002; Green, 2005). The increasing number of examples of administrative models was in Vilkinas (2002) opinion, a response to the ever growing demands for thesis completion.

While the above two constructs of HDR supervision are well documented and understood in the literature, two emerging constructs of HDR supervision also require investigation. They are supervision as epistemology and as relationship.

### Supervision as Epistemology

Most definitions of research and research degrees include reference to a contribution to knowledge. The suggestion is that research generically and research degrees specifically lead to a contribution to knowledge. This prerequisite in the definition then provides the basis for another construct of ‘good’ research supervision in that ‘good’ supervision enables a research student to make a contribution to knowledge. The nature of this construct, while appearing straightforward, is confounded by the disputable nature of what constitutes a contribution to knowledge. This dispute is in some ways being addressed in Australia by the emergence of the Excellence in Research Australia (ERA) that has the potential to influence what constitutes a contribution to knowledge by providing funding for the types of research it lists in its framework, with associated implications of quality.

Successful completion of any doctoral degree in business requires that the researcher ‘Provide an original contribution to knowledge through research or scholarship, as judged by independent experts, applying international standards’ (New Zealand Qualifications Authority, 2009). As argued earlier in this section, implicit in the contribution to knowledge is supervision. This leads one to argue that if being a candidate is an epistemological pursuit then supervising the candidate can also be conceived to be an epistemological pursuit. The links between a candidate and their supervisor are nebulous and web-like (Foucault, 1977). It is extremely difficult to isolate what influences what, and what influence leads to a successful contribution. Successful supervision of higher research degrees counts as a contribution to the research climate of any institution and is also highly valued as one of the criteria for promotion to professorial positions. Therefore one can argue that supervision of a successful doctoral candidate is an epistemological experience.

### Supervision as Relationship

Research students’ stories consistently point to the importance of the relationship with their supervisor. Salmon (1992) in her study based on the stories from ten of her students pointed to the scientific traditions of research and how this generated often distant and product driven supervision. In contrast she advocated a process driven
approach based on a relationship that had mutual sympathy and trust. Vilkinas (2005), in a similar study drawing on the stories of students she had supervised, highlighted the students’ desire that the supervisor have personal qualities such as faith in the student, reliability and being a risk taker.

A Curriculum for Research Supervision

Combining the two well known constructs of research supervision (HDR supervision as teaching (pedagogy) and HDR supervision as administration (project management) with the two emerging constructs (HDR supervision as a contribution to knowledge and HDR supervision as maintaining good relationships) offers a framework of four constructs of ‘good’ HDR supervision. These are:

- Good pedagogy
- Good administration and management
- Good contribution to knowledge, and
- Good relationships

These constructs parallel Green’s (2005) paper on the future of HDR supervisor thinking.

Methodology

Wick and Leon (1993) have argued that organisations rarely provide their staff with the learning tools necessary for them to extract maximum learning from their experiences. Therefore the SCU model allowed HDR Supervisors to not have just a skill building exercise in the traditional training sense, but also to provide an opportunity for maximum ongoing self-reflection and learning aligned with the strategic directions of the academic unit. The development and evaluation of the HDR supervisor professional development program was based on an action research (Creswell, 2008) design. The discussion will now report on the outcomes of the first action research cycle.

The SCU program developed and adopted the quadrant set of constructs in a program that consisted of eight modules delivered over five weeks and requiring an estimated 15 hours of work as shown below:

- Module 1 Introduction to the supervisor professional development program
- Module 2 What is ‘good’ research supervision?
- Module 3 Supervising research to make a contribution to knowledge
- Module 4 Supervising research to lead to timely completions - well managed research
- Module 5 Supervising research through good teaching
- Module 6 Supervising research with a good relationship between the supervisor(s) and their candidates
- Module 7 Approaches to making research supervision better
- Module 8 Summary and optional assessment
Each of the modules concerning the four HDR supervisory constructs (modules 3–6) introduced the constructs to the participants, required them to read and respond to a case study (from the fIRST site) and then to participate in a facilitated discussion forum with the other supervisors.

The program was designed to be self-contained, rigorous and do-able by busy supervisors. It was also designed to a self-paced resource or moderated as professional development. Participants were able to download a work book at the commencement of the program with guidelines and provision to make private reflective comments and with written instructions on how to access the fIRST website so that they did not have to toggle back and forward for instructions in the on-line environment. The pilot program was moderated by an experienced doctoral supervisor and facilitator.

The program had an international pilot in February 2007 and has had several subsequent iterations. The pilot program drew from an international audience and included research supervisors from a number of disciplines and educational institutions other than SCU and of course included local supervisors from the various overseas partner institutions offering the DBA program. Fifteen experienced HDR supervisors were recruited for the pilot program, and were located in Australia, Singapore and New Zealand.

**Results**

The program was formally and independently evaluated. Participants were asked to respond to a survey at the end of the pilot program. The survey items included the following questions:

1. Overall, how would you rate your experience in the program (rated on a 7 point Likert scale)

2. How often is your experience of the following true (rated on a 5 point Likert scale)
   a) The program is suitable for academics in my discipline
   b) The length of the program is appropriate
   c) The depth of the program is appropriate
   d) The discussion forums were useful to my learning
   e) The case studies provided were useful to my learning
   f) The directions in the program materials enabled me to navigate it smoothly
   g) The feedback and discussion from the moderator and other participants was helpful in improving my supervision practices
   h) The program got me thinking about my supervisory style
   i) The program will assist me to supervise more effectively in the future
   j) I learnt things in the program about supervisory practice that I did not know before
The program assisted me to conceptualise my supervision differently
My students will benefit from me undertaking the program
I would recommend the program to my colleagues

Overall feedback was very positive as the summary of results in Table 4.1 below shows.

**Table 4.1: Summary of Quantitative Findings**

<table>
<thead>
<tr>
<th>Item</th>
<th>Scale used</th>
<th>Mean Score</th>
</tr>
</thead>
<tbody>
<tr>
<td>Participants overall experience in the program</td>
<td>Seven point Likert scale</td>
<td>6.2</td>
</tr>
<tr>
<td>Average of 13 specific items concerning the program</td>
<td>Five point Likert scale</td>
<td>4.5</td>
</tr>
</tbody>
</table>

In addition to the analysis of the quantitative items, a number of qualitative questions were asked including:

- What is one aspect of the program that you consider should be changed?
- What is one aspect of the program that you consider should remain the same?
- In your opinion, what other improvements to the program could be made to make the program more effective?
- Have you any other comments or suggestions you would like to make that might assist us in improving the effectiveness of the program in the future?

A selection of the qualitative feedback that is representative of the comments from participants included:

- ‘I liked the pace and composition. It made me reflect on the use of on-line learning and that is important for us. It would also be interesting to see what happens based on each group of supervisors.’
- ‘I learnt a lot from the discussion board and it confirmed my supervision was on par or up to the mark.’
- ‘The moderator’s prompt responses are crucial to motivation in an online program like this one.’
- ‘The general structure, length and depth of the program [should remain the same].’
- ‘Some of the participants made some interesting observations based on their practice. It would be great if they could expand on these. I think [name removed] is considering developing more case studies based on the participants’ experience for the journal. That should help continue the conversation.’
- ‘I really enjoyed the program and thought it was about the right length for busy people.’

**Discussion**

Busy HDR supervisors often find it difficult to commit to a one-day workshop and such a training design is problematic for creating opportunities for self-reflection. The situation is a paradox when one considers the known importance
of self-knowledge and self-reflection if professional practice and leadership is to be improved (Dubrin, Dalglish, & Miller, 2006).

HDR supervisors are the ‘research leaders’ in any research environment. Their research supervisory style (and their effectiveness as a research supervisor) will have a significant impact on HDR candidate success and on the research environment generally. Segal and Horne (1997, p56), when considering the issue of leadership made the following comment:

‘The pursuit of self-knowledge is the work of a developed personality and a characteristic of an enlightened leader. Self-understanding is the most secure bed-rock on which to shape one’s life. Nothing is more important in conditions of turbulence and change than a secure sense of self. Self-understanding also provides a basis for understanding others—it is difficult to be conscious of another’s need, motivation, and processes without first having awareness of one’s own.’

HDR supervisor professional development programs therefore need to offer supervisors the opportunity for self-knowledge and self-reflection if HRD supervisors are to be more effective and embrace their role as research leaders. Self-knowledge and self-reflection are foundations of the educational philosophies of reflective praxis, practitioner investigation and community of practice. The design and structure of the pilot program provided supervisors with the opportunity to explore different HDR supervisory styles guided by a constructual framework of four constructs of ‘good’ HDR supervision.

The results of the evaluation of the program demonstrated that the structure and design of the program was appropriate for busy HDR supervisors. Overwhelmingly, the HDR supervisors found that the program gave them opportunities to self-reflect on their supervisory style, assisted them to conceptualise supervision differently, will assist them to supervise more effectively in the future and will be of ultimate benefit to the HDR candidates under supervision.

Those who attempt to study and measure social and organisational issues, often reduce difficult concepts to ‘constructs’ in order to investigate and research them. HDR supervisory styles, have been reduced to the four ‘constructs’ outlined in this chapter because as researchers we are not able to directly observe what ‘good’ supervisory practice is. That is, ‘HDR supervisory practice’ does not exist as a single observable dimension of behaviour but rather reflects a variety of behaviours, skills, attitudes and beliefs. Constructs are therefore theoretical and latent (not visible or apparent) rather than concrete and observable.

Having now identified four theoretical constructs and introduced these constructs to supervisors as a means to enable them to reflect on their own supervisory styles and improve their practice, the next step in expanding the professional development program will be to operationalise these constructs and measure them.

Further research is therefore focusing on the development and testing for reliability and validity of a web-based self-diagnostic tool and taxonomy for HDR supervisors to assist them to become more self-aware of their operational supervisory style. It is proposed to also develop an intensity index that will measure the intensity of the
supervisor’s dominant style and therefore the probable difficulty for a supervisor to ‘move’ their style to what might be considered to be a more balanced approach to supervision. Such a diagnostic instrument could be used as a pre and post test for the professional development program and for the matching of HDR supervisors and candidates.

Conclusion

This chapter has briefly reviewed some of the international HDR literature about what constitutes ‘good’ HDR supervision as a framework for developing and delivering strategic supervisor professional development.

The professional development is delivered to local supervisors of DBA candidates in two formats. The first is regular, six-monthly face-to-face workshops with the local supervisors providing a personal face to face experience that is often seen as the traditional method of delivering professional development to research supervisors. The second is the availability of online professional development. The online professional development program has been evaluated and found to be effective as a means of delivering high quality professional development to busy overseas supervisors.

The program has been delivered several times and research is continuing on the development and testing for reliability and validity of a web-based self-diagnostic tool and taxonomy for HDR supervisors to assist them to become more self-aware of their operational supervisory style.

References


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PART 2
RESEARCH PRIORITIES
Overview

It is important for accountants to possess IT knowledge and skills relevant to their roles to provide competent and professional services. However, the field of IT is wide and not all IT knowledge and skills relate to an accountant’s role. Experiences in teaching accounting information reveals that students regard some of the IT topics taught as irrelevant and the current literature is not prescriptive of the IT knowledge and skills that should be included in the accounting curriculum. This chapter investigates the kind of IT knowledge and skills accountants need. The research attempts to provide a more definitive conclusion on the IT knowledge and skills needed by NZ accounting graduates for them to perform competently when employed in an accounting role.

Introduction

Rapid advances in information technology (IT) have produced major changes to the ways in which businesses operate. Almost all businesses today use computers of some form in their day-to-day operations. With the use of computers, business is conducted in a way quite different from that in which it was conducted in the past. It is important for accountants to possess IT knowledge and skills relevant to their roles to provide competent and professional services. However, the field of IT is wide and not all IT knowledge and skills relate to an accountant’s role. This raises the questions: what kind of IT knowledge and skills do accountants need? What are the entry-level IT skills and knowledge that educators should provide? Educators grapple with these issues constantly (Cytron & Tie, 2001).
Experiences in teaching accounting information systems to accounting major students reveal that students regard some of the IT topics taught are irrelevant. There is little literature that provides practical guidance to academics to design IT courses in an accounting curriculum. The guidelines issued by the International Federation of Accountants (IFAC) are voluminous and difficult to implement. The guidelines from the New Zealand Institute of Chartered Accountants (NZICA) are not specific. This research aims to identify the relevant IT knowledge and skills required by New Zealand (NZ) accounting graduates and solidify the justifications for teaching these IT topics in an accounting major program.

Literature Review

Issues in Accounting Education

A strong warning that accounting education may be failing came from Albrecht and Sack. The authors published a landmark report positing that accounting education does not meet the needs of the future accounting professional (Albrecht & Sack, 2000; 2001). The report attributes one of the changes in the accounting profession to technology. Similar concerns regarding accounting education are voiced in Canada by Lin and Hunter (1992). They warned that accounting education fails to keep up with the changes in accounting practices caused by technology and students are finding that their school training fails to prepare them for the workplace.

The results of a study made in the United Kingdom (UK) show that accounting education does not equip the students with enough IT skills for their role after graduation in their employment and that a gap exists between IT skills learned in tertiary education institutions (TEIs) and what accountants practise in the real world (Ahmed, 2003). Another study in the United States (USA) found that many students graduating from IT courses in accounting programs are not given training in IT control knowledge, which is important for specialised roles such as auditors (O’Donnell & Moore, 2005).

The Accounting Information Systems Course

Accounting Information Systems (AIS) was specifically developed by TEIs in countries including Australia, NZ, the UK and the USA in response to the inability of many students to grasp the fundamental principles of accounting information systems (Van Meer & Adams, 1996). However, a generally accepted set of topics to be covered in an AIS course does not exist (Wu, 1983, cited in Van Meer & Adams, 1996). A study on the IT content in accounting curricula in NZ was made by Van Meer and Adams in 1996. The study compared the views of accounting academics and practitioners on the IT topics taught in NZ TEIs in an AIS course. The study classified the IT topics in AIS into nine main categories deemed to be important in Wu’s study and asked NZ academics and practitioners to rank their importance as either essential or optional. Out of the nine categories, four were regarded by academics and practitioners as essential. These four categories are related to systems concepts, internal and computer system controls, concepts on commonly used
software packages and auditing of computer systems. Those categories that were ranked as optional relate to database concepts, hardware/software/data communication structure, practical experience with commonly used software packages and the management and development of accounting systems. Table 5.1 summarises the nine categories and the overall opinion from academics and practitioners as to the importance of each category. However, this study is more than 10 years old and the findings may not be relevant today especially for the fast-changing IT field.

### Table 5.1: Ranking of AIS Topics by NZ Academics and Practitioners

<table>
<thead>
<tr>
<th>Main category</th>
<th>Importance</th>
</tr>
</thead>
<tbody>
<tr>
<td>Management use of information</td>
<td>Essential</td>
</tr>
<tr>
<td>Database concepts</td>
<td>Optional</td>
</tr>
<tr>
<td>Accounting systems internal control</td>
<td>Essential</td>
</tr>
<tr>
<td>Information systems technology</td>
<td>Optional</td>
</tr>
<tr>
<td>Conceptual knowledge of software packages</td>
<td>Essential</td>
</tr>
<tr>
<td>Practical experience with software packages</td>
<td>Optional</td>
</tr>
<tr>
<td>Management of accounting information systems</td>
<td>Optional</td>
</tr>
<tr>
<td>Systems analysis, design and development</td>
<td>Optional</td>
</tr>
<tr>
<td>Auditing of accounting information systems</td>
<td>Essential</td>
</tr>
</tbody>
</table>

(Source: Van Meer & Adams, 1996)

### Initiatives from Professional Bodies

#### The International Federation of Accountants

The growing importance of IT in business and its impact on accountants is acknowledged by IFAC. IFAC is a global organisation for the accounting profession. It works with 163 member organisations in 120 countries to encourage high quality practices by the world’s accountants (IFAC 2006). The IFAC Education Committee issued *International Education Guideline No. 11, Information Technology and the Accounting Curriculum* (IEG-11). The guideline was first issued in December 1995 followed by two revisions, one in June 1998 and one in December 2002 (see IFAC, 2003). The purpose of the guideline is to assist member bodies to prepare professional accountants to work in the information technology environment (IFAC, 2003). It details the recommendations for IT education for accounting students and was developed with the aim of aiding and encouraging the implementation of the recommendations in the USA and with the belief that the guideline will be applicable universally (Heales, 2005).

IEG-11 covers the IT knowledge and competency requirements of accountants working in industry and commerce, in public practice and in the public sector. It classifies IT education requirements based on four broad roles in which accountants may...
be engaged. These four roles are: as a user of IT, as a manager of information systems, as a designer of business systems, and as an evaluator of information systems. The IT knowledge required for each of these roles is summarised in Table 5.2.

**Table 5.2: IT Knowledge Required by Different Roles**

<table>
<thead>
<tr>
<th>Role</th>
<th>Knowledge Required</th>
</tr>
</thead>
<tbody>
<tr>
<td>As a user of IT</td>
<td>Apply appropriate IT systems/tools to business/accounting problems</td>
</tr>
<tr>
<td></td>
<td>Demonstrate understanding of business and accounting systems</td>
</tr>
<tr>
<td></td>
<td>Apply controls to personal system</td>
</tr>
<tr>
<td>As a manager of IT</td>
<td>Manage an entity's IT strategy</td>
</tr>
<tr>
<td></td>
<td>Manage IT organisation</td>
</tr>
<tr>
<td></td>
<td>Manage IT operations effectiveness and efficiency</td>
</tr>
<tr>
<td></td>
<td>Maintain financial control over IT</td>
</tr>
<tr>
<td></td>
<td>Manage IT controls</td>
</tr>
<tr>
<td></td>
<td>Manage system acquisition, development and implementation</td>
</tr>
<tr>
<td></td>
<td>Manage system change and problem resolution</td>
</tr>
<tr>
<td>As a designer of IT</td>
<td>Analyse and evaluate role of information in the entity's business processes and organisation</td>
</tr>
<tr>
<td></td>
<td>Apply project management methods</td>
</tr>
<tr>
<td></td>
<td>Apply system investigation, project initiation methods</td>
</tr>
<tr>
<td></td>
<td>Apply user requirements determination and initial design methods</td>
</tr>
<tr>
<td></td>
<td>Apply detailed system design, acquisition/ development methods</td>
</tr>
<tr>
<td></td>
<td>Apply system implementation methods</td>
</tr>
<tr>
<td></td>
<td>Apply system maintenance and change management methods</td>
</tr>
<tr>
<td>As an evaluator of IT</td>
<td>Plan system evaluation</td>
</tr>
<tr>
<td></td>
<td>Evaluate system</td>
</tr>
<tr>
<td></td>
<td>Communicate results of evaluations and follow up</td>
</tr>
</tbody>
</table>


In 2007, IFAC issued International Education Practice Statement 2 (IEPS 2.1) to replace IEG-11 (IFAC, 2007). An inspection of IEPS 2.1 reveals few differences from IEG-11 except for the addition of one subject area and a clearer definition of the roles of a professional account. In total IEPS 2.1 contains 188 IT topics recommended as requirements for a professional accountant.
The New Zealand Institute of Charted Accountants

NZICA has issued a statement of learning outcomes (SLO) for AIS. This is the same IT course offered in a NZ accounting major program referred to by Van Meer and Adams (1996). SLO no 5 lists the expected learning outcomes for students taking the course. The purpose of SLO-5 is to provide a benchmark for evaluating courses for use in tertiary reviews of approved tertiary education institutions (ATEI), and to convey the Institute’s expectations of learning outcomes for this topic area at the advanced level (NZICA, 2006). SLO-5 has five broad areas with specific learning outcomes for each area. Table 5.3 shows the five learning outcomes.

**Table 5.3: Statement of Learning Outcome Number 5**

<table>
<thead>
<tr>
<th>Learning outcomes</th>
</tr>
</thead>
<tbody>
<tr>
<td>Internal control in accounting/business systems</td>
</tr>
<tr>
<td>Development standards and practices for accounting/business systems</td>
</tr>
<tr>
<td>Management of IT adoption, implementation, and use</td>
</tr>
<tr>
<td>Evaluation of computer-based accounting/business systems</td>
</tr>
<tr>
<td>The practical use of technology</td>
</tr>
</tbody>
</table>


The Research Questions and the Proposed Hypotheses

From the review, there is no literature that conclusively summarises or recommends the IT knowledge and skills that TEIs in NZ should include in their accounting major curriculum. The guidelines issued by IFAC are substantial and contain some highly technical topics that may not be relevant to accounting graduates. The SLO from NZICA is not specific and contains considerably fewer topic areas compared to IEPS 2.1. The Van Meer and Adams study (1996) is more than 10 years old and the findings may not be relevant today especially for the fast-changing IT field. The proposed research attempts to provide a more definitive conclusion on the IT knowledge and skills needed by NZ accounting graduates for them to perform competently when employed in an accounting role.

Therefore the proposed research questions are:

Q1—What are the IT knowledge and skills practising accountants regard as important for an accountant’s work in the first five years of their career?

Q2—What are the IT knowledge and skills NZ accounting educators regard as important for an accountant’s work in the first five years of their career?

Q3—What are the IT topics actually taught in TEIs by NZ accounting educators?
The null hypotheses are:

$H_0^1$—There is no difference between ratings of IT knowledge and skills between NZ accounting educators and practitioners

$H_0^2$—There is no difference between ratings of IT knowledge and skills among NZ accounting educators

$H_0^3$—IT knowledge and skills regarded as important by educators and practitioners are taught in NZ TEIs.

**Methodology**

This research aims to survey accounting practitioners and educators on their views on the IT knowledge and skills required by accounting graduates in NZ. From the literature review, the most comprehensive and detailed list of IT skills and knowledge recommended for accounting professionals is IEPS 2.1 published by IFAC (2007). However, IEPS 2.1 contains 188 items. If the complete list is used in the questionnaire, response rate will be very low. There is a need to reduce the number of questions to be used in the survey. A partial list can be selected from IEPS 2.1 by the researcher to become the questionnaire but the basis of selection can be an issue. If experts in the field are asked to rate the items in IEPS 2.1 to form the basis for the questionnaire, the selection is more credible. The research methodology recommended for this research comprises of three parts. Part I is to adopt a method similar to the Delphi method to invite experts to establish a workable questionnaire for Part II and Part III of the research. Part II of the research will use the questionnaire resulting from Part I to survey NZ educators. Part III of the research will use the questionnaire resulting from Part I of the research to survey practising accountants.

