# Contents

The Editors .................................................................................. i
Foreword ..................................................................................... iii
Acknowledgements .......................................................................... v
Introduction .................................................................................... 1

## Part 1  The State of Play of Transnational Doctoral Education in Asia  9

Chapter 1 Transnational Doctoral Education and Research: A Case Study ....................................................... 11
Chapter 2 Doctoral Research in Malaysia ...................................................................................................... 33
Chapter 3 Doctoral Research in Singapore ................................................................................................... 57
Chapter 4 Doctoral Research in Indonesia .................................................................................................. 75
Chapter 5 Doctoral Research in Thailand .................................................................................................. 87
Chapter 6 Doctoral Research in Hong Kong ................................................................................................ 97
Chapter 7 Doctoral Research in Taiwan .................................................................................................. 109

## Part 2  Doctoral Research Priorities for Asia  133

Chapter 8 Doctoral Research in Financial Management .................................................................................. 135
Chapter 9 Doctoral Research in Information Technology and Systems ....................................................... 145
Chapter 10 Doctoral Research in Human Resource Management ................................................................ 157
Chapter 11 Doctoral Research in Organisational Management .................................................................... 171
Chapter 12 Doctoral Research in Marketing Strategies .................................................................................... 175
Chapter 13 Doctoral Research in Small Enterprises ....................................................................................... 189

## Part 3  Issues and Strategies in Future Doctoral Research  207

Chapter 14 The Implications of Globalisation for the Management and Business Research Environment .................................................. 209
Chapter 15 Doctoral Research Output Structures ........................................................................................... 227
Chapter 16 Intellectual Regression and Plain Ideology in Management Theory and Research ............................... 249
Chapter 17 Supervision of Research Efforts ................................................................................................... 269
Chapter 18 Asian Research Symposia ........................................................................................................... 281
Chapter 19 Publishing Research Outcomes ..................................................................................................... 291
Chapter 20 Emerging Research Designs in Doctoral Studies ........................................................................... 303
Chapter 21 Establishing Sound Bases for Research Success ............................................................................ 319
Chapter 22 Global Confusion in the Discipline of Doctorates ........................................................................ 329
Summary ......................................................................................... 349
The Editors

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Professor A Selvanathan

Professor Selvanathan is currently the Deputy Vice Chancellor (Internationalization and Graduate Studies) of the City University College of Science and Technology in Kuala Lumpur, Malaysia. With more than three decades of higher-level international experience through service with the Malaysian Government, Commonwealth Secretariat, London and the United Nation, Selvanathan joined academia in 1995 and conducted programs on project appraisal and risk management in conjunction with the Harvard Institute for International Development. Associated with the SCU DBA since 1996, he has supervised several doctoral candidates. His special interests are in global economic trends, strategic management and knowledge management and he has contributed to several publications in these fields.

Emeritus Professor Geoff Meredith

Geoff Meredith is Emeritus Professor, Graduate College of Management, Southern Cross University Australia. He has held the positions of Dean, Director of Graduate Studies and Research, and Director of the DBA, which he designed and launched in 1995. To establish research programs, including two Research Centres, substantial funds were raised from the private sector and government. Many books and refereed journal articles have been produced including the following:


Meredith, GG. 2006. 21st Century Medical Practice Management. Lismore: Mereton Publishings


My experience of research in higher education is that doctoral students are crucial to the quality and performance of research at any University. These students provide intellectual capacity, vibrancy, innovation and new perspectives to the research puzzles before us. Most national systems of higher education however are confronted with problems associated with attracting students into doctoral programs, maintaining standards to ensure that doctoral programs provide high quality training, providing appropriate support for doctoral candidates, and sustaining the interest of doctoral students such that they complete their studies. The importance of highly skilled, intellectually capable doctoral graduates to nation building is almost self evident. I note with interest that one of the first concerns of newly appointed research-active staff is recruiting doctoral students, as a core component of building their research program.

This book breaks new ground in several ways. First, it introduces into our scholarly analysis of doctoral programs professional doctorates. It is noted in the Introduction to this book, the degree of Doctor of Philosophy has been embedded into structures supporting higher learning for many centuries. Professional doctorates are relatively recent phenomena, serving a similar yet different purpose. Debates concerning the status and rigor of these versions of doctoral degrees are possibly less important at beginning of the 21st century than was previously the case. The professional doctorate has proven that rigour and knowledge also emanates from the applied laboratory of the workplace. Thus, this book contributes the added dimension of doctoral programs which are solidly grounded in the practice of knowledge and applied research.

Second, this book focuses attention on doctoral education in Asia, which has emerged as a powerful force in world economic growth. This volume provides some important insights into the nexus between education and economic growth, but also assists our understanding of how doctoral research is being used to contribute to this development agenda. In this respect, this book makes an important scholarly contribution to our understanding of higher education in Asia, with respect to both a geographic dissection and a disciplinary research agenda. As is often the case, there is always the dilemma of how doctoral research is funded and disseminated when confronted with limited resources. This book begins the process of bringing our attention to Asian resourcefulness and creativity in addressing these issues.

Finally, the reader is challenged to confront the future of doctoral education. This book identifies the most important issues confronting higher education institutions across the world. These issues relate to both the future content of doctoral research, particularly with respect to business, and structures supporting the evolution of
doctoral programs, including the intellectual environment surrounding these programs. The attention given to issues such as methodology, supervision, dissemination and ideology provide an opportunity to reflect on the prospects for achieving the maximum benefits from the resources and energy nations direct towards doctoral programs.

This book is an important comparative resource that should inspire individuals, institutions and nation-builders with new ideas on doctoral education. I congratulate, Peter Miller, A Selvanathan and Geoffrey Meredith on the production of this book and each of the chapter authors on stimulating a critical dialogue in global higher education.

Professor Neal Ryan
Pro Vice Chancellor of Research
Southern Cross University, April 2011
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Introduction

Doctoral education across the globe is changing rapidly after many centuries where there has been little change to the doctoral degree. The doctoral degree was first established in medieval Europe as a license to teach but its roots can be traced back to the early church when the term ‘doctor’ was used to refer to church authorities who taught and interpreted the Bible. The term doctorate comes from the Latin docere, which means ‘to teach’. The term was shortened from the full Latin term licentia docendi, which means ‘teaching license’. The doctorate therefore was originally intended for teachers or academics, and over centuries became the core qualification for academic staff at universities, most notably in the form of the Doctor of Philosophy (PhD) program.

In more recent times, doctoral programs universally have become diverse in terms of their aims, curriculum and structure and are no longer considered solely as teaching or research qualifications. For many decades, doctoral programs have fallen under two broad approaches: ‘research doctorates’ and, more recently, ‘professional doctorates’. Professional doctorate programs have recently emerged in large numbers as an alternative to the more traditional research based doctoral programs and have expanded rapidly to the point where professional doctorates are now the dominant form of doctorate education.

Among the influences changing the nature of doctorates is the ‘Bologna Process’, a process whereby European countries are working together to reform higher educational systems. The process was established to stimulate discussion on degree structures and is driving reform within the signatory countries. The process seems likely to have a profound effect on the development of doctorate education globally in the future.

There are some studies and literature on doctorate education in Europe, United States and England and in other parts of the globe. However, little research has been undertaken on the state of play of doctoral education in the Asian region and there is a need to build our understanding of what is happening in doctoral education in this expanding and increasingly important part of the globe. This book goes some way to fill the gap in scholarship in this area. Our aims are therefore to inform those involved or interested in doctoral education in the business and management genre about transnational doctoral education in the Asian region and to write about the state of play of doctoral education in selected countries on the Asian Pacific rim. We also aim to identify current research priorities in doctoral research in the region and to draw together the issues and strategies that emerge
from those involved and experienced with doctoral education and its delivery. This will allow international comparisons with other regions to be made more easily and perhaps provide a framework for others to build upon in the future.

The selection of countries to be included in the first part of the book proved somewhat problematic. We hoped to include as many countries as possible but pragmatic concerns in the end won over and we selected countries where we could gain reliable data and yet, not include others where we might be overwhelmed with the task—possibly India and China for example that deserve their own special investigation due to their sheer size.

The book is divided into three parts.

In the first part, ‘The State of Play of Transnational Doctoral Education in Asia’, we wanted to overview the case study university and its doctoral programs and then capture what is happening in selected countries around the Asian Pacific rim in doctoral level research in the business and management genre. While each chapter author took some licence as to how they approached their chapter, we asked the authors to investigate questions concerning: the number of institutions offering doctoral programs, the types of programs being offered, the history of doctoral education in the country, the number of doctoral awards and the organisational structures used for delivery of the programs.

Chapter 1, ‘Transnational doctoral education and research: a case study’, by Geoffrey Meredith and Peter Miller, provides background to the design and development of Doctoral programs offered by Southern Cross University (SCU)—specifically the Doctor of Business Administration (DBA) and Doctor of Philosophy (PhD). The chapter traces the development of the DBA with modifications over the first decade of operation and the program’s delivery in several overseas locations in Asia. The DBA was the first research DBA available in Australia and the first graduate was recorded in 1997 and, up to 2010, over 250 graduates have completed the degree. The program is delivered by collaborative educational arrangements with partner institutions in country in Singapore, Malaysia and Hong Kong. The DBA program will be the case study program for the purposes of the disciplinary analyses conducted in the second part of the book.

Chapter 2 is the first chapter of the selected country overviews. Titled ‘Doctoral research in Malaysia’ by James CL Nga and Tan Lin Lah, it provides data and identifies several major themes and idiosyncrasies in the Malaysian business doctorate landscape. The chapter demonstrates how the Malaysian higher education sector has grown during the past decade and that Malaysia is fast becoming a centre of educational excellence in the region. Malaysia has 20 public universities, 18 private universities and six foreign university branch campuses, 485 private colleges, 22 polytechnics and 37 public community colleges. The Doctor of Business Administration (DBA) is currently being offered by five Malaysian public universities, two private universities, two university colleges and Southern Cross University (SCU) through the City University College of Science and Technology (City U).
Chapter 3, ‘Doctoral research in Singapore’ by Christopher Lim and Philly Pek, seeks to formulate, through basic internet research, a picture of doctoral education in Singapore with reference to the Doctor in Business Administration (DBA) and other doctoral programs in business offered by private education organisations in Singapore. The literature on the provision of doctoral education is scarce but this chapter intends to commence a discussion on this topic. The broad proposition of this chapter is that doctoral business education needs to attend to both the traditional, university-centred learning outcomes for rigour in doctoral degree research and the particularistic, student learning needs that are specific to education in Singapore. The latter specific learning needs can perhaps be linked to the utilitarian mindset of learning of the doctoral candidates in Singapore.

Chapter 4, ‘Doctoral research in Indonesia’ by Harif Rivai and Yulia Yenni, charts the history and development of doctoral programs in management and business in Indonesia. This field of study is relatively recent and the doctoral programs surveyed for this chapter are in their early development. Comparisons are made in the chapter of the selection, study processes and examination of doctorates between Indonesia and Australia. There are almost 100 public universities in Indonesia that are funded by the Government and are governed as self-managed institutions. In addition to the public universities, there are almost as many private universities which are owned, funded and managed by private organisations. As in other countries, some of the private universities are affiliated with social-religious organisations. Higher educational programs in Indonesia are accredited by the National Accreditation Board for Higher Education, an external quality assurance institution under the umbrella of the Ministry of National Education of Indonesia.

Continuing with the theme of country chapters, Chapter 5 reviews ‘Doctoral research in Thailand’ by Malinee Ronapat, and backgrounds Thailand’s long history of higher education development. In the last 30 years, the Thai Government’s 15-year Long Range Plan for Higher Education (2008–2022) covers all key aspects of higher education management and is a challenge to the Thai Higher Education system. Thai public and private higher education institutions offer a wide variety of PhD/DBA international programs which invite Thai and foreigners to enrol. Although there are many PhD courses offered in Thailand, most are pure science related. It was not until the 1980s that business management programs were acknowledged and since then higher institutions in Thailand continue offering PhD/DBA degree programs. However, most of these programs are young and emerging and some of them only exist in websites and on brochures.

Chapter 6, ‘Doctoral research in Hong Kong’ by Raymond Cheng and KS Chan, provides excellent data on the direction and quality of doctoral programs in that country. The authors identify several major trends and idiosyncrasies in the Hong Kong business doctorate landscape. DBA degrees offered in Hong Kong are mostly self-financing programs. It appears that there will be no attempt of initiative funding to be considered by the Hong Kong government, nor any resources available from the community in assisting the development of these programs. The authors affirm
that the DBA degree is increasingly being recognised as a viable alternative to the PhD as a recognised doctoral qualification in Hong Kong.

Chapter 7, the final country chapter, ‘Doctoral research in Taiwan’ by Chin Yao Tseng, Li Cheng Chen and Michelle Wallace, explains that a high value is placed on all levels of education and the central government maintains control of education policy, funding and course numbers to meet the needs of the economy. Since the 1960s, higher education has rapidly expanded and now there are 147 universities and colleges (excluding junior colleges) with about 1.3 million students. Universities in Taiwan have offered PhD programs in management/business since 1976. However, until 1998 more Taiwanese students achieved doctorates from USA universities than from universities in their home country. Now 30 Taiwanese universities offer PhD programs in business and management. PhD programs have high entrance standards, are highly structured and academically rigorous with a blend of coursework and dissertation. Analysis of some ‘Taiwanese universities’ websites indicates that there has been a change in most prevalent research topics since the early ’90s, reflecting dynamic business and organisational environments.

The second part of the book is titled ‘Doctoral Research Priorities for Asia’. In this part, the authors synthesise the doctoral research projects undertaken in the case study program into the sub-discipline groupings of financial management, information technology and systems, organisational management, marketing and small enterprise research. The structure of this part of the book provides what we hope is a sensible and traditional overview of the research priorities being pursued in the region by doctoral candidates. The research projects are mainly applied research and in many cases provide the platform for investment in both the organisations and industries under investigation. It is critical that this research is undertaken for the economy of these countries and much of the research undertaken has a high commercial value.

Chapter 8, ‘Doctoral research in financial management’ by Ian Sims, provides insight into doctoral research in Accounting and Finance (financial management) in the 21st century. This discipline differs from many other academic disciplines in that in many cases, practitioners require professional certification to be considered competent in addition to formal academic qualifications. In this area, the requirement for doctoral qualifications for a successful career in academia as the motivation to participate in doctoral study is perhaps even more important than in other areas of business. The chapter reviews doctoral theses in accounting and finance from the now closed Australasian digital theses program and compares this data to the successful doctoral completions in the Doctor of Business Administration (DBA) program at Southern Cross University.

The topic of Chapter 9 is ‘Doctoral research in information technology and systems’, by Jun Xu. This chapter reviewed 20 IS/IT theses in the case study program. In the chapter, the author identifies the current status, activities and directions of IS/IT research. Drawing on the analysis, a number of research agenda for future doctoral
projects are identified. For example, future doctoral research projects along the dimensions of research methods, focused levels, focused countries, focused business sizes, focused business types, and research topics of IS/IT have been proposed.

The next disciplinary chapter is Chapter 10 by Michelle Wallace and is titled ‘Doctoral research in human resource management’. This chapter examines the micro and macro-aspects of human resource management (HRM) and organisational development and explores theoretical underpinnings and current issues in these areas. The chapter then overviews doctoral research pertaining to HRM (including retention, career development, downsizing and performance appraisal), human resource development (including learner needs analysis, employability skills, multiskilling, coaching and mentoring and trainer effectiveness) and organisational development (change management, learning organisations, teams). Observations are made about the methodologies adopted and there is discussion regarding emerging issues post-global financial crisis.

Peter Miller then provides Chapter 11, ‘Doctoral research in organisational management’, which identifies the dominant type of sub-disciplinary research undertaken in the case study program since its establishment in 1996. Examining the program’s outputs over the last five years, the chapter identifies likely trends for future research in this broadly defined discipline area. The majority of research projects relate to organisational development and behaviour. Human resource issues and sales and marketing issues also dominate the research projects.

In Chapter 12, Peter Vitartas investigates ‘Doctoral research in marketing strategies’. While most of the research discussed is clearly based in the marketing discipline, some is drawn from other research areas and reflect the broadening of marketing into general management. It is argued in a discussion of the history of marketing that the discipline is becoming broader, leaving many opportunities for future research. The review of research highlights that many of the studies have tested, and in most cases confirmed, current theories of marketing in the Asia Pacific region. The new frontiers of marketing for budding researchers, it is suggested, will come from developments in the marketplace such as the Internet, social and environmental issues but also in the way investigators undertake research.

Chapter 13, ‘Doctoral research in small enterprises’ by Geoffrey Meredith, documents that more than 200 candidates have graduated with a doctorate from the case study program and a relatively high proportion of these graduates either focused completely on some aspect of small enterprise management or used small enterprises in Asia in their field studies towards the research degree. This is understandable given the significance of small enterprises and the contribution of small enterprises to national economies in Asia. The chapter examines doctoral research outcomes including the characteristics of small enterprises and their owners, various functional areas of management such as finance, marketing, human resource management and systems and factors which influence success in these functional areas. Other research reviews small enterprise growth and development and strategies, management style and success in the small enterprises
and finally, small enterprise policies which have been or may be adopted by national governments and organisations to support the growth and development of small enterprise.

The third part of the book concerns ‘Issues and Strategies in Future Doctoral Research’. Chapter authors who were known to be interested and involved in transnational doctoral education were invited to write about the issues of concern to them and to give the benefit of their experience to others so to provide a platform for others to use to develop strategies to improve the quality of doctoral program delivery and management. We trust we have selected issues that may appeal to those who are responsible for the development and delivery of doctoral programs generally.

In Chapter 14, Teresa Marchant reviews the ‘The implications of globalisation for the management and business research environment’. This chapter starts from the general thrust for more institutions in more countries to establish research environments, progresses through emerging research situations in Asia and then goes on to specific skills and learning needed to develop research and promote publication, particularly amongst doctoral students who are the academics of the future. New and emerging situations of interest include non-traditional institutions in some Western nations whose governments are demanding more and higher quality research, and Asian institutions considering a research culture and focus for the first time. The implications of globalisation are profound for established and developing research universities. Universities in Asia are being subject to similar pressures to ‘publish or perish’ for the first time. These institutions and their governments have the opportunity to learn from and avoid Western systems and embrace academic rather than managerial values for promoting a research environment.

In Chapter 15, Peter Miller continues with ‘Doctoral research output structures’. Doctoral research programs at universities are constantly seeking ways to improve their research outputs as measured by completion rates, publications and external recognition for the quality of their programs. This chapter outlines a change management program undertaken at the case study program that aimed to put into place the research output structures necessary to create a successful quality research training program. The chapter identifies the organisational, cultural and academic issues involved in the change program, undertaken over a five year period, and describes a framework of measures put into place to underpin the achievement of the research outputs.

In Chapter 16, ‘Intellectual regression and plain ideology in management theory and research’, Alex Kouzmin seeks to put managerial assumptions, rationales, justifications and practices in a globalised context into a deconstructive context. The chapter confronts an array of the issues, debates and controversies that have held centre stage for quite some time but too often managers are reluctant to confront. One on-going controversy within management thinking is the role of ideology in the creation and application of social science research, especially management research, and the extent to which management, as praxis, can, or should, be, ‘value
free’. This is very topical in a context in which Neo-classical economics has come to dominate a great deal of managerialist language, models, assumptions and consultancy visions.

Peter Miller returns with Chapter 17 on ‘Supervision of research efforts’. There is a view in the management of doctoral research programs that ‘the quality of the supervision within the program equals the quality of the program’. That is, the quality of the program is not totally contingent upon the strength of the doctoral candidates. There is also considerable discussion in higher degree research (HDR) literature about what constitutes ‘good’ HDR Supervision. The discussion consciously or unconsciously explores other questions such as ‘What is Research?’ and ‘What is Supervision?’ and in doing so reveals multiple constructs and dissonance across the terrain. Accordingly, a curriculum for Higher Degree Research supervision must adopt a constructivist stance in order to portray these multiple possible meanings for ‘good’ research supervision. This chapter explores the design, development and delivery of an on-line professional development program for doctoral research supervisors who are supervising research theses for doctoral candidates.

‘Asian research symposia’ is the title of Chapter 18, where A Selvanathan provides some background on the development and delivery of research symposia conducted in Asia as part of the delivery of the case study program for the doctoral candidates and supervisors involved. The exchange of ideas at each symposium enables doctoral candidates to have a better understanding of research issues and research design. It also enables them to improve their thesis writing skills, meet other candidates for networking, intellectual exchange, compare progress and exchange tips. Held bi-annually at the City University College of Science and Technology, Kuala Lumpur, symposia are an important mechanism for the strengthening of the educational partnership between SCU and its offshore centres including City U. The chapter details the features of a symposium conducted in Kuala Lumpur in June 2008 and reports on the topics covered. These included the examination process, literature reviews, the writing of abstract, ethics procedures and the feedback from participants.

The issue addressed in Chapter 19 by Geoffrey Meredith is ‘Publishing research outcomes’. The chapter provides guidelines for graduates wishing to publish from a doctoral thesis. The chapter looks at the rationale of publishing from a doctoral thesis, setting a timetable, remaining motivated in the exercise, and then considers the question of content of articles to be published, followed by discussion on selecting possible journals. Attention is then directed to meeting the requirements of potential journals, preparing a format for the published article and examining technical issues associated with writing research papers. The chapter ends by illustrating the selection of three potential articles from the case study program. This illustration sets out the structure of the thesis, comments on its content and relates the content and structure to potential refereed journal articles. The intention is to show how the issues raised in the first part of the chapter can be applied to the preparation of articles for publication.
Chapter 20 is titled ‘Emerging research designs in doctoral studies’ by Ros Cameron. The recent emergence of mixed methods in business and management research has only recently begun to take the notice of researchers and academics. Those who have researched the use of mixed methods in business and management fields have found an increasing utilisation of mixed methods in applied research. The chapter explores this small but growing section of literature and research which is attempting to gauge the use of mixed methods across a variety of business and management fields. This is then followed by the presentation of research findings into the research designs and methods utilised in the case study program. The research points to an almost 40% use of mixed methods by doctoral candidates. This exceeds the number of purely quantitative theses (32%) and purely qualitative theses (29%).

In Chapter 21, Lawson Savery explores ‘Establishing sound bases for research success’. Good research cannot be conducted without a thorough understanding of research methodology. Basically, there are two types of research methodology, Quantitative and Qualitative with possible various levels of either of the two used according to the needs of the research question(s) to be answered. The chapter discusses how a candidate chooses his/her supervisor, the two types of research methodologies and the reliability measurements of questionnaires. It also discusses the format of the thesis using the five chapter model highlighted by Perry and examines the content of each chapter.

Part 3 concludes with Chapter 22, ‘Global confusion in the discipline of doctorates’ by Peter Miller. Professional doctorate programs have recently emerged around the globe as an alternative to the more traditional research based doctoral programs and have expanded rapidly to the point where professional doctorates are now the dominant form of doctorate education. This chapter aims to shed some light on the growth of professional doctorates and to make some comparisons of professional doctorate programs with traditional research based doctorate programs by reporting on research undertaken in Australia. The research demonstrates confusion in the discipline of doctorates globally. Issues and observations arising from the research are discussed. A conclusion reached is that it may be time for Australian universities to consider establishing a new advanced higher research degree that clearly differentiates university research of a very high standard from other research.

Taken together, we hope that the three parts of this book fill some of the gaps evident in doctoral research scholarship within the Asian Pacific rim region. We trust you enjoy reading the chapters of this work and find some useful insights from the authors of the various chapters.

Peter Miller, A Selvanathan and Geoffrey Meredith
April 2012
PART I
THE STATE OF PLAY OF TRANSNATIONAL DOCTORAL EDUCATION IN ASIA
Chapter 1
Transnational Doctoral Education and Research: A Case Study
Geoffrey Meredith and Peter Miller

Overview
This chapter provides background to the design and development of Doctoral programs offered by Southern Cross University (SCU)—specifically the Doctor of Business Administration (DBA) and Doctor of Philosophy (PhD). SCU’s PhD is a traditional research degree completed by thesis only. However, the DBA was specifically designed for those graduates who required background in advanced units in management as well as research methods. The chapter traces the development of the DBA with modifications over the first decade of operation and the program’s delivery in several overseas locations in Asia. The DBA is the first research DBA available in Australia and the first graduate was recorded in 1997; up to 2010, over 250 graduates have completed the degree. Over the same period some 16 PhD graduates have completed their research supervised by Graduate College of Management staff. DBA candidates have come from many countries but predominantly from Asia—31 from Malaysia, 28 from Thailand, 24 from Singapore, 10 from Indonesia and others from Hong Kong, Vietnam, Taiwan, Korea, Dubai and Japan. The program is also delivered by collaborative educational arrangements with partner institutions in country in Singapore, Malaysia and Hong Kong. Discipline areas cover financial management, human resource management, systems, marketing, small enterprise, management, organisation and the professions. The chapter concludes with comments on possible future developments.
Introduction

As the initial chapter for this book, the focus is on setting the scene for doctoral programs offered by Southern Cross University throughout the region. With this in mind, the chapter has clear objectives:

• Outline a brief history of Southern Cross University and its establishment.
• Trace the development of management and business programs at undergraduate and specifically at post-graduate level.
• Identify factors that lead to the establishment of the Graduate College of Management with its Doctoral programs—PhD and DBA.
• Outline the rationale for the DBA and identify off-shore DBA centres throughout New Zealand and Asia.
• Outline candidate support and supervisor support systems for PhD and DBA programs.
• Provide a brief overview of PhD and DBA candidates and graduates up to and including 2008.
• Comment on current developments including the establishment of an International Centre for Professional Doctorates.

The structure of the chapter in general follows the list of objectives above, beginning with a brief overview of the history of Southern Cross University and working through programs associated with management and business with an emphasis on doctoral programs in these discipline areas.

Southern Cross University—A Brief History

Southern Cross University was established on 1 January 1994 on the North Coast of New South Wales, Australia, 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 brought down in 1989.

During 1992, an Advisory Group was established to consider the possibility of the network (University of New England) being dismantled and 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 Rives 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 on November 1993 leading to the establishment of Southern Cross University from 1 January 1994.

**Management, Business and the Graduate College of Management**

Business studies were introduced at the College of Advanced Education in 1973 with the first undergraduate intake in 1974, with a Diploma program replaced by a Bachelor of Business in 1975. In terms of academic organisation, the school was divided into three areas of specialisation—administration, data processing and accounting/finance. By the mid 1980s, the academic development of the School concentrated on four main disciplinary areas: accounting and finance, business computing, marketing management and small business management. Programs continued at the undergraduate level although some Graduate Diplomas were introduced—for example, the Graduate Diploma in Applied Communication Technology, accredited in 1982.

With the network linkage to the University of New England from 1 January 1989, the School was renamed the School of Business and Computing. A major development in 1989 was the decision to appoint a full-time Director of Graduate Studies and Research—an appointee on secondment from UNE’s Armidale campus. The purpose of this appointment was to attract research funds and develop research programs, develop graduate programs at the Graduate Certificate, Graduate Diploma and Masters levels, and attract candidates for a PhD program with rules and regulations adopted from the University of New England. Initially, candidates enrolled for the PhD graduated through UNE and candidates continuing with their research following establishment of Southern Cross University on 1 January 1994 were also allowed to graduate through UNE.

Following the establishment of the DBA in 1996, strong arguments were developed for a separate Graduate College of Management (GCM) and advantages were seen for the GCM to be established on the Tweed Coast with land made available adjacent to the Tweed City Council facilities at Tweed Heads. The Director of the GCM and senior staff were located at the Tweed Campus although some administrative facilities in particular organisation of distance learning programs, remained at the Lismore Campus. 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.
As at 2010, the GCM offers the following awards at Masters and Doctoral level:

- Masters of Business Administration
- Masters of Business Administration (advanced)
- Graduate Certificate in Business Administration
- Graduates Diploma in Business Administration
- Masters of Professional Accounting
- Masters in Supply Chain Management
- Masters of Human Resources and Organisation Development
- Masters of Technology and Management
- Masters of Management
- Masters of International Business
- Graduate Certificate in Research Management
- Masters of International Sport Management
- Doctor of Business Administration
- PhD.

An update on courses available through the GCM claims that the College offers quality programs with high academic standards, a practical focus, relevant content and excellent support to meet challenges faced by 21st Century managers. The College administers post-graduate programs in business administration, international business, management and marketing, and research degrees in business and management covering such areas as knowledge management, leadership, action learning, innovation and technology linked to research. The programs provide a wide range of specialisation areas including human resources, finance, marketing, international leadership, entrepreneurship and small business management, sports management, health management and information systems management. This represents an extensive expansion of specialisation areas when compared with programs available in the 1980s.

**Doctoral Research Award—PhD**

Rules applying to candidature for the award of PhD at Southern Cross University were accepted when the campus joined the UNE network in 1989. The UNE rules for PhD candidature were based on those of the University of Sydney (Australia’s first University) and were applied to UNE when that campus was established as a University College of the University of Sydney in 1938 and rules were subsequently retained when the University became autonomous in the 1950. Only relatively minor modifications to rules have been made including the introduction of a PhD qualifying examination in May 2000 for those potential candidates who did not meet the standard requirements of admission (see below). Other minor changes to the research rules were to allow candidates to interrupt their candidature for a period totaling no more than 12 months—approved in 1994 by the University Council.
The Southern Cross University PhD is a research degree administered by the University’s Graduate Research College with candidates approved by the Higher Degree Committee, which is a sub-committee of the Graduate Research Committee of Academic Board. Candidates enroll through the Graduate College of Management, but their candidature is subject to the rules of the Graduate Research College.

A brief overview of admission to candidature, requirements of the Award and details of thesis and examination of thesis are set out below with full details available on the Graduate Research College website.

- Admission to candidature: applicants may be admitted as full-time or part-time candidates and applicants must possess a Bachelor Degree with at least 2nd Class Honours First Division or the equivalent, or a Masters Degree with at least 50% of the assessment of the Award based on thesis or dissertation or research qualifications being equivalent to these requirements. As noted above, provision now allows candidates to complete a PhD preliminary assessment for admission to candidature.

- Confirmation of candidature normally takes place within one year of admission to candidature.

- Eligibility for the Award of PhD requires a candidate to make an original and significant contribution to knowledge through research by submitting and having accepted a thesis prepared under the supervision of a principal supervisor. Normally to be eligible for the Award, a candidate shall be a full-time candidate for at least two years or a part-time candidate for at least three years.

- Work environment and supervision: a principal supervisor is appointed and a program of research and related requirements is agreed to by candidate and supervisor with probation and progress reports submitted on a regular basis. A candidate-supervisor agreement containing criteria for satisfactorily progress is developed and approved by both candidate and supervisor.

- Thesis submission: completion of research will result in the preparation of a thesis with evidence of authenticity and originality—four copies will be submitted— with copies examined by three examiners of which two shall be external to Southern Cross University. Examiners are asked to comment specifically on:
  - The thesis demonstrating that the candidate has an adequate understanding of the field of research.
  - The thesis demonstrates that the candidate has designed, undertaken and reported on an investigation in the specific field of research at a satisfactorily level.
  - The candidate has presented the thesis in a manner and level appropriate to the field of research
  - The literary standard of the thesis is adequate. In addition, the examiners recommend whether any modification or adjustments are required of the thesis before the Award is made.

Full details of the rules applying to Southern Cross University’s PhD are on: www.scu.edu.au/schools/gcm.
Supervision of PhD candidates by staff in business and management commenced with the appointment of the Director Graduate Studies and Research within the then Faculty at the end of 1989, and the first Graduate was awarded the PhD in 1995 followed by six graduates in 1997 and two in 1999. Since 2000, more than 30 graduates have completed the PhD Award in research areas linked to business and management.

**DBA—Rationale and Development**

Given 1 January 1994 saw the establishment of Southern Cross University, the Faculty of Business and Computing immediately began discussions on the structure of a professional Doctorate in Business (DBA). Stage 1 of a Course Approval Submission was considered by the Academic Board in November 1994 and forwarded to University Council in the same month. Director of Research and Graduate Studies (Professor Geoffrey Meredith) lead support for the new doctorate, believing that a need existed amongst qualified graduates who may not have had prerequisites to enter a PhD program and, importantly, sought a program that provided updates on research methods and opportunities to test abilities to produce quality research articles. Council recommended that the DBA be approved subject to subsequent course accreditation.

The proposed DBA set out an advanced course of study involving course units, supervised published papers and a supervised thesis. In general terms, the DBA had as its aim, to produce graduates with skills to apply appropriate business disciplines and techniques to solve resource management problems of the private and public sectors with particular emphasis on resource management within the Asia/Pacific Region, and to provide candidates with the opportunity of participating in interactive processes of research. The Submission proposed that the DBA be the only program in Australia offered on a distance learning basis so that the DBA was linked to the University’s mission of providing scholarship at an advanced level to suitably qualified candidates through Australia.

The need for a professional Doctorate such as a DBA was emphasised in a discussion paper prepared for Australia’s Pro-Vice-Chancellors (Research) that 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:

- To 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 course work Masters Degree (including MBA) that 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 who had completed a Masters 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, Southern Cross University 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 post-graduate 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 Southern Cross University and the Business and Professional communities to their mutual advantage.

The Stage 1 submission recommended that the DBA require the equivalent of 18 units:

• Six advanced course units.

• Two units representing the production of papers, one to be submitted to a refereed journal either in Australia or overseas and one to be published as a high quality working paper—both papers to be embodied in a Thesis.

• 10 units representing a Thesis submitted for examination by internal and external examiners.

It was proposed to introduce the DBA during the second and third trimester of 1995 with the award available on a full-time basis, part-time on campus, part-time on a distance learning basis in Australia with compulsory residential workshop requirements each trimester, and on an off-shore basis at selected university centres in Asia, with a minimum number of candidates and compulsory residential workshops each trimester at those university centres.

The submission included details of candidates converted to a strategic budget over three year period, indicating a surplus since the program would be available on a full-fee basis both for Australian and overseas candidates.

Further details were provided on proposed six advanced units, DBA working papers and article requirements and the DBA research Thesis.
An Academic Board meeting held in May 1995 resolved that the Doctor of Business Administration be accredited, and this accreditation submission was approved by University Council in November 1995 with an appropriate set of rules also approved.

Administrative arrangements approved were for applications for admission to the program to be submitted to the Dean, Faculty of Business and Computing and be approved by also the Director of Research within that Faculty. Candidates were to be finally considered by the Faculty of Business and Computing Research Committee, which would approve course units and an appropriate research field and supervisors. Before being permitted to proceed to the Thesis section of the course, candidates were to complete the requirements of six advanced course units and two research paper units approved by the Faculty of Business and Computing Research Committee and also have completed the units with results with an average Credit level. At least 67% of the course of study was to be research papers and research thesis.

The Thesis submitted by candidates would be referred to two examiners appointed by the Faculty Committee on the recommendation of the Faculty of Business and Computing Director of Research. At least one of these examiners was to be external to the University. After considering examiner reports, the Committee could recommend to the Academic Board that the DBA be awarded or the Committee may require the candidate to submit to written, oral or practical examination as it considered fit.

At University Council meeting on 9 February 1996, a proposed amendment to rules of the DBA allowed candidates to complete the degree on a full-time basis over an extended period of three years of study. This was introduced to meet the requirements of a number of scholarship/fellowship granting bodies including international agencies, which offered scholarships or fellowships over a three year period of full-time study.

Following the establishment of a Graduate College of Management, the University Council of July 1988 approved amendments to rules that substantially eliminated reference to ‘Faculty of Business and Computing Research Committee’ for the new ‘Graduate College of Management’.

A further amendment of rules at the July 1999 University Council meeting reflected changes in the Schedule of Course work units available for study, and also made minor changes to the administrative arrangements for the DBA program. The 18 units required for the DBA included:

- Four advanced units in Management and Business (candidates with prior qualifications may be granted credit for these).
- Research Methods and Design I and II
- Research Papers I and II
- 10 Thesis units.
At the University Council meeting of July 2001, a further minor variation in structure of Thesis units was approved on the basis that the new structure would be of assistance to candidates as they plan their research degree. At this stage, the previous Research Papers I and II also were modified to be the units Preliminary Literature Review and Research Proposal. By 2002, the structure was modified to include 24 units—four advanced Management units, two Research Method units, a preliminary Literature unit, a Research proposal and 16 Thesis units. In February 2005 a further change in name was introduced with the Research Methods units being known as ‘Qualitative Research Methods’ and ‘Quantitative Research Methods’. In supporting this change, the Graduate College of Management argued that the revised names better reflect the content of the research units.

In 2006, a Course Review of the DBA was undertaken to consider re-accreditation of the Degree for a further five years. The Chair of the Review Committee was 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 Masters 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 pro-actively 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 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 commends 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.

**International Collaborative Partnerships**

The Southern Cross DBA is a transnational award and 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. Therefore, it was necessary that an organisational structure facilitating knowledge sharing be put in place. In 2005, the then Director of the program, Associate Professor Peter Miller, established a ‘pod’ supervision model whereby a group of candidates at particular overseas locations were assigned to a particular SCU full-time staff supervisor (the principal supervisor) to work together with the local in country supervisor to create a formal link between the local supervisors and College doctorally qualified and experienced staff, and to ensure supervision standards, quality and procedures are matched at the overseas locations.
A summary of each of the partnerships is provided below.

**The Hong Kong Institute of Technology**
Southern Cross University and the Hong Kong Institute of Technology (HKIT) entered into an Educational Collaboration Agreement in September 2003. The agreement provides the educational and business delivery model for the partners and establishes quality procedures and processes to ensure that the candidates receive the same quality educational experience and service expected at the Southern Cross University campus. A management committee comprising of senior representatives from both institutions was established by the agreement to oversee the arrangement. The first graduate of the program occurred in 2008.

**Manukau Institute of Technology**
Manukau Institute of Technology in New Zealand and Southern Cross University celebrated 10 years of educational collaboration on in September 2008. The Educational Collaboration Agreement was amended in May 2005 to include the delivery of the DBA program. The agreement provides the educational and business delivery model for the partners and establishes quality procedures and processes to ensure that the candidates receive the same quality educational experience and service expected at the Southern Cross University campus. A management committee comprising of senior representatives from both institutions was established by the agreement to oversee the arrangement. The first graduate of the program occurred in 2008.

**Sydney College of Business and Information Technology**
Southern Cross University and the Sydney College of Business and Information Technology (SCBIT) entered into a Educational Collaboration Agreement in December 2004. The agreement provides the educational and business delivery model for the partners and establishes quality procedures and processes to ensure that the candidates receive the same quality educational experience and service expected at the Southern Cross University campus. A management committee comprising of senior representatives from both institutions was established by the agreement to oversee the arrangement.

**Management Development Institute of Singapore**
Southern Cross University and the Management Development Institute of Singapore (MDIS) entered into an Educational Collaboration Agreement in April 2001. The agreement provides the educational and business delivery model for the partners and establishes quality procedures and processes to ensure that the candidates receive the same quality educational experience and service expected at the Southern Cross University campus. A management committee comprising of senior representatives from both institutions was established by the agreement to oversee the arrangement.
Unity College International Malaysia—now known as City University College of Science and Technology (City U)

Southern Cross University and the Unity College International Malaysia entered into an Educational Collaboration Agreement in June 2007. Prior to this agreement, the University had agreements with a number of other Malaysian institutions including the Cybernetics Institute of Technology and the Southern Cross Management Centre. The Unity agreement provides the educational and business delivery model for the partners and establishes quality procedures and processes to ensure that the candidates receive the same quality educational experience and service expected at the Southern Cross University campus. A management committee comprising senior representatives from both institutions was established by the agreement to oversight the arrangement. There have been many graduates from this partner program. The College was renamed the City University College of Science and Technology (City U) in 2010.

Candidate and Supervisor Support Systems

Up until 2004, most of the DBA candidates worked mostly 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 was 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, online reporting systems 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.

Doctoral Candidates Centre

The ‘doctoral candidates centre’ was established where the candidates could locate relevant information and academic resources, network with other candidates and
complete their progress reports and also get a better understanding of the processes, procedures, practices of the doctoral programs.

**Doctoral Supervisors Centre**

The ‘doctoral supervisors centre’ was established as an online knowledge repository for doctoral supervisors where supervisors could share their knowledge and experiences of supervision and locate required information and resources. The supervisors centre also aimed to facilitate supervisors’ understanding of the processes, procedures and practices of doctoral programs that have an impact on both supervisors and candidates. All of the content areas in the supervisors centre are identical to those in the candidates’ centre, in order to provide supervisors with an appreciation of the resources available to candidates.

**Research Symposia**

Half-yearly doctoral symposia are held for both DBA and PhD students from at the Tweed Gold Coast campus of the University. Up to 85 candidates attend the symposia together with their supervisors and academic staff from the College. Similar but smaller symposia are also delivered at each overseas partner location where the main purpose is knowledge sharing between candidates and their supervisors, as well as with peers and other academics.

Candidates are encouraged to present their research at each symposium and other candidates and supervisors critique the research in progress presentations giving the candidates the opportunity to learn from questions asked by peers and academics.

**Professional Development for Doctoral Supervisors**

In 2007, the then Director of the DBA, Associate Professor Peter Miller commissioned the development of a 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. 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 HDR supervisors to examine the nature of HDR supervision and to discuss what might constitute ‘effective’ research supervision;
2. Assist HDR supervisors to articulate and reflect on their supervisory practice in a collegial environment;
3. Expose HDR supervisors to different models of supervisory practice;
4. Assist HDR supervisors to develop a critical understanding of the teaching and learning processes involved in effective HDR supervision;
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.

The program is designed to be self contained, rigorous and do-able by busy supervisors. It was also designed to be undertaken either in a self-paced way as a resource or in a moderated way as professional development. Participants are 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 web site so that they do not have to toggle back and forth for instructions within the online environment.

The program is an online program that is completed in small cohorts (up to 30 supervisors) with other HDR supervisors over a period of five weeks. It involves a time commitment of about two to three hours per week. This includes accessing the online web site (that can be accessed from anywhere you can get a connection, while on leave, travelling overseas, etc), responding to some reflective activities and reading a case study and posting a brief response so that the HDR supervisors in the cohort can learn from each other about HDR supervisory best practice. Supervisors do not require any training to undertake the program.

The program has had several successful iterations. As a result of HDR supervisor feedback and the continual development of the program, 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 HDR supervisory style. Such a diagnostic instrument could be used as a pre and post test for the professional development program in the future and for the matching of HDR supervisors and candidates.

**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.

**Publications**

In July 2004 under the leadership of Professor Alex Kouzmin and Gita Sankaran, a publication project was established with the aim of increasing the rate of knowledge diffusion from the DBA program. The cost of underwriting this project was provided by Professor Peter Baverstock from the University’s Graduate Research College. Through the GCM Publications Program, students and staff published at the following rates:

- 2005 candidates and staff published 19 articles in scholarly international peer-reviewed journals.
- 2006 staff and candidates produced two books and one book chapter, 13 scholarly journal articles and 22 scholarly conference papers.
- 2007 staff and candidates produced one book and 10 book chapters, 13 scholarly journal articles and 20 scholarly conference papers.
- 2008 staff and candidates produced three books and five book chapters, five scholarly journal articles and 17 conference papers.
- 2009 staff and candidates produced one book and 10 book chapters, 13 scholarly journal articles and 22 scholarly conference papers.
- 2010 staff and candidates produced four books and eight book chapters, 11 scholarly journal articles and 21 conference papers.

In 2007, Gita Sankaran and Associate Professor Peter Miller published an edited book, *Exemplary Practitioner Research in Management: Ten Studies from Southern Cross University’s DBA program*, to showcase the level and variety of research undertaken in the DBA program. A follow up publication by Professor Miller and Dr Teresa Marchant, *Professional Doctorate Research in Australia: Commentary and case studies from Business, Education and Indigenous Studies* (SCU Press, 2009), also spread the scholarship developed in the program.

**External Recognition**

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 two 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 Associate 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 candidates’ and supervisors’ 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 at providing 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 post graduate research candidates (which 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.

The Melbourne Institute 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 titled: ‘Rating Major Disciplines in Australian Universities: Perceptions and Reality’. In that report, Southern Cross University had the highest number of doctoral completions (principally DBAs) in Business and Economics over the period. Monash was ranked second and UNSW 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 Southern Cross 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 on ‘An investigation into the structure, range of activities, performance and supervisory arrangements concerning the University’s DBA program’. The investigation coincided with the then 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.

The International Centre for Professional Doctorates

The International Centre for Professional Doctorates is the organisational unit responsible for the delivery of professional doctorate programs at SCU. The genesis of the International Centre for Professional Doctorates occurred in discussions during 2005 between the then Director of the Doctor of Education program, Associate Professor John Hammond, and the Director of the DBA program, Associate Professor Peter Miller. Both thought it desirable that the two professional doctorates be administered by one organisational unit. However the idea was not supported by the then Dean and the matter was put on hold.

In April 2006, the Executive of the University approved in principal a proposal from the then Executive Dean of Business, Professor Neal Ryan to establish a new Centre attached to the Graduate College of Management. This was to be known
as the ‘International Centre for Professional Doctorates’ and would be achieved by renaming the existing DBA administration team. The VC provided $20,372 in Strategic Initiatives funding to Associate Professors Miller and Ellis to research the ‘Expansion of the SCU Professional Doctorates Program’.

In May 2006, Professor Miller established an Administrative Review Group to investigate whether changing to another structural option was feasible and practical and to consider an option of changing the structure of the program from its ‘credit’ based structure to a mixed ‘time based’ structure similar to the PhD program. The review was chaired by Ms Sue White.

The Administrative Review Group recommended a ‘time based’ structure for the thesis component of the program and this was adopted by the Review Panel.

Subsequently, the Academic Board in June 2006 established a Working Party chaired by Associate Professor Allan Ellis to investigate the expansion of professional doctorate programs at the University. The Working Party delivered its report in April 2007, making the following recommendations to Academic Board:

1. That the current DBA and EdD program rules (as revised post the recent review of the DBA program) form the basis of a generic set of rules for all professional doctorate programs. It was agreed that a course change submission rather than a new course proposal was the best and most expeditious way to proceed.

2. That the Doctor of Business Administration and the Doctor of Education programs change their schedule of units to a new three-stage structure recommended by the Doctor of Business Administration Review Panel and share core generic coursework units.

3. That the two existing DBA research units (MNG03047 Qualitative Research Methods and MNG03048 Quantitative Research Methods) be adopted as the generic research units for all professional doctorate programs.

4. That a new exit point be established in the generic rules to enable students to exit the program with an award titled ‘Graduate Certificate in Research Methods’ after successful completion of the Qualitative Research Methods unit (single unit), the Quantitative Research Methods unit (single unit) and Professional Doctorate Research Proposal (double weighted unit).

5. That the current Graduate College of Management DBA staff form the basis for the proposed International Centre for Professional Doctorates, to be located at the Tweed Gold Coast campus.

6. That the proposed International Centre for Professional Doctorates be responsible for co-ordinating the development of professional doctorate programs across the University to meet the strategies outlined in the Strategic Plan 2005–2010.

7. That the proposed International Centre for Professional Doctorates work with Academic Organisational Units to research areas for new professional doctorates and allow for co-ordinated marketing both nationally and internationally.
8. That a new sub-committee of Academic Board be established to be called the ‘Professional Doctorates Committee’ (PDC) with responsibility to be the principal advisory and working committee of the Academic Board on issues relating to Professional Doctorates across the University and the International Centre for Professional Doctorates.

9. That the course change submission for the DBA and EdD currently being considered by the School of Education Board of Studies and the Graduate College of Management Board of Studies be endorsed by Academic Board.

10. That a new category to be termed ‘Adjunct Professional Doctorate Supervisor’ be established under the policy for Adjunct, Visiting and Conjoint Appointments to recognise the contribution of academics engaged as contractors as professional doctorate supervisors. Adjunct Professional Doctorate Supervisors would normally be senior persons in their field and possess academic qualifications and expertise comparable with those expected of a University employee at this level.

The International Centre for Professional Doctorates was to be responsible for professional doctorates across the University, and is overseen by a sub-committee of Academic Board known as the ‘Professional Doctorate Committee’, equivalent to the Higher Degrees Committee (HDC) of the Research and Research Training Committee, which is itself a sub-committee of the Academic Board. The HDC has responsibility for research masters and the Doctor of Philosophy programs across the University. The Professional Doctorates Committee (PDC) will include members of the HDC and oversee the development and quality control of professional doctorates for the University and report on a regular basis to Academic Board.

The finalisation of the 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. 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 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 15 February 2008, agenda item f2).

**Future Developments**

Following the establishment of the International Centre for Professional Doctorates, Professors Baverstock, Ryan and Miller had initial discussions around the desire to align the leadership, systems and administrative processes of the ICPD and the GRC to ensure that strategies were implemented to improve Higher Degree Research completion rates, student services, reduce attrition rates and implement uniform policies and procedures across the University particular for professional doctorates and the PhD program.
The GRC administers all Higher Degree Research (HDR) students, including PhD and Masters by Thesis, with the Higher Degrees Committee (Research) being the approval body for all student administrative processes. The HDC(R) is responsible to Academic Board through the Research & Research Training Advisory Committee (RRTAC) (see organisational chart attached as appendix A).

The GCM administers, markets and commercially manages all Professional Doctorate students (DBA, EdD, DIP), through the International Centre for Professional Doctorates (ICPD) with the Professional Doctorate Committee (PDC) being the approval body for all student administrative processes. The PDC is responsible to the Academic Board through RRTAC.

A significant number of functions are common to both the Professional Doctorates and HDR administration. There is a desire to align the leadership, systems and administrative processes of both to lead to synergies, lower costs, and higher quality outcomes for students and the University.

There are a number of reasons in favour of greater harmonisation of the processes used in the PhD and the Professional Doctorates programs. The objectives include:

- Ability to develop a set of best practice processes in HDR administration
- Enhanced capacity to attract candidates
- Economies of scale
- Avoiding duplication in areas such as process development, student administration, information systems, supervisor training and candidate support
- Ability to increase resources targeted towards reducing attrition, increasing completion rates and, the publication and commercialisation of results.
- Improved student/supervisor service quality.

Given the potential for synergies, the Vice-Chancellor’s Executive on 18 February 2008 approved the following recommendation:

1. To establish a steering group to investigate the alignment of doctoral administrative processes across the University.
2. The steering group to have representation from the Faculties, Academic Board, the GRC and the GCM.
3. The Steering Group to report back to Executive within one month.

The Steering Group recommended that the University should proceed with the amalgamation of the two areas and to appoint a Director of Higher Degree Research (HDR) to lead the amalgamation process. The International Centre for Professional Doctorates was disestablished on 31 December 2009, in favour of having the Higher Degree Committee taking responsibility for all doctorate programs (both professional doctorates and the PhD) at the University.
Summary

The doctoral programs offered by SCU are transnational awards. Candidates for these programs come from across the globe but predominately from the Asian region. SCU has evolved its organisational structures, systems and processes to meet the demand for its doctoral programs and to provide quality delivery mechanisms. Part of this involves entering into collaborative educational partnership with overseas institutions to allow the doctoral programs to be offered at overseas locations. The chapter has provided an overview of how SCU responded to the need to globalise its doctoral awards and to provide quality systems to support its delivery strategies and business model.
References


Graduate Careers Australia. 2005. Postgraduate Research Experience Questionnaire (PREQ)

Graduate Careers Australia. 2006. Postgraduate Research Experience Questionnaire (PREQ)


Overview

The Malaysian higher education system is responding to the increasing demand for tertiary education. By June 2010, these numbers increased to 20 public universities, 20 private universities, six foreign university branch campuses, 17 university colleges, 485 private colleges, 22 polytechnics and 37 public community colleges. The total enrolment in all higher education institutions was 942,000 in 2008.

A traditional importer of higher education, the country has now become a significant exporter of higher education following the liberalisation of higher education sector in 1996. An estimated 80,000 international students were enrolled in Malaysian higher education institutions in March 2010 (The Star, 2010).

All private higher education institutions (PHEIs) are regulated by the Ministry of Higher Education (MOHE) and their courses require approval by the Malaysian Qualification Agency (MQA) to ensure that they conform to quality standards. The National Higher Education Action Plan (NHEAP) 2007 and the National Higher Education Strategic Plan (NHESP) 2007 are aimed at transforming the higher education system. The emphasis is on research and development (R&D) capabilities, the privatisation of private higher education, quality assurance and increasing the output of doctoral graduates. The target is to produce 100,000 high quality graduates with doctoral degrees by 2022.

In Malaysia, the Doctor of Business Administration (DBA) is currently being offered by five Malaysian public universities, two private universities, two university colleges and Southern Cross University (SCU) through the City University College of Science and Technology (City U).

Introduction

Malaysia’s goal is to become a developed nation by 2020, as reflected by the National Vision Policy 2001–2010 and the New Economic Model 2010–2020 (GOM, EPU, 2010). Emphasising higher education for building on the knowledge and innovation capabilities required for international competitiveness (GOM, MOSTI 2006), these policies have triggered a rapid expansion of tertiary education places for
internationally acceptable and negotiable global qualification (Huang, 2006). The total enrollment in the public and private higher education institutions (PHEIs) was 942,000 students in 2008 (GOM, MOHE, 2009).

The Government’s National Higher Education Strategic Plan (NHESP) 2007 is aimed at transforming the country into a regional centre of educational excellence. Consequently, the international activities of Malaysian institutions of higher education have dramatically expanded in terms of volume and scope over the past decade (Morshidi, 2006a). Although 38,000 Malaysian students were studying abroad in 2004, Malaysia is now emerging as a significant exporter of higher education with 69,154 students, from more than 100 countries, enrolled in Malaysian institutions in February 2009 (GOM, MOHE, 2009).

National educational policies called for increasing the access to higher education, improving quality assurance for conformity with international best practices, promoting good academic governance, encouraging academic research and exporting higher education through privatisation and internationalisation (Middlehurst & Woodfield, 2004). These have led to Malaysian universities and colleges increasing their educational exports by internationalising their curricula and increasing international student enrolments (Tan, 2006). They are also taking advantage of the different modes of transnational education through twinning programs, distance education, franchising arrangements and the establishment of branch campuses by leading international universities (Altbach & Knight, 2007; OECD, 2004). These include the delivery of the Southern Cross University (SCU) Doctor of Business Administration (DBA). Introduced in 1997, this was the first offshore professional doctorate program in the country.

This chapter provides the backdrop for the professional doctorate experience in Malaysia. It outlines the evolution of higher education, highlights policy trends, discusses Malaysian educational exports and then provides a snapshot of doctoral programs in Malaysia. The chapter is based in part on a chapter titled, ‘The Contextual Setting for the Malaysian Doctoral Experience’, in Doctoral Research in Management and Business in Malaysia (Miller & Selvanathan, 2010) and is used with permission.

The Evolution of the Malaysian Public Higher Education Sector

Malaysia (then Malaya) achieved independence on 31 August 1957. In August 1963, the country merged with Singapore, Sabah and Sarawak to form Malaysia. Singapore exited in September 1965. The Government’s initial developmental efforts were therefore directed at rural development, agricultural diversification, industrial development, and improving physical and social infrastructure. Emphasis was given to education; through the building of new primary and secondary schools, particularly in the East Coast, as it was one the least developed areas (GOM, Third Malaysia Plan, 1971).
'Higher education was treated as a global public good because of the positive externalities associated with its provision' (Sivalingam, 2007, p3). Accordingly, the Government emphasised the higher educational sector and addressed two interrelated issues. The first was to increase the access to tertiary education in the context of a multi-ethnic Malaysian society. The second was to expand the available places in the higher education institutions to meet the growing demand for tertiary education (Had Salleh, 2000).

After the formal separation from Singapore, the University of Malaya located in Singapore, became the National University of Singapore. The University of Malaya was relocated to Kuala Lumpur in 1962 as the country’s sole national university with English as the medium of instruction (Shukor, 2000).

A monopoly of the state, the higher education institutions grew slowly in the early 1960s with only two universities being established in the succeeding decade (Psacharpoulos, 1972; Sivalingam, 2007). They were the Science University of Malaysia (Universiti Sains Malaysia) in 1969 and in 1970, the National University of Malaysia or Universiti Kebangsaan Malaysia (Adnan, 1973).

In the early 1980s, the country, as shown in Figure 2.1, progressed to a ‘productivity driven technology era’ in order to sustain export earnings growth. However, the country faced severe shortages of high-level labour (Selvanathan, 1999) and the ‘professionals and senior management staff’ category accounted for only 10% of the total workforce (Business Times, 1997). A regional survey of business executives viewed high-level labour shortages in Malaysia as the biggest problem in business operations (Asian Business, 1995). The public universities also faced difficulties in recruiting staff with doctoral qualifications (GOM, Seventh Malaysian Plan, 1996).

**Figure 2.1: Malaysia’s Economic Transition**

Source: Adapted from GOM, EPU (2009)
The Government therefore expanded the available places in the higher education institutions to meet the growing demand for tertiary education (Had Salleh, 2002). The initiative resulted in the doubling of enrolments and the number of public universities between 1971 and 1998. Total student enrolments in tertiary education grew from 7,677 in 1970 to 60,030 in 1990, largely due to the establishment of six new universities during this period. As shown in Table 2.1, the new public universities were largely located in the less developed states of Sabah, Sarawak, Terengganu, Kelantan, Kedah and Perlis to increase the access of rural Malaysians to tertiary education. Some of the new universities were also directed at meeting the growing demand for skilled professionals in the technology, science and agricultural sector.

Despite this increase, only 7.2% of Malaysians of university age were enrolled in local tertiary institutions as compared to the 35.8% in Argentina or 58.4% in South Korea (Ziguras, 2005). Accordingly, an additional 13 universities were established over the period 1990–2006.

**Table 2.1: Public Higher Educational Institutions in Malaysia**

<table>
<thead>
<tr>
<th></th>
<th>Institution Name</th>
<th>Year</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Universiti Malaya</td>
<td>1962</td>
</tr>
<tr>
<td>2</td>
<td>Universiti Sains Malaysia</td>
<td>1969</td>
</tr>
<tr>
<td>3</td>
<td>Universiti Kebangsaan Malaysia</td>
<td>1970</td>
</tr>
<tr>
<td>4</td>
<td>Universiti Putra Malaysia</td>
<td>1971</td>
</tr>
<tr>
<td>5</td>
<td>Universiti Teknologi Malaysia</td>
<td>1975</td>
</tr>
<tr>
<td>6</td>
<td>Universiti Islam Antarabangsa Malaysia</td>
<td>1983</td>
</tr>
<tr>
<td>7</td>
<td>Universiti Utara Malaysia</td>
<td>1984</td>
</tr>
<tr>
<td>8</td>
<td>Universiti Malaysia Sarawak</td>
<td>1992</td>
</tr>
<tr>
<td>9</td>
<td>Universiti Malaysia Sabah</td>
<td>1994</td>
</tr>
<tr>
<td>10</td>
<td>Universiti Pendidikan Sultan Idris</td>
<td>1997</td>
</tr>
<tr>
<td>11</td>
<td>Universiti Sains Islam Malaysia</td>
<td>1998</td>
</tr>
<tr>
<td>12</td>
<td>Universiti Teknologi MARA</td>
<td>1999</td>
</tr>
<tr>
<td>13</td>
<td>Universiti Malaysia Terengganu</td>
<td>1999</td>
</tr>
<tr>
<td>14</td>
<td>Universiti Tun Hussein Onn Malaysia</td>
<td>2000</td>
</tr>
<tr>
<td>15</td>
<td>Universiti Teknikal Malaysia Melaka</td>
<td>2000</td>
</tr>
<tr>
<td>16</td>
<td>Universiti Malaysia Pahang</td>
<td>2002</td>
</tr>
<tr>
<td>17</td>
<td>Universiti Malaysia Perlis</td>
<td>2002</td>
</tr>
<tr>
<td>18</td>
<td>Universiti Darul Iman Malaysia</td>
<td>2006</td>
</tr>
<tr>
<td>19</td>
<td>Universiti Malaysia Kelantan</td>
<td>2006</td>
</tr>
<tr>
<td>20</td>
<td>Universiti Pertahanan Nasional Malaysia</td>
<td>2006</td>
</tr>
</tbody>
</table>

Source: Compiled from GOM, MOHE data (2010)
The public universities fall into three categories of research, broad-based and specialised. There are four that have been designated as research universities, namely, Universiti Malaya (UM), Universiti Putra Malaysia (UPM), Univerisiti Kebangsaan Malaysia (UKM) and Universiti Sains Malaysia (USM).

The rapid expansion of the public universities was in tandem with the Government’s policy of the ‘massification’ of higher education. This reflects the global trend of improving higher education access for all by ensuring that the higher education system provides for mass participation across different social, income and geographical groups (Lee & Healy, 2006). However, higher education is an expensive undertaking. Currently, public higher education institutions receive as much as 90% of their funding from Government sources and the Government spent more than RM6 billion to fund their operating budgets in 2006 (GOM, NHEAP, 2007).

There is therefore an ongoing debate as whether higher education should continue to be created as a public good or for the users to pay for the cost (Davis et al, 2000). For this purpose, the Government established the National Higher Education Fund Corporation or Perbadanan Tabung Pendidikan Tinggi Nasional (PTPTN) to provide low cost educational loans to students. Since its inception in 1997 to 2006, PTPTN has enabled 890,500 students to pursue their studies in approved higher education institutions (GOM, MOHE, 2007).

Importing Higher Education

Despite the expansion of public higher education, the demand for tertiary education continued to increase rapidly due to the rapid growth of the high school population and rising economic levels. As such, demand exceeded supply and Malaysia remained a major importer of higher education.

In 2001, Malaysia was one of top 20 countries of origin for students in the OECD with 32,079 or 2% of the total of 1.5 million foreign students pursuing higher education (Hatakenaka, 2004). Significantly, the United States with a far larger student population came next to Malaysia with 30,103 students studying abroad (Morshidi, 2006b).

In 1995, the 20% of the Malaysian students who were studying abroad cost the country around USD800 million in currency outflows and became a major public concern. Another was the brain drain that occurs when students, academic staff and researchers do not return to the country upon completion of their overseas studies (Kirtz, 2006). Malaysian students benefitted from the choice of whether to seek employment in their country of studies or to return home. Almost one third of the Malaysians studying in Australia in 2007 stayed on after their graduation (Nga, 2010).

The country was hard hit by the Asian financial crisis in 1998, which resulted in negative GDP growth rates, major corporate losses and a much depreciated Ringgit, the Malaysian currency. Despite these adverse circumstances, the number
of Malaysians studying abroad increased to 38,000 in 2004. The largest numbers (16,904), enrolled in Australian higher education institutions, as shown in Table 2.2. This was followed by 11,806 in the United Kingdom and another 6,483 in the United States. The rest were largely in Japan, New Zealand, India, Ireland, Germany and France (UNESCO, Institute of Statistics, 2005).

Table 2.2: Malaysian Students Abroad (1999–2004)

<table>
<thead>
<tr>
<th>Countries</th>
<th>1999</th>
<th>2000</th>
<th>2001</th>
<th>2002</th>
<th>2003</th>
<th>2004</th>
</tr>
</thead>
<tbody>
<tr>
<td>Australia</td>
<td>16,482</td>
<td>12,869</td>
<td>N/A</td>
<td>17,574</td>
<td>19,431</td>
<td>16,904</td>
</tr>
<tr>
<td>United Kingdom</td>
<td>12,924</td>
<td>10,351</td>
<td>9,193</td>
<td>9,011</td>
<td>9,715</td>
<td>11,806</td>
</tr>
<tr>
<td>United States</td>
<td>10,639</td>
<td>N/A</td>
<td>6,760</td>
<td>7,395</td>
<td>6,595</td>
<td>6,483</td>
</tr>
<tr>
<td>Japan</td>
<td>1,960</td>
<td>1,956</td>
<td>1,747</td>
<td>1,613</td>
<td>1,612</td>
<td>1,841</td>
</tr>
<tr>
<td>New Zealand</td>
<td>1,489</td>
<td>1,178</td>
<td>1,060</td>
<td>893</td>
<td>831</td>
<td>1,062</td>
</tr>
<tr>
<td>India</td>
<td>N/A</td>
<td>148</td>
<td>148</td>
<td>92</td>
<td>43788</td>
<td>806</td>
</tr>
<tr>
<td>Ireland</td>
<td>673</td>
<td>623</td>
<td>603</td>
<td>519</td>
<td>663</td>
<td>775</td>
</tr>
<tr>
<td>Germany</td>
<td>140</td>
<td>156</td>
<td>197</td>
<td>216</td>
<td>245</td>
<td>423</td>
</tr>
<tr>
<td>France</td>
<td>104</td>
<td>84</td>
<td>118</td>
<td>212</td>
<td>220</td>
<td>318</td>
</tr>
</tbody>
</table>

Source: UNESCO Institute of Statistics (2005)

Increasing Domestic Tertiary Education Capacity

While Malaysia remains as one of the ‘top 10 source countries’ for higher education institutions in the United States, the United Kingdom and Australia (Verbik & Lasanowski, 2007), there is now a downward trend (Morshidi, 2008). This is largely due to increased domestic capacity generated by the establishment of private universities following the Private Higher Educational Institutions Act 1996, which liberalised the educational sector. Consequently, there was a sharp increase in PHEIs. In 2000, there were seven local private universities, three foreign university branch campuses and more than 400 approved private colleges (Ziguras, 2005). By June 2010, these numbers increased to 20 public universities, 20 private universities, six foreign university branch campuses, 17 university colleges, 485 private colleges, 22 polytechnics and 37 public community colleges. The total enrolment in all higher education institutions was 942,000 in 2008.

Private Universities

There were 19 private universities in March 2010 as shown in Table 2.3. Four of them, namely, the Multimedia University, Universiti Tenaga Nasional, Universiti Teknologi Petronas and the International Medical University were initiated by government linked companies. The fifth, Universiti Tun Abdul Razak, is linked to the United Malay National Organisation (UMNO), the lead party of the Barisan Nasional, political party that is now in power.
The remaining private universities include:

- The Universiti Tunku Abdul Rahman (UTAR) and AIMST University are affiliated respectively to the Malaysian Chinese Association and Malaysian Indian Congress, which are also components of the Barisan Nasional.

- The Limkokwing University of Creative Technology, formerly a university college, has now become a full university with branch campuses in the United Kingdom, Botswana, Vietnam and other overseas locations.

- The Asia e University (AeU), which was established in 2007, following an initiative taken by Malaysia at the Asian Corporation Dialogue. This university offers a range of programs including doctoral programs focuses on online distance education.

**Table 2.3: Private Universities in Malaysia**

<table>
<thead>
<tr>
<th>Number</th>
<th>University Name</th>
<th>Year</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Multimedia University</td>
<td>1999</td>
</tr>
<tr>
<td>2</td>
<td>Universiti Tenaga Nasional</td>
<td>1999</td>
</tr>
<tr>
<td>3</td>
<td>Universiti Tun Abdul Razak</td>
<td>1999</td>
</tr>
<tr>
<td>4</td>
<td>Universiti Teknologi Petronas</td>
<td>1999</td>
</tr>
<tr>
<td>5</td>
<td>International Medical University</td>
<td>1999</td>
</tr>
<tr>
<td>6</td>
<td>Universiti Industri Selangor</td>
<td>2000</td>
</tr>
<tr>
<td>7</td>
<td>Open University Malaysia</td>
<td>2000</td>
</tr>
<tr>
<td>8</td>
<td>Malaysia University of Science &amp; Technology</td>
<td>2000</td>
</tr>
<tr>
<td>9</td>
<td>AIMST University</td>
<td>2001</td>
</tr>
<tr>
<td>10</td>
<td>Universiti Tunku Abdul Rahman</td>
<td>2001</td>
</tr>
<tr>
<td>11</td>
<td>Universiti Kuala Lumpur</td>
<td>2001</td>
</tr>
<tr>
<td>12</td>
<td>Wawasan Open University</td>
<td>2006</td>
</tr>
<tr>
<td>13</td>
<td>Albukhary International University</td>
<td>2006</td>
</tr>
<tr>
<td>14</td>
<td>Limkokwing University of Creative Technology</td>
<td>2007</td>
</tr>
<tr>
<td>15</td>
<td>Asia e University</td>
<td>2007</td>
</tr>
<tr>
<td>16</td>
<td>Al-Madinah International University</td>
<td>2007</td>
</tr>
<tr>
<td>17</td>
<td>International Centre for Education in Islamic Finance</td>
<td>2007</td>
</tr>
<tr>
<td>18</td>
<td>Management and Science University</td>
<td>2007</td>
</tr>
<tr>
<td>19</td>
<td>UCSI University</td>
<td>2008</td>
</tr>
<tr>
<td>20</td>
<td>INTI International University</td>
<td>2010</td>
</tr>
</tbody>
</table>

Source: Compiled from GOM, MOHE data (2010)
The Private University Colleges

The amended Private Higher Educational Institutions Act 2003 paved the way for PHEIs to be upgraded to university colleges with degree awarding powers. Recognising that the PHEIs had to expand and do more, the Act also addressed the reality that the Government could no longer provide the resources for new expanded public institutions to cater to the increased demand for tertiary education (Middlehurst & Woodfield, 2004).

As shown in Table 2.4, the eight year period between 2003 and 2010 witnessed the establishment of 18 university colleges. The first during this period was the International University College of Technology Twintech and the most recent, in 2010 is the City University College of Science and Technology (City U), which was formerly Unity College International. The majority of these university colleges were established by large public-listed companies. They include the Asia Pacific University College of Technology, which was set up by the Sapura Telecommunications Group, Sunway University College, a subsidiary of the Sunway Holding Group and Taylor’s University College, previously a subsidiary of MBF Holdings Bhd.

**Table 2.4: University-Colleges in Malaysia**

<table>
<thead>
<tr>
<th></th>
<th>University-College Name</th>
<th>Year</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>International University College of Technology Twintech</td>
<td>2003</td>
</tr>
<tr>
<td>2</td>
<td>Kuala Lumpur Infrastructure University College</td>
<td>2003</td>
</tr>
<tr>
<td>3</td>
<td>HELP University College</td>
<td>2004</td>
</tr>
<tr>
<td>4</td>
<td>Sunway University College</td>
<td>2004</td>
</tr>
<tr>
<td>5</td>
<td>Binary University College of Management and Entrepreneurship</td>
<td>2004</td>
</tr>
<tr>
<td>6</td>
<td>Asia Pacific University College of Technology and Innovation</td>
<td>2004</td>
</tr>
<tr>
<td>7</td>
<td>Selangor International Islamic University College</td>
<td>2004</td>
</tr>
<tr>
<td>8</td>
<td>Cyberjaya University College of Medical Sciences</td>
<td>2005</td>
</tr>
<tr>
<td>9</td>
<td>Cosmopoint International University College</td>
<td>2006</td>
</tr>
<tr>
<td>10</td>
<td>INSANNAIH University College</td>
<td>2006</td>
</tr>
<tr>
<td>11</td>
<td>Taylor’s University College</td>
<td>2006</td>
</tr>
<tr>
<td>12</td>
<td>Nilai International University College</td>
<td>2007</td>
</tr>
<tr>
<td>13</td>
<td>Kolej University TATI</td>
<td>2007</td>
</tr>
<tr>
<td>14</td>
<td>International University College of Nursing</td>
<td>2008</td>
</tr>
<tr>
<td>15</td>
<td>Linton University College</td>
<td>2009</td>
</tr>
<tr>
<td>16</td>
<td>MAHSA University College</td>
<td>2009</td>
</tr>
<tr>
<td>17</td>
<td>City University College of Science &amp; Technology (City U)</td>
<td>2010</td>
</tr>
</tbody>
</table>

Sources: GOM, MOHE data (2010)
Branch Campuses of Foreign Universities

The amended Act (2003) permitted foreign universities to establish branch campuses in Malaysia. A branch campus is a subsidiary of a foreign university, or jointly own with a local partner, the local delivery of the foreign university’s degree programs (Knight, 2005). It signals ‘a deepening commitment to international provision, moving away from dependence on local partners for delivery and towards a corporate presence, with quality assurance as one of the primary driving forces among certain pioneering providers’ (OBHE, 2002, p5).

Six universities have since opened international branch campuses in Malaysia as shown in Table 2.5. This increase in domestic capacity made study in Malaysia more attractive and affordable (Nga, 2010).

Table 2.5: International Branch Campuses in Malaysia

<table>
<thead>
<tr>
<th>University</th>
<th>Country</th>
<th>Branch Location in Malaysia</th>
<th>Opened</th>
</tr>
</thead>
<tbody>
<tr>
<td>Monash University</td>
<td>Australia</td>
<td>Petaling Jaya (near Kuala Lumpur)</td>
<td>1998</td>
</tr>
<tr>
<td>Curtin University</td>
<td>Australia</td>
<td>Miri, Sarawak</td>
<td>1999</td>
</tr>
<tr>
<td>University of Nottingham</td>
<td>UK</td>
<td>Semenyih</td>
<td>2000</td>
</tr>
<tr>
<td>De Monfort University</td>
<td>UK</td>
<td>Kuala Lumpur</td>
<td>2000</td>
</tr>
<tr>
<td>Swinburne University of Technology</td>
<td>Australia</td>
<td>Kuching, Sarawak</td>
<td>2000</td>
</tr>
<tr>
<td>Vinayaka Mission’s University</td>
<td>India</td>
<td>Penang &amp; Johor</td>
<td>2008</td>
</tr>
</tbody>
</table>

Source: GOM, MOHE (2009)

Exporting Malaysian Education

Knowledge is now viewed as a commodity that moves between countries and as such can be commercialised to generate export earnings (Kirtz, 2006). Public policies are directed at reducing higher education imports and increasing educational services (Mok, 2003). Recognising the lucrative prospects of exporting higher education, several Malaysian PHEIs are internationalising their operations to become important contenders in the market for mobile international markets. The National Higher Education Strategic Plan (NHESP) 2007 and the National Higher Education Action Plan (NHEAP) 2007 introduced policies for PHEIs to increase their offshore student enrolments (GOM, MOHE, 2007). A target of 80,000 students was set for 2010 with each student expected to contribute at least RM30,000 per annum to Malaysia’s economy (The Star, 2009).

Malaysia is now an active player in transnational education. The term ‘transnational’ refers to a situation where international students are located in a different country to that of the institution providing education services (Davis et al. 2000). The delivery modes include twinning programs, distance education, franchising arrangements
and branch campuses. The foreign provider usually assesses the ability of the local partner to meet quality standard and provides guidelines, monitors student assessment criteria and assessment. The course belongs to the foreign provider that charges for the use of syllabi, course materials, examinations and the technical support to staff (Bashir, 2007).

The Private Higher Educational Institutions Act 1996 enabled the private higher education institutions (PHEIs) to conduct undergraduate and postgraduate program through collaborative or twinning programs with local or foreign universities. The Act triggered a proliferation of agreements between Malaysia and overseas higher educational institutions. At least 70 UK higher educational institutions had either franchise or articulation arrangements with private Malaysian institutions by 1999 (QAA, 1999). Australian universities also extended their participation in the Malaysian higher education sector and Malaysian institutions had twinning programs with 24 Australian universities in 1998 (Denman, 2002, Sohail, Jegathesan & Nor Azlin, 2002). It included an agreement between Southern Cross University and Stamford College for the conduct of the SCU MBA and DBA programs as offshore programs.

The list of partnership arrangements that has since grown has contributed to making Malaysia a significant exporter of higher education. Malaysian higher education institutions are now important contenders in the market for mobile international students. An estimated 45,550 international students were enrolled in public and private higher education institutions in July 2007. Accounting for a 2% share of the international students enrolled in Malaysia, they contributed a total of RM3 billion in foreign exchange earnings. More recent data show that foreign student enrollments increased to 50,789 in 30 March 2008 and to 80,000 in March 2010 (MOHE, cited in The Star, 2010)

Overseas student enrollments in Malaysian PHEIs, including the branch campuses of foreign universities, also increased sharply to 55,000 in 2007 (Verbik & Lasanowski 2007). Largely from China, Pakistan, Indonesia and the Middle East, these international student enrollments reflect the pivotal role of the PHEIs in attracting foreign students (Praphamontripong, 2007). Several factors contributed to the growth.

First, the award of internationally recognised qualifications from universities from developed countries. These appeal to foreign students, particularly from the developing countries, as they can enroll in a Malaysian PHEI and be awarded by a degree by a reputable university from Australia, Canada, the United Kingdom or the United States at affordable costs. It also enables such students to benefit from an overseas education at a low cost location (Sivalingam, 2007).

Second, the conduct of study programs in the English language, which is now acknowledged as the *lingua franca* for scientific communication and the growing international labour market for scholars and scientists (Altbach & Knight, 2007): "The role of English affects higher education policy and the work of individual students and scholarly English-language products of all kinds dominate the
international academic marketplace’ (p5). There is a growing demand for such programs from foreign students who come from countries that attach a premium to programs delivered in English.

Third, the global education landscape that is changing due to the interplay of political and economic factors. This creates opportunities for Malaysian PHEIs to internationalise their operations. On the global political front, Malaysia is being viewed as a forward-looking moderate Islamic nation with a stable and harmonious national setting (Nga, 2010).

The fourth relates to religious and cultural reasons. The country’s multiracial population and mixture of culture attracts students from a wide range of nations in Asia, Africa and the Middle East. Malaysia is a preferred study venue for Indonesian students especially those who are unable to secure places in the local public universities. Chinese students find Malaysia popular because of the widespread Chinese influences in the country. Saudi Arabian students also find Malaysia a good alternative to the United Kingdom and the United States, which have imposed stricter visa controls (Rashid, 2007).

Fifth, the reduction in bureaucratic procedures with respect to the issuance of student visas for international students. This has enhanced foreign students’ perceptions of Malaysia as a preferred study destination; particularly for students from higher education importing countries in Southeast and East Asia (Sukumaran, 2002).

Sixth, Malaysian government agencies are giving more support to Malaysian PHEIs with their overseas marketing strategies. The Malaysian External Trade Development Agency (MATRADE) organises educational fairs and exhibitions in selected countries to showcase Malaysian PHEIs their courses. These proactive measures create opportunities for Malaysian PHEIs to expand the global outreach (Tan, 2008).

**Malaysia’s Educational Hub**

Malaysia is strategising to become a regional educational hub to capture a larger slice of the estimated USD2.4 trillion world education market (Nga, 2010). This is propelled by four drivers. First, by student pressures to study in educationally advanced countries. Second, the rising costs of overseas education in the developed country. Since an average of RM600,000 to RM700,000 is spent on each Malaysian studying abroad, a hub can stem foreign exchange outflows. Finally, a hub creates opportunities to generate export incomes by attracting overseas students (Wu & Yu, 2006).

Accordingly, the Government has created an educational hub termed EDUCITY in the Iskandar Development Region (IDR) in the south of Peninsular Malaysia, close to the border with Singapore. Two international universities are establishing campuses in IDR. The University of Newcastle is starting a medical campus in 2010 and the other is the Vinayaka Mission’s University, which is establishing a campus to offer technology, engineering and management courses (StarBiz, The Star, 2009).
Regulation and Quality Control

The strong demand for international qualifications also resulted in some foreign providers offering low cost and poor quality programs supported by misleading marketing and advertising. The outcome could be a high cost for a somewhat dubious foreign education. Another serious problem is posed by ‘fly by night’ educational providers, who operate for few days and leave students stranded. The weakness or lack of domestic licensing or quality assurance/accreditation measure is a contributing factor for these risks (Bashir, 2007). Another consequence of market and profit driven private education is an increase in the number of ‘diploma mills’, ‘canned degrees’ and ‘accreditation mills’ (Nizam, 2006, p65).

Mindful of these concerns, the Government enacted the National Accreditation Board Act in 1996 to provide the regulatory frameworks for ensuring quality control process in PHEIs. The policies of this Board or Lembaga Akreditasi Negara (LAN) were premised on making higher education a profitable export industry and for establishing Malaysia as a regional centre of excellence in education (Middlehurst & Woodfield, 2004).

In 2002, LAN introduced the Malaysian Qualifications Framework (MQF) for assessing the standards and the delivery of study programs offered by licensed providers of higher education (GOM, Ninth Malaysia Plan, 2006). The MQF requires all licensed PHEIs to evaluate all qualifications on the basis of criteria and standards that conform to international best practices. They are also required to review the curricula of all programs offered every three to five years to make Malaysian institutions of higher education globally competitive for the export of the educational services (Morshidi, 2006b).

In 2003, LAN issued guidelines on the criteria and standards for courses offered by PHEIs. These emphasise quality assessments and set the academic qualifications framework for courses of study at the certificate, diploma, bachelor degree and postgraduate degrees. The guidelines also detail the curriculum component, the credit hour systems, and the entry requirements, and reiterate that the National Language, Malaysian Studies and Moral Education are compulsory subjects.

The Malaysian Qualifications Act 2007 led to the merger of LAN with the Quality Assurance Division of the Ministry of Higher Education to create a single a single quality assurance body named as the Malaysian Qualifications Agency (MQA). The MQA has since issued the Code of Practice for Programme Accreditation (COPPA) and the Code of Practice for Institutional Audit (COPIA). These are the guidelines, standards and codes of practice to assist the PHEIs to enhance their academic performance and institutional effectiveness (GOM, MQA, 2008).

There were also changes in the educational structure. A new Ministry of Higher Education (MOHE) was created in March 2004 to oversee all universities, university colleges, polytechnics and colleges. The Minister has the power to take action against errant institutions including the revocation of the registration and license of a college on valid grounds.
The MOHE has also evoked three important measures to enhance educational quality. First, the stipulation that all private universities and university colleges must fully comply with the MQA framework by 2011 in terms of curricula, delivery and assessment. Second, international students can only be enrolled in programs that are fully accredited. Third, the implementation of the rating system for Malaysian Higher Education Institutions to benchmark the performance of PHEIs against each other and the public higher education institutions. (The Star, 2009).

The National Higher Education Action Plan 2007

At the turn of the century, Malaysia entered the knowledge era or ‘when competitive power is gained by leveraging the power of the intellect’ (Kaloo, 2010, p232) to develop innovation capabilities as these are critical for the economy to move up the value chain (GOM, EPU 2009). In support of this, the Government introduced the National Higher Education Strategic Plan 2007, which articulates the government’s vision for the transformation of higher education in Malaysia over the period 2007–2020. The plan, with four phases, aims squarely at holistic human capital development. The first three phases, until 2020, are guided by policy objective and strategies. The final phase is based on the outcomes of the first three phases and directed at meeting the challenges beyond 2020.

The implementation of first phase, labeled ‘laying the foundation’ is detailed in the NHEAP 2007. The emphasis is on research development, strengthening higher education institutions, doctoral programs, standardisation and quality assurance as reflected by its seven strategic thrusts, as shown in Table 2.6.

Table 2.6: Strategic Thrusts of the National Higher Education Action Plan

<table>
<thead>
<tr>
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<th>Strategic Thrusts of the National Higher Education Action Plan</th>
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<tr>
<td>1</td>
<td>Widening Access and Enhancing Equity</td>
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<td>2</td>
<td>Improving the Quality of Teaching and Learning</td>
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<tr>
<td>3</td>
<td>Enhancing Research and Innovation</td>
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<tr>
<td>4</td>
<td>Strengthening Institutions of Higher Education</td>
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<tr>
<td>5</td>
<td>Intensifying Internationalization</td>
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<td>6</td>
<td>Enculturation of Lifelong Learning</td>
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<td>7</td>
<td>Reinforcing the Higher Education Ministry’s Delivery System</td>
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</tbody>
</table>

Source: Adapted from the GOM, NHEAP (2007–2010)

The NHEAP acknowledges that the Malaysian higher education system requires changes since the country had to create knowledge workers with high value-added capabilities. This was necessary as the country had only 21 researchers, scientists and engineers (RSEs) per 10,000 workers in 2003, which was well below the average of 100 RSE’s in the European Union countries. The plan set the target of 50 RSEs per 10,000 workforce and the measures proposed include increased doctoral enrollments.
Another approach is the creation of ‘Apex University’. The Plan defines this as ‘an Apex University is a conceptual construct that in due time will stand atop the pyramid of institutions’ (GOM, NHEAP, 2007, p34). The Apex Universities will be the nation’s centers of academic distinction.

In order to become an Apex University, four criteria must be met. The first is strong leadership committed to the ideal of excellence scholarship and with an excellence command of the English Language. Second is a highly qualified mixed of local and foreign academics, with strong research capabilities. The third relates to the students. Only those who satisfied the highest standards of academic entry requirements will be admitted. The final criterion relates to the best facilities, which include well stocked libraries, fully equipped laboratories for research as well as electronic resources.

Towards this end, the MOHE developed a rating system to enable the leading ones that meet the international benchmarking systems to become ‘Apex Universities’. The University Science Malaysia was awarded the status of an Apex University in July 2008 (The News Straits Times, 2008).

Increasing Doctoral Level Graduates: MyBrain15

The NHEAP also stressed a change in the earlier national policy, which focused on increasing the enrollment of undergraduates. This is reflected by a new initiative, termed MyBrain15, which aims to produce quality human capital at the doctoral level with research capabilities to enhance global competitiveness.

The target is to create a pool of up to 100,000 high quality graduates with doctoral degrees within the next 15 years with the breakdown being:

- 21,000 PhD holders by 2010
- Fast-track towards 100,000 PhD holders in 15 years in the following disciplines:
  - 60% doctorates in science, technology and medicine
  - 20% doctorates in the humanities and applied literature
  - 20% doctorates in other professional fields

An Overview of Doctor of Business Administration Programs in Malaysia

Although the NHEAP signaled the reorientation of national educational policies towards increasing doctoral level graduates, there were only 1,146 enrolments at the doctoral level, as shown in Table 2.7 in both public and private higher education institutions. While the numbers in the latter increased by 70% over the period 2003–2007, there was a sharper increase in the former, which grew from 43 to 304. Consequently, the total enrolments increased three fold during the same period.
In Malaysia, there are two academic doctoral level programs in the business and management fields. The first is the Doctor of Philosophy (PhD) and the second is the more recent Doctor of Business Administration (DBA). Both offer options for specialisations in accounting, finance, marketing, management, human resources management, strategy and operations.

All doctoral programs conducted by the PHEIs must be approved by the MOHE following scrutiny by the MQA. Since the PhD and DBA programs are diverse in terms of curriculum, thesis requirement and structure, the MOHE programs fall into three categories, namely, structures A, B and C.

Structure A comprises doctoral programs by research with little or no formal taught curriculum. Under the guidance of an approved university supervisor, the award of the degree is based on the acceptance of a thesis ranging from 60,000 to 100,000 words. The thesis has to demonstrate an in-depth knowledge of the involved parent and immediate disciplines (Perry 2002) and an ability to conceptualise, design and undertake research at the doctoral level. Structures B and C relate to programs that are by either course work or the mixed mode that requires candidates to successfully complete a prescribed number of coursework units including research methodologies and then complete a thesis.

The PhD programs offered by the Malaysian public universities fall into Structure A with the exception of the Southern Cross University (SCU) DBA. Conducted in partnership with City University College of Science and Technology (City U), it is considered as a doctoral research degree and not a coursework program. All the other approved DBAs conducted in Malaysia are not considered to be research degrees as their coursework components are much higher. In some instances, candidates after completion of their course units are only required to submit a research report of 20,000 to 30,000 words.

The DBA is currently being offered by:

- Five Malaysian public universities, namely, UKM, USM, Universiti Teknologi Mara (UiTM), Universiti Utara Malaysia (UUM) and The International Islamic University Malaysia (IIUM).
- Two private universities, namely, Multimedia University and AeU;
- Two private university colleges, Binary University College and HELP University College; and
One Australian university, namely, Southern Cross University (SCU), which offers its DBA through City University College of Science and Technology (City U). The University of South Australia, the RMIT and the University of Newcastle are no longer offering the DBA through their local partners.

The Universiti Kebangsaan Malaysia (UKM) DBA

The first DBA program in Malaysia, it was launched by the Graduate School of Business, UKM in 1989. Adapted from the North American model, it catered to applicants with a Masters degree in the business fields who did not have any research experience. This program of three-and-a-half to four years full-time study or four to five years of part-time studies requires candidates to complete five subjects on research skills, two core courses as well as subjects in their area of specialisation, which are marketing, accounting, finance and management. After completion of the coursework, they are required to submit a thesis of 80,000 words, which can be written either in English or the Malay language. Admission requirements are a good Masters degree and the classes are held during office hours (www.ukm.edu.my).

The Universiti Sains Malaysia (USM) DBA

This DBA has a full-time study duration of three-and-a-half years to five years for full-time candidates and up to seven years for part timers. Its primary aim is to produce ‘capable leaders accountable for strategic sustainability’ whilst upholding high moral and ethical values in their business practices. The admission requirements stipulate either a first degree with Honors or a Masters degree in a business or management fields as well as a minimum of five years of working experience.

The 81-unit program is delivered in three parts through a series of lectures, seminars, consultancy, teaching, practicum and independent study. The first part of 18 units comprises six seminars in the fields of management, human resources management, financial decision making, managing technology, marketing and business strategy. The second, of 15 units, requires the candidate to conduct consultancy and training in a field of their choice. The final part is the dissertation, which carries a value of 42 units (www.usm.edu.my).

The International Islamic University (IIUM) DBA

This five-year DBA program incorporates Islamic perspectives in addition to developing business skills. Conducted at weekends, it is a five-year program with the total of 78 credit hours. All candidates are required to successfully complete 13 course units during the first two years of the program. The third year is devoted to a consultancy practice report and the final two years are for the preparation of the thesis, which carries 42 credit hours. The admission requirements are a Masters degree in the business or management fields with a minimum of two years working experience (www.iiu.edu.my)
Universiti Teknologi Mara Sarawak (UiTM Sarawak) DBA

This new doctoral program commenced in July 2010 for applicants with a Masters degree and relevant work experience. The aim is to produce qualified Bumiputera professionals who are equipped with the knowledge required to serve in leadership positions. All candidates have to take the core units of research methodology, strategic financial management and economic policy analysis as well as four elective units. They are also required to undertake industry based research in the fields of entrepreneur management, marketing, finance and corporate management (www.sarawak.uitm.edu.my).

The Multimedia University (MMU) DBA

This is a four year program combining course work and research. All candidates must complete 14 modules, including research methodology, during the first two years of the program. Candidates then enter the thesis stage, which requires the preparation of the thesis, which is equivalent to 42 credit hours. The admission requirements stipulate a Masters degree in the business or management fields with a minimum of two years of working experience (www.mmu.edu.my).

Universiti Utara Malaysia (UUM) DBA

This DBA, requiring 66 credit hours of study, is aimed at providing specialist learning opportunities in business administration to accelerate the management workers. It can be undertaken through full- or part-time study. The admission requirements are either a first degree with Honours or a Masters degree in a business or management field as well as a minimum of five years working experience.

The program has three parts. The first requires completion of 16 subjects including four in the research methodology fields. The second part of six credit hours is devoted to business consultation towards the preparation of the research proposal. The final part is the dissertation, which carries a value of 24 credit hours (www.uum.edu.my).

The Asia e University (AeU) DBA

Asia e University (AeU) is a flexible, international e-education university established under the Asia Cooperation Dialogue (ACD). A Malaysian initiative, it is supported by 31 ACD Member Countries.

The primary aim of the four-year DBA program is to promote leadership skills in business administration. It has open entry requirements as recognised by the MOHE and these include being at least 35 years old and possessing a STPM/ Matriculation/Diploma or equivalent.

The 62 credit hours program requires the completion of 10 core subjects relating to organisational leadership, economics, international business, finance,
accounting, strategic marketing, business strategy and research methodology. The dissertation requires 32 credit hours and candidates have a choice of specialisations (www.aeu.edu.my).

**The Binary University College DBA**

This homegrown three-year program, which commenced in 2009, requires the completion of five core modules, one elective and a 40,000 words thesis. The core units are quantitative research methods, qualitative research methods, leadership practices, strategic management and global issues in entrepreneurship. Students have a choice of specialisations in entrepreneurship, logistics management, information technology, human resources management, e-commerce, quality management, marketing, finance and banking. Entry requirements are a recognised Masters degree and a minimum of five years working experience (www.binary.edu.my).

**The HELP University College DBA**

This is also a relatively new homegrown program that commenced in 2009. With a duration of two-and-a-half to four years, candidates are required to complete 10 subjects in the core business area as well as a thesis of 40,000 words. Entry requirements are a recognised Masters degree and a minimum of five years working experience (www.help.edu.my).

**The Southern Cross University (SCU) DBA**

The SCU DBA, approved by the MOHE as a Structure ‘A’ research based doctoral program is offered through the City University College of Science and Technology (City U).

The SCU DBA was first conducted in Malaysia as an offshore program in 1996; initially through the Asian Centre for Development Studies, followed by the Cybernetics Institute of Technology and in 2007, by UCI. Despite the different partnership arrangements, Dr A. Selvanathan, currently, the Dean of School of Business, City U, has been actively the Malaysian DBA Director for the past 14 years.

All applicants are expected to have a recognised Masters degree in the business fields as well as proficiency in the English language. It usually takes two-and-a-half to three years of study to complete the program.

During the past 14 years, 47 Malaysians have successfully completed the program. They include industry leaders, academics and senior civil servants and their research areas are in the fields of information technology, education, human resources management, corporate governance, corporate social responsibility, small and medium enterprises, banking, finance, crisis management, Chinese business practices, government linked companies and corporate sustainability. Of these, 11 adopted a quantitative approach, two a qualitative approach, with the remaining 34 relying on a mixed methodology.
There are currently 42 active candidates in the program. While the majority are Malaysians, they include candidates from the United Kingdom, Maldives, India, Iraq, Syria, Jordan, Bahrain, Tanzania, Bangladesh and Canada. All candidates have online access to the SCU library and benefit from high-level Malaysian based supervisors approved by SCU. They also have the opportunity to participate in the Doctoral Symposia. Conducted bi-annually in Kuala Lumpur, the Symposia enables all candidates to meet with the senior academic staff from the Graduate College of Management, SCU, present their research proposals and enter into a dialogue on their research topics.

**Funding for Postgraduate Programs**

The tuition fees for Malaysian DBA programs range from RM32,000 to RM70,000. Furthermore, the duration is relatively long, averaging four years. While the part-time mode appeals to large stock of Malaysian working professionals who have Masters qualifications, funding is an important issue.

Bank loans are one source of securing the required financing. However, the interest rates are high and most banks insist on collateral as a condition for providing bank loans. A more important source is the Employees Provident Fund (EPF). DBA applicants who have made adequate contributions to the Fund can draw on this for the full- or part-financing of their studies.

**Conclusion**

The demand for Malaysian higher education is growing rapidly and the Government has introduced policies to increase domestic capacity. Accordingly, several new public and private universities have been established in the past decade. Committed to making the country a regional centre for higher education for generating educational exports, the Government is emphasising on quality assurance. All PHEIs are regulated by the MOHE and their courses require approval by the MQA to ensure that they conform to quality standards. The national education policies are aimed at transforming the higher education system and increasing the output of doctoral graduates. The target is to produce 100,000 high quality graduates with doctoral degrees by 2022. The demand for doctoral qualifications is increasing and the DBA is currently being offered by 10 higher education institutions.
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Authors’ Profiles

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A recent SCU DBA graduate, James CL Nga obtained his Bachelors degree from the University of Western Ontario, Canada and his MBA from Heriot Watt University, Scotland. Currently he is the Deputy Vice Chancellor (Commercialisation) of City University College of Science & Technology. James has a decade of high-level education management and marketing experience in the private higher education industry.

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A graduate of the Australian National University and holder of the Masters in Public Policy conducted jointly by the National University of Singapore and Harvard University in 1995, Tan Lin Lah secured her SCU DBA in 2008. Currently an Assistant Professor with City University College of Science and Technology and the Executive Director for UN Global Compact Network in Malaysia, she has worked with KPMG Peat Marwick in Malaysia, the United Nations Development Program Malaysia and in MATRADE, an agency of the Malaysian Ministry of International Trade and Industry, as the Head of Strategic Branding Unit. Her teaching focuses on strategic management issues and her special interests are in public policy, developmental issues and corporate responsibility practices.
Overview

The chapter seeks to formulate, through basic internet research, a gestalt picture of doctoral education in Singapore with reference to the Doctor in Business Administration (DBA) and other doctoral programs in business offered by private education organisations in Singapore. The literature on the provision of doctoral education is scarce but this review intends to commence a discussion on this topic. This broad proposition of this chapter is that doctoral business education needs to attend to both the traditional, university-centred learning outcomes for rigor in doctoral degree research and the particularistic, student learning needs that are specific to education in Singapore. The latter specific learning needs can perhaps be linked to the utilitarian mindset of learning of the doctoral candidates in Singapore.

Introduction

The education system in Singapore and Asia is both dynamic and forward-looking. Against the background of the financial crisis that escalated at the end of 2008, education has been recognised as one of the engines of the diffusion of knowledge and innovation for counties like Singapore that cannot escape from throes of deleveraging and recession.

In general, the DBA and the Doctor of Philosophy (PhD) in business are seen as the pinnacle of studies in business and entrepreneurship. Successful candidates are expected to be gurus in specialised areas of business. In September 1992, Singapore’s most established private education organisation, the Singapore Institute of Management (SIM) and Henley Management College signed an agreement to offer the DBA that would be awarded by Henley’s collaborating university, Brunel: the University of West London (Higher Education Quality Council 1996). Today, there are a handful of private education organisations offering the DBA in Singapore and this group involves APMI-Kaplan, PSB, EASB and Raffles Education Group.
The purported differences between the DBA and the PhD is said to include that the DBA requires more applied learning outcomes, that is, through a portfolio of course work and dissertation rather than though merely thesis writing (Sarros, Willis & Palmer, 2005). The aforementioned authors note that the DBA degree approaches ‘Mode 2 learning’, which brings into consideration practical, grassroots learning at the workplace as well as the need for academic rigor in research. However, Miller (2009), after an extensive review of purported differences between the two awards concludes that it would seem that the meaning and value of the PhD vis-à-vis the DBA is being confused to the point that any real distinction is becoming meaningless.

The purpose of this chapter, as such, is to study the appeal of the DBA and doctoral studies in business in private education in Singapore and explore the main themes of research of such doctoral research in this country. This chapter is based in part on a chapter in Miller, P. and Lim, C. (2010), Doctoral Research in Management and Business in Singapore, MMI, London, and is used with permission.

**Review of Literature**

It has been widely accepted that education in Singapore is in some way akin to that of a no-nonsense, progressive Mandarin government in Imperial China. According to Minister Mentor Lee Kuan Yew (The Straits Times, pB8), education is the way towards a having good life:

> You’ve got to make it quite clear that knowledge, learning, application of knowledge are what will gain you a good life. If they come to the conclusion that the system depends on good connections, skiving, cheating, then you are in trouble because he sees no reason in acquiring all this knowledge.

> So... we set out to create this system where the more you learn, the more skilful you are, the better the jobs you will get, and the better the homes you would own. It has worked out that way.

The ideal in Singapore is to set in place a National System of Lifelong Learning. This would set in pace the knowledge management strategy for every Singaporean, young and old, to pick up new knowledge and skills throughout his/her life, during both good and bad economic times. Initiatives range from the provision of government funds for retraining older workers and attendance at world-class institutions like INSEAD, the University of Chicago and Duke University which have set up satellite postgraduate campuses in Singapore.

This lifelong learning system reflects the push for social reengineering. According to Kumar (2004, p567), indicative of such lifelong learning are pro-Confucian and nationalistic aims: the pragmatic learning throughout the Singapore citizen’s career is regarded as an ‘economic driver to enhance the country’s competitiveness’. Inevitably the role of mass higher education is to meet the needs of a service-driven, technologically based knowledge-based economy. This progress in human resource development is a dream fulfilled since Sir Stamford Raffles bought Singapore for the British East India Company in 1819. Raffles wanted to turn this fishing village
called Lion City (or Singapore) by Parameswara into a commercial emporium and a fulcrum of economic competition to check Dutch expansion in the Malay Archipelago (Raffles, 2008). The Singapore of today seems to be an extrapolation of that DNA of competitiveness that Raffles dreamt about many years ago.

Ka (2008) noted that Singapore, like Hong Kong and Malaysia, was keen to develop the island state as a regional hub or schoolhouse of transnational, higher education for both local and international students. Among other things, the Singapore government sought the advice of an International Academic Advisory Panel (IAAP) of prominent leaders and educationists. Henceforth, Singapore has introduced a pro-competition strategy in improving governance in the tertiary institutions of this country. The effect of the new higher education governance model is the growth of world-class, public funded tertiary institutions. These tertiary institutions also specialise in niche areas and are autonomous in finance and management.

In addition, approvals by the Singapore Ministry of Education (MOE) were given for a wide choice of private university education. From the point of view of the Ministry of Education (2008) and the IAAP, the greater diversity in university education and programs will help to nurture students in a broad field range of talents. For example, Singapore’s fourth university is expected to be interdisciplinary in teaching and research and would be collaborating with an American and a Chinese university (Tan, 2008). It may concentrate on sustainable development, renewable energy and climate change, as well as finding new approaches to industry-academia partnerships in contrast to the country’s other three universities, namely the National University of Singapore, the Nanyang Technological University and the Singapore Management University.

According to Koh (2004), the educational reform by the so-called MOE-state technocracy to promote the concept of ‘Thinking Schools, Learning Nation’ beyond the boundaries of classrooms and textbooks is the country’s response to modernise top-down education in Singapore. For Nathan (2001), the new Thinking Schools paradigm—introduced in 1997 to look upon the teacher as a facilitator rather than a guru—was fraught with difficulties. The focus of our chapter, however, is more towards studying lifelong, thinking education in the private sector. Richards and Ross (2004) observed that Australian staff at James Cook University in Singapore normally bring with them their Western preference for individualistic and independent learning. This preference is espoused in a non-directive style that is appropriate style for knowledge delivery in higher education.

However, such preference may be at odds to the collective, apparently dormant Confucian mentality of Singaporean staff and students. In addition, the Australian desire for short-term results may not be consistent with the long-term Confucian orientation of Singaporeans. Following Gergen (1985), social construction theory may be relevant when one confronts such cross-cultural dilemmas. From the perspective of the schema of social construction, knowledge is not something people possess in their heads but it is something gained through negotiation, interpretation and human understanding. It is likely that DBA and PhD education in business may
represent a variant of lifelong education, and therefore, educationists would have to grapple with this cross-cultural hurdle through constructivist communications.

**Research Methodology**

This is an exploratory study on a little researched topic on doctoral education in private education in Singapore. The plan was to undertake mainly internet research of the web sites of private doctoral education providers in Singapore and the UK Higher Education Quality Council. The frame of reference of this work is to study vignettes on:

- the beginnings of the DBA program in Singapore as it was revealed in the case of Henley Management College
- a preliminary comparison of the main marketing features of current DBA courses (through the web pages of the private education providers), and
- an exploratory survey on the doctoral students in business in the apparently most popular doctoral programs, namely the business PhD and DBA at APMI-Kaplan (focusing on incidental data on 141 graduates from 1998 to 2004).

A modified version of illuminative evaluation (Parlett & Hamilton, 1972, 1987) was used to map the possible range of student-centred perceptions alongside the university-centred intended outcomes of standard DBA and/or business PhD programs. It seems that Parlett and Hamilton surmised that programs and curriculum are amorphous. They may be reframed, reorganised, reordered or abandoned. Programs are transformed through the instructional system, an interpretation system and the so-called learning milieu or context made up of society and student perceptions.

This illuminative evaluation strategy recalls another complementary approach of learning. This is Stake’s (1967, 1978) Countenance Model of evaluation, which requires an assessment the congruence between expected and actual outcomes of learning before, during and after schooling. Given the difficulties of finding detailed empirical data for specific purposes through the internet, the application of illuminative evaluation through vignettes may bring new light on the nature of private doctoral education in Singapore. Accordingly, three propositions were considered:

**Proposition 1**—From the case of the Brunel-Henley DBA in Singapore, the intended learning outcomes to establish a robust standard by Henley may not be consistent with the student-centred needs for the private postgraduate education.

It is proposed that a case may be made out that overly robust assessment measures would lead to an unpopular program that was slow-moving and tedious.

**Proposition 2**—The current DBA programs offered may have different permutations in structure, costs and advertised themes. Ultimately it is the DBA student clientele and customer who determine the popularity of the programs.
It is proposed that the Singapore private education customer has tendency to be more of an eclectic consumer. She/he wants the best of both worlds. Therefore, a thesis that is relatively moderate in length, a program that is not-so-expansive and one with an advertised modern thematic focus would stand a good chance of survival in the highly competitive private education industry.

**Proposition 3**—The data for the exploratory survey relates to basic University South Australia student data that was advertised on the web (Kaplan-APMI, 2008). This included the names of past DBA and business PhD graduates together with the titles of their thesis, their job positions, their year of completion and doctoral supervisors. From this seemingly meagre data, some useful data may be yielded from information on the selected fields of doctoral research. It is assumed that as doctoral research constitute a multifunctional expose of the links between dependent and independent variables, two fields of study may be deciphered.

These fields are defined as (a) the main/broad field and (b) the specific/supplementary field. Using functional classification, the two fields of study may relate to quantitative studies (operations and, accounting and finance) and the more qualitative areas: strategy and business law; organisational issues and management studies; and, marketing and international business. Furthermore, the context of the thesis or research work of doctoral candidates can be divided into two types. The first type relates to country-based studies—titles of studies that reflect concentration on specific countries. The second type consists of those studies that are industry-based studies.

Regardless of the background job positions of the doctoral candidates, it is predicted that:

- The specific or supplementary field that complements the main field of study would still be in the traditional capstone field of strategy and business law.
- For the main field of study, the business doctoral candidates would mostly choose to study organisation issues and management studies. This choice would be balanced by the other choice to study quantitative studies (operations and, accounting and finance), given that Singapore is an important centre of the global supply-chain network.

Furthermore, it is natural to expect that organisational issues, possibly because of their linkage to cross-cultural content to be relatively connected to country-based studies.

Concept mapping, ranking and SPSS Answer Tree CHAID statistics would be respectively used to study the three categories of analysis. It cannot be denied that concept maps, ranking and selection of tree variables depend on the perceptions of the authors, which in turn is based on opinions gathered from their network of contacts in the private education sector. The latter perceptions are clearly a limitation of this study as they may involve the subjective mining of data. But these methods could also be defended because these are all important factors of the reflective research in phenomenology and illuminative evaluation.
Findings and Analysis

Case of the Brunel-Henley DBA

At its onset in September 1992, this was already a prestigious program in Singapore with SIM’s and Henley’s high standing in global education. It was divided into two stages of study that involved several levels of interaction. However, the administration among the three collaboration bodies, Brunel University, and Henley Management College and SIM could have been more systematic (Higher Education Quality Council, 1996 recalling its pilot program of audit visits between April and June 1996). In particular, the Higher Education Quality Council was unclear about how much the formal responsibilities of Brunel University had, in practice, been assumed by Henley Management College.

In practice, the Brunel-Henley DBA was a robust program with standard benchmarks, even though this program was new to Singapore and Asia at that time. The compulsory activities to be completed in the first stage are as follows:

- Participation in the Advanced Management Program, a short intensive course at Henley attended by senior managers from industry and commerce.
- Workshops on research methodology.
- Conceptualising, actualising and evaluating a Competence Development Portfolio (CDP) that would incorporate four targets from consultancy, personal and research work competencies and evidence of their accomplishment.
- A working paper that should be in a scholastic form and acceptable for submission to the Henley Working Paper Series.
- A critique of a thesis, which is a well-judged scholastic review of an approved doctoral thesis.
- The subsequent presentation of a research proposal.

Doctoral associates at Henley in the first stage were provided with a supervising mentor who they may consult in completing in their CDP. The latter portfolio was, in fact, an innovative and personalised learner-centred process where standards could be seen to be dependent on negotiations and advice between mentors, Internal Verifiers and Panel Interview members, together with External Examiners.

Towards the end of the first stage, the doctoral associates begin work with their doctoral supervisors at the SIM who, together with a second supervisor at Henley would guide and continue with them in the second stage, with a provision that the CDP was achieved with a pass grade. The DBA, which is examined by a viva voce examination, encouraged a focus on managerial applications and an interdisciplinary approach. The thesis was understood to be shorter in length than the PhD thesis. The PhD thesis should be 60,000–100,000 words in length, whereas the DBA thesis should be 45,000–80,000 words (both include appendices). The DBA thesis was however expected to develop in the doctoral associates high levels of competence in academic research, management consultancy and personal/human
resource development (HRD). It was also expected that the thesis should be of a standard that would lead to the publication of, at least, two papers ‘deemed of sufficiently high standard in refereed journals’.

The progression rate of the majority of the associates who took the DBA from the beginning, was relatively slow because of the exacting standards. In a July 1994 University Review Report recorded that out of the original 20 associates at SIM, eight associates had completed stage 1 submissions, two made incomplete submissions, five received extensions, one had withdrawn and four were in abeyance. The thesis stage was equally demanding. It was estimated that the eventual completion and success rates were about 30% of the original cohort.

In the early 2000s, Henley, which later became part of the University of Reading in 2008, decided to pull back from its overseas operations including Singapore. Following a winding-down period, the Singapore DBA was therefore terminated. It was commented that the DBA was well-organised by the SIM. But apparently, the intakes were not very forthcoming with word of mouth communication that the DBA was robust, expansive in fees but time consuming for completion.

From the Brunel-Henley DBA case, proposition 1 seems to be validated. The conceptual map (after Selvin and Shum’s, 2008 concept of knowledge mapping) that emerged in Table 3.1 illustrates that:

- The questions/intended outcomes of Brunel-Henley probably gave birth to good ideas (course structure) and arguments (rationale) in the form of a concrete and quality-driven DBA.

- The pros and cons of the Brunel-Henley course structure and design as they are realised in the context of the Singapore environment. The course did not seem to suit the local associate’s needs to achieve a recognised degree status for life-long education as it is evidenced in low completion rates (which were in the region of 30%).
### Table 3.1: Knowledge Map on the Case of the Brunel-Henley DBA

<table>
<thead>
<tr>
<th>Questions (Intended Outcomes)</th>
<th>Ideas</th>
<th>Argument</th>
<th>Pros and Cons (Actual Outcomes)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Robust activities during Stage 1</td>
<td>1. Advanced management program</td>
<td>Expansive but prestigious program (which could be completed in 3–4 years)</td>
<td>8 out of 20 associates made submissions</td>
</tr>
<tr>
<td></td>
<td>2. Competency development plan</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>3. Research workshops; working paper; critique of thesis; research proposal</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Approach: Use of supervisor as mentors</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Demanding standards for thesis</td>
<td>1. Competencies in academic research, consulting &amp; HRD</td>
<td>Should be a distinct and original contribution to knowledge and scholarship</td>
<td>Estimated 30% or more completed</td>
</tr>
<tr>
<td></td>
<td>2. Reflection of managerial applications &amp; multidisciplinary research</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>3. Should lead to two refereed, published research.</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Approach: Use of External First Supervisor</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

### Marketing Features of Current DBA Programs

Following internet searches during November–December 2008 on the various websites of the current DBA private education providers (and their university partners), a tabulation was made to summarize some of the marketing features of the DBA programs: see Table 3.2. The purpose of this chapter is not so much to evaluate the unique selling points of the DBA programs or to rank the relative quality and standing of the partner universities. However, this chapter would seek to briefly comment on the implications of the appeal (enrolment rates) of these courses.

Judging from the large numbers graduating in the doctoral programs, the University of South Australia appears to be the most popular leader in this apparently oligopolistic market. On the other end of the continuum, Hariot-Watt has the least enrolled DBAs in the context of Singapore. From the web site entitled ‘Kaplan-Singapore’ (Kaplan-APMI 2008), it was reported that Kaplan-APMI has 12,000 enrolled students, including MBA, DBA and PhD students (of which 50% are recruited by word of mouth). EASB is known to concentrate on the courses run by both Queen Margaret University and University Wales Institute Cardiff (which branch campuses are located at EASB) rather than the Hariot-Watt DBA. Assuming that the appeal of the five providers are ranked correctly, it may be deduced that the DBA clientele may have possibly enrolled on the basis of:

- Reasonable course fees: KPMI-APMI, though not the lowest at $39,800 seemed, in the perception of the clientele not as high as that at PSB’s $53,928.
• Other things being equal, high course fees and rigor required from the DBA like those run by PSB may be fairly successful, provided the course comes from a well-placed university like Western Australia (UWA). It was observed that both Brunel-Henley and SIM had fairly long dissertations. (UWA has a 75,000 words thesis). In comparison, enrolment at Brunel-Henley showed a decline, possibly due to low passing rates whereas the perception about UWA was that it seemed to have a better passing rate for candidates.

• DBA programs like those of Southern Cross University may attract some DBA students because of its relatively low pricing and practical program structure that allows students to move through an accumulation of four MBA and research modules which, in fact, are parts of the DBA thesis.

Table 3.2: An Evaluation of the Features of Current DBA Programs

<table>
<thead>
<tr>
<th>Providers of the DBA in Singapore (2008)</th>
<th>Duration</th>
<th>Coursework and Research</th>
<th>Length of Research Work</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. University of South Australia in collaboration with Kaplan-APMI</td>
<td>2.5yrs; max 6yrs</td>
<td>7 modules + dissertation</td>
<td>A 30,000 word (approx) dissertation or 30,000 word (approx) research portfolio of 3 papers</td>
</tr>
<tr>
<td>2. University of Western Australia (UWA) in collaboration with PSB</td>
<td>4yrs; max 6yrs</td>
<td>5 modules + thesis</td>
<td>A thesis to 75,000 words</td>
</tr>
<tr>
<td>3. University of Newcastle in collaboration with Raffles Education Corp.</td>
<td>4yrs; max 6yrs</td>
<td>8 modules + dissertation</td>
<td>A 30,000 to 40,000 word dissertation</td>
</tr>
<tr>
<td>4. Southern Cross University in collaboration with MDIS</td>
<td>2yrs; max 6yrs</td>
<td>4 modules + dissertation (MBA applicants)</td>
<td>A 50,000 word (approx) dissertation</td>
</tr>
<tr>
<td>5. Heriot-Watt University in collaboration with EASB</td>
<td>3yrs, max 7yrs</td>
<td>3 modules + dissertation (MBA applicants)</td>
<td>A 45,000 word (approx) dissertation</td>
</tr>
</tbody>
</table>

According to Bareham, Bourner and Stevens (2000), the DBA thesis has a broader rationale than the PhD thesis as it focuses on making a significant contribution to management practice. This differentiation appears to be not true for all of the five DBA offered and there are niche areas of focus among the five universities mentioned below:

1. University of South Australia

...Institutional leaders, policy makers and managers everywhere are increasingly confronted by apparently novel situations ... which therefore precipitate a call for ‘new knowledge’... It is in this context that the University of South Australia has developed and continually updates its doctoral programs: an innovative post-MBA professional doctorate, the Doctor of Business Administration (DBA), and its well established research doctorate, the Doctor of Philosophy (PhD) in Business and Management (International Graduate School of Business, 2008).
This University has closely allied both its DBA to its PhD in business and management with a knowledge management orientation—and this is relevant in knowledge-based Singaporean society. Here, the differentiation between the DBA and the PhD in thematic orientation does not seem to be great and accords more with the proposition of Miller (2009).

2. University of Western Australia

The DBA is designed to serve the needs of professionals in the private and public sectors who wish to expand their skills in analysing organisational issues and in evaluating policy proposals. Individuals holding academic positions in business and management schools may also benefit from the degree. The guiding premise for the DBA is that the advanced analysis of organisational and policy issues is best served by an intensive program of study (Graduate School of Management UWA, 2008).

Perhaps this University has a focus on the bureaucracy-driven, Civil Service practice to find solutions in organisational issues and policy proposals.

3. University of Newcastle

The world of business and management is constantly changing with new theories, practices and strategies emerging. Senior managers need to keep up-to-date whilst also developing the necessary skills to make a leadership contribution to their own organisations, wider industries and communities… The DBA will also equip business executives with tools to undertake significant applied research in order to perform in an increasingly competitive global business environment (GradSchool, 2008).

This university has a focus on improving leadership competencies through applied research skills.

4. Southern Cross University

A Doctor of Business Administration (DBA) will challenge and inspire you, and see you become an expert in your field of interest… By completing a DBA you will be able to apply sound research methodologies in a practical context, thereby enabling you to deliver specialist knowledge to your industry or organisation. These high-level skills and knowledge, together with your management experience will see you become a highly sort after authority in your industry (SCU Graduate School of Management, 2008).

This university has similar professional leadership intention to Newcastle. However, its program tends be broader in scope and tries to encourage independent learning as it is more loosely structured in themes.

5. Hariat-Watt University

DBA program… Designed for executives who want to apply detailed understanding of business strategy and research tools to their organisations. Whereas a PhD will develop professional researchers, this DBA will enable you to use research methods to define, implement and evaluate the strategies necessary for your business. The DBA comprises a Study element and a Research element (Edinburgh Business School, 2008).
This DBA concentrates on learning about the use of the apparently solid but old-fashioned strategy toolkit for organisational problem-solving and professional development. It also distinguishes the DBA and the PhD in that the PhD (here, professional researchers are trained) applies more of the so-called research element. Therefore, Proposition 2 seems to be validated in this context. More clients want a DBA program with reasonable prices, reasonable thesis word count, and an advertised modern focus such as the management of knowledge.

**Singapore Survey on the University of South Australia**

The use of SPSS Answer Tree 3.0 CHAID procedure involved the labeling of the specific fields of study:

1. Quantitative studies (operations and, accounting and finance) as Specific-QuanStudies; strategy and business law as Specific-Strategy.
2. Organisational issues and management studies as Specific-OrganisIssues; and, marketing and international business as Specific-Mar&IntBus.
3. For the main field, the respective variables were simply QuantStudies, Strategy, OrganisatIssues and MarIntBus.

The dual contexts of study were labeled country-based and industry-based. Given summary background data, it was only possible to divide the DBA and PhD business candidates into three categories: those top management, those in teaching and consultancy and those in senior management.

As implied in proposition 3, the following functions would be predictable:

\[
\text{Specific Field} = f \left( \left( \text{Main Field} \right) = f \left( \text{Context of Study} \right) \right)
\]

As it was discussed in proposition 3, the relationship between the specific and main field of study would be specific field strategy: see the CHAID tree diagram (\(\chi^2 = 51.5362, p = 0.0000, df = 9, n=141\) with a predicted classification accuracy of 55.3%) in figure 3.1. This proposition is validated. In fact, Node 0 shows that Specific-Strategy (strategy and business law), studied by 61 candidates or 43.26% of \(n = 141\) candidates, is the most popular category of study to complement the main field of study. Moving to the level of the main field, Node 1 shows that Specific-Strategy was the most used combination with main field QuantStudies: Specific-Strategy constitutes 23 or 43.4% out of 53 QuantStudies candidates. From Node 2, it could be found that the Specific-Strategy (at 31 or 70.5% of 44 candidates) was even more relevant application with main field OrganisatIssues.

When the main field studied became Strategy itself as in Node 3, the reverse popular combination with Specific-OrganisIssues (at 6 or 42.9% of 14 candidates) was also true. When the main field was MarInBus, as in Node 4, however, the most popular combination was with Specific-QuanStudies (at 40 or 12% of 30 candidates).
In terms of the main field, the proposition that the doctoral candidates would select to study a balance of qualitative studies (organisational issues and management studies as well as quantitative studies (operations and, accounting and finance) is true. In total, the choice of main field OrganisatIssues (Node 2 = 44 candidates) and QuantStudies (Node 1 = 53 candidates) was made by 97 candidates or 68.8% out of 141 doctoral candidates.

In terms of the context of study, the second level CHAID tree analysis showed that the bias towards embarking on a country-based study was distinct for those candidates who studied in the main field of OrganisatIssues (chi-square = 6.9844 p =0.030, df = 2). Proposition 3 findings are not that clear-cut. For main field OrganisatIssues, it is noted that more candidates used the country-based context: 24 country-context studies in Node 6 versus 20 industry-based context studies in Node 5. But it appears that the Specific-Strategy combination has more relevance for industry-based studies: Node 5 shows its higher 85.0% contribution for industry-based studies as compared to Node 6 where its contribution to country-based studies is 58.3%.

**Figure 3.1: Tree Diagram on Specific Field, Main Field and Context Combinations**

The case of main field MarInBus (chi-square = 7.3462, p =0.025, df = 2) could be discussed as well. Here, in Node 8, the Specific-OrganisIssues combination dominated with a 61.54% bias towards country-based studies (and this has parallels to the Specific-Mar&InBus 29.2% contribution to main field OrganisatIssues in Node 6). For the bias towards industry-based studies however, this depended on a Specific-QuanStudies combination as it is shown in Node 7. The latter specific field has a 58.8% contribution to industry-based studies (and again this combination has similarities to the Specific-QuanStudies 15.0% contribution to main field OrganisatIssues in Node 5).
The job positions background was used in the CHAID analysis. As predicted, the background variable was not significant as normal distributions are expected in its relation to the other variables, and, so this variable was omitted in the tree diagram. In other words, the choice of the specific fields, main field and context of research specialisation was normally spread and did not significantly differ between the different top management, teaching/consultancy and senior management background job positions.

**Conclusions**

As this is an early study on DBA education in the private sector in Singapore, the authors of this chapter cannot be overly ambitious in studying the implications of DBA research in this country. Although there is limited in data available, some conclusions from data mining can be made on the progress of doctoral education. The main conclusion of this paper is that there is evidence that DBA education is endeavoring towards the so-called Mode 2 of learning in postgraduate education.

The first stage towards this direction, as it could be seen in the case of the Brunel-Henley DBA which was one of flawed, single-loop learning (Argyris, 2000) whereby the intended student learning outcomes of Brunel-Henley appeared genuine towards rigorous and holistic andragogy. The intentions of Brunel-Henley seemed to have coincided with the aspirations of the Singapore government to groom Thinking Schools, life-long learning and, inevitably a creative and productive nation. But Henley’s DBA plans were apparently premature as the clientele of DBA associates had other requirements to be met, including utilitarian considerations for close mentorship, negotiation, neo-Confucian collaboration, time and fees charged.

In the second stage, the movement to Mode 2 learning could be seen through the evaluation of the five DBA programs that are currently running in Singapore. The current private education providers attempted to move into congruency with a set of learning needs that the DBA clientele could, through a subtle sense, indicate through their enrolment into the DBA programs. The leader in this current scenario seemed to be the collaboration between Kaplan-APMI and the University of South Australia who marketed the DBA on the basis of knowledge management and action learning with a reasonable, money-worth pricing. However, University of South Australia has lately announced to stop all new enrolment for all its degree and DBA/PhD programs with Kaplan-APMI with effect from January 2009.

In a third stage, futuristic trends may be discovered through the University of South Australia survey of doctoral candidates. Here, although the advertised marketing of the DBA was on knowledge management, the survey showed that the main thrust of the DBA can be traced to an underlying expose of strategy within industry or with a cross-cultural country bias. This is not surprising as Hariot-Watt University has already indicated that problem-solving from a strategic orientation is a main focus in DBA education. The DBA in Singapore, as in other parts of the
world, tended to multifunctional or multidisciplinary in nature. Several practical combinations were noted in Singapore and these apparently relate to:

- organisational issues, culture and strategy,
- quantitative studies, industry and marketing/international business and
- organisational issues, marketing/international business and culture.

In fact the emphasis of the DBA on organisation and policy issues has already been adopted by the University of Western Australia. The ‘path creation’ (after Garud, Kumaraswamy and Karnøe, 2009) in Singapore seems to have begun. It is follows that Singapore DBA research may do well by differentiating the research from the world by elaborating on the idiographic, Asian cultural aspects of research phenomena and the unique focus of industry-based research that is found in Singapore society, eg on knowledge management and, sustainable development or health science. The overall feeling derived in this evaluation of DBA education in Singapore is that this is not a simple market as it seems to be on first survey. The peculiarities seemed to have association with educational practice in Singapore and the treatment of education as a strategic toolkit for self-development by the DBA clientele.
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Authors’ Profiles

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Christopher Lim is presently senior lecturer at the Singapore Institute of Management. He was the former editor of the Management Development Journal of Singapore and the Singapore Manager. He has taught at the National University of Singapore and the Nanyang Technological University on Human Resource Management and entrepreneurship. He was a doctoral supervisor at Henley Management College/Brunel University and he has coached a number of successful candidates in both PhD and DBA studies.

Ms Philly Pek

Philly had been appointed as a Preschool Principal in the Singapore Early Childhood industry for almost eight years since 1998. During her employment in the Early Childhood industry, she had coached numerous trainee preschool teachers in her preschool. She is currently enrolled in the Southern Cross University, Doctor of Business Administration program with MDIS UniCampus.
Chapter 4
Doctoral Research in Indonesia
Harif Amali Rivai and Yulia Hendri Yeni

Overview
There are almost 100 public universities in Indonesia that are funded by the Government and are governed as self-managed institutions. In addition to the public universities, there are almost as many private universities which are owned, funded and managed by private organisations. As in other countries, some of the private universities are affiliated with social-religious organisations, such as Islamic, Catholic and Christian organisations. Doctoral programs and other tertiary level programs in Indonesia are accredited by the National Accreditation Board for Higher Education (Indonesian: Badan Akreditasi Nasional—Perguruan Tinggi), an external quality assurance institution under the umbrella of the Ministry of National Education of Indonesia.

This chapter charts the history and development of doctoral programs in management and business in Indonesia. This field of study is relatively recent and the doctoral programs surveyed for this chapter are in their early development and infancy. Comparisons are made in the chapter of the selection, study processes and examination of doctorates between Indonesia and Australia.

Introduction
This chapter charts the history and development of doctoral programs in management and business in Indonesia. Doctoral programs in Indonesia were initiated by the University of Indonesia—a State university. The journey of doctoral programs, especially for the PhD in Management, is still quite recent. Therefore, the percentage of PhDs who have graduated from local Indonesian universities is still small. At present, many universities deliver doctoral programs, including public and private universities, but not all of these officially report to the Indonesia Education Department. A report is published through official publications which is available on the site of the Director General of Higher Education (DGHE) (ie self-based evaluation of study program). Many of the doctoral programs are at an
early stage and not yet accredited by the National Accreditation Board (BAN). Some universities surveyed for this research deliver doctoral programs in the field of Economics. However, they are not clearly focused on the field of Management. In other words, the program is titled—for example, a PhD in Economics that has a concentration in Management.

This chapter limits the discussion on the universities that deliver doctoral training to the field of management which is registered on the DGHE (Directorate General of Higher Education) of Indonesia. Thus, data and information used in this chapter refer to data published by DGHE through several sites that can be accessed online. In general, the structure of this chapter consists of several parts. The initial part contains an introduction that explains the history of the establishment of doctoral programs in management. In the next section, we describe some of the universities and make comparisons of policies in the process of learning in the doctoral program. The methodologies and approaches in doctoral research in management are also discussed in this section. At the end of this chapter we elaborate and comment on the direction and development of management research.

**The History of Doctoral Research in Management/Business in Indonesia**

The doctoral research program in Management (PhD in Management) is not offered by all universities in Indonesia. The number of majors offered at the doctoral level by the universities will usually be much smaller than the number of majors at the Masters level. Occasionally, a school will only offer a major at the bachelor degree level and exclude Masters or doctoral level programs. This is due to the limited number of schools able to obtain an operating permit from the Directorate General of Higher Education. The Indonesia Educational Department has been controlling the quality of educational process by referring to the Education Act 2003 No 20 (Undang-undang Nomor 20 Tahun, 2003). It noted that a new Study Program (ie Bachelor, Masters or Doctoral level) that has obtained approval from the Educational Department is allowed to begin the educational and learning process. It is officially recognised as a higher education institution in Indonesia. The Indonesia government requires the Study Program to send their Self-Evaluation report (called EPSBED) every semester. This report reflects a control mechanism of the standard and quality of all educational programs offered by both private and state universities. Then, the study program has to apply for accreditation to have a rating and acknowledgement of institutional level of quality education. As noted in the Education Act 2003 No 20 Article 60, accreditation is conducted to determine the feasibility of programs and education units at the point of formal and non formal education at all levels and types of education.

The accreditation must be undertaken by the Government (National Accreditation Board) and/or independent institution authorised as a form of public accountability. Therefore, this chapter relies on information and data of the Study Programs (ie PhD Management) that are sent to the government every semester.
Based on the data quoted from the official site of higher education, the institution that first organised the doctoral program in business and management was the University of Indonesia (called UI). The University of Indonesia is one of the oldest universities in Indonesia. The university is a continuation of the Institute for Higher Education of Indonesia, which was established by the Government of the Republic of Indonesia in Jakarta in 1945. With the development of sciences and higher education needs of the community, faculties of this university that were outside Jakarta began to separate themselves from the University of Indonesia into their own institution. The Faculty of Economics at the core of Hasanuddin University in Makassar (Hasanuddin University), Faculty of Engineering at Bandung Institute of Technology Bandung (ITB) in West Java, Faculty of Agriculture became Institut Pertanian Bogor (IPB) in West Java. In addition, the Faculty of Teacher Training and Education, which was established on the basis of incorporation of teacher education courses in B-1 and B-2 in 1962, developed into the Institute of Teacher Training and Education (Teachers’ Training College) in Jakarta.

In 1982 the Faculty of Graduate School at the University of Indonesia was officially opened. The first doctors graduated from University of Indonesia were produced by a Study Program of Law. The study program is the oldest doctoral program in the University of Indonesia. Meanwhile, the doctoral program in Management was established in 1988. The data obtained from the Educational Department noted that there are nine universities that registered as providers of PhD programs specifically in Management or Business. These universities are:

- Universitas Indonesia
- Universitas Gadjah Mada
- Universitas Brawijawa
- Universitas Diponegoro
- Universitas Pasundan
- Universitas Muslim Indonesia
- Institut Teknologi Bandung
- Universitas Katolik Widya Mandala Surabaya, and
- Sekolah Tinggi Ilmu Ekonomi Indonesia.

Nevertheless, not all those universities reported complete information about the total number of students and graduation in detail. The government of Indonesia attempts to control the quality of the educational system of universities by obligating them to report EPSBEP or self-based evaluation of study program. The report includes information such as; the year to establish the program, number of registered students, number of graduated, and number of lecturers. As noted by Kepmendiknas RI no 184/U/2001 that every higher educational institution has to report teaching and learning process to the Directorate General of Higher Education (DGHE) every semester. The data collected from the official web of the DGHE concluded that
there are three state universities which regularly report the number of students and graduation, and the rest still submit incomplete reports. Based on the student body, the University of Brawijaya had quite a large number of registered PhD students in management by 2009. However, the total number of graduates is dominated by the University of Indonesia (UI) which graduated 78 PhD candidates in management in 2009. The University of Indonesia is the most popular study destination for local students. The university also had graduated a number of candidates who went on to successful positions in bureaucrat and state owned enterprises in Indonesia. Besides being the oldest university in Indonesia, it is also the most reputable university. Table 4.1 below provides details on the universities surveyed.

Table 4.1: Universities surveyed for this research

<table>
<thead>
<tr>
<th>Name of Institution</th>
<th>Cites</th>
<th>Ownership</th>
<th>Date Founded</th>
<th>Students 2007</th>
<th>Students 2008</th>
<th>Students 2009</th>
<th>Graduates 2009</th>
</tr>
</thead>
<tbody>
<tr>
<td>Universitas Indonesia</td>
<td>Jakarta</td>
<td>State</td>
<td>17 Mar 1988</td>
<td>164</td>
<td>174</td>
<td>122</td>
<td>78</td>
</tr>
<tr>
<td>Universitas Gadjah Mada</td>
<td>Yogyakarta</td>
<td>State</td>
<td>29 Sept 1993</td>
<td>59</td>
<td>69</td>
<td>66</td>
<td>27</td>
</tr>
<tr>
<td>Universitas Brawijaya</td>
<td>Malang</td>
<td>State</td>
<td>6 Mar 2000</td>
<td>159</td>
<td>242</td>
<td>247</td>
<td>28</td>
</tr>
<tr>
<td>Universitas Persada Indonesia Yai</td>
<td>Jakarta</td>
<td>Private</td>
<td>9 Jun 2000</td>
<td>18</td>
<td>38</td>
<td>51</td>
<td>n/a</td>
</tr>
<tr>
<td>Universitas Pasundan</td>
<td>Bandung</td>
<td>Private</td>
<td>29 Mar 2007</td>
<td>77</td>
<td>76</td>
<td>78</td>
<td>n/a</td>
</tr>
<tr>
<td>Universitas Muslim Indonesia</td>
<td>Makassar</td>
<td>Private</td>
<td>16 Aug 2007</td>
<td>13</td>
<td>34</td>
<td>34</td>
<td>n/a</td>
</tr>
<tr>
<td>Institut Teknologi Bandung</td>
<td>Bandung</td>
<td>State</td>
<td>5 Aug 2008</td>
<td>n/a</td>
<td>n/a</td>
<td>11</td>
<td>n/a</td>
</tr>
<tr>
<td>Universitas Katolik Widya Mandala</td>
<td>Surabaya</td>
<td>Private</td>
<td>20 Jan 2009</td>
<td>n/a</td>
<td>n/a</td>
<td>10</td>
<td>n/a</td>
</tr>
<tr>
<td>Sekolah Tinggi Ilmu Ekonomi Indonesia Surabaya</td>
<td>Surabaya</td>
<td>Private</td>
<td>17 Sept 2009</td>
<td>n/a</td>
<td>n/a</td>
<td>n/a</td>
<td>n/a</td>
</tr>
</tbody>
</table>

Source: http://evaluasi.or.id/recap-majors.php

The University of Indonesia was ranked at number 50 in the 2011 QS Asian University Ranking results and in the field of management, UI secured in 14th position. In 2010, according to University Ranking by Academic Performance
Comparing PhD programs between Indonesia and Australia

The Indonesian government seeks to improve the quality of education by encouraging local Indonesian lecturers to pursue doctoral studies for a variety of disciplines abroad. The number of lecturers in Indonesia from various disciplines reached 270,000. Lecturers with doctoral qualifications (noted locally as the S3 level) amounted to only 24,000. It is expected that by graduating 7,000 doctorates each year by 2015, the number of lecturers educated to the S3 level will rise to 25 percent. The effort to increase doctoral qualifications of lecturing staff will be supported by a number of scholarships, either from the Ministry as well as from abroad. Of the 15,500 lecturers who taught in all State universities or institutes in Indonesia, it was only 12% who had completed the study PhD (S3), from both domestic and overseas. Although interest in study abroad to pursue a doctoral degree is high enough, the applicants have constraints in terms of requirements of host universities. For example, most universities in Australia require that applicants must have a certificate of TOEFL with a score range 500 to 600 (it depends on each university). Of course, to meet the requirements are very difficult, especially from those who come from a Masters program that used a language that is not in English.