**The Delphi Method**

The Delphi method has been used in a number of higher education research studies and is recommended by Boberg and Morris-Khoo (1992) as a preliminary step in the evaluation of higher education programs. The Delphi method provides a systematic approach to gather expert opinions about a complex issue or problem. It seeks to elicit agreement or consensus on perceptions and judgments from experts in a specialised area (Boberg & Morris-Khoo, 1992) and it usually consists of a series of mailed questionnaires addressed to individuals who are considered as experts in the field (Vázquez-Ramos, Leahy & Hernández, 2007). The returned responses, which are usually anonymous, are analysed and summarised by the researcher and then returned to the experts for further consideration and response. The number of rounds varies and is usually between three to five. Some of the advantages of Delphi are anonymity of response, multiple iterations and convergence of answers (Judd, 1972). The use of Delphi need not be a singular or unchanging approach to solving problems. Norman Dalkey, one of the originators of the Delphi method said in a conference that in a rapidly changing field, modifications in procedures are called for (Judd, 1972).
Part I of the Research

The literature review conducted has identified a number of recommendations that can be used as the basis for the questionnaire. The most comprehensive list is IEPS 2.1 published by IFAC (2007). There are also other important recommendations including SLO-5 published by NZICA (2006), the list of IT topics identified by Bain, Blankley and Smith (2002) and the list of IT skills and knowledge by Wessels (2005). Bain, Blankley and Smith (2002) examined 12 current AIS textbooks and summarised the topics covered in these 12 textbooks into 30 topics. These 30 topics provide a good source of questions to be included in the questionnaire. Wessels (2005) conducted a literature review on important IT skills and knowledge required by professional accountants. The literature review included recommendations from IFAC, Theuri and Gunn (1998) and Greenstein and McKee (2004). The inclusion of the IT knowledge and skills contained in the above mentioned sources in the Delphi questionnaire is believed to provide a comprehensive set of questions for the survey. Nine questions have also been developed for this research. In total, there are 266 questions for the Delphi phase. There is some duplication of questions because similar questions exist in different sources but this is not regarded as a hindrance but rather as a means to ascertain the validity of the responses. Table 5.4 shows the number of questions and their source.

<table>
<thead>
<tr>
<th>Source</th>
<th>Number of questions</th>
</tr>
</thead>
<tbody>
<tr>
<td>IFAC IEPS 2.1</td>
<td>188</td>
</tr>
<tr>
<td>NZICA SLO-5</td>
<td>5</td>
</tr>
<tr>
<td>Bain, Blankley &amp; Smith (2002)</td>
<td>30</td>
</tr>
<tr>
<td>Wessels (2005)</td>
<td>34</td>
</tr>
<tr>
<td>Developed for this research</td>
<td>9</td>
</tr>
<tr>
<td>Total</td>
<td>266</td>
</tr>
</tbody>
</table>

(Source: Developed for this research)

It is proposed that 10 individuals who are regarded as experts in the field of accounting education and accounting profession be invited. The panel will include two individuals from the tertiary education sector; two professionals from large accounting firms, two from small accounting firms; two accountants from large commercial corporations and two from small commercial firms. To ensure that the participants are committed to the survey, prior agreements will be made with the invited experts to confirm their availability and willingness to participate in the research before the questionnaire is sent. Due to practical time constraints, the panelists will be asked to perform only two rounds of the survey. An anonymous questionnaire will then be mailed to the selected panelists asking them to rate the IT knowledge and skills using a Likert scale of 1 to 6. The scales are ‘1’ = not relevant/not required, ‘2’ = awareness only, ‘3’ = minimum
understanding, ‘4’ = good understanding, ‘5’ = full understanding and ‘6’ = able to use and apply. The results from the first round will be sent back to the panelists showing the statistics of each question. The panelists will then rate each question again taking into consideration the results from the first round. From the results of the second round of the survey, all IT knowledge and skills having a mean rating below 4 will be eliminated and this will form the questionnaire for Part II and Part III of the research.

**Part II of the Research**

Part II of the research is to use the questions remaining from the second round of the Delphi survey in Part I of the research to survey accounting educators. The same Likert scale of 1 to 6 used in the Delphi rounds will be used. In addition to choosing a score for each of the questions, the respondents are also asked to provide a ‘Y/N’ answer to each question to signify whether the topic is taught in any of their courses. It is proposed that the questionnaire be sent to all NZ TEI accounting lecturers who are teaching at least one course in accounting information systems or other similar courses. The list can be obtained from either the TEIs web sites or through enquiry of the accounting faculty of the respective TEIs. The justification for a 100% sampling for this population is that there are only eight universities and 20 ITPs in NZ (Ministry of Education, 2007) and there is little cost involved.

**Part III of the Research**

Part III of the research is a survey of accounting practitioners in NZ using the same questionnaire addressed to accounting educators in Part II of the research. The proposed population is members of NZICA. According to the 2007 annual report of NZICA, there are currently more than 29,000 members (NZICA, 2007). A probability sampling method will be used to randomly select sampling units from the list of members. Roscoe (1975, cited in Sekaran 2003) proposes that sample sizes between 30 and 500 are appropriate for most research. A sample size of 150 is targeted for Part III of the research. Response rates as reported by Zikmund (2003) and Cobanoglu, Warde and Moreo (2001) range from 25% for mailed surveys and 44% for web-based surveys. Assuming a response rate of 30%, 500 sampling units will be required to achieve the target sample size of 150.

**Data Analysis (Part I of research)**

The idea of the Delphi method in Part I of the research is to seek opinions on certain issues from experts in the field. The original intention was to invite ten people who can represent the accounting professional in NZ to be the Delphi panelists. However, only six have accepted the invitation to participate in the Delphi phase. They are a partner from a small accounting firm (coded as D01), a business advisory consultant from a large accounting firm (D06), a chief accountant from a small commercial firm (D04), a treasury accountant from a large commercial firm (D05), an accountant from a government agency (D03), and an accounting information systems lecturer from a university (D02). Despite the shortfall in the number of
participants, it is believed that the panel, which includes five practitioners and an accounting educator, will provide diverse views representing the different requirements from different sectors of the accounting profession.

Each of the participants was asked to rate each of the 266 questions from a scale of 1 to 6. After the first round of rating, they were asked to rate the questions again taking into consideration the ratings given by the other participants. The idea is to try to find a consensus on the ratings by all participants. However, they are not obliged to change their ratings if they believe the rating of a particular question given in the first round best reflects their opinion. Due to practical time constraints, only two rounds are conducted.

Each panelist was presented with the questionnaire in the first round and asked to rate the questions in the presence of the researcher. The researcher did not make any opinion or discuss his views on any of the questions. The scores from the first round were collated and the mean score and standard deviation of each question computed.

From the responses of each question in the questionnaire, IT topics are classified into five categories—‘essential’, ‘important’, ‘minimum to good understanding’, ‘awareness to minimum understanding’ and ‘not relevant’ based on their mean scores. Table 5.5 shows the proposed categories.

### Table 5.5: Proposed Categories for IT Topic Ratings

<table>
<thead>
<tr>
<th>Mean score</th>
<th>Category</th>
</tr>
</thead>
<tbody>
<tr>
<td>5 or above</td>
<td>Essential</td>
</tr>
<tr>
<td>4 to 4.9</td>
<td>Important</td>
</tr>
<tr>
<td>3 to 3.9</td>
<td>Minimum to good understanding</td>
</tr>
<tr>
<td>2 to 2.9</td>
<td>Awareness to minimum understanding</td>
</tr>
<tr>
<td>Below 2</td>
<td>Not relevant</td>
</tr>
</tbody>
</table>

(Source: Developed for this research)

Table 5.6 shows the mean scores from the first round of the Delphi phase classified using the score category in Table 5.5. Sixteen questions out of 266 (6%) were rated as ‘essential’, 46 questions (17.3%) were rated as ‘important’. In total, 62 of the 266 questions (23.3%) were rated as ‘important’ or ‘essential’.
The participants were paid a second visit and were asked to rate the questions again taking into consideration the ratings of other panelists from the first round. They were shown the individual scores by other participants. The mean score and the standard deviation of each question from the first round were also shown to the participants. The mean scores from the second round of the Delphi phase are summarised in Table 5.7.

The number of questions rated as ‘essential’ and ‘important’ in the second round is 22 (8.3%) and 42 (15.8%) respectively. The number of questions rated as ‘important’ or ‘essential’ in the second round is 64 out of the total 266 questions (24.1%), which is 0.8 percentage point more than the first round. The number of questions in the ‘essential’ category increased by six while the number of questions in the ‘important’ category decreased by four. Table 5.8 shows the changes from the first round.

Table 5.7: Summary of Mean Scores from Second Round of the Delphi Phase

<table>
<thead>
<tr>
<th>Mean score</th>
<th>Score category</th>
<th>Number of questions</th>
<th>% of total</th>
</tr>
</thead>
<tbody>
<tr>
<td>5 or above</td>
<td>Essential</td>
<td>22</td>
<td>8.3%</td>
</tr>
<tr>
<td>4 to 4.9</td>
<td>Important</td>
<td>42</td>
<td>15.8%</td>
</tr>
<tr>
<td>3 to 3.9</td>
<td>Minimum/good understanding</td>
<td>91</td>
<td>34.2%</td>
</tr>
<tr>
<td>2 to 2.9</td>
<td>Awareness/minimum understanding</td>
<td>94</td>
<td>35.3%</td>
</tr>
<tr>
<td>Below 2</td>
<td>Not relevant</td>
<td>17</td>
<td>6.4%</td>
</tr>
<tr>
<td>Total</td>
<td></td>
<td>266</td>
<td>100%</td>
</tr>
</tbody>
</table>

(Source: Developed for this research)
Table 5.8: Changes in Mean Scores from the First Round

<table>
<thead>
<tr>
<th>Mean score</th>
<th>Score category</th>
<th>No. of questions in first round</th>
<th>No. of questions in second round</th>
<th>Change</th>
</tr>
</thead>
<tbody>
<tr>
<td>5 or above</td>
<td>Essential</td>
<td>16</td>
<td>22</td>
<td>+6</td>
</tr>
<tr>
<td>4 to 4.9</td>
<td>Important</td>
<td>46</td>
<td>42</td>
<td>-4</td>
</tr>
<tr>
<td>3 to 3.9</td>
<td>Minimum/good understanding</td>
<td>90</td>
<td>91</td>
<td>+1</td>
</tr>
<tr>
<td>2 to 2.9</td>
<td>Awareness/minimum understanding</td>
<td>100</td>
<td>94</td>
<td>-6</td>
</tr>
<tr>
<td>Below 2</td>
<td>Not relevant</td>
<td>14</td>
<td>17</td>
<td>+3</td>
</tr>
<tr>
<td>Total</td>
<td></td>
<td>266</td>
<td>266</td>
<td></td>
</tr>
</tbody>
</table>

(Source: Developed for this research)

Table 5.9 shows the changes made by individual participants. The participant who made the most number of changes (78) was D03 (accountant from a government agency). Of these 78 changes, 69 are increases from the first round. It could be due to the low ratings given in the first round by D03 resulting in an urge to increase the ratings to try to conform to what others have rated. D02 (accounting lecturer) has made 40 changes and most of these changes are decreases (31). This may mean that D02 rated more knowledge/skills higher than practitioners in the first round. D04 (accountant from a small commercial firm) and D05 (accountant from a large commercial firm) made the least number of changes. D04 and D05 are both accountants of a commercial firm. They may have made the most appropriate ratings in the first round and therefore requiring the least number of changes in the second round. However, it is difficult to draw conclusions because different individuals have different acceptance levels on conformity and that has an effect on how willing is the individual in changing the first round ratings.
Table 5.9: Changes made by Delphi Panellists

<table>
<thead>
<tr>
<th></th>
<th>D01</th>
<th>D02</th>
<th>D03</th>
<th>D04</th>
<th>D05</th>
<th>D06</th>
<th>Aggregate total*</th>
</tr>
</thead>
<tbody>
<tr>
<td>Number of changes</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>with increased rating</td>
<td>12</td>
<td>9</td>
<td>69</td>
<td>16</td>
<td>6</td>
<td>36</td>
<td></td>
</tr>
<tr>
<td>Number of changes</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>with decreased rating</td>
<td>9</td>
<td>31</td>
<td>9</td>
<td>1</td>
<td>10</td>
<td>12</td>
<td></td>
</tr>
<tr>
<td>Number of changes</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>with increased mean rating</td>
<td>101</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Number of changes</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>with decreased mean rating</td>
<td>43</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Total number of changes</td>
<td>21</td>
<td>40</td>
<td>78</td>
<td>17</td>
<td>16</td>
<td>48</td>
<td>144</td>
</tr>
</tbody>
</table>

*Aggregate total does not equal the sum of number of changes made by the panelists due to some overlaps and some changes balancing each other out.

(Source: Developed for this research)

To analyse the data collected, all 266 questions are classified into two dimensions. Using the guidelines from IEPS 2.1 (see Table 5.2), the first dimension classifies a particular question into the different roles of an accountant who is required to possess that knowledge or be able to use that particular skill referred to in the question. The roles are auditor ‘A’, designer ‘D’, manager ‘M’, user ‘U’ and general ‘G’. Auditors would require knowledge areas such as internal control, security, evaluation of systems, and use of software to help them in these tasks. Designers are those who are involved in the design, development and management of IT projects. Managers are those who are responsible for the overall management of the IT department, systems, assets or infrastructure. Where a particular question relates to general knowledge or skills required by all roles, it is classified as ‘general’.

The second dimension relates to whether the particular question is about knowledge or skill. ‘K’ is used to denote knowledge and ‘S’ is used to denote skill. Questions that have the keywords ‘apply’, ‘use’ or are referring to a software product will be regarded as a practical skill requirement. Those that refer to concepts, ideas, processes or procedures are regarded as knowledge. The use of these two dimensions in the analysis will allow the distribution of knowledge versus skills and the distribution of different roles to be shown. Table 5.10 shows examples of the classification.
Table 5.10: Example of Classification of ‘role’ and ‘knowledge/skill’

<table>
<thead>
<tr>
<th>Question</th>
<th>Brief description</th>
<th>Role</th>
<th>Knowledge / skill</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.6</td>
<td>Align future IT strategy with business strategy</td>
<td>M</td>
<td>K</td>
</tr>
<tr>
<td>2.5</td>
<td>Nature and types of information</td>
<td>G</td>
<td>K</td>
</tr>
<tr>
<td>4.7</td>
<td>System analysis/design tools and techniques</td>
<td>D</td>
<td>K</td>
</tr>
<tr>
<td>5.16</td>
<td>IT cost controls</td>
<td>A</td>
<td>K</td>
</tr>
<tr>
<td>5.21</td>
<td>Office software (spreadsheet)</td>
<td>U</td>
<td>S</td>
</tr>
<tr>
<td>9.10</td>
<td>Demonstrate understanding of business and accounting systems</td>
<td>U</td>
<td>K</td>
</tr>
<tr>
<td>10.1</td>
<td>Managing an entity's IT strategy</td>
<td>M</td>
<td>S</td>
</tr>
<tr>
<td>12.2</td>
<td>Applying project management methods</td>
<td>D</td>
<td>S</td>
</tr>
<tr>
<td>13.3</td>
<td>Evaluating financial accounting and reporting systems</td>
<td>A</td>
<td>S</td>
</tr>
</tbody>
</table>

(Source: Developed for this research)

Table 5.11 shows the 266 questions classified into the ‘role’ and ‘knowledge / skill’ in a two-dimension table. The number of questions relating to roles is spread quite evenly among the five classifications, around 20% each. The percentage of the number of questions relating to ‘knowledge’ is 71.4% and to ‘skills’, 28.6%.

Table 5.11: Number of Questions classified into ‘role’ and ‘knowledge/skill’

<table>
<thead>
<tr>
<th>Roles</th>
<th>Knowledge</th>
<th>Skills</th>
<th>Total</th>
<th>% of total</th>
</tr>
</thead>
<tbody>
<tr>
<td>General</td>
<td>61</td>
<td>0</td>
<td>61</td>
<td>23.0%</td>
</tr>
<tr>
<td>Manager</td>
<td>46</td>
<td>7</td>
<td>53</td>
<td>19.9%</td>
</tr>
<tr>
<td>Designer</td>
<td>37</td>
<td>16</td>
<td>53</td>
<td>19.9%</td>
</tr>
<tr>
<td>Auditor</td>
<td>36</td>
<td>15</td>
<td>51</td>
<td>19.2%</td>
</tr>
<tr>
<td>User</td>
<td>10</td>
<td>38</td>
<td>48</td>
<td>18.0%</td>
</tr>
<tr>
<td>Total</td>
<td>190</td>
<td>76</td>
<td>266</td>
<td>100%</td>
</tr>
<tr>
<td>% of total</td>
<td>71.4%</td>
<td>28.6%</td>
<td>100%</td>
<td></td>
</tr>
</tbody>
</table>

(Source: Developed for this research)

The mean scores of each question from the second round are analysed and tabulated in the ‘role’ and ‘knowledge / skill’ classifications. The distribution of the questions by mean scores based on the ‘role’ and ‘knowledge / skill’ classifications are shown in Tables 5.12 and 5.13 respectively. Seventy-five percent of questions with user role
scored 4.0 and above while a small percentage of the questions for the roles of auditor (19.6%), designer (7.5%), manager (1.9%) and general (21.3%) scored 4.0 and above. For the ‘knowledge / skill’ classification, around half of the questions for ‘skill’ (47%) scored 4.0 and above but most of the questions on ‘knowledge’ (85%) scored below 4.0.

**Table 5.12:** Distribution of ‘role’ Classification

<table>
<thead>
<tr>
<th>Role</th>
<th>&lt; 2 Not relevant</th>
<th>2 to 2.9 Awareness/min understanding</th>
<th>3 to 3.9 Min/good understanding</th>
<th>4 to 4.9 Important</th>
<th>&gt; 5 Essential</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>General</td>
<td>7</td>
<td>18</td>
<td>23</td>
<td>9</td>
<td>4</td>
<td>61</td>
</tr>
<tr>
<td>Manager</td>
<td>2</td>
<td>32</td>
<td>18</td>
<td>1</td>
<td>0</td>
<td>53</td>
</tr>
<tr>
<td>Designer</td>
<td>7</td>
<td>30</td>
<td>12</td>
<td>4</td>
<td>0</td>
<td>53</td>
</tr>
<tr>
<td>Auditor</td>
<td>1</td>
<td>13</td>
<td>27</td>
<td>7</td>
<td>3</td>
<td>51</td>
</tr>
<tr>
<td>User</td>
<td>0</td>
<td>1</td>
<td>11</td>
<td>21</td>
<td>15</td>
<td>48</td>
</tr>
<tr>
<td>Total</td>
<td>17</td>
<td>94</td>
<td>91</td>
<td>42</td>
<td>22</td>
<td>266</td>
</tr>
</tbody>
</table>

(Source: Developed for this research)

**Table 5.13:** Distribution of ‘knowledge/skill’ Classification

<table>
<thead>
<tr>
<th>Classification</th>
<th>&lt; 2 Not relevant</th>
<th>2 to 2.9 Awareness/min understanding</th>
<th>3 to 3.9 Min/good understanding</th>
<th>4 to 4.9 Important</th>
<th>&gt; 5 Essential</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Knowledge</td>
<td>17</td>
<td>71</td>
<td>74</td>
<td>19</td>
<td>9</td>
<td>190</td>
</tr>
<tr>
<td>Skill</td>
<td>0</td>
<td>23</td>
<td>17</td>
<td>23</td>
<td>13</td>
<td>76</td>
</tr>
<tr>
<td>Total</td>
<td>17</td>
<td>94</td>
<td>91</td>
<td>42</td>
<td>22</td>
<td>266</td>
</tr>
</tbody>
</table>

(Source: Developed for this research)

Tables 5.14 and 5.15 show further breakdowns of the questions with mean scores of more than 5 (essential) and mean scores between 4.0 and 4.9 (important) into two dimension classifications based on ‘role’ and ‘knowledge / skill’. Twelve questions out of 22 (54.5%) that are regarded as ‘essential’ by the Delphi panelists fall under the ‘user-skill’ classification. This is followed by ‘general-knowledge’ (18.2%), ‘user-knowledge’ (13.7%), ‘auditor-knowledge’ (9.1%) and ‘auditor-skill’ (4.5%).

Of the 42 questions that scored between 4.0 and 4.9, 18 (43%) belong to the ‘user-skill’ classification, followed by ‘general-knowledge’ (22%), ‘auditor-knowledge’ (14%), ‘designer-skill’ (10%), ‘user-knowledge’ (7%), ‘auditor-skill’ (2%) and ‘manager-knowledge’ (2%). From this analysis, it shows that the panelists placed high emphasis on practical user IT skills for accounting graduates.
### Table 5.14: Number of Questions with Mean Score > 5.0

<table>
<thead>
<tr>
<th>Knowledge</th>
<th>Skills</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>General</td>
<td>4(18.2%)</td>
<td>0</td>
</tr>
<tr>
<td>Manager</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Designer</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Auditor</td>
<td>2(9.1%)</td>
<td>1(4.5%)</td>
</tr>
<tr>
<td>User</td>
<td>3(13.7%)</td>
<td>12(54.5%)</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td>9</td>
<td>13</td>
</tr>
</tbody>
</table>

(Source: Developed for this research)

### Table 5.15: Number of Questions with Mean Score of 4.0 to 4.9

<table>
<thead>
<tr>
<th>Knowledge</th>
<th>Skills</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>General</td>
<td>9(22%)</td>
<td>0</td>
</tr>
<tr>
<td>Manager</td>
<td>1(2%)</td>
<td>0</td>
</tr>
<tr>
<td>Designer</td>
<td>0</td>
<td>4(10%)</td>
</tr>
<tr>
<td>Auditor</td>
<td>6(14%)</td>
<td>1(2%)</td>
</tr>
<tr>
<td>User</td>
<td>3(7%)</td>
<td>18(43%)</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td>19</td>
<td>23</td>
</tr>
</tbody>
</table>

(Source: Developed for this research)

The descriptions of the top 22 questions that scored 5.0 or above are categorised into topic areas and are listed in Table 5.16. The top 22 questions fall under nine topic categories—spreadsheet, word processor, accounting software, accounting systems, Internet tools, data security, database software, IT controls and values.