Entry Requirements

PhD programs in Australia assume prospective students are individuals who are ready to pursue PhD research. This can be seen from eligibility requirements from major universities in Australia (who entered eight top Universities). Usually, prospective students must have a Bachelor’s degree with Honours, or the M. Phil, or Masters (by course-work) who have experience of research and have publications. The publication can be published in the country (Indonesia) or overseas would be better. Another requirement is a common condition such as TOEFL / IELT, as well as GMAT Score. For the GMAT requirement, this is not absolute. There are few schools of business in Australia which requires GMAT score. To enter the PhD program in management in Indonesia, the university does not require a TOEFL score when applying. However, the candidates have to accomplish a particular score of TOEFL when they graduate from the program. The applicants also have a score of Academic Potential Test (TPA) with a score of 550. TPA is usually organised by the National Development Planning Agency (called Bappenas).

Learning Processes

PhD programs in management or business in Australia consider a prospective student accepted into the PhD program is ready to begin their research. If the PhD program committee considers the candidate as not yet ready, or their background
is non-management Masters, students are required to take courses as much as one
to two semesters (approximately one to five subjects). That is a qualifier program.
Subjects to be taken are usually in the field of research methodology, statistics,
seminars or qualitative research. However, this is not standard. It depends on the
ability of applicants that are assessed by a committee. Applicants who are considered
ready can immediately write a research proposal. The students who must take
coursework may begin to write a research proposal and supervised by a supervisor
once the coursework is successfully completed.

For a PhD in business management and Indonesia, all students must take courses
from two to four semesters, where the maximum load for graduates of a Masters
from a management/business background is 40 credits and 52 credits for candidates
who came from other fields. Those who are deemed not ready to enter the program,
they also have to take the matriculation program. If the student has completed and
passed all the courses, they can apply for preliminary examination. After passing
the preliminary examination, the students can submit a proposal, which in turn if
they can pass allows them to be called a doctoral candidate.

**Research Process and Supervision**

At this stage, both PhD programs in Australia and Indonesia could be said to be
similar. However, in Australia there is no preliminary examination, but the candidate
must present the proposal in a doctoral seminar or colloquium and defend it. Each
student is usually guided by a professor. While in Indonesia, every student must
pass a preliminary examination before writing a proposal. If the student fails the
examination, the school gives them a last chance to re-sit the examination. A failure
in the second examination results in the student not being allowed to continue the
doctoral program. A student is guided by a professor as a primary supervisor and
two co-supervisors who have the academic title of professor or doctor.

**Final Stage**

At the end of their PhD studies in Australia, it is usual for the thesis to be sent
outside the university to external international examiners. It is usual that there are
two to three external examiners appointed. The examiner reports are considered by a
doctoral Committee who makes the recommendation of the award of the doctorate.
For a PhD Management/Business in Indonesia, the students are permitted to
conduct research if they pass the examination proposal. After obtaining the approval
of the examination to complete a thesis, the thesis is sent to the examiner team. The
student will defend their thesis in two stages:

1. presentation (defence) of his/her PhD thesis in front of the board of examiners
   in a closed session. If the thesis passes this stage, then

2. presentation in an open session that might be attended by lecturers and PhD
   students.
Universities Policies for the PhD Program

The management doctoral program is aimed to create graduates who have several attributes. These include being able to:

1. develop concepts of science, technology, or new art in their field of expertise through research,
2. manage, lead, and develop research programs,
3. work within interdisciplinary fields.

Therefore, most universities in Indonesia carry out a strict selection process of the candidates. Entering the doctor of management degree in Indonesia also requires a local standard (e.g., GPA of a Masters degree, TOEFL score, reference letter, and research proposal). The process begins from desk evaluation, paper and pencil test, and interviewing of candidates. At the stage of desk evaluation, the committee assesses some documents of applicants such as certificate and academic records of the Masters degree, academic transcript, reference letter, and research plan. If the candidates pass in this stage, then the applicants are invited to attend a paper and pencil test. The tests include English ability and academic potential. The test is followed by the interview stage to elicit candidate motivation. Even though the learning process is delivered in Bahasa as official language in Indonesia, the universities require candidates to have an ability in English, due to most study materials and text books and articles being published in English.

Though it is a requirement, in some cases the candidates with low-level English ability might be accepted in the program due to his/her test results demonstrating a good academic capability. These candidates still have the opportunity to improve their English while in completion of their research.

Most universities provide a language center which deliver foreign language short courses. The candidate can apply to the language center of each university in order to attain a sufficient level of English as a PhD graduate.

In the context of the Indonesian educational system, the assessment process of doctoral students is conducted through several stages, such as semester examinations, colloquium, seminar, thesis proposal, and thesis examination. The Indonesian Education Ministry regulates the curriculum of a doctoral degree. According to the government regulation 232/U/2000, the regulations include:

• Minimum credit of the doctoral program for students who hold an Honours degree in a similar field (linier), is 76 credits. The study is expected to proceed from eight semesters with a maximum length of study of 12 semesters.
• Minimum credit of the doctoral program for students who hold an Honours degree from a different field (non-linier), is 88 credits. The study is expected to proceed from nine semesters with a maximum length of study of 13 semesters.
• Minimum credit of the doctoral program for students, who hold a Masters degree in a similar field (linier), is 40 credits. The study is expected to proceed from four semesters with a maximum length of study of 10 semesters.
Minimum credit of the doctoral program for students, who hold a Masters degree in a different field (non-liner), is 52 credits. The study is expected to proceed from five semesters to a maximum length of study of 11 semesters.

A summary of the regulation is shown in Table 4.2 below.

**Table 4.2: Expected Credits and Duration of Study to Doctoral Programs**

<table>
<thead>
<tr>
<th>Level of Entering</th>
<th>Field of Science</th>
<th>Credits</th>
<th>Duration of program (semesters)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Honours Degree</td>
<td>Similar field—liner</td>
<td>76</td>
<td>8 to 12</td>
</tr>
<tr>
<td>Honours Degree</td>
<td>Different field—non-liner</td>
<td>88</td>
<td>9 to 13</td>
</tr>
<tr>
<td>Masters Degree</td>
<td>Similar field—liner</td>
<td>40</td>
<td>4 to 10</td>
</tr>
<tr>
<td>Masters Degree</td>
<td>Different field—non-liner</td>
<td>52</td>
<td>5 to 11</td>
</tr>
</tbody>
</table>

Source: Government regulation with number 232/U/2000

Students who have completed the prerequisite subjects have to take a qualifying examination of candidature. The examination is taken no later than the end of the third semester. The results of the examination reflect student mastery of many aspects of the theory and methodology of science in Management studies. It is also to evaluate a doctoral student to obtain status as a doctoral candidate. In this test, the candidates are expected to demonstrate the quality of high-level critical thinking. There is a variety in the qualifying examination (called preliminary examination). Preliminary examination is conducted on the doctoral candidate to ensure mastery of theories and concepts to assess the ability of the candidate to continue to the research stage. Most universities perform the preliminary examination as a written examination. The examination may take between three to four hours and contains questions associated with the fundamentals of research. The nature of the examination is closed book.

The preliminary examination is a critical stage which assesses whether or not students are permitted to propose supervisors and continue to next stage (ie colloquium of the research plan). An assessment of the research plan consists of two stages. Firstly, the school arranges a colloquium schedule for the students. The colloquium is only delivered one student for each schedule, and it is attended by PhD students and lecturers. This stage is intended to improve the quality of the PhD research. In the meantime, the student gets feedback from the participants. Secondly, after doing some corrections, the student has the opportunity to propose a schedule for the proposal examination. The examination will be carried on by a scientific committee of each university. This examination is limited to participants who are attended by examiners and the head of program (ie Dean). The oral examination is intended to measure the students’ ability in expressing the answers and to explore the answers that have been written at the time of the written test, looking at the students’ ability in expressing their knowledge verbally, and assisting in the assessment of the written examination. The students who fail can only be given the opportunity
to sit a re-examination one time only. Finally, the students who go through and pass these examinations are called doctor candidates. Passing from preliminary examination, the doctoral candidate begins to work with his or her supervisor who is assigned by the doctoral committee in the school.

At the final semester, the students are obligated to submit a research-in-progress which had been approved by supervisors. A thesis draft will be evaluated by a scientific committee. Nevertheless, the students who could not complete the degree within the prescribed period (i.e., 10 semesters), will not be allowed to continue the study. The most common practice in Indonesia is that each student is tested by at least three examiners who are assigned by the scientific committee of the faculty. In the meantime, the supervisor and co-supervisor also attend the examination session. Overall the completion process of a doctorate degree may take between three and six years. The length of time will depend on the student’s educational background (a student with a Masters degree may take less time to complete the PhD if it is in the same field), the field of study selected, the student’s dedication and ability, and the complexity of the thesis the student has chosen for the doctoral project. Another important factor is the communication between the student and supervisor. Most universities in Indonesia assign three supervisors which consist of one main supervisor and two co-supervisors. The thesis is a very long, extensive, and original research paper that is a requirement for completing the PhD program. (Some Masters degree programs also require a thesis, but it is much simpler and shorter than the PhD program thesis.)

Learning Process

Doctoral programs in Management/Business in Indonesia are designed to combine coursework, research, and writing of research results. Courses are given for two to three semesters to complement the participants with knowledge of research tools and methods as well as knowledge of the field of science which is the target of the research. The next three to four semesters are used by the participants to conduct research and writing the research under the guidance of their research supervisors.

The evaluation of the students’ academic ability in the doctoral program parallels the learning process. While students are doing course work, their academic performance will be evaluated by several points included the semester examinations (Semester Mid Examination and Semester Final Examination), assignments, and preliminary exam. Further, if they have passed the preliminary examination, the students might be called doctoral candidates. Evaluation of doctoral candidates is conducted directly by the supervisor and co-supervisors. The assessment includes dissertation proposal writing, seminar proposal, comprehensive examination, dissertation writing, and dissertations examination. Specifically, evaluation for doctoral candidates who have started writing a dissertation is conducted at the end of each semester. Usually, candidates submit a progress report endorsed by the supervisors, and sent to the school.

Research-based learning processes are guided by an instructor who holds a doctorate specialisation in their field. Not only in the completion of thesis, teaching in the field
of research is also conducted in all classes, through discussion, study, and review research results that have been published in refereed journals. Students might do doctoral research either in the form of pure research or applied research. Similarly, students also can choose various research method strategies. The doctoral program is not solely focused on writing a dissertation, but also in the process that had been designed on regular scheduled and courses. This process is believed to produce a good quality of doctoral graduate. In comparison to the full coursework method, the doctoral program by research (ie unstructured program) is not so popular in Indonesia. The majority of doctoral programs in Indonesia offer coursework programs. Therefore the process will be step-by-step as courses are undertaken and completed. Figure 4.1 below details the process graphically.

**Figure 4.1**: Stages in the Doctoral Journey

<table>
<thead>
<tr>
<th>STAGES</th>
<th>EXPECTED TIME</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>DURATION</td>
</tr>
<tr>
<td>Course work</td>
<td>22</td>
</tr>
<tr>
<td>Preliminary Exam</td>
<td>3</td>
</tr>
<tr>
<td>Request for Supervisors</td>
<td>1</td>
</tr>
<tr>
<td>Proposal Colloquium</td>
<td>3</td>
</tr>
<tr>
<td>Proposal Exam</td>
<td>3</td>
</tr>
<tr>
<td>Collecting Data</td>
<td>6</td>
</tr>
<tr>
<td>Defense Findings of the research</td>
<td>3</td>
</tr>
<tr>
<td>Revision and Dissertation Draft</td>
<td>4</td>
</tr>
<tr>
<td>Thesis Exam</td>
<td>1</td>
</tr>
</tbody>
</table>
Conclusion

The management and business discipline is a relatively recent field of study at Indonesian universities and the doctoral programs surveyed for this chapter are in their early development. Accordingly, there are few universities that offer awards in these areas and even fewer graduates from these programs. As one might expect, the institution that first organised a doctoral program in Business and Management was the University of Indonesia (called UI). The University of Indonesia is one of the oldest and most prestigious universities in Indonesia.

Comparisons of the entry requirements, learning, study and supervision processes and examination of doctorates between Indonesia and Australia show that some significant differences exist. While there may be some differences, it is clear that the quality and development of doctorates in this area in Indonesia is on a rigorous footing and every effort is being made by the government to improve research outcomes and graduation rates.
References
Ministry of National Education of Indonesia, 2011

Authors’ Profiles

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Chapter 5

Doctoral Research in Thailand

Malinee Ronapat

Overview

Thailand has a long history of higher education development. In the last 30 years, Education has been a priority to Government’s policy. Although it seemed that most higher education was located centrally, there were demands to push higher education institutions to rural areas in order for Thailand to operate in a full knowledge-based and research-based economy. The Thai Government’s 15-year Long Range Plan for Higher Education (2008–2022) covers all key aspects of higher education management and is a challenge to the Thai Higher Education system. Thai public and private higher education institutions offer a wide variety of PhD/DBA international programs which invite Thai and foreigners to enroll.

Although there are many PhD courses offered in Thailand, most are pure science related. It was not until the 1980s that business management programs started to get acknowledged and since then higher institutions in Thailand continue offering PhD/DBA degree programs. However, most of these programs are young and still emerging and some of them only exist in websites and on brochures.

Thailand Higher Education Background

Thailand’s a long history of higher education development dated back during the reign of King Rama IV (1851–1868). In 1887, the Department of Education was established. Later in 1916, Thailand’s first public university, Chulalongkorn University, was established and in 1934, Thammasat University. Four other universities were founded years later: Kasetsart University (1943), Silpakorn University (1943) and Mahidol University (1969). In this early period, all higher education institutions were located in capital city. During the 1960s, universities were established in several provinces: Chiang Mai University in the north, Khon Kaen University in the northeast and Prince of Songkla University in the south. During the 1960s and 1970s, centres of higher learning were established—the National Institute for Development and Administration (NIDA), the Asian Institute of Technology (AIT), and King Mongkut’s Institute of Technology (KMIT)— and later, open admission universities: Ramkhamhaeng University and Sukhothai Thammathirat were established (The World Bank and OHEC, 2009).
The enactment of the Higher Education Institution Act in 1981 intensified the development of private institutions in response to high public demand for education. This led to rapid growth in the number of both public and private higher education institutions—from five in 1967 to 166 in 2008—and also allowed three private colleges to update to university status: Assumption University, University of Thai Chamber of Commerce and Bangkok University (The World Bank and OHEC, 2009). In 2008, there were 34 private universities, 30 private colleges and five private institutes (OHEC, 2008). For these private institutions to offer diploma and degree programs, government approvals are required. The Commission on Higher Education (CHE) plays an important role in assuring quality and standards of programs offered by these institutions. Nevertheless, the institutions are independent in terms of administration, finance, and staff recruitment (CHE, 2008a).

In the last 30 years, Thailand has invested heavily in improving education. Education has been a priority in Government policies. Nevertheless, higher education spending is not impartially distributed. Public expenditures in this sub-sector tend to benefit higher income groups more than remote and lower-income people. As global market conditions have shifted, higher education is now required both to train higher-skilled workers to operate in a knowledge-based economy and to promote research development. Higher education is a crucial tool to update individual knowledge and skills (The World Bank and OHEC, 2009). In 2003, Thailand invested 0.3% of its Gross Domestic Product (GDP) in research and development (The World Bank and OHEC, 2009). This is still below countries such as Singapore, Malaysia, China, India and the United States. While a country is expected to exhibit above 50% of faculty members holding Doctoral degree in public/private higher education institutions, currently only 24% is achieved in Thailand. Even for some higher education institutions, faculty members who hold Doctoral degrees is only between 7–13% (The World Bank and OHEC, 2009).

Thai public higher education institutions are categorised according to admission systems to limited admission, open admission and autonomous. While the number of Thai public higher education institutions is 78 (as of May 2008), Thai private higher education institutions is 68 (as of May 2008), making a total of 146 higher institutions. The majority of public higher education institutions (63 from 78) have limited admissions while 15 of 78 have open admission (OHEC, 2008, 2009, 2010). Autonomous institutions aim to promote institutional flexibility and encourage self-management under the supervision of university councils. So far, seven universities have received autonomous status, namely Burapha University, Chaing Mai University, Chulalongkorn University, Mahidol University, Thaksin University, King Mongkut’s University of Technology Ladkrabang and King Mongkut’s University of Technology North Bangkok. These higher education institutions operate as independent government agencies, receiving funding directly from the national budget and have full power to establish administrative rules and regulations (The World Bank and OHEC, 2009).
Together with the rise of Thai private higher institutions, many prestige international degree programs were established to offer alternatives of studying overseas here in Thailand. Since then, international programs gained large recognition from the public and appeared in almost every higher institution's bulletin. The number of international programs rose from 69 in 2002 to 109, 127, 178 and 220 in 2006 respectively (OHEC, 2008). Currently, Thai public and private higher education institutions offer a wide variety of international programs in many disciplines, both at undergraduate and graduate levels. International programs are managed on the university’s own qualified faculty, but students gain broader perspectives from invited overseas experts and visiting professors from the world’s leading universities. In 2008, both Thai public and private higher education institutions offered a total of 884 international programs using English as the medium of instruction, which includes 215 Doctoral degree programs. Many programs that are delivered in collaboration with the world’s renowned universities or double-degree programs are more likely to be for Masters degree level (CHE, 2008a).

**Thai Academic Semester**

The Thai academic year begins in the late May and ends in February. The between-semesters break is in October and the summer school break is between March and May. Some international programs in higher-education institution providers operate on a Western school calendar (CHE, 2006, 2008a).

**The Future of Thai Higher Education**

The development of learning-based society is primary to Thailand’s vision of becoming a knowledge-based economy for the 21st Century. Thailand is striving to develop learners who understand the world and integrate it into Thai culture, which will greatly benefit their communities. The government’s 15-year Long Range Plan for Higher Education (2008–2022) covers all key aspects of higher education management, including administrative systems, teaching and learning, research promotion and higher education finance issues (CHE, 2008a). Its main aim is to provide civilians with the skills and capabilities necessary to upscale national competitiveness (POS, 2006).

Challenges lie ahead in reformation and transformation of teaching and learning practice. The fundamental change process should be new learning theories and brain-based learning models to assist integration of modern Thai teaching and new learning culture. Thai education is based on nine years of compulsory and 12 years of free basic education, guaranteed by the constitution (The World Bank and OHEC, 2009).

Thai higher education is challenged by increased student participation, quality assurance, transforming teaching and learning methods, developing research skills, an education loan as referred to as Income Contingency Loan (ICL) scheme for students, and management of higher education institutions (The World Bank and OHEC, 2009).
Doctoral Education in Thailand

Statistics showed in 2008 that there were 16,378 total number of students enrolled in public higher institution PhD programs, 1,472 enrolled in private higher institution PhD programs, new admissions of 3,537 students in the academic year to public higher institutions PhD programs, and new admissions of 423 students in the academic year to private higher institutions PhD programs. PhD graduates from public higher institutions were recorded at 1,917 and PhD graduates from private higher institutions were recorded at 27 (CHE, 2008b, OHEC, 2004).

The Ministry of Education claimed there were 220 PhD programs using English as a medium of instruction—199 programs belonging to public institutions and 21 belonging to private institutions (OHEC, 2004). Updated data from the Commission on Higher Education of Thailand stated that in 2008, both Thai public and private higher education institutions offered 884 international programs using English as the medium of instruction, and amongst these were 215 Doctoral degree programs. Foreign and Thai students can take courses for credits from those programs (CHE, 2008b).

Thai higher education institutions have actively sought international alliances by signing 583 Memorandums of Understanding (MOUs) with foreign higher education institutions/ international organisations for collaborative and resource sharing purposes. The top five of countries of foreign higher education institutions having MOUs with Thai counterparts are the United States of America (93 MOUs), China (68 MOUs), Japan (65 MOUs), Australia (54 MOUs), and Vietnam (39 MOUs) (CHE, 2008a).

According to the Ministry of Education record in 2008, most PhD programs being offered were pure sciences and delivered in collaboration with the world’s renowned universities. These programs provide opportunities for students to have learning and living experiences both in Thailand and abroad. Some of the pure sciences programs offer double degrees—eg the PhD program in engineering offered by Sirindhorn International Thai German Graduate School of Engineering (TGGS)—a joint institution established by RWTH Aachen University in Germany, one of Europe’s top ranking universities (CHE, 2006, 2008a).

Nevertheless, from the perspective of social sciences and management schools, PhD/DBA programs are stand-alone. In the past, many public and private PhD/DBA programs in management claimed to have dual-degree and collaboration with foreign universities. It is unclear why recently those international collaborations were only mentioned as strategic partners and resources-sharing parties. An example of an ongoing collaboration program is the PhD program in finance and marketing offered by Sasin Graduate Institute (a Chulalongkorn University subsidiary) and the Kellogg School of Management, Northwestern University, USA. PhD candidates would spend their first year at Sasin and their second year at Kellogg, and would later return to Thailand to finish their theses.
DBA/PhD Programs General Requirements

Applicants are generally required to have at least a Master’s degree or equivalent in relevant fields. Besides official documents accompanying application forms, the applicants may be requested to take additional graduate examinations such as the GRE, IELTS or GMAT. For some DBA/PhD courses, the process may also include an interview and written exam (CHE, 2006, 2008a).

Graduate students including DBA and PhD programs are required to take between nine and 15 credit hours per semester to be considered of full-time student status. The Doctoral degree program requires a candidate to complete the minimum of 72 credit hours. Students are also required to satisfy a cumulative grade point average of no less than 3.00 for a Doctoral degree (CHE, 2006, 2008a).

On average, the DBA/PhD annual tuition fee is $5,000 to $15,000. A degree requires three to four years of full-time and up to eight years of part-time participation (CHE, 2006, 2008a).

The Joint Doctoral Program in Business Administration (JDBA)

In 1992, three higher public education institutions—Chulalongkong University, Thammasat University and the National Institute for Development and Administration—co-founded a Joint Doctoral Program in Business Administration (JDBA), preliminarily sponsored by Canada International Development Agency (CIDA). The JDBA in English program was aimed at producing human resources with advanced research skills, but was later revised and appeared to be inactive. Each of the founder institutions came up with their own DBA/PhD programs: Chulalongkorn University launched its own DBA in Business Management; Thammasat University launched its own DPB (Doctoral Program in Business) and the National Institute for Development and Administration focused on its core strength on launching PhD in Finance.

Another pioneer DBA programs is offered by the Asian Institute of Technology (AIT). AIT’s School of Management (SOM) was established in October 1987 to meet the growing needs in Asia for graduate management education. SOM currently has 95 DBA and 60 PhD students.

Higher Education Institutions Offering PhD/DBA Programs

Table 5.1 below shows accredited PhD/DBA International programs as of 2008–2009. Information used to construct the table was acquired from the Commission on Higher Education directory and was traced back to the institutions’ websites to versify the existence of the programs.
### Table 5.1: Accredited and Established PhD/DBA International Programs

<table>
<thead>
<tr>
<th>Higher Institution Names</th>
<th>Program Offered (in English)</th>
<th>Annual Tuition Fee</th>
<th>Admission Requirement</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Public (Autonomous)</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Burapa University</strong></td>
<td>DBA in Business Management, PhD in Human Resource Development</td>
<td>$1,000-4,200</td>
<td>TOEFL 550 and Master Degree in relating field</td>
</tr>
<tr>
<td><strong>Chiang Mai University</strong></td>
<td>PhD in Economics</td>
<td>$4,430-8,571</td>
<td>TOEFL 500/IELTS 5.5, Outstanding Master’s degree results and specific admission requirements</td>
</tr>
<tr>
<td><strong>Chulalongkorn University</strong></td>
<td>DBA in Business Management, PhD in Business Administration, PhD in Economics</td>
<td>$4,800</td>
<td>TOEFL 550 and Bachelor/Master’s degree in related field</td>
</tr>
<tr>
<td><strong>Mahidol University</strong></td>
<td>PhD in Entrepreneurship Management</td>
<td>$24,000</td>
<td>TOEFL 550/IELTS 6.5, Master’s degree from recognized institution with GPA of 3.5 on 4.0 scale and satisfactory research preparation</td>
</tr>
<tr>
<td><strong>Public</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Nareasuan University</strong></td>
<td>PhD in Business Administration</td>
<td>$4,000</td>
<td>TOEFL 550/IELTS 6.0 and Master’s degree in related field</td>
</tr>
<tr>
<td><strong>National Institute of Development Administration</strong></td>
<td>PhD in Finance, PhD in Development Administration</td>
<td>$4,575</td>
<td>TOEFL 550 and Master’s degree from accredited institutions</td>
</tr>
<tr>
<td><strong>Ramkhamhaeng University</strong></td>
<td>PhD in Business Administration</td>
<td>$14,285</td>
<td>Master’s degree</td>
</tr>
<tr>
<td><strong>Thammasat University</strong></td>
<td>DPB in Business Administration</td>
<td>$7,600</td>
<td>N/A</td>
</tr>
<tr>
<td><strong>Sasin Graduate Institute (Chulalongkorn University Subsidiary)</strong></td>
<td>PhD in Finance, Marketing (In cooperation with Kellogg, School of Management, Northwestern University, USA)</td>
<td>$25,000</td>
<td>N/A</td>
</tr>
</tbody>
</table>

Source: Developed for this paper
Table 5.2: Accredited PhD/DBA International Programs 2008-2009

<table>
<thead>
<tr>
<th>Higher Institution Names</th>
<th>Program Offered</th>
<th>Annual Tuition Fee</th>
<th>Admission Requirement</th>
</tr>
</thead>
<tbody>
<tr>
<td>Private</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Assumption University</td>
<td>DM in Organisation Development DM in Hospitality and Tourism Management PhD in Business Administration</td>
<td>$10,900-27,000</td>
<td>N/A</td>
</tr>
<tr>
<td>Bangkok University</td>
<td>PhD in Business Administration</td>
<td>$31,428</td>
<td>Master’s degree in Business Administration with GPA of no less than 3.5</td>
</tr>
<tr>
<td>Dhurakit Pundit University</td>
<td>DBA in Business Administration PhD in Business Information</td>
<td>$6,140</td>
<td>TOEFL (computer-based) 237/IELTS 6.5 and Master’s degree</td>
</tr>
<tr>
<td>University of Thai Chamber of Commerce</td>
<td>PhD in Economics</td>
<td>$2,500</td>
<td>N/A</td>
</tr>
<tr>
<td>Asian Institute of Technology</td>
<td>DBA in Business Management PhD in Business Administration</td>
<td>$12,000</td>
<td>N/A</td>
</tr>
</tbody>
</table>

Source: Developed for this paper

Official publications show more accredited Doctoral programs, but some probably only exist in a brochure. Listed below are additional PhD/DBA programs that exist on websites and printed advertisement but there is no verification of the programs’ establishment or number of graduates. Some of these programs showed tuition fees of less than $1,500 annually. There is a reason to believe that these programs shown below are accredited by the Ministry of Education where documents are provided as program approval evidence. Most programs are idle due to a low number of applicants.
### Table 5.3: Emerging PhD/DBA Thai/International Programs

<table>
<thead>
<tr>
<th>Higher Institution Names</th>
<th>Medium of Instruction</th>
<th>Program Offered</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Public</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>NorthEastern University</td>
<td>Thai</td>
<td>DBA in Business management&lt;br&gt;PhD in International Service Business Management</td>
</tr>
<tr>
<td>Sukhothai Thammathirat Open University</td>
<td>Thai</td>
<td>DBA in Business Management</td>
</tr>
<tr>
<td><strong>Private</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>EasternAsia University</td>
<td>Thai</td>
<td>DBA in Marketing Management</td>
</tr>
<tr>
<td>Pathumthani University</td>
<td>Thai</td>
<td>DBA in Business Management</td>
</tr>
<tr>
<td>Rangsit University</td>
<td>Thai</td>
<td>DBA in Business Management&lt;br&gt;PhD in Leadership in Society, Business and Politics</td>
</tr>
<tr>
<td>Rattanabhundit University</td>
<td>Thai</td>
<td>DBA in Business Management</td>
</tr>
<tr>
<td>Siam University</td>
<td>Thai</td>
<td>DBA in Business Management</td>
</tr>
<tr>
<td>Shinnawatra University</td>
<td>English</td>
<td>PhD in Management</td>
</tr>
<tr>
<td>SriPathum University</td>
<td>Thai</td>
<td>DBA in Sports and Entertainment Business</td>
</tr>
<tr>
<td>St. Theresa International College</td>
<td>English</td>
<td>DBA in Business Management</td>
</tr>
<tr>
<td>Western University</td>
<td>Thai</td>
<td>DBA in Business Management</td>
</tr>
</tbody>
</table>

Source: Developed for this paper

It is clear that a higher degree in business management, especially a DBA, has gained much acknowledgement in Thailand. Most accredited and established DBA programs were offered in English by public higher institutions and their annual tuition fees were lower than those charged by private higher institutions. Many young DBA programs were offered by private institutions in Thai language to urge local learners. Some emerging DBA programs have an unclear course structure and limited information on DBA graduates, research topics and advisor backgrounds.

### Conclusion

At an earlier stage of education in Thailand, more attention was paid to pure sciences education programs until the enactment of the Higher Education Institution Act in 1981, where establishment of private higher education institutions responded to business demands for skilled labours. Globalisation and internationalisation pushed the importance of higher and more sophisticated education on business management. Since it was first offered in 1992, the DBA program has gained wide acceptance among public and private Thai higher education institutions, as witnessed by the increasing number of programs made available in both Thai and English languages.
Most Thai higher education institutions realised they needed to collaborate with strong and renowned foreign higher institutions for know-how and research tools. Much collaboration was done in terms of joint-program and dual-degree programs but many soon closed down and local institutions quickly offered their own programs to replace the redundant ones. Those dual-degree programs maintained were mainly Masters not PhD/DBA, however it is believed that a minimum number of applicants required by the Ministry of Education, government control and a private institution’s program competitiveness were major reasons for the unstable number of PhD/DBA programs being offered in Thailand.

Thailand’s future as an education hub is bright since Thailand has low living costs and competitive annual tuition fees, both for public and private institutions. Still, the existence of private higher institution DBA programs is questionable. The success and establishment of DBA programs depends on the diversity of institutions, quality assurance, and developing research capabilities of higher education institutions. Emphasis should be on educational research and institutional readiness prior to program establishment in order to guarantee the existence and success of programs to both education providers and applicants.

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Chalong Bunyanunt. 2010. The Role and Impact of Public and Private Partnership in Education. Office of the Permanent Secretary, Ministry of Education, Thailand


—2008b. Directory: Thai Higher Education Institutions


—2010, Annual Report 2010


**Author Profile**

Dr Malinee Ronapat earned her Bachelor degree in Business Administration (BBA) from Assumption University, her MSc in International Financial Markets from the University of Southampton, United Kingdom, and her DBA from Southern Cross University, Australia. She started working as a financial consultant in large multinational corporations before she joined Assumption University in 2002. Her areas of teaching and research include finance, micro-financing, financial management and financial institutions. She has spent most of her time teaching and supervising Bachelor, Masters and Doctoral degree students as well as several executive training courses. Her writings and research paper were published and quoted in issues of international journals and conference proceedings.

Currently, Malinee is also a Director of the Student Development Center; Martin de Tours School of Management, Assumption University of Thailand. The unit facilitates extra-curricular activities for students in order to help them put theory into practice. Malinee is also involved in many international competitions and trainings for students.
Overview

This chapter aims to overview the doctorate business programs offered in Hong Kong. Despite an academic focus on Doctor of Philosophy (PhD) studies, an increasing interest in DBA programs has been developing in Asia. Hong Kong, one of the most important cities in Asia, shares an interest in developing DBA programs in order to retain its competitiveness. This chapter overviews the structure and characteristics of Hong Kong DBA programs including a comparison of the different areas in local and non-local DBA programs.

Introduction

Graduate education in the field of business studies has been offered for a hundred years (Docheff & Haddon, 1999). As an increasingly competitive global business community now demands more formally qualified and internationally experienced managers, educators and workers, Doctor of Philosophy (PhD) programs may not be appropriate to satisfy the demand for business professionals as it is academically oriented and focuses on theory. The Doctor of Business Administration (DBA) has emerged as a response to this dramatic change (Sarros et al, 2002) and the need for more highly qualified professional managers.

While PhD research needs to make a significant contribution to theory, DBA research is expected to contribute to both theory and practice. The DBA is also a doctoral degree, equivalent to a PhD, the highest degree of the university award. The DBA is designed to meet the needs of the growing demand in professional management practice. Cranfield School of Management (2001), one of the prominent providers of DBA education, described that the DBA is driven by a topical, applied management issue rather than an academic question. The DBA is also thought to contribute to bridging the gap between the academy and practice. The research must be rooted in a good understanding of research that is knowledge-generating. Unlike the PhD, the DBA focuses on the application of knowledge,
in addition to the development and practice of that knowledge. In particular, the DBA provides an alternative opportunity of study for business practitioners.

It is important to develop a vibrant international education sector to underpin the aspiration to be a global metropolis and fortify the status as a regional education hub in Hong Kong (Hong Kong SAR Policy, 2008). Since Hong Kong is a cosmopolitan city aspiring to become an education hub in the region, it is not surprising that people can choose from a variety of local DBA programs and non-local DBA programs. The DBA is therefore a professional practice doctorate focused on researching real business and managerial issues through a critical review and systematic application of appropriate theories and research to professional practice (Sarros et al, 2002). This chapter focuses solely on the study of DBA programs in Hong Kong as other studies have examined other professional doctorate degrees in some detail (Sarros et al 2002; Chapman, 1991; Lakomski, 1991; Maxwell & Shanahan, 1996). It aims to have an understanding of the recent development of the DBA program and highlight some of the key features of its significance in Hong Kong.

This chapter is based in part on a chapter in the book *Doctoral Research in Management and Business in Hong Kong* (Miller & Cheng) and is used with permission.

**An Overview of the Background of DBA Programs in Hong Kong**

Despite the academic focus of PhD studies, there is an increasing interest in ongoing business education by practitioners, the various DBA programs being designed to meet this demand. The DBA degree was first introduced into American graduate business education around 20 years ago and into the UK from the early 1990s (Bourner et al, 2000). It is remarkable that the professional business doctorates were rapidly developed in the 1990s. Since the growing demand of professional doctorate studies, the DBA appeared in the professional doctorate offerings in Hong Kong in late 1990s.

The first local DBA program dates back to 1996 when it was offered by the Hong Kong Polytechnic University. Currently, there are four local DBA programs offered by the Hong Kong Polytechnic University, City University of Hong Kong, Hong Kong Baptist University, and the Open University of Hong Kong. On the other hand, there are another seven non-local DBA programs offered by overseas universities including Southern Cross University, Macquarie University, University of South Australia, University of Surrey, the University of Newcastle, Curtin University of Technology and Heriot-Watt University.

The DBA programs in Hong Kong are similar to other overseas programs offering a portfolio of course work, seminar, workshop and industry-related research reports that contribute in a meaningful and current fashion to the ever-increasing demand for credentialism (Maxwell, 2001). Professional or research-coursework doctorates are seen as being more flexible than research-only PhDs, and they attract a wider variety of candidates with varying interests and work backgrounds.
when compared to PhD candidates (Trigwell et al, 1997). The DBA programs provided in Hong Kong are usually developed in part-time mode comprising two key components: course work and research study. The research component usually comprises approximately two-thirds of the program and the coursework makes up the other one-third. Cohorts come from various enterprises across fields as diverse as corporate finance, accounting, economics and law, management, marketing, engineering and information technology, and including industries in the private and public sectors, not-for-profit organisations, higher education, and hospital and school systems. It includes manufacturers, managerial executives, educators, scientists, engineers, lawyers, accountants, financialists and consultants. Most of them have had international business experience, and all are active in making their studies strategically related to their working activities.

The Structure and Characteristics of Hong Kong DBA Programs

Overall, the DBA programs offered in Hong Kong are designed to develop senior executives who can advance knowledge and practice in their fields through applied research on both academic rigor and business relevance. It educates managers scholarly to apply research findings in solving real-world management problems. It also aims to broaden participants’ management knowledge and horizons, hone their critical thinking and strategy generation skills and to equip them with the skills needed for conducting independent research required to identify the challenges and opportunities facing organisations. Table 6.1 presents a summary of the characteristics of DBA programs offered in Hong Kong.
**Table 6.1:** A summary of the characteristics of DBA programs offered in Hong Kong

<table>
<thead>
<tr>
<th>Name of University/ Agency</th>
<th>Duration FT/PT</th>
<th>% CW/ WS/ Thesis</th>
<th>Mode</th>
<th>Assessment Int /Ext</th>
<th>Number of Units</th>
<th>Fees Total (HK$)</th>
<th>Qualification and Experience Required</th>
</tr>
</thead>
<tbody>
<tr>
<td>Hong Kong Polytechnic University</td>
<td>3–7 (PT)</td>
<td>1/2 (CW+WS) 1/2 (Thesis)</td>
<td>Local</td>
<td>Internal/ External</td>
<td>24 credits for CW, 24 credits for Thesis and 3 credits for WS</td>
<td>$450,000</td>
<td>Masters level in Management or related area At least 8 years managerial experience</td>
</tr>
<tr>
<td>City University of Hong Kong</td>
<td>4–6 (PT)</td>
<td>1/2 (CW+WS) 1/2 (Thesis)</td>
<td>Local</td>
<td>Internal/ External</td>
<td>27 credits for CW 30 credit for Thesis</td>
<td>$410,000</td>
<td>Masters level in Management or related area Substantial amount of professional work experience</td>
</tr>
<tr>
<td>Hong Kong Baptist University</td>
<td>3–6 (PT)</td>
<td>1/3 (CW) 2/3 (Thesis)</td>
<td>Local</td>
<td>Internal/ External</td>
<td>7 compulsory CW, 8 professional development WS and a thesis</td>
<td>$320,000</td>
<td>Masters level in Management or related area 10 years or above managerial experience</td>
</tr>
<tr>
<td>The Open University of Hong Kong</td>
<td>3–4 (FT) 4–7 (PT)</td>
<td>1/2 (CW) 1/2 (Thesis)</td>
<td>Local</td>
<td>Internal/ External</td>
<td>40 credits for CW and a thesis</td>
<td>$200,000</td>
<td>Masters level in Management or related area Substantial managerial experience</td>
</tr>
<tr>
<td>Southern Cross University (Aust)</td>
<td>3–7 (PT)</td>
<td>1/3 (CW) 2/3 (Thesis)</td>
<td>Overseas</td>
<td>Internal/ External</td>
<td>4 units CW for Mgt Graduate, 8 units CW for Non-mgt Graduate and a thesis</td>
<td>$150,000 – $170,000</td>
<td>Masters level or related area Substantial managerial experience</td>
</tr>
<tr>
<td>Macquarie University (Aust)</td>
<td>3–6 (PT)</td>
<td>1/3 (CW) 2/3 (Thesis)</td>
<td>Overseas</td>
<td>Internal/ External</td>
<td>4 units CW and a thesis</td>
<td>$270,000</td>
<td>Bachelor honour or Masters level or related area At least 5 years of managerial experience</td>
</tr>
<tr>
<td>Name of University/Agency</td>
<td>Duration FT/PT</td>
<td>% CW/WS/Thesis</td>
<td>Mode</td>
<td>Assessment Int/Ext</td>
<td>Number of Units</td>
<td>Fees Total (HK$)</td>
<td>Qualification and Experience Required</td>
</tr>
<tr>
<td>--------------------------</td>
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<td>------</td>
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<td>----------------</td>
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<td>--------------------------------------</td>
</tr>
<tr>
<td>University of South Australia (Aust)</td>
<td>2–5 (PT)</td>
<td>1/3 (CW) 2/3 (Thesis)</td>
<td>Overseas</td>
<td>Internal/External</td>
<td>4 units CW and a thesis</td>
<td>$220,000</td>
<td>Masters level or related area At least 5 years of managerial experience</td>
</tr>
<tr>
<td>University of Newcastle (Aust)</td>
<td>3–7 (PT)</td>
<td>1/3 (CW) 2/3 (Thesis)</td>
<td>Overseas</td>
<td>Internal/External</td>
<td>6 units of CW for MBA graduate, 12 units of CW for Non-MBA graduate and a thesis</td>
<td>$240,000</td>
<td>MBA level At least 2 years working experience</td>
</tr>
<tr>
<td>Curtin University of Technology (Aust)</td>
<td>3–7 (PT)</td>
<td>1/3 (CW) 2/3 (Thesis)</td>
<td>Overseas</td>
<td>Internal/External</td>
<td>4 units CW and a thesis</td>
<td>$220,000</td>
<td>Masters level or related area At least 7 years managerial/professional experience</td>
</tr>
<tr>
<td>University of Surrey (UK)</td>
<td>4–6 (PT)</td>
<td>1/3 (CW) 2/3 (Thesis)</td>
<td>Overseas</td>
<td>Internal/External</td>
<td>4 units CW and a thesis</td>
<td>$300,000</td>
<td>Masters level or related area At least 3 years managerial/professional experience</td>
</tr>
<tr>
<td>Heriot-Watt University (UK)</td>
<td>4–7 (PT)</td>
<td>1/3 (CW) 2/3 (Thesis)</td>
<td>Overseas</td>
<td>Internal/External</td>
<td>4 units CW and a thesis</td>
<td>$300,000</td>
<td>Masters level or related area At least 5 years managerial/professional experience</td>
</tr>
</tbody>
</table>

Remarks: FT= Full-time; PT= Part-time; CW= Course Work; WS= Workshop
Mode of Study

As indicated in Table 6.1, DBA programs conducted in Hong Kong are mainly offered by local universities and overseas universities. There are 11 DBA programs registered in Hong Kong of which four programs are offered from local universities, five from Australia and two from the UK. However, the Curtin University of Technology and the University of South Australia have adjourned for any further intake since 2005 and 2008 respectively. Of these 11 DBA programs that have registered at the Education Bureau in Hong Kong, except the Open University of Hong Kong, which offers an alternative full-time mode in duration of three to four years completion period, all of the programs are available on part-time studies basis from a range of two to seven years. The mode is 5 and the mean is 4.86, indicating that most of the students could take approximately five years to finish this program. The part-time modularity enables candidates to enjoy more flexibility in arranging their studies. This approach is coherent to the basic focus to meet the needs of professional executives who normally have full-time job engagements. In addition, part-time study combined with professional practice enables their experiences to be integrated into their doctoral studies (Bourner et al, 2000). In the light of this, it is not surprising to observe that the DBA programs were designed to be pursued mostly on the basis of part-time study.

Admission Criteria

The admission criteria for entry into the DBA vary from each university. The normal entry requirement is a Master of Business Administration (MBA) graduate from a recognised university. In most cases, students who have completed a master level in a related business area or equivalent are eligible for admission. Most of the programs require that candidates should have substantial working experience at a management level that contains significant responsibility. In most cases, candidates should have at least a minimum of two years up to 10 years. The average rate is approximately five years.

Program Costs

The cost of a DBA program in Hong Kong is calculated on the entire completion basis, and there is a significant difference between universities. Compared to overseas programs, the local programs are more expensive. The average cost is around HK$280,000. The highest one is offered by Hong Kong Polytechnic University at HK$450,000 and the lowest one is offered by Southern Cross University collaborated with Hong Kong Institute of Technology at HK$150,000–HK$170,000. It reveals that the DBA providers appear to be monitoring their offerings from different perspectives. Some would like to provide a high class and luxury program for high revenue segment. Hong Kong Polytechnic University is the only one to provide residential workshops for encouraging team-building for those who hold senior positions at work. The others would like to provide more opportunities for candidates to obtain a senior level of education by offering attractive lower rates.
**Program Content and Assessment**

Unlike the PhD, the structure of DBA programs are primarily designed in a full spectrum comprising a portfolio of course work, workshop, and intensive research report. For overseas programs, one-third consists of course work, symposia and professional workshops. Another two-thirds focus on the business related research theses. On the other hand, apart from the Baptist University, the three local universities focus more on the coursework studies with 50%. Candidates have to complete all the required course work and workshops from the different requirements of each university. Course work and workshops are normally designed to train candidates in relevant business theories and research skills. Symposia are conducted to provide cohorts an opportunity to share their research, receive critique and for social interaction.

In addition, candidates must complete a research-based thesis with a range of 40,000–60,000 words. The DBA research project is, in most cases, an active business or managerial problem that is being experienced. The research study would lead to a change in management practice. DBA candidates are expected to be able to show that their research has had an impact on their professional practice. They are expected to report in their thesis the results and suggestions for practical use (Bourner et al, 2000). Although the assessment of each university is varied, the majority appear to offer DBAs with a mixture of internal and external assessment modes. Graduate research candidates internally require academic supervisors to guide and direct the candidates through the research process to completion. External examiners (one to three) are also required in assessing and providing comments on the completed thesis. To satisfy the overall requirement, the DBA research is expected to make contribution to knowledge, suggestion for practice and be complementary to the business community, eventually being eligible for publication.

**The Quality of Hong Kong DBA Programs**

The quality of DBA programs whether local or non-local is subject to the quality assurance mechanisms of the self-accrediting universities concerned. In addition, all non-local DBA programs are subject to quality assessment of the Non-Local Courses Registry of the Education Bureau in Hong Kong.

The Non-local Higher and Professional Education (Regulation) Ordinance (Chapter 493) (‘the Ordinance’) has come into effect since June 1997. Under the Ordinance, all non-local courses must be registered before they can be offered in Hong Kong. The objective of the Regulation is to protect Hong Kong consumers by guarding against the marketing of substandard non-local courses conducted in Hong Kong. It will also enhance our reputation as a community which values reliable and internationally recognised academic and professional standards (Press briefing by the Secretary for Education and Manpower, 1997)

It is illegal to conduct a course (or act as agent for such a course) leading to the award of a non-local higher academic or professional qualification, unless such course is registered, or exempted under the Ordinance. Among the seven non-local
DBA programs, the DBA programs offered by Curtin University of Technology and Heriot-Watt University are exempted from registration because they partner with local universities.

The Education Bureau will approve the registration of a course if it meets the criteria detailed in section 10 of the Ordinance. In the case of a course leading to the award of non-local higher academic qualification by a non-local institution, the major criteria include that:

- the institution must be a recognised institution
- effective measures must be in place to ensure that the standard of the course offered are maintained at a level comparable to a similar one conducted by the institution in its home country, and
- this comparability in standard must be recognised by the institution, the academic communities and the relevant accreditation authorities of the country concerned.

For example, the DBA program offered by Southern Cross University in collaboration with Hong Kong Institute of Technology was the first institution in Hong Kong to pursue the accreditation (in addition to registration) of non-local degree courses. It is currently the only education institution in Hong Kong offering non-local degree courses at Doctorate levels accredited by the Hong Kong Council for Academic Accreditation that has been renamed as the Hong Kong Council for Accreditation of Academic and Vocational Qualifications (HKCAAVQ).

Apart from that, there are three DBA programs listed on the Qualifications Register (QR) of Hong Kong. Two of three DBA programs are local programs, which are offered by the Open University of Hong Kong. The other one is the non-local DBA program offered by Southern Cross University. Table 6.2 shows there are only three DBA programs officially registered the accreditation in Hong Kong.

<table>
<thead>
<tr>
<th>Program Title</th>
<th>QF Level</th>
<th>Operator/Agency</th>
<th>Area of Study</th>
</tr>
</thead>
<tbody>
<tr>
<td>DBA</td>
<td>7</td>
<td>The Open University of Hong Kong</td>
<td>Business &amp; Management, General</td>
</tr>
<tr>
<td>DBA (Full-time)</td>
<td>7</td>
<td>The Open University of Hong Kong</td>
<td>Business &amp; Management, General</td>
</tr>
<tr>
<td>DBA awarded by the Southern Cross University</td>
<td>7</td>
<td>Hong Kong Institute of Technology</td>
<td>Business &amp; Management, General</td>
</tr>
</tbody>
</table>

QR is a register established by the Secretary for Education under the Accreditation of Academic and Vocational Qualifications Ordinance for entering qualifications recognised under the Qualifications Framework (QF). The HKCAAVQ has been specified in the Ordinance as the authority for maintaining the QR. The QR has become officially operational on 5 May 2008. On the same date, the QF was officially launched (QF is a cross-sectoral hierarchy covering both academic and vocational
qualifications required by various industries). With unified standards of qualifications and clear indication of the articulation ladders between them, the QF enables citizens to set clear goals and direction for obtaining quality-assured qualifications.

As a preparation for the change, the Hong Kong Council for Accreditation of Academic and Vocational Qualifications Ordinance (Cap. 1150) came into effect on 1 October 2007. As a result, effective from the same date, the Hong Kong Council for Academic Accreditation has been renamed as Hong Kong Council for Accreditation of Academic and Vocational Qualifications. It should be noted that it is not a must to register qualifications in the QR. It should also be noted that all qualifications registered in the QR are quality assured by an appropriate accreditation authority including the HKCAAVQ or a self-accrediting institution. The quality assurance process normally involves an evaluation to ascertain, inter alia, whether the DBA program measures up to QF level 7, as specified by the Generic Level Descriptors of the Qualifications Framework in Hong Kong. Non-local courses need not be accredited by the HKCAAVQ or its predecessor Hong Kong Council for Academic Accreditation (HKCAA). At the time of writing this chapter, there is only one DBA program accredited by the HKCAAVQ, namely the program offered by Southern Cross University in collaboration with Hong Kong Institute of Technology. As there existed a lack of uniformity in the quality of the DBA programs in Hong Kong, it is important to consider the variation of each program. Therefore, a careful consideration of its quality is recommended specifically on the purpose of the nature, the content of the teaching component, the organisation of supervision and what administrative support is required before simply taking an existing DBA (Galvin, 2002).

Conclusion

The DBA is widely recognised and is specifically designed for senior management practitioners who seek different learning outcomes from the traditional PhD (Bourner et al, 2000; Sarros et al, 2002; Neumann & Godistein, 2002). This program aims to enhance the capability of management executives who are key contributors to the Hong Kong economy. However, all the DBA degrees offered in Hong Kong are self-financing programs. It appears that there will be no attempt of initiative funding to be considered by the Hong Kong government, nor any resources available from the community in assisting its development. We affirm that the DBA degree is increasingly being recognised as a viable alternative to the PhD as a recognized doctoral qualification (Sarros et al, 2002).

Apart from management theory and research study, a DBA can provide an opportunity of personal professional development (Bourner et al, 2000). The DBA can be viewed as a form of work-based learning. In the long run, professional executives need both academic and practical capabilities and these objectives are expected to be increasingly met through DBA programs. An organisation’s performance can be improved from a contribution in either academic research or practical skills. Collaboration between academics and practitioners through action
research is to aid in the development of established practitioner’s skills, attitudes, and the commitment necessary for successful research (Lockhart & Stablein, 2002). To this effect, the DBA program provides one means to further develop the desired outcomes for business improvement as the knowledge economy is a new phenomenon.
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Raymond Cheng is a lecturer in Faculty of Business at Hong Kong Institute of Technology. His key responsibilities are teaching business related subjects, overseeing the DBA program and a supervisor of the doctorate candidates in Hong Kong. He earned his doctorate degree from Curtin University of Technology in Australia.

Prior to his educational experience, he has over 20 years of professional and managerial experiences in the business sector. He joined the tertiary education field in the 1990s and has been teaching a wide range of business subjects in management areas. His research interests are in Organisation Management, Entrepreneurship, Business Strategies and Logistics and Supply Chain Strategies.

**Dr KS Chan**

Dr Chan has over 20 years of professional and managerial experience in the education sector including the former Education Department in Hong Kong and the Hong Kong Council for Accreditation of Academic and Vocational Qualifications. Currently, he is the Vice President of the Hong Kong Institute of Technology, a non-profit making tertiary institution which offers accredited programs in Hong Kong. He also has work experience as course writer and part-time tutor/lecturer of universities for courses up to postgraduate level.

His areas of interests include: Curriculum, teaching, learning, assessment, quality assurance, IT/Web use in education, and reforms in education.
Overview

A high value is placed on all levels of education in Taiwan and the central government maintains control of education policy, funding and course numbers to meet the needs of the economy. Since the 1960s higher education has rapidly expanded and now there are 147 universities and colleges (excluding junior colleges) with about 1.3 million students (Ministry of Education, 2008).

Universities in Taiwan have offered PhD programs in management/business since 1976. However, until 1998 more Taiwanese students achieved doctorates from USA universities than from universities in their home country. Now thirty Taiwanese universities offer PhD programs in business and management. PhD programs have high entrance standards, are highly structured and academically rigorous with a blend of coursework and dissertation. Analysis of some Taiwanese universities’ websites indicates that there has been a change in most prevalent research topics since the early 90s reflecting dynamic business and organisational environments.

Introduction

Education is highly valued in Taiwan. This can be attributed to two factors – the emphasis on education in Confucian Heritage Cultures (CHC) and the manner in which Taiwanese policy makers have linked economic growth to large investment in human resources through education. This investment of 6% GDP (Yung & Hsu, 2008) is evidenced in the robust primary, secondary, vocational education and higher education sectors and a high average level of education in the workforce (Guo, 2005).

Since the 1960s primary and secondary education have been universalised and Taiwanese students score particularly high in international assessments of mathematics and science expertise (Guo, 2005, p136). A very high proportion of high school leavers now enter higher education making Taiwan one of the most highly educationally developed economies in the world. Guo (2005, p120) estimated this amount to be 70% while the Ministry of Education (2006) estimated this to be 90% when junior colleges are included. Understandably, post-graduate education
has been somewhat slower to develop. Indeed, until the late 1990s more students received doctoral qualifications from universities in the USA than in Taiwan. However, doctoral studies in business and management are now well established with at least thirty universities offering PhD programs in these disciplines. 2008 statistics (Ministry of Education, 2008) indicate that there are 987,914 students undertaking bachelor’s degrees, 172,518 students undertaking master’s degrees and 31,707 undertaking PhDs in all disciplines.

This chapter contextualises higher education within the Taiwanese education system, discusses the development of higher education in Taiwan and explores the development of doctoral education, especially business/management doctoral programs. The current features of the doctoral education system are explored, including admission, course structure and candidature milestones and an analysis of some thesis topics in business and management is presented.

Background

Higher Education provision in Taiwan commenced during the Japanese occupation (1894–1945) and during this time there was only one university, the Taipei Imperial University (Wang, 2003). After World War 2 the nationalist government in Taiwan created another university and three colleges but it was not until the 1960s that higher education really expanded (Wang, 2003).

This expansion was experienced in many developed and developing countries around the world. By 1960 there were 21 universities in Taiwan (including six private) increasing to 34 (including 12 private) in 1969 as a result of government policy emphasis on education (Wang, 2003, p262). In comparison, higher education in Australia also grew, albeit more modestly, with seven universities (all public) in Australia in 1945, four of which had been created between 1851 and 1890, and 15 by 1970 (all public) (Australian Education Network, 2009).

Higher education in Taiwan has continued to expand and analysis of Taiwanese University websites and the Ministry of Education website (See Appendix A) indicates that Taiwanese higher education now involves 147 universities and colleges (excluding junior colleges) with 97 private universities/colleges included in this number (Ministry of Education, 2006) serving a population of 22,920,946 (CIA, 2008). Australia, with a comparable population of 21,561,286 (Australian Bureau of Statistics, 2008) has 38 public and three private universities (including the Australian Defense Force Academy) (Australian Education Network, 2009). Taiwan spends 1.83% of GDP on higher education while Australia spends 1.3%.

As nation-building progressed in Taiwan from the 1960s, each level of education became universalised. Wang (2003, p262) reports that the higher education sector increased from 27 to 91 institutions between 1960 and 1969 with universities and colleges increasing from 15 to 22 and junior colleges from 12 to 69 in this time. Student numbers increased 5.26 times in this period however, most of this growth was in the private sector and in junior colleges (Wang, 2003, p262).
A second period of limited expansion occurred between 1970 and 1985. Government policy directed more upper secondary students to vocational education to meet Taiwan’s development needs, cut down on the number of higher education students in Humanities and increased them in Science and Engineering and restrained the expansion of college and university enrolments overall (Wang, 2003, p264). Growth in higher education student numbers was pegged back from 10.4% in 1970 to 3.7% in 1985, the government did not allow the establishment of any private universities and the public higher education sector grew by only thirteen institutions in this period despite population growth (Wang, 2003, p264).

The period 1986 to 2000 saw accelerated growth in higher education. This was due to political modernisation and democratization so educational planning was no longer solely driven by labour market demands but also had to take into account social and citizenship needs. This expansion focused on the university and college levels rather than junior colleges. The embargo on the development of private universities was lifted, universities and colleges expanded from 28 in 1986 to 127 in 2000 and junior colleges declined from 77 to 23 while student numbers increased from 3.2% to 8.8% ushering in an era of mass higher education (Wang, 2003, p265). By 2000 there were 206 universities and colleges (including 78 private) (Wang, 2003, p266). Currently the numbers of students in higher education outnumber those in secondary education (Guo, 2005). This may be a factor of increased participation of adults in higher education and/or because of falling birth rates in younger cohorts.

Taiwanese higher education students also attend universities overseas, particularly in the United States of America. Figures for 2007–2008 report 29,000 Taiwanese students studying at US universities, placing Taiwan equal fifth in the number of overseas students studying in the USA after India (94,000 students), China (81,000), South Korea (69,000), Japan (34,00) and Canada (29,000) (Institute of International Education, 2008).

Until the 1990s more Taiwanese achieved doctorates from universities in the USA than from Taiwanese universities. From 1975 to 1999 the number of doctorates awarded to Taiwanese nationals in the USA was 1.5 times greater than those awarded in Taiwan (Guo, 2005, p140). This was reversed in 1998 following expansion of Taiwanese doctoral programs in the 1980s (Guo, 2005). Of the total 6,333 doctorates awarded in Taiwan between 1975 and 1999, 4,543 were in the Science and Engineering disciplines and in the 2001–2002 academic year of the total 1,501 doctorates awarded 1,285 were in the Science and Engineering disciplines (Guo, 2005, pp140–141). An important trend to note is that the Taiwanese government has been successful in attracting its doctoral diaspora to the USA back to Taiwan on completion of their degrees and also in attracting international students to study in Taiwan (Guo, 2005, p143). However, Wang (2003, p282) also highlights the increased competition for higher-level jobs from those doctorally-qualified, especially in times of economic recession.
The Taiwanese government controls enrolment in each field of study and directs course development and enrolements to meet the needs of Taiwanese society (Guo, 2005, p136). In 2002–2003, 33% of higher education students studied Engineering (includes architecture, town-planning and transportation), 31% Social Sciences (includes business and management, law, social and behavioural sciences, mass communication, home economics and service trades), 16% Natural Sciences (includes medical diagnostic treatment), 10% Maths and Computer Science, 9% Humanities (includes education and arts) and 1% Agricultural Science (includes forestry and fishery). About equal numbers of males and females undertook Maths and Computer Science and Agricultural Science while Engineering was highly male dominated and Humanities, Social Science and Natural Science were female dominated (Guo, 2005, p138).

Graduate education is highly linked to the needs of the economy and GNP, as it requires a heavier investment. Before 1967 when GNP was about US$260 there were no doctoral programs but when GNP reached US $964 in 1975 90 doctoral programs had been created and thirty-two doctorates awarded mainly in the areas of Science and Engineering (Guo, 2005, p140). Doctoral students make up about 2% of all higher education students in Taiwan (Guo, 2005, p141). In relation to doctoral students, all disciplines are male dominated with the exception of Humanities, where the proportion of female students is about half (Guo, 2005, p139). While Guo (2005) maintains that the development of doctoral programs in Taiwan is weak more recent data reported below indicates that this situation is being redressed.

**The Development of Management/Business Doctoral Programs**

While Taiwan had been offering PhDs in other disciplines from the early ’70s, the Graduate Institute of Management Science at the private Tamkang University was the first to offer a PhD in management in 1975 (Chang & Hseih, 1997, p116). This was followed in 1976 by a PhD program at the National Chengchi University and in 1981 at the National Chiao Tung University (Chang & Hseih, 1997). Chang and Hsieh’s (1997, p116) research indicates that by 1994 eight universities (Tamkang, National Chengchi, National Chiao Tung, National Taiwan, National Sun Yat-sen, Chinese Culture, National Chung Hsing and national Cheng Kung universities) were offering PhD programs in management/business. By 1994 there had been 177 graduates with 285 students currently enrolled in management doctorates, representing 4% of the total number of doctoral students in Taiwan at that time (Chang & Hsieh, 1997). They predicted a rapid increase in PhDs in management in the future.

Our analysis of the websites of Taiwanese universities and the Ministry of Education conducted in late 2010 bears this prediction out. Our research indicates that there are now 18 public universities and 12 private universities offering doctoral programs in management totalling 30 in all. All of the programs offered by Taiwanese universities use the nomenclature of PhD and websites do not indicate the existence
of what have come to be known as professional doctorates in management (eg DBA). Appendix B details the names of each university and department offering doctoral programs in management, the date of establishment, number of graduates and current students.

Since Chang and Hsieh (1997) reported the number of graduates and students in management PhDs as at 1994 there has been healthy growth to both the numbers of universities involved (eight in comparison to thirty) and students. Appendix B indicates that there are 3,186 graduates and 3,334 currently enrolled PhD management/business students in Taiwanese universities (Taiwan Ministry of Education, 2010).

**Entry to Higher Education and Doctoral Education**

From 1954 to 2001 all people aspiring to higher education had to participate in the University Joint Entrance Exam, which was fiercely competitive and placed a great deal of pressure on students (Guo, 2005, p125). Since 2001 there has been multiple-channel admission and universities recruit from high schools, through examinations, recommendation procedures or through students filling a direct application to a particular university (Guo, 2005, p125).

There seem to be two main pathways into PhD studies in management. There is an entrance examination conducted by the university for those with masters degrees and, since 1990, for some universities students who have a masters degree with a grade-point average of 85 or higher for their first year of study, are ranked in the top third of the class and show an aptitude for independent research may apply for direct admission in their institution (Chang & Hsieh, 1997, p117). Study is in full-time, on campus mode. Some other students from government and industry enter through the exam system but study part-time.

There are variations on this pattern. For instance, the National Taiwan University (2009) stipulates that an applicant must have a master’s degree recognised by the Ministry of Education, Taiwan, provide position certification from previous jobs, transcripts, two graduate theses (papers) and proof of professional abilities. Prospective candidates sit a written examination worth 40%; undertake interviews (40%) and analysis of their transcripts, work history and references. The National Taiwan University (2009) requires students to have a Masters degree in a germane discipline (such as Decision Sciences, Financial Economics, Marketing or Organisation Theory), judges applicants on the basis of scholastic record, letters of recommendation and written and oral test scores (Chang & Hsieh, 1997).

Once admitted, there is a preliminary or probation stage where students undertake coursework followed by a qualifying exam within two or three years of entering the program. If students do not pass the qualifying exam they can be dismissed from the university (Chang & Hsieh, 1997, p117). Some graduate students may also be involved in research projects that are sponsored by the National Science
Council, government or industry (especially the part-time students discussed above). These industry projects can lead into or inform their thesis topics (Chang & Hsieh, 1997, p117).

**Structure of Doctoral Programs in Management**

While there are subtle differences in the structures of the PhD programs most follow a similar pattern. This involves undertaking core seminars/subjects in management, specific studies in the chosen management discipline (for example, Operations and Logistics Management, Technology Management or Strategic Management) and studies in research methods (for example, Statistical Methods and Data Analysis) (National Taiwan University, 2009). Examinations are then taken in all of these subject areas. Students need to complete a minimum numbers of credits in this coursework study (for instance, 18 credits) and pass the qualifying examinations before progressing.

Once successfully through this preliminary stage candidates are then formally admitted to doctoral studies, acquire a supervisor or supervisory team and embark on the research and writing of the dissertation, which usually accounts for a slightly lesser number of credits than the coursework (for example, 12 credits) (Chang & Hsieh, 1997). In many cases the student also has to pass an oral examination on her/his dissertation proposal and report annual progress. Before a doctoral candidate can apply for the PhD dissertation defence examination they need to show a TEFOL score of at least 213 if their native language is not English and have had the dissertation contents published in academic journals (one paper for high level journals, two papers if the journals are lower level). Every student who passes the defence is awarded a PhD in Business and Management (National Chiao Tung University, 2008).

Taiwanese PhD programs in management and business are very structured and appear to follow more closely the USA model rather than the British, thesis-only model. These programs are also rigorous in that they demand milestones and various forms of testing as well as peer review in the form of publications before examination. Taiwanese PhD programs last from two to eight years full-time and anecdotal evidence suggests that if students do not complete in the requisite time they are dismissed from the program.

**PhD Topics**

Chang and Hsieh (1997) examined the topics of the 120 management/business PhDs completed between 1988 and 1994 in the eight universities that offered PhD programs in the management discipline at that time, allocating them to topics (management/business sub-disciplines). Table 7.1 below summarises their findings.

<table>
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<tbody>
<tr>
<td>Financial Management</td>
<td>4</td>
<td>5</td>
<td>13</td>
<td>22</td>
<td>18.33%</td>
</tr>
<tr>
<td>Information Management</td>
<td>6</td>
<td>4</td>
<td>8</td>
<td>18</td>
<td>15.00%</td>
</tr>
<tr>
<td>General Management</td>
<td>3</td>
<td>5</td>
<td>6</td>
<td>14</td>
<td>11.67%</td>
</tr>
<tr>
<td>Human Resources Management</td>
<td>6</td>
<td>4</td>
<td>4</td>
<td>14</td>
<td>11.67%</td>
</tr>
<tr>
<td>Quantitative Methods</td>
<td>3</td>
<td>6</td>
<td>5</td>
<td>14</td>
<td>11.67%</td>
</tr>
<tr>
<td>Production Management</td>
<td>1</td>
<td>2</td>
<td>8</td>
<td>11</td>
<td>9.17%</td>
</tr>
<tr>
<td>Strategic Management</td>
<td>5</td>
<td>3</td>
<td>3</td>
<td>11</td>
<td>9.17%</td>
</tr>
<tr>
<td>Marketing Management</td>
<td>0</td>
<td>1</td>
<td>7</td>
<td>8</td>
<td>6.67%</td>
</tr>
<tr>
<td>Technology Management</td>
<td>3</td>
<td>2</td>
<td>3</td>
<td>8</td>
<td>6.67%</td>
</tr>
<tr>
<td>Total</td>
<td>31</td>
<td>32</td>
<td>57</td>
<td>120</td>
<td>100.00%</td>
</tr>
</tbody>
</table>

Source: Adapted from Chang, P-L & Hsieh, P-M (1997, p123)

Chang & Hsieh (1997) found the largest percentage of dissertations focused on financial management and 68% of these focused on the stock market. In information management and general management studies relating to the organisational environment were most prevalent (decision-making, corporate culture and public risk). In the human resources areas the highest percentage (46%) focused on employment. Chang and Hsieh (1997) concluded that in the chosen time frame of 1988–1994 technology management, strategic management, human resources management and information management decreased while marketing management, financial management, production management and general management increased by about 10%. Recent theses on international business management and comparative management were also identified as new areas of research. Only three of the 120 dissertations dealt with non-profit organisations (hospitals and libraries). Quantitative methods were predominant.

Fourteen years after Chang and Hsieh’s reporting period we undertook an analysis of the PhD topics in management and business from the eight original universities studied by Chang and Hsieh and five universities newer to offering PhD programs in management/business through examining their public websites. These were the National Dong Hwa, National Chi Nan, I-Shou, Fu Jen Catholic and Chung Yuan universities.

The limitations of this research is that we chose theses from departments named ‘Business Administration’, ‘Management’ or ‘Business’ and acknowledge that as PhD programs have proliferated they have also been offered in departments of such as Accounting and Information Technology (See Appendix B). This research is also limited in that we could only analyse by thesis title and did not have access to abstracts and methodological material as did Chang and Hsieh (1997).
Table 7.2 indicates the distribution of theses titles over sub-disciplines from 1995 to 2010 from the thirty universities. Appendix C offers a snapshot of PhD management/business topics drawn from the universities.

**Table 7.2: 1995–2010 Distribution of Management/Business PhD Dissertations by Sub-Discipline.**

<table>
<thead>
<tr>
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<th></th>
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</thead>
<tbody>
<tr>
<td>Financial Management</td>
<td>40</td>
<td>29</td>
<td>43</td>
<td>112</td>
<td>15.75%</td>
</tr>
<tr>
<td>Information Management</td>
<td>na</td>
<td>na</td>
<td>na</td>
<td>na</td>
<td>na</td>
</tr>
<tr>
<td>General Management</td>
<td>na</td>
<td>na</td>
<td>na</td>
<td>na</td>
<td>na</td>
</tr>
<tr>
<td>Human Resources Management (OB + HR)</td>
<td>32</td>
<td>32</td>
<td>58</td>
<td>122</td>
<td>17.16%</td>
</tr>
<tr>
<td>Quantitative Methods</td>
<td>2</td>
<td>5</td>
<td>4</td>
<td>11</td>
<td>1.55%</td>
</tr>
<tr>
<td>Production Management (Operations &amp; Logistics)</td>
<td>13</td>
<td>19</td>
<td>19</td>
<td>51</td>
<td>7.17%</td>
</tr>
<tr>
<td>Strategic Management</td>
<td>29</td>
<td>48</td>
<td>40</td>
<td>117</td>
<td>16.46%</td>
</tr>
<tr>
<td>Marketing Management</td>
<td>24</td>
<td>41</td>
<td>61</td>
<td>126</td>
<td>17.72%</td>
</tr>
<tr>
<td>Technology Management (Innovation &amp; Technology)</td>
<td>25</td>
<td>27</td>
<td>20</td>
<td>72</td>
<td>10.13%</td>
</tr>
<tr>
<td>International Business</td>
<td>15</td>
<td>16</td>
<td>15</td>
<td>46</td>
<td>6.47%</td>
</tr>
<tr>
<td>E-Commerce</td>
<td>6</td>
<td>3</td>
<td>5</td>
<td>14</td>
<td>1.97%</td>
</tr>
<tr>
<td>Ethics &amp; Governance</td>
<td>2</td>
<td>6</td>
<td>5</td>
<td>13</td>
<td>1.83%</td>
</tr>
<tr>
<td>Economics</td>
<td>1</td>
<td>3</td>
<td>5</td>
<td>9</td>
<td>1.27%</td>
</tr>
<tr>
<td>Tourism</td>
<td>3</td>
<td>10</td>
<td>5</td>
<td>18</td>
<td>2.53%</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>192</strong></td>
<td><strong>239</strong></td>
<td><strong>280</strong></td>
<td><strong>711</strong></td>
<td><strong>100.00%</strong></td>
</tr>
</tbody>
</table>

Source: Developed for this study.

A number of other changes can be identified between the tables. Strategic management and marketing management have grown in popularity. The categories of international business, e-commerce, tourism, ethics and governance and innovation and technology have had to be added as they have emerged in our analysis and were not in Chang and Hsieh’s typology. Human resources management, which Chang and Hsieh suggested was declining in popularity, appears to have had resurgence. Theses exploring financial management appear to have remained relatively steady. If Table 7.2 is read in conjunction with Appendix C it can be seen that there is a robust spread of topics over the sub-disciplines.
Doctoral Programs Offered by Foreign Universities into Taiwan

While there appear to be no professional doctorates offered in Taiwan by Taiwanese universities there are some that are offered by universities from other countries. For instance, the International University of Monaco offers a DBA in Taipei and Jhongli (International University of Monaco, 2009) while the Bangkok based Asian Institute of Technology (AIT) claims some students in Taiwan (AIT, 2008). The City University of Hong Kong also offers a DBA to Taiwanese however it seems that some travel to Hong Kong for seminars is required (City U of Hong Kong, 2008).

Information on course admittance and structures for these courses is sparse with the exception of the University of Monaco. This university claims approval by the Ministry of Education. Course entry to the University of Monaco DBA involves holding an MBA from a regionally accredited university with a GPA of at least three and a demonstrated proficiency in English. The course structure is very similar to PhD courses in management in Taiwanese universities with 12 credits of research subjects (eg Business Research Methods, Advanced Statistics), 12 credits of seminar requirements (Business Strategy, Leadership, Applied Business Ethics), 21 credits of Project-Based tutorials (eg Management Theory and Practice, Organisational Structure and Human Systems Analysis) and 15 credits of dissertation. This course is highly structured and also best approximates a USA rather than British model of doctoral inquiry. Teaching methods appear to be face-to-face seminars (International University of Monaco, 2009). This course is full-fee and there is some information for students on their website regarding obtaining study support from the Taiwanese government.

Conclusion

Doctoral education in Taiwan in management/business has grown rapidly in the past decade and is part of centralised government policy designed to assist in nation building. All doctorates offered by Taiwanese universities bear the nomenclature of PhD and it is only the few doctorates offered by overseas universities into Taiwan that use the nomenclature of DBA or similar. It is unclear whether these DBAs are fully recognised by the Ministry of Education.

Entry to Taiwanese PhD programs in management/business appears to be quite stringent with candidates being required to exit the PhD programs if they do not meet established temporal and examination-result milestones. The structure of the PhD programs appears to follow the USA model of at least 60% in discipline and research-related coursework study followed by a dissertation of about 40% or less. However, it appears that publications from the research are expected during candidature and as a graduation requirement candidates are expected to defend their thesis.
Thesis topics are varied. However, strategic management and marketing management appear to have grown in popularity in the past decade with emerging areas of e-commerce, tourism, ethics and governance and innovation and technology. Finance continues to be a popular sub-discipline.

Our research evidences a robust doctoral climate in management/business. The 2008 Asia Academy of Management Conference was held in Taipei preceded by a very robust doctoral symposium with many Taiwanese doctoral candidates presenting. It is hoped that the Taiwanese government will continue to support higher education at the current or higher levels so doctoral research in management can continue to grow.

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**Authors’ Profiles**

**Dr Chin-Yao Tseng** is currently a graduate of the DBA program at Southern Cross University, Australia. Prior to this, he worked in the IT industry in Taiwan, particularly in the Telecommunications sector. His research interest is the role of human resource development as a factor in retaining knowledge workers and the role of such knowledge workers in sustaining companies’ competitive advantages. His seven years in the Taiwanese IT industry has lead him to believe in the importance of intellectual capital as a way for companies to gain a better position in today’s fast-changing environment.

**Dr Li-Cheng Chen** is currently a graduate of the DBA program at Southern Cross University, Australia. Prior to this, she was involved in teaching hospitality at the University of Tajen, Taiwan, specialising in hotel management and hospitality as she has studied in this field and worked in the hotel industry. Li-Cheng’s research interest focuses on multi-skills training in the hotel industry in Taiwan, particularly for front-line managers. She believes that skills training can benefit not only the hotel sector but also individual front-line managers.

**Michelle Wallace** is Associate Professor in Human Resources in the Graduate College of Management, Southern Cross University. Prior to joining academe she was involved in human resource development roles in the public sector. Michelle’s research interests focus on the specific HR practices of attraction, recruitment and retention, strategic HRM, HRM in Asian contexts and organisational change. She has researched issues surrounding women, work and human resource practices in a number of contexts and also researches transnational teaching and learning from the perspective of academic staff development.
# Appendix A

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| *  | Institute of Human Resource Management  |

**National Tsing Hua University (國立清華大學)**

| *  | Institute of Technology Management  |

**National Chiao Tung University (國立交通大學)**

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Source: Developed for this study based on MOE of Taiwan (2010, Accessed 06–10/03/10)
## Appendix B: Total Number of PhD Management Graduates from Taiwanese Universities from Establishment of Programs

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<tr>
<td>* Institute of Mgt.</td>
<td>2001</td>
<td>10</td>
<td>101</td>
</tr>
<tr>
<td>National Yunlin University of Science and Technology (國立雲林科技大學)</td>
<td>1999</td>
<td>108</td>
<td>68</td>
</tr>
<tr>
<td>* Institute of Mgt.</td>
<td>1999</td>
<td>108</td>
<td>68</td>
</tr>
<tr>
<td>* Department of Bus. Admin.</td>
<td>2002</td>
<td>18</td>
<td>77</td>
</tr>
<tr>
<td>* Institute of Industrial Engineering and Mgt.</td>
<td>2003</td>
<td>5</td>
<td>38</td>
</tr>
<tr>
<td>National Kaohsiung University of Applied Science (國立高雄第一科技大學)</td>
<td>2000</td>
<td>37</td>
<td>97</td>
</tr>
<tr>
<td>* Institute of Mgt.</td>
<td>2000</td>
<td>37</td>
<td>97</td>
</tr>
<tr>
<td>Soochow University (東吳大學)</td>
<td>1973</td>
<td>25</td>
<td>9</td>
</tr>
<tr>
<td>* Department of Economics</td>
<td>1973</td>
<td>25</td>
<td>9</td>
</tr>
<tr>
<td>PhD</td>
<td>Time of establishment</td>
<td>Number of graduates</td>
<td>Number of current candidates</td>
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<tr>
<td>---------------------------</td>
<td>-----------------------</td>
<td>---------------------</td>
<td>------------------------------</td>
</tr>
<tr>
<td>Chung Yuan Christian University (中原大學)</td>
<td></td>
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<tr>
<td>* Graduate School of Mgt.</td>
<td>2001</td>
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<td>31</td>
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<tr>
<td>* Department of Bus. Admin.</td>
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<td>21</td>
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<tr>
<td>Tamkang University (淡江大學)</td>
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<td></td>
</tr>
<tr>
<td>* Institute of Mgt. &amp; Sc.</td>
<td>1975</td>
<td>129</td>
<td>51</td>
</tr>
<tr>
<td>* Department of Bus. Admin.</td>
<td>2004</td>
<td>1</td>
<td>9</td>
</tr>
<tr>
<td>* Department of Banking &amp; Finance</td>
<td>1998</td>
<td>13</td>
<td>29</td>
</tr>
<tr>
<td>* Department of Industrial Economics</td>
<td>2003</td>
<td>5</td>
<td>14</td>
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<tr>
<td>Feng Chia University (逢甲大學)</td>
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<td></td>
<td></td>
</tr>
<tr>
<td>* Department of Economics</td>
<td>2001</td>
<td>10</td>
<td>21</td>
</tr>
<tr>
<td>Fu Jen Catholic University (輔仁大學)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>* Department of Bus. Admin.</td>
<td>2002</td>
<td>8</td>
<td>54</td>
</tr>
<tr>
<td>Yuan Ze University (元智大學)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>* Graduate School of Bus. &amp; Mgt.</td>
<td>1999</td>
<td>32</td>
<td>73</td>
</tr>
<tr>
<td>Da-Yen University (大業大學)</td>
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<td></td>
<td></td>
</tr>
<tr>
<td>* Graduate School of Mgt.</td>
<td>2001</td>
<td>14</td>
<td>26</td>
</tr>
<tr>
<td>Chung Hua University (中華大學)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>* Graduate School of Techn. Mgt.</td>
<td>1998</td>
<td>91</td>
<td>72</td>
</tr>
<tr>
<td>I-Shou University (義守大學)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>* Graduate School of Mgt.</td>
<td>2001</td>
<td>10</td>
<td>15</td>
</tr>
<tr>
<td>Ming Chuan University (銘傳大學)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>* Graduate School of Mgt.</td>
<td>1996</td>
<td>35</td>
<td>33</td>
</tr>
<tr>
<td>Chang Jung University (長榮大學)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>* Graduate School of Bus. &amp; Ops.</td>
<td>2001</td>
<td>10</td>
<td>46</td>
</tr>
<tr>
<td>Chinese Culture University (文化大學)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>* Graduate Institute of International Bus. Admin.</td>
<td>1992</td>
<td>95</td>
<td>75</td>
</tr>
<tr>
<td>Total amount of graduated students</td>
<td></td>
<td></td>
<td>3186</td>
</tr>
<tr>
<td>Total amount of current enrolled students</td>
<td></td>
<td></td>
<td>3334</td>
</tr>
</tbody>
</table>

Source: Developed for this study based on MOE of Taiwan (2010)
## Appendix C – Examples of PHD Management/Business Topics

<table>
<thead>
<tr>
<th>Discipline</th>
<th>Thesis Title</th>
</tr>
</thead>
<tbody>
<tr>
<td>Financial Management</td>
<td>1. The Role of Capital Structure in International Finance</td>
</tr>
<tr>
<td></td>
<td>2. Investigations of Corporate Finance: IPOs and Takeovers</td>
</tr>
<tr>
<td>Information Management</td>
<td>na</td>
</tr>
<tr>
<td>General Management</td>
<td>na</td>
</tr>
<tr>
<td>Human Resources Management (OB + HR)</td>
<td>1. The Relationships among Occupational Stress, Psychological Stress, OB &amp; Human Resource Capital, Motivation Systems, and Intent to Stay — A Study on the Epidemiologists in Taiwan</td>
</tr>
<tr>
<td></td>
<td>2. The Relationship among Ethical Climate Types, Facets of Job Satisfaction, the Three Components of Organisational Commitment, and Organisational Citizenship Behavior Types - A Study of Nurses in Taiwan</td>
</tr>
<tr>
<td>Quantitative Methods</td>
<td>1. Nonlinear Residual Income Model</td>
</tr>
<tr>
<td></td>
<td>2. On Sample Size Simulation In Central Limit Theorem</td>
</tr>
<tr>
<td>Production Management (Operations &amp; Logistics)</td>
<td>1. A Contingency Model of Specificity Investments, Relationship Learning, and Competence Building in Global Value Chain: The Supplier's Perspective</td>
</tr>
<tr>
<td></td>
<td>2. Coordination Strategy and Inventory Policies for a Single-Supplier Multi-Retailer Supply Chain</td>
</tr>
<tr>
<td>Strategic Management</td>
<td>1. Partner Selection, Governance Mechanism, and Value Creation: A Study of Strategic Alliance of Small and Medium Enterprises in Taiwan</td>
</tr>
<tr>
<td></td>
<td>2. The Intersubsidiary Competition for Strategic Positions and Knowledge Flows within Multinational Enterprise: Empirical Study from The Greater China Region</td>
</tr>
<tr>
<td>Marketing Management</td>
<td>1. Game Theoretical Studies on Transaction Cost and Marketing Channel</td>
</tr>
<tr>
<td></td>
<td>2. The Impact of Trust Model on Customer Loyalty—A Study of Direct Selling Industry</td>
</tr>
<tr>
<td>Technology Management (Innovation &amp; Technology)</td>
<td>1. Applying Fuzzy Analytic Network Process for Evaluating High-Tech Firms Technology Innovation Performances</td>
</tr>
<tr>
<td></td>
<td>2. A Study of Innovation and Quality in the Automotive Industry</td>
</tr>
<tr>
<td>International Business</td>
<td>1. Partner Selection Factors, Managerial Representations, and Ventures Performances of International Joint Ventures in Taiwan</td>
</tr>
<tr>
<td></td>
<td>2. A Study of International Joint Venture Control Mechanism in Perspective of Organisational Learning</td>
</tr>
<tr>
<td>Discipline</td>
<td>Thesis Title</td>
</tr>
<tr>
<td>---------------------</td>
<td>-----------------------------------------------------------------------------</td>
</tr>
<tr>
<td>E-Commerce</td>
<td>1. The Study of Online Customers’ Purchasing Behavior and The Recommendation Strategy</td>
</tr>
<tr>
<td></td>
<td>2. The Effects of Electronic Commerce on Business Management of Travel Agencies</td>
</tr>
<tr>
<td>Ethics &amp; Governance</td>
<td>1. A Study of Ethical Intent Model-Examination of IT Professionals</td>
</tr>
<tr>
<td></td>
<td>2. Corporate Governance and Corporate Value: An Empirical Study of Listed Corporations in Mainland China</td>
</tr>
<tr>
<td>Economics</td>
<td>1. The Role of Economic and Debt Contract Conditions in Accruals Models: Evidence from China and Taiwan</td>
</tr>
<tr>
<td></td>
<td>2. Family Control and the Economic Impact of Corporate Entrepreneurship-The Cases of Corporate Innovation and Venturing</td>
</tr>
<tr>
<td>Tourism</td>
<td>1. A Comparative Study on the Development of Outbound Group Package Tour among Japan, Taiwan, and China</td>
</tr>
<tr>
<td></td>
<td>2. A study of the determinants of airline passenger demand for development countries</td>
</tr>
</tbody>
</table>

Source: Developed for this study.
PART 2
DOCTORAL RESEARCH PRIORITIES FOR ASIA
Overview

This chapter provides insight into Doctoral research in Accounting and Finance (financial management) in the 21st century. This discipline differs from many other academic disciplines in that in many cases, practitioners require professional certification to be considered competent in addition to formal academic qualifications. In this area, the requirement for Doctoral qualifications for a successful career in academia as the motivation to participate in Doctoral study is perhaps even more important than in other areas of business.

Doctoral theses in accounting and finance from the now closed Australasian digital theses program have been analysed across a number of themes in order to reflect Australian Doctorates completed in the 21st century. This data is then compared to the successful Doctoral completions in the Doctor of Business Administration (DBA) program at Southern Cross University.

Introduction

The consideration of Doctoral research in financial management may not be removed from its context: the provision by business schools of continued high quality education in the constituent disciplines of accounting and finance. Significant evidence has been mounting for a decade to suggest that the ageing of the academic workforce generally and particularly in the areas of finance and accounting presents a significant challenge to financial management professions, both in Australia (Cappalletto, 2010) and globally, particularly in the world’s largest financial market, the USA (Boyle, Carpenter, Hermanson, & Mensah, 2011).

Australian accounting schools are widely perceived to be experiencing a staffing crisis; particularly in the technical areas... A rapid growth in demand for accounting degrees, mainly from international students, has lead to burgeoning class sizes in most universities. At the same time, a growing demand for practicing accountants, combined with rapidly escalating salaries, is argued to have lead to a decrease in the number of potential candidates wishing to pursue an academic career (Healy, 2008; Lightbody, 2010).
The traditional route to an academic career in most of the sciences and social sciences (including many business disciplines) is by completion of an Honours degree gaining a first or upper second class degree that qualifies the applicant for direct entry into a Doctoral program. At a recent seminar on Doctoral supervision that I attended, one of the most successful Doctoral supervisors at the host institution, when asked to reflect on the key factors for success in a Doctoral program, indicated that she would in future only take on students who could study full time, with a scholarship to provide them with support. There are few undergraduate students in financial management who pursue this path.

One criterion that differentiates financial management from many other academic disciplines is a career path with a heavy emphasis on certification and licensing as a requirement for professional practice. What does this mean and what are the implications for Doctoral study? Kleiner provides clarity in discriminating between the two forms:

It is useful to contrast occupational licensing with certification. A certification permits any person to perform the relevant tasks, but the government agency administers an examination and certifies those who have passed and the level of skill or knowledge (Rottenberg, 1980). Consumers of the product or service can then choose whether to hire a certified worker or not. In the case of occupational licensing, it is illegal for anyone without a license to perform the task. For example, travel agents and mechanics are generally certified, but not licensed (Kleiner, 2000).

Unlike the USA, in Australia, certification is generally undertaken by the professional bodies. For accounting, the main certifying organisations are the Institute of Chartered accountants in Australia (ICAA), Certified Practising Accountant (CPA) Australia and the National Institute of Accountants (NIA) but often (for specialist careers) certification in an additional specific sub discipline is important. Such representative certification bodies include the Financial Planning Association of Australian the institute of internal auditors are examples. While the accounting profession generally is subject to certification, aspects of it also require licensing, a process that remains a government responsibility. Licences must be held to be a corporation auditor, for liquidations and to provide taxation advice or financial planning advice. For many of these licences, prior certification by a professional body is a pre-requisite.

Given the shortage of articulate financial management graduates, high achieving undergraduate students, those who may be attracted to the Honours program in other disciplines, are targeted by the most prestigious firms in finance and accounting early in their undergraduate degrees. It is not surprising given the emphasis on certification as a basis for career establishment that they choose to enter the professional programs run by the certifying organisations rather than to continue with research based Honours programs in the university environment. This is further exacerbated by the requirement of the main certifying bodies for significant work experience under the supervision of a qualified practitioner before certification may be obtained.
The process of ‘accreditation’ has also been gaining momentum at an institutional level and many business schools in Australia and the region now hold, or aspire to, accreditation by the Association to Advance Collegiate Schools of Business (AACSB). This accreditation places emphasis on the requirement for both academic and research expertise, in most cases evidenced by Doctoral qualifications, and the importance of enmeshment with professional practice.

As noted by Lightbody (2010), ‘In the past, an important source of ‘entry level’ faculty in Australia has been “career change” practitioners.’ These people are unlikely to have the requisite research training to engage immediately with a research Doctorate program, nor are they likely to be willing to expend the time and effort to gain such training in a sector that is characterised by increasing levels of casualisation and job insecurity. In a study completed for GISCA—The National Centre for Social Applications of Geographic Information Systems (Hugo & Morriss, 2010), the pathway in Figure 1 below was presented:

**Figure 8.1: Supply Pipeline for Academics in Professional Disciplines**

These practitioners who are seeking a career change would seem to be ideal recruits for the Doctor of Business Administration: a professional Doctorate that contains within it sufficient research focused coursework to develop the requisite research skills required.
Doctoral Research in the 21st Century

In order to provide a context, a detailed examination of DBA theses completed in this area was undertaken. It is useful to reflect on Doctoral studies in the discipline in Australia. In order to do this, a search was run on the database of the Australasian Digital Theses Program (ADTP) for all theses that were recorded in the database from 2000 to 2011 with a keyword of ‘accounting’. Two hundred and twenty results were obtained for the first search. Of these 67 were duplicate records, other disciplines or Masters level theses. The ADTP has since been closed with access to electronic theses to be provided by individual institutions only.

The following table relates to the 153 valid, relevant records returned.

**Table 8.1: Doctorates by topic**

<table>
<thead>
<tr>
<th>Topic</th>
<th>Number</th>
<th>%</th>
</tr>
</thead>
<tbody>
<tr>
<td>Accounting Education</td>
<td>10</td>
<td>7%</td>
</tr>
<tr>
<td>Financial &amp; Audit</td>
<td>84</td>
<td>55%</td>
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<tr>
<td>History</td>
<td>8</td>
<td>5%</td>
</tr>
<tr>
<td>Management</td>
<td>26</td>
<td>17%</td>
</tr>
<tr>
<td>Accounting &amp; Finance</td>
<td>10</td>
<td>7%</td>
</tr>
<tr>
<td>Other (Accounting Information Systems, Planning, tax and law)</td>
<td>15</td>
<td>10%</td>
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</table>

**Table 8.2: Doctorates by Method**

<table>
<thead>
<tr>
<th>Main method</th>
<th>Number</th>
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</thead>
<tbody>
<tr>
<td>Legal</td>
<td>2</td>
<td>1%</td>
</tr>
<tr>
<td>Qualitative</td>
<td>57</td>
<td>37%</td>
</tr>
<tr>
<td>Quantitative</td>
<td>74</td>
<td>48%</td>
</tr>
<tr>
<td>History</td>
<td>8</td>
<td>5%</td>
</tr>
<tr>
<td>Not established</td>
<td>12</td>
<td>8%</td>
</tr>
</tbody>
</table>

Of these theses in the tables, 25 (17%) related directly to Asia, with a spread from the Middle East right through to Japan.

During a similar period, the following theses were completed in the DBA program at Southern Cross University.
Table 8.3: These completed in the Southern Cross University DBA Program

<table>
<thead>
<tr>
<th>Thesis Topic</th>
<th>Researcher</th>
<th>Academic Supervisor</th>
</tr>
</thead>
<tbody>
<tr>
<td>Financial Characteristics And Performance Of Small Enterprises: A Comparative Study: Co-Operatives And Non-Cooperative Enterprises</td>
<td>Dr Herman Hermanto</td>
<td>Prof Geoff Meredith</td>
</tr>
<tr>
<td>Reducing The Risk Of Post-Acquisition Financial Failure Arising From Cultural Mismatch And Additionally or Alternatively, Shortcomings in Managerial Competences</td>
<td>Dr Barry S Henley</td>
<td>Prof Alex Maggs</td>
</tr>
<tr>
<td>Inherent Risk: A Model And Empirical Tests</td>
<td>Dr. John R Sing</td>
<td>Prof Geoff Meredith</td>
</tr>
<tr>
<td>Financial Management And Profitability Of Small And Medium Enterprises</td>
<td>Dr Kieu Minh Nguyen</td>
<td>Prof Geoff Meredith</td>
</tr>
<tr>
<td>An Analysis Of Market And Credit Risk VAR Models in Capital Allocation And Risk Management</td>
<td>Dr. Robert Johnstone-Ayliffe</td>
<td>Prof Barry Ritchie</td>
</tr>
<tr>
<td>Privatisation: Implications for Corporate Culture And Change</td>
<td>Dr Wilairat SingSinghachai</td>
<td>Prof Jeff Meredith</td>
</tr>
<tr>
<td>Monetary Announcement and Thai Financial Market Reactions</td>
<td>Dr Worasith Jackmetha</td>
<td>Dr Mike Evans</td>
</tr>
<tr>
<td>Strategic Implementation in Foreign Investment In China—An Action Research</td>
<td>Dr Wai-Leung (Paddy) Law</td>
<td>Prof Chad Perry</td>
</tr>
<tr>
<td>Fundamental Signals and Stock Returns—Thai Stock Exchange</td>
<td>Dr Krisada Sektratul</td>
<td>Prof Geoff Meredith</td>
</tr>
<tr>
<td>Capital Control vs Economic Performance: A Malaysian Case Study</td>
<td>Dr Dato Lau Ban Tin</td>
<td>Prof Barry Ritchie</td>
</tr>
<tr>
<td>An Investigation Of The Factors That Influence The Cognitive Behaviour Of Investment Choice Decision-Making Among Members of Superannuation Funds in Australia: A Consumer Behavioural Approach</td>
<td>Dr Robert Stevens</td>
<td>Prof Chad Perry</td>
</tr>
<tr>
<td>Investigation Of The Use Of CAMELS Ratios As Good Predictors In Predicting Bank Failure (Indonesian Case)</td>
<td>Dr Ridwan Nurazi</td>
<td>Dr Mike Evans</td>
</tr>
<tr>
<td>Enhancing Venture Capital Investment Evaluation: A Survey Of Venture Capitalists Investees’ And Entrepreneurs’ Perspectives</td>
<td>Dr Abdul Rakhman</td>
<td>Dr Mike Evans</td>
</tr>
<tr>
<td>Budgeting and Decision-Making In Australian State Government Transport Agencies</td>
<td>Dr Kylie Coulson</td>
<td>Dr Mike Evans</td>
</tr>
<tr>
<td>Thesis Topic</td>
<td>Researcher</td>
<td>Academic Supervisor</td>
</tr>
<tr>
<td>------------------------------------------------------------------------------</td>
<td>-----------------------------------</td>
<td>------------------------------</td>
</tr>
<tr>
<td>The Strategic Moment Model for Global Capital Intensive Industries</td>
<td>Dr Christian Bachheimer</td>
<td>Prof Barry Ritchie</td>
</tr>
<tr>
<td>An Individual Level Diffusion Model Incorporating A Social Network Accounting for Heterophily</td>
<td>Dr James Gardner</td>
<td>Associate Prof Alan Ellis</td>
</tr>
<tr>
<td>A Model Of Corporate Bankruptcy in Thailand: MDA an ANN Systems</td>
<td>Dr Pranee Leksrisakul</td>
<td>Dr Mike Evans</td>
</tr>
<tr>
<td>Relationship Marketing Bonds: Identifying The Main Determinants Of Commitment, Repeat Business and Advocacy—An Empirical Study of the Australian Corporate Banking Market</td>
<td>Dr Ray McHale</td>
<td>Dr Dave Arthur</td>
</tr>
<tr>
<td>Disappearing Dividends: The Case Of Thai Listed Firms</td>
<td>Dr Malinee Ronapat</td>
<td>Dr Mike Evans</td>
</tr>
<tr>
<td>Factors Creating A Competitive Advantage In Export Performance (A Case Study of Two Industries In Thailand)</td>
<td>Dr Salin Watcharapongkitti</td>
<td>Emeritus Prof Geoff Meredith</td>
</tr>
<tr>
<td>Environmental Audits The Involvement Of Internal Auditors In Thailand</td>
<td>Dr Kanrawee Anuntaakalakul</td>
<td>Dr Geoff Lamberton</td>
</tr>
<tr>
<td>Cash Flows And Accrual Accounting In Predicting Future Cash Flows Of Thai Listed Companies</td>
<td>Dr Porntip Chotkunakitti</td>
<td>Dr Mike Evans</td>
</tr>
<tr>
<td>Enhancing Malaysia Corporate Governance And Transparent Practices For Attracting Foreign Capital Investment</td>
<td>Dr Mary Lew Siew Cheng</td>
<td>Prof Selvanathan</td>
</tr>
<tr>
<td>Factors Influencing Unit Trust Performance</td>
<td>Dr Tng Cheong Sing</td>
<td>Emeritus Prof Geoff Meredith</td>
</tr>
<tr>
<td>The Estimation Of Volatility For Real Option Valuation In The Australian Telecommunications Industry</td>
<td>Dr Paul Blayney</td>
<td>Dr Mike Evans</td>
</tr>
<tr>
<td>Hedge Funds China’s Stock Market: A Study of Factors Influencing Investment Decisions by Fund Managers</td>
<td>Dr Alan Phan</td>
<td>Emeritus Prof Geoff Meredith</td>
</tr>
<tr>
<td>Maintaining the Global Sustainable Competitive Advantages Of Malaysian Banks</td>
<td>Dr Charmaine Samuel</td>
<td>Prof Selvanathan</td>
</tr>
</tbody>
</table>
The topics chosen by Doctoral candidates in this program do not reflect the same profile as those in the selection from the ADTP.

**Table 8.4: DBAs by Topic**

<table>
<thead>
<tr>
<th>Topic</th>
<th>Number</th>
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</tr>
</thead>
<tbody>
<tr>
<td>Finance</td>
<td>24</td>
<td>89%</td>
</tr>
<tr>
<td>Financial &amp; Audit</td>
<td>2</td>
<td>7%</td>
</tr>
<tr>
<td>Management Accounting</td>
<td>1</td>
<td>4%</td>
</tr>
</tbody>
</table>

While there are many ‘finance’ topics, the emphasis here is on markets and the application of financial theory. Most of these studies appear to relate more closely to the discipline that can be described as ‘Finance and Economics’, rather than ‘Financial Management’ as reflected by ‘Finance and Accounting’. Only three DBA studies (10%) appeared to fit into this category.

Given the quantitative nature of the ‘Finance and Economics’ discipline, it is not unexpected that there is a predominance of Quantitative methods predominantly used in the studies.

**Table 8.5: DBA by Method**

<table>
<thead>
<tr>
<th>Main Method</th>
<th>Number</th>
<th>%</th>
</tr>
</thead>
<tbody>
<tr>
<td>Computer simulation</td>
<td>2</td>
<td>7%</td>
</tr>
<tr>
<td>Qualitative</td>
<td>10</td>
<td>34%</td>
</tr>
<tr>
<td>Quantitative</td>
<td>17</td>
<td>59%</td>
</tr>
</tbody>
</table>

Of these theses, though, 15 (56%) related directly to Asia demonstrating that this program appears to have a strong regional focus in comparison to the theses that were examined from the ADTP. Given that Southern Cross University has recruited students widely from Asia, and supports them with regular regional Doctoral symposia, this completion data provides evidence of success in regional engagement.

The financial accounting theses submitted provided information and tools of use to both academic and practitioner alike in the abstract describes the contribution:

The empirical results show that past earnings, cash flows, cash flow and accrual component of earnings can be used to predict future cash flows of Thai listed companies and cash flows have better predictive power than past earnings… the cash flow model and the cash flow and accrual components of earnings model have better predictive power than the earnings model. The findings of testing the models in an out-of-sample period suggest that the cash flow model is a better predictor of future cash flows than the other models. Furthermore, additional year lags of accounting data can improve the predictive power of the model. However, the results indicate that cash flow ratios are not a good predictor of future cash flows. In addition, this study finds that the Asian economic crisis had an impact on the predictive power of accounting data (Chotkunakitti, 2005).
The audit work also had application to practice and academe. The work of Dr Kanrawee Anuntaakalakul, under the supervision of Dr Geoff Lamberton was subsequently published (Anuntaakalakul & Lamberton, 2007) and the abstract reports:

This paper begins by establishing the case for internal auditor involvement in environmental audit. Results from previous research are presented leading to the identification of the primary objectives of this research. The chosen research methodology is a multiple case design within the developing Asian economy of Thailand. Major findings from the case studies are explained along with barriers and support for internal auditor involvement in environmental audit. Conclusions are drawn to inform the internal audit profession and improve the quality of environmental audit in Thailand, as well as internationally (Anuntaakalakul & Lamberton, 2007).

The sole management accounting focused Doctorate was completed by Dr Kylie Coulson who employed:

…a case study approach to investigate the budgeting and decision making processes used by eight Australian state government transport agencies to budget their operating expenditure to 2001/02. The analysis comprised a number of steps, firstly by documenting the budgeting and decision-making processes used by each of the agencies, and entering a series of research questions about various acts that is the process. Then, in order to assess the relevance of the existing literature, specific research propositions derived from the literature review were tested… An ideal model of government budgeting and decision-making was developed, which can be used to target possible areas for improvement in existing government processes (Coulson, 2003).

Clearly, the DBA process was effective in providing quality research outcomes even though there were few candidates choosing this discipline area.

**Conclusion**

The DBA process clearly demonstrates a path by which ‘career change’ practitioners could obtain the research training and credentials required to teach in Accounting and Finance programs in tertiary institutions in Australia and throughout the region. The entry requirement for the professional Doctorate differs from the PhD, in that a high quality MBA or similar evidence of post-graduate qualification is required, and the requisite research training is provided during the course. Concentration on the recruitment of only PhD graduates in such departments exacerbates the shortage of available talent from which to draw teaching staff in times of shortage and has the effect of discouraging talented ‘career change’ practitioners who could be in a strong position to build the bridges to practice so often encouraged by the AACSB from undertaking professional Doctorate studies.
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Cappalletto, G. 2010. *Challenges Facing Accounting Education in Australia: A Joint Accounting Bodies and AFAANZ Commissioned Report*


Author Profile

Ian M Sims is a senior lecturer in the School of Accounting Finance and Economics, Griffith University, Gold Coast Campus, Queensland, Australia. Ian has considerable experience at a senior level in financial information systems, logistics and supply management in the public sector (civil and military), mining industry and manufacturing. He holds formal qualifications as a Certified Practicing Accountant with a specialist designation in Information Technology, a member of the Chartered Institute of Purchasing and Supply, and Chartered Accountant. This combines with a cross-disciplinary academic career during which Ian has prepared and delivered units in Accounting (Accounting Information Systems, Financial, Managerial and Auditing), Finance, Information Systems, Logistics and International Business. As one of the ‘career change’ practitioners referred to in this chapter, he is an ‘early career’ researcher, having been awarded his PhD in 2010, however his research has been already been published at the highest level (ERA A*).
Overview

This chapter reviews 20 IS/IT theses in the Southern Cross University (SCU), Doctor of Business Administration (DBA) program. In the chapter, the author identifies the current status, activities and directions of information systems/information technology (IS/IT) research. Drawing on the analysis, a number of research agenda for future DBA projects are identified. For example, future doctoral research projects along the dimensions of research methods, focused levels, focused countries, focused business sizes, focused business types, and research topics of IS/IT have been proposed. This study was restricted to DBA theses only. Our next step is to expand our scope to other doctoral research programs within and beyond Southern Cross University.

Introduction

The Doctor of Business Administration program in Southern Cross University is one of the most successful DBA programs in Australia. It had its first DBA graduate in 1997. By 2010, it has produced over 250 completions, which cover various management areas—ie accounting, finance, marketing, information systems/information technology, human resource management, strategic management, tourism management, international business, small business management, among many others. Among the completed 250 DBA theses, 20 of them researched topics of IS/IT, and were undertaken by researchers and their supervisors from various countries. Table 9.1 details the studies, the topic and the researchers involved.
Table 9.1: Reviewed IS/IT Focused DBA Theses

<table>
<thead>
<tr>
<th>Studies Reviewed</th>
<th>Titles of Studies Reviewed</th>
<th>Researchers and Their Supervisors</th>
</tr>
</thead>
</table>
| Singh, 2000      | Adopting electronic commerce as a competitive strategy in Malaysian electronic SMI | Researcher: Kamal Jit Singh, Malaysia  
|                  |                                                                | Supervisor: Barry Ritchie, Australia                                    |
| Dussault, 2002   | Selecting and developing successful B2B E-marketplace business models | Researcher: Marc Dussault, Australia  
|                  |                                                                | Supervisor: Angele Cavaye, Australia                                    |
| McConachie, 2002 | The effect of sub-cultures on the implementation of an enterprise system | Researcher: Jeanne McConachie, Australia  
|                  |                                                                | Supervisor: Angele Cavaye, Australia                                    |
| Slaymaker, 2002  | Internet information seeking behaviour of Australian new car buyers | Researcher: Terrence William Slaymaker, Australia  
|                  |                                                                | Supervisor: Angele Cavaye, Australia                                    |
| Sangkamanee, 2002| Internet advertising in Thailand: an in depth investigation     | Researcher: Sutida Sangkamanee, Thailand  
|                  |                                                                | Supervisor: Chad Perry, Australia                                      |
| Woo, 2002        | The effectiveness of B2B exchanges                              | Researcher: Andy Woo, Malaysia  
|                  |                                                                | Supervisor: Barry Ritchie, Australia                                    |
| Gardner, 2004    | An individual level diffusion model incorporating a social network accounting for heterophily | Researcher: James Gardner, Australia  
|                  |                                                                | Supervisor: Allan Ellis, Australia                                      |
| Thatcher, 2004   | Service optimisation: an exploration of contemporary serving and sourcing strategies and associated information technology solutions | Researcher: Shane Thatcher, Australia  
|                  |                                                                | Supervisor: Shankar Sankaran                                           |
|                  |                                                                | Supervisor: Steve Kelly, Australia                                     |
| Luck, 2006       | How do consumers search for information when making the purchase intention decision on the Internet | Researcher: Edwina Luck, Australia  
|                  |                                                                | Supervisor: Australia                                                  |
| Heiligtag, 2006  | Factors affecting the adoption of online advertising in Australian small and medium enterprises | Researcher: Jan Heiligtag, Germany  
|                  |                                                                | Supervisor: Jun Xu, Australia                                          |
| Orr, 2007        | The implementation of electronic health knowledge management systems | Researcher: Martin Orr, New Zealand  
|                  |                                                                | Supervisor: Shankar Sankaran                                           |
In line with our efforts of (a) better organising and disseminating knowledge—ie findings in the DBA theses, (b) better understanding and utilising research resources—ie possible research opportunities in graduates’ (ie MBA and DBA graduates) organisations, (c) better shaping our future research plan and directions—ie working on future research directions and limitations suggested in the completed DBA theses or testing the results of the completed DBA theses in different contexts, cultures, and countries, this chapter reviews 20 IS/IT focused DBA studies listed in Table 9.1. The review looks at those 20 theses from perspectives of research method/approach, focused level, focused country, focused business size, focused industry, and research topics. This chapter is organised as follows. The following section presents a detailed review and analysis of selected SCU DBA theses. Some suggestions for future research directions are then discussed, followed by the conclusions.
The Results of Review

Research Methods/Approaches

Table 9.2 presents the number of theses in different categories according to research method/approach. As shown in the table, case study and survey are two major research approaches adopted by reviewed theses. 50% of reviewed theses (10 out of 20) conducted case studies, and 35% collected data via survey. The remaining three theses used laboratory experiment, action research, and classifications of types/classes of technologies/systems respectively.

Table 9.2: Classification as Per Research Method/Approach

<table>
<thead>
<tr>
<th>Research Methods/Approaches</th>
<th>Frequency</th>
<th>SCU DBA Studies</th>
</tr>
</thead>
<tbody>
<tr>
<td>Laboratory experiment</td>
<td>1</td>
<td>Gardner, 2004</td>
</tr>
<tr>
<td>Case study</td>
<td>10</td>
<td>Dussault, 2002; McConachie, 2002; Sangkamanee, 2002; Thatcher, 2004; Chirawatthanangkoon, 2006; Poh, 2007; Xuan, 2007; Wen, 2007; Podensen, 2008; Zhe, 2008</td>
</tr>
<tr>
<td>Action Research</td>
<td>1</td>
<td>Orr 2007</td>
</tr>
<tr>
<td>Survey</td>
<td>7</td>
<td>Singh, 2000; Slaymaker, 2002; Woo, 2002; Luck, 2006; Heiligtag, 2006; Anuntaakarakul, 2008; Pujani, 2008</td>
</tr>
<tr>
<td>Classifications of types/classes of technologies/systems</td>
<td>1</td>
<td>Featherstone, 2007</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td>(20)</td>
<td></td>
</tr>
</tbody>
</table>

Levels of Focus

Table 9.3 reports on the focused levels of reviewed theses. The three levels identified are: individual, organisation, and inter-organisations. As seen in the table, the majority of reviewed theses (13 out of 20) concentrated on researching IS/IT activities at the organisational level. In the meantime, the remaining seven theses dealt with individuals’ uses of IS/IT (four studies) and IS/IT for communications between organisations (three studies) respectively. It can also be seen in Table 9.3 that are 16 reviewed theses examined IS/IT from the perspective of the organisation (including both organisational and inter-organisational focuses).
Table 9.3: Focused Levels

<table>
<thead>
<tr>
<th>Focused Levels</th>
<th>Frequency</th>
<th>SCU DBA Studies</th>
</tr>
</thead>
<tbody>
<tr>
<td>Individual</td>
<td>4</td>
<td>Slaymaker, 2002; Gardner, 2004; Luck, 2006; Anuntaakarakul, 2008</td>
</tr>
<tr>
<td>Organisation</td>
<td>13</td>
<td>McConachie 2002; Sangkamanee 2002; Thatcher 2004; Chirawatthanangkoon, 2006; Heiligtag, 2006; Orr, 2007; Featherstone, 2007; Poh, 2007; Xuan, 2007; Wen, 2007; Podensen, 2008; Pujani, 2008; Zhe, 2008</td>
</tr>
<tr>
<td>Inter-Organisations</td>
<td>3</td>
<td>Singh, 2000; Dussault, 2002; Woo, 2002</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>(20)</strong></td>
<td></td>
</tr>
</tbody>
</table>

Countries of Focus

Table 9.4 delivers the information on focused countries of reviewed theses. As suggested in the Table 9.4, the focused countries are (in the order): More Than One Country (five studies), Australia (five studies), Thailand (three studies), Malaysia (two studies), China (one study), Indonesia (one study), New Zealand (one study), Taiwan (one study), and United States (one study).

Table 9.4: Focused Countries

<table>
<thead>
<tr>
<th>Focused Countries</th>
<th>Frequency</th>
<th>SCU DBA Studies</th>
</tr>
</thead>
<tbody>
<tr>
<td>Australia</td>
<td>5</td>
<td>Dussault, 2002; McConachie, 2002; Slaymaker, 2002; Heiligtag, 2006; Podensen, 2008</td>
</tr>
<tr>
<td>China</td>
<td>1</td>
<td>Xuan, 2007</td>
</tr>
<tr>
<td>Indonesia</td>
<td>1</td>
<td>Pujani, 2008</td>
</tr>
<tr>
<td>Malaysia</td>
<td>2</td>
<td>Singh, 2000; Poh, 2007</td>
</tr>
<tr>
<td>New Zealand</td>
<td>1</td>
<td>Orr, 2007</td>
</tr>
<tr>
<td>Taiwan</td>
<td>1</td>
<td>Wen, 2007</td>
</tr>
<tr>
<td>Thailand</td>
<td>3</td>
<td>Sangkamanee, 2002; Chirawatthanangkoon, 2006; Anuntaakarakul, 2008</td>
</tr>
<tr>
<td>United States</td>
<td>1</td>
<td>Thatcher, 2004</td>
</tr>
<tr>
<td>More Than One Country</td>
<td>5</td>
<td>Woo, 2002; Gardner, 2004; Luck, 2006; Featherstone, 2007; Zhe, 2008</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>(20)</strong></td>
<td></td>
</tr>
</tbody>
</table>
Business Sizes of Focus

Table 9.5 shows that among those previously mentioned 16 reviewed theses focusing on understanding IS/IT issues from the perspective of the organisation, six of them examined IS/IT issues at large organisations, four of them focused on small and medium enterprises, and the remaining six of them worked on projects involving different business sizes.

Table 9.5: Focused Business Sizes

<table>
<thead>
<tr>
<th>Focused Business Sizes</th>
<th>Frequency</th>
<th>SCU DBA Studies</th>
</tr>
</thead>
<tbody>
<tr>
<td>Small and Medium</td>
<td>4</td>
<td>Singh, 2000; Dussault, 2002; Heiligtag, 2006; Pujani, 2008</td>
</tr>
<tr>
<td>Large</td>
<td>6</td>
<td>McConachie, 2002; Thatcher, 2004; Orr, 2007; Xuan, 2007; Podensen, 2008; Zhe, 2008</td>
</tr>
<tr>
<td>Mixed Size</td>
<td>6</td>
<td>Sangkamanee, 2002; Woo, 2002; Chirawatthanangkoon, 2006; Featherstone, 2007; Poh, 2007; Wen, 2007</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>(16)</strong></td>
<td></td>
</tr>
</tbody>
</table>

Industries of Focus

Table 9.6 indicates among those previously mentioned 16 reviewed theses focusing on understanding IS/IT issues from the perspective of the organisation, seven put their emphasis on multiple industries, two on Electronic & Computer Equipments Manufacturing, two on Retail Trade, two on Telecommunication & Technology Services, one on Agriculture & Fishing, one on Higher Education, and one on Health Services.

Table 9.6: Focused Business Types

<table>
<thead>
<tr>
<th>Focused Industries</th>
<th>Frequency</th>
<th>SCU DBA Studies</th>
</tr>
</thead>
<tbody>
<tr>
<td>Agriculture &amp; Fishing</td>
<td>1</td>
<td>Dussault, 2002</td>
</tr>
<tr>
<td>Higher Education</td>
<td>1</td>
<td>McConachie, 2002</td>
</tr>
<tr>
<td>Health Services</td>
<td>1</td>
<td>Orr, 2007</td>
</tr>
<tr>
<td>Retail Trade</td>
<td>2</td>
<td>Xuan, 2007; Wen, 2007</td>
</tr>
<tr>
<td>Telecommunication &amp; Technology Services</td>
<td>2</td>
<td>Poh, 2007; Podensen, 2008</td>
</tr>
<tr>
<td>More Than One Industry</td>
<td>7</td>
<td>Sangkamanee, 2002; Woo, 2002; Thatcher, 2004; Chirawatthanangkoon, 2006; Heiligtag, 2006; Featherstone, 2007; Pujani, 2008</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>(16)</strong></td>
<td></td>
</tr>
</tbody>
</table>
Taxonomy of Research Topics

Table 9.7 demonstrates the results of analysing the literature by examining the taxonomy of research topics of reviewed SCU DBA studies. The number in brackets in the first column is the number of reviewed theses researched in a particular research category.

**Table 9.7: Research Topics**

<table>
<thead>
<tr>
<th>Research Category</th>
<th>Research Topics</th>
<th>SCU DBA Studies</th>
</tr>
</thead>
<tbody>
<tr>
<td>E-commerce (14)</td>
<td>B2B Marketplaces</td>
<td>Singh, 2000; Dussault, 2002; Woo, 2002</td>
</tr>
<tr>
<td></td>
<td>Consumers’ Online Information Search Behaviour</td>
<td>Slaymaker, 2002; Luck, 2006</td>
</tr>
<tr>
<td></td>
<td>Internet/Online Advertising</td>
<td>Sangkamanee, 2002; Heiligtag, 2006</td>
</tr>
<tr>
<td></td>
<td>E-branding</td>
<td>Chirawatthanangkoon, 2006</td>
</tr>
<tr>
<td></td>
<td>E-tailing</td>
<td>Xuan, 2007</td>
</tr>
<tr>
<td></td>
<td>Business Models on the Internet</td>
<td>Featherstone, 2007</td>
</tr>
<tr>
<td></td>
<td>Online Data for Decision Support Systems</td>
<td>Podensen, 2008</td>
</tr>
<tr>
<td></td>
<td>Online Purchase Intention and Loyalty</td>
<td>Anuntaakarakul, 2008</td>
</tr>
<tr>
<td></td>
<td>Website Success</td>
<td>Pujani, 2008</td>
</tr>
<tr>
<td></td>
<td>Strategic Alliances for E-companies</td>
<td>Wen, 2007</td>
</tr>
<tr>
<td>Cross-functional IS Implementation (3)</td>
<td>Enterprise System Implementation</td>
<td>McConachie, 2002; Zhe, 2008</td>
</tr>
<tr>
<td></td>
<td>Knowledge Management System Implementation</td>
<td>Orr, 2007</td>
</tr>
<tr>
<td>Diffusion of Innovation (1)</td>
<td>Innovation Diffusion Model</td>
<td>Gardner, 2004</td>
</tr>
<tr>
<td>Strategic Use of IS/IT (1)</td>
<td>Service Optimization and Role of IS/IT</td>
<td>Thatcher, 2004</td>
</tr>
<tr>
<td>Competitiveness of IS/IT Organisations (1)</td>
<td>Competitiveness of Software Firms</td>
<td>Poh, 2007</td>
</tr>
</tbody>
</table>

The data in the Table 9.7 suggests the reviewed theses have looked at the following IS/IT areas: e-commerce, cross-functional information systems, diffusion of innovation, strategic use of IS/IT, and competitiveness of IS/IT organisations. 70% (14 out 20) of the reviewed studies were devoted to e-commerce—ie B2B marketplaces (three studies), consumers' online information search behavior (two studies), Internet/online advertising (two studies), E-branding (one study), E-tailing (one study), business
models on the Internet (one study), online data for decision support systems (one study), online purchase intention and loyalty (one study), website success (one study), and strategic alliances for e-companies (one study).

Three studies looked at cross-functional information systems implementations (two studies on the implementation of the enterprise system and one study on knowledge management system implementation). The remaining three studies are in the categories of diffusion of innovation, strategic use of IS/IT, and competitiveness of IS/IT organisations respectively.

**Identified Research Agenda and Research Issues**

**Suggestions for Research Methods/Approaches**

As seen in Table 9.2, there is a lack of some important qualitative research methods—ie action research and grounded theory—in the reviewed theses. There is only one research applied action research approach while there is no application of grounded theory method in the reviewed theses. Action research and grounded theory are two very powerful research methods, especially for connecting theory with practice. Action research is particularly useful when traditional research methods may not suit many ‘field’ settings because of the study’s tentative nature and complexity. For example, the usual precisely-worded research question may mislead the researcher, and imprecise questions can lead to imprecise answers. There are also times when the researcher has to use ‘fuzzy methods’ to answer ‘fuzzy questions’, and action research has the flexibility to allow ‘fuzzy starts’ to converge towards ‘appropriate endings’.

As Dick (2000) puts it, action research can be a meta-methodology, that is, a framework to integrate several other methodologies: interviewing, large group intervention (for example, ‘search’ workshops for strategic planning), focus groups, surveys, project evaluation exercises, soft systems methodology, and journal writing. With action research, the researcher is actively involved (in many cases having influence on the decision makers) in the organisation; and both researcher and organisation can achieve expected benefits. Furthermore, the knowledge obtained can be immediately applied for change, and the research is a cyclical process linking theory and practice. However as demonstrated in this chapter, Action Research has not been widely adopted by IS/IT researchers. Possible reasons for this slow uptake could be the lack of training and lack of imparity among IS/IT researchers (Palvia, Mao & Midha, 2004; Baskerville & Wood-Harper, 1996).

At the same time, grounded theory method, which is ‘an inductive, theory discovery methodology that allows the researcher to develop a theoretical account of the general features of a topic while simultaneously grounding the account in empirical observations or data’ and focuses on a continuous play between data collection and analysis and aims to ‘develop theory that is grounded in data systematically gathered and analyzed’ (Myers, 2006, www.misq.org/discovery/MISQD_isworld), could be a very powerful tool in understanding IS/IT issues.
However, as indicated in the Table 9.2, this method has been overlooked so far. Greater adoption of this method in IS/IT research should be encouraged. Grounded theory can be extremely useful in assisting in developing context-based, process-oriented descriptions and explanation of IS/IT. More ethnography studies to understand IS/IT phenomena should also be encouraged to leverage the advantages of field notes and researcher’s experience of living (Myers, 2006). Research methods such as action research, grounded theory and ethnography have the capacity to address the gap ‘between the [wrong] theory applied and the right theory applied’ as suggested by Watson (cited in Lytras, 2005, www.sigsemis.org). He also argues that ‘business is theory in practice… The problem is many times the theories we use lead to poor predictions’. These methods are effective tools in understanding complexity and dynamics of IS/IT practices. More efforts have to be made to introduce those three important qualitative methods to IS/IT researchers in the SCU’s DBA program.

Suggestions for Levels of Focus

As indicated in the Table 9.3, there are no reviewed studies targeting at levels of group (or work unit or team or department or function), country, and cross-country. In future, attention should be given to those three levels. In the meantime, even though there are four studies on individual level and three studies on inter-organisational level, future IS/IT projects should have more attention to individual level (remember individuals are the ultimate users of any information systems) and inter-organisational level, since organisations are now competing in an environment where co-opetition (competing and cooperating at the same time) is a common phenomenon).

Suggestions for Countries of Studies

While there are five studies focusing on more than one country (see Table 9.4), more cross-country studies should be pursued in future as a result of the world is becoming more and more integrated and connected resulting from globalisation movement and rapid adoption of Internet technologies in many parts of the world. In addition, cross-country studies could great facilitate the efforts of generalising the results of the research. In the meantime, on top of those countries listed in the Table 10.4, more studies in other countries that have not been studied so far should be included in the future IS/IT DBA projects to reflect the internationalisation efforts pursued by Southern Cross University.

Suggestions for Business Sizes of Studies

While a quite good balance of various business sizes has been evidenced in the reviewed theses (see Table 9.5), future IS/IT-focused DBA projects could have more emphasis on small businesses—ie those employing less than 20 people in Australia (ABS, 2009)—as a result its significance in the economy, ie representing 97% private business (ABS, 2009), and its unique characteristics, ie close control by owners and managers, and the small management team (in many occasions, owners
and managers are the same person). Such future efforts will greatly help us take part in the debate of Small is Beautiful vs Small is Not Beautiful when it comes to the use of IS/IT.

Suggestions for Business Types of Studies

As indicated in the Table 9.6, a number of industries were studied in the reviewed theses. In future, DBA IS/IT projects in other industries (such as mining, construction, electricity, gas, and water, whole trade, accommodation, cafes, restaurant, transport and storage communication services, finance, investment, and insurance, property and business services, cultural and recreational services, personal and other services) could be carried out. And more comparison studies across different business types and industries could be looked at. Such studies will enhance the generalisability of research outcomes.

Suggestions for Research Topics

It can be seen from Table 9.7 that while five IS/IT areas have been covered in the reviewed theses many more research topics could be pursued in future DBA IS/IT studies. Some of them include: IS/IT strategic planning, evaluation of IS/IT projects, Development of IS/IT applications, security and ethical issues associated with IS/IT, among many other. In the meantime, the three areas of diffusion of innovation, strategic use of IS/IT, and competativeness of IS/IT organisations are only covered by one study in each of them. As a result, more studies covering more research topics—ie adoption and diffusion of different innovations at different levels in different countries, different IS/IT enabled strategic advantages for enhancing organisational competitiveness, sustainable success and development of IS/IT organisations, etc—in those three areas are suggested.

Furthermore, even though 70% of reviewed studies (14 out of 20) researched various areas of e-commerce, they thinly spread many topics. More IS/IT DBA projects could be deployed to those areas to gain deeper knowledge of those areas. Finally some other e-commerce areas (ie online payment systems, online trust, open innovation, collective intelligence, web 2.0 applications, cloud computing, web services, web science, web semantic, e-entrepreneurship, among many others), which are not covered in the reviewed theses, could be proposed for future DBA projects.

Conclusion

By reviewing 20 IS/IT theses in the DBA program of Southern Cross University, Australia, the author identified the current status, activities and directions of IS/IT research. Drawing on the analysis, a number of research agenda for future DBA projects along the dimensions of research methods, focused levels, focused countries, focused business sizes, focused business types, and research topics of IS/IT have been proposed. This study only looked at DBA theses. Our next step is to expand our scope to other doctoral research programs within and beyond Southern Cross University.
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Pujani, V. 2008. A study of factors influencing the success of website uses in Indonesian small and medium enterprises. DBA thesis, Southern Cross University, Australia


Author Profile

Dr Xu is a senior lecturer at Southern Cross University, Australia. In 2007, he won a prestigious Carrick Competitive Grant (A$140,095) for a study on cross-cultural teaching and learning) along with researchers from UTS, Curtin, ECU, University of Sydney. He is the foundation editor of the International Technology Management Review. He is the co-author of a research book (co-edited with other two researchers) on knowledge management, and on electronic business.
Overview

This chapter examines the micro and macro-aspects of human resource management (HRM) and organisational development and explores theoretical underpinnings and current issues in these areas. The chapter then overviews Doctoral research pertaining to HRM (including retention, career development, downsizing and performance appraisal), human resource development (including learner needs analysis, employability skills, multi-skilling, coaching and mentoring and trainer effectiveness) and organisational development (change management, learning organisations, teams). Observations are made about the methodologies adopted and there is discussion regarding emerging issues post-global financial crisis.

Introduction

The fields of human resource management (HR) and organisational development (OD) offer excitement and challenge for the researcher and practitioner, as they are diverse, multi-disciplinary and constantly evolving. It is thus not surprising that a large number of Southern Cross University DBA theses explore topics in these areas. This chapter overviews the disciplines that inform HRM and OD, examines contemporary and future ‘hot topics’ and explores a number of SCU DBA theses that have examined issues in this dynamic field.

Human Resource Management

Human resource management refers to the management of people within the employment relationship or ‘the productive use of people in achieving the organisation’s strategic objectives and the satisfaction of individual employee needs’ (Stone, 2008, p3). HRM grew from the more transactional, personnel function of the 1960s into a function, which helps pursue individual development and goals within organisational goals and strategy. HRM thus has micro- and macro-functions. In the last decade or so the term, Strategic HRM has gained greater
currency linking HRM more directly with overall organisational strategy and situating the role of the HRM practitioner as that of political strategist. However, some recent research indicates that HRM still has some way to go to become fully strategic and transactional elements remain (Becton and Schraeder, 2009).

Other areas of inquiry into HRM have also developed. The field of International HRM has emerged as a byproduct of globalisation and most often refers to multinational companies managing the employment contract for employees in a number of countries (Dowling et al, 2008). Comparative HRM examines HRM practices in specific countries (Zanko, 2002; Budwar & Yaw, 2001). While there has been a long history of research on HRM in western countries, the past decade has seen an explosion of scholarship into Asian HRM practices and with these further explorations into the effects of culture on HRM practices. Rowley et al (2004) and Zhu et al (2007) argue that there are regional similarities in HRM practices influenced by similar cultural values, such as Confucian Heritage Cultures (CHCs), and make a strong case for HRM practice ‘with Asian characteristics’ that differentiates it from western models.

Other developments in HRM include the emphasis on talent management (‘a long-term and integrated approach to managing employees by attracting them into organisations and providing development and engagement opportunities utilising a sophisticated system of HR practices’) and human capital management (‘includes HRM and also focuses on measuring the effectiveness of HR activities with an emphasis on enhancing the fit between those activities and organisational strategic goals’ (de Cieri et al, 2008, p5).

Practices related to workplace training, learning and development have given rise to the concept of Human Resource Development (HRD) as a stand-alone sub-discipline. HRD involves learning and development, training, career development, coaching and mentoring and performance appraisal (Stone, 2008, p349).

Organisational Change and Development

Organisational change can be defined as ‘the alteration of a core aspect of an organisation’s operation’ (Mills et al, 2009, p4). Organisational change can occur through external factors, for instance, changes in industrial relations legislation, or internal factors, such as development of new products. Organisational development is an effort that is ‘planned, organisation wide, initiated from the top, utilises planned interventions using behavioural science knowledge to increase the organisation’s effectiveness’ (Mills et al, 2009, p50).

A concept that is strongly linked to both OD and learning and development is that of the ‘learning organisation’ where the focus is on ‘the acquisition, sharing and utilisation of knowledge to survive and prosper’ (Stone, 2008, p626). A learning organisation is more than the sum of all individual learning as it harnesses individual employee learning and continuous to a meta-strategy of information sharing and collaboration (Hartel et al, 2006). According to Senge (1994) learning organisations display certain characteristics including the building of a shared
vision, team learning, mental models, personal mastery and systems thinking. Ulrich et al (2008) have identified a range of HR competencies, which acknowledge the transformational role of contemporary practitioners of HR and OD. They have concluded from an extensive survey of HR practitioners in several countries that HR people need to be business Driven with the additional capabilities of Strategic Architects, Stakeholder Managers, Workforce Designers, Credible Activists, Expert Practitioners and Culture and Change Agents. The Australian Institute of Human Resources’ website explains these concepts further at (www.ahri.com.au/scripts/cgiip.exe/WService=AHRI-LIVE/ccms.r?PageId=10429).

**Theoretical Underpinnings and Dimensions of HRM and OD**

The study of human resources and organisational development is diverse for both practitioners and researchers and much of the research is applied. Scholarship in HRM and OD is informed by theory emanating from psychology, sociology, adult learning, strategy, planning and metrics, industrial psychology, evaluation and so on. The field of HRM involves strategic HRM and human resource planning, which impact and are impacted by mergers, acquisitions and rightsizing, job design, skills audit, legislation and industrial relations. The field also involves the cycle of attraction, recruitment and selection, workplace learning and development, career planning, benefits and rewards, performance management, health and safety, and evaluation (Stone, 2008). Underpinning all of this is organisational strategy and the deployment of human resource information systems. In addition, HR functions in organisations also engage in organisational development and change from the strategic perspective and issues of the psychological contract, diversity management, work-life balance, globalisation, labour market analysis and the ageing workforce all come into play.

**Contemporary and Emerging Issues in HR and OD**

Contemporary ‘hot topics’ in HR in the last decade have involved attraction, recruitment and retention, especially in relation to the management of knowledge and service workers and skilled technical staff and HRM strategic planning due to skills shortages and high growth (Sheehan et al, 2006). The role of HR in organisational development and change processes has been a focus for at least several decades (Smith, 2006; Mills et al, 2009). It is hard to predict the new hot topics in times of global financial crisis although an analysis of recent editions of *HR Monthly* and *Human Capital* (eg Hopkins, 2009, Tarrant, 2009) indicate that, on the one hand, retaining well-performing staff and seeking alternatives to separation, while on the other hand downsizing, are emerging issues. National approaches to the development of human capital may again be on the agenda, given the generally more interventionist roles of government evidenced to date in the current financial crisis.
Those who can remember the recession of the 1990s in Australia and the Asian Financial Crisis of 1997 as well as experiencing the most recent and ongoing financial crisis will be familiar with these issues and will also appreciate the need for longer-term thinking as has been recently evidenced in countries such as Singapore, where there has been increased investment in training (Solomon, 2009) and in some Australian companies (Wilson, 2009). Strategic HRM (SHRM) may also emerge as a focus of research, not in relation to its existence as a number of researchers have undertaken studies in this area, but more in relation to how SHRM is practised and the organisational outcomes of SHRM. It is important to note that the *International Journal of Manpower* is developing a special issue on ‘The Impact of the Global Financial Crisis on HRM’ to be published later in 2011 (McDonnell and Burgess, 2010).

**Overview of DBA Research into Human Resources and Organisational Development**

**HRM Practices**

As stated above there are a number of HRM building blocks, including job evaluation. Attwater (2004) has argued that job evaluation techniques continue to follow a model more suited to an industrial rather than knowledge management environment. She examined how selected organisations evaluate the jobs of executives and decide on appropriate remuneration. Using a grounded theory approach she conducted 18 interviews with senior executives and consultants. She found that most companies used subjective judgments, some were open about this but others also used job evaluation processes and a subjectively adjusted job evaluation score to justify remuneration decisions. Although this study was completed almost five years ago its findings are highly pertinent given concerns at the time of writing (2009) about executive salaries.

Retention of staff has been an important issue in the past decade, including in Asian contexts. Chua (2006) examined retention of workers in call centres in Singapore, where turnover has been very high because of an overall labour shortage, the aging population and the (then) strong growth in Singapore economy. Internal factors for turnover included no prospects for advancement in the job, the nature of the job, its often stressful nature and poor pay. Ten intrinsic factors relating to retention were explored in a survey of 450 teleworkers. These were job enrichment, co-workers’ support, team leader support, distributive justice, informality, social functions, turnover culture, regular communication with management, recognition and developmental growth. The research concluded that job enrichment, team leader support, distributive justice, recognition and developmental growth were associated with retention with distributive justice and developmental growth the most significant. In other words, fair treatment and opportunities for development were the most significant factors among call centre staff in relation to retention.
Zhang (2008) also researched retention in an Asian context and identified high rates of staff turnover although in quite a different industry, construction in state owned enterprises (SOEs) in China. She focused particularly on managers and key technical staff in this industry and surveyed 400 workers across the country. While her variables were slightly differently phrased to Chua’s they mined similar constructs. The variables were cash payment, benefits and rewards, challenging and interesting work, responsibility, advancement, performance feedback, fair treatment, recognition, opportunity for learning, open and frequent communication and job security.

All variables, with the exception of job security, were positively related to the retention of these staff. While China no longer adheres to the ‘three irons’ policy (Yu & Egri, 2005; Zhu & Dowling, 2000), which include a job for life, longer contracts and the benevolence accorded to the leaders of companies under CHC may account for job security not being a major issue in SOEs of this nature. The highest correlations appear to be related to fair treatment and opportunities for learning and development. These are exactly the same as the two most important variables found by Chua (2006) in the study above. Reasons for these results may be related to importance of opportunities for learning and development and the emphasis on the importance of education, and the values of interpersonal harmony in CHCs.