### Table 5.16: Questions with Mean Score > 5.0

<table>
<thead>
<tr>
<th>Question number</th>
<th>IT knowledge / skills</th>
<th>Mean score</th>
<th>Classification</th>
<th>Topic</th>
</tr>
</thead>
<tbody>
<tr>
<td>5.21</td>
<td>Office software (spreadsheet)</td>
<td>6.0</td>
<td>U S</td>
<td>Spreadsheet</td>
</tr>
<tr>
<td>9.3</td>
<td>Apply appropriate IT systems/tools to business/accounting problems (spreadsheet)</td>
<td>6.0</td>
<td>U S</td>
<td>Spreadsheet</td>
</tr>
<tr>
<td>16.3</td>
<td>Spreadsheets</td>
<td>5.8</td>
<td>U S</td>
<td>Spreadsheet</td>
</tr>
<tr>
<td>5.20</td>
<td>Office software (word processor)</td>
<td>5.7</td>
<td>U S</td>
<td>Word processor</td>
</tr>
<tr>
<td>Question number</td>
<td>IT knowledge / skills</td>
<td>Mean score</td>
<td>Classification</td>
<td>Topic</td>
</tr>
<tr>
<td>-----------------</td>
<td>---------------------------------------------------------------------------</td>
<td>------------</td>
<td>----------------</td>
<td>--------------------------------------------</td>
</tr>
<tr>
<td>16.10</td>
<td>Accounting software</td>
<td>5.7</td>
<td>U</td>
<td>K</td>
</tr>
<tr>
<td>9.2</td>
<td>Apply appropriate IT systems/tools to business/accounting problems (word processor)</td>
<td>5.5</td>
<td>U</td>
<td>S</td>
</tr>
<tr>
<td>9.10</td>
<td>Demonstrate understanding of business and accounting systems</td>
<td>5.5</td>
<td>U</td>
<td>K</td>
</tr>
<tr>
<td>17.1</td>
<td>Accounting software (MYOB, Great Plains)</td>
<td>5.5</td>
<td>U</td>
<td>S</td>
</tr>
<tr>
<td>8.10</td>
<td>Appropriate IT systems/tools to business/accounting problems</td>
<td>5.3</td>
<td>A</td>
<td>S</td>
</tr>
<tr>
<td>9.11</td>
<td>Demonstrate understanding of business and accounting systems (ERP, CRM)</td>
<td>5.3</td>
<td>U</td>
<td>K</td>
</tr>
<tr>
<td>15.6</td>
<td>GL reporting cycle</td>
<td>5.3</td>
<td>G</td>
<td>K</td>
</tr>
<tr>
<td>16.2</td>
<td>Word processing</td>
<td>5.3</td>
<td>U</td>
<td>S</td>
</tr>
<tr>
<td>5.19</td>
<td>Office software (Internet tools: email, web browsing)</td>
<td>5.2</td>
<td>U</td>
<td>S</td>
</tr>
<tr>
<td>6.1</td>
<td>General means of communication supported by IT</td>
<td>5.2</td>
<td>G</td>
<td>K</td>
</tr>
<tr>
<td>6.2</td>
<td>Risks in communication supported by IT</td>
<td>5.2</td>
<td>A</td>
<td>K</td>
</tr>
<tr>
<td>9.5</td>
<td>Apply appropriate IT systems/tools to business/accounting problems (Internet tools)</td>
<td>5.2</td>
<td>U</td>
<td>S</td>
</tr>
<tr>
<td>5.22</td>
<td>Office software (Database management system)</td>
<td>5.0</td>
<td>U</td>
<td>S</td>
</tr>
<tr>
<td>15.3</td>
<td>Revenue cycle</td>
<td>5.0</td>
<td>G</td>
<td>K</td>
</tr>
<tr>
<td>15.20</td>
<td>Internal control</td>
<td>5.0</td>
<td>A</td>
<td>K</td>
</tr>
<tr>
<td>15.29</td>
<td>Ethics</td>
<td>5.0</td>
<td>G</td>
<td>K</td>
</tr>
<tr>
<td>16.5</td>
<td>Internet tools</td>
<td>5.0</td>
<td>U</td>
<td>S</td>
</tr>
<tr>
<td>16.9</td>
<td>Database search and retrieval</td>
<td>5.0</td>
<td>U</td>
<td>S</td>
</tr>
</tbody>
</table>

(Source: Developed for this research)
The descriptions of the 42 questions that scored between 4.0 and 4.9 are categorised into topic areas and are listed in Table 5.17. These 42 questions fall under 14 topic categories—accounting systems, operating systems, general systems knowledge, Internet knowledge, presentation software, accounting software, database software, database concepts, IT controls, IT audit software, research tools, e-commerce, data security and documentation tools.

Table 5.17: Questions with Mean Scores Between 4 and 4.9

<table>
<thead>
<tr>
<th>Question number</th>
<th>IT knowledge / skills</th>
<th>Mean score</th>
<th>Classification</th>
<th>Topic</th>
</tr>
</thead>
<tbody>
<tr>
<td>2.11</td>
<td>Business documents, accounting records, control/management reports</td>
<td>4.8</td>
<td>G K</td>
<td>Accounting systems</td>
</tr>
<tr>
<td>9.1</td>
<td>Apply appropriate IT systems /tools to business/accounting problems (Operating systems)</td>
<td>4.8</td>
<td>U S</td>
<td>Operating systems</td>
</tr>
<tr>
<td>9.8</td>
<td>Apply appropriate IT systems /tools to business/accounting problems (Anti-virus software)</td>
<td>4.8</td>
<td>U S</td>
<td>Operating systems</td>
</tr>
<tr>
<td>15.1</td>
<td>Introduction to systems</td>
<td>4.8</td>
<td>G K</td>
<td>General systems knowledge</td>
</tr>
<tr>
<td>15.22</td>
<td>Communication systems and technology</td>
<td>4.8</td>
<td>G K</td>
<td>Internet knowledge</td>
</tr>
<tr>
<td>16.4</td>
<td>Presentation software</td>
<td>4.8</td>
<td>U S</td>
<td>Presentation software</td>
</tr>
<tr>
<td>16.11</td>
<td>Tax return preparation software</td>
<td>4.8</td>
<td>U S</td>
<td>Accounting software</td>
</tr>
<tr>
<td>17.2</td>
<td>ERP systems (SAP, Oracle)</td>
<td>4.8</td>
<td>U S</td>
<td>Accounting software</td>
</tr>
<tr>
<td>3.3</td>
<td>Effectiveness of the entity’s business processes</td>
<td>4.7</td>
<td>M K</td>
<td>Accounting systems</td>
</tr>
<tr>
<td>5.18</td>
<td>Office software (Presentation software)</td>
<td>4.7</td>
<td>U S</td>
<td>Presentation software</td>
</tr>
<tr>
<td>9.4</td>
<td>Apply appropriate IT systems /tools to business/accounting problems (Database software)</td>
<td>4.7</td>
<td>U S</td>
<td>Database software</td>
</tr>
<tr>
<td>15.4</td>
<td>Purchasing cycle</td>
<td>4.7</td>
<td>G K</td>
<td>Accounting systems</td>
</tr>
<tr>
<td>15.7</td>
<td>HR/Payroll cycle</td>
<td>4.7</td>
<td>G K</td>
<td>Accounting systems</td>
</tr>
<tr>
<td>16.12</td>
<td>Time management and billing systems</td>
<td>4.7</td>
<td>U S</td>
<td>Accounting software</td>
</tr>
<tr>
<td>16.14</td>
<td>Electronic working papers</td>
<td>4.7</td>
<td>U S</td>
<td>Accounting software</td>
</tr>
<tr>
<td>17.6</td>
<td>Database concepts</td>
<td>4.7</td>
<td>D S</td>
<td>Database concepts</td>
</tr>
<tr>
<td>6.3</td>
<td>Benefits of IT to communication</td>
<td>4.5</td>
<td>G K</td>
<td>Internet knowledge</td>
</tr>
<tr>
<td>Question number</td>
<td>IT knowledge / skills</td>
<td>Mean score</td>
<td>Classification</td>
<td>Topic</td>
</tr>
<tr>
<td>-----------------</td>
<td>--------------------------------------------------------------------------------------</td>
<td>------------</td>
<td>----------------</td>
<td>------------------------------------</td>
</tr>
<tr>
<td>8.11</td>
<td>Understanding of business and accounting systems</td>
<td>4.5</td>
<td>A</td>
<td>Accounting systems</td>
</tr>
<tr>
<td>9.7</td>
<td>Apply appropriate IT systems / tools to business/accounting problems (Presentation software)</td>
<td>4.5</td>
<td>U</td>
<td>Presentation software</td>
</tr>
<tr>
<td>15.2</td>
<td>Introduction to transaction processing systems</td>
<td>4.5</td>
<td>G</td>
<td>General systems knowledge</td>
</tr>
<tr>
<td>15.16</td>
<td>End user computing</td>
<td>4.5</td>
<td>G</td>
<td>General systems knowledge</td>
</tr>
<tr>
<td>15.21</td>
<td>Computer fraud</td>
<td>4.5</td>
<td>A</td>
<td>IT controls</td>
</tr>
<tr>
<td>15.28</td>
<td>IT audit</td>
<td>4.5</td>
<td>A</td>
<td>IT controls</td>
</tr>
<tr>
<td>9.14</td>
<td>Apply controls to personal systems</td>
<td>4.3</td>
<td>U</td>
<td>IT controls</td>
</tr>
<tr>
<td>16.15</td>
<td>Audit software</td>
<td>4.3</td>
<td>A</td>
<td>IT audit software</td>
</tr>
<tr>
<td>16.27</td>
<td>Anti-virus software</td>
<td>4.3</td>
<td>U</td>
<td>Operating systems</td>
</tr>
<tr>
<td>2.6</td>
<td>Attributes of information</td>
<td>4.2</td>
<td>G</td>
<td>General systems knowledge</td>
</tr>
<tr>
<td>5.25</td>
<td>Computer-assisted audit techniques (CAAT) (Analytical tools)</td>
<td>4.2</td>
<td>U</td>
<td>IT audit software</td>
</tr>
<tr>
<td>7.19</td>
<td>Controls over information systems</td>
<td>4.2</td>
<td>A</td>
<td>IT controls</td>
</tr>
<tr>
<td>8.12</td>
<td>The application of controls to personal systems</td>
<td>4.2</td>
<td>A</td>
<td>IT controls</td>
</tr>
<tr>
<td>16.1</td>
<td>Operating systems</td>
<td>4.2</td>
<td>U</td>
<td>Operating systems</td>
</tr>
<tr>
<td>16.6</td>
<td>Research tools</td>
<td>4.2</td>
<td>U</td>
<td>Research tools</td>
</tr>
<tr>
<td>16.8</td>
<td>Database software</td>
<td>4.2</td>
<td>U</td>
<td>Database software</td>
</tr>
<tr>
<td>16.22</td>
<td>Electronic data interchange</td>
<td>4.2</td>
<td>U</td>
<td>e-commerce</td>
</tr>
<tr>
<td>5.23</td>
<td>Computer-assisted audit techniques (CAAT) (Accounting packages and CAAT)</td>
<td>4.0</td>
<td>U</td>
<td>IT audit software</td>
</tr>
<tr>
<td>9.9</td>
<td>Apply appropriate IT systems / tools to business/accounting problems (Utility software)</td>
<td>4.0</td>
<td>U</td>
<td>Operating systems</td>
</tr>
<tr>
<td>9.13</td>
<td>Demonstrate understanding of business and accounting systems (e-commerce)</td>
<td>4.0</td>
<td>U</td>
<td>e-commerce</td>
</tr>
<tr>
<td>16.29</td>
<td>Firewall software/hardware</td>
<td>4.0</td>
<td>A</td>
<td>Internet knowledge</td>
</tr>
<tr>
<td>16.32</td>
<td>Back-up and recovery</td>
<td>4.0</td>
<td>U</td>
<td>Data security</td>
</tr>
</tbody>
</table>
The 64 questions that scored 4.0 and above representing IT knowledge and skills that are regarded as ‘essential’ and ‘important’ for accounting graduates are combined into the respective topic categories. The highest mean score within a topic category will be used to determine whether that topic category belongs to the ‘essential’ or ‘important’ score category. Using this method, there are nine topic categories that fall under the ‘essential’ score category and another nine that fall under the ‘important’ score category. Table 5.18 shows the topics and the number of questions that make up the topics with the highest and lowest mean scores of the questions.

**Table 5.18: Essential and Important Topics**

<table>
<thead>
<tr>
<th>Topic</th>
<th>Number of questions</th>
<th>Contents</th>
<th>Highest mean score</th>
<th>Lowest mean score</th>
</tr>
</thead>
<tbody>
<tr>
<td>Spreadsheet</td>
<td>3</td>
<td>Use of spreadsheet software</td>
<td>6</td>
<td>5.8</td>
</tr>
<tr>
<td>Word processor</td>
<td>3</td>
<td>Use of word processing software</td>
<td>5.7</td>
<td>5.3</td>
</tr>
<tr>
<td>Accounting software</td>
<td>6</td>
<td>Use of MYOB, Great Plains, SAP, Oracle, Tax return software, Electronic working papers, Time management and billing systems</td>
<td>5.7</td>
<td>4.7</td>
</tr>
<tr>
<td>Accounting systems</td>
<td>9</td>
<td>Understanding business systems, ERP, CRM, GL reporting cycle, Revenue cycle, Purchasing cycle, HR/payroll cycle</td>
<td>5.5</td>
<td>4.5</td>
</tr>
<tr>
<td>Internet tools</td>
<td>4</td>
<td>Use of Email, web browsing, SMS</td>
<td>5.2</td>
<td>5</td>
</tr>
<tr>
<td>Data security</td>
<td>2</td>
<td>Able to perform backup and recovery</td>
<td>5.2</td>
<td>4</td>
</tr>
<tr>
<td>Values</td>
<td>1</td>
<td>Ethical standards</td>
<td>5</td>
<td>5</td>
</tr>
<tr>
<td>Database software</td>
<td>4</td>
<td>Use of database software, database search and retrieval</td>
<td>5</td>
<td>4.2</td>
</tr>
<tr>
<td>IT controls</td>
<td>6</td>
<td>Internal control, computer fraud, IT audit, controls to personal computers</td>
<td>5</td>
<td>4.2</td>
</tr>
</tbody>
</table>

(Source: Developed for this research)
The list of IT topics regarded as ‘essential’ and ‘important’ as shown in Table 5.18 will be used as the basis for the design of the survey instrument for Part II and Part III of the research.

**Limitations**

The aim of the proposed research is to develop a model that can serve as a guideline for accounting educators in NZ to design accounting courses that teach IT related topics. The research seeks opinions from accounting educators and accounting practitioners in NZ. The results and findings from this research are therefore only relevant to NZ. Researchers in other countries may use the results of this study as reference but they have to be aware of the differences between the business environment of NZ with their own. The NZ economy is made up of a large number of small companies. As of February 2006, 96.4 per cent of NZ enterprises employ fewer than 20 staff (Statistics New Zealand, 2006). The requirements of an accountant on IT knowledge and skills in a small business are quite different from those of a large company. This research is aimed at studying the IT knowledge and skills required by accountants within the first five years of their career. The results therefore do not reflect the needs of accountants as they progress further in their career.
CHAPTER 5 – IT KNOWLEDGE & SKILLS REQUIRED BY ACCOUNTING GRADUATES IN NZ

Contribution of the Research

The results from this research will inform NZ accounting educators by identifying the top IT topics ranked by educators and practitioners. They will also inform NZ accounting educators of the differences (if any) in the importance of IT topics between educators and practitioners. The results can serve as a model for NZ accounting educators to consider when designing or reviewing IT content and courses in their accounting major programs.

Researcher’s Retrospective

Genesis of research

The motivation of this research stems from my questions on the relevance of some IT topics taught in an accounting course entitled Accounting Information Systems (AIS). The AIS course is offered in many countries and has been designed to introduce accounting students studying for a Bachelor’s Degree to the concepts of computer systems development and auditing of computer systems. In most universities and polytechnics, AIS is a mandatory course for accounting students.

I have a strong background in information technology (IT) having worked in the IT industry and commercial firms in various positions from computer programming to IT management. While teaching AIS to accounting students, I have started to question some of the contents of the course as to its relevance to the needs of an accounting graduate. The reason for this is due to the highly technical nature of some parts of the AIS syllabus. Some of these technical contents are topics such as drawing flowcharts and diagrams to describe and document a computer system or part of it; designing a database; and creating an actual database using popular database software. These topics appear to be particularly difficult for accounting students to learn. I am sometimes doubtful as to its usefulness in the work place. I have worked with many company accountants and financial controllers in different companies and have never seen accountants or financial executives engaged in activities requiring the technical knowledge taught in current AIS courses. As a lecturer in AIS, I have an interest in ensuring what we teach is relevant to the requirements of an accountant and meets the requirements of the employers who hire them. The ultimate aim of this research is to establish a list of relevant IT knowledge and skills for accounting graduates in NZ that can be used as a model and guideline for accounting educators in NZ.

Hurdles

The first hurdle that I faced was the recruitment of the Delphi panelists. It was not easy to have people who are willing to commit to two rounds of answering a questionnaire that contains 266 questions. The estimated time required was one hour for the first round and 40 minutes for the second round. The recruitment of panelists started in late August 2008 and it was not until 1 October that all of the six panelists were confirmed. The original plan was to have ten panelists but I had to settle for six due to the difficulties in recruiting willing participants.
The questionnaire was supposed to be mailed to the panelists asking them to complete it and return by mail. After experiencing the difficulties in recruitment, I had reason to believe that it might take a prolonged period of time for the completed questionnaires to be returned if they were mailed and left with the panelists. I was also worried that some may not even return the questionnaire. I changed the plan and contacted the panelists and made appointments with each of them separately to deliver the questionnaire and stayed with the panelists while they rated the questions. The first appointment was made on 2 September and the last one was completed on 26 November.

One of the six panelists who did the first round of the questionnaire on 23 September left the company before the second round of the Delphi phase. I only found this when I called the panelist's office in early November to make an appointment with him for the second round. I sent numerous emails to the panelist hoping to get a response but there was none. This was a huge blow to me as it was too late and too difficult to recruit a replacement for the panelist. Luck was on me when I received an email from the panelist on 24 November that he was willing to complete the second round of the research.

**Relationships**

I would like to first of all thank Dr William Maguire who was my supervisor in the initial stages of the research. Dr Maguire moved from New Zealand to Australia in May 2008. The tyranny of distance had taken its toll and it was agreed mutually in late 2008 to terminate the supervision arrangement. Dr Andy Godfrey of Auckland University of Technology has kindly accepted to be my supervisor.

**Reflection**

The research topic has always been a passion for me. However, there have been numerous occasions when I doubted whether this topic is substantial enough to be a DBA research topic. I have brought this to the attention of Southern Cross University and have been reassured that it is a good and useful research.

I am a positivist and tend to prefer quantitative research methods. The methodologies proposed for this research are therefore quantitative. However, after conducting the Delphi phase of the research and having partially analysed the data, I am beginning to realise that a quantitative methodology does not give the depth and meaningfulness that an in-depth interview can bring. I am now contemplating conducting Part II and Part III of the research using interviews.

**Acknowledgements**

I would like to thank Associate Professor Peter Miller of Southern Cross University for his inspiration in the design of the questionnaire for the research. He referred me to the Delphi method to shortlist the IT topics identified from the literature review to arrive at a more manageable number of questions in the questionnaire.

Thanks are also given to my colleagues at Manukau Institute of Technology, Mrs Bronwen Barton, Mr Jon Moses and Mr Tim Walsh, for the leads to the Delphi panelists.
Last but not least, I would like to thank the Delphi panelists who cannot be named for reason of anonymity for giving their valuable time and input to the two rounds of the Delphi questionnaire.

**Supervisor’s Retrospective**

**Relationships**

As noted earlier by Thomas, I was not the original supervisor for this project when it started in 2006. I was approached by Thomas in September 2008 and was formally appointed in February 2009. The project was not complete at the time of writing this section (April 2009) and so the reflections that follow are based on the initial period of my supervision. At this point there are still some issues of research objectives and design to be agreed with Thomas.

**Reflection**

The material that Thomas provided to me for review prior to becoming the supervisor indicated that the literature review and research design chapters had been drafted, ethics approval granted and the first round of the Delphi phase had commenced. It is, of course, always difficult to take over a research project without any participation in its planning stages.

Initially, I had two major concerns. My first concern was that the literature review was not analytical enough and too narrow in its scope. Thomas agreed that he still needed to develop the review but I would have preferred that this had been completed before the research design had been decided and, certainly, prior to any data collection. The theoretical underpinning and development of the research questions are crucial elements of a doctoral thesis. Secondly, I also had some concerns over the proposed surveys as to whether they would provide empirical data that would support statistical evidence for the proposed hypotheses or provide rich enough evidence for theoretical insights. The proposed aim of the surveys was to develop a list of topics and I was unsure if that would represent a significant enough contribution.

A further, more fundamental, concern arose when the Delphi results were evaluated in terms of the stated research objectives. The underlying objective was to investigate the IT skills and knowledge required by accounting graduates and to evaluate these against current academic practice. However, there was also an apparent implication that the accounting information systems paper was the key provider of these IT elements and that a significant outcome would be a revised syllabus for this paper. It seemed to me that these were two quite different research issues, requiring differing design and planning. This became even more apparent when the top 22 issues identified through the Delphi phase consisted of a mixture of generic IT skills (spreadsheets, internet tools, word processing) as well as specific accounting issues (accounting software, internal control). Many of the former issues are now embedded throughout an accounting degree whilst the latter are specific
to one particular accounting paper. A research study to evaluate the success of accounting degrees in equipping graduates with appropriate IT skills and knowledge would be designed quite differently from one aimed at revising a specific and technical accounting syllabus.

Thus, it seemed to me that the fundamental objective of the research needed to be clarified—was it to assess the IT skills and knowledge of accounting graduates against the requirements of employers or was it to specifically assess the syllabus and role of the accounting information systems paper? My feeling was that further work on research design and data collection should not proceed until this was clarified. This reservation was reinforced for me by a survey study specifically aimed at identifying employer needs from accounting information systems majors (Dillon & Kruck, 2008). This produced a list of important topics based on a response rate of 16%—with 20 completed questionnaires. This did not seem to be either a justifiable or significant result. Consequently, I discussed with Thomas the need to identify clearly the objective of the research and then to revisit the design, including the data collection, data analysis and participants, to ensure that it was appropriate to provide significant research outcomes.

Thomas is a dedicated, able and experienced student and I have every confidence that he will successfully complete his DBA thesis. However, I believe that the process to date certainly underlines the importance of the fundamental planning and design of a research study as well as the issues that can arise from an enforced change of supervisor.

**Author’s Profiles**

**Thomas Tam** is a senior lecturer in the School of Accounting and Management under the Faculty of Business of the Manukau Institute of Technology in New Zealand. He completed his MBA with Southern Cross University in 2004 and started the DBA program at the end of 2005. Thomas teaches a number of courses in the Bachelor of Business program including Financial Management, Managerial Accounting and Accounting Information Systems. Before becoming a lecturer, Thomas worked as an IT practitioner in the IT industry and commercial firms in various positions from computer programming to IT management.

**Dr Andy Godfrey** is Associate Dean Postgraduate Students in the Faculty of Business and law at Auckland University of Technology. He is also a Chartered Accountant (NZ) and teaches the paper Contemporary Issues in International Accounting for the Master of Business program. His research interests are in international financial reporting and accounting research methods. Andy is an experienced supervisor and examiner at masters and doctoral levels. He is chair of the Faculty Doctoral Committee, a member of the University Postgraduate Board and a PhD Examination Convenor for the University.
References


Overview

The recent Global Financial Crisis and corporate failures is evidence that a vacuum has evolved from the leadership of senior corporate and government leaders. Influenced by their egos, short-term stock market pressures to generate significant returns for their shareholders, many of the leaders have demonstrated a basic lack of leadership values and moral integrity. This has prevailed in the U.S for the last decade and is occurring more frequently in New Zealand. This chapter establishes a neologism called ‘surthrival’ to define the characteristics of ‘inside-out’ leadership. Inside-out leadership is a combination of a number of modern leadership theories including Principle-Centered Leadership, ‘Authentic’ Leadership, Heart of Leadership construct, Crucibles, and leadership ‘voice’.

Introduction

The purpose of my research is to examine how ‘Crucibles’ influenced a population sample of 20 Northland leaders’ Calling, Character and Competence; viz. Leadership Capability. Crucibles are defined by Bennis and Thomas (2002, p4) in a Leadership context as ‘A process of ‘Meaning-making: [that] both galvanises individuals and gives them their distinctive voice’. In other words, Crucibles are challenging life experiences that trigger an Experiential Learning process that usually influences people to reflect on their identity and develop more self-awareness about what is important in their life. Although my research did not set out to create, prove or disprove existing Leadership and Experiential Learning theories, it has produced seven contributions of new information to Leadership and Experiential Learning literature and 12 options for further research. The primary research is undertaken in Northland, which is one of the lowest socio-economic regions in Aotearoa/New Zealand.
Literature Review

I did three literature reviews for this thesis. The first was about Leadership, the second was about Experiential Learning, and the third was about Adult Education. First, the essence of Leadership was described from various scholars because I found that Leadership cannot be effectively defined in one statement because of its multi-faceted nature. Then main developments in Leadership theory spanning from the early 1900’s were described to provide a theoretical underpinning for the other chapters in the thesis. The developments in eight important Leadership task themes that have emerged from the main Leadership theories were then described. A consistent theme emerged from the theories reviewed that effective Leadership is reliant on effective communication and management of vision.

The key Leadership elements of Calling, Character, and Competence were discussed, which are closely related to this thesis subject. Arguably the most significant theme that emerged from these elements was that developing Leadership Competence through Experiential Learning from life’s experiences is a more effective way to develop one’s Leadership Competence than learning it from simulating orthodox Leadership theories and analysing case studies in a classroom. Finally, the influence of Crucibles on Leadership Capability was defined and discussed. Examples were discussed to provide a real-life context about Crucibles’ influence on Leadership Capability in three risky situations. The examples were drawn from US Airway Flight 1549, Shackleton’s Trans-Antarctic Expedition, and NASA’s Apollo 13 moon mission. The main theme that emerged from these examples was that Crucibles influenced effective leaders’ to respond with their Integrity and tenacious resolve to never give up trying to successfully achieve their vision.

The second Literature Review was undertaken about Experiential Learning, which started with giving definitions about what Experiential Learning is, and examined the important role that reflection plays in the adult Experiential Learning process. Then recent research about New Zealand leaders’ experiences with learning through reflecting on their formative learning experiences was discussed. This was followed by discussion about the seminal contributions made to Experiential Learning by Kolb (1984) and Mezirow (1978).

Themes emerging from this section then led to a discussion about the essence of Experiential Learning from the influence of Crucibles in a Leadership context. This was supplemented with vivid examples of how Crucibles influence Leadership Experiential Learning and development of Leadership Capability. The main theme emerging from this Literature Review was about the importance of the reflection process as an important part of the adult Experiential Learning process.

Finally, a third Literature Review was undertaken about Adult Education. However, after the first full thesis draft was reviewed, my supervisor and I noticed this Chapter seemed to give the thesis a look and feel like an Education PhD rather than a DBA thesis, so we took a decision to remove this chapter.
Research Methodology

My ontological position underpinning the primary research I undertook for my thesis is that of a hermeneutic phenomenologist. To wrap a context around this, Van Manen (1990, pp180–181) argues that Hermeneutic Phenomenology as a:

…descriptive (phenomenological) methodology because it wants to be attentive to how things appear, it wants to let things speak for themselves; it is an interpretive (hermeneutic) methodology because it claims there are no such things as uninterpreted phenomena. The implied contradiction may be resolved if one acknowledges that the (phenomenological) ‘facts’ of lived experience are always already (hermeneutically) experienced. Moreover, even the ‘facts’ of lived experience need to be captured in language (the human science text) and this is inevitably an interpretive process.

In other words, my research ontological position aimed to detect the underpinning truths about Northland leaders’ ‘Lived experience’ with their Crucibles, and then accurately interpret what this all means within a Leadership and Experiential Learning context. Overall, the ambiguous and non-numeric nature of primary research data gathered for this thesis led me to decide that a qualitative case study approach would be the most suitable approach to achieve the Primary Research Purpose of this thesis. Then I developed the Research Design Model shown below to undertake the qualitative research methodology and act as the research kernel of this thesis, as described next.

**Figure 6.1: Research Design Model**

(Source: Developed for this research)
To start with, the Primary Research Topic (A) concerns the influence of Crucibles on Leadership, which provides the scope for primary research for this thesis. This compels the Primary Research Purpose (B) to examine how Crucibles influenced Northland Leadership Calling, Character, and Competence, and identify areas for further research. This underpins the Primary Research Question (C) and formed the ‘Thesis of this thesis’ by asking ‘How do Crucibles influence Northland leaders’ Calling, Character, and Competence?’

Because this Primary Research Question is so open-ended, it is subdivided into three Primary Research Objectives (D) to gather primary research data to answer this as shown in Table 6.1. For instance, Research Objective 1 examined how Crucibles influence Northland leaders’ Calling. Research Objective 2 examined how Crucibles influence Northland leaders’ Character. Finally, Research Objective 3 examined how Crucibles influence Northland Leadership Competence. Then each Primary Research Objective (D) is subdivided into two Primary Research Questions (E) as shown in Table 6.1 below to gather primary research data from interviews with a sample of 20 Northland leaders (F) to identify main themes (G).

Table 6.1: Primary research objectives and questions

<table>
<thead>
<tr>
<th>Leadership Concepts</th>
<th>Primary Research Objectives</th>
<th>Primary Research Questions</th>
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</table>
| Calling             | To examine how Crucible experiences influence Northland leaders’ Calling. (Adapted from Cammock, 2009, p45) | 1. How would you describe your Leadership Calling?  
2. How have Crucible experiences developed your Leadership Calling? |
| Character           | To examine how Crucible experiences influence Northland leaders’ Character. (Adapted from Cammock, 2007, pp131–135) | 3. How would you describe your Leadership Character?  
4. How have Crucible experiences influenced your Leadership Characteristics? |
| Competence          | To examine how Crucible experiences influence Northland leaders’ Competence. (Adapted from Greenleaf, 1996, pp170–171) | 5. How would you describe your Leadership Competence?  
6. How have Crucible experiences developed your Leadership Competence? |

(Source: Developed for this research)
Research Limitations

I faced two main limits with the primary research I undertook for my thesis. The first involved the research sample size, and the second related to quality assurance of the research findings. For instance, the research sample size of 20 Northland leaders was influenced by Cammock (2009, p82) who did phenomenological case study research similar to this thesis with 16 research samples for two main reasons. First, to satisfy his publisher’s specific commercial needs. Second, to control the significant workload involved with transcribing interview data, coding this data, drawing concepts from the coded data and then translating this into a sound explanation for publication.

Cammock’s second reason influenced my decision to exceed the sample size by four research samples and produce rationale primary research results and make the most of the large number of leaders volunteering to participate in this research.

The second research limitation relates to Yin’s (1994, p80) argument supporting the need for a Chain of Evidence test to be undertaken in phenomenological case study research because ‘A good case study will want to use as many sources of evidence as possible to establish construct validity and reliability of the case study’. Achievement of the Chain of Evidence test according to Yin (1994, p98) requires ‘The reader of a case study to follow the derivation of any evidence from initial research questions to ultimate case study conclusions’.

To satisfy this test, the writer tried to set up a Delphi Group comprised of the 20 Northland leaders whom he interviewed. The purpose was to get their objective quality assurance of the writer’s primary research data findings by tracing these from the findings back to the research questions or vice versa to confirm their accuracy. This process would have enabled quick detection of any logical anomalies and for them to be quickly and accurately corrected as suggested by the Delphi Group before the writer created the results for Chapter Six of this thesis (p99). Unfortunately, the Delphi Group could not be set up because of difficulties in getting all, or a 50% quorum of the sampled 20 Northland leaders to leave their workplace for several hours on the same day and time to join in the Delphi Group.

Potential Impact of the Research on New Zealand

The primary research results of my thesis have potential implications for Northland leadership practice. This arises from a need identified by the Northland Regional Council for more effective Council Leadership throughout Northland to lead initiatives that will sustainably improve the region’s poor socio-economic performance. In my thesis, I have argued that providing an effective Experiential Learning Leadership development programme would at least provide a positive start to help stimulate Northland’s socio-economic performance over the medium to long term (5–20 years). This also has the potential to provide valuable personal development opportunities for current and future Northland leaders.
Researcher’s Retrospective

Research genesis

The genesis for this thesis arose from three themes about leaders surviving and thriving overwhelming Crucible influences to achieve their vision. The first theme is my earliest experience of Crucibles influencing my Leadership Capability while sailing on the Sail Training Vessel ‘Spirit of Adventure’ at the age of 17. Second, overwhelming Crucible influences emerging in Sir Ernest Shackleton’s 1914–1917 Imperial Trans-Antarctic Expedition and NASA’s Apollo 13 moon mission in 1970. Third, my later experiences with Crucibles of organisational dysfunction in Northland organisations over managed and under led, producing what I define as a ‘Leadership Vacuum of Ineffectiveness’.

These themes led me to develop the Research Thinking Framework (Figure 6.2) based on my understanding about Crucible influencing Leaders’ Calling, Character, and Competence to survive, thrive and achieve their vision, despite overwhelming challenges. This concept was used to scope the Primary Research Model for this thesis (Figure 6.1).

**Figure 6.2: Research Thinking Framework**

![Research Thinking Framework Diagram]

(Source: Developed for this research)

Figure 6.2 above shows the Thinking Framework comprises two constructs that are each comprised of several related concepts. The Experiential Learning construct (A) is based on the premise that Crucible Experiences (C) influence a leader to learn about their identity (D). This usually triggers a psychological transition that takes the leader on a psychological journey from the Experiential Learning construct (A) to the Leadership Capability construct (B). This journey consciously or unconsciously influences the development of the three Leadership concepts comprising the Leadership Capability...
construct (B). These concepts are Leadership Calling (E), Leadership Character (F), and Leadership Competence (G).

This thinking framework eventually led to this writer create a neologism called Surthrive to represent Northland leaders’ will to survive and thrive their Crucible influences in a physical (T), emotional (U), spiritual (V), or financial (W) capacity and the achievement of their vision through the process of reflection in Experiential Learning via Psychological Transitions.

Research hurdles

For the first two years of my DBA journey, the most significant hurdle was balancing the need to preserve a regular study routine with my hectic professional career, my marriage, and many community organisations I belonged to. This problem was solved for me when I was made redundant by my employer in an organisational restructure. Not long after this I decided not to work full-time for the rest of my DBA thesis journey, and focus on finishing my thesis instead.

Research issues

At the time of writing this chapter, I have just sent my second thesis draft to my Supervisor for his critique. The most significant issue I have faced so far is writing about my primary research results in a flowing, scholarly way that makes sense to other people. This issue stems from being intimately close to my research data for 12 months now, and at times I have found it is easy to assume that other people are as aware about what my data means, as I am. I have worked around this issue by first reconceptualising the structure of my Chapters, then creating Argument Mindmaps of what I want to say. This discipline has forced me to be clear about what and how I communicate, and made my work less convoluted.

Shifts in research involvement

As mentioned earlier, being made redundant from my employing organisation just before starting my Primary Research created a significant shift in my research involvement. This enabled me to devote at least 4 hours quality thinking time per day for six days a week. This has literally turbocharged my progression to the point where I am nearing submission of my thesis for external examination.

Relationships

I have formed worthwhile relationships with my Supervisor and other DBA students that have been valuable. For instance, during the past eighteen months I have had a positive relationship with my supervisor, which has helped me to focus on keeping the main thing the main thing and do my research in my own way. The two most valuable lessons I have learnt from my supervisor are to approach DBA research more like a ‘compass’ than a ‘clock’. By this, I mean that my research is led more by my intuition rather than adhering to timelines too rigidly. This insight has made my research more of a transformational than a transactional experience and made my DBA a significant mind changing experience.
Perhaps the most powerful lesson learnt has been giving myself time for ideas to ‘percolate’ and start writing only when ‘nature calls’. Learning to trust my intuition about how long I should take to percolate or reflect on my ideas has taken me a while to feel comfortable with. I wish I had discovered this approach while studying for my MBA.

I have formed good relationships with other students on the DBA programme, and have deeply valued the insights, learning and living issues they have shared with me during the annual Doctoral Symposia and Colloquia. The benefit of feeling that I am not alone in my journey has been like therapy at times. It has also been therapeutic relating to their learning issues and offering advice based on my own experiences, which has built trust between us.

**Reflection**

DBA research has changed my paradigm about the leadership and experiential learning disciplines. For instance, from a leadership perspective, I have developed an acute awareness of the importance of developing a ‘Servant-based Leadership’ style, where my primary focus is on developing a genuine concern for the people I am leading. Also, from an experiential learning perspective, I have discovered the power of reflecting on one’s life experiences and focusing on what these mean, to develop my leadership calling, character, and competence.

**Would I do this again?**

In a word, ‘absolutely’. However, next time I would pay more attention to narrowing my research interest into a more manageable scope at the outset of the research life cycle, instead of trying to research too broad an array of subject material. Overall, my DBA learning experience has been a deeply enriching learning experience and I regret not starting this earlier in my life.

**Supervisor’s Retrospective**

I cannot fault Steve for his enthusiasm as a candidate and throughout this period he has continually searched for the ‘holy grail’ of leadership. At times he has had a tortuous journey as he explored various options, at other times I thought he was going to abandon his quest because of the frustrations he was finding in the writing, and supervision aiming to get him to the level of scholarship needed. Much to his credit he did not give up but took the knocks and learnt from these.

About two years ago after a DBA Colloquium here at MIT he had an epiphany and suddenly the ‘light dawned’ his writing changed from his previous convoluted style to one that flowed and made sense. What he had done was discovered the art of letting the data flow and form the writing—he discovered that writing is a creative process and not one that can be driven by rigid timelines like a procedure from his background in project management. It was from this point that I saw the new Steve, he no longer had to back up everything in a figure or table or even rely on quantitative methodology. The day he truly believed that he was using a hermeneutic phenomenological approach was the day his thesis came to life.
This is a useful piece of work and looks at the impact of crucibles in leadership behaviour in a poor region of Aotearoa/ New Zealand. The thesis makes a useful contribution to the literature and is now in its final stages of writing. Yes that has changed Steve and he admits this. He now knows he can’t change the world in some bold stroke like his leadership heroes (Shakleton/Aldridge) for he is not in their situation. What this has done to Steve as a person is give him more confidence in his ability to analyse big issues and distil the very essence of construction into the simplest of terms. He has mastered the ability of being able to add to knowledge.

This has been a very interesting experience with a candidate who lives 200km away in rural city. Like his family I have lived through this experience both in its good and bad times I have discussed with him his issues of employment and redundancy and tried to offer counsel. I hope that my few lines of reflection indicate that not all theses go smoothly but the candidate and supervisor must bond into a team or the venture is doomed.

In this case Steve was a willing candidate who took some heavy blows but always came up looking at the bright things of life. In a nutshell to use his word he is a ‘surthriver’ and I enjoyed working with you Steve.

References


Researcher’s Profile

Steve Hinge is a freelance Business Consultant and a registered Mentor for Business Mentors New Zealand. He aspires to become a university lecturer in the Business Management knowledge areas and pursue further research after graduating with his DBA. Readers may communicate with Steve at his personal email address: stevehinge@xtra.co.nz
Chapter 7
Malaysian Private Education and New Zealand Business Education Providers
Anthony Raman and Peter Miller

Overview
New Zealand business education providers need to look towards international markets to increase participation. The chapter investigates the actual market perceptions held towards New Zealand business education providers by Malaysian private education and training organisations. Using a grounded theory approach, the aim of the research is to provide New Zealand business education providers with the strategies to enable them to develop marketing activities that takes into account these perceptions. Strategies that are tailor made to the marketplace will be developed and recommended to improve the competitiveness of New Zealand business education providers within the Malaysian marketplace.

Introduction
The study will contribute to improve the business relationships and to increase number of business relationships between New Zealand business education providers and Malaysian private education and training organisations within the marketplace in Malaysia. It will also aid in the pursuit of the international markets by the Malaysian organisations by providing a greater understanding of the actual market perceptions held towards New Zealand business education providers, and to enable them to develop marketing activities that takes into account these perceptions.

Through the study, the actual market perception of New Zealand business education providers in the marketplace will be identified on a first hand basis and New Zealand business education providers will then be able to improve their market perception by enhancing the positive perceptions and working towards addressing the negative perceptions identified by the study. This will directly improve and provide a better market positioning for them within the marketplace by ascertaining their possible current market positioning.
Strategies that are tailor made to the marketplace will be developed and recommended to improve the competitiveness of New Zealand business education providers within the Malaysian marketplace to exploit opportunities presented by the domestic Malaysian market and the transnational education market within the Malaysian marketplace.

**Literature Review**

‘No Man is an Island’ (John Dunne, 1624), thus we find the interlinking of economies stimulating increased dependency upon each other. According to Micklethwait and Wooldridge (2003), globalisation is the ever-freer movement of goods, services, ideas and people around the world. They stressed that globalisation is about culture and people, not just business and a process.

Sharma and Roy (1996) expressed the opinion that there is a general consensus that the only alternative is for business education to internationalise. A similar opinion is shared by Howe and Martin (1998) that increased globalisation of business had pressured university business schools in the UK, US and Australia to internationalise their postgraduate programs. They further expressed that there is a need to increase the customer base for management education due to the saturation and decline of traditional markets. Thomas (2007) when discussing the key forces driving management education included the impact of globalisation.

With a limited domestic market, New Zealand business education providers need to look at international markets. New Zealand business education providers should not be contented just with full fee paying students coming into New Zealand but focus on offshore opportunities and distance learning to contribute to their globalisation.

There is a great need to have a global mindset to succeed in this era of globalisation. Govindarajan & Gupta (2001) define this as ‘one that combines an openness towards and awareness of diversity across cultures and markets with a propensity and ability to synthesise across the diversity’. Thomas (2007) quoted McCann (2006) when saying ‘global competence is core competence; knowing how to confidently and competently work across cultures is essential in a global economy’.

New Zealand business education providers need to have such a global mindset to ensure their success in this era of globalisation and work across cultures to remain competitive and ride the growth brought about by globalisation. Thomas (2007) further stressed that amongst the general issues and challenges that may be faced by business schools in the future, building international perspectives is one of the issues and understanding cultural differences is one of the challenges.

Cultural clash will continue to affect all aspects of international business as greater numbers of people are conducting business across national and cultural barriers (Elashmawi, 1998). Malaysia and New Zealand differ in many ways in terms of culture. Furthermore, every business has its own culture and this relates to organisational culture that influence the way they work. Every country in the world has its own culture that is reflected by way people act, their beliefs, how they
communicate and systems and structures in that country that determines how its people live and behave (Filho, 2007).

According to Aviel (1990) the major part of cultural components such as beliefs, attitudes, standard and perceptions are less visible and much harder to detect and deal with values, assumptions and perceptions. Such manifestations may not be aligned with those of another country especially in terms of doing business and the gap between two different cultures needs to be reduced or bridged.

New Zealand business education providers need to identify how they are seen in the overseas country market places as to enable them to develop strategies that are aligned with the market place situations and work towards business like relationships with their overseas marketplaces. They will need to manage their activities with the fact that they are competing in a service economy that is globalised.

Sheth (2006) quoted in Lee (1996) states that it is increasingly necessary to avoid self reference criterion (SRC) whereby one’s upbringing, values and viewpoints give an individual what is called cultural myopia. Finding out what others perceive of one’s business culture will help identify any areas of gaps between two business cultures and lessen or dispel cultural myopia, assisting to avoid cultural clashes. According to Frey-Ridway (1997), increasing business conducted across national and cultural boundaries will be subjected to a greater degree of cultural clash with respect to all aspects of international business. It is vital to know of what others in the target marketplace perceive of New Zealand tertiary education institutions as it involves people who need to be understood and also how they understand us. To understand people, there is a need to have an understanding of their background that has provided them a certain culture, that enables their present and future behaviour to be predicted (Hofstede, 1994).

According to Hofstede (1994), the word ‘culture’ is used here in the sense of the ‘collective programming of the mind which distinguishes the members of one category of people from another’. According to him the ‘category of people’ can be a nation, region or ethnic group (national culture), a type of business, or even a family amongst others and how people identify themselves and perceive others is coloured by culture (Frey-Ridway, 1997). Thus, the business culture of New Zealand management education providers will be a collective programming of the minds of those in them and how they undertake to do business and in this case, within the Malaysian marketplace.

Education and training are part of services marketing and this requires it to be a main area of literature. As, Hemsley-Brown and Sheva (2006) stated quoting (Nicholls et al, 1995) that higher education was a service and not a product, and the marketing of services was sufficiently different from the marketing of products to justify different approaches. They quoted Mazzarol (1998) and stated that the key characteristics that provided a basis for services marketing is the nature of the service, ie that education is ‘people based’, and the importance of relationship with the customers is emphasised. The Malaysian marketplace represents customers whose relationships are important for New Zealand business education providers.
A simple definition of perception is ‘A process through we make sense of the world’ (Runyon, 1997). Adrian and O’Neill (2003) quoted Van der Wagen (1994) who said ‘individual customers have many different perceptions that are influenced by their education, upbringing, experience and many other factors’. They further stated that how a customer feels about a particular product/service offering is impacted by prior experience and knowledge that feeds their expectations of the particular exchange process. They quoted Oliver (1980), in stating that expectations influence in that customers often end up seeing what they expect to see. This prior experience and knowledge can be useful to be studied in order to improve further experiences and develop their knowledge specific to New Zealand tertiary education institutions.