Tseng (2010) undertook a similar retention study in relation to IT workers in Taiwan. The target population of this study was full-time software development employees who worked in the R&D departments of HsinChu Science Park (HCSP) in Taiwan. The study, a web-based survey was undertaken in 2008 and despite the economic downturn such workers remained in big demand. There were three different types of software development employees who responded to the survey, namely software engineers, project leaders and assistant managers.

Six retention factors were empirically identified and examined related to participants’ decisions to stay. They were job appreciation, fair remuneration, freedom in decision-making, new challenging work, development, and workplace flexibility. Differences between job categories were identified. Fair remuneration and development were unique retention factors for software engineers. Job appreciation was the one unique retention factor for project leaders. Finally, freedom in decision-making and fair remuneration were unique retention factors for assistant managers indicating that firms may need to tailor benefits, rewards and forms of recognition to each job category.

Still on the topic of retention, Rivai (2005) examined affective commitment, normative commitment and continuance commitment in a survey of 383 nurses in Indonesian private hospitals. Affective commitment was seen to have the most significant effect and directly influenced turnover intent. Job satisfaction also had a direct influence on turnover intent. The findings also concluded that both procedural and distributive justice have a direct influence on job satisfaction. Further research on retention constructs in Asian cultures would be most worthwhile.

Performance appraisal is another key element in the HR cycle. Fahmy (2006) examined performance appraisal in a higher education institution in Indonesia interviewing key stakeholders including academic managers, staff and students.
While business processes such as performance appraisal may be considered a poor fit with the academic culture she found that staff wanted a system with similar organisation, processes and resourcing to best practice performance appraisal in the business community. She concluded that effective performance appraisal in academe requires broad, deep and complex change in faculty management, leadership, faculty role, academic staff roles, financial support, rules and system, commitment from faculty stakeholders, the communication systems and the culture.

Kurts (2007) also examined performance appraisal and career development of those involved in patent attorney and law firms in Australia. She used social cognitive theory and the model of triadic reciprocal determinism to understand performance appraisal and career development approaching the study from a qualitative perspective with focus groups and semi-structured interviews. The key findings from this study were that performance appraisal is a valid activity that can be improved on. In fact, she reached similar conclusions to Fahmy (2006) suggesting that fairness, clarity of performance goals and criteria and the training of management appraisers were important factors in the effectiveness of performance appraisal in this case. She also found that the rewards and opportunities appraisees want are remuneration, flexibility and career development opportunities, rather than the diverse benefits that some firms currently provide.

Nhuan (2001) examined performance appraisal alongside training and incentives in a number of Vietnamese SMEs. His survey results indicate that it is incentives in the form of monetary compensation that have the most impact on SME performance and argues that for SMEs operating in an economy in transition the three elements of HRM should be used in concert.

**Human Resource Development**

There have been a number of Doctoral inquiries that fall into the general category of workplace learning and development. Many evaluate learning and development activities in the light of their contribution to individual and organisational performance or effectiveness. Thassanbanjong (2007) examined the productivity effects of training in small, family business in Thailand. She surveyed 450 small businesses finding that these businesses predominantly use only on-the-job training methods for their employees, including one-on-one coaching, group coaching and job rotation. She discovered that there is a statistically significant relationship between pre-training business performance and post-training business performance. The majority of the respondents indicated that training conducted by family-owned small businesses has a positive impact on their performance in sales, profitability, customer service, customer retention, quality of products and services, and growth in the number of customers.

Ellis (2004) examined the contribution of business and management education to small business solvency thus linking learning and development with organisational performance. Taking an unusual tack, Gandolfi (2001) examined the negative effects of downsizing on organisational performance and argued that downsizing needs to be accompanied by training and development interventions as part of the
management of the human resource system. His case studies were a number of banks. He found that firm specific rather than general training was given, reactive rather than proactive training and development and poor implementation of training during past downsizing efforts. Although this study was completed in 2001 the lessons drawn are very pertinent today.

Another group of theses examined workplace learner needs and characteristics. Arnnull (1999) examined the learning needs of managers of SMEs in the context of the small enterprise life cycle. Using focus groups and multiple case studies he concluded that SME management training should not be based on a pedagogical content based approach but should involve adult, self-directed learning in an ongoing basis that is just in time and in synergy with the SME’s development cycle. Holland (2001) undertook a learning needs analysis of regional/economic development practitioners and examined if the tertiary education sector in Australia was meeting those needs. He used a survey methodology with two populations namely, regional/economic development practitioners and tertiary education institutions, in particular universities. He identified a number of gaps in practitioners’ competencies relating to manage organisational administration, management of financial resources, management of human resources and management of technology and found that only one university in Australia at that time offered a course that met those needs.

Gauld (2001) surveyed 300 trainers examining variables that contributed to trainer effectiveness. These included formal teaching/training qualifications and length of time in the trainer role. Redknap (2007) examined the impact of employability skills on school-based trainees undertaking work experience in a restaurant with their Registered Training Provider being a large tourist attraction. The study employed a modified grounded theory method and interviews with the trainees. The research indicated that the work based learning experience gave trainees a far better understanding of the generic and specific job skills that they needed.

Chen (2010) examined multi-skilling for front-line managers in hotels in Taiwan, noting the shortage of qualified workers and the high turnover rate of staff in hotel industry with both factors negatively impacting on productivity and performance. She investigated whether multi-skilling exists and, if so, the benefits of a multi-skilled workforce in the context of three job categories of employees—front office, restaurant and housekeeping staff. A mail survey was used with staff in these departments in 5-star hotels in Taiwan’s two main cities.

The findings identified that 5-star hotels in Taiwan have adopted multi-skilling for their front-line managers and that employees have identified organisational efficiencies as a result of this. While results varied somewhat across the three job categories, service quality and retention were significant organisational benefits of multiskilling. Job satisfaction was an individual benefit of multiskilling for front office and housekeeping staff while remuneration was not significant for any job category.

Coaching and mentoring are also part of HRD. Benton (2002) examined the mentoring of women in small business management skills acquisition using as his case a program, which had mentored 1200 women. Using in-depth exploratory
interviews of he specifically examined mentor and mentoree behavioural characteristics, including gender and skill sets. He found that accuracy when matching the specific mentoree skills requirement with the available mentor skill sets was found to be a primary determinant of the probable success or failure of mentoring self-employed businesswomen. The research has failed to find any association between the gender of the mentor and mentoring effectiveness. Participation in this program is found to have an influence on probable participation in other mentoring programs or business networks in direct accordance with the success or failure for each mentoring relationship.

The development of teams is another aspect of learning and development and is also allied to motivation and leadership theory. Lyon (2003) explored the relationship between team-based and individual incentives and determined how they affect performance in the Australian IT industry. Whereas many Australian IT organisations appear to have accepted the benefits of team-based programs in theory they have not effectively planned, implemented and managed them. Also, these organisations have not widely accepted the concepts of team incentives, intrinsic motivation and non-financial rewards that are largely supported by the extant literature. This may be due to the individualistic culture inherent in the Australian commercial environment.

**Management of Change**

The management of change is another important topic within organisational development. DBA Theses in this diverse and complex area examine culture, adaptive systems and resistance. Asmony (2007) examined resistance to change in local government in Indonesia utilising a case study methodology and convergent interviewing. Her findings identified implementation of participatory planning, the preparation of a Budget Based on Performance document, transparency in the recruitment of Prospective Civil Servant and overall transparency in the conduct of the public service as the main sites of resistance. The causes of resistance were lack of ability, lack of willingness to work hard, lack of interest, self-interest, lack of information, lack of guidance, lack of control, lack of support from leaders, insufficient attention paid by leader, lack of firmness of leader, inadequate political will and regionalism. The solutions she identified as potentially dealing with such resistance were education, employee development, provision of rewards, increased income, change in personnel, communication, internal control, public control, social education, provision of a standard procedure and support from the leader.

Gibbs (2005) examined the management of cultural issues in international engineering projects. She used an embedded case study to examine cross-cultural issues in ten projects in Eastern Europe, Africa, South America and South-East Asia. She identified a number of cross-cultural issues around non-verbal behaviours, social customs, value systems and concepts of time, bureaucracy and technology. The factors that were identified as contributing most risk to the projects and thus needing the most structured management were communication, business methods and ethics.
Jackson (2006) has linked organisational change to transformational leadership styles offering a truly multidisciplinary approach. She utilised a grounded theory approach using an embedded case study method, in-depth convergent interviews were undertaken in four hospitals undergoing considerable organisational change. Twenty-six managers, executives and staff were interviewed regarding communication, team building, stress and coping and inter-group conflict. It was found that the change managers themselves were enthusiastic about implementing change but were unable to offer effective support for staff. Staff and managers said that communication within the hospitals during the period of change was poor. Similarly there was a paucity of accurate information being disseminated. Managers and staff also revealed that they had experienced considerable stress during the period of change and they needed help in order to cope effectively. Varying levels of inter-group conflict were reported in all the hospitals studied and managers reported that changes were not being implemented appropriately. However, efforts at team building were non-existent in two of the hospitals studied.

In a related study, Philpotts (2001) examined different perceptions and understanding of change in Australian HR and line managers. She used the Managing Change questionnaire (MCQ) and Change Agent Questionnaire (CAQ), both self-administered mail surveys, with a stratified sample of managers in two large Australian organisations. In one organisation HR managers exhibited a greater understanding of change then line managers but there was no different in the other organisation. In comparing these results with those from the USA it was found that American HR practitioners had a greater understanding of change than their Australian counterparts.

The Learning Organisation

There have been a good number of DBA theses on this topic since the late 1990s. Byers (1999) examined the top 1000 companies in Australia and their learning organisation orientation. Wietsma-Bogaarts (2007) discussed the paucity of literature examining learning organisations in action. She used case study methods with seven Dutch construction organisations using the constructs of ‘learning dynamics’, ‘organisation characteristics’, ‘people empowerment’, ‘knowledge management’, and ‘technology’ as independent variables of this thesis. She found that that were moderating variables to each construct including change form an executive o an innovative organisation, frequently changing teams, different cultural backgrounds of staff, few management levels, lack of a rewarding culture, short term vision, barriers between divisions, risk avoidance and fear of the unknown.

Brown (2004) used action research to explore how six Air Force Management Services Teams were exposed to six overlapping attributes of complex adaptive systems through focus group workshops with an aim to determine whether they, as experienced management consulting practitioners, saw value to themselves and their Air Force clients of using aspects of complex adaptive systems for organisational understanding. He found, they found the new way of thinking challenging on a number of different perspectives. Some aspects of the Air Force organisation, like its high levels of organisational experience, will make the introduction to and use of complex adaptive systems thinking simpler, while other aspects of the Air Force organisation, like its
sensitivity to complex adaptive systems terminology, will make the introduction and use of complex adaptive systems more challenging.

A range of other theses examined learning organisations. Mitchhob (1999) examined a model for a learning organisation in a Thai co-operative. Phillips explored what an ideal learning organisation might look like and Lee (2003) examined a tertiary education institution in terms of its capacity to change into a learning organisation.

**Sociological/Psychological Issues**

Understandings of the labour market and the reasons behind staff behaviours have wide-reaching implications and there have been a number of theses that have been informed by workplace sociology or psychology. Sangroengrob (2003) examined the effects of downsizing on survivor employees’ commitment to their work and on absenteeism in an organisation in Thailand and Trudgett (1999) explored the factors influencing the resignation of female managers. More recently, Chan (2008) has examined the very topical issue of Australia’s ageing workforce and the implications for corporate knowledge and capability and Kriel (2007) has explored the relationship of morality, ethics and justice to the quality of work life.

**A Word on Methods**

Although another chapter in this book will examine methodology more comprehensively, I offer a word her on my impressions of the methods used. In the HR and OD theses that are the subject of this chapter most candidates situated themselves in paradigms that were positivist, post-positivist, and, for some few, constructivist. However, none appeared to involve critical theory or post-structuralism. Positivist approaches were supported in the main by survey methods, post-positivist and constructivist (including action research and grounded theory) by interviews and focus groups. In almost all cases participants’ views were seen to depict the ‘truth’ or at least ‘a truth’. Surveys and most case studies involved populations beyond one organisation and there was a fairly even spread between these approaches.

**Conclusion**

In the HR and OD DBA theses overviewed here, there appears to be a concentration of theses in the areas of staff retention and commitment, learning and development, organisational change and learning organisations. However, there is also a healthy, eclectic mix of topics in this mix. To my knowledge, topics currently being researched continue to examine retention and other specific HR practices and aspects of learning and development. However, it needs to be remembered that candidates commenced these topics before the current financial crisis. New topics may well emerge, including strategic HRM, HR metrics and issues around workforce skills. The concepts of organisational change and learning organisations seems to have gone quiet, for now at least, but may experience a resurgence, using slightly different nomenclature, as organisations and workers face yet another brave new world of change and readjustment.
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**Author Profile**

Michelle Wallace PhD is an Associate Professor of Human Resources in the Southern Cross University Business School. Michelle has developed and taught post-graduate coursework programs in the areas of human resource management and development. She has supervised DBA and PhD students and is Co-ordinating Supervisor for the DBA program in Singapore and Malaysia. She currently has a grant from the Rail CRC to research industry image and attraction strategies for engineers and career paths and associated training in the rail industry and is a member of a research team that has just completed an ALTC funded project researching moderation in transnational assessment. Michelle is on the editorial boards and is a reviewer for several journals. She is a Chartered Member of the Australian Human Resources Institute (AHRI) and a member of the British Academy of Management and the Australia New Zealand Academy of Management (ANZAM).
Overview

This chapter overviews the research undertaken in the widely defined field of organisational management. It then identifies the dominant type of sub-disciplinary research undertaken in the DBA program since its establishment in 1996. Examining the programs outputs over the last five years, the chapter identifies likely trends for future research in this broadly defined discipline area. The majority of research projects relate to organisational development and behaviour. Human resource issues and sales and marketing issues also dominate the research projects.

Introduction

This chapter aims to overview the research undertaken in the widely defined field of organisational management through the Southern Cross University Doctor of Business Administration (DBA) program. DBA programs offered by Australian Universities are diverse in terms of both curriculum and structure. The SCU DBA is classified by the Australian Government Department of Education, Employment and Workplace Relations (DEEWR) as a doctoral research degree. Accordingly, candidates undertake a major and rigorous research project that culminates in a significant thesis similar to that completed for a PhD. The chapter describes the result of research undertaken into disciplinary and topic areas for over 250 successfully completed theses in the program since its establishment. It also identifies current trends in research in the program over the last five years.

Nature of Research and Research Topics

The research undertaken in the SCU DBA program is methodologically diverse ranging from ethnography and grounded theory to traditional surveys and structural equation modelling.
The topics under study are equally diverse. Research undertaken on over 250 completed theses from the SCU DBA program is discussed here. For convenience, the areas of study have been combined and categorised into 13 sub-disciplinary areas. The percentage of theses undertaken in each sub-disciplinary area is shown in Table 11.1.

**Table 11.1: Topic Areas and Percentage of Candidates Researching in the Area**

<table>
<thead>
<tr>
<th>Sub-disciplinary area</th>
<th>Percentage of candidates undertaking projects in this area</th>
</tr>
</thead>
<tbody>
<tr>
<td>Organisational development and behaviour</td>
<td>17.0</td>
</tr>
<tr>
<td>Human resources and employment relations</td>
<td>13.0</td>
</tr>
<tr>
<td>Sales and marketing</td>
<td>12.0</td>
</tr>
<tr>
<td>Entrepreneurship, innovation and new venture creation</td>
<td>10.0</td>
</tr>
<tr>
<td>Strategic management</td>
<td>9.0</td>
</tr>
<tr>
<td>Small business management</td>
<td>7.0</td>
</tr>
<tr>
<td>MIS and ecommerce</td>
<td>7.0</td>
</tr>
<tr>
<td>Quality management</td>
<td>6.0</td>
</tr>
<tr>
<td>International and comparative management</td>
<td>5.0</td>
</tr>
<tr>
<td>Knowledge management</td>
<td>5.0</td>
</tr>
<tr>
<td>Accounting and finance</td>
<td>5.0</td>
</tr>
<tr>
<td>Technology management</td>
<td>3.0</td>
</tr>
<tr>
<td>Project management</td>
<td>1.0</td>
</tr>
</tbody>
</table>

As can be seen from Table 11.1, the areas of research are diverse but dominated by projects in the related fields of human resources and organisational development and behaviour. Sales and marketing is the next significant area of research followed by entrepreneurship, innovation and new venture creation.

One can only speculate why the fields of human resources and organisational development and behaviour are in such demand. Perhaps it is due to the candidate’s own experience related to people and organisational issues. Typically, mid-level executives spend most of their time on people issues or bringing about needed change and are therefore interested in progressing their understanding of complex management issues around change and leadership.
CHAPTER 11 – DOCTORAL RESEARCH IN ORGANISATIONAL MANAGEMENT

Trends and Possible Future Research Directions

An analysis of theses completed over the last five years in the SCU program was undertaken to identify the sub-disciplines where the majority of research was being pursued and to indicate any possible trends in contemporary research efforts. The sub-disciplines dominating the research agenda over this period included:

- Human resources and employment relations
- International and comparative management
- MIS and ecommerce
- Strategic management.

Topics that might be considered as ‘hot’ research areas were:

- Leadership
- Change in organisations.

While this chapter concentrates on the SCU DBA program, it is worth mentioning that there appears to be a significant change in the direction Australian universities are heading in regard to offering doctoral programs generally. For example, there is an increasing number and variety of professional doctorates being offered by universities and traditional PhDs are being re-branded to include speciality research areas designated on testamurs in the title of the award, with one example being the Doctor of Philosophy (Agriculture). Generalist nomenclature at the doctoral level, particularly for the PhD, is being overtaken by specifically named PhD awards, bringing about confusion as to what both PhD and professional doctorates are and claim to be.

As discussed in this chapter, the issue is further confused by many professional doctorates including the SCU DBA having been classified by the federal government in Australia as research degrees. The need for universities to drive the government’s Research Training Scheme (RTS) is at the core of the change in direction as universities endeavour to include professional doctorate completions (where the degree is classified by the government as a research degree) and attract candidates to specific PhD programs, as an input into their RTS formula for performance reasons.

Conclusion

In the business and management discipline, much of the purported distinction between the DBA and PhD has been lost (if it ever was really there) as the nature of applicants for these awards and the nature of research projects undertaken converge. The research undertaken in the SCU DBA program is methodologically diverse and the range of the topics under study is equally varied. Analysis of over 230 completed theses from the SCU DBA program found that research in the areas of human resources and organisational development and behaviour, sales and marketing and innovation and new venture creation dominate the research agenda.
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Chapter 12
Doctoral Research in Marketing Strategies

Peter Vitartas

Overview
This chapter reviews research undertaken by DBA students from the discipline of marketing. While most of the research discussed is clearly based in the marketing discipline, some is drawn from other research areas and reflect the broadening of marketing into general management. It is argued in a discussion of the history of marketing that the discipline is becoming broader leaving many opportunities for future research. The review of research highlights that many of the studies have tested, and in most cases confirmed, current theories of marketing in our Asia Pacific region. The new frontiers of marketing for budding researchers, it is suggested, will come from developments in the marketplace such as the internet, social and environmental issues, but also in the way we go about undertaking our research.

Introduction
While there are a growing number of topics emerging within the marketing discipline they can be classified into two broad areas. The first relates to the management process involved in undertaking marketing activity. Much of the writing in this area is related to strategy and the decisions that managers make in relation to the design of their goods and services and the resultant branding and messages that are conveyed to consumers about these products. The second is in relation to consumer behaviour, which is the investigation of how consumers behave when making purchasing decisions.

The research that is reviewed in this chapter can be seen to fall into these broad areas, although in the review attention is paid to the distinct parts of each area with the aim of providing the reader with an understanding of the nature of marketing, but also the research that has been undertaken in the field and, equally important, the potential areas of future research in the marketing discipline.

We start however with a brief review of the history of marketing that explains the development of these areas and some of the components within each. This sets the stage for a review of the research that has been undertaken by DBA researchers
and a commentary on the research. The topic areas covered by the research include: advertising and promotion, the consumer decision process, innovation and adoption, customer satisfaction, service marketing and marketing management. The research methodologies that have been used by DBA researchers and potential research methodologies for future researchers are discussed before emerging areas for future research are discussed.

A Brief History of Marketing

Over a period of more than 100 years the focus of marketing has moved from sales to advertising to brand and value building. Early marketing literature focused on research in two areas—determining the most appropriate approach to presenting advertising and understanding the consumer (Coolsen, 1947; Lockley, 1950). Research in these areas started to be documented from the early 1900s and interest in consumer behaviour developed in parallel with the growth and interest in psychology. By the middle of the 1900s the study of marketing had emerged to become mainstream in business schools and by the 1970s, brand management had emerged as a functional area of marketing management.

The focus at the time however was still on products and it wasn’t until the 1980s that service marketing was acknowledged in the literature as having unique properties distinct from product marketing. This was at a time when services were being recognised as a major part of developed economies. Marketing practitioners realised that service marketing was sufficiently distinct from product marketing and consequently the study of service marketing research emerged. At about this time the European academic community was highlighting the role and importance of relationships in marketing and a further field of research emerged. A split in distinction between consumer behaviour and organisational purchasing behaviour led to the terms business to business (B2B) and business to consumer (B2C), while the latter has emerged with the introduction of the internet. Then by the mid 1990s, the internet started to emerge as a new element for business to grapple with and its application to marketing started to be realised. While most knew it would have an impact, just how, even now for some, is still unknown. The current evolution in marketing is the growing importance of channels of distribution or supply chain management and procurement.

Most of the research and theory development that Australian students of marketing have been exposed to has, until recent times, been developed in the United States of America. In part, this development has occurred because American academics and practitioners were some of the first to document their research in journals and books. The United States also led the world in the development of business schools and consequently most textbooks were first written for the US business school market. To some extent this hangover still exists today as evidenced by the number of adaptations of textbooks that originated from authors based in the United States. More recently though, there has been a growing interest in marketing approaches reported by European academics.
While the USA has generally taken a quantitative approach to the study of marketing, a distinguishing aspect of research among European academics has been the acceptance and use of qualitative research methods. Historically the leading marketing journals in the United States did not report research that relied solely on qualitative studies and relied instead on studies that were confirmatory in nature. Fortunately this is not as apparent today. Australia academic researchers have followed a middle ground and recognise the value of both approaches. Most realise that different types of research requires the use of different methodologies. Qualitative research is exploratory, more suited to investigating and identifying new concepts and ideas in relation to marketing. Quantitative research, on the other hand, is used as confirmatory research to test and confirm the ideas so that they can be generalised to the population.

One of the major differences in thinking about marketing that developed from the European school has been the focus on relationships in marketing. Rather than taking a transactional approach to dealing with consumers, the Europeans highlighted the importance of relationships, particularly in business to business marketing. This has led some to think that all marketing should be relationship-based although there is evidence to suggest that a singular approach is dangerous. Likewise, the traditional view that early marketers adopted, such as ‘the customer is king’ is also being questioned (Brown, 2008). Successful examples of marketers who do not treat the customer as king are becoming apparent. Airlines such as Ryan Air, and regionally, Jetstar and Tiger Air, and retailers like Walmart and Aldi, all focus solely on low price and give little credence to customer service. Low price is marketed as value and all else is forsaken—unless you are prepared to pay for each additional service. Facilitated by the internet, ‘mass customisation’ is now being used by marketers to reduce service costs, leaving the customer to believe they have a deal that meets their needs. This process is inadvertently creating distance between the marketer and the consumer that can only be bridged by research.

**Overview of DBA Research into Marketing**

If there were to be an overall theme from the investigation of the marketing research undertaken by former DBA researchers, it has to be that the theories of marketing have been applied and tested in the Asian-Pacific region.

While there are countless areas of specialisation in marketing, research by DBA researchers at SCU can be considered to focus on the traditional areas of marketing. These include advertising and promotion, consumer behaviour, service marketing and marketing management. By far the most popular area has been consumer behaviour, with many researchers combining aspects of consumer investigation with aspects of service marketing, innovation and adoption, decision making and customer satisfaction. The range of industries that are covered by the research is extremely varied and the most popular topic reflects the newness and interest in the development of the internet as a marketing tool. Banking, property development and telecommunications industries were also featured in multiple studies. The
remaining industry areas covered call centres, health, food, insurance, information technology, multilevel marketing, rail and retailing. In the following section each of the broad areas of marketing that have been researched will be examined in detail.

**Commentary on Research within the Discipline**

**The Consumer Decision Process**

The consumer decision process is recognised as following five steps—problem recognition, search, evaluation, purchase and post-purchase behaviour. While the process is acknowledged as being consistent across consumers in their decision process, the specific factors affecting the decisions vary by industry, thus providing a great deal of scope for research.

The decision process has been examined across a number of industries by DBA marketing researchers. Sukanthasirikul (2003) examined consumer decision making for life insurance among Thai middle income earners and found that there were differences in influencing factors depending on the stage of search. Particular factors that influenced pre-purchase decisions included environmental factors, word-of-mouth and advertising while personal influences, perceived risk and product features affected problem recognition. Search on the other hand was influenced by perceived benefits, perceived costs and perceived knowledge and the evaluation of policy alternatives were influenced by the product design and the location of service centres. The decision process was also found to hold in the case of residential property purchases in Australia by Ratchatakulpat (2006). In addition, the importance of structure, size, appearance, maintenance, distance from facilities, standard of area, financial borrowings, legal, psychological and general location were all identified as considerations by buyers specific to Australian property purchase decisions. Also of significance from the findings in the study was the role that the internet is making in the search process. Consumers were found to use the internet for information search across both price and non-price factors to augment their traditional search approaches. This finding has been supported by Luck (2006), particularly for services.

While the decision process appears to operate across industries, does it also hold for the type of distribution method? In a novel study of direct marketing that focused on multi-level marketing of personal cosmetic products in Thailand, Thanathanomkul (2004) revealed that environmental factors did not influence the decision process as had been suggested by the literature. Consumer satisfaction, motivation and demographic factors were all found to affect purchases as expected. The internet provides marketers another distribution method and search and has been found to vary depending on the nature of the product, strength of the company/brand, complexity of the search, but not related to internet experience (Luck 2006). The finding highlights the importance of understanding specific issues affecting consumer purchases by industry for managers. Further, the findings indicate it is worthwhile examining the distribution channel as part of the consumers’ decision process.
While the above studies have examined the process of consumer choice from the point of view of the decision process one study stands out in terms of examining alternative theoretical approaches to indicating consumer purchase. Kanjanakajit (2004), in a study of food safety issues in meat consumption by Australians, evaluated the role of planned behaviour and trust on consumer intention toward meat consumption. The theory of planned behaviour has been found to be a useful predictor of consumers’ intentions (Albarracin, Johnson & Zanna, 2005). The theory is based on the idea that a person’s intentions are based on their attitude toward the behaviour, social norms (what others think of the behaviour) and how confident they are in achieving the intended behaviour (perceived behavioural control). As expected, the theory of planned behaviour was found to indicate purchase intention. In addition, the researcher investigated trust and found that not only did trust provide an indicator of purchase intention but that the model of trust provided a better fit than the theory of perceived behavioural control when predicting consumer intention. While there are acknowledged limitations to the study it provides many opportunities for future researchers to investigate the role of trust in purchase intentions outside the relationship marketing area where trust has traditionally been investigated.

**Innovation and Adoption**

An important aspect of consumer behaviour for marketers is the adoption and diffusion of innovations. For marketers researching and developing new products is one way to remain competitive and ensure long term profits (Johne, 1999). Equally important is the need to understand how consumers adopt new products and tell others about new products (the diffusion process). Only one DBA thesis has undertaken research into this important area by examining consumer innovativeness across three cultures in the Asia Pacific region. More specifically Chesson (2002) examined the impact of value systems on consumer innovativeness mindful of the growing importance of globalisation and found that both personal values and national values have an influence on consumer innovativeness. The researcher recommends managers use values systems to assist in the identification of consumers for innovative products and to assist in target marketing. Three communication themes that can be used by advertisers of innovative products are also suggested. These include ‘openness to change values’, ‘power distance’ and ‘uncertainty avoidance’. The study relied on students as respondents so future research could test the findings in a consumer setting.

**Customer Satisfaction**

A central tenet of consumer repurchase and loyalty is that there is satisfaction with previous purchases. An emphasis by practitioners to have satisfied customers in recent times has focused research on understanding the antecedents and outcomes of satisfied customers. The topic has also attracted attention from DBA researchers at Southern Cross University. In all cases, customer satisfaction has been found to be an important component of consumers’ behaviour. It was found to affect purchase
levels in multi-level marketing (Thanathanomkul, 2004) and online repurchase intentions (Anuntaakarakul, 2007), be related to company/brand strength among consumers intending to make internet purchases (Luck, 2006), repeat business and commitment in the Australian corporate banking market (McHale, 2004) and affects customer perceived value and is the most important factor that leads to relationship development and maintenance in the Indian retail banking industry (Pereira, 2004).

In terms of what factors affected customer satisfaction, DBA researchers have reported service quality influenced customer satisfaction in the mobile phone market of Thailand (Juntrasup, 2003) while for the Malaysian banking industry, factors included the facilities, electronic banking services, branch convenience, product quality, service delivery, perceived value, bank image and cognitive loyalty (Vijayan, 2005). The findings from the DBA research appear consistent with the academic literature, which has identified equity and disconfirmation as the most strongly related factors to customer satisfaction (Szymanski & Henard, 2001).

From a historical perspective, researchers’ interest in customer satisfaction can be traced back to the study of service marketing. With 80% of Australia’s industry involved in service marketing, its interest has also been high among DBA researchers and is discussed in the next section.

**Service Marketing**

Industries such as banking, telecommunications, property development, rail, ecommerce, call centres, retail and life insurance have all been investigated by SCU’s DBA researchers. While these industries have been studied from different perspectives, several researchers have touched on the debate as to how to measure service quality. In particular the question of whether to use Parasuraman et al’s (1988) SERVPERF or Cronin and Taylor’s (1992) SERVQUAL.

Dejnambanchachai (2007) used SERVPERF to measure service quality among rail travelers on the skytrain rail transit service in Bangkok, Thailand, to identify the main service factors influencing service quality of rail services. SERVPERF was found to provide a satisfactory measure of service quality in the research. Suyanto (1999), on the other hand, used a single item to measure service quality among telephone users in Indonesia. Other researchers undertaking qualitative research have also explored service quality. Pereira (2004) used open ended questions in a qualitative study in the banking industry to obtain measures of service quality while Irvine (2002) used a similar approach to investigate communication aspects in the commercial building services industry.

**Advertising and Promotion**

Two studies have looked at specific issues related to advertising and promotion while a number of other theses have evaluated aspects of the internet and have relevance to advertising.
In an early internet-related study, Sangkamanee (2002) undertook eight case studies with Thai e-marketing experts and consultants to examine the nature of internet advertising in Thailand. The study revealed strategies to attract users to websites, to make them stay longer, to purchase online, and to have users return. Benefits and barriers to internet advertising were also identified and discussed. A major contribution of the study was the development of a conceptual framework of internet advertising that could guide future research in internet research.

Also of relevance to advertising are a number of studies based on the use or adoption of the internet. For example, Heiligtag (2006) has reported on the use of the internet for advertising by Australian small and medium-sized enterprises while Luck (2006) and Anuntaakarakul (2007) have examined consumer’s use of the internet in relation to purchase decisions. These latter studies have relevance for web designers and online advertisers.

In relation to the area of promotions, a study examining ways to improve sales force performance in the IT industry that was undertaken by Lyon (2003), compared team-based incentives to individual-based incentives. The research identified that many Australian IT organisations have not accepted the benefits of team-based incentive programs despite existing literature and evidence supporting their use as an intrinsic motivation and as a means of non-financial rewards. Lyon proposed that the individualistic culture inherent in the Australian commercial environment can be attributed to the finding. Future researchers could investigate the use of team-based incentives in other industries.

As a form of promotion, multi-level-marketing (MLM) was investigated by Thanathanomkul (2004) who found that consumer motivation, satisfaction and demographics were significant factors in the use of MLM as a promotion and distribution method.

**Marketing Management**

The area of marketing management overarches the practice of marketing within the organisation—whether it be choosing the target markets, the design of product features and the decisions relating to communication strategies and tactics. It is an area that has not been researched strongly by DBA researchers. The specific areas that have been investigated cover relationship marketing, internal marketing (marketing to staff within the organisation) and distribution channels such as the internet and direct methods to consumers (B2C) or other businesses (B2B).

Distribution channels form an important part of the decision process for the marketer. In recent times supply chain management has become a popular topic with the realisation that the supply chains are an important component of the overall marketing process. Considerations of the use of the internet as a distribution channel, in addition to its use as a communication medium, which has been discussed earlier, has been one area that has been investigated by DBA researchers. For example, Chow (2001) interviewed managers of two businesses, one selling products and the other services over the internet to Hong Kong consumers. She found major differences in the approaches based on the type of product being sold. For products,
fulfilment and logistics, product suitability, price and a clicks-and-mortar presence were important factors. In contrast, for services, real-time updating, community/membership and ‘stickiness’ were important for service providers. For managers, the findings suggest different approaches are required for the design of internet distribution systems.

Chirawatthanangkoon (2005) also examined the use of the internet for business to consumer e-commerce. The study was based in Thailand and focused on e-branding strategies that facilitated successful online businesses. The findings provide marketing managers with useful insights into strategies they can adopt in developing their internet businesses. They include: focusing on customers; designing attractive, user friendly and interesting websites; establishing long-term relationships; high levels of customer service, and using marketing communication tools to attract and maintain customers and to differentiate themselves from competitors. The findings confirmed the importance of branding among Thai internet businesses. Further support for the importance of branding and the operation of branding among retailers has been provided by Quan (2006).

Quan extended the brand equity concept, which has traditionally been based in a consumer context, to a retailer perspective of manufacturers. It was argued that that the relationship between manufacturers and retailers can be viewed as a partnership between retailers and manufacturers and that strong consumer brands also have benefits to retailers. The research was conducted among Vietnamese independent retail grocery operators and soft drink was used as the product category. Three dimensions of brand equity were identified for the retailing context—brand association, brand trust and brand loyalty. Brand association and brand loyalty were positively related to brand performance for the retailer with manufacturing advertising, sales and trade promotions being antecedents of retailer-based brand equity. Also of significance, the study found that there was a difference between the retailer-based brand equity model for local brands compared to international brands. Brand loyalty was found to be the most important factor for local brands while brand association was the most important factor for international brands.

Adopting a branding strategy that focuses on the customer of course reflects a market orientation that has been shown to have a positive impact on an organisation’s performance (Narver & Slater, 1990). Most studies of market orientation have focused on product based companies and to a lesser extent service firms. Hafid (2007) however, examined the concept in a community health care context in Indonesia. The findings confirmed the importance of having the head of the organisation with a market orientation and that a stronger market orientation can be achieved through better reward systems for staff, adopting a more decentralised decision making process and facilitating better internal communication systems within the organisation. The findings show that market orientation can be used beyond commercial companies and have relevance to community health care practices in Indonesia. Future research could explore the market orientation concept in other health care centres in other countries.
Marketing management is also about the management of staff within the organisation. Internal marketing is the process of developing practices that motivates and empowers employees to consistently deliver a satisfying customer experience (Pervaiz & Rafiq, 2002). Kee (2006) and Beng (2006) have both undertaken studies that examine aspects of staff in relation to their performance with customers, or of the performance with the organisation’s marketing. Kee (2006) examined and found a positive relationship between ‘knowing the customer’ or customer relationship management on staff productivity in Singapore call centres. Beng (2006) on the other hand examined the effect of emotional intelligence on customer service delivery in the Malaysian property market. A key finding from the study was that there was a need for the development of emotional intelligence competencies to achieve customer service excellence. This can be done through the inclusion of an emotional intelligence training program as part of a company’s customer service training.

**Research Methodologies Utilised in DBA Studies**

Historically marketing academics have their research roots grounded in the scientific method. By contrast, marketing practitioners have been very supportive of postmodern research methodologies. In fact marketing practitioners are one of the main users of focus groups and given that many marketing research practitioners have been trained in the social sciences then this would explain the general acceptance of postmodernist approaches to research.

In evaluating the DBA research undertaken in the marketing discipline it was surprising to find that only one third of the dissertations were based wholly on qualitative methodologies and these tended to be case studies or in-depth interviews. The remainder were based largely around quantitative studies and there were not many that incorporated focus groups or qualitative studies as such as pilots, before the main study was undertaken.

There may be a several reasons that can explain this phenomenon. It may be that the DBA lends itself to smaller studies that are very focused and based largely on the prior work of other researchers. This is a valid justification for not undertaking more extensive investigation utilising a range of methodological approaches, especially if one is extending research into different industries or across different cultures. A second reason may be that supervisors have particular preferences for particular types of methodologies and ‘steer’ candidates toward particular research methodologies because they can provide them with advice on such approaches.

Potential students need to take care when seeking advice on their methodology and ensure that it is chosen as the most appropriate method to address the research question, rather than selecting the methodology before the research question has been resolved. A further reason for the high reliance on quantitative methodologies could relate to the proportion of ‘consumer’-based studies as opposed to ‘management’-based studies. As outlined earlier, a large proportion of the studies examined issues relating to consumer behaviour and therefore it was necessary for the researchers
to undertake larger field studies of consumers. It is noted that many of the studies investigating marketing management topics did draw on case studies and personal interviews as approaches to data collection.

Worthy of note among a number of the studies was the use of advanced statistical methods such as structural equation modelling (SEM). This finding highlights the fact that students are being introduced to current research methods and approaches to data analysis. What appears as lacking however are a number of other methodologies which have become apparent in leading journals and by practitioners of marketing that rely less on perceptions and more on preferences or actual behaviour. These include both exploratory and confirmatory methodologies and include the use of decision choice models, multidimensional scaling, social network analysis, ethnographies and experimentation. These alternative methodologies provide future researchers opportunities to not only examine their research questions but also to push the boundaries of research methodologies.

**Contribution to Knowledge**

There are a diverse range of topics covered by the marketing DBAs. The researchers have taken marketing research into new countries and tackled topics of relevance to national and local companies providing advice to companies and government as well as making a contribution to academic knowledge.

The unique factor that brings the DBA thesis together in the marketing area is that they have confirmed many of the theories that have been developed, often half a world away. By testing theories that have been reported elsewhere they have examined the extent these theories apply to different cultures and in some cases highlight how similar the process of consumer behaviour and marketing management is in countries of the Asia-Pacific region.

**Future Research Directions**

Marketing is continually evolving and future research opportunities abound in this discipline. Technological changes, our economy, demographic and social changes and our environment all provide researchers of marketing abundant opportunities for their work.

The introduction of the internet and emerging new technologies provide major opportunities for marketers and market researchers alike as consumers and business make adjustments to the new technologies. While the internet is now reaching maturity in most markets, adaptations are still occurring and the impact on consumers and markets is still becoming apparent, providing researchers many opportunities ahead. In different parts of Asia the introduction and adoption of the internet and new technologies is occurring at differing rates, which will impact on markets and consumers—how these changes occur and affect different industries will need to be tracked and monitored.
We are now seeing the effect on our economy from the global financial crisis. Yet the far-reaching effects of the ripples from this crisis are still unknown. The effect on consumer behaviour could lead to new consumer groups, such as ‘frugals’ and have people turn their back on consumerism. Likewise the economic crisis will also affect business’ spending on marketing and influence their marketing strategies. New strategies will need to be developed and evaluated for a more competitive marketplace.

The growing emphasis on community and social issues are impacting on our society. Already many companies have adopted strategies of community support and philanthropy. These decisions are incorporated into marketing strategies and now form part of growing research referred to as social marketing. In addition to investigating the behaviour of private companies social marketing also looks at the way marketing tools can be used by public and not-for-profit organisations for behaviour change (Kotler, Roberto & Lee, 2002). Researchers will find abundant topics for research in this emerging field.

Another emerging area of research of relevance to marketers and public policy makers is the environment. While the focus of much present research has been on marketing green products to the consumer there have been calls for more research to be undertaken on green marketing strategies and other stakeholders in the area of marketing management (Rivera-Camino, 2007). As with the financial crisis, dramatic changes in environmental factors such as storms, fires, and water shortages are all impacting on consumers. These events will impact on the products we consume and how public policy makers should respond. It is hoped that DBA marketing researchers will be able to contribute to finding solutions and being involved in the debates in these areas.

**Conclusion**

In undertaking their studies in the marketing discipline at Southern Cross University DBA researchers have had available to them a strong team of very capable supervisors. Their contribution to this research also needs to be acknowledged as the sounding boards and supporters of the research that has been discussed in this chapter. Those involved include Dr Bob Arnull, Dr Dave Arthur, Dr Lim Cheng Hwa, Dr Carmen Cox, Professor Angele Cavaye, Dr Carmel Herington, Professor Steve Kelly, Dr Don McMurray, Emeritus Professor Geoff Meredith, Associate Professor Peter Miller, Professor Phil Neck, Professor Chad Perry and Dr Jun Xu.

The future for students who want to pursue studies in marketing are no doubt as immense as they will be challenging. Marketing, despite the concerns of some, has a lot to offer business and society and is continuing to develop. Continued research in this discipline is needed to ensure that knowledge is updated and new ideas can emerge that will be of benefit to all.
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Author Profile

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Peter is a Senior Lecturer based at the Lismore campus of Southern Cross University. His background is in marketing management and he has taught undergraduate and postgraduate marketing units as well as supervised DBA, PhD and Masters students. Peter has taught in Singapore, Hong Kong and Shanghai, as well as students from around the world. He has also undertaken an appointment as a Visiting Professor at the University of Lethbridge, Alberta, in Canada.

Peter has published widely in the areas of media consumption, social marketing and technology adoption in tertiary education. His publications have appeared in the International Journal of Public Sector Management, Journal of Rural Studies, Journal of Management Organisation, Contemporary Issues in Business and Government, Journal of Economic and Social Policy and the Australasian Journal of Business and Social Enquiry. He also has an extensive list of publications including book chapters and case studies and has made presentations to national and international conferences.

Peter is also a member of the Australasian Society for Computers in Learning in Tertiary Education, the Australian and New Zealand Academy of Management and the Australian Market and Social Research Society, where he serves on the committee of the Queensland branch. Prior to joining the University, Peter worked in Sydney and London in a number of marketing management positions for local and international companies.
Chapter 13
Doctoral Research in Small Enterprises
Geoffrey Meredith

Overview
The chapter documents doctoral research undertaken by graduates of the Graduate College of Management of Southern Cross University in Australia, as they proceeded to research programs to meet the requirements of the Doctor of Business Administration or Doctor of Philosophy awards. Up to the end of 2008, more than 200 candidates have graduated with a degree of Doctor of Business Administration and a relatively high proportion of these graduates either focused completely on some aspect of small enterprise management or used small enterprises in Asia in their field studies towards the research degree. This is understandable given the significance of small enterprises and the contribution of small enterprises to national economies in Asia. A small enterprise is defined as one owned and controlled by a few entrepreneurs often members of the same family. Small enterprises tend to have a relatively small share of the market but collectively are most significant in their contribution to national growth and development.

The chapter documents the importance of small enterprises and then examines doctoral research outcomes including the characteristics of small enterprises and their owners, various functional areas of management such as finance, marketing, human resource management and systems and factors that influence success in these functional areas. Other research reviews small enterprise growth and development and strategies, management style and success in the small enterprises and finally, small enterprise policies that have been or may be adopted by national governments and organisations to support the growth and development of small enterprise. The chapter ends with a review of future directions of doctoral research on aspects of small enterprise management in Asia.
Introduction

Small enterprises are those that are owned and controlled by one or two people—frequently, members of the same family. These enterprises generally command a relatively small share of the total market in any country and yet dominate enterprises in a country from the point of view of numbers—Table 13.1 below indicates that in general, about 98% of enterprises in most Asian countries are classified as small enterprises. Given this factor alone, it would be expected that doctoral research in business and management in Asia would feature small enterprise operations and management. The purpose of this chapter is therefore to:

• In brief, emphasise the importance of small enterprises in Asia from the point of view of significance and contribution of the group to national economies and development.

• Identify research areas associated with small enterprises that have been a feature of doctoral research output.

• Summarise what doctoral research output has had to say about the characteristics of small enterprises and factors influencing functional management of those enterprises.

• Comment on potential future directions of doctoral research on aspects of small enterprise management in Asia.

The chapter begins by examining characteristics of small enterprises and an overview of the contribution and significance small enterprises in Asia to demonstrate the importance of the group within each nation. The chapter then examines output from doctorate research and what this output has had to say about the characteristics of small enterprises, success in functional management of small enterprises including financial management, human resource management, information systems and marketing, followed by a review of the doctoral research output on small enterprise growth and development strategies and small enterprise policies with the final section of the chapter examining potential future directions of doctoral research for Asian small enterprises.

Significance and Contribution of Small Enterprises in Asia

Universally it is recognised that small enterprises are established by and operated by entrepreneurs—those individuals who identify opportunities in the environment, establish targets and achieve those targets while accepting risks associated with their activities. These entrepreneurs establish their small enterprises in every field of endeavour—retail, service industry, manufacturing as well as agriculture sectors. The extent of small enterprises in selected Asian countries are illustrated in Table 13.1 below, which indicates an estimate of non-agricultural enterprises as well as the percentage that these small enterprises represent of all enterprises in the 1990s.
Table 13.1: Non-agricultural SMEs in Some Asian nations

<table>
<thead>
<tr>
<th>Country</th>
<th>No. of SMEs 2002</th>
<th>SMEs as % all enterprises (1990s)</th>
</tr>
</thead>
<tbody>
<tr>
<td>China</td>
<td>8000000</td>
<td>99</td>
</tr>
<tr>
<td>H.K. China</td>
<td>292000</td>
<td>98</td>
</tr>
<tr>
<td>Indonesia</td>
<td>17000000</td>
<td>98</td>
</tr>
<tr>
<td>Japan</td>
<td>6200000</td>
<td>99</td>
</tr>
<tr>
<td>Sth Korea</td>
<td>2700000</td>
<td>99</td>
</tr>
<tr>
<td>Philippines</td>
<td>8200000</td>
<td>99</td>
</tr>
<tr>
<td>Singapore</td>
<td>54000</td>
<td>91</td>
</tr>
<tr>
<td>Thailand</td>
<td>3500000</td>
<td>96</td>
</tr>
</tbody>
</table>

Source: APEC (2003) and national data

There exists universal recognition also of the significant contribution small enterprises make to national economies. For example:

- Enterprises contribute heavily to total employment in any nation—frequently representing more than 50% of total employed.
- Total output is also a feature of small enterprises—it is not unusual for more than 50% of a nation’s output to originate from small enterprises.
- Exports are also a significant contribution by small enterprises whether in the manufacturing, service or agricultural sectors.
- An important social contribution of small enterprises is the range of products and services directly available to the consuming public—in many countries, consumers rely on the output of small enterprises for the maintenance of standards of living.
- Small enterprises also produce specialist services and specialist products often in a more efficient manner than would be feasible by large enterprises.
- Contributions to the support of large firms come from small enterprises with services and products required by those large enterprises in their production processes. Thus in many countries producing automobiles for example, hundreds of small enterprises contribute by way of services and parts to the production process.
- Small enterprises also have a role in becoming distribution outlets for large firms—whether those firms are producing high technology or consumer products, frequently small enterprises are associated with the distribution process to eventual consumers.
- There is general recognition that small enterprises represent a breeding ground for new business ventures often leading to large enterprises and high technology enterprises.
• Competition in most nations or economies is created by the multitude of small enterprises providing services and products.
• Finally, it can be argued that small enterprises create independent, innovative and entrepreneurial talents.

With this brief overview, it is self evident that governments in Asian countries respect and recognise the important role of small enterprises and their managers and owners to national economies. It is to be expected therefore that research in business and management in Asia would feature some aspect of small enterprise management.

**Southern Cross University Expertise in and Experience with Small Enterprise Management and Development**

While the potential for doctoral research in small enterprises management existed based on the Asian environment and structure of the business sector in each country, this in itself would not necessarily produce doctoral research examining aspects of small enterprises management. Potential existed for research into characteristics of Asian small enterprises and their owners and managers as well as factors influencing functional management success, and factors influencing growth and development as well as government policies for small enterprises growth and development.

From the early days of the institution that became Southern Cross University (see Chapter 1), staff who have been attracted to the campus were interested in small enterprise management and undergraduate and graduate courses developed and introduced that attracted candidates from Australia and overseas. The early days of small enterprises programs at the undergraduate level extended to graduate level within the Master of Business Administration Program thus the environment and culture was established leading to development of research interests as well as teaching interests in aspects of small enterprise management.

• Staff experienced in small enterprise management were attracted to the Graduate College of Management and its MBA Program.
• Research funds were successfully sought to support research programs in a number of areas of small enterprise management in Australia.
• Links with international agencies reinforced the development of small enterprise policies within the Campus of Southern Cross University.
• Graduate staff had links with Asian countries and their interest in and commitment to small enterprise management and development directed attention to Southern Cross University by Asian graduates wishing to complete a doctoral program.
• Linkages with international funding agencies interested in small enterprise development meant that fellowships and scholarships were granted to graduate students to complete doctoral programs with an emphasis on small enterprise management and policy.
• Several research centres within Southern Cross University were established with a focus on small enterprise management and policy—attracting interest internationally and in particular from Asia.

Thus in the process of time potential doctoral candidates were attracted to the Southern Cross University Campus, and as they completed their field work with data from their own countries, this increased the awareness of Southern Cross University as a key centre in small enterprise research. It is therefore to be expected that of more than 200 doctoral graduates in business and management up to year 2008, a high proportion of the research focused on small enterprise management or small enterprise policy.

**Doctoral Research Outcomes—Characteristics of Small Enterprises and their Owners/managers**

Any research examining aspects of small enterprise management performance would to some extent touch on characteristics of those enterprises and perhaps characteristics of owners and managers. A selection of research outcomes through DBA theses are reviewed to reveal what characteristics of enterprises and managers arose from past research at the doctoral level in Asia. In each case, the researcher, the title of the doctoral theses and comments on outcomes relevant to small enterprise characteristics, are summarised.

The study of small enterprises in Indonesia by Dr James Adam in 2002 resulted in the doctoral thesis, *Migrant and Local Entrepreneurial Business Networks*. The objective of the research was to examine factors influencing migrant and local entrepreneurial business networks in Indonesia. These factors included a range of influences, but the key as far as this chapter is concerned, is that one factor represented entrepreneurial personal characteristics as well as some characteristics of the enterprise itself such as support networks, business focus and market accessibility.

Chapter 3 of the thesis presented a literature review that drew on literature over several decades on personal characteristics of small enterprise owners, including self confidence, initiative taking, acceptance of responsibility, resourcefulness, innovation and creativity, initiative taking independence, leadership, need for achievement, desire for responsibility, preference for moderate risk, stimulation by feedback, future orientation, skills in organising, and positive attitudes towards money and funding. Chapter 3 of the thesis also identified some characteristics of enterprises including marketing accessibility, capital accessibility, the importance of business focus and the influence of economic conditions on business success.

The conceptual model developed for the research stated that entrepreneurial personal characteristics and initiatives as well as key enterprise characteristics had a significant impact on entrepreneurial business networking influencing enterprise success and joint venture success. To test these concepts, a survey of some 300 entrepreneurs in one Indonesian Province was included in a survey. The outcome of this survey was to demonstrate that personal characteristics and initiatives taken by
entrepreneurs were significant in influencing success as were also such characteristics of enterprises as market accessibility and capital accessibility. The outcome of the research was significant in terms of government policy and local attitudes towards joint ventures associated with migrant and local entrepreneurs.

In 2005, Dr Tan Mak Koon Maurice completed research in Singapore in a service industry involving small enterprises and their staff in the food and beverage industry. His thesis, Measuring Service Quality Performance in the Food and Beverage Industry, examined characteristics of small enterprises as restaurants in their performance and also the attitude of staff serving customers in those restaurants. The qualities examined in the research included tangibility, reliability, responsiveness, assurance and empathy—the characteristics were measured based on responses to a survey of customers as well as a survey of management and staff. Output compared these five characteristics for dimensions of service in terms of importance as ranked by customers, by management, and by other staff within restaurants. The study used an instrument referred to as a SERVQUAL model, and applied this to the food and beverage Industry to determine the quality of service, in particular, attitudes of customers and staff to service quality. Thus, the research demonstrated many characteristics of successful enterprises in the food and beverage Industry in Asia. The research had obvious implications for the industry, for government, for training institutions associated with the food and beverage Industry and for potential entrepreneurs. The research concluded with a conceptual model for improving service performance in the food and beverage Industry covering planning, implementation, control leading to improvement in performance.

A research study in Thailand examined factors influencing consumer purchase of service products and although the research focused on consumers, the study also examined the qualities and characteristics of enterprises providing services to consumers. Dr Kanchana Sukanthasirikul, in her thesis Factors Influencing Consumer Purchase of Service Products, examined factors based on a literature review from which was developed a theoretical framework leading to the establishment of research problems and questions. The framework and the problem and questions were then evaluated with a survey of consumers and their approach to enterprises offering insurance policies in Thailand. The study therefore examined in detail what is regarded as a service industry, the products available from service industries, and how owners of those enterprises offering products marketed and delivered their products to potential consumers.

Thus, the study touched on characteristics of enterprise owners and the characteristics of service enterprises in Thailand. The study produced a number of recommendations including implications for government in its dealing with enterprises in the service industry, implications for Service Industry enterprises and the organisations controlling those enterprises, as well as implications for consumers and future academic research. The doctoral study therefore provides a very useful summary of the sector enterprises that operate as small enterprises in Asia.
A different subset of small enterprise and their owners was examined in doctoral research by Dr Supramaniam in Malaysia. As the research points out with documented evidence from Malaysia, SMEs form the backbone of the Malaysian manufacturing sector in terms of number of establishments as well as number of employees. The study examined a problem in Malaysia whereby manufacturing SMEs could be seen as meeting the demands of a local consumer group as well as the needs of larger manufacturing enterprises in the country however, as the researcher points out, frequently large Malaysian manufacturers gain supplies from overseas because of the low quality achievement of local SMEs.

The study therefore looked at the mindset of small enterprise owners who could meet quality standards and also examined the actual practices that successful SMEs possessed and implemented in meeting the quality demands of large manufacturers. The research problem was therefore to examine the most appropriate quality model that could be used by SMEs in Malaysia in the manufacturing sector in order to meet the demands of quality of large manufacturing customers and large manufacturers on a global basis. The study therefore looked at attitudes of owners, approaches taken by SME owners to change current practices to meet quality demands, the role of government in this exercise, and attempted to measure the level of quality practices of successful SMEs. In Chapter 2, the researcher examined SMEs in Malaysia with comments on attitudes, initiatives and structures and then when on to relate the development of quality management models to the needs of SMEs attempting to meet the requirements of customers. A conceptual theoretical framework was developed meeting acceptable global standards of quality management and modifying these to meet the needs of SMEs. The outcome of the research was to provide answers to four research questions listed, to produce specific recommendations on the development of quality standards and the researcher also suggested further research to extend the research in particular to major Malaysian ethnic groups—Bumiputras and Chinese/Indians.

The above four examples of doctoral research represent no more than a sample of research studies looking at the characteristics of enterprises and their owners/managers. In reality, every research study into aspects of SMEs, touches on the importance of SMEs in the Asian country, the characteristics of the SMEs and some aspects of SME owner/manager characteristics.

**Doctoral Research Outcomes—Factors Influencing Growth and Development of SMEs**

Many doctoral studies in Asia have touched on questions of SME growth and development including factors influencing such growth and development and how governments and industry organisations can assist such development. It is generally expected that as studies examined this area, characteristics of enterprises and characteristics of owner/managers would feature in the studies and therefore, some overlap exists between the doctoral outcomes examined below and outcomes illustrated from theses in the previous section.
In Malaysia, Dr Kanapathi focused on growth and development of SME manufacturers in an area around Penang, with a thesis entitled A Model for SMI Transition to Growth. The purpose of the research was to understand the characteristics and capability of entrepreneurs and the transformation process necessary to ensure growth of SMEs in Malaysia. The study was designed with the usual structure for doctoral research—an examination of the theory leading to a series of six research questions to be examined as a result of case studies of eight SMEs. The research questions examined:

- Leadership characteristics and mindset leading to transition of SMEs to growth stages.
- Entrepreneurial attributes and capabilities to transition to growth.
- Process, methodology and culture of SMEs that is necessary to transition the growth.
- Day to day managerial capabilities necessary in managing SME transition to growth.
- Impact that the environment of SMEs have on entrepreneurial characteristics in transition to growth.
- Key success factors for SMEs to pursue global competitiveness.

The research output provided a theoretical background including characteristics of entrepreneurs with vision and success in strategic planning and capabilities of entrepreneurs to manage change with a detailed review of a management transformation process for growth and competitiveness. Data was collected from eight case studies of SMEs in Malaysia assisted by a questionnaire that was meant to identify successful entrepreneurial attributes, capabilities and the process in achieving growth. Criteria built into the questionnaire included characteristics of an entrepreneur's personality, experience, capabilities, management practices, products, target markets, financial considerations and potential environmental threats. The literature review produced a conceptual framework identifying processes whereby SMEs transit to growth from a start up position, with a second outline identifying factors contributing to transit to growth. These factors included entrepreneurial attributes, leadership mindset, managerial capabilities, operational processes, and moderating factors including market characteristics and management qualities.

The study provided answers to the six research questions and presented sound recommendations for consideration by individual entrepreneurs, industry associations and government.

A further research study in Malaysia undertook a review of a service industry—ie engineering services. The study looked at the question of globalisation of engineering services by local as well as international engineering firms in Malaysia. The author, Dr Hamdan Bin Mohd Salleh, in his thesis, Globalisation of Engineering Services: Challenges for Malaysian Consulting Firms, undertook a literature review to identify components of developing a competitive attitude by owners and managers and from
a theoretical framework, identified a research problem and research questions. The research problem was to examine the competitiveness of Malaysian engineering consulting firms confronting globalisation of services through a growth process.

From this and the framework, the researcher developed three research questions: looking at the level of competitiveness, factors affecting competitiveness and changes expected within the service firms due to globalisation. To test the model, the researcher prepared a questionnaire and distributed this to registered members of Consulting Engineers in Malaysia. Feedback from the questionnaires formed the basis for a review of the research problem and research question. The study examined in detail, leadership, networking, competencies associated with skills and knowledge in examining the concept of competitiveness. This provided interesting insights into characteristics of small consulting firms and the approach taken by owners and managers of those firms. The research argued that influencing factors on this question of competitiveness, included competency, customer focus, leadership, networking and the impact of government regulations.

At some stage in their career development, entrepreneurs make a decision to establish or start up a new enterprise. A doctoral research study that examined the characteristics of small enterprises who intended to start up a new enterprise was undertaken by Doctor Koh Yang Fatt and the research produced a thesis, Determinants of Small Business Startup Intention in 2005. Research was undertaken in Singapore and Dr Koh used a group of students within a college of business and management from the People’s Republic of China as his field study. The research commenced with a statement of a problem: to identify factors that influence the decision leading to small business startup potential by international student entrepreneurs. A literature review was undertaken and six dependent variables identified as having direct impact on the ability and willingness to start up a new enterprise, referred to by the researcher as entrepreneurial capacity and entrepreneurial cognition. The six variables were: gender, family background, geocluster, entrepreneur status, education, and work experience. From this initial review, the researcher developed a model that was referred to as ‘entrepreneurial capital’, being made up of two components—social capital and human capital. The human capital included education and work experience while the social capital covered gender, family background, geocluster and entrepreneurial status.

The researcher saw entrepreneurial capacity as representing five fundamental management competencies: vision, strategic planning, leadership and associated communications with people, operations, resources, and strategies. Entrepreneurial cognition refers to what entrepreneurs use in making assessments, judgments and decisions and involves opportunity evaluations, venture creation and hopefully venture growth. The research model indicated that the researcher intended to measure linkages between social and human capital, entrepreneurial capacity and cognition and the final startup intention with additional influence from enterprise education.

The researcher evaluated the model with data from a group of international students and based on the data analysis, the research model was modified to strengthen key
aspects of social and human capital in the influence on entrepreneurial capacity and cognition and hence small business intention. Highlights of the outcome were:

• The main path of small enterprise startup intention became social capital influencing entrepreneurial cognition and hence small enterprise startup intentions with a major emphasis placed on the first two components being social capital and entrepreneurial cognition.

• Entrepreneurial capital and entrepreneurial education are seen as the foundations supporting entrepreneurial capacity / cognition in starting new ventures.

• Entrepreneurial cognition is the most important concept for business startup intentions.

• A high proportion of female students indicated that they intended to start up a new enterprise within five years and the influence of parents on students was focused on male rather than female students.

The study concluded with implications in terms of development of economies, career choice for potential entrepreneurs, education and educational institutions, and the importance of social capital in the business startup decisions. Hence, there were implications for industry, government, tertiary institutions, as well as individual entrepreneurs.

A final example of doctoral research focusing on future strategies, growth and development, is research undertaken and completed by Doctor Augusty Ferdinand in 1999. The research produced a thesis, Strategic Pathways Toward Sustainable Competitive Advantage.

Data for the field study were selected in Indonesia—the researcher prepared a questionnaire based on the research problem ‘What are the strategic routes towards sustainable competitive advantage?’ and from the theory, the questionnaire was developed to evaluate a research model and a census technique for collecting data was employed involving over 500 financial institutions in Central Java, Indonesia. Questionnaires were sent to senior managers of each institution and over 200 completed questionnaires were available to the researcher to analyse data and test his research model. From the literature, many variables were identified that produced enterprise strategic instruments including specific resources of the enterprise, specific organisational capacities, environmental strategic factors and competitive market orientation. These in total identified whether the enterprise had a specific advantage in the marketplace, which in turn affected company performance and hence sustainable competitive advantage.

The outcome of the research led to support for a number of hypotheses, and this support can be stated as follows:

1. An enterprise will strive for a stronger place in its differential position by effectively employing its resources and capabilities—specific resources and specific organisational capabilities.
2. In a competitive market, an enterprise will strive to balance the external and internal factors to sustain its performance by taking into consideration environmental pressures and supports and directing attention to the customer instead of competitor in a strategy formulation process.

3. An enterprise strategic objective can be stated as to generate a long term viable position through enhancing enterprise specific advantage, improving its marketing activity base performance, and enhancing the sustainability of competitive advantage.

4. The researcher concluded with a statement on implications of the research for managers, organisations, government and teaching institutions and finally recommended further research to strengthen the outcome of the study.

The four examples of DBA research quoted above do no more than illustrate the number of research programs that focused on small enterprises, growth and development factors in Asia.

**Doctoral Research Outcomes—Management Style and Success**

In examining characteristics of small enterprise owners, researchers generally touched on questions of management style and factors that influence success of managers. In this section, some examples of other DBA theses that focused on various aspects of management style and management success are reviewed to illustrate areas of small enterprise research based on DBA theses from Southern Cross University.

Doctor Chan Sek Foo looked at questions of leadership within small clothing enterprises in Hong Kong in 2001. The examination of leadership was linked to quality management and the impact on employee satisfaction. The objectives of the research study were:

1. To investigate leadership behaviour at different levels of an enterprise within the Hong Kong clothing industry.

2. To investigate the effect of a range of leadership on quality management practices.

3. To investigate the effect of quality management practices on performance and employee satisfaction.

4. To investigate the effect of a range of leadership practices on employee satisfaction.

As for other studies looking at aspects of small enterprise the researcher presented an evolution of the Hong Kong textile industry over a number of years and its performance in terms of output, exports, number of establishments and employment. Within the industry in Hong Kong, the researcher carried out data collection through surveys and also multiple case studies. The survey was adapted from an instrument used to identify leadership styles at various levels of management within
enterprises. The survey was supported by case studies resulting from interviews with four entrepreneurial owners within Hong Kong. The research outlined and supported the methodology developed for the research—both survey and case method.

In Chapter 1, the researcher defined leadership as an individual’s personality, character, competence and approach in managing issues, problems and decisions relating to particular tasks. Transformation leadership is seen to have four qualities—idealised influence, intellectual stimulation, inspirational motivation and individualised consideration. These are the factors the researcher examined in his study within the Hong Kong clothing industry.

Based on an analysis of data from the survey and case study interviews, the researcher concluded:

1. Leaders exhibit more transformational leadership when they are at senior positions of an enterprise rather than at a secondary or lower level. At this senior level, leaders display intellectual stimulation, and significant idealise influences.

2. Leaders at a manager (lower level than senior positions in the enterprise) exhibit more transactional leadership than at other levels.

3. Leaders in organisations that implement quality management practices tend to be transformational in their leadership styles.

4. Concepts of management by exception and laissez-faire leadership are seen as undesirable.

5. The impact of a range of leadership on performance improvement and employee satisfaction is not consistent.

6. In quality management implementation, quality awareness and in-house practices stand out to be more conspicuous to performance improvements and employee satisfaction than other elements.

The researcher concluded by looking at the implications of the study for various groups within Hong Kong and suggested further research in the general area of leadership.

A study that examined the broad area of human resource development and policy associated with that development was undertaken by Doctor A Selvanathan in 1999 using the electronics industry of Malaysia as a basis for a field study review of his theoretical framework. Dr Selvanathan's thesis, Enhancing Technological Capabilities in the Malaysian Indigenous Electronics Industry, had as its research problem ‘How can human resource development policy approaches contribute to enhancing technological capabilities in the electronics industry for sustainable competitive advantage?’, with a series of research questions reviewing appropriate national technology policy, appropriate approaches at the enterprise level for successful technology fellowship strategies, responses of employees to national incentive schemes in human research development, ways to strengthen vocational and educational systems to increase fuels and finally, and measures required to increase total productivity in the electronics industry.
Technology in the research was defined as accumulated knowledge required for better manufacturing of final products for processing of immediate inputs while human resource development was defined as the planned continuous effort by management to improve employee competency levels and organisational performance through training, education and development programs.

Research methodology involved the use of focus group meetings to collect sensitive information in the electronics industry in Malaysia and in depth case studies, which allowed careful examination of complex situations within the industry.

The thesis placed emphasis on national technology policy for Malaysia, enterprise technology strategies that could be adopted by entrepreneurs, approaches to the development of technological capabilities including attention to skilled labour supply and productivity and examination of factors that provide global competitive advantages to enterprises in the electronic industry that adopt and apply appropriate technologies. Looking at management styles and success of management, five research propositions were examined covering national technology policy, enterprise technology strategies, enterprise training, vocational and educational training, and global comparative advantages. From the data collected through focus groups and case studies, conclusions were reached on each of these research propositions, and implications for Malaysia—particularly in terms of policy in the Government and private sectors, were elaborated.

From Vietnam, Doctor Dang Ngoc Dai examined information gathering and use of information by small enterprise owners in Vietnam and in the process, commented on management style and enterprise success or at least the implications for these areas. The thesis, Business Environmental Scanning Practices and SME Performance, was submitted in 2001 and the researcher examined various types of information collected by entrepreneurs, method of collection, and use of information in business decision making. Thus, the thesis provided some insight into management styles linked to information and enterprise success. For purposes of the research, business environmental scanning was defined as gathering and using information about events, trends and changes in an enterprise’s external environment, the knowledge of which assists owners and managers in enterprise decisions. The need to find and collect such external information is a reflection of the attitudes of owners and managers and hence this area of small enterprise research is relevant in looking at management styles and success in Asia. This thesis and its research outcomes is referred to also in the following section dealing with functional and technical procedures adopted by owners and managers of small enterprises in Asia.

**Doctoral Research Outcomes—Management Techniques and Procedures**

A significant contribution to research on SMEs is any examination and review of management practices adopted by entrepreneurs as they negotiate competitive environments. Strategies may include financial management strategies, strategies associated with marketing, human resource development, systems development,
exporting or importing strategies or the equivalent. Given the commonality of financial management within all SMEs, it is to be expected that a number of doctoral studies may focus on this area and two examples are reviewed below, from Vietnam and Indonesia. Comment has already been made on SME use of information (the thesis by Doctor Dang).

In 2001, Doctor Kieu Minh Nguyen submitted a thesis: Financial Management and Profitability of Small and Medium Enterprises—Data Collected from Small Enterprise Owners in Vietnam. The objectives of the research were to investigate and describe features of financial management practices and financial characteristics of SMEs in Vietnam, to develop and test a model of SME profitability, and to contribute knowledge of the relationship between financial management and characteristics to improve SME profitability by using tools of efficient financial management. As for other research theses on aspects of SME, the thesis provided background to SMEs in Vietnam including finance, use of finance and financial management techniques adopted by managers.

In looking at financial management practices, the researcher examined information systems, financial reporting, financial analysis, working capital management, fixed asset management and capital structure management. The thesis developed from theory, a model showing leakages between financial management practices, efficient financial management and financial characteristics and the product of management, small enterprise profitability. This profitability was measured in terms of profit return on sales, profit return on assets and on equity. Financial characteristics were measured in terms of liquidity and financial leverage ratios as well as activity ratios.

The researcher developed a sample for a survey based on the documented number of SMEs in Vietnam, providing a sample of 160 enterprises, and data from these enterprises were used to test the relationships between financial management practices and characteristics and SME profitability.

As for other DBA research theses, the study concluded with an examination of implications for enterprise owners, Governments, those responsible for training and guiding small enterprises in Vietnam. Some suggestions for further research were presented.

A further study on aspects of financial management of small enterprises was produced by Doctor Herman Hermanto in 1999: Financial Characteristics of Performance of Small Enterprises. This study was undertaken in Indonesia and the research problem addressed was to determine whether financial structures and financial performance of small enterprises, with cooperatives and non-cooperative structures, differ and explain any differences identified. The study was restricted in terms of data collection, to small enterprises that operated in one province of Indonesia and to those cooperatives selling products for services to members in the province.

In this study, a cooperative was defined as a business enterprise with members that include individuals or legal entities and one that operates its activities based on cooperative principals as defined within Indonesia. A theoretical framework
was developed indicating that financial characteristics and performance and also cooperative structure were likely to be affected by financial skills of the enterprise owner and manager, various financial institutions in the marketplace, and the environment—economic, legal and fiscal. Field data was collected from about 160 cooperatives and some 70 non-cooperative enterprises in the province with a final total of some 130 usable bits of data. This data was used to calculate various measures of financial performance and tests were made to examine the relationship between factors in the research model. As an overall conclusion, the study demonstrated that there were significant differences in financial characteristics and performances of small enterprises structured either as cooperatives or non-cooperators. The researcher examined the implications of these outcomes, and suggested further research.

The outcomes of research by Doctor Dang have already been referred to in this chapter. Doctor Dang was looking at the question of business environmental scanning practices and the relationship between these practices and SME performance with data from Vietnam. Business environmental scanning was defined as a gathering and using information about events, trends and changes in an enterprise outside or external environment, the knowledge of which presumably assists owners and managers in business decisions. The outcome of this research summarised types of information collected by entrepreneurs, sources of this information, sources used to collect each type of information, methods of information collecting, and usage of information in decision making. As such, the study made a contribution to literature and the author raised a number of implications and suggested further research to expand the knowledge of information usage by SME owners and managers.

**Doctoral Research Outcomes—SME Policy**

As previously noted, the majority, if not all, doctoral theses examining aspects of SME organisation and activities, tend to comment on policy particularly in terms of the outcomes of the research. However, some DBA theses focused heavily on policy at national and enterprise levels. An example of this is a research by Doctor Scivanathan and his thesis: Enhancing Technological Capabilities in the Malaysian Indigenous Electronics Industry. Given the direction of Doctor Scivanathan's research, he devoted a chapter to significant research issues linked to national technology policy, corporate technology strategies and developing technological capabilities all leading to global competitive advantages. At the national level, the researcher looked at the evolution of technology policy, apparent directions of policy in Malaysia at the time of the research, and the impact of institutional structure incentives and funds linked to policies and then presented a review of adequacy of government measures.

This was followed by a section focusing on internal or enterprise technology strategies with an emphasis on key variables involved in such strategies. This too concluded with a critical appraisal of enterprise strategies linked to national policies in Malaysia.
Whether the SME research focused on management practices, factors influencing growth and development, characteristics of enterprises and owners or style and success of managers, researchers invariably found that there were significant areas of policy important from the point of view of national strategies and individual enterprise strategies. This is to be expected and applauded.

**Summary**

A major objective of this chapter was to illustrate examples of doctoral research undertaken by candidates supervised by Southern Cross University in the field of business and management but with particular reference to small and medium enterprises. It can be argued that SMEs are of such significance in Asia that inevitability many doctoral studies would either examine aspects of SME management or at least use SMEs in the data collection process to evaluate concepts developed in theoretical frameworks.

The chapter also emphasised the key role of staff attached to the Graduate College of Management at SCU in initiating research into SME activity and supervising that research. The fact that more than 250 doctoral theses (DBA and PhD) have been produced, including a significant proportion focusing on aspects of SME management, supports the role of Southern Cross University staff in this field.

The chapter then proceeded to illustrate with examples, research into various aspects of SME management—characteristics of SMEs and their managers and staff, growth and development of SMEs, management practices and techniques adopted to develop enterprise success, SME policy and management style and enterprise success.

Achievements as at 2008 do not suggest that SCU can be complacent; rather it is more important to identify gaps in SME activities that still remain to be examined through doctoral research. These include performance of various groups of SMEs—it is a fallacy to assume that ‘SMEs’ represent one group of enterprises—rather within definitions adopted by most Asian countries, there are many sub groups that have yet to be examined at this level of research. In addition, little to date has been achieved in examining different performance levels or different characteristics of SMEs in different industry groups—service, retail, manufacturing, agriculture as well as sub-sections of each of these fields.

By definition, SMEs are defined as those managed by individuals who do not have expertise in all areas of management and who therefore rely on advice externally by way of consultants or professionals or government personnel dedicated to this activity. Little research has been undertaken in terms of the success of such advice, the format of the advice and the outcome of advice. While there have been some doctoral dissertations or theses looking at the impact of education and training on small enterprise performance, the outcomes are not finalised and more research needs to be undertaken in terms of type of education and training, quality of education and training and the best mix of education and training to ensure enterprise success.
Finally, it can be said that comparative studies between nations within Asia is a completely new field worthy of consideration by future doctoral candidates. What would be the outcome for example, of comparing the performance of a group of SMEs in Indonesia with a common or like group in Malaysia or Thailand or Mainland China or some other Asian nation? It may be that such studies identify comparative advantages of SMEs in particular industries in particular countries and this is a future area for doctoral research.
References


PART 3

ISSUES AND STRATEGIES IN FUTURE DOCTORAL RESEARCH
Chapter 14
The Implications of Globalisation for the Management and Business Research Environment

Teresa Marchant

Overview
This chapter starts from the general thrust for more institutions in more countries to establish research environments, progresses through emerging research situations in Asia and then goes on to specific skills and learning needed to develop research and promote publication, particularly amongst doctoral students who are the academics of the future. New and emerging situations of interest include non-traditional institutions in some Western nations whose governments are demanding more and higher quality research, and Asian institutions considering a research culture and focus for the first time. The implications of globalisation are profound for established and developing research universities. In the UK and Australia, universities have been subject to government imposed performativity requirements, which work against academic freedom and long term research creativity. Some universities in Asia are being subject to similar pressures to ‘publish or perish’ for the first time. These institutions and their governments have the opportunity to learn from and avoid Western systems and embrace academic rather than managerial values for promoting a research environment. Also, as Asian and other nations increasingly engage in cross-national research, they are challenged to move beyond simplistic comparisons or replication studies. The West needs to acknowledge that existing management theory may not transpose directly to other contexts, whilst Asian researchers need to be more confident that their ‘native’ knowledge can add to management research and practice in its own right. At the micro-level, staff who have been teaching-focused, and neophyte academics in the form of doctoral students, are required to have at least four sets of complex discursive skills to succeed in publication, the hallmark of research success. Yet developing these skills is difficult for some, and there are other pressures and challenges to research and publication that must also be overcome.
Introduction

Academics now work in a ‘knowledge competitive global environment’ (Hazelkorn, 2004, pp120–121). This chapter explores some implications of this globalisation. The chapter has three main topics that together address selected aspects of the macro and micro research environment in an increasingly globalised world, with particular reference to Asia. Government efforts in the UK and Australia to create or enhance the research environment are critiqued, with discussion of lessons learned and negative consequences that emerging research universities (for example in Asia) may choose to avoid. Alternatives based on academic rather than managerial values are provided. The chapter then turns to a brief review of the literature on selected aspects of the research environment in Asia. This is followed by a summary of lessons learned and guidelines for those interested in enhancing research in and about Asia. These conceptual points are followed by fundamentals of good practice in creating a cross-national research environment. Given that publication is the hallmark of productive and effective research, encouraging academic staff and doctoral students to publish is vital, and forms the final part of the chapter.

There is some debate in the literature about what constitutes research, but the essential core of this activity is creating new knowledge, by analysing the latest in scholarly literature, empirical and other forms of information gathering and analysis, relating this information to the existing body of knowledge and submitting work to scholarly colleagues’ scrutiny through conference presentations and publication (Shamai & Kfir, 2002). Not all universities and their staff engage in research as defined here, but this chapter is concerned with those who wish to progress in this essential academic endeavour.

The Macro Research Environment—
Organisation Structure and Culture

The literature identifies many factors conducive to an effective research environment, including the right organisation culture and structure, human resource management policies and general management and leadership. Other known factors include:

• clear goals for coordination
• research emphasis
• distinctive culture
• positive group climate
• decentralised organisation structure
• participative governance—institutional management that allows the academic community to have extensive control over academic regulations and programs
• frequent communication
• academic freedom where staff and students can pursue knowledge where it leads
• academics can publish their work without fear of sanction
• human resource policies—top quality academic research staff with secure jobs and favourable working conditions
• appropriate rewards
• recruitment emphasis on research
• internal (non competitive) research funding
• relief from workloads to leave time for research
• mentoring new staff
• research seminars and training in research methods, including how to write for publication
• Leadership with both research and management skills.


By examining the factors, certain barriers to creating a research environment in some universities can be identified. Barriers for newer universities to enter the global knowledge community include that they:
• are not resourced for research
• do not have the institutional infrastructure and support for research
• have staff without research postgraduate qualifications who were originally hired only to teach
• suffer teaching workloads that are higher than traditional research institutions
• offer courses that are innovative and vocationally orientated but that have no research history
• operate as a business in the case of private institutions so may not value research
(Hazelkorn, 2004; Meredith, 2009, pers comm).

Starting with the macro perspective, creating a research environment requires attention to structure, culture and specific programs and actions. Promoting research through effective structuring has been discussed at length in Shamai and Kfir (2002), who found a range of organisation configurations varying in the degree of centralisation and the number of research-active staff. Generally speaking the preferred structure was multi-core, where several collaborative, research intensive groups existed across the university.

Turning next to culture, it can be defined as a system of shared beliefs and values in an organisation (university wide) or sub-unit (academic school or faculty). The shared beliefs and values guide members’ behaviour (Wood et al, 2004). In the academic context this can be translated to ‘beliefs, rituals and values underpinning the pursuit of scientific capital’ (Deem & Lucas, 2007, p125). For a true research culture to exist, most or all staff should agree that research is valuable and engage
in research. Research cultures can be emerging, established or embedded, reflecting stages over a period of development (Ebbutt, 2002). The chapter turns next to the impact of government quality agendas that have attempted to impose a certain type of research culture.

**Bean Counting, Managerialism and Performative Culture**

It seems with the ‘quality’ drive of the UK and Australian governments over recent years one of the main structural responses from universities has been to create (or expand) the Research Office, which is now ‘ubiquitous’. By virtue of the necessity to report performance data to governments, centralised structures have ensued. Led by a senior academic the role of the Research Office is usually to create a research strategy and focus resources in schools or disciplines most likely to ‘succeed’ on government criteria (Hazelkorn, 2004, p128). Can such high-level, centralised structures achieve much more than compliance with government regulations and requirements? The UK Research Assessment Exercise (RAE) (2009) found pockets of excellence outside designated centres of concentration. Nonetheless centralisation appears to be a common institutional response to the need to create or enhance the research environment. This bureaucratic structure contradicts the notion of organisation culture as shared values and beliefs. A government-imposed measurement and assessment regime does not necessarily lead to shared values or appropriate, research-conducive values. Indeed, whether these exercises increase quality is itself contested. For example, Hodder and Hodder (2010) found that the Performance-Based Research Fund (PBRF) in New Zealand lead to an increase in quantity of publications but these tended to be in lower ranked journals.

Government quality frameworks shift power from the academic community to government, with business-like systems for accountability, efficiency and quality (Yokoyama, 2006), in an ‘audit-led’ environment that leaves little room for developing long-term research (Elliot et al 2002, p326). Policy is formulated in a top-down manner and resources redistributed to suit new research strategies and cost effectiveness imperatives. This translates into managerialism in academic departments; with management and monitoring of funding from grants, publications, and research training in terms of the number of doctoral graduates; to improve quality ratings (Yokoyama, 2006, pp313, 314). This quality focus is evident in the UK and Australia. It values certain actions on the part of researchers that can be (easily) measured including the number, size and type of competitive research funding grants, number of publications in ranked or rated journals, number of research students completing and discipline assessment-panel ratings. In fact, the UK is introducing a new framework in 2014 that will make even greater use of bibliometrics (Carr, 2009), although, in a positive move, the intent is also to look more at the impact of the research (Corbyn, 2009).

Despite the then Australian Minister for innovation, Industry, Science and Research’s claim that the new system will cut red tape (Carr, 2009), government
quality frameworks of this type have been criticised on a number of grounds, including that they are anathema to the academic freedom needed to pursue independent thought and new knowledge, since:

leading academics has been likened to ‘herding cats’, yet the very strength of the university system lies in the independent thought, creativity and autonomy of the people who work in them. Unilateral top-down leadership is clearly at odds with the traditional values of academic freedom and autonomy, democratic participation and the variety of academic interests (Middlehurst, 1993 in Spendlove, 2007, p407).

In this regime, universities become market driven, fund-seeking, ‘corporatised’ bodies. Research has to be packaged with a short term focus to achieve grant-reporting deadlines and publication goals (Parker & Guthrie, 2005, p5). Universities are engaged in ‘academic capitalism’ where researchers struggle to maintain traditional academic practices and ideals as well as face demands for entrepreneurial activities, which ironically may ultimately serve to decrease research quality (Ylijoki, 2003). Researchers engage in less research and more project management to ensure funding deadlines and milestones are reached. Contract researchers are used to execute the project, often on a short-term basis. Research training is seen in old-fashioned terms of a rational process of accumulating a pre-specified body of knowledge (Manathunga, Lant & Mellick, 2007). Further we see:

the development of performative cultures and the forms of performance assessment and management associated with them. Such cultures appear to be characterised by an intolerance of the need for time and a stress on the importance of the ever-active performer striving to meet his or her performance targets in a climate of accountability founded upon distrust (Elliot et al, 2002, p347).

Another criticism is that the bibliometrics proposed for the Australian Excellence in Research Australia (ERA) framework measures what has been done on the past and does not necessarily have the flexibility to measure the quality and scope of new thinking and its future social or economic impact (Dodgson, 2009).

Emerging research universities may wish to avoid the negative consequences of top-down, imposed, research performance frameworks, which have many critics. Not all are advocates of ‘bean counting’ or ‘metric mania’ in research quality.

A Values-based Approach

Some would prefer an inclusive, values-based approach (Suchan, 2008, pp352, 356). Since organisation culture represents shared values, it seems reasonable to argue that any senior management or government wishing to improve research quantity and culture would be better advised to develop the organisational culture rather than imposing bureaucratic structures based on rules, regulations and indicator-based performance management. Organisation theory tells us that structure is only one mechanism for organising and controlling behaviour. Culture based on shared values is preferred. Progressive organisations seeking a competitive advantage are turning to this more contemporary approach (McShane & Travaglione 2007). Universities, typically slow to adopt management innovations, could well learn from their more advanced, private sector counterparts.
Even though a performative culture may lead to more research in some institutions, there are other ways of achieving good research. An alternative to bureaucracy and strict control of numbers based on managerialism and institutional imperatives is values-based professionalism. This is applicable to the academic research environment, where collegiality is based on low levels of hierarchy and high levels of trust, and discipline comes from peer expectations and professional values in a community of scholars, who make decisions amongst peers of equal decision making power (Yokoyama, 2006, p312).

With the push for Asian universities to increase research and publication, will they inevitably follow the UK and Australian imposed metrics model, or opt for a more values-based approach? The following section reviews some features of the emerging research landscape in parts of Asia.

**Emerging Research Environments in Asia**

Not all universities in Asia are research institutions. Like their US counterparts, many are teaching-focused (Altbach, 2004). However due to globalising influences, some universities in Asia are, for the first time, requiring staff to research and publish in international (US and UK) journals (Kwan, 2009). Some Australian universities with offshore campuses and partners in Asia are also seeking increased research activity (Trounson, 2009). Universities in Asian nations such as China, Singapore and South Korea are seeking to enhance their research status (Altbach, 2004; Kong, 1999). Government funds for research in China are increasing at the rate of twenty per cent per annum (Yigong & Yi, 2010). In the 1990s, the research output and quality of top universities in East Asia equated to that of research-oriented universities in the US. However, in lower-ranked East Asian universities, productivity dropped more quickly compared to a less steep decline moving down the rank of US universities (Jin & Yau, 1999, p709).

In parts of Asia at least, long history per se is not the sole determinant of research and publication productivity as some of the oldest universities such as Tokyo University and the University of Hong Kong, were not amongst the top producers. Newer universities such as the Hong Kong University of Science and Technology and the Chinese University of Hong Kong did well. Rather than history or longevity, emphasis on and motivation for research made the difference (Jin & Yau, 1999). In any case, although many universities seek or claim to be world class, aiming to be national or regional class may be more realistic and preferable to copying wealthy and elitist institutions (Altbach, 2004). Further, one does not have to be a world class university to succeed in research. For example, reports from the 2008 UK RAE in business and management indicated that world class research is to be found in many places, not just in centres of excellence (RAE, 2009).
Doing Research in Asia from the Inside and the Outside

There has been a shift in attitudes and perceptions about and amongst academics from Asia. In the past, Asian and other non-Western journal editorial boards and other advisory bodies sought to have researchers from the UK and US on their boards to add ‘legitimacy’. Subsequently it was more likely that US and UK universities sought to include academics in Asia in their activities (Kong, 1999). Kong saw this shift as representing an ‘equal opportunity’ initiative and this may well have been the case. In the present decade it is more likely that Eastern-Western connections are established due to globalisation of business and needs of Western organisations to understand the regions where their operations and customers are based. Further, Australian universities (such as the Southern Cross University professional doctorates program) depend on overseas students for a large portion of their income (Ellis & Anderson, 2009) and set up partnerships with Asian universities. Finally, Asian doctoral students in Australian universities are interested in researching their home country.

In addition to the above reasons for a focus on Asia, another is recognition of the intrinsic value of management research in Asia by Asian researchers. It has the potential to substantially expand the body of management and business knowledge by developing local organisations, adding to the richness of global understanding, and bringing Asian modes of thought to management problems. Some Asian management researchers may need to learn from the West, but at the same time should be self-confident and courageous in using indigenous knowledge to make contributions to theory-building with global relevance (Meyer, 2006). There is room for research in Asian contexts to have an impact on concepts and theories in non-Asian research, since ‘Asia represents a rich supply of phenomena at the interface between actors from different contexts, and questions of change and adaptation’ (White, 2002, p203).

In management and business research there is an increasing awareness that the context is important, in terms of the country in which the theory is being developed or the research conducted. It is no longer sufficient to deliberately ignore or unconsciously overlook the impact of the country context. Typically, much of what is accepted as standard theory in business and management is US-developed and should be seen as specific to that nation (Whetten, 2009). It is incorrect to assume that these ideas can be simply transported and applied in other nations, particularly in Asia. In any case Asian nations are not homogenous any more than are Asian universities. In fact Asia represents a ‘mosaic’ of ‘realities (Altbach & Umakoshi, 2004, p9).

Drawing on 840 research articles on management in Asia, White (2002) is critical of research efforts to date, claiming they have been too simple, relying on basic analyses and lacking rigorous sampling techniques. There needs to be more efforts to develop research beyond that which simply describes the situation for those
interested in Asia. White (2002) considers that Indians, Japanese, Koreans, ethnic Chinese and Singaporeans make significant contributions to Asian research. The ‘best’ research includes researchers from both the Asian nation and another country or countries, with researchers native to each country. India and Singapore are singled out as being dominated by in-country researchers, focusing only on those two countries. Japan has been subject to much research by academics on the inside and the outside, but without sufficient comparison to other nations.

Further to these specific critiques of research in specific countries, more general questions include: how well is research in Asia assisting us to understand more deeply and broadly the phenomena that are relevant to this area? Has research in this area added to general theory and practice? Should we be using new methods? (White, 2002). Some suggestions for developing the globalised research environment follow:

- develop ‘native’ understanding of the theory and in-depth understanding of the social context in the original and new setting
- think about what is perceived as general knowledge versus local knowledge—for example Australian academics may consider Western theories to be general knowledge and anything that is unfamiliar to them in an Asian context might be seen as ‘local’ knowledge—in the eyes of Asian academics or research subjects, the reverse would be the case
- graphics and symbolic representations may have more universal meaning than words and can be useful for spanning the cross-context gap
- use cross-national or cross-context research teams (Whetten, 2009).

Areas where cross-context research could be improved or extended:

- identify existing ethnic, cultural and geographic boundaries to research and consider going beyond them
- make comparisons between Asia and more, different countries, including Europe, Latin America and Africa.
- don’t assume homogeneity within a specific context or country—seek more heterogeneity
- move beyond simple descriptions and correlations to understand relationships and processes to answer the how and why questions
- use mixed methods to address dynamic processes rather than static variables
- choose sample based on more sophisticated criteria
- establish the true interpretation of research questions, instruments or constructs from the respondent’s point of view, to improve interpretive validity
- be very clear about the context and therefore generalisability of the findings (White, 2002, p303).
White asks pertinent questions. Drawing on experience in three successful cross-country studies in Japan, China and Thailand, Australian-based researchers Kritz et al (2009) noted the following success factors, partially answering White’s questions from a practical viewpoint:

- a more thorough literature review than normal, to identify difficulties previous researchers had in accessing the right people in Asia and to understand cultural issues
- initial exploratory discussions with individuals ‘on the ground’ in the target nation to explore access and cultural issues
- preliminary or pilot interviews to gather first-hand and up-to-date knowledge of management issues in the target nation, to identify any problems with interview techniques, difficult questions and obtaining referrals to other interviewees
- where possible start with existing contacts in the researchers’ home country to gain referrals to interviewees in the target country
- establishing researcher credibility by developing considerable knowledge about the country, culture (including simple formalities, codes of conduct and mannerisms) and business issues before doing interviews
- having a strong focus on one clear theme, rather than a more open-ended investigation
- establishing and refining clear definitions of constructs, in the language of the target country, even if the interviews are conducted in English.

Partnering with academics from Western universities can be a successful strategy for developing the research environment and transferring skills and knowledge between academics in Asia and other countries. This strategy has been successfully employed by Australian universities such as Southern Cross University (SCU), where the Graduate College of Management has several overseas university partners. Apart from the business benefits of such arrangements, there are mutual gains in terms of SCU having access to research populations in Asian nations and ‘insider’ knowledge of local culture that might otherwise be inaccessible. In turn, partner organisations and their doctoral students have a pipeline to Western research traditions, skills, publication outlets and support. SCU’s Asian students have good contacts in Asia for accessing respondents and understanding the business and management issues in their home country. However they do not necessarily have the deep understanding of Western theory and concepts that they wish to study, so that it can be difficult to be confident that the interpretation of a particular management construct accurately reflects its meaning in that country.
Developing the Research Environment for Neophyte Academics

It is increasingly the case that the typical academic career relies on having completed research training in the form of a doctorate. The emerging government-driven, measurement-focused, research environment demands new interest in the processes and procedures that surround this qualification. The doctorate is subject to critical analysis, supervisors’ roles and training are challenged, and the doctorate is seen as a means to achieve national needs for innovation and development (Boud & Tennant, 2006; Deem & Lucas, 2007). Whether in the East or West, doctoral students are the pool from which future academics will be sourced. Thus inculcating them with the values and skills of research is an important developmental activity.

In contrast, increasing numbers of individuals see doctorates as an important step in their professional career outside of academe. This brings fresh cohorts of students who may not share the traditional culture of research that values dissemination of new knowledge through publication (Boud & Tennant 2006; Deem & Lucas 2007). Evidence-based practice for professionals in industry and the public sector is gaining currency and is another reason to encourage research and dissemination of its results (Ebbutt 2002). School teachers are a good example. As the results from a UK study indicate in Table 14.1, there are many valuable reasons for these professionals to carry out research.

Table 14.1: Reasons for Teachers to Conduct Research

<table>
<thead>
<tr>
<th>Reason</th>
<th>No</th>
</tr>
</thead>
<tbody>
<tr>
<td>To generate greater understanding of specific issues in teaching and/or learning</td>
<td>23</td>
</tr>
<tr>
<td>To solve immediate problems</td>
<td>10</td>
</tr>
<tr>
<td>Effective self-directed continuing professional development</td>
<td>9</td>
</tr>
<tr>
<td>To regain professional control over and confidence in what happens in classroom</td>
<td>9</td>
</tr>
<tr>
<td>Part of higher degree/program giving access to promotion</td>
<td>8</td>
</tr>
<tr>
<td>To satisfy intellectual curiosity about issues of teaching and learning</td>
<td>6</td>
</tr>
<tr>
<td>To capitalise on collaboration with colleagues</td>
<td>5</td>
</tr>
<tr>
<td>To provide evidence and feedback on aspects of School Improvement Plan</td>
<td>5</td>
</tr>
<tr>
<td>As part of reflective practice</td>
<td>4</td>
</tr>
<tr>
<td>To promote development of teaching as evidence-based profession</td>
<td>4</td>
</tr>
<tr>
<td>To provide data for external researchers</td>
<td>3</td>
</tr>
</tbody>
</table>

In Australia, doctoral education needs to improve completion rates, prepare students to make the transition to work, benchmark practices and outcomes and improve equity and access (Evans, 2007). Participating in an academic community with a strong research culture enables doctoral students to learn a range of skills and attitudes, yet this aspect of students’ experience in Australia has been rated poorly (Kiley, 2005). Perhaps if this process was improved, there would be fewer academic staff resisting research and publication.

The non-science disciplines (such as management and business) offer less in the way of a research culture and community to their students compared to the sciences, where students are more likely to be part of collective research efforts. Science research supervisors typically enlist students in a research team working on aspects of the supervisor’s project. The management and business discipline could do more in this regard, particularly for international and part-time students who find it harder to access research culture even where it does exist (Deem & Brehony, 2000). For example in the Graduate College of Management (GCM) at SCU, the majority of students are generally independent researchers each working on self-initiated projects. This is good for encouraging the initiative and interests of individual students but also means the GCM misses out on an opportunity to channel individual efforts into a greater whole, creating a critical mass that is more likely to attract attention and support.

**Discursive Skills Needed for Research Publication**

As noted, universities must demonstrate good performance in supervising doctoral students. Poor supervision is evident in complaints, withdrawals and failure to complete or delayed completion (Nulty et al, 2009). Another indicator of supervision effectiveness is publication. Publishing from doctorates is important in its own right, not just to earn points in government dictated reward systems. The discipline field can be moved forward by the ‘professional dialogue and knowledge building’ generated by doctoral research dissemination (Kamler, 2008, p285). The ‘publish or perish’ imperative has always existed in academe. The main difference is that it has now been codified in government performance systems and used to threaten academics’ job security, rather than simply being the means by which the autonomous collegiate determined who rose to the top and joined the professoriate. Nonetheless, doctoral students need to publish if they want to have an academic career.

Despite the irresistible thrust for more research and publication arising from globalisation, individual academics offer a range of reasons for not being more research-active, with the predominant one being lack of time due to heavy teaching and administration workloads, (Studman & Tsheko, 2007), along with lack of experience or training (Deem & Lucas, 2007; Hazelkorn, 2004). Research and publication are ‘viewed by both management and staff alike as potentially useful things to do if time and resources allow after the ‘critical’ activities of curricular development and delivery have been attended to’ (Brotherton, 1998, p311).
The pressure on academics to publish has flowed down to doctoral students during their candidature. It is important to encourage publishing early in the academics’ career, as evidence suggests that those who start out publishing continue to do so (Teodorescu 2000). However it is considered to be a daunting task, and doctoral students need instruction in international research publishing (Kwan, 2009). Co-authoring papers with the supervisor is an effective means but is practiced more in the sciences than humanities (Kamler, 2008; Kwan, 2009). Many students are initially intimidated by the process and doubt their ability to make sense of peer-reviewed research articles (Vaughn 2003, p816). Therefore it seems likely that creating such articles is equally daunting. Submitting work for publication puts the individual under scrutiny with the risk of failure: an aversive experience for some. Students perceive that doctoral writing and publication require tremendous effort and struggle and induce significant anxiety. They need to be robust in the face of rejection and persistent to conduct frequent revision. Supervisors have a pivotal role in developing these emotional aspects of students’ attitudes to publishing (Kamler, 2008). In addition to this emotional resilience, writing a research article requires complex discursive skills as shown in Table 14.2. Kwan (2009) found only a limited number of Hong Kong universities offer courses in these skills, and most focused on the first set of skills. That is, discursive competence was most frequently taught.
### Table 14.2: Four Sets of Discursive Skills Required to Publish Academic Research

<table>
<thead>
<tr>
<th>Discursive competence</th>
<th>Strategic research conception</th>
</tr>
</thead>
<tbody>
<tr>
<td>• communicating the research through article format</td>
<td>• theoretical and methodological rigour (taken for granted)</td>
</tr>
<tr>
<td>• communicating about the article to ‘gatekeepers’</td>
<td>• identifying trends, gaps and niches in the current literature—keeping in mind that an under-explored area is not necessarily a publishable one</td>
</tr>
<tr>
<td>• organising the research article so that it complies with discipline and individual journal standards in terms of structure, reference style and so on</td>
<td>• identifying relevance to the international (US and UK) scholarly community</td>
</tr>
<tr>
<td>• grasping the language, tone and citation method of the discipline and journal</td>
<td>• identifying specific and sufficient journals to which the research is relevant</td>
</tr>
<tr>
<td>• mastering the intricacies of English for students and researchers where English is not the first language</td>
<td></td>
</tr>
<tr>
<td>• interpreting, responding to and addressing reviewers’ (often vague) comments</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Strategic management of research and publishing</th>
<th>Competence in publishing the thesis-in-progress</th>
</tr>
</thead>
<tbody>
<tr>
<td>• managing the quantity and timing of publications vis-à-vis the project and any university performance assessment policy and procedure</td>
<td>• executing the doctorate through article publication instead of writing a thesis</td>
</tr>
<tr>
<td>• knowing how long it takes to write an article, submit it, receive reviews (or rejection) revise the article and resubmit it and the timing of publication thereafter.</td>
<td>• converting the thesis to articles requires re-contextualising, reframing, trimming, condensing and restructuring</td>
</tr>
<tr>
<td>• having other journals in mind in case of rejection</td>
<td>• there is a wider academic audience compared to just the examiners</td>
</tr>
<tr>
<td></td>
<td>• simultaneously publishing articles and writing the thesis</td>
</tr>
<tr>
<td></td>
<td>• knowing what is publishable—on finishing the literature review the student should know more about the topic than almost anyone else, representing a publishing opportunity</td>
</tr>
<tr>
<td></td>
<td>• if an unusual method is employed this may also be publishable</td>
</tr>
<tr>
<td></td>
<td>• finally the results may be published and since a thesis usually contains large quantities of results—deciding how to distribute these results between various papers.</td>
</tr>
</tbody>
</table>

Source: Adapted from Kwan, p3–5 (2009)
Despite claims that writing can be developed by a large range of academics and does not need to be confined to a few stars (Boice in Martin, 2009), the skills shown in Table 14.2 are complex, challenging and not necessarily easy to articulate or acquire. Converting management and business students and teaching-focused academics into accomplished researchers with the skills and confidence to publish in international journals is no easy task, in the West or the East. These are just some of the nitty gritty details that governments, university management and academics have to grapple with to ensure that those who want to, are able to participate in the new research environment.

**Conclusion**

Publish or perish has long been synonymous with academic success in established research institutions. Nonetheless, not all universities or all academics engage in research and publication. Globalisation, along with other pressures, has seen the emergence of the publish-or-perish imperative in a new guise: government and senior management driven, top-down, performative and managerial measurement systems that contradict academic values of freedom, collegiality, peer-review, trust and democracy. Universities wishing to promote a research culture would do well to remove impediments to research such as excessive teaching loads, provide adequate funding and other forms of support and encourage research based on professional academic values being widely shared and strongly held, rather than adopting a ‘big stick’ approach.

Research output and quality in Asia is best likened to a mosaic with patches of brilliance in the form of international standing and other parts where teaching is the only priority. Nonetheless, globalisation means many opportunities for Western, Asian and other academics to engage more fully in research; be confident in what their own country can add to the understanding and practice of management; and work toward a richer, mutual, global, understanding, based on more sophisticated, multi-nation research networks and mixed methods.

Those tasked with supervising and training doctoral students and emerging academics should heed this advice, as well as ensuring a research culture in which they can be immersed. Interestingly the imperative for research is echoed in other professions with the need for evidence-based practice. It is clear that discursive competence, conceiving research strategically, managing research and publishing and understanding the wider audience for and networks involved in academic publishing are key skills individuals need to engage with to enhance the wider research environment.

Overall it would seem that globalisation, government and university senior management require all current and aspiring academics to engage in research and publication, but all may not be capable. Further, current structural, interventionist, centralised strategies to achieve this aim may be better replaced with a reliance on, and promulgation of traditional academic values.
References


Author Profile

Dr Teresa Marchant has worked in the private sector at IBM and public sectors in workplace relations, as well as in two small medium enterprises. She completed her doctorate in career management and the effects of downsizing at USQ, being the first to graduate with a PhD from the Department of Human Resource Management and Employment Relations. Her research attracted extensive media coverage, was published in practitioner journals and presented at international conferences. She has been in demand to develop post-graduate curriculum for local and international universities. She is currently a lecturer in Employment Relations and Human Resources in the Griffith Business School on the Gold Coast where she is researching complexity theory, masculinity and careers.
Overview

Doctoral research programs at universities are constantly seeking ways to improving their research outputs as measured by completion rates, publications and external recognition for the quality of their programs. This chapter outlines a change management program undertaken at the Southern Cross University Doctor of Business Administration program that aimed to put into place the research output structures necessary to create a successful quality research training program.

The chapter identifies the organisational, cultural and academic issues involved in the change program undertaken over a five year period to the end of 2008 and describes a framework of measures put into place to underpin the achievement of the research outputs.

Introduction

The title of this chapter is purposefully ambiguous and presents an opportunity to expand upon important questions like ‘what makes a doctoral research program successful’ and ‘what structures need to be put into place in order to create successful research outputs’ in these programs. In order that the chapter has a sensible structure, output structures have been defined to mean the organisational, cultural and academic infrastructure developed to ensure the SCU DBA program attained high academic and service standards that would inevitably lead to successful research outputs. Successful research outputs for doctoral programs can be measured as:

- Higher than average completion rates
- Rigorous scholarship flowing from the doctoral research projects in terms of publications
- High level satisfaction ratings from both candidates and graduates
- High level satisfaction ratings from research supervisors
- External recognition of the program and benchmarking with other programs.
In order to achieve the above research outputs, an integrated strategic vision must be formulated. The vision needs to include a framework of measures to be put into place to underpin the achievement of the research outputs. These measures can be categorised into the following areas:

- Cultural change initiatives
- Knowledge management initiatives
- Research infrastructure initiatives for both candidates and supervisors
- Feedback loops and quality control to enable continuous improvement
- Infrastructure and professional development initiatives for supervisors.

This chapter records a major organisational and cultural change project undertaken in the SCU DBA program over a five year period to the end of 2008 and identifies the output structures established over the period. The program commenced at the appointment of the new Director of the DBA program, Associate Professor Peter Miller, in January, 2004.

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.

The change program commenced with a comprehensive survey and needs analysis of both the DBA candidates and their supervisors to determine their needs. Professor Miller wrote to each candidate and supervisor to introduce himself as the new Director of the program, to float some tentative ideas about how the DBA leadership team might better support the candidates and supervisors and to seek the assistance of DBA supervisors and candidates on some matters concerning the program.


**Context and History**

The Business faculty 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.

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. 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 Change Program

In July, 2004, the DBA leadership team undertook an extensive review of the DBA program, its systems and processes. The review included the data and feedback from the comprehensive survey of stakeholders and feedback from both DBA candidates and supervisors.

As a result of the review, the team developed a strategic plan and change program to put in place world class administrative systems and to re-engineer existing processes and systems. The overall aims were to support candidates and their supervisors and to increase the academic quality of the program.

Issues identified in the survey of candidates and supervisors and considered as part of the review included:

- GCM cultural issues—the organisational culture of the GCM was predominantly anti-research and publication and dominated by full time staff who did not have doctorates or did not research or produce scholarship. There was a perception that ‘research took resources from teaching’. The then Director of the GCM made yearly appointments to the GCM of junior academic staff who did not have doctorates and/or who were not research trained or research active. Such actions diluted the pool of senior research staff available to supervise doctorates and lowered the average publication output per academic staff member in the GCM, a critical measurement factor for performance of the College.

- data bases and administrative systems—the GCM had four different data bases and a number of spreadsheets holding data on DBA candidates, supervisors, examiners, committees etc. All were stand alone and not connected to the university’s student system. There were significant duplications of data entry. It was very difficult to get information on the DBA program or to relate supervisors to candidates etc.

- candidate networking and self service—there was no provision to enable candidates to network with each other or with their supervisor or other supervisors. All customer service was met directly from DBA administrative staff.
paper based reporting system—the reporting system for candidates and supervisors was archaic, time consuming and paper based. Candidates reported on their supervisors on the same form as the supervisors made comment on. Candidates therefore had no reasonable opportunity to be critical of their supervisors without fear of retribution. The paper based reporting system required several iterations between candidates and supervisors for signatures and was not functioning as a process. It was up to one year behind real time. The system required to be re-engineered to be more relevant and to collect data the DBA leadership team could use and respond to.

• DBA supervisors—supervisors had virtually no support especially if they were contract supervisors. Feedback from the contract supervisors suggested that they also had little understanding of the GCM processes. There was no professional development available to supervisors to improve their skills.

• DBA administrative forms—the current forms used were inadequate and inconsistent and needed redesigning and updating to a more professional image. All forms were paper based. There was no real ‘theme’ or ‘brand’ for the program.

• overseas partner agreements—there were no operations manuals for each agreement with overseas partners that would enable the educational agreements with the partners to be easily operationalised in a professional manner.

• methodology units—both methodology units that were a core part of the program were in need of substantial revision to ensure that when supervisors received their candidates, the candidates were rigorously research trained and research ready.

• client relationship management—there was no real client relationship management system in place to track applications and candidates. A ‘white board’ was the only tracking systems in place.

Cultural Change

The need for change leaders to understand the culture and climate of the organisation and the difficulties involved in change program implementation are well known (Dubrin, Dalglish & Miller, 2006). Organisational culture has been defined as a system of widely shared and strongly held values and beliefs (Robbins et al, 2008). All change management programs are undertaken in a particular context and organisational cultural environment in which the change leader needs to be aware of the shared beliefs and values of existing staff. As was indicated above, the 2004 organisational culture of the GCM was predominantly anti-research and publication and dominated by full time academic staff that did not have doctorates, were not research active and did not produce scholarship. There was a perception that ‘research took resources from teaching’ and this perception permeated the shared beliefs of the majority of the then staff. The then Director of the GCM reinforced this culture by making yearly academic appointments to the GCM of
junior academic staff who did not have doctorates and/or who were not research trained or research active. Such actions also diluted the pool of senior research staff available to supervise doctorates in the GCM and lowered the average publication output per academic staff member of the GCM, a critical measurement factor for performance of the College and for benchmarking within the university and with other colleges outside the university.

It was evident that a change in the overall culture of the GCM was not possible without the support of the then Director of the GCM who did not appreciate the need for a change and was unwilling to make it. Therefore, it was planned to create a sub-culture in the GCM around the DBA program, a culture where research and scholarship were to be highly valued and pursued. This involved setting new academic standards and values in the GCM around research and scholarship that needed to be role modeled by the doctorally qualified staff involved in the DBA program.

Inevitably, the two sub-cultured caused conflict and tension within the GCM and this tension continued throughout the change program due to the inability and unwillingness of the then Director of the GCM to improve overall academic standards in the College generally.

The Australian Universities Quality Agency (AUQA) made mention of the implications of poor academic standards in their 2008 Audit Report when it listed ‘A comparatively low proportion of academic staff with doctoral qualifications’ (p4) as a factor that may affect academic standards at the university.

In addition, Professor Brian Stoddart, in his 2008 review of the DBA program noted:

> Any entity entitled the Graduate College of Management might be expected to have a strong research culture with good research output… In future, the strength of the research reputation is likely to influence research student choice, so further research strengthening will be beneficial for GCM. In the period 2001-2007 inclusive, staff in the Graduate College of Management that hosts the DBA averaged 12.4% of Business and Law weighted publications, with a median production of 12.5%. Directly or indirectly, then, the DBA contributes to the research publication output component of RTS/IGS within SCU… Closer data examination suggests that a very small staff group provides most GCM production. With adjunct and emeritus staff largely out of consideration in calculations of official outputs, that puts considerable pressure on the relatively low number of GCM fulltime and equivalent staff (p23).

The fact that the change program was so successful in lifting the academic standards in the DBA program while, as reflected in the AUQA report and Stoddard report, overall GCM academic standards remained unchanged, demonstrates how a sub-culture can be established successfully even when the overall organisational culture is mature and stable and management is incapable of bringing about overall change themselves.
Development of Significant Research Outputs

Within the above cultural context, the DBA leadership team developed and established a number of knowledge sharing technologies, techniques and practices. The cost of underwriting this change program 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. The major achievements during this period are summarised below.

Doctor of Business Information System (DoBi)

A new data base was conceptualised, developed and implemented to replace the spreadsheets and data bases that were in existence.

DoBi was designed to include a candidate module, supervisor module, workshop module, examinations module, graduations module and was connected to the university student system to ensure no duplication of data entry. Full customer relationship management and enquiries management capacities were introduced to increase conversions of applicants to candidates. Screen shots of some of the higher level windows are shown below.

Figure 15.1: Screen shots of DoBi
As can be seen from the above screen shots, DoBi enabled the full tracking of candidates and supervisors and provided data, for the first time, for marketing and strategic campaigns.

**Candidate Centre (on MySCU)**

An online electronic forum was developed and established for the DBA candidates. The Doctoral Candidate Centre on MySCU was established as a central place where all doctoral candidates could 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 affected them. Its main objective was to break down the isolation some doctoral research candidates’ encounter and create a community of scholars. Supervisors are not given access to the candidate centre allowing candidates to communicate freely.

When candidates enrol, they are given access to the MySCU environment. The online centre then becomes 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.

All DBA forms were mounted in the centre to enable self service on policy and advice, theses, links to library, assistance on ethics etc. The progressive introduction of self-administration by DBA candidates through the DBA candidate centre was to recognise the increasing expectations of candidates for electronic access to information and for flexibility and input to processes directly affecting them.
A screen shot of the online centre is provided in Figure 15.2 below.

**Figure 15.2: Screen Shot of the Doctoral Candidate Centre**

Source: www.scu.edu.au

**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. Candidates do not have access to this centre.

Supervisors are first approved on the basis of an application to be placed on an approved supervisor register. When potential supervisors approach the GCM, they are sent a professional looking Expression of Interest Pack and application form. Discipline classifications were developed to assist with processes and this linked with DoBi to assist in the selection and matching of supervisors for candidates. New and improved supervisor/candidate agreements forms were implemented.

All supervisors (including overseas co-supervisors) are given access to the MySCU environment.
Once access to the Centre is established, all supervisors (including local co-supervisors) have access to:

- SCU’s extensive electronic library resources, data bases and 5000 full text online journals
- the alerting systems to enable staff to be advised of the publication of their favourite journals or authors
- an 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.

**Web Based Reporting**

A web based reporting system was conceptualised, developed and implemented for candidates and supervisors six monthly progress reports. The reports were also linked to the university student system. The DBA leadership team ensured that the reports were also able to obtain continuous feedback from candidates about their experience in the program that could be used for continuous improvement and benchmarking.
**Figure 15.4:** Screen Shots of the Web Based Reporting System for Candidates and Supervisors
DBA Administrative Forms

The then administrative forms were inadequate and inconsistent and needed redesigning and updating to a more professional image. All forms were paper based. There was no real ‘theme’ or ‘brand’ for the program. A new brand was therefore introduced and themed across all forms and web sites so that candidates and supervisors had some conformity. New forms were needed to address the new processes introduced. For example, candidates and supervisors were required to enter into a formal ‘agreement’ at the commencement of supervision to ensure that both appreciated the expectations of the other. Therefore, a new form, the candidate/supervisor agreement form needed to be designed and introduced.

Policy and Practice

All policy matters were reviewed and a number of changes made. For example, the IELTS was raised to 7.0 when the IELTS for PhD applicants at the university was 6.5. All applicants for the program, in addition to submitting their CV, qualifications and research proposal with their application were to be interviewed by telephone by the Director.

There was no clear policy advice on academic matters for both candidates and supervisors. Accordingly, a comprehensive policy manual (the DBA candidate/supervisor manual) was developed to provide policy advice and direction on all academic and administrative matters in the program. The manual was loaded onto the candidate and supervisor centres to enable electronic access, immediate updating and version control.
Candidates often did not achieve the ‘credit average’ required under the rules of the program to progress to the thesis stage. It was considered as part of the review that an ‘exit point’ from the program should be established to allow these candidates to exit the program with a graduate certificate in research methods so that the units they completed were given some recognition. This provision was placed in the rules of the program in the 2006 rules changes.

**Overseas Partner Agreements**

Operations manuals were developed in consultation with each overseas partner for each agreement including New Zealand, Singapore, Kuala Lumpur and Hong Kong. This provided a quality framework for the agreements to proceed under and some uniformity in the administration of all overseas locations.

**Research Methodology Units**

The then research methodology units that were a core part of the program were in need of substantial revision to ensure that when supervisors received their candidates, the candidates were rigorously research trained and research ready. The units were therefore reviewed by senior academic staff and agreement reached on content and depth.

**Doctoral Research Symposia**

The doctoral symposia are offered to all candidates twice per year.

The symposia offer 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 like:
- library skills,
- working with SPSS,
- doctoral supervision,
- undertaking literature reviews,
- publishing during candidacy,
- research methodologies.

but the main theme is to provide candidates the opportunity to present to their peers and supervisors about where their research project 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.

Publication Project

One of the success criteria that can be measured for any doctoral research program is the quality and quantity of rigorous scholarship flowing from the doctoral research projects in terms of publications. In July 2004 under the leadership of Professor Alex Kouzmin and Gita Sankaran, a publication project was established with the aim of increasing the rate of knowledge diffusion from the DBA program. The cost of underwriting this project was provided by Professor Peter Baverstock from the University’s Graduate Research College. Through the GCM publications program, students and staff published at the following rates:

• 2005 candidates and staff published 19 articles in scholarly international peer-reviewed journals.
• 2006 staff and candidates produced 2 books and 1 book chapter, 13 scholarly journal articles and 22 scholarly conference papers.
• 2007 staff and candidates produced one book and ten book chapters, 13 scholarly journal articles and 20 scholarly conference papers.
• 2008 staff and candidates produced 3 books and 5 book chapters, 5 scholarly journal articles and 17 conference papers.
• 2009 staff and candidates produced 3 books and 5 book chapters, 6 scholarly journal articles and 12 conference papers.
• 2010 staff and candidates produced 4 books and 8 book chapters, 11 scholarly journal articles and 21 conference papers.

In addition, a number of books have been published. Some of these are:


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.

The GCM also developed a policy whereby it also appoints a suitable member of staff to be the principal supervisor for all overseas partners. The GCM 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 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
- Signs off qualifier programs
- Final sign off for thesis submission

All doctoral supervisors have access to an online supervisor professional development program, through the doctoral supervisor centre. 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.
Benefits to the University as a Result of the Change Program

Benefits to students (candidates)

The launch of the DBA candidate centre in November, 2004 has established networking forums for candidates, who can now identify other candidates working in their area of research, swap literature and create a ‘community of scholars’. It also enabled candidates to search for completed theses by research methods, research areas and geography and provide forums for discussion. By mounting all forms, policy and advice, and links to the library, candidates are able to self-administer much of their processes in the DBA candidate centre to recognise the increasing expectations of candidates for electronic access to information and for flexibility and input to processes that directly affected them.

Benefits to staff

The introduction of self-administration by DBA candidates through the DBA candidate centre has freed time for the DBA leadership team to concentrate on more strategic issues in the program such as proactive customer service and marketing. DBA supervisors now are able to provide information to candidates about prospective supervision and as candidates can network in a ‘community of scholars’, the effective expertise for supervision is spread across candidates in addition to formal supervisors, potentially lightening their supervision load.

Wider university benefits

The Doctor of Business Information System (DoBi) was extended to the Graduate Research College and the web based progress report system approved for university wide application to PhD candidates. DoBi was also a forerunner to the university wide customer relationship database.

External Recognition for the Change Process

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 two 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 post graduate 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 and 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 titled: 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 2006, a Course Review of the DBA was undertaken to consider re-accreditation of the degree for a further five (5) 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 (5) 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 ten (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 PhD’s 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 pro-actively 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 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 (5) 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.

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 on ‘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 by the Strategic Standing Committee of Academic Board on 26 February, 2009, as a tribute to the leadership of the program over the previous five years and added ‘congratulations to the Graduate College of Management on achieving the commendations included in the Report’.

**Conclusion**

This chapter has outlined an organisational and cultural change program over the five year period to the end of 2008 involving the SCU DBA program. The change initiatives were undertaken in a difficult cultural environment and a sub-culture needed to be created in order for the change to be successfully implemented. During the change process, a number of critical research output structures were conceptualised, developed and implemented to provide the framework and infrastructure necessary for high academic and service standards to be attained. As a result of the change program, the SCU DBA has received significant external recognition as the leading DBA program in Australia.
References


Graduate Careers Australia. 2005. Postgraduate Research Experience Questionnaire (PREQ)

Graduate Careers Australia. 2006. Postgraduate Research Experience Questionnaire (PREQ)


Overview

This chapter seeks to put managerial assumptions, rationales, justifications and practices in a globalised context into a deconstructive context. It confronts an array of the issues, debates and controversies that have held centre stage for quite some time but too often managers are reluctant to confront. One ongoing controversy within management thinking is the role of ideology in the creation and application of social science research, especially management research, and the extent to which management, as praxis, can, or should, be, ‘value free.’ This is a very topical in a context in which Neo-classical economics has come to dominate a great deal of managerialist language, models, assumptions and consultancy visions.

Introduction—Toward a Reflexive, Managerial Praxis

One basic motivation for research is the desire for new and better insights—for new knowledge. From a ‘purist’ research perspective, knowledge is an end in itself. From an organisational and management perspective, knowledge also has a practical side. Organisational and management research advances and shapes organisational objectives, culture, individuals and societies as it provides new insights that inform premises upon which managerial decisions and judgements are based. On the other hand, social researchers can never guarantee that they have arrived at a ‘true’ statement. Most conclusions in management, and social research, remain provisional as researchers rarely reach uncontested results, due to the influence of human value choices, norms and institutions, work and traditions, language, thought and communication—all being contextual in their respective influence. Controversies abound, debates go unabated and how management itself confronts these controversies, often of their own making, continues to be
problematic. It is important to raise management awareness of the ongoing and unresolved debates that prevail in management thinking—some would argue that there really is not anything new with the rise of consultant-driven common sense to bolster the simplicities of the practitioner decades ago.

The ‘messy’ world of management is best described by Thomas (2003, p3) by terms such as ambiguity, change, uncertainty and conflict that replace descriptors such as stability, order, consensus and certainty. Importantly, Thomas (2003, pp4–5) warns that in this messy world, management is inherently controversial—there is no consensus on values even if one knows how to achieve particular ends. Critical thinking is one skill seldom given much prominence in management culture thus the aspersion that management is a ‘non-thinking’ profession. Critical and management appear to be two words in considerable tension. Management practice has been criticised over the decades for being too grounded, too captured by the immediate performance expectations of profitability. Management research has been, equally, branded as being too esoteric, too removed from the immediate concerns of management. Too parochial or too esoteric has been the battle ground of management education.

This dichotomy may well have prevailed into the 1970s, but certainly not very much latter when managerial advice became very much a commodity and a source of considerable ‘rent seeking.’ As Fournier and Grey (2000, pp7–31) argue, it is the 1990s that have seen the emergence of a new conjunction of the terms ‘critical’ and ‘management’. They pursue three broad themes in their paper; the emergence of critical studies; what might be meant by critical; and the politics of critical management studies. Given that management is always enmeshed with social, economic and political power, it is unsurprising that it has always been subject to some critical analysis. However any critical analysis has given way over the last two decades to a new ‘managerialism’: a movement that sought to restore unbridled managerial prerogatives. During this period, private sector management was exulted to an extent previously unknown. Critical management implies that there is something wrong with management, ‘as a practice and as a body of knowledge and that it should be changed’ (Fournier & Grey, 2000, p16). However, there is no unitary critical position and, therefore, there is no single demarcation of the critical from the non critical. Notwithstanding, Fournier and Grey (2000, p17) suggest that the critical fault line within the ‘pluralism’ of critical management thinking is drawn around the three issues of performativity, de-naturalisation and reflexivity.

Performativity celebrates knowledge that contributes to the production of maximum output to minimum input—knowledge within a means–end calculation. The critical perspective ‘questions the alignment between knowledge, truth and efficiency (Fournier & Grey, 2000, p17). De-naturalisation involves deconstructing organisational ‘realities,’ or the ‘truthfulness’ of organisational knowledge by exposing its ‘un-naturalness’ or ‘irrationality’ (Fournier & Grey, 2000, p18)—things may not be as they appear. Reflexivity is a capacity to go beyond the assumed, simplistic positivism—there is no awareness of the limitations of epistemology and ontology
and discussion of methodology ‘becomes limited to restricted issues of method and statistical technique’ (Fournier & Grey, 2000, p19). Essentially, reflexivity challenges the assumption of philosophical and methodological certainty implicit in the goal of mainstream social science’s absolute view of the world. Cunliffe and Jun (2002, pp1–32) also happen to provide a useful introduction to some of the post-modern discourses that confuse and bedevil many a sensitive graduate student. However, the main text is to outline the importance of ‘subjectivity’ in analysis, contrary to the conventional canons of objectivity promulgated in mainstream, but distorting, scientific analysis. ‘Reflexive researchers accept that their knowledge is ‘paradigmatic’—that models and theories can never fully explain the world for they (the researchers) are the world’ (Cunliffe & Jun, 2002, p17).

Sankaran and Kouzmin (2005, p4) point out that:

Gold, Holman and Thorpe (2002) found that managers fail even at the lowest level of critical thinking. In their evaluation of a personal development module, they observed that managers found it difficult to fully identify their arguments. The managers tended only to present the claims of their arguments and were not adept at providing evidence or warrants for the claims that they made. Furthermore, their superficial understanding of argument tended to limit any critique of their practice, values and motives. As for higher levels of critique, the managers tended to account for their activities using a scientific and technical discourse that emphasised rationality and objectivity and rarely related their experiences to the wider social and cultural context.

For example, over the past 35 years, business communities around the world, in their neverending search for profit, have happily accepted the wisdom of neo-classical economics and latched onto the neo-liberal managerialist meta-myth surrounding its efficiency-oriented agenda of ‘privatisation’, ‘deregulation’, ‘outsourcing’, ‘commercialisation’, ‘corporatisation’ and ‘downsizing.’ According to Dixon, Dogan and Kouzmin (2004, p26), business communities found intuitively acceptable and attractive the managerialist ‘common business sense’ proposition that ‘good [small] government and good organisation results from deliberate intentions, detailed plans and consistent decisions’. However, Dixon and Dogan (2002) demonstrate how managers interrogate the social world and build their assumptive world depends on epistemological predispositions (relating to propositions about what is knowable) and ontological predispositions (relating to propositions about the phenomena to which causal capacity may be ascribed). Without some capacity, and scope, for critical thinking, the managerial vision can be dangerously myopic.

The history of management thought has always been marked by controversies—even before social scientist, management researchers, and more recently, management consultants began to occupy the managerial space they do. Classical theory, very ‘hands on’ and pragmatic, was full of proverbs and conflicting ‘principles’ of administration/management. The Nobel Prize winner Herbet Simon (1957) called these contradictory prescriptions ‘conjugate pairs’. Thomas (2003, p10) invokes a classic tension between the supervisory need for small spans of control and, consequently, many hierarchical levels of authority, against larger spans of control
and flatter structures. This controversy is as old as the twentieth century. Thomas (2003, pp10–11) believes that we are likely to see more controversies rather than less given the uncertainty of organisational environments.

Thomas (2003, p12) also draws upon an important issue for Management Theory—it is not only driven by scientific research but also driven by intent. ‘The relationship between knowledge and action in management are the links between fields of knowledge and fields of action.’ It is because of managerial agency, or strategic intent, that management research can never only be a multi-disciplinary science. Some call Management a ‘Design Science’—a science, yes, but always at the beck and call of management with intent, with agency. The expression that captures the overwhelming growth of the management ‘industry’ is the ‘Management Theory Jungle’ (Koontz, 1961). Thomas (2003, p25) is inclined to blame this jungle for the ‘hasty retreat from the confusion to the safe haven of common sense.’ Thomas (2003, p25) comes round, however, by reminding the reader that ‘common sense may be comforting but may do little more than give one a false sense of security. What is needed is some way of getting to grips with the diversity of approaches to understanding management’.

Parker (2002, pp122–125) provides a certain degree of closure on the emergence of a critical management agenda by locating this agenda in a broader and, to a certain extent, no less critical organisational research of other disciplines other than management. Parker (2002, pp128–133) also says some uncomfortable things about the role of academics and business schools in the perpetuation of managerialism as constituting contemporary common sense. Parker (2002, p117) certainly reminds the reader that critical management thinking is not new and within academic circles has difficulty policing its ‘turf’. ‘Political and epistemological radicalism’ has been around for some time but, now, under the banner of critical thinking, is a ‘recognisable entity on the margins of academic studies’ and usefully identify a long list of issues of concern to critical management academics (Parker, 2002, p118). To any critically-inclined professor of management, Parker (2002, p128) is far too close to the bone when he suggests that ‘the romantic construction of the outsider intellectual, endlessly persecuted by the ‘Big Other’ but struggling to find an authentic voice, has been a comforting myth for tenured radicals for some considerable time. It allows [one] to be a good person and a good academic, to have a conscience, articles in top journals and a pension’. So how can critically-inclined academics ‘lecture the hand that feeds them? Apart from ‘reaching out’ from the academy with ‘hell raising and muck-racking’ (Parker, 2002, p131), is to teach students about critical thinking, to address critical issues in training ahead of the time of the need to ‘dethrone market-driven, common sense’.

Ab(use) of Science, Knowledge and Consultants in Management

Despite the uncertainty attaching to all research, this does not relieve researchers of the obligation to dismiss ‘arbitrary’ views and to seek validity and clarity in their argumentation and policy recommendations. Irrespective of the methodological
choice involved, management research, in particular, is inevitably influenced by the researcher’s ontological positioning or views of ‘social reality’. The researcher needs to guard against one’s own bias; often to the benefit of research. This subjective influence of the researcher’s own values over the research process requires the researcher to consider and examine how their own attitudes might influence research choices and the weighing of possible interpretations of findings. The methodological demands of the research community for the highest standards of research modes, demonstration of research verifiability and respectful criticism assists researchers at reaching a consensus—a legitimacy that prevents research from being marked by prejudices or values of which no account is given.

Management research requires that researchers explicitly understand their own values, examine and clarify traditions, perspectives, social processes, values and attitudes of self and others—hence, a call for some ethical conduct in research. The contentious reliance on consultants in management many see as a failure of leadership and an inability to follow through with implementation—failing to ‘walk the talk’. Management practice seems to be more haphazard than the objective and rational view of itself. Management ‘draws on localised knowledge and prior experience in order to pursue personalised and functionally-based agendas’ (Thomas, 2003, p48) and there are at least three alternative frames to rational professionalism—management as exploitation of labour, management as organisational politics and management as magic/religion.

Within the frame that sees management as exploitative of labour, it is argued that managers are aided by an array of social science techniques for manipulating behaviour and controlling organisations in the interests of a narrow, property class. Management is ‘management under capitalism’, or ‘management under Neo-liberalism’, and it is the nature of the economic system that shapes and defines managerial practice. If the logic of the economic system is the key to understanding management, managerial work is by its nature political and politics is, therefore, seen to be a central fact of organisational life. Thomas (2003, p56), quoting others, suggests that the political frame situates itself between the rational, professional view and the apocalyptic class conflict point of view—organisation and management involve ‘politically-negotiated orders.’ Important concepts emerge from this understanding of management—’dominant coalitions and bounded rationality are just two.

The third alternative framing managerial activity is essentially symbolism and cultural understandings (Jackson, 2001). Both magic and religion are associated with managing uncertainty and complexity and management theory has an extensive array of techniques and ‘quick fixes’ fraught with uncertainty and with roots in the social sciences that are often shallow and insecure and then drawn selectively to underpin the ‘quick fix’. According to Thomas (2003, p66), ‘the social sciences become embroiled in sorcery’. Much of management consulting work might be more critically seen in this light! Another example of this frame in operation might be to view ‘management’s enchantment with the magical rites of long-range planning, forecasting and other techniques as manifestations of anxiety-
relieving, superstitious behaviour—having the same functions that magical rites have’ (Thomas, 2003, p67). In this vein, the religion of management is administered by a ‘priesthood’ of accountants and attended by ‘magicians’, the consultants. This religion is developed and passed on partly by social scientists and embraces a set of rites; rites of passage and taboos (Thomas, 2003, p68). Rites of passage, for example, may be a more effective way of understanding recruitment; promotion; retirement; resignation or dismissal.

The point is to ‘demystify’ the rationality/professionalism myths surrounding management theories and actions. Fortunately, this discourse serves another purpose as well and that is to underline the reality that science and ‘knowledge’ have, and continue to be, misused. The capacity of social science to reduce uncertainty is limited and the ‘appearance of instrumental rationality nonetheless is maintained through a form of ceremonial conformity to a rational ideal’ (Thomas, 2003, p69) and management becomes a ‘secular religion’ and leads to the important question—can the social sciences help managers? This, in turn, leads to the controversies surrounding the problematic relationship between knowledge and action; theory and practice; social science and managers; and whether management is an art or science? One needs to consider the inevitable interplay between facts and values; between induction and deduction and how these play out in what today is referred to as ‘Scientism’—an overly simplistic view of the capabilities of science. This discussion also points directly to the space the consultants and gurus inflate as a consequence of practitioners not understanding the value and the limits of help that comes from multi-disciplinary social science.

How do researchers study social and organisational issues? What kind of explanations do they look for? To understand these questions, one needs some awareness or understanding of the role of theories; models; hypotheses; paradigms; empiricism and processes of validation. How can one be ‘scientific’ about organisations and their management when what is being researched has non-reductionist properties, involves conflicting mental expectations about such properties, is inevitably contaminated by values and any understanding being subject to contestation and change over time? Cohen (1968, p1) suggests that theory is like a ‘blank’ cheque—it depends on the user and how theory is used. However, there is some agreement. Theories go beyond facts explaining an individual event or process; they are concerned with categories of events (Cohen, 1968, p2)—that a swan can be black is an observed fact, that all swans are black is a theoretical statement.

It is widely understood that there are four types of theories (Cohen, 1968, pp2–6).

- Analytic theories: these involve systems of logic or mathematics and serve as tools for other theories.
- Normative theories: these expose ideal conditions, for example ethics and ideologies.
- Scientific theories: accumulated and accepted knowledge that has been systematised and formulated with respect to the discovery of general truths or the operation of general laws.
• Metaphysical theories: these are not strictly testable but they do provide useful assumptions, they suggest useful frameworks and are a means of interpreting evidence. An example is the Theory of Natural Selection—no one lives long enough, yet, to prove or disprove this theory.

Management research relies on two of these—normative and scientific. The dilemma is that much scientific research slides into normative dimensions while normative theory often hides behind scientific claims to validity. There exists a ‘scientific ethos’ (Merton, p1972, pp68–78), a stereo-typical image of the profession of science, consisting of men (sic) dedicated to:

• Universalism: the truth of a proposition is independent of religion, class or nationality, for example.
• A world wide ownership of scientific findings where the discoverer does not have sole rights to the discovery.
• Disinterestedness: the work of science is subject to rigorous policing.
• Organised scepticism: research results are only accepted after all the facts are at hand.

In order to extend ‘certified’ knowledge, these four institutional and ethical prescriptions must be met. Unfortunately, this scientific ethos is more a myth than a reality. There are many, too many, examples in the history of science to demonstrate that the scientific ethos does not really exist. Scientific controversies abound and it is almost inevitable that today’s ‘scientific’ validity will be challenged and consigned to the dustbin of history as quaint musings. It is now accepted that scientific work is ‘provisional’—accepted as ‘scientific’ because, as yet, the research has failed to be disproven or falsified—falsification, rather than proof, has now become the test for science. It is not unfair to imply a great deal of ‘gate keeping’ in science that has been more eloquently understood as the prevalence of ‘paradigms’ (Kuhn, 1970; 1972, pp82–102) in the scientific endeavour. The scientific ethos is a ‘functionalist’ view of science and weakness of this view are ignored. The weaknesses are (Merton, 1972):

• The ethos ignores the importance of ‘conformity’ to existing wisdom.
• The ethos ignores rigidity in current dogma.
• The ethos ignores the way in which scientists are socialised and trained.
• It is silent about recruitment into science.
• It cannot explain or accommodate innovation.

To view scientific research non functionally, one would need to consider (Merton, 1972):

• The values and scientific prejudices of the scientific community.
• Some disciplines have very strong commitments going well beyond the scientific ethos.
• The importance of cross-disciplinary fertilisation.
The role of innovation in science.

The importance of social and political context of science.

The role of ambiguity, uncertainty, risk and complexity in the world.

What to do, especially for social science even more contextual and sensitive to values and prejudice? One start would be to understand that the research cycle involves two parallel processes—an exploratory and a verification cycle. The former involves intuitive, value laden induction processes and the latter involves deductive processes of testing and measurement. For some reason, science finds it difficult to talk about the inductive cycle—it tends to emphasise the deductive side of the research process. This tends to disguise the reality that subjective evaluations; value judgments; intuition; guesswork and luck all play a vital role in all research.