The proposed research will seek to identify what perceptions the Malaysian private education and training market has based on their experiences and many other factors with New Zealand business education providers. This will enable us to address the various factors that will be identified through the research especially the cultural aspects (upbringing) of the subject. We will be able to discover how and why New Zealand tertiary education institutions are perceived. This prior experience and knowledge can be useful to be studied in order to improve further experiences and develop their knowledge specific to New Zealand tertiary education institutions.

One of the primary goals of service marketers such as New Zealand tertiary education institutions is to maximise consumers’ perceptions of the service encounter and the firm-consumer relationship (Hamer, 2006). According to Holmlund and Strandvik (1999), customer perceptions traditionally in terms of perceived service quality, satisfaction and value played an important role in services management. However, in a business setting, it is more appropriate to study the buyer’s and seller’s perceptions. Identifying the perception held by the Malaysian marketplace will enable New Zealand business education providers to work towards managing the perceptions.

There are over 160 definitions of culture alone as documented by Kroeber (1985) said Kanungo (2006) when he pointed out that the characteristics of culture are identical in almost all the instances. According to him, culture is based on languages, economy, religion, policies, social institutions, class, values, status, attitudes, manners, customs, material items, aesthetics and educations that subsequently influence managerial values and these managerial values reflected to business practice via culture. Cultural influences lead to differences in management styles and organisational behaviour (Frey-Ridway, 1997). Both New Zealand and Malaysian cultures lead to differing managerial values and differing business practices.

He added that Bonthos (1994) found that the primary reason for business failures is the inadequate information regarding the business environment and lack of understanding of foreign cultures. He suggests people in different cultures respond in different ways, and they have different value systems, which makes for difference in business practices. He states that culture-to-business is the key component of
management practices in the changing global scenario. New Zealand business education providers will need to identify, understand and take into account the differences in the business practices within the Malaysian private education and training market in order to avoid cultural clashes and business failures.

New Zealand business education providers in dealing with the Malaysian marketplace need to ensure that their expectations are in line with the marketplace and that they can work alongside the expectations of the marketplace taking into account the cultural differences. There is the need to learn the cultural differences especially in the context of business. According to Zakaria (2000), cultural differences exist both at home and abroad. But, in most cases, problems are created by international interaction due to the separation of people by barriers such as time, language, geography, food and climate. She added that peoples’ values, beliefs, perceptions, and background can also be quite different giving the example that in business scenarios there may be differences in the expectations for success or failure.

Business culture can be described as the way business is conducted, practiced and managed by an organisation, an industry or by a country that is influenced by cultural factors. According to Elashmawi (1998), people’s sense of identity and their perceptions of others are coloured by culture, while cultural influences contributes to differences in management styles and organisational behaviour. Business culture is influenced by the organisational culture of the organisation conducting the business and especially when business is done across cultures and geographical boundaries, it is subjected to cultural differences and clashes.

Proposed Methodology

The approach that will be used is the grounded theory approach. Both primary and secondary research will be used. The methodologies being proposed are in depth interviews, focus groups and surveys. They will enable the attitudes and feelings of the target audience identified in a close manner and qualitative research will enable the richness of data to be obtained.

Questionnaire Surveys are a popular method to collect data and is cheaper, less time consuming than interviews while large samples can be taken if needed (Collis & Hussey, 2003). The questionnaire survey is chosen to enable a wider population to be studied in terms of geographical dispersion at lower costs while making room for issues and situations when the respondents want some form of anonymity and answering areas they consider sensitive. Furthermore, the population of the respondents is literate and knowledgeable to answer the questionnaire.

Interviewing will be done with a selected number of respondents with the intention of exploring subjective meanings and getting the interpretation of particular issues. Subjective areas and questions can be asked during the interview that will provide rich data. According to Easterby, Thorpe and Lowe (1999), interviews will enable questions that require a great deal of thought to be asked with the responses explored and clarified. As they further stated, interviews can give extra confidence
to the replies that are not available through questionnaires, while providing the opportunity to study the non verbal clues.

A focus group will be undertaken with the membership consisting almost a dozen individuals from the relevant organisations. This will provide the opportunity to exploit the ideas of some of the Malaysian persons in the Malaysian private education industry. It is a form of group interview that capitalises on communication between research participants in order to generate data (Kitzinger, 1995). Here the dissemination of the findings from the questionnaire survey will also be done and feedback about the research findings will be discussed amongst them. According to Collis and Hussey (2003), focus groups can gather data from a group of people within a common situation with regards to their feelings and opinions. This enables the perception that they have of New Zealand tertiary education institutions to be understood greater through the focus groups. Collis and Hussey (2003) further stated that focus groups combine both interviewing and observation. As such, to some extent, this combination may be used.

Triangulation is achieved through the use of the data collection methods of surveys, interviews and focus group. In addition, triangulation is also achieved through the use of both quantitative and qualitative methods of data collection. This justifies the issues of rigor, validity and reliability. Collis and Hussey (2003) quoted Denzin (1970, p297) when defining triangulation as ‘the combination of methodologies in the study of the same phenomenon’ and argued that if the same conclusions are obtained by researchers studying the same phenomenon through the use of different methods, it leads to greater validity and reliability than a single methodological approach. This research employs two of the four types of triangulation that was identified by Easterby-Smith, Thorpe and Lowe (1991) and they are data triangulation and methodological triangulation.

**Limitations**

Focus will be on the perceptions held by the Malaysian private education and training industry marketplace towards New Zealand tertiary education institutions with specific reference to the areas of business culture and practices.

For the purpose of this study, the Malaysian education and training marketplace will have the following parameters:

- Private higher education and training institutions offering business education related programs for the needs of the Malaysian market and the transnational education market
- Management, Academics, Trainers, International and Malaysian students within these institutions involved with business education related programs.
- Educational Consultants and Student Recruitment Consultants recruiting international students into Malaysia those recruiting students to study at overseas tertiary education institutions in countries such as Australia, New Zealand and UK.
• Malaysian and International Students of the private higher education institutions studying in business education related programs. This will be regardless of the country of origin of their programs, ie Malaysian, Australian, New Zealand and UK.

For the purpose of this study, the New Zealand business education providers will comprise of Private Training Establishments (PTE’s), Institute of Technologies & Polytechnics, The Open Polytechnic of New Zealand, Universities and the professional bodies such as the New Zealand Institute of Management and the New Zealand Institute of Chartered Accountants.

**The Possible Impact of the Research**

The research has the potential to inform government agencies how New Zealand business education providers are perceived in the private education industry of Malaysia. This will enable them to come up with strategies and initiatives to manage and improve the perceptions identified by the research. They will be able to take into account the findings when developing positioning strategies for New Zealand education providers within Malaysia and South East Asia in general.

Steps can be undertaken to implement strategies to manage areas of conflicts in terms of business culture identified by the research and incorporate them into any training programmes developed and conducted for staff of education providers.

The study will enable a greater alignment of the business culture of New Zealand business education providers towards those of the Malaysian private education and training organisations and the Malaysian marketplace. Possible cultural barriers can be identified and any existing cultural clashes can be managed to ensure that opportunities are not lost.

The study will also enable New Zealand business education providers to have a better understanding of their marketplace and develop a marketing approach as it will provide the required information to enable them to tailor make their offerings to suit market demands.

**Researcher’s Retrospective**

**Genesis of research**

The last few years has seen me being involved in various job situations and projects whereby despite much work being put into setting up business dealings of one kind or the other be it in education or commercial ventures involving New Zealand organisations and others especially Malaysian organisations.

In most cases, for one reason or the other, things falter at the last stage or activities to the end. There seems to be either conflicts or some form of perceived disagreements. The differences in business culture is evident to me and at times bridging these differences puts me in compromising positions with either party.
This great sense of frustration set me out to focus on this problem that I had been facing for some years now as my doctoral research project. It will provide me a possible solution to a problem that is practitioner related. I have also felt that in most cases that things could have been more positive if there was meeting of minds and a greater degree of alignment between the Malaysian and New Zealand business cultures. There was not much research done in this area.

I have seen many projects and potential relationship not seeing the light of the day due to the clashes between Malaysian and New Zealand business cultures. This is also with the various business projects that I have been on a consultancy basis. There have numerous conversations and experiences I have had with others in Malaysia, where they tell me that things run out steam after a while without bearing much fruit.

Bridging gaps between two cultures isn’t easy, even more when there is lack of meeting of minds at times with both parties. Experience in this area tells, me that there is a need to know how people see you in order to understand them better. How you see own organisation is not as important as how your marketplace sees you, as at the end of the day, they are your customers. Only then, you will know how to react to the market.

Clashes between perceptions happen and it is worse not knowing when they happen.

**Hurdles**

My initial topic revolved around finding out the impact of the business cultures of Malaysian and New Zealand organisations on each other and that they have a negative impact on the relationships. This was still at the infancy stage but was reasonably received by those I spoke with. But, then it appears controversial and being in New Zealand, it would mean finding things that may be viewed sensitive and perhaps with little political correctness.

My experiences indicate that most New Zealand organisations are insular with their ways while the Malaysian organisations are at times overzealous with matters and tend to be aggressive as perceived by the New Zealand organisations. This view was supported by most Malaysian businesses and associates who have experienced this situation firsthand.

When I presented during my first symposium in Auckland as a new student, it was well received but I was advised to narrow it down further. I also learnt that there is a need to focus my area of enquiry. I took up the suggestion of focusing on the education sector within the same area of research, since my background is strong in this sector and involves both the Malaysian and New Zealand markets. At the same, it involves finding out the perceptions towards New Zealand business culture amongst Malaysian businesses or organisations.

However, I went to continuing on the area of finding out about the perception towards New Zealand businesses in terms of their business culture by Malaysian businesses and their impact on the competitiveness of New Zealand businesses. Then, as I worked on the area with my supervisor, I found myself going nowhere...
really and realised that it would be difficult to undertake the project and it was just
too large of an area. I also had the situation of the area being sensitive or be viewed
controversial by some people.

What really comforted me was when I started to find out that there were ‘rumblings’
by businesses and even government to some extent about the competitiveness
of New Zealand businesses and the need to know the international markets
better. This convinced me further that I am doing something vital for practice
and business. Then, the government commissioned research on identifying the
perceptions towards New Zealand business people in the target country markets of
New Zealand and the results that were obtained provided me the encouragement
and immediately lifted away the feelings of some fear on my part with my research
area. The government itself had said directly that it is important how New Zealand
business people are perceived and the results do validate my own experiences.

Then before my first symposium last year where I had to present my research area,
I decided to narrow down my research topic to identifying the perception within
the Malaysian education and training markets towards New Zealand education
institutions. However, it did surprise my supervisor to some extent but I explained
to him the reasons for it. It was received reasonably well but the feedback stressed
that I would need to narrow down further and can only be able to focus on certain
research objectives for this DBA research project.

After having spent several weeks, I then realised that that the journey seems going
in circles to some extent. Discussions with those in the industry when I was in
Malaysia on two—three visits, made me realise that in the practical sense of data
collection, there are difficulties. There are also limitations of resources and the need
to work within a set time frame. However, I also realised that it is a process that I
had gone through in fine tuning my research. Then, finally, I seem to have narrowed
it down. The topic is now narrowed down to identifying the primary perceptions
towards New Zealand business education providers within the Malaysian private
education industry. This was also supported by my supervisor and I found that the
work is now more focused.

Having been involved in education and training in various capacities from academic
to managerial in areas related to management and marketing education, provided me
an insight into the workings of the international students market. This was in both
Malaysia and New Zealand with my primary work activity the last few years being
the marketing of New Zealand educational programs. The marketing of business
education from New Zealand within Malaysia, provided me various challenges with
one being business culture that differs between New Zealand and Malaysia.

Identifying how New Zealand business education providers are seen, will enable
any positive perceptions used as an advantage while those that are negative in nature
need to be managed and strategies put into place to adapt them. There is a need for
business education providers to undertake such research that will provide them an
insight. It would be best if both sides take time to know how they are seen by the
others. Thus, having a greater insight and working towards a bridge.
The topic is now closest to my main activity, business education. I worked towards narrowing my research and just to focus to New Zealand business Education providers. The journey to reach this took longer than I expected but it was getting focused and clarity was beginning.

It was important that that I chose should be manageable in terms of various aspects, especially with data collection. Without which, it is futile.

I had lots of frustration especially with my job situation that is contractual and frequent travelling to overseas market places. Challenges after challenges in many fronts came my way, and I must say on several occasions, I just felt like throwing in the towel or just postponing studies. Just reminds me of a boxer in the ring with an awesome opponent and being floored round after round. Well, I managed to get up thus far!

Motivation is hard and I depended much for this from my wife, friends who are pursuing their doctoral studies and the fact that life will be better off with a Doctoral qualifications. What more having work being split mainly between two faraway countries didn’t help much. But, then I realised that it provides me with a hands-on perspective and is vital for my research project. My supervisor had always been patient with me and at times, was the beacon in the rough seas that I was sailing.

Relationships

My relationship with my supervisor was formal in the beginning and I would say, there was some fear in me too. Especially, when I found it challenging in coming out with work. But, things went on, and as time went along, things became warmer. At times, I wonder, whether it is more painful for me or my supervisor. With time, I realised that I need to accept my supervisor as a fellow researcher and as a guide for my long journey. It is a lonely journey, Then again, does one choose to see it as such, is another matter. Regular two way communications is vital

Reflection

There is a long journey still and I hope that the relationship becomes closer and eventuates towards collaborative work in the future. Perhaps, a few publications will be excellent.

Now, with all that has happened, do I want to do this all over again or undertake another project? To be honest, I wish that I had done this much earlier. It is hard but every round I pass in the ‘ring’, the tougher I become and greater satisfaction and pride I feel. But, at times, I occasionally have this question at the back of my mind: do I need this Doctorate after all? The answer as I realise month after month is that Yes. It actually goes towards as building blocks of a better person in the coming future.
Supervisor’s Retrospective

I acknowledge that this candidate’s local supervisor is Dr Christopher Theunissen who was not able to contribute to this part of the chapter.

Relationships

As the former Director of the DBA program, one of my roles was to approve all applications for admission into the program. It was at this stage that I noticed and took some personal interest in the research project proposed by Anthony Raman. I have some history and fondness for Malaysia since my wife and I had a Malaysian girl live with us for a year during an exchange program. We have visited Malaysia on many occasions since and stay in close contact with our host daughter. I recall conversations with our host daughter about her perceptions of both Australian and New Zealand as she subsequently chose her educational options for bachelor level studies. Anthony’s proposed project investigating Malaysian education and training perceptions of New Zealand tertiary education providers therefore caught my immediate attention.

As I also attend the six monthly doctoral symposia conducted in New Zealand for Doctor of Business Administration (DBA) candidates, I was able to keep an eye on Anthony’s progress as he began the process to focus the research topic and area into something that was researchable and rigorous.

Reflection

To be the principal or ‘pod’ supervisor for the New Zealand based candidates is a privilege and it enables me to stay in contact with the candidates and their supervisors.

I recall Anthony’s research in progress presentations at the first doctoral symposia. The aims of research in progress presentations are to:

• Inform other researchers and academic staff of the status and direction of the candidate’s proposed/current research project,
• Provide candidates with the opportunity to put forward ideas and to receive critical feedback on their planned or current research project,
• Give candidates an opportunity to reflect on their research by having to prepare a presentation to their peers.

Like most new candidates, Anthony was struggling to focus his research interest into a project that was capable of being investigated in a rigorous way. This period of focusing occurs simultaneously with training in research design and methods. I consider the ability to focus the research to be one of the most difficult tasks for new candidates. When candidates are passionate about their areas of interest, sometimes they find it difficult to reduce the research into a sufficiently focused set of research questions that are doable, as they wish to find out more about the topic than a focused doctoral research project allows.
However, Anthony was able to focus the project to the perceptions of the Malaysian private educations industry, and now, having reviewed the literature is in a position to design a research project to pursue the questions raised. I have also noticed how his proposed research design and methodology has also focused from that of an original ‘mixed method’ design to something much more specific and including the use of grounded theory as the overall research design with focus groups, interviews and surveys as the data collection methods.

This research will have important and significant implications for New Zealand’s future marketing positioning given the county’s reliance on education as an industry and the competitiveness of that industry globally.

I am very satisfied with the outcomes of the research so far and the way forward.

**Author’s Profile**

**Anthony Raman-Naikan** works as a South East Asia Projects Consultant for WINTEC -Waikato Institute of Technology in Hamilton, New Zealand. He manages their South East Asian market portfolio. He has held numerous positions in both academic and managerial in educational institutions in both Malaysia and New Zealand. He is well experienced in working with the international students market.

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Overview

Capacity building in nonprofit organisations (NPOs) in the development aid sector is critical to the success of aid organisations. There is a current gap in the literature around understanding the relationship between capacity building methods of NPOs and the methods used by private sector organisations. If the gap can be closed, it will enable the diffusion of private sector organisational capability building practices to NPOs. Utilising an inductive approach to building explanation and theory, the aim of the research is to build meso level theory regarding the diffusion of private sector organisational capability building practices to NPOs in the development aid sector, using Indonesia as the country of study. Learnings between the two sectors are examined and implications for inter-sector experience and enhancements are investigated.

Introduction

There are three purposes to this study. First, to understand the methods and characteristics of capacity building in nonprofit organisations (NPOs) in the development aid sector in Indonesia and to understand the relationship between these methods and those used by private sector organisations in the contrasting developed world specifically focusing on New Zealand. Second, to understand how this information can be applied to an NPO in a way that will optimise the effectiveness of capacity building. Third, to build meso level theory regarding the diffusion of private sector organisational capability building practices to NPOs in the development aid sector; learnings between the two sectors and implications for inter-sector experience and enhancements; and effective methods of building capacity in NPOs.
Literature Review


The literature review provided a range of definitions and approaches to capacity building. Little information was available on the nature of capacity building in NPOs in the development aid sector and the question of transferability of techniques from the private sector to the development aid sector was significantly absent. While the term ‘capacity building’ was more widely used in NPOs and ‘capability building’ more common in private sector businesses, there were gaps in the literature as to their definitions. Meanwhile other issues remain unresolved in the literature. The difference, if any, between organisational capacity building and capability building, the diffusion of capacity building techniques between private sector business organisations and nonprofit organisations in the development aid sector and the specifics of capacity building in Indonesia were areas in which the literature was silent.

In order to provide a wider picture, in addition to the literature review, a practitioner investigation, ie a review in which the researcher served as the practitioner, was conducted with the objective of assessing the parent discipline, organisational capacity building, from a practitioner’s perspective. As an outcome of the literature review and the practitioner investigation a set of research questions were developed, which were:

1. What are the characteristics and methods of organisational capacity building in nonprofit organisations in the development aid sector in Indonesia?
2. What are the conditions (enablers and constraints) influencing the selection, application and perceived success of these methods?
3. What key methods are observed in the private sector in NZ for building organisational capability?
4. What are the similarities and differences in both methods and conditions between building organisational capacity in nonprofit organisations in the development aid sector, and building organisational capability in the private sector in New Zealand?
5. In leveraging this knowledge in what way can the effectiveness of capacity building practices of a nonprofit organisation in the development aid sector in Indonesia be optimised?

6. Are capability building practices adopted in private sector businesses applicable to nonprofit organisations in the development aid sector?

The literature review and practitioner investigation also shaped the development of the initial research propositions. There were many gaps in the literature relating to this research topic. Additionally it was the researcher’s view that a ‘practitioner investigation’ is knowledge of a practical nature and is not academic theoretical knowledge. For these reasons, in reviewing the literature and practitioner investigation, the researcher developed a set of propositions that were conceptual in nature and which are provided in Table 8.1 below:

**Table 8.1: Initial Conceptual Propositions**

<table>
<thead>
<tr>
<th>Name</th>
<th>Conceptual Proposition (CP)</th>
</tr>
</thead>
<tbody>
<tr>
<td>CP 1: Types of capacity building</td>
<td>The types of capacity building activities that take place in each of the case study organisations in the development aid sector will be influenced by the nature of the organisation, its size, maturity and stage in organisational growth, the organisation’s leadership and the external environmental influencers.</td>
</tr>
<tr>
<td>CP 2: Focus on organisational capacity</td>
<td>The focus on organisational capacity building in NPOs in the development aid sector is likely to be unstructured, not done as a matter of course and is likely to be a secondary focus due to:</td>
</tr>
<tr>
<td></td>
<td>• funds being provided for the delivery of projects and programs; and</td>
</tr>
<tr>
<td></td>
<td>• the organisation’s core and predominant focus being on delivery of programs and achieving program outcomes in challenging external environments.</td>
</tr>
<tr>
<td>CP 3: Private sector practices</td>
<td>In private sector businesses, capability building is developing the people capability (what they do and how they do it) and the development of organisational core competencies, in order to enable the organisation to achieve its goals.</td>
</tr>
<tr>
<td>CP 4: Private sector components of capability building</td>
<td>The components of organisational capability in private sector businesses are the vision and values, internal systems and processes, staff skills and efforts, structure, shared mindset, leadership at all levels, management practice, capacity for change and cultural influencers.</td>
</tr>
<tr>
<td>CP 5: Development aid sector practices</td>
<td>In NPOs in the development aid sector, capacity building is developing the people capability (what they do and how they do it), the program capability (design, implementation, evaluation and improving) and the fundraising capability, in order to enable the organisation achieve its mission.</td>
</tr>
<tr>
<td>CP 6: Development aid sector components of capacity building</td>
<td>The components of organisational capacity in NPOs in the development aid sector are the vision and values, internal systems and processes, staff skills and efforts, structure, shared mindset, leadership at all levels, management practice, capacity for change and cultural influencers.</td>
</tr>
<tr>
<td>Name</td>
<td>Conceptual Proposition (CP)</td>
</tr>
<tr>
<td>------</td>
<td>-----------------------------</td>
</tr>
<tr>
<td>CP 7: Inter-sector differences</td>
<td>While the term 'capacity building' is used in NPOs and 'capability building' is more common in private sector businesses the two are very similar. A key difference between organisational capacity building in NPOs in the development aid sector and organisational capability building in private sector businesses is that in nonprofit organisations it is targeted at improving program delivery, whereas in private sector businesses it is to strengthen core competencies and achieve strategic goals.</td>
</tr>
<tr>
<td>CP 8: Inter-sector definition</td>
<td>An inter-sector definition of capacity building (capability building) is accumulating and strengthening the ability, resources and processes of an organisation to perform and achieve its goals effectively and efficiently. It is the development of the resources and processes that enable the organisation and individuals to perform to a higher level and enable the achievement of organisational goals.</td>
</tr>
<tr>
<td>CP 9: Inter-sector applicability</td>
<td>The types of capability building practices adopted in private sector businesses are also applicable to the needs of nonprofit organisations in the development aid sector.</td>
</tr>
<tr>
<td>CP 10: Effective diffusion of best practices</td>
<td>Best practice capability building activities in the private sector can be implemented and can be effective in the development aid sector.</td>
</tr>
</tbody>
</table>

**Methodology**

The research methodology was designed to explain if, and in what way, capacity building practices utilised effectively in private sector businesses, are adopted in NPOs in the development aid sector. It also sought to establish why the practices may or may not be appropriate and effective. Furthermore the research was designed to build theory relating to the diffusion of capacity building practices. Consequently the study was explanatory research, described by Neuman as ‘Research in which the primary purpose is to explain why events occur and to build, elaborate, or test theory’ (2006, p35). An investigation of design options led to the selection of the qualitative paradigm as the primary mode of inquiry for this study with an inductive approach to building explanation and theory.

At a high level the approach taken was to research five Indonesian NPOs as case study organisations (Case NPOs) in order to describe and interpret capacity building in the five nonprofit organisations. A private sector study was also conducted that comprised focus groups of practitioners and consultants in private sector businesses in New Zealand. A grounded theory approach was adopted to distil the case study findings and to identify the differences and similarities between sectors. Analysis of the data enabled formulation of new inductive meso level, interpretative theory. The research was designed as a five phase approach, with data collection in the initial three phases followed by analysis that led to the formulation of new theory. Specifically the phases were:

- Phase 1—the development of conceptual research propositions
- Phase 2—the private sector data collection (an investigation into capacity building practices adopted in private sector businesses, the purpose of which was
to test, verify and build upon the relevant conceptual propositions developed in Phase 1 and to enable the identification of similarities and differences between capacity building in private sector businesses and in NPOs in the development aid sector

- Phase 3—the development aid sector stream (research of the Case NPOs to describe, understand and explain the characteristics and methods of capacity building in the Case NPOs)
- Phase 4—the analysis of the data using a modified grounded theory approach; the general analytic strategy adopted was one of ‘relying on propositions’ (Yin 2003) and explanation and theory building techniques were employed
- Phase 5—the formulation of new theory.

Findings

Phase 4 and 5 enabled the development of definitions of capacity and capability building, the building of explanations to the research questions, the refinement of the initial conceptual propositions and the building of interpretative theory. The summary conclusions relating to the development and iterative refinement of the conceptual propositions (CPs) are:

Types of Capacity Building (addressing CP 1)

The types of capacity building activities that take place in the Case NPOs are influenced by either all or some of the following factors:

- focus and the work of the organisation
- organisation size
- organisation maturity
- stage in organisational growth
- organisational leadership
- changes occurring in the organisation
- external environmental influencers
- presentation of capacity building resource/opportunity
- employee culture.

Focus on Organisational Capacity (addressing CP 2)

The focus on organisational capacity building in three of the five Case NPOs was found to be unstructured and not implemented as a matter of course. Factors that contributed to this included:

- lack of strategic planning and link with strategic organisational capacity building processes
- lack of HR processes supporting capacity building
• lack of capacity building planning resources and knowledge
• lack of leadership supporting and championing capacity building practices.

In these Case NPOs organisational capacity building was a secondary focus. Factors that contributed to this included:
• funds being earmarked specifically for the delivery of project and program outputs
• the organisation’s core and predominant focus being on delivery of programmes and achieving program outcomes in challenging external environments
• prioritisation of available funds
• leadership not directing the organisation in this direction.

In two of the Case NPOs all of the following factors were present and as a result the Case NPOs were able to engage in structured capacity building:
• desire for organisational development in the Case NPO
• organisational needs had been identified
• the leaders had an understanding of and/or interest in capacity building
• the NPO had access to experienced capacity building skills, either internally or externally.

None of the Case NPOs researched had developed a strategic capacity building plan.

Private Sector Practices (addressing CP 3)
In private sector businesses ‘capability building’ is the acquisition and development of the organisation’s resources in order to strengthen the organisational core competencies and enable the accomplishment of strategic goals.

Development Aid Sector Practices (addressing CP 5)
In the Case NPOs it was accepted that ‘capacity building’ includes developing, in a manner that will enable the organisation to better achieve its mission, the following:
• people alignment (vision and values)
• people capability (what they do and how they do it)
• program capability (design, implementation, evaluation and improvement)
• systems and processes capability
• fundraising capability
• organisational branding and reputation.
Components of Capacity and Capability Building (addressing CP 4 & CP 6)

The organisational ‘components’ to which capacity and capability refer are, in both sectors:

- the vision and values
- internal systems and processes
- staff skills and efforts
- structure
- shared mindset
- leadership at all levels
- management practice
- capacity for change
- cultural influencers.

Additionally, in the Case NPOs ‘stakeholder communication’ was also identified as a component of capacity building.

Inter-sector Differences (addressing CP 7)

Several key conclusions relating to this proposition were drawn from integrating the Case NPOs data and data from the private sector.

Four levels, or strata, of capacity building were found, these being:

1. Strategic resource planning
2. Resource acquisition planning
3. Resource acquisition

‘Capacity building’ is a larger domain than ‘capability building’ and encompasses levels 1–4. In the private sector, levels 3 and 4 are however specifically referred to as ‘capability building’, whereas in the Case NPOs all four levels are referred to as ‘capacity building’.

Capacity building activities in the Case NPOs are predominantly focused on activities that fall into level 4, ie resource, process and culture development. As stated above, in the private sector these activities are referred to as ‘capability building’.

The last inter-sector difference identified is that capacity building activities in the Case NPOs are predominantly focused on developing existing resources in order to improve program outcomes and effectiveness and efficiency. However in private sector businesses in New Zealand the same aspects of capacity building (which are called capability building) are focused on developing resources to improve organisational core competencies and effectiveness and efficiency to achieve strategic goals.
Inter-sector Definition (addressing CP 8)

In synthesising definitions adopted in the Case NPOs researched and definitions derived from the study of private sector businesses in New Zealand, a definition of ‘capacity building’ that fits both the Case NPOs and the private sector businesses in New Zealand has been developed.

Capacity building is planning, acquiring and strengthening the resources and ability of an organisation to perform and achieve identified strategic goals. It is the identification, acquisition and development of resources, processes and culture in a manner that will enable individuals and the organisation to perform to a higher level and to meet objectives and achieve goals effectively and efficiently.

Inter-sector Applicability (addressing CP 9)

The types of capacity building and capability building practices adopted in private sector businesses in New Zealand are applicable to the needs of the Case NPOs researched. In practice, activities relating to resources development are, in particular, focused upon.

Effective Diffusion of Best Practice (addressing CP 10)

Private sector best practice capacity building in NZ can be implemented in the Case NPOs researched in the development aid sector. To be effective the activities need to be implemented in a manner that is appropriate to the organisational culture of the Case NPO, funds available and environmental influencers. The implementation approach will be further influenced by leadership, the degree of urgency for the capacity building activity and the level of knowledge and expertise of capacity building within the Case NPO.

In addition to the conclusions above, interpretative theory was built through an iterative process of analysis relating to capacity building in nonprofit organisations in the development aid sector and private sector businesses in the developed world. Ten principles were developed from this process, which are useful to nonprofit organisations, private sector businesses and anyone with an interest in capacity and capability building. These principles are:

- Principle of influence
- Principle of planning for capacity building
- Principle of structure in capacity building
- Principle of leadership
- Principle of scope
- Principle of shared meanings
- Principle of capacity building strata
- Principle of capacity building components in both sectors
• Principle of inter-sector definition of capacity building
• Principle of diffusion.

Consequently, the study had two distinct focuses. On the one hand it was focused on developing explanations about capacity building practices in NPOs in the development aid sector in Indonesia, the scope of which involved NPOs of a local, national and international nature, all having a different core purpose, namely education; self sustainability and community empowerment; development of sustainable jobs; community health and development; and capacity building through volunteering. On the other hand, the study was also focused on investigating the diffusion of capacity building practices from western private sector businesses, using New Zealand as an example, to NPOs in the development aid sector, with a view to building theory around the applicability of capacity building sectors between sectors.

Limitations

Several limitations relating to methodology were identified. As with all research involving grounded theory, there is rarely a natural end point to the research. It was necessary for the researcher to exercise professional judgment to recognise the point of saturation. This was influenced by the researcher’s experience in organisational development and understanding of capacity building practices. Researchers without similar organisational experience could potentially face problems in recognising the point of saturation when undertaking a similar study. Additionally, the case study methodology uses multiple sources of evidence in the NPOs in the development aid sector stream. This implies that a researcher needs to have knowledge of how to carry out the full variety of data collection techniques (Yin, 2003, p100), which is more time consuming (for both the researcher and the Case NPOs) than if the data were collected from a single source (Denzin, 1978, p61). Furthermore, Yin describes the explanation building process used in this study as potentially ‘fraught with dangers’ as a significant amount of ‘analytical insight is demanded of the explanation builder’ and the researcher may easily ‘drift away from the original topic of interest’ (Yin, 2003, p122).

The research identified a number of areas for possible future research. These include:

• positivist survey research to generalise the findings
• research to prove the theories developed
• research investigating the implementation methods in different sectors
• research investigating the place of personal values in nonprofit organisations versus private sector businesses
• research determining the success of recruitment in nonprofit organisations in the development aid sector
• research investigating the impact of formal training interventions versus on-the-job coaching.
This research is important for three reasons. First, documentation of the way organisational capacity is built in NPOs in the development aid sector is informative for others. Secondly, an understanding of effective methods to build capacity can assist NPOs to develop and meet objectives more effectively and efficiently, the benefits of which will be realised by all stake-holders, particularly the organisation and its employees, the benefactors and the donors. Thirdly, this research identified learnings between sectors which, together with the development of meso level theory about the diffusion of organisational capacity building practices, can provide an opportunity for sector enhancements, inter-sector experience and inter-sector collaboration.

**Researcher’s Retrospective**

As an organisational development specialist the researcher has experience in the private and public sectors and a passion for organisational development and capacity building. Having lived and worked in Indonesia prior to the research she has empathy to less privileged communities and a deep admiration and respect for the work of NPOs in the development aid sector. The study was inspired by the fact that organisations frequently refer to building capability and capacity and that questions and doubts have, in the past, been expressed as to the relevance and transferability of private sector capacity building practices and experience to the development aid sector. Some people have suggested that the nature and challenges of the development aid sector are unique with the consequence that private sector practices are not applicable, appropriate or transferable to it.

Throughout the research journey both the topic and the methodology were refined. The initial high level topic ‘Building institutional capability in the NPO Development Aid sector’ gradually evolved into the more specific title of Capacity building in nonprofit organisations in the development aid sector: explanatory research of capacity building in Indonesia in 2008 and an investigation into the diffusion of capacity building techniques between sectors.

The choice of methodology also evolved. Initially the potential to engage in action research was explored, with the concept of working with a nonprofit organisation for two or three periods of several months duration and implementing private sector capacity building practices in that organisation. However it was necessary to consider the potential difficulties in carrying out action research in an organisation in which the researcher was not an employee. There would have been little opportunity to assert influence over the research and the outcomes would have been dependent on the leaders and the commitment and support from the organisation. Consideration was given to whether a focus on one organisation, in which the researcher had no formal role and ability to influence, was conducive to managing and completing the research. Consequently the decision was made to amend the methodology to a more appropriate method and, drawing upon knowledge of research methods acquired from Southern Cross University, case study research was adopted. Due to personal circumstances the researcher subsequently had the
opportunity to live in Indonesia for a period of 15 months. This presented the unique situation in which data could be collected from Case NPOs and the ability to access those organisations over a prolonged period of time enabled a wider and deeper understanding of each organisation.

The aptitude to form and foster relationships was critical to the process. The key relationships were with the researcher’s supervisor Dr Stuart Middleton, Manukau Institute of Technology, Southern Cross University and the research participants. The importance of the collegiality and support received from the supervisor cannot be emphasised strongly enough. The researcher feels privileged to have worked with such a skilled supervisor and his support and encouragement was essential, especially when the journey of data collection and data analysis was being progressed overseas without the ability of one to one interaction. The support, guidance and assistance of Manukau Institute of Technology and Southern Cross University have also been critical to the process. Furthermore, in conducting the data collection the ability to engage nonprofit organisations, inviting participation and ensuring they received value from the relationship was crucial, as was the ability to engage participants from the private sector. Finally a key relationship that most certainly cannot be overlooked is that of the researcher’s husband Dr Alan Rogerson; Alan’s continuous support, encouragement and tolerance supported the researcher in times of confusion and enabled her to fly in times of clarity.

On reflection the research provided evidence that private sector experience is relevant in the development aid sector and that it is critical to have an insight, understanding and empathy of the organisational purpose and context, values and culture to enable an appropriate application of those skills. It is the view of the researcher that the research was extremely worthwhile, exciting and fulfilling and furthermore de-mystified the development aid sector and helped to bring clarity around the differences between the sectors.

The structure of the SCU DBA raised the researcher’s awareness of possibilities, facilitated opportunities and enabled thoroughness of process. Several key learnings along the DBA path were gleaned. The importance of spending quality time and energy on the Ethics Application process, which essentially is the foundation to the methodology, cannot be emphasised strongly enough. Additionally in undertaking case study research, it is invaluable to spend time selecting and engaging the right case studies, to write detailed ‘field procedures’ and allow plenty of time to analyse data and develop conclusions. Finally, this is a methodological process and not a creative one and as such it is important not to sit waiting for a feeling of ‘creativity’ before commencing writing.

Supervisor’s Retrospective

Capability building and capacity building have enjoyed increased currency as they are used, abused and overused often to explain the level of activity or the results of activity or the lack of results of activity in a wide variety of settings. Significant resources are devoted to it particularly in the aid sectors. But what, the researcher
and the supervisor asked at an initial meeting, do we know about its effectiveness, or how it operates or, perhaps, even if we are talking about the same thing when we use the terms?

The researcher had suggested a focus on investigating capability building over a broad canvas of settings and, like all research, much of the early journey was one of defining and refining and redefining the topic. At the same time, the scale being used on the microscope had to become stronger as the lens, in order to see more detail more clearly, was brought closer to a smaller selection of settings.

This piece of research both in its topic, broad and made broader by the lack of definition brought to the term capacity building, and in its settings, New Zealand and Indonesia, had the potential to be defeating in its scale. Balancing a concern for a significant body of research with the feasibility of actually undertaking the study is a critical passage to be negotiated in both senses of that word. It is the experience of the supervisor that doctoral candidates are initially driven to produce le grand oeuvre and this is totally commendable. Starting with a large view of a topic is the only point from which a candidate can proceed to a more sharply defined position as both the literature review and the understanding of that topic develops. Where are the questions to be found where might the questions previously asked have been found to be missing the mark or perhaps simply raising other questions?

In this instance, this was made easier by the knowledge the researcher had of the field gained through working over a period of time in both countries. It would, in all probability not have been possible otherwise. And the practicalities of being able to spend time in another country in order to undertake the field work was a difficulty solved in this study by the fortuitous opportunity to accompany a partner to Indonesia and actually live there for period of time. This raised other practical issues—laptops in hot climates, the opportunity to meet with the supervisor and having to test the suitability of email for the discursive, iterative dialogue that is supervision, lack of access to libraries other than through the electronic pipeline, and so on—it is not easy adding this to the mix.

But the researcher had a fierce determination to complete a piece of work that would help understanding and enable increased growth in capacity to occur in the sector. The personal qualities of being determined, of being able to maintain focus when there are distracting circumstances and of seeking response from a supervisor are crucial to completing these kinds of studies at this level.

And it helps to be able to write well! The researcher consistently produced material that was strong in this regard. This meant that genuine lack of clarity in an argument or a line of thinking could be addressed without having to first tease out whether or not the issue was one of lack of clarity in expression. This was a source of joy for the supervisor.

Having worked at various times in his life in development aid settings the supervisor was in the early stages of the study looking for this work to focus on making progress in the discourse of the aid sector. It most surely is this but it soon became apparent
that this study would be contributing as much to understanding of capacity building in wider settings than just that of the aid sectors.

This is a study that addresses issues of capacity building in organisations generally; it is a significant contribution to our understanding of what we mean by that term and how organisations can effectively address it. The study also acts to caution us as to the looseness of the term and the attractiveness it has for activity that might not be adding to the capacity or capability (for those terms are somewhat interchangeable) at all.

That is the “what” of the study but the researcher went on to address the ‘so what?’ Through a series of principles (influence, planning for capacity building, structure in capacity building, leadership, scope, shared meanings, capacity building strata, capacity building components, inter-sector definition of capacity building, and diffusion) the research provides a template that enables the findings of this study to be generalised and applied more widely. This is particularly useful.

As supervisor I learnt a lot in working alongside the researcher. Having worked in development aid I believed that I had an understanding of its complexities but realised that these were largely the complexities of the mechanics of delivery and that I had not seen the aid sector as a discipline requiring skill sets that went beyond the skill sets that marked the consultant/specialist’s area such as water reticulation or sustainable logging or, dare I say, teaching English. And would I undertake supervision again? Of course, each candidate undertakes a journey that is a unique combination of the topic, their skills and dispositions and growth for both the candidate the supervisor.

I have long been inspired by the following quotation that I came across while undertaking research:

> To engage in critical post-modern research is to take part in a process of critical world making, guided by the shadowed outline of a dream of a world less conditioned by misery, suffering, and the politics of deceit. It is, in short, a pragmatics of hope in an age of cynical reason (Kinchemoe & McLaren, 1994).

In the world of development aid such a set of goals would be particularly apt. Perhaps they are just as apt for all research in the world of business, industry and commerce as well.

**Notes**

In the study the researcher presented the view that theoretical propositions are based upon theory developed from researched knowledge, eg a literature review. The propositions in this study were however based in part on researched knowledge (ie the review of literature) and in part from the practical knowledge derived from practitioner’s investigation. The propositions were therefore developed as conceptual propositions.
Author’s Profiles

Dr Jacqueline Parisi has extensive international experience in facilitating capacity optimisation within organisations, working at a strategic and tactical level to assist clients develop and execute business and organisational development strategies. In the past she has worked in a range of Organisational Development (OD) and Human Resource Management roles and has held senior executive positions in the private and public sectors. Jacqueline has spent much of her adult life working in Asia. She has over 15 years’ hands-on experience in senior management in Asia and New Zealand and has held the position of principal consultant in international consulting firms implementing OD assignments and leading organisational projects. Jacqueline holds a Master in Business Administration (MBA) awarded in 2005 by Southern Cross University, Australia and has recently completed her Doctorate in Business Administration (DBA).

Dr Stuart Middleton is an educator and commentator whose academic work has focused on issues of equity and access in education and on organisational behavior and change. He has worked in a variety of settings in education—an English teacher by trade, he has spent periods in teacher education, as a secondary school Principal, an education consultant in the Pacific and an administrator in a polytechnic, a role he currently has as Director External Relations at Manukau Instituted of Technology. He likes to roam around the edges of education research and writes a weekly column in the national education newspaper, New Zealand Education Review. This has wide readership and for this work he has been awarded several QANTAS Media Awards as “New Zealand’s best social issues columnist”.

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Chapter 9

Just a Small Window to Get Some Leverage: A Critical Examination of the Rise of Te Wānanga o Aotearoa with Particular Emphasis on the Role of the State in the Battle for Control of this Māori Tertiary Educational Institution

Bruce Bryant and Wayne Dreyer

Overview

This chapter examines research undertaken on the Māori initiative known as Te Wānanga o Aotearoa (TWOA). In 2005, the State took control of TWOA. The research examined the tactics used by the State to achieve this end, the likely reasons for the actions, and makes comparisons with the introduction of the New Zealand Settlements Act 1863, which confiscated customary Māori land that was conquered by military invasion, and made this land available to the European ‘settlers’.

Introduction

Created in 1993, granted Crown funding in 2002, by 2003, Te Wānanga o Aotearoa (TWOA) had over 66,000 students, which represented 27.3% of all students in the tertiary education sector of Aotearoa New Zealand. A Ministry of Education report on the sector in 2003 stated that ‘The success of the Wānanga (Te Wānanga o Aotearoa, in particular) in attracting first-time Māori students
into the sector has seen an explosion in Māori participation at lower levels of the National Qualifications Framework’. In the same year, an independent economic research agency said ‘there are signs that the very process of Te Wānanga training and educating is changing people’s lives, and that Te Wānanga’s effect on GDP is already approaching the contribution of the forestry sector. In 2005, the State took control of TWOA. The research examined the tactics used by the State to achieve this end, the likely reasons for the actions, and makes comparisons with the introduction of the New Zealand Settlements Act 1863, which confiscated customary Māori land that was conquered by military invasion, and made this land available to the European ‘settlers’.

**Literature Review**

Te Wānanga o Aotearoa (TWOA) was a Māori initiative. It grew from a desire by a small group of people, in a small rural community of Aotearoa New Zealand, wishing to provide an alternative to students, mainly Māori, being excluded from the secondary education sector, by virtue of their non-conformist attitudes to the institution of compulsory education. These were not ‘bad’ kids; they were in the opinion of those who provided an alternative, the products of colonisation. This initiative, created by members of Ngāti Maniapoto, started in 1980, some 117 years after the introduction of the New Zealand Settlements Act 1863, an Act often referred to as ‘the Confiscation Act’, which completely destroyed the economic base that Māori of the Waikato, including those of Ngāti Maniapoto had enjoyed for many, many years.

The 1863 Act was instigated to take land from Māori and re-distribute it to ‘settlers’. The 2005 actions by the State were designed to ‘control’ the huge growth of TWOA, and re-distribute resources to main stream TEIs.

In order to understand the importance of land and its place in world economies in the 1860s, I relied on Chrimes (1948), Corrigan & Sayer (1985) and Gray (1997). These authors added to my knowledge, with descriptions of the massive deprivation that was inflicted on the populations of UK by some 4/5000 Enclosure Acts enacted in UK from the mid 17th century, to remove people who had survived on community owned land for centuries, in order to privatise land for the economic benefit of a few. Hertz (2001) and Hooker (1996) help me to understand what capitalism was, and the importance of land as a component of capitalism and Bryant (1940) and Ferguson (2003) explained to me that colonisation became a necessary precursor for the perpetuation of capitalism. Oliver (1960) and Sinclair (1959) discuss the European arrivals in Aotearoa New Zealand, with Walker (1990) giving graphic descriptions of the way European leaders went about taking land from Māori and making it available to the European ‘settlers’.