The scientific process is not an objective one—it is a creative and social/political one. There is nothing scientific in hypothesising—it involves creativity, insight and inspiration. It does not really matter how a hypothesis/model/theory comes into being. The hypothesis/model/theory is, however, deemed scientific if, and only if, they are shown to be fruitful. There is only one test of validity of a hypothesis and that is its ability to yield predictions that can be confirmed, unlike economics, for example, which asserts the primacy of the correctness of its assumptions over empirical validity.

The scientific problem lies in testing hypotheses via experience, surveys and controlled tests and the plain 'truth' is that no analysis, no study of any kind is totally value free!

There are six ways in which values inevitably influence any piece of research (Fay, 1975, pp51–57):

- The choice of the subject/the problem/area of research.
- Theory formation (induction) and even theory verification (deduction).
- The study of values themselves.
- The process of ideological distortion where results are over extended or projected beyond the limits of experimentation or the socio-economic context of behaviour.
- Applying scientific results to social and other problems.
- The social/political role of scientists, themselves, and that of science itself.

The first three value dilemmas are procedural irritations, not limitations. Since scientific validity is the ultimate test, scientists try to reduce their effects but the result is not basically compromised. The second set of three value dilemmas represents the real problem of values for science and scientists. In this territory, the interplay between scientific and normative theories, referred to above, becomes a real issue for management research, management practice and the increasingly problematic role of consultants and gurus.
Shankaran and Kouzmin (2005, p5) assert that:

Management theories and research have been dominated by ideological forces which, taken together, have generated an unreflexive succession of rationalistic and, more recently, economistic theories deriving much of their claims for relevance, and adherence, from overt reference to ‘science’. This problem is made more pronounced by the fact that, apart from some reference to paradigms or ideology, little conceptual machinery has been developed towards minimising value-driven theoretical frameworks from developing into broader ideological systems.

Consulting may, at best, reflect professional practice [...] consisting of applying established techniques to recurrent problems, sometimes referred to ‘checklist’ or ‘dumb’ consulting. According to Schon (1983), the competent practitioner operates in a mode of ‘reflection in action’—each problem is unique and requires reflection, or learning, in order to make sense of the problem. This would involve experimentation, curiosity and a propensity to be able to go beyond ‘the box’. Science is needed, but, in itself, it is not enough. Action science or ‘design science’ involves higher levels of understanding and intervention than that implied in a routine application of limited and provisional scientific results. In an action-science context, the manager is rendered the ‘practical theorist’. Because practical theory is generated from many sources, formal social science is only one, albeit an important, part of the repertoire of the informed manager.

As Thomas (2003, p94) observes, paradigmatic pluralism makes the capacity for developing practical theorists all that harder. Yet, the alternative is to leave managers in the hands of ‘practical men’, which dominated much of early management thinking or, worse, in the hands of charlatans, gurus and checklist consultants making an easy living out of the gullibility or intellectual and theoretical waywardness of contemporary managers. The situation is even worse in a contemporary situation of single paradigmatic dominance—that of a hegemony of Neo-liberal economics and market fundamentalism (Kouzmin, 2009). In search of ‘suckers’ management consultants signalled a boom in the ‘guru industry’ and precipitated a tidal wave of ‘popular’, ‘quick fix’, ‘silver bullet’ recipes for management (Jackson, 2001)—so much for the reflective practical theorist. A staggering estimate of 31,000 management gurus were ‘in business’ by the mid 1990s, charging, especially public-sector clients, like ‘wounded bulls’ (Thomas, 2003, pp116–117).

The rise of the guru and ‘checklist consulting’ has brought criticism and outrage from many a quarter, not the least from this author who argues passionately that the consultant is the ‘free riding’, third party in the difficult relationship between academic management research and informed practice. The limitations of the material produced by the ‘guru industry’ have been outlined by Micklethwait and Wooldridge (1996, p15) in a damming critique of the management consulting industry. Such guru-driven advice is:

• Constitutionally incapable of self criticism [or even reflection].
• Its terminology usually confuses rather than educates.
• It rarely rises above basic common sense [or the proverbs/principles of yester year].
It is faddish and bedeviled by contradictions that would not be allowed in more rigorous disciplines.

The implication of all these four criticisms is that ‘management gurus are ‘conmen’, the witch doctors of our age, playing on business people’s anxieties in order to sell ‘snake oil’ (Micklethwait & Wooldridge, 1996, p15). The guru industry is indicative of an intellectual ‘backlash’, a form of regression from the demands of the practical theorist—a ‘hankering for a world devoid of awkward contradictions and a world of ‘sound’ principles managers can rely upon (Thomas, 2003, p117). The over reliance on consultants and gurus can be construed as an extreme form of cognitive and reflective failure on behalf of managements disproportionately remunerated for their ignorance or stupidity. Shapiro (1995) writes of the need, in the face of ‘fad’ surfing in the boardroom, to reclaim the courage to manage in an age of instant answers. Micklethwait and Wooldridge (1996, pp27–48) account how the ‘re-engineering’ movement was invented as a management consulting opportunity—the first great management fad of the 1990s, contributing to millions of people losing their jobs. Having re-engineered corporate America, the ‘apostles’ of this destruction turned upon the public sector around the world under the ideological, and self serving, umbrella of globalisation and privatisation. In the future, people training to be managers and leaders will examine the moral and economic bankruptcies caused by downsizing and marvel at the single-mindedness that led down to this erroneous path (Ayling, 1997, p104).

In the unusual spirit of regret or remorse within management reflection, what has been one’s role, or silence, on the matter of the destruction of social and economic lives in the name of ‘bottom line’ rationally or buttressing CEO expectations about the value of stock options? With O’Shea and Madigan (1998, p5), the extent on the reliance on consultants goes much further, much wider. They chart a litany of US corporate desperation and ‘weak’ management. ‘To have a situation where there is a chronic dependence on consultants is an implicit admission of ineptitude in management.’ ‘It is ass-covering. That is why consultants are hired […] the fear of making a mistake’ (O’Shea & Madigan, 1998, p9). For those selling advice, advice is just as good as ‘gold.’

There is nothing intrinsically wrong with outsourcing on a strategic basis. Organisations often lack specific skill bases, especially in critical stages of strategic change. However, ‘smart’ outsourcing always involves a skills-based offset. Buying in absent, or new skills, the outsourcing contract also involved a skills transfer back into the organisation. Permanent outsourcing for reducing cost, for the achievement of ‘lean and mean’ organisational profiles by shedding staff, is an entirely new proposition, ignorant of the longer-term need to re-hire within the organisation’s life cycle and driven by an economic set of assumptions imposed, almost ideologically by consultants and others, on a not intelligent or reflective management.

The role of experts in formal organisation has always been problematic. From conflicting use of staff functions to matrix organisational-design solutions, self-managed teams and, finally, to an increased dependency on outsourcing expensive, professional support, the extent of the use/abuse of consultants in corporate life,
let alone putatively reforming public sectors, is now a public policy issue of some importance. The sheer dramatic rise in the cost of consultancies in recent years is one index of a largely unexplored phenomenon.

Communication, trust and dialogue are indispensable for negotiating expert client relationships, especially in the context of effecting organisational learning and building capacity to implement negotiated solutions and agreed strategies (Korac-Kakabadse, Korac-Kakabadse & Kouzmin, 1998). Open dialogue needs to be even more robust in the face of often unpalatable recommendations emerging from the ritual of transacting strategic-level meanings. Overly re-engineered agencies not only lose distinctive competencies, but also lose the very capacity for dialogue that severely limits the opportunity to negotiate appropriate professional-consulting linkages. The ongoing failure of many consultant interventions is also a question that needs urgent attention. From executive ‘failure’ within public agencies to understand the strategic implications of continual outsourcing and to unbridled ‘template’ arrogance of professionals and consultants shaping reform agendas, the expert-client relationship requires urgent and critical re-examination. The tendency for ‘principles’ and, now, to checklists and templates with modern-day consulting, is strongly rooted in Anglo-American managerial cultures—a ‘DNA’-like propensity for simplistic certitude.

Economics and Ideology in Management Theory

The nature of the 20th Century management ‘project’ is increasingly being acknowledged as inherently political and subject to overt and not so overt ‘normative’, even ideological, influences. The issue of values and normative proclivities of management theories are now further focused and given expression with the emergence of ‘Managerialism’—a powerful expression of ideology and a demonstration of how the role that various schools of economics play in the development of such a Managerial ‘Meta Myth’. What is rarely discussed is the question as to where this ‘Economic Rationalist’ myth come from and why did it took hold so pervasively around the Anglo-American management world (Kouzmin, Dixon and Korac-Kakabadse, 2001)?

As Kouzmin, Dixon Korac-Kakabadse (2001, p4) note, ‘Neo-Classical Economics is well known for using what are little more than metaphysical concepts devoid of operational content, such as ‘utility’. In these circumstances, empirical testing of Neo-Classical Economic theory is problematic’ (Dixon, Kouzmin and Korac-Kabadse, 1998). As the reader will discover, economics is not concerned with predictiveness, believing that if assumptions are valid, deductions and conclusions are valid. Against the cannons of the scientific ethos there exist some serious questions as to whether economics can ever be empirically testable and thus constitute a predictive body of knowledge or whether it is recognised as a body of normative, value-driven assertions about the maximising economic behaviour of selfish individuals. Economists are engaged chiefly in improving the rationality (logicality) of their theory much more than knowing whether these theories conform to the reality of the present world’ (Kouzmin, Dixon & Korac-Kakabadse, 2001, p4).
Further, ‘Neo-Classical Economic theory does not describe the actual behaviour; rather it posits rational choice—choices made by individuals with stable preferences who act rationally to maximise their welfare. The principles of economics are deduced from this assumption. ‘Neo-Classical Economics cannot be considered to have the attributes of scientific ‘elegance’, as that term is defined in the context of the philosophy of science’ (Kouzmin, Dixon and Korac-Kakabadse, 2001, p4). The claims of the scientific status of economics have given many social scientists and critics much to ponder. Unravelling the central canons of economics is not easy reading. However, understanding how economic assumptions and dogma have then been forced upon non-economic contexts, such as government and, more recently, complex organisations and their management is even more difficult but necessary. Dogma and ideology in economics needs to be fully confronted—from the centrality to economics of the Pareto optimum, to economic models of human nature and of society, to the essential reductionism of assumptions and methodology and the unwillingness of economics to engage in any discourse on value assumptions. Values are considered by economists to be beyond the scope of economics to address and claims to value-neutrality are supported by the assertion that behaviour reveals preferences, disregarding the fact that individual preferences reflect social values, culture and power structures.

The presumption of Neo-Classical Economics is that economic, social and political reality can be reduced to the interaction of rational actors. Nowhere is this more clearly demonstrated than in the fiction of the market place as the idealised economic model giving rise to Adam Smith’s ‘invisible hand’. This is, of course, at the ideological heart of ‘Economic Rationalism’. The market place is considered to be an efficient and impersonal distributor of a society’s resources, despite the reality of market failure (Kouzmin, Dixon & Korac-Kakabadse, 2001, p7).

There are many ‘churches’ within neo-classical economics. The more important one for understanding the wholesale attack on ‘big government’ over the last four decades is Public Choice Theory (PCT). PCT is the economic study of non-market decision making. The application of economics to the study of government, for example, raises virtually no questions about whether or not economics can legitimately undertake such a role. Central to PCT is the concern with ‘big government’. ‘It is ideologically driven: state intervention is intrinsically a public ‘bad’; public sectors are inherently ‘illegitimate’ (Kouzmin, Dixon & Korac-Kakabadse, 2001, p9). Clues about the ideological ‘warfare’ between ‘public’ and ‘private’ that has so demonstrably been manifest in policy and management debates over the last 40 years become clearer.

Neo-Classical Economics has a classical distaste for the public sector. It is constantly under suspicion of being inefficient, wasteful and, thus, not giving value for money, because the absence of any automatic disciplining mechanism permits rent-seeking behaviour by bureaucrats, their clients and politicians who govern them (Kouzmin, Dixon & Korac-Kakabadse, 2001, p14).

It is very important to understand this issue. In the 1930s, private-sector managers were criticised for the ‘perks’ they enjoyed at the expense of shareholders. The debate
about the separation of ownership and control, then, was akin to today’s concern about stock options and remuneration packages of CEOs. The ‘rent seeking’ ‘slur’ against private sector managers now finds its way into public sector management, in part justifying an onslaught on the integrity and efficacy of public officials. Under the guise of this slur, one sees a wholesale attack on the role of government and the justification for the expansion of markets into public domains where markets have never been. Private is superior to public—period!

**Economics and Organisational Complexity**

Since the behavioural presumption of Neo-Classical Economics is that the rational actor on the economic, social or political stage is a maximiser of some value who acts to obtain it in a purposeful and non-randomised manner, he/she will always be self-serving, even deceitful and dishonest, whenever he/she has the incentive and opportunity to do so, which means that altruism, like heroism, is re-cast as a complex expressions of self-interest. An organisation becomes viewed in terms of contracting between parties, the governance of such contracting and the conferring of property rights (Kouzmin, Dixon & Korac-Kakabadse, 2001, p14).

The epistemological roots of this view lie in Transaction-Cost Theory, which explores the problem of market transactions not being costless, and in Agency Theory, which explores the Principle-Agent problem within an organisation. Transaction-Cost Theory sees an organisation as an information-gathering and information-processing mechanism created to obviate the need to renegotiate, continually, market-transaction contracts unavoidably incomplete due to environmental uncertainty. Agency Theory sees an organisation as a governance mechanism oversighting the hierarchical contractual relationship between the ‘principal’ (such as an owner) or, in the public sector, a politician who delegates decision-making discretion to an ‘agent’ (such as a manager).

These fundamental economic concepts of transaction cost and principal-agent governance mechanisms are foreign to any understanding of organisational behaviour. The very ‘glue’ of organisation—communication, coordination and trust are rendered ‘costs,’ needing to be minimised, and the only way of managing is through coercive contracts and the application of sanctions. These economic assumptions, applied to organisational realities do serious damage to management theory with decades of Human Relations research and understanding. Economic precepts applied to organisational realities are like ‘Venus versus Mars’—and yet this is the prevailing orthodoxy.

One finally arrives at a deconstruction of the managerial meta-myth. Here one has the heart of the presumption of the superiority of private managerial prerogatives—ones that dig deep into ‘Scientific Management’ and rooted in an arrogance of the superiority of business and markets, notwithstanding 70 years of public intervention mitigating such arrogance since the market collapse in the early 1930s and the global financial crisis (CFC) of 2008/2009 (Kouzmin & Dixon, 2011). Economics is a discipline obsessed with, and exalting, a cult of least-cost efficiency. It links
myths of markets to efficiencies by ignoring macro measures of wastage of human and capital resources in business failures.

The economist demand to conceptualise complex organisational design issues merely in terms of organisational ‘black boxes’ interacting with informational and cost influences (transaction costs), underscores vulnerability to economic dogma, especially in non-routine management situations and risk assessment contexts. Organisations are more than asymmetrical, least-cost, information-seeking entrepreneurial units (Kouzmin, Dixon & Korac-Kakabadse, 2001, p22).

Rather than Management Theory finally coming to terms with its inherent proclivity to ideological expression, much of current legitimation depends heavily upon an expansion of this ideological proclivity. So much so, in current Anglo-American economies and, especially in public sectors, it could be argued that organisational and managerial agendas have been intellectually and epistemologically ‘high jacked’ by a virulent strain of positivist ‘science’—Economic Rationalism (Kouzmin, Dixon & Korac-Kakabadse, 2001, p19).

Kuttner (2002, p22) observes that ‘market fundamentalism has been so ascendant for so long—politically, culturally, financially—that we are only at the very beginning of an ideological sea change’. Regulation is not a one-time action but an ongoing process after the Enron and other corporate scandals and the GFC. One needs to be reminded that the mixed economy itself needs to be rehabilitated and market fundamentalism disgraced (Stiglitz, 2002). ‘The market fundamentalists who insist on the deregulation and privatisation of particular industries have been responsible for the entire set of free-market era claims that are urgently due for scholarly reappraisal and broad political [and epistemological] challenge (Kuttner, 2002, p26).

In any discussion of correcting market failure, the focus needs to be on the inability of open markets to allocate collective costs of economic adjustment, especially in terms of dislocation and social and environmental costs. ‘Markets are without a mechanism for assessing the cultural, social and national imperatives by which public sector intervention is frequently deemed desirable’ (Valentine, 1996, p3).

In any discussion of correcting market failure, the focus needs to be on the inability of open markets to allocate collective costs of economic adjustment, especially in terms of dislocation and social and environmental costs. ‘Markets are without a mechanism for assessing the cultural, social and national imperatives by which public sector intervention is frequently deemed desirable’ (Valentine, 1996, p3). Market failures, such as ownership concentration, factor immobility and lack of transparency in pricing, involve high social costs. Crisis management and global risk encompass awesome agendas, not the least of which involve the vital areas of sustainable development and inter-generational utility. Parker (2002) argues that managerialism is a global form of ideology that is being used to rationalise and justify social exclusion and economic inequality—a ‘value free’ management theory (Johnston & Kouzmin, 1998)?

**Markets and Convergence**

‘The world of management, and especially management theory, has by no means been immune from ethnocentrism […] it has been implicitly assumed that Western, especially American management, is to be equated with ‘successful’ management.’ So Thomas (2003, p184) begins a discussion on the vexatious issue of convergence or
divergence—one or many roads to effective management. With globalisation, this question becomes even more vexatious. According to the convergence argument, successful management systems in well-developed countries (in the ‘northern gradient’) should, and will, be ‘transferred’ to the newly industrialising countries (the ‘southern gradient’).

But as Thomas (2003, pp185–186) points out, directly transferable management approaches need to be modified with the cultural assumptions that underpin management in that country. Comparative management needs to be respectful of ‘formative context’—organisational arrangements and cognitive frames that shape the routines of organisational actors and govern the intervention of alternative forms of problem solving (Unger, 1987).

Considering that national culture mediates the process of strategy formulation and that a market-oriented economy assumes an openness to foreign investment and trade, there is a need for understanding cross-cultural diversity. Differences in national cultures are often likely to result in different interpretations and responses to the same strategic issue. For example, accounting systems and their manner of use often vary along national cultural lines, although they may impact on a multiplicity of trading partners. ‘The imminent introduction of international accounting standards, for example, is still based on national jurisdictions and reflects ‘American exceptionalism’ more than any global consensus’ (Thorne & Kouzmin, 2004, p417).

The ‘global reach’ of American management was not wholly intellectual. After 1960, with Britain and France withdrawing as colonial powers on a global basis, public administration scholars, especially, fought to rewrite the theoretical literature so far as it had been developed by the ‘Europeans’ to meet the charter of the Ford Foundation (Heady, 1979, p16).

Heady (1979, p17) continues:

> The 1950s was a wonderful period. The ‘American Dream’ was the World Dream—and the best and quickest way to bring that dream into reality was through the mechanism of [management transfer][…]. In the 1950s, public administration experts were magicians of a sort […] they were eagerly recruited by US aid-giving agencies and readily accepted by most of the new nations, along with a lot of other experts as well.

Economists replaced these groups as ‘experts’. Jones (1976, p101) states that ‘the public administration technicians, the POSDCORB-types of the 1950s were exterminated by a new animal as fearsome and aggressive as the ancient Norsemen—the new development economists’. Within the cold war context, political diversity was sought to be managed and redesigned through the intellectual domain of comparative and development management. In a post Cold War context, political diversity, whilst increasingly problematic (Huntington, 1996), continues to be managed and redesigned through the intellectual domains of globalisation and economic rationalism.

Globalisation as a concept refers both to the ‘compression’ of the world and the intensification of consciousness in the world as a whole (Robertson, 1992). In
pragmatic form, this translates to a complex form of internationalisation; implying a degree of functional integration of internationally dispersed economic activities having combined and uneven effects across space and time (Dicken, 1992, p2). Thomas (2003, pp215–218) usefully distinguishes between internationalisation and globalisation, with former trend having prevailed for some time and the latter, globalisation, not entering into management discourse until the early 1980s.

Globalisation is, of course, central to current debates over managerialism. Does information and communication technologies (ICT) drive new organisational designs, which many assume to be the case or is ICT one instrument through which significant changes to organisation and economies are made under banners of market-driven rationales? ICT advancement and its influence on the reordering of organisations, has encouraged a variety of intellectual debates relating to societal development. ‘These have been variously defined as ‘industrialisation’; ‘modernisation’; ‘neo-’ and ‘post-Fordism’; ‘late capitalism’; ‘post-industrialisation’; ‘post-modernisation’; the ‘consumer society’; ‘Toyotaism’; ‘Japanisation’; an ‘information-economy’; and ‘globalisation’ (Korac-Kakabadse & Kouzmin, 1999, p292)’. Furthermore, ‘globalisation; innovation; continuous improvement; organisational networking; technology alignment; growth; mergers; acquisitions; downsizing; reorganisation; de-layering; re-engineering and workforce profile adjustments—all imply organisational redesign and change (Korac-Kakabadse & Kouzmin, 1999, p292)’. These changes are responses to prevailing ideological imperatives, managerial fads, technological change and managerially-induced fluidity of workforces.

With these global forces operating, many public and private sector organisations find the pressure to accept managerialist and consultant-driven recipes (restructuring, de-layering, re-engineering, outsourcing) irresistible. The idea that these recipes might not be appropriate is often inconceivable. As with all other organisational choices, there are costs as well as benefits associated with choice; every gain in short-term efficiency carries with it a potential loss of longer-term capability. Unfortunately, potential losses are more often than not intangible and, thus, very often underestimated. Nonetheless, these losses are real and often may have very marked long-term effects. Choosing inappropriate management models without supporting capabilities and an effective information infrastructure may have ‘creeping crisis’ effects (Kouzmin, Korac-Kakabadse & Jarman, 1996).

Past experience of many Asian, African and Latin American governments that resulted in large investment in management training at prestigious foreign universities has yielded ambiguous results. The often quasi-anecdotal comments that ‘the authoritarianism and misbegotten economic policies of many countries can be blamed on the Harvard Business School’ (Walsh, 1994, p53) reveals a need for management capabilities sensitive to formative contexts. Furthermore, the information provided about market economies and their underlying assumptions need critical re-examination. For example, the celebration of entrepreneurialism in Western management literature and other media, hailing small and large
entrepreneurs as heroes, ignores considerable evidence suggesting that small businesses are often not the motor of productivity, although they are often producers of innovation (Australia, DEET, 1995).

**What is Going on and so What?**

From the original Berle and Means (1932/1991) provocative thesis about the increasing unaccountability of professionalised managers to shareholders of corporations to the imposition of Principal-Agent prescriptions on altruistic and competent public officials, the issue of who actually engages in ‘rent-seeking’ behaviour, in increasingly globalising economies, is remarkably undiscussed. With the original critique of rampant rent-seeking within private sector governance structures, the ‘slur’ of rent-seeking has found its way, via ideological projection, onto the shortcomings of bureaucratic processes and public officials operating under competing fiscal and complex rationalities. An historical and ideologised projection of such dysfunctions has occurred namely in the hands of Neo-Classical and PCT theorists. Yet such a portrayal of public sector bureaucratic rent-seeking may be just convenient and convincing rhetoric to mask the ultimate rent-seeking behaviours of other powerful actors and groups. Highly controversial assumptions are the basis upon which a remarkable edifice of small, impotent and deskillled governance has been ‘invented’.

The ungovernability thesis is an effective way of linking both an economic and libertarian wish to reduce government, but rent-seeking assertions underpinning privatisation and out-sourcing rationales continue to ignore the pressing questions about the structure of organisation and the pathologies of managerial prerogatives—an ignorance that severely distorts organisational, and inter-agent, partnership complexities confronting the requirements of ‘smart’ management imperatives in globalising and vulnerable economies (Kouzmin, 2002; Kouzmin & Jarman, 2002).

The ‘Public-Private’ debate is a pivotal debate for the next inter-generational period of 50 years. From Max Weber and Karl Marx to contemporary writers, the central role of governments in the steering capacity of economies has been an absolute ‘truth’.

Suddenly, governments are consigned to an historical irrelevancy. Who is right? Does it matter? Are we in an important ideological turning point? Is a public good the future source of private rents? Is a declining ability to manage in the public interest a matter of concern? Can current business and management models cope with 50-year contracts delivering services? Do these models incorporate inter-generational utilities? Do they incorporate stakeholder, versus shareholder, expectations? Are these business models fail proof? By now, the reader has big concepts at hand. The reader should now be able to reflect on the managerial ‘meta-myth,’ the ongoing assertions that private management capabilities are inherently superior and, especially, the role of MBA/DBA research in perpetuating these ‘ideologised’ positions.
References


Author Profile

Alexander Kouzmin is a Professor of Management in the Southern Cross Business School. He has published 10 books; contributed some 80 chapters to national and international monographs/books; presented research papers and keynote addresses at 230 international conferences and has published, to date, some 240 peer-reviewed, research papers. He has supervised/ co-supervised 52 doctoral candidates, has been an examiner for 24 doctoral theses, is currently on eight international editorial boards, having served on 11 other international editorial boards over extended periods, and is a founding co-editor of Blackwell’s Journal of Contingencies and Crisis Management, published quarterly since March 1993. Email: akouzmin@scu.edu.au
Overview

There is a view in the management of doctoral research programs that ‘the quality of the supervision within the program equals the quality of the program’. That is, the quality of the program is not totally contingent upon the strength of the doctoral candidates.

If one accepts this dictum as correct or even relevant, then those charged with the quality and responsibility of a research program are required to ensure that the supervisors of the research projects are capable supervisors and have available to them rigorous professional development opportunities to maintain their professional and supervision skills.

There is also considerable discussion in higher degree research (HDR) literature about what constitutes ‘good’ HDR Supervision. The discussion, consciously or unconsciously explores other questions such as ‘What is Research?’ and ‘What is Supervision?’ and in doing so reveals multiple constructs and dissonance across the terrain. Accordingly, a curriculum for Higher Degree Research supervision must adopt a constructivist stance in order to portray these multiple possible meanings for ‘good’ research supervision.

This chapter explores the design, development and delivery of an on-line professional development program for doctoral research supervisors who are supervising research thesis for Doctor of Business Administration candidates.

Introduction

The Southern Cross 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 of the degree is a minimum of 66% of the program (that is 16 units of 24 units of study are the thesis component with an additional two units involving preliminary work for the thesis). Candidates therefore 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 experience academic who is appointed to supervise the project.

The policy on the supervision of doctoral candidates is to appoint a suitably qualified and experienced 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 DBA supervisor register on the appropriate form and undergo a rigorous review to ensure that they are experienced researchers capable of undertaking doctoral supervisory roles.

The Graduate College of Management (GCM) utilises a ‘pod’ model for supervision at all overseas locations where the program is delivered. The GCM uses the terms ‘co-supervisor’ for supervisors who are located at overseas locations and ‘principal supervisor’ for the supervisor who is appointed to take responsibility for principal supervision of all candidates (and local co-supervisors) at an overseas location (partner). Pod supervisors are full time members of SCU staff while co-supervisors are employees of the local partner institution.

Under the ‘pod’ supervision model for overseas centres, 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.

In 2007, the then Director of the DBA, Associate Professor Peter Miller commissioned the development of a 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. 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:

- Assist HDR supervisors to examine the nature of HDR supervision and to discuss what might constitute ‘effective’ research supervision
- Assist HDR supervisors to articulate and reflect on their supervisory practice in a collegial environment
• Expose HDR supervisors to different models of supervisory practice
• Assist HDR supervisors to develop a critical understanding of the teaching and learning processes involved in effective HDR supervision
• Engage HDR supervisors in a reflective process to challenge and extend their understanding of effective supervision
• Expose HDR supervisors to the resources available to assist effective supervisory practice outside the SCU environment.

There has been considerable discussion about supervision of Higher Degree Research (HDR) in 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 higher degree research (Zuber-Skerritt, 1994; Conrad, 1996, Pearson & Brew, 2002; Manatunga, 2005). This focus on completion has been accentuated by Federal Government 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 research training curriculum and also drew attention to curricula for HDR supervision 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 resource, developed by the ATN universities in 2002 is an example of one such resource. It offers a number of on-line activities to help research supervisors improve their research supervision practice.

This chapter describes the development of an on-line HDR Supervisor professional development program that both attempts to familiarise participants with already existing on-line HDR Supervision resources, notably the FIRST resource, and to advance participants in their critical reflection of their HDR supervision practices by presenting them with multiple constructs for ‘good’ research supervision.

The chapter is based in part on the following article ‘Problematising “good” HDR supervision: A case study of an international pilot of a on-line HDR supervisor professional development program’ (Miller, P, 2007) in The International Journal of Research Supervision, vol 1, no 1, pp29–38, and is used with permission.
HDR Supervision Training Curriculum

The Nelson (2002) federal initiatives drew attention to the importance of research training curricula. 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 simultaneous information can be 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 explicitly or implied, professional development in HDR supervision has been underpinned by the exploration of the question ‘What is ‘good’ research supervision?’. Answering this question is confounded by it being not a single question but a nested set of questions asking:

1. What is ‘good’ research?
2. What is supervision?, and
3. 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 HDR literature that 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.

Exploration of all three questions emphasises the importance of adopting a curriculum approach that accommodates the multiple construct nature of this topic to recognise that there are no single answers but responses informed by the many paradigms of research and research supervision that underpin these practices.
A Professional Development Program on Higher Degree Research Supervision

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 suggests that when professionals meet together for the purpose of sharing and making explicit their professional practice this enables each of them to improve their personal practice.

Communities of Practice (Wenger & Snyder, 2000) are, as the phrase suggests, a gathering of practitioners with intent to share practice. This educational approach creates an opportunity for practitioners (in this case research supervisors) to share their experiences of being practitioners. 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 & Brew, 2002; Green, 2005). The increasing number of examples of administrative models was in Vilkinas (2002) opinion, a response to the ever increasing demands on 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.
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 by the emergence of the Research Quality Framework (RQF) 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.

Supervision as Relationship

Research student stories consistently point to the importance of their relationship with their supervisor. Salmon (1992) in her study based on the stories of ten of her research 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:

1. Good pedagogy
2. Good administration
3. Good contributions to knowledge, and
4. Good relationships

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

Methodology

It is said to be not often that organisations provide their staff with the learning tools necessary for them to extract maximum learning from their experiences (Wick & Leon, 1993). A research design and methodology was therefore adopted to allow the HDR Supervisors to not have just a skill building exercise in the traditional training sense, but also to provide an opportunity for maximum self reflection and
learning that aligned with the strategic directions of the organisation. Therefore, the development and evaluation of the HDR supervisor professional development program was based on an action research (Creswell, 2008), research design. This paper reports 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 doable by busy supervisors. It was also designed to be undertaken either in a self paced way as a resource or in a moderated way 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 web site so that they did not have to toggle back and forward for instructions within the online environment. The pilot program was moderated by an experienced doctoral supervisor and facilitator.

The program had an international pilot in February 2007. The pilot program drew from an international audience and included research supervisors from a number of disciplines and from 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. The supervisors were located in Australia, Singapore and New Zealand.
Results

The program was formally and independently evaluated. Participants were asked to respond to an evaluative 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 seven-point Likert scale)
2. How often is your experience of the following true (rated on a five-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
   k. The program assisted me to conceptualise my supervision differently
   l. My students will benefit from me undertaking the program
   m. I would recommend the program to my colleagues

A summary of results are shown in Table 17.1 below.

Table 17.1: 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:

1. What is one aspect of the program that you consider should be changed?
2. What is one aspect of the program that you consider should remain the same?
3. In your opinion, what other improvements to the program could be made to make the program more effective?
4. 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 online 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 the Reflective Practitioner, Practitioner Investigation and Community of Practice. The design and structure of the pilot program under investigation in this paper 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 paper 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 further developing the professional development program will be to endeavour to operationalise these constructs and to 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 higher degree research (HDR) literature about what constitutes ‘good’ HDR Supervision and about whether HDR Supervision can be considered as teaching.

A constructual framework of four constructs of ‘good’ HDR supervision has been developed that was then used to form the basis of an on-line HDR supervisor professional development program.

Building on the educational philosophies of the Reflective Practitioner, Practitioner Investigation and Community of Practice, an 8 module on-line professional development program for HDR supervisors was developed and piloted. An evaluation of the program demonstrated that the HDR supervisor participants started 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.
The professional development 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. 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.

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Chapter 18
Asian Research Symposia
A Selvanathan

Overview

Southern Cross University (SCU) Doctor of Business Administration (DBA) symposia provides a timely platform for doctoral candidates from all academic disciplines, their supervisors, senior faculty members and industry experts to discuss cutting edge research issues. The exchange of ideas and comments made by all participants enable doctoral candidates to have a better understanding of research issues and research design. It also enables them to improve their thesis writing skills, meet other candidates for networking, intellectual exchange, compare progress and exchange tips.

Held bi-annually at the City University College of Science and Technology, Kuala Lumpur, symposia are an important mechanism for the strengthening of the educational partnership between SCU and its offshore centres including City U. Doctoral candidates, from a broad range of research areas share their research experiences through research in progress presentations and benefit from dialogue with senior academic staff and industrial experts.

This chapter details the features of the Doctoral Symposium. Using the symposium conducted in Kuala Lumpur in June 2008, it reports on the topics covered. These included the examination process, the writing of abstract and the feedback from participants.

Introduction

Conducting doctoral research is often a lonely exercise; particularly for part time off campus candidates who have to balance their work, study and family commitments (Abang 2010). Hence, candidates look forward to a Doctoral Symposium as it enables them to meet other candidates for networking, intellectual exchange, comparing progress, exchanging tips and exploring different research methodologies. An important source for scholarly insights, much needed encouragement and motivation, the Symposium is also a useful forum for candidates, supervisors and the faculty to discuss cutting edge research topics.
Accordingly, all candidates enrolled in the Southern Cross University Doctor of Business Administration (DBA) program benefit from a DBA Symposium. It is held biannually at the Tweed Gold Coast Campus and at the campuses of the offshore educational partnerships including City University College of Science and Technology (City U) in Malaysia.

Convened every May and November in Malaysia, the Symposium brings together doctoral candidates from all academic disciplines for a sharing of their research experiences, through presentations to a larger audience. They also receive suggestions from experts and business leaders in a broad range of research areas, confirm examination requirements and develop ongoing associations and dialogue with fellow candidates.

Candidates attending the Symposium are required to prepare a one page summary of their research in progress. They also have to defend the topic, the position taken and the research design in a Q & A session with other candidates, supervisors and the DBA academic supervisory team.

To help participants with their preparation, the City U conducts Symposium Information Sessions, abstract writing, poster design and presentation workshops. All the DBA candidates must attend the symposium at least once a year as it is a vital part of the route towards the successful completion of the DBA program.

The June 2008 Malaysian Symposium (A Case Study)

This Symposium, held at the City U campus in Kuala Lumpur, Malaysia was well attended with 43 DBA candidates, nine supervisors and the senior faculty of both City U and SCU. These included Professor Geoff Meredith, Professor A Selvanathan, Associate Professor Peter Miller, Associate Professor Michelle Wallace and Associate Professor Kevin Low.

The Symposium had four segments: i) Presentations by the SCU team on critical aspects of the DBA programmes, ii) DBA Candidates’ Research in Progress Presentations iii) A writing work shop on abstracts and finally a Symposium feedback session.

Presentations by the SCU Team

This session commenced with a one hour presentation by Professor Geoff Meredith. A former Director of the Graduate College of Management with lengthy DBA supervisory experience, his topic centred on the examination process for a doctoral thesis. The candidates were familiarised with the examination criteria and advised on how they should prepare themselves to meet them.

A literature review drives the research and is an essential first step when undertaking a research project (Neuman, 2006). This was reiterated by Associate Professor Peter Miller in his presentation on the development of the preliminary literature review, which is an early requirement of the DBA program. Guided by an
outline of the literature review, candidates discussed the multiple purposes of the literature review, and exchanged views on how to find relevant research articles, identify gaps in the literature and develop the research questions/hypotheses.

Any research with people is considered Human Research and this raises moral and ethical issues (Bouma, 2000). Since research involves the acquisition, analysis and distribution of information, it ought to be done without causing harm to research participants (Zikmund, 2003). Accordingly, all research proposals must be approved by the Southern Cross University Human Research Ethics Committee (HREC) before the commencement of the primary data collection process. Given this requirement, the application process was highlighted by Associate Professor Michelle Wallace’s presentation. Since DBA type research including surveys, interviews and focus groups are usually associated with low risk, the candidates were also alerted to the Expedited Ethics Application procedures. These were detailed with special emphasis on the vital issues such as Rights of Participants and the Precedence of rights over expected benefits of the research to human knowledge. Candidates discussed the underlying ethical principles, which are:

• Anonymity
• Confidentiality
• Ability to withdraw at any time
• No inducements or coercion to participate
• Secure lodging of data
• Aggregated results available to participants

**DBA Candidates’ Research in Progress Presentations**

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,
• Enable candidates to reflect on their research by having to prepare a presentation to their peers.

All doctoral candidates made 10-minute PowerPoint presentations on proposed and current research projects. The topics ranged from earnings management, the performance measurement of government-linked companies, corporate social reporting, corporate governance, the market outlook in telecommunication industry to consumer ethics. The summaries of five pertinent presentations are listed below:

Prior research on Government Linked Companies (GLCs) revealed that several incur losses due to poor governance, excessive political interference and in some cases the prevalence of corrupt practices. Accordingly, a primary aim of this research was to identify the desired approaches for strengthening the governance and leadership capabilities of Malaysian GLCs for improving their business performance.

2. The Internationalisation of Malaysian Manufacturing Small and Medium Enterprises, by Tan Lin Lah

Small and medium enterprises are the drivers of the Malaysian economy. However, they face challenges for adopting and implementing appropriate internationalisation strategies to address global competitive challenges. While there is significant literature on government policies to promote Malaysian SMEs, there is limited knowledge about the approaches that manufacturing SMEs should adopt for addressing the challenges that they face. The research was therefore aimed at identifying the measures that SMEs should take for successful internationalization in order to retain their international competitiveness.


Chinese family-controlled businesses dominate the Malaysian corporate sector. Despite their successes, they remain Chinese in a deep and significant sense and the Confusion tradition is remarkably persistent. The primary aim of this research was to investigate the impact of culture on the management and corporate governance practices of Malaysian Chinese controlled public listed companies. The findings should extend the body of knowledge on the corporate governance practices of the Chinese business community and offer recommendations for enhancing good corporate governance practices.


In the wake of the 2007 global and economic financial crisis, businesses are faced with the challenge of survival and sustainability. Malaysian Telcos, facing increased rivalry for market share and customer equity are compelled to venture into foreign markets. They also have to retain customer loyalty in a highly competitive market that is rapidly changing due to the advent of mobile number portability and emerging technologies. Despite the topics’ significance, prior research is limited. The findings should therefore be of value to Government regulatory bodies and to the Telcos for enhancing their sustainability and competitiveness.
5. The Internationalisation of Malaysian Engineering Consulting Services (ECS) Firms, by Wong Wai Wah

Trade in goods and services is being globalised. While service trade represents the fastest growth sector of the world economy, it only accounts for 20% of the world trade. Since Malaysian ECS firms are basically domestic in nature with limited service exports, they will be hard hit by domestic recessionary condition. Domestic competition is stiff due to the small domestic market and the entry of foreign ECS players, with the advent of GATS and WTO. This situation compels the Malaysian ECS firms to venture into foreign markets. The research findings should assist the Malaysian ECS firms to better position themselves for exporting their services.

**Writing Workshop**

A good abstract, which is a useful summary of large amounts of work, can succinctly communicate complex research. An important component of a thesis (Perry, 2002) and with a word count ranging from 100–350 words it typically outlines the focus, the research design, the findings, the main conclusions and the recommendations. In certain situations, an extended abstract of five double-spaced pages length may be appropriate. Used in major presentations, such abstracts provide some focused details, significant data, present arguments and recommendations.

The abstracts and extended abstracts are useful for personal presentations and for highlighting the academic objectives during a Symposium. As for the personal presentation, the abstracts and extended abstracts provide an opportunity to the candidates to gather their thoughts by decontextualising the methods, data, and assertions in the research areas. Furthermore, abstracts are efficient to share new ideas among the audience, reinforce the knowledge on the subject and maintain the candidate’s ability to be clear and concise.

Candidates at the Symposium benefitted from presentations and discussions on:

- Qualities of good abstracts
- Guidelines for writing abstracts
- Strategies for the writing process
- Discussion and questions

**Qualities of good abstracts**

It is necessary for candidates to focus on a few issues during the preparation of the abstracts for presentation in the Symposium. An important one is the ‘introduction-body-conclusion’ structure, which covers 1) Introduction 2) Theory 3) Experiment 4) Results [Discussion] and 5) Conclusion [Recommendations]. Since the abstract must also be a coherent whole and a stand-alone entity, the content must be proper, clear and easy to read. It should also be presented in a form that enables the audiences to have a quick understanding of what the candidates intend to present.
For this purpose, the candidates can use consistent organising principles, descriptive headings, appropriate citation methods and formatting.

During the discussion on the construct of good abstracts, the candidates considered the following questions:

- What was the purpose of the research? Importance?
- What does the current research say? What problem did you address?
- How did you attempt to / solve this problem?
- What method(s) were used? What was done?
- What significant data were collected?
- What new ideas, problems emerged? What can be concluded?

During the presentation, the candidates also noted the following rules in the language part:

- Formal diction: no casual or colloquial phrasing
- Avoid jargon whenever possible
- Do not use contractions (couldn’t, didn’t, etc.)
- Use abbreviations to avoid repetition, but only after you have defined them
- Do not include personal narrative, opinion or commentary
- Use active voice when possible

**Guidelines for writing abstracts**

1. While the passive voice is not a universal rule, active constructions should be used when possible
2. Past tense is the dominant, but present and future should be used when appropriate
3. Use personal constructions where appropriate

*The goal is to be clear about who did what, and when, not to seem objective at all costs; detachment, not vagueness.*

Plain language should be used whenever possible and vary sentence complexity and rhythm to avoid choppiness. Candidates should also avoid wordiness and ‘roundabout’ and unusual phrasing. The best way is to use the lowest level of abstraction at all times.

*The goal is to make the text easy to read and follow; clarity, not pedantry.*
During the discussion on the content revisited procedures, the candidates noted the three vital factors:

• Concision: Say only what you mean
  – Avoid unnecessary adjectives
  – Avoid tangents and unwarranted commentary
• Narrative: Form a logical narrative of ideas, not a story of the experience
  – Avoid step-by-step coverage outside of describing critical procedures, important causal phenomena, etc.
  – Avoid speculation, deviation from main idea or line of inquiry
• Scope: Select only what is needed to make the point
  – Use illustrations and figures only to show new techniques, results or to support your argument

**Strategies for the writing process**

Candidates adopt different strategies in writing up their abstracts for the presentations. Talking about the research with others, either with experts from the industry or non-experts provides a better understanding of the area chosen for research. The candidates can also read the texts in the research area and write the first draft without the notes obtained. Using an outline with content headings has an added advantage as well. It is also important that the candidates leave some time for personal and peer revision before the presentation.

**Discussions and questions**

The more discussion by the audience during the symposium, the better it is. The candidates should be able to discuss the chosen researched topic during the symposium. Many candidates are found to be defensive during the Q & A time of the presentation. This is a serious mistake as the Q & A time is usually utilised to help the candidates and audience to better understand the research being done. Thus, responses and feedback from the audience will definitely help the candidate to identify the problems where he or she cannot see.

**Symposium Feedback**

All the participants in the June 2008 Malaysian Symposium were given a feedback form to evaluate the usefulness of the Symposium. The pertinent feedback is as follows:

*Overall, how would you rate the symposium = 6.0 on a 7.0 scale*

Based on the qualitative feedback, most of the candidates were of the view that the Symposium was an important forum for intellectual exchange, comparing progress and for networking. They also valued the comments that they received on their research-in-progress presentations as they serve to enhance their confidence for their DBA thesis writing process. The candidates also considered it realistic to
meet up twice a year to discuss the latest development of the research findings through the networking established during the symposium. The most commonly and welcome discussed issue was the area of research methodology as they learned much from the various types of methodologies that were discussed. An analysis of the response pattern revealed that:

1. It is necessary for SCU to create an appropriate regional framework for fostering cooperation with all its offshore partners to enhance the delivery and quality of the DBA program and associated research activities.

2. The DBA Symposium is a useful single platform for doctoral candidates from all academic disciplines, their supervisors, senior faculty members and industry experts to discuss cutting edge research issues.

3. The exchange of ideas and comments made by all participants provides for an improved methodology for the candidate’s research endeavours.

4. The Symposium is a must for the DBA candidates to attend as it contributes towards their DBA thesis writing.

5. The Symposium is an important mechanism for the strengthening of the educational partnership between SCU and its offshore centres including City U.

**Conclusion**

The Doctoral Symposia is a key priority of the University’s overall educational efforts that are aimed at ensuring that DBA candidates, supervisors and other support personnel receive essential information on the program. It also provides guidance and practical tools to improve the quality of the thesis writing in the different regions of the world. Conducted as ‘in person’ meetings in different geographical regions of the world, the format is designed to encourage the audience to fully participate in the Symposium. The DBA candidates benefit from feedback on their research and progress presentations, networking and interactions with experts in a wide range of research areas.
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Chapter 19
Publishing Research Outcomes
Geoffrey Meredith

Overview
The chapter provides guidelines for graduates wishing to publish from a doctoral thesis. The chapter looks at the rationale of publishing from a doctoral thesis, setting a timetable, remaining motivated in the exercise, and then considers the question of content of articles to be published, followed by discussion on selecting possible journals. Attention is then directed to meeting the requirements of potential journals, preparing a format for the published article and examining technical issues associated with writing research papers. The chapter ends by illustrating the selection of three potential articles from a Southern Cross University DBA thesis approved by examiners in 2008. This illustration sets out the structure of the Thesis, comments on its content and relates the content and structure to potential refereed journal articles. The intention is to show how the issues raised in the first part of the chapter can be applied to the preparation of articles for publication.

I wish to acknowledge Dr Chad Perry—formerly Professor of Management, Southern Cross University, now retired—who researched articles/books on the writing/publishing from theses and from which the following draws on his work.

Introduction
The chapter has three sections each with individual objectives—the first section focuses on matters that are important for the candidate as a potential journal article writer and this section discusses the rationale associated with publishing from a doctoral thesis, remaining motivated as a writer, and setting a timetable to ensure adequate progress in the writing process.

The second part of the chapter focuses on the very important issue of how articles can be designed based on a doctoral thesis. Given a completed and approved thesis, what approaches should be taken to identify potential articles based on thesis content? Related to this issue is the question of selecting appropriate journals and this is an important issue for candidates who wish to use the publishing process as a means of gaining academic development and promotion.
The third part of the chapter deals with what might be called ‘mechanical issues’ such as the format of the articles, meeting the requirements of potential journals, technical issues concerning referencing and the writing technique linked to rules associated with academic publications.

The final section of the chapter contains an illustration of how a number of articles may be designed from an actual Southern Cross University DBA Thesis approved by examiners in 2008.

Given the above objectives, the structure of the chapter covers publishing rationale and timetable, approaches to writing that should be taken by candidates, identifying potential content and selecting journals, meeting the requirements of those journals and then the technical issues associated with article format for illustrating the process with and example from a DBA Thesis.

**Publishing Rationale**

Individual researchers are likely to have individual reasons for publishing from their research theses, however it can be argued that there is one supporting argument in favour of publication from a DBA thesis that applies to every successful research degree outcome. In producing a research outcome based on a number of years of research, the candidate has had support from his or her supervisor, his or her institution, probably many perhaps hundreds of practitioners who have provided information for the benefit of the research investigation, and peers who have supported the research as a result of symposia presentations or the equivalent within the institute. Based on these facts, an argument can be made that doctoral candidates have an obligation to publish results of their research for the benefit of the public at large and readers who may have a particular interest in their field of study.

Other than this general statement supporting publication, there is no doubt that many graduates may wish to publish for a number of different reasons:

- To build up a network of fellow researchers interested in their particular field of study—publishing results through journal articles will assist in building up this network.
- Advancing the writer in the research field and within an academic for professional environment—producing status for the writer given that society as a whole becomes aware of the research completed and the achievements from that research.
- Publishing may assist in the creation or establishment of the credentials important for personal promotion or development of the individual writer.
- The design of a research paper from a thesis, meeting the requirements of potential journals, and submitting articles to editors and reacting to comments from editorial reviewers, is part of a research discipline that is an important learning process for researchers.
Linked to this question of publishing rationale, are issues of personal motivation for the writer and the question of writing timetable.

As for most successful ventures, being successful in producing an article from a research thesis requires planning. The writer should therefore:

- Establish a writing habit—deciding when writing will take place during a day or week and the conditions that will provide adequate motivation for writing progress.
- Set a target for what is to be written—how long is to be allocated to the writing process whether it be one hour or half a day.
- Continuously plan ahead of the writing—what has been written to date, what is the next stage in the writing process, what will follow down the track?
- Maintain motivation by reviewing progress, expose what has been written to others that can comment on content and direction and style—if the occasion arises, present thoughts in a seminar or some kind of workshop in order to get feedback. Network the potential article, as since the advice from those who are part of the network, will undoubtedly improve the quality of writing output.
- More will be said on planning the structure of the article later in the chapter, however in discussing motivation and writing timetable, the point needs to be stressed that an overall structure of the article should be an obvious starting point and progress made linked to that planned structure.

**Selecting a Journal**

Before any writing starts and in fact before any article is planned in terms of structure, some thought must be given to the journal or journals to which the article will eventually be submitted. Keep in mind that there are thousands of journals in the business and management area published each year throughout the world. Keep also in mind that many journals publish articles in a particular field or discipline area and are only concerned with articles in that particular area.

Thus in selecting a journal or at least reducing the number of potential journals to a manageable list, the following process could be followed:

- Take the view that several journals will eventually be included in a short list for submission of an article.
- Review potential journals from the point of view of disciplinary area—as stated above, there is no point in submitting an article on aspects of human resource management to a journal that is only interested in articles on small enterprise management or management systems.
- Accept the reality that journals have varying levels of quality and standing in the community. Some journals seek articles that can be read and assimilated by the general public; other journals have articles that they regard as of an intense ‘practical’ nature whereas other journals may focus on articles that might be regarded as highly theoretical or ‘academic’.
The starting point is to get some idea of the standing of the journal perhaps by reading what the journal has to say in terms of editorial guidelines and publishing policy. Generally these policies and guidelines are specific and will allow a researcher to immediately classify the journal in terms of its market and direction. In Australia there is an official classification of journals ranked in terms of quality and perceived expertise. In general we can say that journals that do not submit articles to referees are unlikely to be highly regarded in the market place.

Further information concerning journals may be obtained by reviewing each journal editorial advisory board—there is usually a list of professionals or academics or business executives who have agreed to review submitted articles and pass judgment on whether those articles are worthy of publication or whether they should be revised or rejected. Make-up of such an editorial advisory board would again convey some evidence of the likely standard or quality of articles sought by the editors.

An obvious approach to gauging an opinion on the quality of a journal is to scan some of the articles in the journal and pass judgment on the quality of the material and the standard that seems to be set by the editorial board. If it is felt that you can produce articles of a similar standard and feel comfortable with the approach taken by editors to articles published in the journal, then this is a good indicator to include a particular journal in your shortlist.

Keep in mind that all editors insist on a statement from researchers as authors that they have not submitted the article to any other journal or publisher—therefore in the final analysis, researchers need to select one journal from a shortlist for submission purposes, although if that journal rejects the article, the research but then should feel free to submit the material to other journals.

Meeting Requirements of Journals

Mention has already been made of the importance of identifying the philosophy and objectives of individual journals—any articles submitted to a journal must fit within their requirements in terms of objectives of the editorial committee and the direction required of the journal in terms of whether the article is meant for practitioners or academics or some other group.

Of equal importance is the question of technical issues and format demanded by editors or journals. Set out below is an extract of the editorial guidelines included in an Australian journal dedicated to small enterprise research. This is the journal of the Small Enterprise Association of Australia and New Zealand and the extract below sets out editorial policy and then details requirements for the submission of manuscripts. Every journal will have such a statement but if such a statement does not exist in the journal then editors should be contacted to obtain such details. There is no point in submitting a manuscript to a journal if the article does not meet manuscript requirements.
Small Enterprise Research—Editorial Guidelines/Editorial Policy

The purpose of Small Enterprise Research is to publish high quality articles, notes and reviews on subjects of interest in the fields of small enterprise management, entrepreneurship, regulation, policy and education and training. As the official journal of the Small Enterprise Association of Australia and New Zealand, Small Enterprise Research is intended to be a primary instrument for supporting the objectives of SEAANZ, which include the development of scholarship, education and research in small enterprise and enterprise management including encouraging the application of research findings.

Manuscripts should be empirical or analytical; and also rigorous, yet preferably intelligible to a wide audience of researchers, educators, counsellors and policy makers. All manuscripts received (other than book reviews) are double blind refereed on initial submission and again (by the same referees) if resubmitted or amended. Book reviews are reviewed by the editors. The subsequent placement of papers in different sections of the journal is entirely an editorial decision. In recognition of its refereeing process the journal is included in the Australian Department of Education, Science and Training’s Register of Refereed Journals.

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Submission of Manuscripts

The first page of the manuscript should contain the following:

1. Title
2. Author/s (indicating author for correspondence).
3. Institutional Affiliation of Author/s.
4. Abstract of not more than 150 words.
5. Any acknowledgment/s, not exceeding 150 words.

Manuscripts should not normally exceed 6,000 words, however, papers exceeding this limit will be considered.

Manuscripts should be formatted to print on one side of A4 paper only, double-spaced with one inch margins; all pages should be numbered. Please refrain from unnecessary formatting.

Figures, tables, diagrams, etc, should be prepared in Word or a compatible package and are to be numbered and consecutively titled. They must be formatted to fit in a space no larger than a single portrait page.

Footnotes must appear on the page they are referred to and not as a separate sheet at the end of the manuscript. Acknowledgments should not appear as a footnote.
References should appear in the text as Jones (1990) or Jones (1990, p.62). The full references should be typed on separate sheets at the end of the manuscript. The following guidelines should be adopted:

**Monographs**


**Periodicals**


The style for the Journal should follow the guidelines of *Style Manual for Authors, Editors and Printers*. Canberra: MIPS.

Mathematical notation should be used only where its rigour and precision are indispensable, and authors should explain in narrative form the principal operations performed. Such notations should be avoided in footnotes. Equations should be numbered in parentheses, flush with the right hand margin.

Manuscripts should be submitted electronically as an e-mail attachment to the editor. If submitted in hard copy, three copies should be submitted. If a paper is accepted for publication the authors are requested to proof read a formatted version as an attachment by email. Complimentary copies of the issue in which the manuscript appears are sent to each author.

**Submission of Book Reviews**

Small Enterprise Research welcomes the submission of reviews of books dealing with small enterprise.

Details of the book under review should be presented as follows:

- First name of author in full, Surname—for each of the authors, Title of the book in capitals, edition if second or subsequent edition, City of Publication, Publisher, Year of Publication, Cost.

The body of the review should have the following format and be in normal type:

- Commence with an outline of the objectives and/or overview of the contents of the book
- The main part of the review will be a detailed analysis of the attributes, achievements and limitations of the book.
- Followed by a brief summary identifying for whom the book would be suitable and for what purpose.
- The details of the reviewer, left justified as follows:

John Hipps
Department of Sociology
The South Western University.
Reviews should be formatted to print on one side of A4 paper only, double spaced. The preferred software is Word for Windows. Normally reviews will be limited to 700 words.

**Submission of Practitioner Papers**

Given the membership structure of SEAANZ, Small Enterprise Research seeks to include papers that are devoted to practicing support professionals in the small business areas (teachers, consultants, advisers, policy implementers etc.). These papers summarise research findings with immediate practical application or report on successful teaching or advisory programs that might usefully be adapted by others. Submission requirements are the same as those for regular manuscripts.

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Unless otherwise noted, opinions and conclusions expressed in Small Enterprise Research are those of the authors and are not necessarily those of the editors; staff or officers of the co-sponsoring organisations. Nor should any advertisement in the Journal be considered an endorsement of the product or service involved.

Southern Cross University has issued material giving recommendations for referencing and other style issue for theses to be submitted. The material is based on an article written by a former professor of the Graduate College of Management and in general, these referencing and other issues of style should be followed in preparing material for a journal. Material issued by the Graduate College of Management not only covers referencing but also use of specific words and numbers, use of headings and sub-headings, set of tables and figures, and how to deal with attachments as appendices. These are technical issues that must be dealt with in exactly the same way as the DBA thesis had to take these issues into account.

The above discusses general issues associated with publishing research outcomes and the final section of this chapter illustrates the application of these ideas to a DBA thesis that was approved by examiners in 2008. The candidate has published some articles from the thesis however the hypothetical articles referred to in the remainder of the chapter are not those developed by the candidate.

**Illustration of Publishing Research Outcomes**

To illustrate the development of a series of articles from a research thesis, an example of the thesis approved by examiners in 2008 is taken, and suggestions are made concerning three possible articles that could be developed from the research completed. The thesis was submitted by a DBA candidate from Canada—Dr Karim Bennouna with the title: ‘Relationships among selected variables, DCFM sophistication and firm performance among large organisations in Canada’.

DCFM refers to a method of analysis of potential investment alternatives—using discounted cash flow models. The aim of this study was to investigate and advance knowledge of capital budgeting practices of large Canadian firms on the basis that
previous research on the subject was lacking. The candidate developed a series of eight research questions that were to be answered as part of the research process:

- What is the setting of the research—that is, background history to the study and its environment?
- What are the capital budgeting practices that have been employed by large Canadian companies as well as companies in Australia, United States of America and England?
- Can a theoretical framework be developed to demonstrate relationships between collective variables, discounted cash flow models sophistication and corporation performance?
- Which paradigm in research methodology fit best the research problem?
- How can selected variables, the degree of sophistication in the application of discounted cash flow models and firm performers to be determined and measured?
- What are the current discounted cash flow practices of large organisations in Canada?
- What are the relationships between selected variables, discounted cash flow models sophistication and firm performance?
- What are the conclusion about the research problem and the implication for theory, practice and further research?

The focus of the research on discounted cash flow models ‘sophistication’ was deliberate hence the research intended to identify theoretically ideal variables that should be incorporated into valid or acceptable discounted cash flow model methods and a survey of large Canadian corporations was meant to discover whether those corporations were applying the theoretical ideal or some variation and if the latter, then the implications of this would be explored in the thesis.

The thesis was designed and presented in a series six chapters:

- Chapter 1 providing an introduction, a statement of research objectives and the research problem, justification of the research, a summary of the theoretical framework and hypotheses, a brief overview of research methodology, definitions and limitations.
- Chapter 2 (Background and research justification), provided an overview of corporations in Canada and the financial management practices of those corporations and a summary of capital investment studies in Canada up to the time of the research. A review of previous capital investment studies was presented and what were regarded as errors in the use of discounted cash flow models discussed leading to a detailed justification for the research.
- Chapter 3 (Literary review and theoretical framework) presented a review of the literature on discounted cash flow theory and methods, on capital budgeting techniques, and focused on elements of discounted cash flow models
sophistication leading to the development of a theoretical framework and the identification of factors influencing discounted cash flow model sophistication.

- Chapter 4 (Research methodology) examined alternative approaches to research design and justified the research methodology adopted in the study giving details of variables and measures and review of data collection methods and data analysis to be adopted. The questionnaire used in the study collecting data from large Canadian corporations was developed in this chapter.

- Chapter 5 (Data collection and analysis) restated research objectives and then provided an analysis of demographics of respondents, the descriptive analysis arising from the survey and testing research hypotheses.

- Chapter 6 (Conclusion) reviewed research objectives and problems and hypotheses and presented the summary of the outcome of the field research study and survey and conclusions on six hypotheses. Implications for industry, government, and research and suggestions for further research were included in this chapter.

The usual appendices followed the chapters with a bibliography, additional data analysis and copies of the survey questionnaire distributed to large Canadian corporations.

Now to articles that could be developed from the research thesis. Three illustrations are presented merely to show how the design of the articles can be linked to the content of the research thesis. In reality, a relatively large number of articles could be developed from such a research program since capital investment decisions are universally seen as important by large and small corporations and methods of investment analysis have been the subject discussion over many decades. Although this research collected data from Canadian corporations, the theoretical concepts involved and the outcome of the survey research would be of interest to decision makers in all nations.

The three hypothetical articles for publication are as follows:

- Article 1: ‘Utilisation of valid discounted cash flow models in investment analysis by large corporations’
- Article 2: ‘The theory and practice of discounted cash flow methods by large corporations’
- Article 3: ‘A comparative study of differences between industry applications of discounted cash flow methods of analysis’

Having identified three potential articles from the thesis, the task is to indicate how the content and structure of each article can be related to the content and structure of the thesis or at least sections of the thesis.

The emphasis of Article 1 would be on the outcome of the survey of large corporations in Canada and how the results of the survey link to the research problem and following that, an analysis of the implications of the analysis for decision makers, not only in Canada but elsewhere. The article would certainly contain some of the
theory associated with discounted cash flow methods and from this theory would be identified the key variables from the literature. These key variables are to be reviewed based on approaches taken by large Canadian corporations. Chapter 3 of the thesis contains a literature review leading to a theoretical framework.

A major section of Chapter 3 examines from the theory and the literature, what are referred to as ‘elements of discounted cash flow models sophistication’. These include investment evaluation techniques, the treatment of cash flows, handling a discount rate or the equivalent, making adjustments for inflation, handling risks and looking at realistic options in the analysis. The literature review of Chapter 3 goes on to discuss factors that may influence sophistication in discounted cash flow model utilisation however, the survey is concerned with the extent to which large corporations meet or do not meet the requirements of these levels of sophistication.

Much of the article will therefore draw on the outcome of data analysis in Chapter 5 of the thesis. The article could contain a brief summary of demographics of responders and then go on to analyse the outcome of the survey for each of the variables seen as being relevant for discounted cash flow model sophistication.

Finally, the summary of these outcomes can be found in Chapter 6 of the thesis, therefore the article would draw on conclusions reached in Chapter 6 including the implications of the analysis for corporations, industry associations, government in its decision making, as well as academics involved in teaching investment analysis techniques. Thus, the objective of article 1 would be to identify the level of sophistication demonstrated by large corporations in Canada as a result of the survey and the results of the analysis would indicate that this objective would be achieved.

Article 2 could have a focus on the theory associated with investment decision making using discounted cash flow models and the application by large corporations. The emphasis therefore in terms of material from the thesis would be on discussion included in Chapter 2 as background information and Chapter 3 representing the literary review and theoretical framework. A section of Chapter 2 contains a review of previous capital budgeting studies in Canada and examines evaluation methods, discounted cash flow techniques, other investment flow of techniques, calculation of discount rates, treatment of cash flows and treatment of risks. This background would be followed up with a summary of the literature review from Chapter 3 leading to a theoretical framework and perhaps identifying a series of hypothesis to be tested through the survey of large corporations.

The paper would then summarise the outcome of the survey without going into a great deal of detail. This summary and the outcome of testing hypotheses could be obtained from Chapter 6 of the thesis. This would allow the article to meet its objective of comparing theory and practice amongst large corporations in terms of using discounted cash flow models. Some discussion on the implications arising from the summary for large corporations and other interested parties, could complete the article.
Thus, although Articles 1 and 2 deal with aspects of discounted cash flow models, the content of the two articles differ significantly and editors of journals reviewing the articles would expect this.

Article 3 could draw on additional analysis from the survey to compare the application of discounted cash flow models by different industry sectors amongst large corporations in Canada. Thus, for example, the article would focus on differences in the use of discounted cash flow models by large corporations in the construction industry or the mining industry or manufacturing or retailing. The focus of the article would be to identify differences by industry sector on the understanding that readers of the article would be interested in the outcome for their own industry and applications in their own industry, not only in Canada, but elsewhere throughout the world. Again, the article could draw on implications of the analysis, not only for industry sectors but also for government and educational institutions associated with disseminating information on discounted cash flow models.

Only three hypothetical articles have been illustrated from the doctoral thesis—in reality, probably twice that number could be designed from the information available in the thesis. The conclusion is that the many years of work devoted to the development of and being successful in doctoral research, can be rewarded with articles published in journals in the number of different industry or discipline areas over a number of years following completion of the doctoral thesis.

Summary

Objectives of this chapter were to demonstrate that publications from doctoral thesis is an obligation by candidates and also produces a number of distinct advantages that may be specific to individual candidates depending upon their own personal objectives and aspirations. It might also be argued that there is an obligations on behalf of supervisors to encourage candidates to consider publications from a doctoral thesis. The bulk of the chapter is devoted to techniques associated with converting research material in a doctoral thesis to publishable material in a journal article. It is conceded that this is not necessarily an easy matter and requires assistance, advice and guidance.

Experience will also be important in the exercise and commitment by the author is essential since there are always expectations that an initial approach to a journal may lead to rejection of an article. The purpose of the exercise is to learn from any rejection and try and analyse why editors of a particular journal have decided not to publish an article. It may have little to do with the content of the article, the structure of the article or the quality of the article but may be connected to the philosophy of the editorial advisory board or the fact that a large number of articles in a similar area have recently been published by the journal.

As was stated in the chapter, it is important for the candidate to ‘research’ potential journals to identify their needs, to identify their own experience in publications and submit an article that will help the editors achieve their own objectives. By meeting the needs of the editors of journals, the candidate also meets his or her own needs and aspirations.
References


Overview

The recent emergence of mixed methods in business and management research has only recently begun to take the notice of researchers and academics. Those who have researched the use of mixed methods in business and management fields have found an increasing utilisation of mixed methods in applied research. This chapter will explore this small but growing section of literature and research which is attempting to gauge the use of mixed methods across a variety of business and management fields. This will be followed by the presentation of research findings into the research designs and methods utilised in DBA theses from the International Centre for Professional Doctorates at Southern Cross University in Australia. The research points to an almost 40% use of mixed methods by DBA candidates (39%). This exceeds the number of purely quantitative theses (32%) and purely qualitative theses (29%). Of all the DBA theses (n=186) examined 51.6% have been Asian based.

Introduction

Mixed methods research is an emerging third methodological movement with a growing body of trans-disciplinary literature. Some say it is a movement still in its adolescence and yet to reach its maturity (Bazeley, 2008; Teddlie & Tashakkori, 2009). Nonetheless, mixed method research is a growing area of methodological choice for many academics and researchers from across a variety of business and management fields. The Journal of Mixed Methods (2006), in its call for papers defines mixed methods as ‘research in which the investigator collects, analyses, mixes, and draws inferences from both quantitative and qualitative data in a single study or a program of inquiry’.

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 as there exists 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) with a specific focus on Asian based DBA research.

This chapter is based in part on a chapter titled, ‘Changing the paradigm-emerging research designs in professional doctorates’, in Miller and Marchant’s (Eds) Professional Doctorate Research in Australia: Commentary and Case Studies from Business, Education and Indigenous Studies (2009) and is used with permission.