Drucker (1969) and Toffler (1990) discuss how the economic parameters of the world changed after what is known as World War Two, with a change in the importance of land as a key factor of capitalism, and the increasing importance of knowledge
to a country’s economic wellbeing. Gilbert (2005) places a very New Zealand context on a knowledge society, and Government buy-in was recorded by Ministry of Economic Development (1999) and endorsed by New Zealand Treasury (2005). McLaughlin (2003) explains the development of tertiary education policies in Aotearoa New Zealand, and refers to the fact that in 1989, the then National-led Government announced that the ‘cap’ on enrolments for TEIs would be lifted in 1990, to ensure that Aotearoa New Zealand was ‘well placed’ to benefit from the knowledge wave. The Education Amendment Act 1990, introduced the definition of Wānanga into the New Zealand tertiary education sector, and in 1993, Aotearoa Institute, the 1980 initiative referred to in the opening paragraph of this review, was granted TEI status.


The management financial statements of TWOA (Te Wānanga o Aotearoa 2004, Financial Report—November 2004), presented to TWOA Council on 15th December 2004, record the financial state of TWOA, which signaled that TWOA would require permission of the Secretary of Education to borrow to cover proceeds on a Suspensory Loan that was due to TWOA, but was being withheld by the Crown. On 17th December 2004, McNally (2005a), a Government appointed advisor to the council of TWOA, emailed a Ministry of Education official, stating that there may be ‘just a small window to get some leverage’. On 15 February 2005, New Zealand Parliamentary Debate, (1995a) recorded a speech made by an Act MP, (previously a Labour Party MP) claiming improper management behaviour at TWOA. This was followed by a newspaper article by Taylor (2005), ‘Dirt flies over car grooming for Wānanga’.

This all led to what the Labour led Government wanted of TWOA; control of TWOA, as set out in the Minister of Education’s letter to the Chair of TWOA of 25th February 2005 (Mallard (2005a)). The basis of the Minister’s claims was that TWOA was a financial risk to the Crown.

The Waitangi Tribunal Report 1298 (2005) gives a detailed account of the State’s actions against TWOA, and read in conjunction with the report of the Controller and Auditor General (2005) belatedly shows that the actions to take control of TWOA by the State, were based on 1) leverage, by withholding the proceeds of the Suspensory Loan due to TWOA, 2) misinformation to the public, and 3) an inability by the State to control the massive uptake by students to enroll at TWOA, at the expense of ‘mainstream’ institutions.

The literature referred to above, in conjunction with those other references that I listed, were all available in the public domain, and helped me to understand the
reasons behind the two actions of the State, separated by over 100 years, against what was seen by the State as Māori economic advantage, and assisted me in reaching my research conclusions.

**Methodology**

The research was conducted quantitatively by applying the case research method, based on the positivist paradigm. Since there is still wide debate on the addressed research problems, the exploratory research approach was appropriate, in which the data collection was carried out using the inductive approach. This research used the case study approach where the primary data was collected exclusively from publicly available sources.

Pure quantitative analysis was used to analyse the collected financial data, and a qualitative analysis of written material. The themes were initially generated inductively from the raw information, and conclusions made relating to the State’s battle for control of TWOA, and compared to those made relating to the State’s actions in 1863.

By using a simple form of financial analysis of TEI annual reports, the researcher identified the financial issues that led to the decisions made by the State. This was concluded to be the strength of the thesis. A deliberate decision was made not to include any human subjects as part of this investigation and therefore there is a fertile field for any future qualitative research into these events.

**Findings**

The thesis investigated the reasons for the State’s intervention in the affairs of a leading Wānanga, TWOA. The State intervened under a number of pretences but underlying this is the statement made on page twelve of the thesis that ‘maybe it was too successful?’ TWOA certainly was successful, as it grew from humble origins in the space of ten years to become the largest TEI in Aotearoa New Zealand.

There are number of fundamental themes that impacted on the social-economic context of this thesis. The first is the impact of and at times insidious growth of capitalism. This study ascertained that land was a critical factor in capitalism from the 17th century, and that the transformation of community land to individual title was a requirement of capitalism. In a symbiotic relationship with capitalism are the twin themes of the impact of colonisation and imperialism. As Lenin observed, capitalism needed colonisation to expand and inevitably Aotearoa New Zealand came to the attention of the capitalists, people who did not want community or tribally held land. The NZSA of 1863 was an example of how commonly owned or tribal lands were ‘transformed’ in Aotearoa New Zealand to become an economic resource for the advancement of capitalism. This Act, along with other acts and Acts of Governing bodies such as the Provisional Councils, led to Māori being disenfranchised, disinherited, excluded from most parts of society, and left as a race seen on its way to extinction.
The second major theme investigated by the thesis is the role of knowledge as an economic commodity. Toffler (1990) referred to knowledge as the most democratic of power, and noted that for the previous 300 years, the most basic political struggle within industrialised nations had been over the distribution of wealth. He predicted future struggles for power will increasingly turn into a struggle over the distribution of and access to knowledge, and he warned of the desire of holders of power to control the distribution of knowledge.

The importance of knowledge in the context of Aotearoa New Zealand was discussed and noted the then Prime Minister Helen Clark’s 2004 ‘Speech from the Throne’ confirmed that at the highest level of Government in Aotearoa New Zealand, knowledge and the development of human capital, was the ‘highest priority’. Links between economic growth and education drew upon the contributions of Andrews et al. (2000), Harbison (1973), Lyotard (1984), Fagerlind and Saha (1992) and Gilbert (2005), all concluding that some level of education was important for the economic development of a country. The study posited that this link was part of critical policy development in Aotearoa New Zealand from the mid-1980s and an important part of educational policy development. Important to this study was the introduction of Wānanga into the Education Amendment Act 1990, to enable TEI Wānanga to stand alongside Universities, Polytechnics and Colleges of Education to make up the tertiary education sector of Aotearoa New Zealand.

The study concluded that faced with the importance of knowledge to the economy of a country and with the substantial evidence of under achievement by Māori in education (TPK, 1996; TPK, 1998), the Governments of the day introduced a number of measures aimed at increasing participation in education in general, and for Māori. Most important of these was removing the limit on the number of students that a TEI could enrol and be paid for by the State, and corresponding changes to the funding regimes of TEIs. It was in this environment that TWOA grew. By 2003, TWOA was the largest TEI in Aotearoa New Zealand in terms of student numbers and EFTS. By 2005, the State had total control of TWOA.

The question was asked that if TWOA was so successful, why the State thought it necessary to intervene in the affairs of TWOA as it did. It is posited that there were two major reasons. First was the fiscal ramifications of the open access, fully funded policies for tertiary education, and the second was the distortion caused to the tertiary education sector, by so much funding going to TWOA as a result of the type of courses that TWOA offered. These courses were often foundation courses, directed to second time learners and those previously excluded from what was perceived to be an elitist system.

It is concluded that although economic and tertiary education policies from the late 1980s heralded the importance of knowledge, and policies were adjusted to allow unlimited, ‘open access’ to tertiary to benefit from what knowledge provides, this appears to have become unacceptable to the State if Māori were major beneficiaries of these policy changes.
It is also concluded that those in power, supported by a bureaucracy, in good faith introduced legislation to provide for open access, fully funded entry into tertiary education in this country, for the country’s economic welfare. However, it is concluded that as a result of the types of courses offered by TWOA, and the environment in which they were offered, gave increased student numbers to the sector that were unpredicted and unacceptable to Government and its Ministry. The fiscal impact of these increased numbers from a total Government budget and sector point of view, and the fact that the greatest group of beneficiaries of these policies were Māori enrolled in a Māori TEI, became unacceptable to the State and to others in the sector.

**Limitations**

In this research, the focus was on TWOA and its achievements. As a comparison for these achievements, the thesis uses the data from the eight Universities of this country. It does not include any data relating to Polytechnics, Colleges of Education, nor other TEI Wānanga. This does not detract from the contributions made to the sector as a whole by these excluded organisations. The fact that the data of the other two TEI Wānanga of Aotearoa New Zealand has not been used in this thesis is not intended to be disrespectful to their contributions to Māori and to the tertiary education sector. They are both uniquely different to TWOA, and it should be noted that TEI Wānanga have always worked closely with each other.

The research does not deal with many of allegations that were made against TWOA, Dr Wetere, his family members and some key executives of TWOA. Those that may have appeared to have any merit were examined by the Auditor General and addressed in his 1 December 2005 report.

The researcher was a participant observer of many of the events discussed in this thesis. This unplanned role commenced in 1988, when, as a chartered accountant the researcher became an Aotearoa Institute Trustee. In 1993 he was appointed to the new Council of TWOA as a Ministerial Appointee and served in that capacity until August 2003. He was a member of the Executive Committee of the Council and a foundation member of the Audit and Risk Committee of Council, and from August 2003, was retained by the Council as an independent financial adviser and continued to attend meetings of the Executive Committee, Council and the Audit and Risk Committee, until May 2005. As a senior member of the Executive Council of TWOA, he was privy to, and part of many important decisions and meetings, with Ministers of the Crown and others. Every effort was made to take an objective approach to this research.

**The Impact of the Research on Aotearoa New Zealand**

In 1990, 130 years after the introduction of the NZSA, two of three Wānanga tertiary educational institutions, were created as a result of the provisions of the Education Amendment Act of 1990. Essentially the Act gave to three Wānanga,
similar status to that of Universities, Polytechnics and Colleges of Education, that is, tertiary educational institutional status (TEIs). It should be noted that the same Act that introduced Wānanga to the definition of TEIs, also introduced the provision that capital funding would not be provided to new TEIs. The three Wānanga that were established, are the only new TEIs since the introduction of the Act.

In 1998, TWOA had 103.7 equivalent full time staff; total revenues of $4.3 million; a surplus of $49,939; $159,059 invested in buildings and net assets per student of $728 at 31 December 1998 (TWOA, 1998). By way of comparison, at the same date the University of Auckland had net assets per student of $23,809 (University of Auckland, 1998).

By the end of 2003, TWOA had become the largest TEI in Aotearoa New Zealand in terms of EFTS, student numbers and profit. TWOA had total assets of $131,448 million; liabilities of 11.2% of that figure, with a surplus (profit) of $33,247 million, which represents a return on capital invested, of 25.35 and revenues of $177,486 million in that year. By any measure, TWOA was an extremely soundly based entity, and a model of entrepreneurial success.

By March 2005, TWOA was under the control of the State. The thesis investigated the possibility of withholding the Suspensory Loan by the State provided ‘just a small window to get some leverage’ as suggested by the Crown appointed Development Advisor to the Council of TWOA, to get this control. The proposition was considered that the State used classic colonial political tactics to take control of TWOA, because of its extremely successful educational and economic model for Māori in particular and New Zealanders in general. To measure this proposition, a comparison is drawn with the actions of the Crown in 1863 when an attack was initiated on Māori of the Waikato region of Aotearoa New Zealand, and an invasion of their lands commenced. The economic consequences of the Act and ensuring confiscation caused generational damage to Māori to the extent that the official Parliamentary transcripts of Aotearoa New Zealand records comments relating to the likely extinction of Māori as a race.

The research concluded that little has changed between 1863 and 2005 in the use of political power for the economic benefit of Pākehā over Māori in the political landscape of Aotearoa New Zealand. The research adds to Aotearoa New Zealand a major contribution in the advancement of knowledge in the area of Pākeha and Māori relations, politics power and control within the business education sector. By using a simple form of financial analysis of TEI annual reports, the researcher has identified the financial issues that led to the decisions made by the State. This it is concluded is the strength of the thesis. A deliberate decision was made not to include any human subjects as part of this investigation and therefore there is a fertile field for any future qualitative research into these events.
Researcher’s Retrospective

Genesis of research

In 1993, the same year as TWOA came into being, I completed a dissertation for the degree of MBA, entitled, ‘From unemployment to self-employment’. As I became aware of what TWOA was aiming to achieve, I decided to undertake further study for a PhD, in the general area of improving work outcomes for Māori. Around 1998 I started tracking by interview, a number of students who entered TWOA, noting and recording their background, recording their achievements and disappointments, through to work outcomes. This stalled a year or so later, as it was too slow for me, and I got caught up in other things. However, having observed the actions of the Crown and State towards TWOA that led to the State taking control of TWOA, I knew that the story had to be told. I was shocked by the use of mis-information by the Crown and the State, the abuse of Parliamentary Privilege, the use of old political cronies to make wide accusations under the protection of this Privilege, and of the double standards displayed by those who were indigently critical of the Tumuaki of TWOA and key staff. I observed racism from people who did not even understand that they were being racist, and the use by the State of so called respectable professional advisory firms, to advance the agendas of the Crown and the State.

Most of all, I encountered a European majority who blindly believed the innuendo and mis-information provided by the Crown and the State, and to this day, believe that some of the serious and scandalous allegations made against TWOA and some of its key executives, to be true.

I decided to address this by way of the thesis that I have just completed. I knew a certain amount of what Māori had suffered by colonisation. I grew up with descendants of these people. What I had not encountered was colonisation in action. Rather than just focus on TWOA and what it set out to achieve for Māori, and indeed did, I decided to compare what TWOA endured from the Crown and the State, with what was written about what earlier generations of Māori from the same iwi as those who created TWOA, had endured by the confiscation of their lands in 1863.

To ‘set the record straight’ was my motivation. I held a lot of knowledge and data of the 2004 and 2005 events due to my involvement with TWOA. I saw it as a duty to Māori to tell this story as I did.

Hurdles that had to be overcome

The biggest hurdle was to maintain objectivity. I did this by relying heavily on documents and data that were and are in the public domain. Additionally, I decided very early on that I was too close to many individuals involved, to consider interviews and focus groups as appropriate. The issues involved, and the polarisation that the Crown and State’s actions caused, were very threatening to many people dependent
upon TWOA for jobs, and a livelihood. The objectivity issue, I resolved by peer review by people that I respect to tell it to me as it is. That is, if I was off track, they brought me back.

Another hurdle was not to make this study, a study of Māori. I am not Māori, so cannot understand what it is like to be Māori. This study was about what Pākehā did to Māori and a Māori initiative. In respect of my writing about things Māori, I address this issue by having a very respected Māori academic, and a family member of the Tumuaki of TWOA, review what I wrote.

The thesis concerns a very controversial political and social event in Aotearoa New Zealand’s recent past, and as a consequence, sensitivity was needed in the way that the thesis was constructed and presented. Again, the importance of a peer review process was very important for the credibility of the thesis.

Relationships

The initial relationship was with my sponsors, the Trustees of the Aotearoa Institute. I needed them to provide me with funding to enable me to take time away from paid work. They did this, and I am very grateful. I have keep the Trustees informed of progress, sharing results from the first few units, and asking for help with documents that I needed. Most important has been the contribution of Trustees, the late Dr Tui Adams, past chair Joe Arrell, and William Wetere. Dr Adams was prior to his death in 2009, Kaumatua to Tainui and TWOA. He had few peers in understanding tikanga and āhuatanga Māori. Joe is a wealth of knowledge of the history of AI and TWOA and a very close supporter of this project. William’s family was part of the fabric of AI and TWOA. They were also the targets of the State attack. William’s principles far outshine those who chose to attack his family, as do those of his father, sister and brother.

My supervisor led me through the tangle of academia. As a life time accounting practitioner, I am used to detailing each point of my findings, explaining them in detail, and drawing the reader to the conclusion. This is great for a chargeable activity, but not for a thesis. The sheer extent of the time frame of collecting literature and data, of ‘putting it down’ on paper, and then trying to get this into a coherent form, is very difficult without a good, objective supervisor. There are inevitable tensions in this relationship. The researcher fronts up, pumped up. The supervisor, by necessity in my case, had to point out a few truths!! However, we got there, with not ever a bad word, bad feelings or loss of mutual respect.

I thoroughly enjoyed the company of my fellow students, particularly at the beginning of the journey. We were all a little wide eyed, and the companionship was a great help. I equally enjoyed the ‘people from Australia’. My father was a passionate Australian, with all the attributes that a quiet Australian displays; intelligence, understanding, understatement and humour. The people sent over to assist us from Southern Cross displayed all of these qualities.

My young son referred once to this study as ‘Daddy’s faeces’!! That is the name that has stuck in our household for this work. Part of my reasons for such an undertaking,
was to set an example to my children. I firmly believe in life time learning and that in life, anything is achievable. My wife was and is supportive as she always has been with her slightly unusual husband. I am not sure how many times she asked ‘have you finished that yet?’ Oh, well, I can answer in the affirmative now. For now, anyhow.

**Reflections**

I am happy to have completed this work. I had a story to tell that I believe needed to be told. It now remains to get the message out to politicians, bureaucrats, racists and vested interests, to understand that someone generally really knows what is going on, and the chances are, that one day, it will be reported. To have the opportunity to do this by way of an academic thesis is a privilege.

Aotearoa New Zealand’s colonial history had two events that involved:

- A factor of capitalism (land and then knowledge)
- Was directed against Māori of Ngāti Maniapoto
- Had the media disseminating scare mongering, misleading and untrue facts
- Attacked a leading Māori figure (Sir Apirana Ngata and Dr Wetere), and
- Had the hand prints of a Prime Minister in each case (Dommett, 1863, Clark, 2005).

These events were the NZSA 1863 and the States battle for control of TWOA in 2004 and 2005, and provided a platform to judge the actions of the Crown and the State in their dealings with TWOA.

I would do few things differently, apart from polish up on basic English.

**Supervisor’s Retrospective**

Like the candidate I grew up in the Waikato although not in Te Awamutu and I was familiar with historical grievance in respect of the confiscations. Likewise I was well aware of TWOA both professionally having been involved in NZQA accreditation of their lower level courses and obviously what I read in the press.

As I worked with Bruce it became clear that we had many issues in common that could be traced back to our upbringing in rural Aotearoa/New Zealand. As a critical theorist I believe that education is all about emancipation and freedom of right and as a result of my own doctoral work I was well aware of issues in relation to colonisation and its impact on indigenous peoples. Not just when it happened in this case over a hundred years ago but how the hurt passes through to generations. When Bruce first approached me I was attracted to his topic and felt it was necessary that the story of TWOA and its battle with the state bureaucracy be told. I felt that here was an opportunity to critically examine aspects of what had been a ‘festering sore’ in contemporary education.

Initially I proposed that he take a post-structural approach drawing on the works of Foucault and Deleuze. I introduced him to this genre of analysis but it wasn’t attractive to him, nor was it in his ontological lens so we settled for more conventional
approach and methodology. Very early we encountered issues in discussing the methodology and as Bruce has explained earlier it was prudent to draw from the public record—although this in itself has its frustrations.

Bruce has also alluded to the writing process—it took him a long time to master the processes at this level of scholarship. His professional background and a life’s work of writing reports at times led to him writing in a very stilted style. Once he mastered the technique of allowing the data to talk rather than being deterministic then his outputs improved. Yes we did have some terse discussions and yes we still remain close colleagues due to this shared experience.

The examination process was another issue that I had not encountered from the inside so that was an interesting experience. However the Defence was relatively straightforward and we thank the examiners for their lucid reports and comments.

Bruce’s graduation at Lismore was a very special day for us both I had the privilege of announcing my candidate to the Chancellor and Bruce was one the first two Manukau Institute of Technology based candidates to complete his DBA. Little did we know that Bruce would be there five years after Peter Miller and I decided to introduce the DBA into Aotearoa/New Zealand.

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**Author Profile**

**Dr Bruce Bryant** was a Chartered Accountant for several years and from 1988 was involved in a professional capacity with the development of Aotearoa Institute, a private training establishment in Aotearoa/New Zealand. In 1993 the activities of this entity became Te Wānanga o Aotearoa (TWOA), a tertiary educational institution that by 2003 was the largest tertiary educational institution in this country. Both of these entities were Māori initiatives. Bruce was a long time resident of Te Áwamutu, the town from which these entities began and flourished. He has an understanding of Māori tradition (āhuatanga) and customs (tikanga), although not of Māori descent.
Overview

There is a wide range of literature on collaboration and about the range of types or models of business collaboration from purely transactional contract type arrangements to full mergers. This chapter explores the environment within which sector leaders seek to better understand the ‘if, what and how’ tertiary institutions prepare for collaboration. Using semi-structured interviews with those involved in collaboration amongst tertiary institutions, the research aims to develop a coherent framework that might be used as a managerial best practice model that can be applied to the tertiary sector to assist institutions ‘get ready, get set and get going’ when it comes to successful institutional collaborative preparation.

Introduction

The main purpose of the research is to explore the environment within which sector leaders seek to better understand the ‘if, what and how’ tertiary institutions prepare for collaboration. By using a qualitative semi-structured research methodology, can the information gleaned uncover ways to manage the unfolding circumstances that can either enhance or detract from successful preparation for collaboration amongst tertiary institutions?

At first glance, it seems the possibility of collaborative progress is frustrated and thwarted by an inability to focus on the desired outcomes as well as the preponderance to be concerned with structures and governance matters. The researcher is interested in whether this tendency is symptomatic rather than illustrative of an underlying
causal link and that it is the lack of institutional readiness and an acknowledgement of the need for that preparation that is perhaps the underlying cause of strong ideals and good intentions struggling to be implemented.

**Literature Review**

There is a wide range of literature about collaboration and about the range of types or models from purely transactional contract type arrangements to full mergers. Spread along this continuum is a range of possible collaborative definitions. The researcher’s preliminary literature review has included an examination of the typology of collaboration and the lexicon that underpins collaboration between tertiary institutions.

The research was initially attracted by the essential characteristics as described by Robinson, Hewitt and Hariss (2000, p11) as being four-fold—namely: hurdles, benefits, protagonists and measures of success within an institution. This was subsequently enhanced by the notion of the importance of the desirability, purpose and nature of relationship with the collaborating institution.

Daigle and Robinson (2000), has provided the researcher with a framework for lessons to be learnt from the literature review and for collaborative typologies and conceptual frameworks to be assessed in the context of New Zealand tertiary institutions readiness for collaborative efforts.

This analytical framework and the associated collaborative attributes proposed of vision, commitment, culture, risk, power, adaptability are intended to form the basis for the research methodology via the use of a semi structured interview process Daigle and Robinson (2000, pp20–1).

Robinson, Hewitt and Hariss (2000, p4) articulate a useful canvass for what the researcher is trying to clarify and understand as a result of the literature review. How do institutions make conscious and informed choices about the nature, scope and structural basis for collaboration?

Further, how does institutional leadership manifest attributes and behaviours that are in sync with the nature, scope and structural basis to maximise the opportunity for success.

**Methodology**

Patton (2002), and Miles and Huberman (1994) provided the researcher with the backbone for the intended design and data collection. Thought was given to test collected data with a Gesalt model as per Dabbagh and Torrans (1999) to uncover underlying themes and connectivity of information within the bounds of theoretical research methodology.

Short and Stein (2001, p423) reinforced the importance of the appropriate methodology for qualitative research with respect to collaboration. That is, ensure the researcher uses conscious respondent selection due to involvement in collaboration and structured interviews to ensure focus (barriers, facilitators, and key strategic decisions) are at all times maintained.
This approach built on the foundations laid out by Merriam (1986) who highlighted that robustness could be assured from a structured technique ensuring an emphasis on interpretation and (possible) inference of possible underlying norms, beliefs, values as long as such interpretation and inference was transparent and the researcher acknowledged their own filters within which the information was recorded.

The need to ensure the research captured the stream of activity both in terms of details and dynamics provided and almost overwhelming barrage of rich text data and provided an plethora of research opportunities (encompassing both depth within the tertiary sector, and transferability across multiple sectors) for further examination, making sure that both the content and the process perspective is identified and analysed. This well described in Tai-Young, Oh and Swaminathan (2006, p705). In addition, the research must discuss the functional along with the dysfunctional as described by Podolny and Page (1998).

There is useful information on methodological issues in management publications that endorse such an approach in these circumstances. For example, on how institutions identify, negotiate, commit and evaluate—often an evolution arising from the applied and sustained persistence, see Torre and Arino (1998). The researcher has followed a non-linear interpretivist path as described by Neuman (2006) and some thought was given to using a case study framework as described by Yin (2003).

The nature of interviews subjects (Vice-Chancellors and Chief Executives) lent strongly towards an iterative style of data collection and one that facilitated the organic and conversations exchange of information rather than interact within a fixed set of reference points as per a case study based approach.

Differences in views about what knowledge is, how it is recounted and how best this is captured and eventually interpreted, coupled with differences in the inquiry paradigm are more than just philosophical underpinnings; they impacted on conduct of this research and how the research that was uncovered is being interpreted.

This insight, as described by Guba and Lincoln (1994, p105), assisted the practical application of the research along by highlighting and, at times, confronting the researcher’s (and possibly the interviewee’s) basic belief system as the impacted party interacted and evolved their thinking in respect of collaboration, covering not just method and also ontologically and epistemologically.

To facilitate this iterative approach the researcher selected a semi-structured interview using open questions Patton (2002) and the Sarantakos Five Step Method for data analysis Sarantakos (1993).

After examining the alternatives, the qualitative research approach was selected for the chosen field of study for the following reasons:

- meaningful findings evolve from the research rather than from the testing of a hypothesis
- it is unlikely during the data collection phase that that there will be distinct variables identified that could evolve into concepts that could be in some way quantitatively measured
• using a semi-structured open interview approach that will be iterative as opposed to having a methodology fixed before data collection occurs
• data will undoubtedly be in the form of words rather than numbers and the associated analysis will not be tabulations, spreadsheets and statistical analysis. Instead, it will take the form of examining themes, patterns and general findings in an attempt to ‘paint a picture’ and/or ‘tell a story’
• theory will be derived from an inductive approach where insight will come from and/or after the evidence is collected, rather than deductive where the insight is postulated prior to data collection and then tested
• replication of the eventual procedures may be possible. However, these are likely to be weighted towards the specific, rather than the standardized end of the spectrum.

To further assist with the management of the potential for bias and to achieve sufficient rigour, validity and reliability, the data collection methodology was based around the following attributes:

1. Clear research questions are developed
2. A method of selecting interviewees was undertaken in a purposeful way
3. Semi-structured open protocols for the interviews were adopted
4. From the information collected, models are developed to sort the information, which in turn will provide theories to reflect back into the data already collected.

Using a semi-structured open interview approach, the methodology also emerged from a broad and generalised state with assumptions and constraints defined at a high level. As the research proceeded and information was collected and analysed, the research outputs will start to reveal possible concepts and theoretical propositions that potentially describe (and possibly ‘explain’) the area under study.

**Findings**

The findings to date are based upon the state of research which at the time of writing this chapter, the researcher had completed the data collection phase and had collated the transcripts into ten groupings:

1. Definition of collaboration
2. Trigger points
3. Motivation for collaboration
4. Institutional characteristics
5. Leadership
6. Values
7. How high are the stakes
8. Models of preparation for collaboration
9. The relationship process between collaborating institutions
10. Examples of best practice.

The headings used were derived from a triangulation of the research’s preliminary literature review, the semi-structured interview questions and from several readings of the interview transcripts.

In addition, the fact that the researcher undertook all the data collection face to face and progressively collated the interview notes (as well as ensuring transcription occurs promptly) provided a depth of insight on the likely analytical shelf life of the headings outlined above.

This has proved to be the case as the headings have survived intact from the first level of coding, where the transcripts have been their material of substance have allocated into one of the ten definition codes described above.

The sorted data from this coding, will in turn be coding to at least one more sub level. For example, the master grouping ‘Trigger for collaboration’ has been broken down into sub headings, namely:

1. External
2. Internal
3. Individual.

Following this next level of analysis the preliminary literature review will be coded and the results of coding the literature and the data collected than comparatively reviewed.

The researcher is confident that linking the literature review and data derived from the semi-structured interview methodology will underpin the theoretical model and enhance both the robustness of the findings and their utility for application into management practice.

Already the strands of a coherent framework are starting to emerge. This framework can be hopefully be codified into a replicable managerial best practice model that can be applied to the tertiary sector to assist institutions ‘get ready, get set and get going’ when it comes to successful institutional collaborative preparation.

Leadership and the role of protagonists behaviour impacting on organisational behaviour is emerging as a key element for successful collaboration as the leader’s perspective seems to bound what is possible both on an inter and intra institutional basis.

Perhaps the success of any collaborative activity comes from the depth with respect to these attributes within each collaborating institution, both in the sense of one’s own readiness and the manner in which the this readiness in reciprocated across all participants.

Sustainable collaboration arises from sustainable relationships seeing strength coming from similarities, differences and honouring rather than merely tolerating those differences.
It is striking that, the prevailing literature stressed that the attitude to collaborative activity was the essential component rather than the structural form of that collaboration. Drivers to collaborate tended to emerge in an ad hoc fashion rather than be informed by analysis of any empirical research and a recognition that alternative approaches may exist to the approach being shouted the loudest at the time.

Are games of paradigm one upmanship amongst researchers a mirror for collaboration point scoring amongst institutions? What is currently thought as obstacles due to the content and intent of collaborative may in fact not be as important as the respective institutions approach and readiness of that collaboration!

**Limitations**

The research proposal is not about sharing content and/or joint program delivery; for example licensing material. Nor is it about shared services, for example, common information technology platforms.

It is also not about the success and/or failure of collaborative ventures. The research area is targeted towards the ‘early days’ and whether some from of 'business model can assist the creation of a strong foundation upon which to build collaborative activity.

The sample set was also restricted to New Zealand Universities and Polytechnics and therefore excluded Wananga, industry training organisations, and private training establishments. There is clearly scope for researching similar issues within these types of institutions to extend the notion of generalisability for wider application across the tertiary sector within New Zealand as a whole. There also exist considerable research possibilities in the area of comparative international studies.

The extension of possible future research could also include exploration of similar tendencies and issues as they relate to collaborative activity between New Zealand tertiary institutions with the scientific research and industry in general.

**Impact of the Research**

Put simply, two main research questions are posed by this thesis:

1. How does an institution understand and articulate the need for, and the path of, preparation for collaborative activity?

2. How easily, if at all, can the increased understanding from this preparation for collaborative initiatives be applied to the sector as a whole?

In respect to likely success of collaborative ventures, the research is starting to uncover the degree to which successful collaboration will derive from conscious preparation rather than merely emerge from good intention and second unmask the opaqueness that prevents the separation of the rhetoric and practicalities of collaboration preparation.

Further, no matter what the scale of endeavour, all participants in the data collection phase have described necessary precursors that must be established in order to build
successful collaborations. As the research analysis continues, it is possible that, depending on the scale of activity, these will include both institutional and sectoral attributes (for example working within a conducive policy and funding environment with appropriate incentives for inter-institutional collaboration) critical for success.

The outcome of the research is to identify and promulgate business concepts that provide tertiary institutions with a (new) tool kit to ready themselves to undertake collaborative ventures and that avoid the costly (time and money) transactional activity often associated with collaboration. The eventual thesis will endeavour to link to previous work and include the application of some form of analytical model to guide and bound the endless possibilities of discussing institutional behaviour and direction (or lack of it).

**Researcher’s Retrospective**

**Genesis of the Research**

In the researcher’s tertiary sector work experience collaborative efforts tend to be advanced and supported on the basis of idealistic and/or political enthusiasm and even opportunitism rather than ‘thinking before acting’.

The essence of the proposed research was to establish a series of conceptual frameworks, then iteratively plan, collect data, analyse the data, and reflect on that data. Information would then be inducted using a semi-structured open interview framework to ensure some common information is obtained, while allowing for the collection of broader information as well.

Such an approach facilitated and guided the research via a planned and purposely selected successive interview process, maximising the potential to ensure distinctive contributions from each and every interview, and facilitating comparative analysis across all cases. The research process also required the review of appropriate literature and building upon the researcher’s insights and theoretical perspectives.

As the researcher has considerable management experience within the tertiary education sector, the researcher’s personal paradigm is intertwined with the topic and its current various sector manifestations.

At a cursory glance, my initial thoughts suggested there was benefit in having empirical based research that explores and helps increase understanding of the relationship between principled intentions, practical realities and benefit that a dose of decent preparation might bring to tertiary institutional collaborative activity.

**Hurdles**

All interview participants were clearly at ease, due to their sector experience and all indicated keen interest in both the researcher’s actual research area and its likely utility for the sector and the general importance of academic research. Indeed the opportunity to reflect on the research topic was often described as both refreshing and a much welcome alternative to more administrative tasks also scheduled for the same day.
Interview length ranged from 25 to 70 minutes. The researcher was conscious that busy people were being interviewed and managed the time available to best of his ability. No interview was cut short by external distractions and/or commitments and the interviews came to their natural conclusion. The nature of the interview easily mirrored the classic semi-structured open approach and the discussion flowed smoothly.

Given the approach being considered, there was an inevitability of personal bias. The researcher addressed this bias through self identification, the description of its nature and reflection. Such open disclosure and management of potential bias greatly assisted in ensuring transparency and critical reflection, so that the integrity of the research is sound and defendable.

As the research process unfolded, the researcher become more confident about maintaining a tight grip on the scope of the proposed content and the overall research methodology. That is pruning the areas under study from tertiary institutional collaboration per se to tertiary institutional preparation for collaboration and utilising the best fit for purpose research methodology rather than utilising multiple approaches that in all likelihood would provide only marginal benefit.

Thanks to salient supervision, the researcher discovered this latter insight from their own reflection rather than stumbling upon such knowledge from sheer exhaustion of data collection workload.

From a possible sample size of 28, the researcher anticipated interviewing between eight and 12 respondents to ensure sufficient richness and depth of data. Quite unexpectedly, and with a great deal of appreciation 17 respondents were willing to be interviewed. This created a bit of a logistical nightmare, however with careful planning and a supportive employer all but one interview occurred within a two month period.

Having 17 respondents/interviews, given the total possible sample size of 28, increased considerably the degree of tertiary sector coverage across institutional types and consequently enlarged the degree to which a generalisable theory for the tertiary education sector overall, can now be developed.

The researcher conducted all the interviews (along with high level note taking, all interviews were digitally recorded with consent, transcribed and were offered back to the interviewee to be validated) the researcher maintained a closeness with the data allowing the varied experiences and nuances of each interview to be comprehensively captured, and in turn, facilitate the exploration of themes and patterns leading to some 'new learning'.

The researcher also utilised the notion of confirmability, which was achieved by a combination of ensuring transparency and including critical reflections on possible bias, either from the researcher, the interview respondents as part of the research findings and via discussions with the researcher’s supervisor.
Relationships

As the interviews occurred, the researcher grew in confidence in both the means to ensure a good interview and that the data collected was more than meeting the needs of the topic, no doubt, created a momentum of confidence and continual improvement in the tone and astuteness of the interchange between participant and researcher.

Each successive interview built upon the previous interaction and over the interview period the amount of new information become more individually and/or institutionally specific rather than general in its nature.

By the time the main block of interviews has been conducted, the researcher was in no doubt that there would be sufficient data, both in terms of broad coverage of the issue depth of understanding from the participants that it was, from a pure amount of data needed point of view, no longer necessary to collect more.

Essentially, at somewhere between eight and 10 interviews data saturation was beginning to occur and the researcher might have been tempted to ‘cut to the chase’.

However, the participants had agreed to freely give their time and the research felt uncomfortable in not respecting that willingness. Accordingly, all who had made the commitment to be interviewed were interviewed at their convenience. This included a late indicator of availability (by three months) and an interview that occurred two months after the rest had occurred.

As the interviews proceeded, as anticipated, given the research methodology in use, themes, images and models were articulated; then iteratively discussed with the current participant, reflected upon between interviews and developed in the mind of the researcher and subsequently woven into latter interviews. Care was taken, at all times, to avoid over confidence on the part of the researcher thus ensuring that the latter interviews were not simply ‘rubber stamping’ previous data collected nor merely going through the motions.

The temptation to overly control the interview was resisted by researcher, allowing each participant to place their perspective, whether new or repetition of previous data, within their particular context. On reflection, and illustrated by the general pattern of interview length reduction, as the data collection phase progressed the interviews were tighter and key insights seemed to bubble to the surface more easily.

Last, and most importantly, the researcher is fortunate to have a supervisor who not only academic steers rather than smoothers the research process, and who also understands the reality of fitting an academic program within the real world of work and family.

Reflection

The whole process, to date, has been incredibly useful informative and useful. The opportunity to interact with senior leaders within the tertiary sector and convert that dialogue into concrete findings is both a rewarding and humbling experience.
The interaction and subsequent analysis has created an empirical depth to add to my sector experience and tendency to move forward on intuition. Indeed my modus operandi has moved considerably along a continuum that has a plethora of opinion at one end and a gold mine of empiricism at the other.

The research has evolved in a journey of discovery and there is no place in this journey for boredom. What frustration that does occasionally emerge is centred on the researcher’s inability to organise so as to publish or submit papers while still in the research phase. Such activity, although desirable and constructive in achieving the end goal, nevertheless is constantly pushed aside in favour more immediate tasks that require my attention. Fortunately, being approached to contribute to this book was a sufficient incentive to overcome the current inertia threshold.

The most significant insight for the researcher was to actualize the capturing of the information required from such open ended and free flowing dialogue. The richness of data easily came from having questions that were open ended, word and image based, with minimal boundaries to constrict the respondents’ contribution. Feelings, values, opinions were sought and rapidly (and willingly) secured to create a reality that is true to the context of the respondent(s). Questions evolved over the duration of data collection phase and responses were probed rather than simply recorded and collated for analysis.

Different perspectives on similar experiences created opportunities for analytical insight and proved the starting point for the researcher’s subsequent coding analysis and the basis of diagrams that will, upon final thesis submission, illustratively reflect the anticipated epiphany of insight.

No doubt the nature and seniority of the interview participants played a part of preventing ‘information saturation’ leading to ‘matter of fact’ interviewing by the researcher. As indicated above as the dialogue flowed, on each occasion, the iterative approached facilitated an interweaving and deepening of the data collected and led to a more rounded understanding for the researcher.

At times the researcher has been completely overwhelmed by the thought undertaking the data collection and the coordination of interviews across the country. Then came the mountain of data analysis to be climbed. Which, in turn will be followed be what seems to the research as being the terrifying process of turning my broad structure outline into fleshed thesis chapters not to mention the logistical nightmare (for the researcher personality type) of bringing it all together into a polished piece of work (diagrams, headings, references, bibliography etc).

The major challenge remains of how to fit the doctorate into normal life both in a time and headspace sense. It is tempting to struggle with how relatively easy undertaking doctorate study is academically (then again I am yet to successfully submit my thesis) and hard it is in terms of perseverance and dedication to the most immediate task at hand. The researcher confesses to a preference to simply wallow in the immenseness of it all.

Would the research do it again? Of course! Second time around, the researcher would aspire to more organised and stay on task from day one. It is now more
apparent to the researcher, midway through the process, that the journey is as insightful as the destination when it comes to doctoral research. It is important to discover and learn from your mistakes.

The researcher now senses that it is possible to both add to the body of knowledge and also contribute something tangible and useful for sector for which I carry so much passion.

**Supervisor’s Retrospective**

Sometimes supervision can be frustrated by the very same issues that are causing frustration of the candidate. It has always been my view that momentum is central to the successful completion of an excellent piece of postgraduate work. Donavon Wearing faced blocks to the development of momentum that was the result of all those things which constitute our lives outside and alongside the scholarly enterprise. Balancing the demands of one’s work with the demands of home life cannot exert a priority over the demands of doctorate level study. So there are times when that study goes into a holding pattern as other things sort themselves out.

Therein lays a frustration for each party—candidate and supervisor. But eventually the enterprise starts again to roll further along the path to completion.

The choice of topic came easily in this case and the process of narrowing it to a focussed one was the result of discussion. The nature of collaboration between tertiary institutions after a long period of competitive behaviour, some of it feral, was posing a challenge to institutions as central government agencies encouraged a more collaborative approach under the guise of phrases such as ‘a network of provision’ and ‘distinctive contributions’. Did institutions, the candidate asked, have a notion of preparedness for this new focus for their behaviour? Did the term preparedness have any purchase in their minds and within their institutions?

The polytechnic sector in New Zealand is a small and contained one. At the time of the study there were twenty polytechnics which in New Zealand have an applied career and technical orientation in the programme portfolio. Open access at one end they take students through to first degree levels across a range of disciplines. Some are small and located in regional centres while others are large and serve predominantly urban areas. The decision to approach all twenty Chief Executive Officers and seek their participation resulted in an excellent sample which included all of them. This presented a rare opportunity to develop a sector overview rather than, as so many studies are forced to, present a view curtailed by the extent of the number of participants.

Interviews are time consuming, result in data that are broad and often in excess of what are required and present special challenges in the way they are dealt with. Nevertheless, Donavon Wearing tackled the task with enthusiasm and energy and continued to develop the sophistication of the analysis of that data. Momentum has developed and the study is now in those advanced stages of bringing it all together.

Collaborating with a candidate on the topic of collaboration - the results will be excellent.
References


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Author Profile

Donovan Wearing works as the Chief Executive of Taratahi, an agricultural training provider and a significant commercial farming operation (comprising both sheep/beef and dairy farming) centred on Wairarapa, New Zealand. Previous roles have spanned senior management responsibility in the educational and health sectors.

Donovan commenced study for the Doctorate of Business Administration in 2006. A keen devotee of life-long learning, his first degrees were a BA in History and American Studies and MA (Hons) in History from the University of Canterbury interwoven with considerable involvement in student politics on both an institutional and national level. While later studying part-time, he also obtained a MBA from Victoria University of Wellington.

Donovan is married to Catherine, has six daughters (ages range from 20 months to 28 years) and one grandson. Accordingly, he is constantly in a state of both financial and sleep deprivation.
The introduction to this book provides a good summary of the content of each chapter so it is not necessary to repeat that here. However, we will identify in this conclusion the themes and issues raised in the various chapters in Part 2 of the book and highlight areas where others might gain some insight or assistance in undertaking or supervising a research doctorate.

As demonstrated in this book, research by candidates in the business and management disciplines in programs such as the Doctor of Business Administration is becoming significant in the research landscape of New Zealand and it appears that doctorate programs like these are likely to become the dominant form of doctoral study at New Zealand based universities in the future.

Given the likely future dominance of this form of doctorate and the collaborative partnerships that deliver them, those charged with their leadership and development need to pay attention to a multitude of issues, some of which are raised for discussion below.

For example, what governance and quality control structures are best suited to administer business doctorate programs, particularly those undertaken through collaborative partnerships with overseas institutions? How do collaborative partners ensure that they continue to meet the stringent quality control regimes of the countries involved?

Research paradigms are changing and mixed methods research is emerging in doctoral programs in New Zealand. This change, demonstrated in Chapter 3, will have an impact on the way research methods training is conducted and delivered. Traditional approaches may allow candidates to select only training for the paradigm of their proposed research and may conduct research training in separate subjects on qualitative and quantitative techniques. These practices may need to be abandoned in favour of a more holistic approach, where research methods are taught in one combined subject with mixed methods dominating. Anecdotal evidence suggests the trend towards mixed methods is driven by industry needs for greater validity in research outcomes.

Professional development for research supervisors is important. It is often conducted in a piecemeal fashion, delivered in one- or half-day workshops and often by people who are not experienced doctoral supervisors. Feedback informs us that this approach to professional development is not well received by supervisors. There is also an adage often heard among those who administer doctoral research programs that ‘the quality of the program is the quality of the supervision’. If this adage has any foundation, then it is incumbent on the leadership of the program
to find strategies that deliver quality professional development opportunities for supervisors, particularly when supervision standards across universities and nations may differ.

Questions for leaders of programs include how they facilitate communities of practice to develop, how they allow worthwhile discussion between supervisors at distant institutions, how they ensure that supervisors are well resourced with policy direction and educational support, and how they enable the more experienced supervisors to share their knowledge and mentor less experienced ones. Chapter 4 outlined the development of a doctoral supervisor online professional development program that has successfully met the expectations of busy local supervisors in New Zealand.

Part 2 of the book provided case material from candidates and their supervisors. The chapters will be food for thought for those aspiring to undertake doctoral level research and those seeking to supervise these projects. The themes arising in the chapters are significant determinants of likely success in completing the project and of a successful examination process. The themes include:

- the passionate, often long-held, personal and professional interest of the researcher in their topic
- that selecting a supervisor remains a very significant factor in the likely completion of the project
- the need to focus the research project at the literature review stage and limit the research to something achievable
- that a structured approach to developing the thesis assists the researcher to know the way forward, keep on track and maintain an overview of the project
- that the effectiveness of early methodological and research design training in terms of rigorous preparation of doctoral candidates ensures that the project is well designed and meets the required ethical standards
- that during the course of the research, it is necessary for candidates to have their progress exposed to peer review—for example by Ethics Committee examination of research proposals, publication during the research and regular doctoral symposia, and allowing peer and professorial input into proposals
- that candidates also need to have good relationships with peer researchers if their project is to take advantage of the full collegial research environment available, and
- that doctoral research undertaken in the context of business and management, can make a contribution to theory, policy (particularly government policy) and professional practice.

We consider that important questions about doctorate programs raised in this book need to be answered and we hope that this book challenges others to pursue these questions. We leave these questions for debate and discussion.

Peter Miller and Wayne Dreyer
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