**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 fifteen 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 U.S.A. The fields within the human sciences which 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 (2000+). 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 will publish 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 sixteen 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 1994–2003 that utilized 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 2000–2003 and found that the majority of these (60%) used both qualitative and quantitative data collection but analysed these within their own tradition (ie 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-Azorin (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-Azorin (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 points 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 which 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 20.1 depicts these in tabular form.
### Table 20.1: The Greene and Caracelli Designs for Mixed Methods Research

<table>
<thead>
<tr>
<th>Component Designs</th>
<th>Integrated Designs</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 20.2 summarises Creswell’s mixed methods research designs typology as published in his latest work (Creswell & Plano Clark, 2007).

### Table 20.2: 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><strong>Triangulation</strong></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><strong>Embedded</strong></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><strong>Explanatory</strong></td>
<td>Sequential: Quantitative followed by qualitative</td>
<td>Connect the data between the two phases</td>
<td>QUAN → qual</td>
</tr>
<tr>
<td><strong>Exploratory</strong></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 20.3. 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 inquiries.

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, p 688).

**Table 20.3:** 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 designs 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 20.1 below provides frequencies for the research approaches utilised in this sample.

**Graph 20.1: Research Approach Employed in DBA Theses at Southern Cross University from 1997 to 2007**

![Graph](image.png)

Source: Cameron and Miller (forthcoming)

DBA theses that used a pure quantitative approach represented 32%. Those who used a pure qualitative approach represented 29% 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.

The following paragraph describes an example of how an Asian-based research project could utilise mixed methods:

A research study into ‘Strategic HRM initiatives in Indonesia’ could be approached in several ways. A purely quantitative approach might include a survey of major public and private sector organisations which employ 100+ staff. The survey data would be analysed quantitatively through a statistical software package. This could be supplemented by financial modeling and costings in relation to organisational performance and strategic HRM initiatives to explore a causal relationship between the two.

A purely qualitative approach may employ a series of semi-structured interviews of senior HR staff from the same sample and could also be supplemented by a case study of an organisation identified in the interviews that exemplifies best practice in strategic HRM initiatives.

A mixed methods approach would not be merely the use of both quantitative and qualitative methods but could be designed to integrate the use of both forms of data collection across a series of data collection activities. For example, both quantitative and qualitative data could be collected at the same time utilising a survey in combination with organisational focus groups (blended concurrent design) that explores organisational capacity for introducing HR analytics and metrics into existing HR and knowledge management systems. The inferences made from this stage/phase of the research could lead to the development of a HR metrics model for Indonesian firms. This would then become the second stage/phase of the research (sequential mixed model research design). The model could be field tested with one or more participating organisations. This stage of the research could be designed as an action research project and evaluated using a combination of qualitative and quantitative evaluation methods.

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 20.4 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 20.4: 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><strong>Exploratory</strong></td>
<td>Survey 57</td>
<td>Interviews 55</td>
</tr>
<tr>
<td><strong>Case Study</strong></td>
<td>Case Study 55</td>
<td>Interviews 54</td>
</tr>
<tr>
<td><strong>Descriptive</strong></td>
<td>Survey 33</td>
<td>Interviews 19</td>
</tr>
<tr>
<td><strong>Explanatory</strong></td>
<td>Survey 9</td>
<td>Interviews 7</td>
</tr>
<tr>
<td><strong>Action Research</strong></td>
<td>Action Research 6</td>
<td>Interviews 5</td>
</tr>
<tr>
<td><strong>Experimental</strong></td>
<td>Survey 6</td>
<td>Experimental; Observation 4 each</td>
</tr>
<tr>
<td><strong>Grounded Theory</strong></td>
<td>Interviews 6</td>
<td>Case Study 3</td>
</tr>
<tr>
<td><strong>Longitudinal</strong></td>
<td>Survey; Case Study 2 each</td>
<td>Interview; Content analysis 1 each</td>
</tr>
<tr>
<td><strong>Quasi Experimental</strong></td>
<td>Survey 1</td>
<td></td>
</tr>
<tr>
<td><strong>Mixed Methods</strong></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.

A sub-set of the DBA data for 1997-2007 was created to represent the Asian based DBA theses. Table 20.5 depicts the location and frequencies of this sub-set and compares it to the remaining data.
Table 20.5: Asian Based DBA Theses at SCU 1997-2007

<table>
<thead>
<tr>
<th>Location</th>
<th>Frequency</th>
<th>Percent</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Asian Based</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Malaysia</td>
<td>31</td>
<td>16.7</td>
</tr>
<tr>
<td>Thailand</td>
<td>30</td>
<td>16.1</td>
</tr>
<tr>
<td>Singapore</td>
<td>12</td>
<td>6.5</td>
</tr>
<tr>
<td>Indonesia</td>
<td>11</td>
<td>5.9</td>
</tr>
<tr>
<td>Vietnam</td>
<td>4</td>
<td>2.2</td>
</tr>
<tr>
<td>Hong Kong</td>
<td>4</td>
<td>2.3</td>
</tr>
<tr>
<td>Taiwan</td>
<td>2</td>
<td>1.1</td>
</tr>
<tr>
<td>China</td>
<td>1</td>
<td>0.5</td>
</tr>
<tr>
<td>South Korea</td>
<td>1</td>
<td>0.5</td>
</tr>
<tr>
<td><strong>Total Asian</strong></td>
<td></td>
<td>51.6%</td>
</tr>
<tr>
<td><strong>Non Asian Locations</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Australia</td>
<td>77</td>
<td>41.4</td>
</tr>
<tr>
<td>USA</td>
<td>3</td>
<td>1.6</td>
</tr>
<tr>
<td>Canada</td>
<td>2</td>
<td>1.1</td>
</tr>
<tr>
<td>New Zealand</td>
<td>2</td>
<td>1.1</td>
</tr>
<tr>
<td>Africa</td>
<td>2</td>
<td>1.1</td>
</tr>
<tr>
<td>Fiji</td>
<td>2</td>
<td>1.1</td>
</tr>
<tr>
<td>India</td>
<td>1</td>
<td>0.5</td>
</tr>
<tr>
<td>Germany</td>
<td>1</td>
<td>0.5</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td>186</td>
<td>100.0</td>
</tr>
</tbody>
</table>

The total of Asian based DBA research represent just over one half of the DBA theses completed at SCU during 1997–2007. The large majority of these coming from Malaysia (16.7%) and Thailand (16.1%) followed by Singapore (6.5%).

**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. The DBA theses data were then categorised into
an Asian based sub-set. This sub-set represented just over half of the DBA theses at SCU during 1997–2007.

The empirical evidence presented hints at what Cameron and Miller (forthcoming) refer to as mixed methods ‘transitional creep’ within business disciplines. ‘Transitional creep’ is perceived as a periodic reflection of the evolution of mixed methods as a third methodological movement and the fact that mixed methods as reflected in contemporary business research is emerging as a significant approach to applied business research. Mixed methods usage in business research is still in its early stages of acceptance, maturation and sophistication however it is a trend which needs to be monitored.

Further qualitative analysis of the DBA data presented needs to be undertaken to determine the full extent and usage of mixed methods for that period. The research also needs to be extended in the future to monitor mixed methods usage and the process of ‘transitional creep’. The findings from such research could further inform future pedagogic approaches to building research capacity for applied business research. 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.
References


**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.
Chapter 21
Establishing Sound Bases for Research Success
Lawson K Savery

Overview
Good research cannot be conducted without a thorough understanding of research methodology. Basically, there are two types of research methodology, Quantitative and Qualitative with possible various levels of either of the two used according to the needs of the research question(s) to be answered. The chapter discusses the how a candidate chooses his/her supervisor, the two types of research methodologies and the reliability measurements of questionnaires.

The chapter also discusses the format of the thesis using the five chapter model highlighted by Perry (1998) and examines the content of each chapter. Following the ideas suggested in this chapter will hopefully help the candidate to have an enjoyable experience of research and successfully complete his/her doctorate.

Introduction
Choosing a supervisor and Associate Supervisor for the proposed research is without doubt one of the most important decisions a doctoral candidate will make. The candidate must choose carefully because the team will be together for the two or three years it takes to complete the project. One question often posed is why does the candidate need an Associate Supervisor? There is always the possibility that the main supervisor may leave the University during the tenure of the project. This could occur because the supervisor moves to another University, dies or retires or in very rare instances there is a problem between the candidate and the supervisor and the supervisor withdraws from the project. The Associate Supervisor, because of his/her involvement, can take the role of the main supervisor with little disruption for the candidate.

Before approaching a possible supervisor the candidate should conduct some basic research to discover who could be on the supervisory team.
What are the research interests of the supervisors?

Candidates should investigate the research interests of the possible supervisors to identify those who could supervise their particular project. This examination would involve looking into what the supervisor has published and reading some of the articles, preferably the more recent, so that the candidate has an idea of not only the areas of research interest but also methodological issues used by the author. Many of the publications can be obtained from the library and/or by using the internet. The internet is an important research tool to investigate latest areas of interest that researchers are surveying. These areas of interest should give the candidate ideas of where to concentrate his/her research.

What is the ‘batting average’ of the main Supervisor?

A ‘batting average’ is the number of students who have successfully completed their Doctorates under the supervision of the main supervisor. It is important that a supervisor not only has the degree that (s)he is helping a candidate to achieve but also is trained as a supervisor. One measure of this training is the number of candidates the supervisor has helped to successfully complete their Doctorates. The role of the associate supervisor could also be a training position for the incumbent in how to supervise doctorate degrees. A trained supervisor has knowledge of what is required in a thesis to be successful since (s)he should have examined a number of these from different Universities. Being an examiner for a number of Universities is a measure of the level of respect and training a person has as measured by peers.

What does the Curriculum Vitae of your proposed Supervisor look like?

It is important that a candidate research a probable supervisor’s curriculum vitae. Many supervisors have placed their CVs on the web and can be obtained by typing the name of the supervisor in to a search engine. Remember that supervisors may have a middle name so not only type their first given name and family name but also search using their first name, the initial of their middle name(s) and their family name. Such a search will enable the candidate to view, if not a curriculum vitae, at least a list of publications and possibly positions held in previous employment. Such information will help the candidate make an informed decision concerning the supervisor.

It is also a good rule to check with other students to find out what type of person and supervisory policy a probable supervisor employs. How often does (s)he wish to see a candidate, what does (s)he require that a candidate bring to the meeting, do all meetings need to be face to face, does (s)he have a specific methodology or is (s)he flexible, can (s)he explain what (s)he suggests should be done so it is easy to understand, is (s)he willing to answer questions and how quickly does (s)he turn round any written work with suggested corrections.

It is important to realise that a supervisor’s corrections are only suggestions and the candidate can accept or reject them because it is the candidate’s thesis not the
supervisor’s. Nevertheless, particularly in the early stages of the research, it would be silly for the candidate to ignore the suggested alterations given by the supervisor. However, by the end of the research the candidate should know more about the area of research than the supervisor and hence should be more selective in accepting advice. This is an important point because when the candidate is successful (s)he can now conduct independent research without anyone supervising that work. Thus, one measure of a successful supervisor is his/her ability to increase the level of confidence a candidate has as the candidate moves through the process.

**Setting Achievable Goals**

A major problem with most candidates is that their topics are too large to research in one thesis. This is a good thing in one way because it is easier to reduce the size of the research topic than to increase it. The negative issues arise because the candidate has set his/her mind on doing this research. (S)He has thought about possible topics for a number of months and all the thoughts have coalesced in to this topic. If the supervisor believes that it is too big and needs culling, what needs to be removed? Cull those areas that are not central to the topic being researched and be ruthless. It is difficult in many cases to even identify the non-essential areas because the candidate is too close to the topic because of the effort (s)he has put in to thinking about a topic and then writing the problem in to a research topic. The candidate’s supervisor should know what depth the research question needs to be for the research to achieve a successful outcome.

Setting achievable goals also involves what can be achieved between meetings with the supervisor. The candidate and the supervisor must agree what needs to done between visits so that the thesis is moving forward. If the goals set are easily attained then the thesis will take longer to finish and if the goals are too difficult to achieve the candidate becomes disillusioned with the process and does not attempt to meet the goals set. However, goals must be set or nothing occurs, particularly for part-time students who have other priorities concerned with their normal occupations. It takes a lot of will power to begin working on the doctoral research after a day at work or working on the thesis at weekends when the family may demand some quality time with the candidate. All these situations should be factored in when setting targets to be met by the candidate between meetings with the supervisor.

As said earlier these meetings may not always be face to face but could be by fax, video, telephone or email. Nevertheless, there should be at least two face-to-face meetings per year to discuss in more detail the research issues. These meetings are more critical in the early stages of the research when ethics, research methodology and types of analyses are discussed rather than in the later stages of writing up the research when the supervisor is correcting English and making sure that the thesis tells a story.
Choose a Problem that is Interesting and One that the Candidate Feels is Important

A candidate should choose a problem that interests him/her and one that the candidate will want to spend two to three years researching full-time. If the problem is not interesting to the candidate then the time spent on the research is going to be resented and any excuse not to be involved in the research will occur. If the candidate does not find the topic appealing and of significance how can (s)he expect anyone else to feel the work is important? Most people involved in doctoral studies go through stages where the work becomes tedious and they wonder why they are involved in the work. However, these periods are less often and of a shorter duration for those who have interesting projects. Thus, it is important that to successfully complete doctoral studies the candidates choose projects that they find motivating, relevant, have meaning and have important implications for their workplace, discipline or the community at large.

Know the Literature

Before beginning the research it is important to conduct a literature review to identify areas of conflict between published findings or topics where nothing can be found that covers the questions being researched. Use as many of the technological aids that are available to research not only the printed word held in the libraries of the Universities, Organisation and Public Utilities and Libraries but also held in the electronic form in various locations on the web. Be sure to use the latest literature available unless there is an accepted seminal paper on the topic being researched. Always use primary source material. Do not fall in to the trap of quoting authors, as though you have read the particular article or book, when in fact the author was quoted by a researcher whose work you have read.

Using primary source material removes mistakes that can occur if the secondary source author has made a mistake in quoting an earlier author. It is important to remember that a more recent piece of research can support earlier works but not the other way round. This may seem self-evident but unfortunately it does happen all too frequently in thesis writing. Also make sure that the authors’ names are in the right sequence, that one has the correct spelling of the family names and the initials of their given names, the title of the book or article and the page numbers of the article and the page number of any quotes used. Examiners do check references, both at the source quoted, if the source quoted appears in the text with the correct year as stated in the text and also if the sequence of names are in the same order in the text and the bibliography. Using endnotes helps to keep these details safe and in sequence. The examiners will also check for plagiarism, please do not copy. If a candidate does and it is not identified by the supervisors but it is by the examiners then the candidate could well be failed.
Choose the Most Appropriate Methodologies

It is generally accepted that the methodologies available for business research are on a spectrum with the two end points being Qualitative and Quantitative Methodologies. The methodologies between the two are various combinations of these two. The quantitative methodologies are generally used where surveys are conducted and knowledge of a large population is desired. The data collected under these methodologies is used to test hypotheses by statistics. The general statistics program used by social scientists is SPSS (Statistics Package for Social Scientists) but all statistics have underlying assumptions so remember to be aware of any assumptions that underlie the statistics used. The computer will do any statistics it is asked to do with no consideration of any underlying assumptions.

The qualitative methodologies are designed to obtain information from individuals or small groups. The data are collected by interviews, reading documents and/or observations. The growing trend is to have mixed mode methodologies that use elements from both sources. Such a process may mean using the qualitative process to gather information to identify factors that should be explored in a survey or using a survey methodology to identify those elements that need to be explored in more detail by observation, interview or some other form of qualitative method.

Reliability of Measurements

When a researcher uses any form of questionnaire (s)he makes an underlying assumption that the questionnaire measures what it is supposed to measure. Collecting facts, such as age, gender and weight are certain and therefore do not need validity testing. However, if one is measuring leadership styles or any other psychological trait then the questionnaire needs to be valid. The easiest way to do this is to use a questionnaire that has already been validated.

‘The validity of a measuring instrument may be defined as the extent to which differences in scores on it reflects true differences among individuals, groups, or situations in the characteristic that it seeks to measure, or true differences in the same individual, group, or situation from one occasion to another, rather than constant or random errors’ (Selltiz et al, 1971, p155).

There are number of validities namely:

Pragmatic Validity

This validity is of interest if the measuring instrument being used can indicate or predict some behaviour or characteristic of the individual being surveyed. Thus, a researcher is not interested in why the measuring instrument works but that it does discriminate between respondents on a certain criterion that interests the researcher. (Selltiz et al, 1971, p157). This approach to validation must have reasonable and valid criteria for scores on the measuring instrument so that they can be compared.
Construct Validity

Many doctoral researchers are not just interested in predicting behaviour but also drawing inferences about the degree that an individual has of a certain trait that the instrument is believed to measure. Construct validity involves not only validating the measuring instrument but also the underlying assumptions made concerning the construct. (Research Methods Knowledge Base, 2010).

Content Validity

An instrument is said to have content validity if it measures all of the facets of the social construct. This validity is sometimes confused with face validity but face validity is only what looks valid while content validity requires more rigorous statistical testing (Wikipedia, 2010).

Face Validity

A questionnaire is said to have face validity if a panel of experts say that, in their opinion, the questionnaire measures the construct that the questionnaire ‘looks like it measures what it is supposed to be measuring’ (Wikipedia, 2010).

Concurrent Validity

This validity ‘... is a measure of how well a particular test correlates with a previously validated measure’ (Experiment-Resources.com/concurrent-validity.html, 2010).

Item Discrimination

This measure allows the researcher to identify those items in a questionnaire that help to discriminate between individuals on the construct being tested. An example of item discrimination would be to take two samples of individuals, one that would be the high scorers and another the low scorers on the same test and see which items discriminated between the two groups. Those items that do not discriminate would then be rejected from the final questionnaire.

In developing the questionnaire to research the issues identified it is necessary to decide the scales of measurement to be used.

Scales of Measurement

There are a number of scales of measurement and the stronger the scale the greater the use of multi-variate statistics that can be used.

Following is a list of scales from the weakest to the strongest. (Selltiz et al, 1971, pp189–195).

(i) Nominal Scale

This scale allows a number of categories into which individuals or responses can be classified. An example of such a scale would be nationality or ethnicity where there are no valid reasons for how the nationality or ethnicity would be
ranked except for convenience of the researcher and coding for the computer. Statistics that can be used using these scales are, for example, mode and chi-squared.

(ii) **Ordinal**

An ordinal scale is one that places individuals or objects in order but the distance between the two numbers are not constant. That is the distance between numbers 1 and 2 is not the same as between say 2 and 3. Thus, a researcher is limited by these scales to using statistics such as medians, percentiles and rank-order correlations and those that can be used for nominal scales.

(iii) **Interval**

These scales are set so that the distance between 1 and 2 are the same as 2 and 3. Such scales are used generally in measuring attitudes. Many of these scales have a 5, 7 or 9 point and are known as Likert Scales named after Rensis Likert (1961) who designed these scales. These scales should preferably have odd number points so that there is a mid-point and the extreme ends would be named strongly agree and strongly disagree with the other points being agree uncertain and disagree with the statement made. There has been an argument to have an even number of points so forcing the respondents to go to either the agree or the disagree side of the scale. The writer suggests that the candidates use an odd number of points as it makes more sense as some people are uncertain. The statistics that can be used are the general statistics that most people use.

(iv) **Ratio**

These scales are the same as interval scales but contain an absolute zero. Such scales would be used to count the number of people or other objects. Thus, a scale is a ratio when 10 is twice the number of 5 that is twice the amount of the attribute. All statistics can be used on this scale. It is important that a candidate uses acceptable statistical procedures that are appropriate for the scales used.

These scales allow data to be collected and analysed. The findings need to address the research questions or hypotheses identified earlier as these findings will be interpreted to attempt to find a solution to the research questions or hypotheses set.

**Interpretation of Data**

It is important to remember that the results obtained using any form of statistics in business research does not necessarily prove any causal relationship. The results only suggest that a relationship may exist. That why it is important to report the probability. The accepted level of probability is 0.05 that is that there is a possibility
of five chances in 100 that the result obtained is spurious and that it is a result that appears reasonable but is false. Using the results obtained the data can now be interpreted. The interpretation needs to be linked to the hypotheses or the sub-research questions so that the major research question is addressed and the findings that support or reject the hypotheses are highlighted.

It is now necessary to discuss the outline of the thesis.

**The Chapter Model for Successful Completion**

It is accepted that writing is one of the hardest aspects of successful candidature (Perry, 1998; Phillips & Pugh, 1992). Perry’s model (1998) suggested the use of a five chapter model to write a successful thesis. The five chapters are Introduction, Literature Review, Methodology, Analyses and Conclusions. These chapters allow the student to follow a logical process in writing a thesis. It also identifies a roadmap for a candidate to complete successfully a doctoral program.

The different chapters will now be discussed.

(i) **Introduction**

(ii) This chapter is the problem chapter. It lays out what the research problem is and states the research question and any sub-research questions where the major research question is broken down into more manageable sizes for research testing. These questions are then written, in many cases where quantitative approach is being used, as hypotheses. These are statements that say something will occur if something else is present or occurs. That is, they are statements that can be tested not questions to be answered. Also included in the chapter are the reasons for the issue to be studied and why the issue is a problem.

It may also contain the limitations of the study: why the study cannot be generalised to the world. This section could also appear in the Methodology Chapter. Where the limitation section is situated is very often a supervisor’s preference, but it must appear somewhere. The chapter will conclude with how the thesis is laid out and what the remaining chapters will contain and finally a lead in to the next chapter, which is the Literature Review.

(iii) **Literature Review**

(iv) The literature review is a very important chapter because it lays out what has been stated on the research question or more likely on the sub-questions before by other authors. From the readings, areas that have not been researched will be identified, for example, in a particular industry, culture or country, or more general there are areas that have not been researched at all. There may also be conflicting findings from one research to another. The literature review should allow the candidate to build a research model for testing. This does not have to be a schematic diagram but it helps if quantitative methodology is to be used because it allows hypotheses testing. For qualitative methodology
a model may help the candidate to at least understand how the different elements of the study are theorised to interact with each other. The literature review may also identify possible valid questionnaires that may be of use when collecting data and also the different methodologies used by previous researchers to conduct research into the various elements of the candidate’s proposed research.

(v) Methodology

(vi) This chapter contains the methodology that the candidate used to conduct the research. The processes used for analysing the data collected for testing the hypotheses or the sub-research questions. It should contain the questionnaires used and their validities. If generating a new questionnaire it may be necessary to conduct validity testing to prove that the questionnaire tests what it is supposed to be testing. If an examiner believes that the questionnaire does not measure what it is supposed to measure then the candidate has a problem. Acceptable validity coefficients for the questionnaire will satisfy the examiners.

Where the candidate uses interview technique (either structured or semi-structured) there is no need to discuss validity but rather the reason for using the type of interview and reason for the questions asked. It is also in this chapter that the safeguard for the respondents’ confidentiality is discussed and the paperwork that tells the respondent of his/her rights and what will happen to the data, how it will be reported and how it will be destroyed is shown. Confidentiality for the respondent is paramount if the respondent is expected to give information that is company or individual specific and/or will identify the respondent.

(vii) Analysis

(viii) The data are analysed in this chapter. This is not the chapter where conclusions are drawn. This is the chapter where the hypotheses or sub-research questions are tested. However, no one ever proves a hypothesis or answers a sub-research question because of probability of the result being false. It is, therefore, only acceptable to say that the result obtained means the hypothesis is accepted or rejected or that the result appears to suggest an answer to the research question.

(ix) Conclusions

(x) The final chapter of the thesis is where the conclusions are drawn based on the research results obtained. Each hypothesis or sub-research question is discussed and the particular results that apply to this hypothesis or question is examined and inferences drawn. This chapter also includes recommendations for future research based on the results obtained and if necessary a re-iteration of the limitations to help the reader to understand how general the results can be applied to common situations.
To reiterate an earlier point and one that should decide if the study should be conducted by the candidate is that (s)he should be enthusiastic about the research, if the chief researcher is not enthusiastic how can the researcher expect anybody else to be.

Your doctoral research should be the most rewarding experience of all your academic studies.

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Author Profile

Lawson Savery was Professor and Executive Dean of Business at Southern Cross University prior to retirement in 2006. He has continued to conduct research and supervise Doctoral Students since his retirement. Prior to his academic career, Lawson was a qualified Chartered Engineer and worked in the engineering industry in the United Kingdom. He has had extensive experience in a managerial capacity and is a recognised expert in areas of organisational behaviour and development. He has also been a consultant to a number of international organisations and Australian Governments’ agencies as well as a number of police services in Australia. His areas of research interests are in organisational behaviour, human resources management, small and medium enterprises and management. Lawson has authored over one hundred and 20 publication and reports in international journals and for government departments and also published a number of books.
Chapter 22
Global Confusion in the Discipline of Doctorates

Peter Miller

Overview

Professional doctorate programs have recently emerged around the globe as an alternative to the more traditional research based doctoral programs and have expanded rapidly to the point where professional doctorates are now the dominant form of doctorate education. This chapter aims to shed some light on the growth of professional doctorates and to make some comparisons of professional doctorate programs with traditional research based doctorate programs by reporting on research undertaken in Australia. The research demonstrates confusion in the discipline of doctorates globally. A conclusion reached is that it may be time for Australian universities to consider establishing a new advanced higher research degree that clearly differentiates university research of a very high standard from other research.

This chapter is based on the following article: ‘Global discipline confusion in management and business related doctorate programs’ in Review of International Comparative Management, (Miller, P. 2010, vol 11, issue 4, October, pp623–639), and is used with permission.

Introduction

According to Verger (1999), the doctoral degree was first established in medieval Europe as a license to teach at a medieval university but its roots can be traced back to the early church when the term ‘doctor’ was used to refer to church authorities who taught and interpreted the Bible. The term doctorate comes from the Latin docere, which means ‘to teach’. It was shortened from the full Latin term licentia docendi, which means ‘teaching license’. The doctorate therefore was originally intended for teachers or academics, and over centuries became the core qualification for academic staff at universities, most notably in the form of the Doctor of Philosophy (PhD) program.
In more recent times, doctoral programs offered by Universities around the globe have become diverse in terms of their aims, curriculum and structure and are no longer considered as solely teaching or research qualifications. For many decades, doctoral programs have fallen under two broad approaches—research doctorates, and more recently, professional doctorates. While such a delineation of doctoral programs is expedient and until recently has stood the test of time, when one investigates deeper into both categories, the division is not as simple as it might first appear and confusion arises around the discipline of doctorates.

The ‘Bologna Process’, a process whereby European countries are working together on higher educational systems, was established to stimulate discussion on degree structures and is driving reform within the signatory countries. The process seems likely to have a profound effect on the development of higher education systems globally, as observers from other countries are taking an interest in the Bologna reform process and considering how their own educational systems can be more closely aligned with possible ‘Bologna’ outcomes to establish global norms in education.

The three overarching objectives of the Bologna process are:

• the introduction of the three cycle system (bachelor/master/doctorate)
• establishing consistent quality assurance systems, and
• recognition of qualifications and periods of study.

In respect to the doctoral level of the three cycle system, the following comments were made concerning doctoral level study by a 2005 European Higher Education Area (EHEA) Communiqué:

To achieve these objectives, doctoral level qualifications need to be fully aligned with the EHEA overarching framework for qualifications using the outcomes-based approach. The core component of doctoral training is the advancement of knowledge through original research. Considering the need for structured doctoral programmes and the need for transparent supervision and assessment, we note that the normal workload of the third cycle in most countries would correspond to 3–4 years full time. We urge universities to ensure that their doctoral programmes promote interdisciplinary training and the development of transferable skills, thus meeting the needs of the wider employment market. (EHEA, 2005, p4).

Note the emphasis in the communiqué that doctoral programs are expected to:

• consist of a core component that concerns the advancement of knowledge through original research,
• consist of interdisciplinary training and the development of transferable skills. That is, the program should not exclusively be concerned with research, and should have some advanced taught component, and
• be of three to four years duration of full time study. The basic EHEA framework regards one academic year to correspond to 60 European Credit Transfer and Accumulation System (ECTS-credits) that are equivalent to 1,500-1,800 hours of study.
The aim of this paper is therefore to unravel some of the confusion in the discipline of doctoral education, compare Bologna principles with recent trends in both research and professional doctorates and provide some data on outcomes from a research project undertaken in Australia that suggests there is confusion in the marketplace on doctoral education and that existing doctoral programs may require close examination and change if they are to meet Bologna expectations.

The Research Doctorate

In a traditional research doctorate, candidates undertake a major and rigorous research project that culminates in the completion of a significant thesis, usually in excess of 60,000 words. Criteria for the award of research doctorates varies throughout the world, but typically requires the submission of a substantial body (thesis) of original research undertaken by the candidate that makes a new contribution to the body of knowledge. The traditional and most widely known research doctorate is the Doctor of Philosophy (PhD). However, even the structure of the PhD program varies between countries. For example, there are two distinct types of PhD programs, generally known as the British model and the American model.

British model

Most doctorates granted by British universities are research doctorates in the sense that their main (and in most cases only) component is the submission of a thesis of original research, examined by an expert panel appointed by the university. Entry into this type of doctorate is usually on the basis that the candidate already has some research training and experience like an honours degree or a research masters qualification. There are no coursework or taught components to the curriculum. Note that in the purist sense, the British model does not meet the Bologna expectations of interdisciplinary training and the development of transferable skills.

American model

In the United States of America, there is usually a formal taught component of the doctorate program, typically consisting of advanced graduate level courses in the subject of the doctorate, as well as training in research methodology before the candidate proceeds to the research component of the degree. The research component is therefore typically of a smaller scale that those undertaken in the British model and the outcome sometimes referred to as a ‘dissertation’ rather than a ‘thesis’. A dissertation usually being less than 40,000 words in length. Note that the American model meets all Bologna expectations of a core component of original research, interdisciplinary training and the development of transferable skills.

The distinctions between the research doctorates undertaken under the British and American models have existed for some decades, are well known and understood. Both models are accepted internationally as research degrees. However, more recently, traditional doctorate degree nomenclature like the generic PhD that was once universally accepted as a research degree has been debased and less
traditional PhD programs are emerging that contain substantial course work in the degree structure, contain little if any original research and may no longer meet government criteria to be classified as a research degree. As demonstrated in the research to follow, in Australia for example, for a doctorate to be classified officially as a research award, it must contain at least a 66% research component. In reality therefore, PhD programs with a minor or no research component are more like professional doctorates.

**The Professional Doctorate**

Professional doctorates mostly attempt to connect the doctoral experience with the demands of an industry. The degree structure enables this by making more explicit connections with professional workers and their work places and tailoring the structure and curriculum of the doctorate and outcomes to the particular needs of an industry. The candidates for most professional doctorates are not engaged primarily in scholarly or original research, but rather in a profession and advanced course work relevant to the industry or field of study often dominates the curriculum.

For example in many countries, numerous fields of study have professional doctorates, such as law, education, medicine, dentistry, nursing, business, optometry, chiropractic, pharmacy, physical therapy, psychology, health science, public health.

Dependent on the structure of the professional doctorate program, the professional doctorate may or may not have course work that provides research training in research design and methodology. It may or may not have a research component that concludes with a dissertation or thesis. It may consist of purely advanced coursework. Professional doctorate programs are also usually of less than 3 years full time duration of study and often can be completed in less than 2 years of full time study.

This paper examines in particular the emergence of professional doctorates in Australia, the perceived and actual differences and similarities between research and professional doctorates and the confusion created when attempting to compare research and professional doctorates across the globe. A Doctor of Business Administration (DBA) professional doctorate program is examined as a case study to illustrate points.

**History of Professional Doctorates in Australia**

Pearson, Evans and Macauley (2008) provide a detailed review of growth in doctoral education programs in Australian in recent decades. They report that professional doctorates emerged at the time of reforms (NBEET, 1989, 1990) that aimed to create a unified national system of higher education.

A report from Green, Maxwell and Shanahan (2001) contains evidence that developments in Australia were similar to those in the United Kingdom with both countries have governments having similar agendas to make research training more industry relevant. Universities saw professional doctorates as means of raising
revenue as the awards were expected to have a high degree of market appeal. In some discipline areas they were also seen as a way to quickly increase the number of staff with doctorates to address university staffing shortages.

While the number of individually named professional doctoral awards has increased overall, total enrolment numbers have remained relatively low. This lack of substantial growth in enrolments is contrasted with PhD enrolments over the same period that have continued to climb. Indeed Evans et al (2005), using data from a bibliometric study, conclude that the PhD has become ‘more flexible’ and has produced a substantial number of graduates in the various professional areas that might be regarded as the obvious domain of professional doctorates.

According to Ellis and Anderson (2009), neither historical nor current data on professional doctorate programs is easy to collect. These programs are mostly fee-paying and not under government subsidy. As a result, there is also a degree of commercial competition between universities and therefore a reluctance to publish, or even release informally, the details of programs. Unlike PhD programs, the Australian government does not directly fund enrolments in most professional doctorate programs, for which Universities charge students substantial fees. Entry requirements, fees and program structures are set by individual universities. The only government data collected for professional doctorates are completion statistics and only for those program that have a two thirds (66%) or greater research component. Professional doctorate programs that have a research component of 66% or more are formally classified by the Australian government Department of Education, Employment and Workplace Relations (DEEWR) as a doctoral research degree. Therefore, research based professional doctorate completion statistics are added to research based PhD completions and the total is used as a factor in calculating the overall level of research funding provided to each university by the Australian government.

**Methodology**

The empirical evidence collected for this paper derives from a research study that utilised a mixed methodology research design (Leech and Onwueguzie, 2009). A systematic content analysis of secondary data sources and a case study were used as the primary methodologies. Australian university websites were used as the primary source of data. Systematic searches of Australian university websites were conducted by state and territory. The aim was to identify and catalogue information on the types of doctorates offered by each university. General details on PhD offerings (research, coursework and ‘named’ or ‘tagged’ doctorates where the specialty is designated on testamurs) were also collected. Clarification of details concerning admission criteria, research versus coursework components and other contextual information was obtained by a combination of email, phone and face-to-face interviews.

The data was entered into an SPSS statistical package for analysis. Descriptive statistics were extracted and analysed. In addition to the quantitative data collected, a single in-depth case study was undertaken on a nationally significant Doctor of Business Administration (DBA) program.
Results and Discussion

Table 22.1 summarises the data with the number of named professional doctorates grouped into major disciplines, listed for each university.

Table 22.1: Professional Doctorates Offered by Australian Universities and their Major Discipline Areas

<table>
<thead>
<tr>
<th>University</th>
<th>Arts</th>
<th>Social Sc/Law</th>
<th>Education</th>
<th>Business</th>
<th>Health Sc/Medicine</th>
<th>Science/IT</th>
<th>Total</th>
</tr>
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<td>Western Australia</td>
<td>3</td>
<td>2</td>
<td>1</td>
<td>1</td>
<td>7</td>
<td>5</td>
<td>19</td>
</tr>
<tr>
<td>Latrobe</td>
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<td></td>
<td></td>
<td></td>
<td>1</td>
<td>17</td>
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<tr>
<td>Royal Melbourne Institute of Technology</td>
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<td>2</td>
<td>3</td>
<td>1</td>
<td>4</td>
<td>12</td>
<td></td>
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<td>Curtin</td>
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<td>1</td>
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<td>2</td>
<td>11</td>
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<td>11</td>
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<tr>
<td>South Australia</td>
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<td>1</td>
<td>7</td>
<td>1</td>
<td>10</td>
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<td>Melbourne</td>
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<td>9</td>
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<td>1</td>
<td>6</td>
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<td>9</td>
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<td>New England</td>
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<tr>
<td>Queensland University of Technology</td>
<td>1</td>
<td>3</td>
<td>1</td>
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<td>1</td>
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<td>1</td>
<td>1</td>
<td>3</td>
<td>2</td>
<td>8</td>
</tr>
<tr>
<td>Wollongong</td>
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<td></td>
<td></td>
<td>1</td>
<td></td>
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<td>8</td>
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<tr>
<td>James Cook</td>
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<tr>
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</tr>
<tr>
<td>Griffith</td>
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<td>1</td>
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<tr>
<td>University of Technology Sydney</td>
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<td></td>
<td></td>
<td>1</td>
<td>6</td>
</tr>
<tr>
<td>Flinders</td>
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<td>1</td>
<td>1</td>
<td></td>
<td></td>
<td>1</td>
<td>5</td>
</tr>
<tr>
<td>Charles Sturt</td>
<td>1</td>
<td>1</td>
<td>1</td>
<td></td>
<td></td>
<td>1</td>
<td>5</td>
</tr>
<tr>
<td>Swinburne</td>
<td></td>
<td></td>
<td></td>
<td>1</td>
<td></td>
<td>2</td>
<td>4</td>
</tr>
<tr>
<td>Queensland</td>
<td></td>
<td></td>
<td></td>
<td>1</td>
<td></td>
<td>4</td>
<td>4</td>
</tr>
<tr>
<td>Edith Cowan</td>
<td>1</td>
<td></td>
<td>1</td>
<td>1</td>
<td></td>
<td>1</td>
<td>4</td>
</tr>
<tr>
<td>Notre Dame</td>
<td></td>
<td></td>
<td>1</td>
<td></td>
<td></td>
<td>3</td>
<td>4</td>
</tr>
</tbody>
</table>
As can be seen from Table 22.1, all universities offered at least one professional doctorate. For those with multiple offerings there is no common pattern. For example, those universities offering eight different professional doctorates may concentrate them in three different discipline areas or spread them across four or five discipline areas. Only two universities (University of Sydney and University of Western Australia) offer at least one professional doctorate in all six disciplines, while another eight universities offer professional doctorates in five of the six areas. The majority of universities are selective and offer professional doctorates in three or fewer major disciplines.

<table>
<thead>
<tr>
<th>University</th>
<th>Arts</th>
<th>Social Sc/Law</th>
<th>Education</th>
<th>Business</th>
<th>Health Sc/Medicine</th>
<th>Science/IT</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Adelaide</td>
<td>1</td>
<td></td>
<td>1</td>
<td>2</td>
<td></td>
<td></td>
<td>4</td>
</tr>
<tr>
<td>Deakin</td>
<td></td>
<td></td>
<td>1</td>
<td>3</td>
<td></td>
<td></td>
<td>4</td>
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<tr>
<td>Macquarie</td>
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<td></td>
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<td>1</td>
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<td></td>
<td>4</td>
</tr>
<tr>
<td>Murdoch</td>
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<td></td>
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<td>2</td>
<td></td>
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<td>3</td>
</tr>
<tr>
<td>Canberra</td>
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<td></td>
<td></td>
<td>1</td>
<td>1</td>
<td></td>
<td>3</td>
</tr>
<tr>
<td>Charles Darwin</td>
<td></td>
<td></td>
<td>1</td>
<td>1</td>
<td>1</td>
<td></td>
<td>3</td>
</tr>
<tr>
<td>Newcastle</td>
<td></td>
<td></td>
<td>1</td>
<td>2</td>
<td></td>
<td></td>
<td>3</td>
</tr>
<tr>
<td>Southern Queensland</td>
<td></td>
<td></td>
<td>1</td>
<td>1</td>
<td></td>
<td>1</td>
<td>3</td>
</tr>
<tr>
<td>New South Wales</td>
<td>1</td>
<td></td>
<td></td>
<td>1</td>
<td></td>
<td>1</td>
<td>3</td>
</tr>
<tr>
<td>Australian National University</td>
<td></td>
<td></td>
<td>1</td>
<td>1</td>
<td></td>
<td>1</td>
<td>3</td>
</tr>
<tr>
<td>Sunshine Coast</td>
<td>1</td>
<td></td>
<td></td>
<td>1</td>
<td></td>
<td></td>
<td>2</td>
</tr>
<tr>
<td>Australian Catholic</td>
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<td></td>
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<td></td>
<td></td>
<td></td>
<td>2</td>
</tr>
<tr>
<td>Central Queensland</td>
<td></td>
<td></td>
<td>1</td>
<td>1</td>
<td></td>
<td></td>
<td>2</td>
</tr>
<tr>
<td>Southern Cross</td>
<td></td>
<td></td>
<td>1</td>
<td>1</td>
<td></td>
<td></td>
<td>2</td>
</tr>
<tr>
<td>Tasmania</td>
<td>2</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>2</td>
</tr>
<tr>
<td>Western Sydney</td>
<td>1</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>1</td>
</tr>
<tr>
<td>Bond</td>
<td></td>
<td></td>
<td>1</td>
<td></td>
<td></td>
<td></td>
<td>1</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td>35</td>
<td>22</td>
<td>28</td>
<td>27</td>
<td>87</td>
<td>28</td>
<td>227</td>
</tr>
<tr>
<td>Percentage</td>
<td>15.5</td>
<td>10</td>
<td>12</td>
<td>12</td>
<td>38.5</td>
<td>12</td>
<td>100</td>
</tr>
</tbody>
</table>

Source: Ellis and Anderson (2009)
In each of the major disciplines there is a range of professional doctorate titles as shown in Table 22.2. These titles indicate the diverse foci of the programs. Also, nomenclature is not consistent across universities. In some universities named or tagged PhDs were present which appear to be more like professional doctorates. These occur in several discipline areas.

Table 22.2: Major Discipline Areas, Professional Doctorate Titles and Tagged PhD’s

<table>
<thead>
<tr>
<th>Major discipline (total no. of offerings)</th>
<th>Professional Doctorates titles (with tagged PhD’s noted)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Arts (35)</td>
<td>Doctor of Creative Arts, Doctor of Visual and Performing Arts, Doctor of Music, Doctor of Music Arts and variations that cater for Theatre and Dance under the broader title of performing arts. Theology (Doctor of Ministry). Tagged PhD, that is Doctor of Philosophy (Creative Arts) and variations available at some universities.</td>
</tr>
<tr>
<td>Science/IT (28)</td>
<td>Doctor of Information Technology, Professional Doctorate in Science (Agriculture), Professional Doctorate in Science (Computer Science), Professional Doctorate in Science (Science).</td>
</tr>
<tr>
<td>Business (27)</td>
<td>Doctor of Business Administration (DBA), Doctor of Commerce, Doctor of Economics. Tagged PhD, for example Doctor of Philosophy (Economics) and variations available at some universities.</td>
</tr>
<tr>
<td>Education (26)</td>
<td>Education Doctorate (EdD) and Doctor of Education, tagged PhD, for example. Doctor of Philosophy (Education) available at some universities.</td>
</tr>
<tr>
<td>Social Science/ Law (22)</td>
<td>Social Sciences, Law and Politics. Tagged PhD, for example Doctor of Philosophy (Social Work) and variations available at some universities.</td>
</tr>
</tbody>
</table>

Source: Ellis and Anderson (2009)

As can be seen from Table 22.2, professional doctorates are not evenly distributed across the major disciplines. Notably, almost half of current offerings are in health sciences and medicine area. Some offerings are unique to a single university.

Although the highest number of professional doctorates was in the health sciences and medical discipline it is interesting to note that ten out of the 35 universities do not offer professional doctorates in this area. The lowest discipline group of offerings was in social science and law (22 or 10%). Interestingly 21 universities currently have no offerings.

Data on professional doctorates in specific discipline areas was also examined on a state-by-state and territory basis. The only real anomaly in the range of provision was the relatively high number of heath science and medical professional doctorates in the State of Victoria.
The Internal Structure of Professional Doctorates

Studies in the 1990s revealed that one of the main differences between professional doctorates at different universities and in different disciplines was the relative proportion of research work and coursework (Maxwell & Shanahan, 1996). While these differences still exist, the publicly available information on professional doctorates does not always make clear how much original research or coursework applies in a specific program (and what options the potential candidate might have). In general, the majority of professional doctorates for which detailed course information could be obtained would be classified by the Australian government as research degrees. That is, at least two thirds (66%) of the work to be completed was to be research culminating in a thesis. Most had coursework components, usually scheduled early in the program.

Admission requirements are often not clearly or fully set out in online sources. It is a matter of locating and consulting current university rules (or phoning the local contact person) and even then a number contain discretionary clauses meaning the process may not be black and white. Course rules vary within and across universities. Most universities surveyed specify a minimum of two years full-time (or equivalent) study and a maximum of four years full-time (or equivalent) study to complete a professional doctorate. Such time provision means that these professional doctorates do not meet the Bologna principles that require doctoral degrees to be a minimum of three years full time study.

The Emergence of the Doctor of Business Administration (DBA) as a Professional Doctorate

This section investigates a nationally significant Doctor of Business Administration (DBA) program as an example of a professional doctorate. DBAs emerged in America in the 1970s and 1980s and then in the United Kingdom from the early 1990s. According to Sarros, Willis and Hardie (2004), the first university to offer the DBA in Australia was Victoria University of Technology in 1993. Presently, the universities in Australia listed in Table 22.3 offer a DBA program.
Table 22.3 Universities in Australia that offer DBA Programs

<table>
<thead>
<tr>
<th>University</th>
</tr>
</thead>
<tbody>
<tr>
<td>Canberra University</td>
</tr>
<tr>
<td>Central Queensland University</td>
</tr>
<tr>
<td>Charles Darwin University</td>
</tr>
<tr>
<td>Charles Sturt University</td>
</tr>
<tr>
<td>Curtin University of Technology</td>
</tr>
<tr>
<td>Deakin University</td>
</tr>
<tr>
<td>Gibaran Business School South Australia</td>
</tr>
<tr>
<td>Macquarie University</td>
</tr>
<tr>
<td>Monash University</td>
</tr>
<tr>
<td>Murdoch University</td>
</tr>
<tr>
<td>University of Newcastle</td>
</tr>
<tr>
<td>Royal Melbourne Institute of Technology</td>
</tr>
<tr>
<td>Southern Cross University</td>
</tr>
<tr>
<td>Swinburne University of Technology</td>
</tr>
<tr>
<td>University of Western Australia</td>
</tr>
<tr>
<td>Victoria University</td>
</tr>
<tr>
<td>University of South Australia</td>
</tr>
<tr>
<td>University of Southern Queensland</td>
</tr>
<tr>
<td>University of Wollongong</td>
</tr>
</tbody>
</table>

Comparisons between DBA programs are difficult as DBA programs offered by Australian Universities are diverse in terms of both curriculum and structure. Most Australian DBA programs are not classified by the Australian government to be research degrees due to high coursework components. It is worth mentioning again that Australian government regulations require the research component of the doctoral degree to be in excess of 66% of the program in order for a degree to be officially classified as a ‘research’ degree.

**Entry Requirements for DBA Programs**

Erwee (2004) reviewed the entry requirements for DBA programs across Australia and found that generally, the entry requirement consisted of an MBA or equivalent professional business qualification with a satisfactory grade point average. Little has changed for entry requirements over the years but generally, in addition to qualifications, most universities require the applicant to have some years of experience as a manager or professional to ensure that only experienced individuals are admitted to the program.
Differences between the DBA and PhD

Since the inception of DBA programs globally, much has been written to distinguish the DBA from the traditional PhD that might be undertaken in the business or management discipline. However, such comparisons are problematic as PhD programs, like DBA programs, are different across the globe and subject to wide variations in their nature and structure as was raised earlier in this paper.

There is also a recent trend where PhDs are moving away from a generalist degree (and the generalist nomenclature of PhD). Many universities are awarding PhDs that include specific nomenclature. For example, the University of Canberra has a Doctor of Philosophy in Applied Science and a Doctor of Philosophy in Commerce. The following, from the Harvard website (2009), shows Harvard University’s attempts to find a difference in the DBA and PhD.

Apparent Contrast between DBA and PhD at Harvard

DBA: Power in Practice

Combining academic rigor and managerial relevance, the DBA program provides students with the flexibility to apply a broad range of disciplines and research methods to their chosen area of study. In addition, students benefit from the wide range of faculty expertise in management fields, such as accounting and marketing, and multiple opportunities to actively pursue field-based research.

PhD: Disciplinary and Management Expertise

The PhD programmes are offered jointly by the Graduate School of Arts and Sciences (GSAS) and Harvard Business School. They combine the disciplinary expertise of a GSAS department (e.g., Economics, Psychology) with the management expertise of HBS. As a result, students build a strong foundation in a particular discipline and then apply those methods and approaches to their research on relevant managerial problems.

While the headings for the descriptions of the two awards endeavour to promote a ‘practice’ element for the Harvard DBA, in reality, the descriptors for both are difficult to separate and do not distinguish one from the other. Accordingly, there is the ‘theory of perceived differences’ between PhD and DBAs but the ‘actual differences’ for at least some DBA programs, particularly those classified as research degrees, seem to be negligible.

Perry and Cavaye (2002) provided the rationale for the differences between DBAs and PhDs and listed three major distinctions between them in the business/management discipline. These were:

- qualifications and knowledge on entry into the program
- focus of the program
- the nature of the doctoral report.
As outlined earlier, entry into a DBA usually requires an MBA or equivalent, as well as significant management and/or professional experience. PhDs usually require applicants to have considerable research experience, usually a first class honours or a research masters degree. This differentiation has not changed and remains a distinct difference between the DBA and PhD. The case study example DBA in this paper provides the research training for candidates as coursework units in the early part of the award. This research training is meant to bring DBA candidates to a rigorous research standard prior to them undertaking their research project and thesis.

The second difference identified by Perry and Cavaye (2002) between a DBA and a PhD was the focus of the program. The DBA was said to be a professional doctorate for managers or management professionals, focusing on an executive’s development and his or her practice, while the PhD was primarily for academics. In practice DBA research projects are very similar if not identical in nature to the research projects undertaken by PhD candidates in the business and management discipline. Both degrees require a ‘contribution to knowledge’ and projects are inherently applied in nature compared to the more theoretical thesis undertaken in PhD programs in other non business or management disciplines.

The third difference was said to focus around the nature of the doctoral report itself, with the DBA thesis perceived as shorter than a PhD in length and focused on a management problem rather than the literature. The author’s experience as a member of both PhD and DBA examination committees over many years and as a supervisor of candidates for both awards does not support such a proposition. According to Phillips and Pugh (1994), a PhD is normally about 50,000 to 60,000 words in length with a maximum length of 100,000 words. The research undertaken for this paper found that the average length of a DBA thesis was around 60,000 to 70,000 words with the occasional thesis being up to 90,000. As both DBAs and PhDs can be longer or shorter than the recommended word length, any difference in length does not serve as a distinguishing feature.

The nature of the thesis is also no longer a point of difference. Business and management programs at all levels by necessity must have a theory-practice link otherwise the business and management faculty will not be useful to the stakeholders it claims to serve. In summary, Table 22.4 details the similarities and differences between the case study DBA and PhD (for business and management only).
### Table 22.4: Differences and Similarities Between the Case Study DBA and a PhD in Business and Management

<table>
<thead>
<tr>
<th>DBA (classified as a research degree as research component greater than 66%)</th>
<th>PhD</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Similarities</strong></td>
<td></td>
</tr>
<tr>
<td>• Contribution to knowledge</td>
<td>• Yes—required as one of the examination criteria</td>
</tr>
<tr>
<td>• Research project (thesis)</td>
<td>• Rigorous</td>
</tr>
<tr>
<td>• Supervisor</td>
<td>• Doctorally qualified senior academic</td>
</tr>
<tr>
<td>• Focus</td>
<td>• Usually on applied business issues/problems in the field</td>
</tr>
<tr>
<td>• Thesis word length</td>
<td>• In the range of 60,000 to 90,000 words</td>
</tr>
<tr>
<td>• Examination</td>
<td>• three examiners, two of which must be external to the university</td>
</tr>
<tr>
<td>• Governance</td>
<td>• Governed under the Higher Degree Committee (Research)</td>
</tr>
<tr>
<td><strong>Differences</strong></td>
<td></td>
</tr>
<tr>
<td>• Entry requirements</td>
<td>• MBA degree/management experience</td>
</tr>
<tr>
<td>• Funding</td>
<td>• Fee paying</td>
</tr>
</tbody>
</table>

Source: Miller (2009, p72)

As shown in Table 22.4, the only significant difference, other than the funding source, is the entry requirements for the two awards, the DBA requiring a Masters degree or equivalent and the PhD requiring research experience, usually first class honours or equivalent.

### Nature and Motivation of Candidates

The nature and motivation of candidates who wish to undertake a DBA are as diverse as the nature of the topics under research. However, a number of categories of candidates can be distilled and these are discussed briefly below. There also appears to be similarities in the applicants attracted to DBAs and PhDs in the business and management discipline. Traditionally, applicants for business and management related PhDs are not directly from undergraduate awards, as is the case in the hard
sciences. Usually, applicants apply to study part-time and not full-time as they are mid level executives working in industry. PhD applicants are much more likely to already have had some business or professional experience and therefore, are similar to DBA applicants, who similarly have business or professional experience and bring with them empirical understanding of organisations and of business issues.

As research classified DBAs like the case study program are afforded the same level of recognition as PhDs by the government in Australia, these DBAs are increasingly being considered as an alternative to the PhD as a doctoral and research training award. Consequently, many of the candidates enrolling in the research DBAs are existing academics from other Australian and overseas universities. They are mature academics being pressured to obtain their doctoral qualification or are early career academics who have entered academe from industry and are looking for a relevant research degree that will be acceptable to their institution as a research doctorate for employment and promotion reasons.

A further high percentage of candidates are consultants from the private and public sectors who are looking to test models they have developed in their practice and which they are using in industry. Alternatively, the consultants are seeking to increase their own personal credibility with a doctoral qualification that they consider will increase the marketability of their skills and knowledge to better compete in a very competitive market place.

However, like the PhD in business and management, the majority of applicants are typically either interested in progressing their understanding of complex management issues or have a plan to perhaps move into academia when they burn out, have achieved all they wish to in their professional role or wish to semi-retire.

**Nature of Research and Research Topics**

The research undertaken in the case study DBA program is methodologically diverse ranging from ethnography and grounded theory to traditional surveys and structural equation modelling. The topics under study are equally diverse. Research undertaken on over 250 completed theses from the case study DBA program is discussed here. For convenience, the areas of study have been combined and categorised into 13 sub-disciplinary areas. The percentage of theses undertaken in each sub-disciplinary area is shown in Table 22.5.
Table 22.5: Topic Areas and Percentage of Candidates Researching in the Area

<table>
<thead>
<tr>
<th>Sub-disciplinary area</th>
<th>Percentage of candidates undertaking projects in this area</th>
</tr>
</thead>
<tbody>
<tr>
<td>Organisational development and behaviour</td>
<td>17.0</td>
</tr>
<tr>
<td>Human resources and employment relations</td>
<td>13.0</td>
</tr>
<tr>
<td>Sales and marketing</td>
<td>12.0</td>
</tr>
<tr>
<td>Entrepreneurship, innovation and new venture creation</td>
<td>10.0</td>
</tr>
<tr>
<td>Strategic management</td>
<td>9.0</td>
</tr>
<tr>
<td>Small business management</td>
<td>7.0</td>
</tr>
<tr>
<td>MIS and ecommerce</td>
<td>7.0</td>
</tr>
<tr>
<td>Quality management</td>
<td>6.0</td>
</tr>
<tr>
<td>International and comparative management</td>
<td>5.0</td>
</tr>
<tr>
<td>Knowledge management</td>
<td>5.0</td>
</tr>
<tr>
<td>Accounting and finance</td>
<td>5.0</td>
</tr>
<tr>
<td>Technology management</td>
<td>3.0</td>
</tr>
<tr>
<td>Project management</td>
<td>1.0</td>
</tr>
</tbody>
</table>

As can be seen from Table 22.5, the areas of research are diverse but dominated by projects in the related fields of human resources and organisational development and behaviour. Sales and marketing is the next significant area of research followed by entrepreneurship, innovation and new venture creation.

One can only speculate why the fields of human resources and organisational development and behaviour are in such demand. Perhaps it is due to the candidate’s own experience related to people and organisational issues. Typically, mid-level executives spend most of their time on people issues or bringing about needed change and are therefore interested in progressing their understanding of complex management issues around change and leadership.

Observations and Issues Arising from the Research

There are a number of observations arising from the research. These are listed here as issues to be further investigated by those responsible for aligning doctoral programs to the Bologna principles:

- Most professional doctorates do not meet the Bologna guidelines for a three to four year full-time program. Traditionally, professional doctorate can be completed in a shorter time frame, often in around two years of full-time study. This may mean that many professional doctorates will not be considered as
‘third cycle system’ programs and may fall between the second and third system in the Bologna process.

- PhD programs that are mostly coursework may not meet the Bologna guidelines if the curriculum of the program does not consist of a core component that concerns the advancement of knowledge through original research.

- PhD programs that strictly follow the British model and consist entirely of a research thesis and do not attempt interdisciplinary training and the development of transferable skills may not meet the Bologna guidelines.

- There is an increasing number and variety of professional doctorates being offered by universities and traditional PhDs are being re-branded to include speciality research areas designated on testamurs in the title of the award, with one example being the Doctor of Philosophy (Agriculture).

- Generalist nomenclature at the doctoral level, particularly for the PhD, is being overtaken by specifically named PhD awards, bringing about confusion as to what both PhD and professional doctorates are and claim to be.

- Many professional doctorates are in fact research doctorate degrees and are formally classified as such by the Australian government, further confusing applicants for these programs.

- The meaning and value of the PhD vis-à-vis the professional doctorate is being confused to the point that any real distinction is becoming meaningless. Anyone interested in assessing whether a doctorate of any type is a research award or a coursework award needs to go beyond the title of the award on the testamur and critically assess the transcript for the percentage of the research component.

**Conclusions**

There is confusion in the discipline of doctorates both in Australia and globally. Traditional doctoral awards like the PhD are being outnumbered by professional doctorate degrees and changes to the generic nature of the PhD. Re-branding to include a speciality research area designated on PhD testamurs is muddying the once-clear waters. There appears to be a significant change in the direction universities are heading in regard to offering doctoral programs.

In the business and management discipline, much of the purported distinction between the DBA and PhD has been lost (if it ever was really there) as the nature of applicants for these awards and the nature of research projects undertaken converge.

Perhaps, it is time for Australian universities to consider establishing a new, advanced higher research degree that clearly differentiates university research of a very high standard from other research higher degrees. Such is the case in other countries including the UK, Ireland, and some Scandinavian countries. These countries have a higher tier of advanced research doctorate awarded on the basis of very high standard research and scholarship (for example the Doctor of Sciences (DSc/ScD))
and Doctor of Letters (DLitt/LittD) degrees. This more advanced award might then become the standard or requirement for a career as an academic or researcher in most fields, as was the original intention of the *licentia docendi*.

Finally, the research raises important questions about doctorate programs generally that remain unanswered. For example, should the professional doctorate’s sole aim be to produce quality researchers or is the sole aim to produce well-rounded practitioners/professionals? Are the aims compatible? Does the professional doctorate pose a risk to PhD programs? And if so, how? Should these programs be clearly differentiated or should they be encouraged to achieve the same outcomes and standards? How will the Bologna process impact on the structure of these programs as universities attempt to gain global recognition for the awards? I leave these questions for debate and discussion.
References


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As was stated in the introduction, our aims in developing this edited book were to:

- build an understanding of what is happening in doctoral education in the Asian region
- inform those involved or interested in doctoral education in the business and management genre about transnational doctoral education in the region
- review the state of play of doctoral education in selected countries on the Asian Pacific rim
- identify current research priorities in doctoral research in the region and to draw together the issues and strategies that emerge from those involved with doctoral education and its delivery.

Our book title suggests that doctoral education is now part of the transnational research community. Research and development (or connect and development as it is now sometimes referred to) has been a globalised game for some years and the doctorate is playing a significant role in delivering the research outcomes national economies and global enterprises are looking for.

The contribution to global research outcomes goes not just to the issue(s) under study in the doctoral project, but also to aspects of doctoral delivery across national boundaries. Australia is heavily dependent of the export of education. Many Asian countries have been, in the past, exporters of doctoral candidates to Australia, where the candidates study and sometimes, the same candidates return to their home countries having completed their doctorate in Australia. However, with doctoral programs established and delivered in Asian countries by Australian universities, Asian countries are building capacity, experience and infrastructure to deliver their own doctoral programs. In the future, it is likely that more Australian doctoral candidates will consider undertaking their doctorates with Asian universities (in particular with China). The doctoral degree is therefore playing an increasing role in the globalisation of education.

Chapter One outlined a case study on transnational doctoral education. Themes and issues arising from this chapter include the need to be flexible when developing and establishing elite educational programs in other cultural contexts. Collaborative education agreements are usually only as good as the relationship established between parties. Management relationships between institutions, academic level relationships and administrative relationships are all important, should be developed and maintained and need to be a close focus for all involved. Regular and frequent relationship building visits to the collaborating institutions by
management, academics and administrative staff maintain a healthy relationship. Cultural differences need to be handled sensitively as each party becomes better aware of the values of the other. Unlike larger scale transnational educational programs at the undergraduate or masters level, doctoral programs do not have significant ‘profit’ making ability for either partner and if run to cover costs only, usually meet their financial objectives. There should be a pursuit of far greater values than mere financial gain for both sides from the delivery of a doctoral program. Joint research projects, joint publication, staff exchanges and other outcomes should be high order priorities in any relationship.

The remaining chapters in Part One of the book overview management and business related doctoral programs in selected countries. Each country has of course, its own history of the development of its doctoral programs. Themes and issues arising from these chapters include:

• Globalisation and internationalisation are certainly at work in respect to doctoral degree programs. Most of the countries recognised the need for initially collaborating with established foreign universities to create a robust doctoral climate in their country.

• Each country is liberalising their doctoral programs. Private universities are entering the field as major players, unlike in Australia where the public universities dominate.

• Growth in doctoral programs is rapid. The expansion is providing opportunities for both educational institutions and for doctoral candidates. Choice and competition are becoming significant factors in the market place.

• Governments in the region have long term plans for education and specifically, for doctoral programs and see these programs as important for research and development and for economic growth.

• Governments want to increase domestic capacity for doctoral programs and are emphasising quality assurance mechanisms.

• Programs like the DBA are widely recognised for education of senior managers or as viable alternatives to traditional PhD programs.

• Given the likely future dominance of professional doctorates, those charged with their leadership and development need to pay attention to what governance structures are best suited to administer professional doctorate programs.

Part Two of the book reviews doctoral research priorities for Asia. In this part, the authors of each chapter synthesise the doctoral research projects undertaken in the case study program into the sub-discipline groupings of financial management, information technology and systems, organisational management, marketing and small enterprise research. The structure of this part of the book provides what we hope is a sensible and traditional overview of the research priorities being pursued in the region by doctoral candidates. The research projects are mainly applied research and in many cases provide the platform for investment in both the organisations
and industries under investigation. It is critical that this research is undertaken for the economy of these countries and much of the research undertaken has a high commercial value.

In respect to financial management, the DBA process clearly demonstrates a path by which ‘career change’ practitioners could obtain the research training and credentials required to teach in Accounting and Finance programs in tertiary institutions in Australia and throughout the region. The entry requirement for the professional doctorate differs from the PhD, in that a high quality MBA or similar evidence of post-graduate qualification is required, and the requisite research training is provided during the course. Concentration on the recruitment of only PhD graduates in such departments exacerbates the shortage of available talent from which to draw teaching staff in times of shortage and has the effect of discouraging talented ‘career change’ practitioners who could be in a strong position to build the bridges to practice so often encouraged by the AACSB from undertaking professional doctorate studies.

In the discipline of information technology and systems, the research priorities of candidates appear to be focused on the following areas: e-commerce, cross-functional information systems, diffusion of innovation, strategic use of IS/IT, and competitiveness of IS/IT organisations. Some of the studies looked at cross-functional information systems implementations. There was an emphasis on multiple industries, electronic and computer equipments manufacturing, retail trade, telecommunication and technology services, agriculture and fishing, higher education, and health services.

Doctoral research in human resource management is focused on retention, career development, downsizing and performance appraisal, human resource development (including learner needs analysis, employability skills, multi-skilling, coaching and mentoring and trainer effectiveness) and organisational development (change management, learning organisations, teams). Observations are made in the chapter about the methodologies adopted and there is discussion regarding emerging issues post the global financial crisis.

Concerning the discipline of organisational management, the sub-disciplines dominating the research agenda in the case study program included: human resources and employment relations, international and comparative management, MIS and ecommerce, strategic management. Topics that might be considered as ‘hot’ research areas were: leadership and change in organisations.

In a following chapter, there is a focus on the traditional areas of marketing. These include advertising and promotion, consumer behaviour, service marketing and marketing management. By far the most popular area has been consumer behaviour with many researchers combining aspects of consumer investigation with aspects of service marketing, innovation and adoption, decision making and customer satisfaction. The range of industries that are covered by the research is extremely varied and the most popular topic reflects the newness and interest in the development of the Internet as a marketing tool. Banking, property development
and telecommunications industries were also featured in multiple studies. The remaining industry areas covered call centres, health, food, insurance, information technology, multilevel marketing, rail and retailing.

Small enterprises were the focus of the final chapter in this part. Doctoral research outcomes include the characteristics of small enterprises and their owners, various functional areas of management such as finance, marketing, human resource management and systems and factors which influence success in these functional areas. Other research reviews small enterprise growth and development and strategies, management style and success in the small enterprises and finally, small enterprise policies which have been or may be adopted by national governments and organisations to support the growth and development of small enterprise. The chapter ends with a review of future directions of doctoral research on aspects of small enterprise management in Asia.

The third part of the book concerns ‘Issues and Strategies in Future Doctoral Research’. Chapter authors who were known to be interested and involved in transnational doctoral education were invited to write about the issues of concern to them and to give the benefit of their experience to others so to provide a platform for others to develop strategies to improve the quality of doctoral program delivery and management.

Chapter 14 by Teresa Marchant reviewed ‘The implications of globalisation for the management and business research environment’. Conclusions reached in the chapter show that globalisation has seen the emergence of ‘the publish or perish’ imperative in a new guise: government and senior management driven, top-down, performative and managerial measurement systems which contradict academic values of freedom, collegiality, peer-review, trust and democracy. Universities wishing to promote a research culture should remove impediments to research such as excessive teaching loads, provide adequate funding and other forms of support and encourage research based on professional academic values being widely shared and strongly held, rather than adopting a ‘big stick’ approach. Research output and quality in Asia is best likened to a mosaic with patches of brilliance in the form of international standing and other parts where teaching is the only priority.

In Chapter 15, Peter Miller discusses ‘Doctoral research output structures’. The chapter builds on the one before about creating a research culture and environment. This chapter demonstrates the need for an organisational and cultural alignment prior to the operation of a successful doctoral program. Change initiatives are often undertaken in difficult cultural environments and the chapter describes how a sub-culture was required to be established in order for a change program to succeed. Critical research output structures need to be conceptualised, developed and implemented to provide the framework and infrastructure necessary for high academic and service standards to be attained and the chapter demonstrates how these were undertaken.

Intellectual regression and plain ideology in management theory and research is the topic of Chapter 16 by Alex Kouzmin. This chapter again relates to managerialism concerns raised in Chapter 14 and links both an economic and libertarian wish to
reduce government, but rent-seeking assertions under-pinning privatisation and out-sourcing rationales continue to ignore the pressing questions about the structure of organisation and the pathologies of managerial prerogatives. Serious questions are raised at the conclusion of the chapter including ‘Can current business and management models cope with 50-year contracts delivering services?’ Are these business models failing proof? The reader should be able to reflect on the managerial assertions that private management capabilities are inherently superior and, especially, the role of the DBA research in perpetuating these ‘ideologised’ positions.

Chapter 17 by Peter Miller concerns ‘Supervision of research efforts’. This chapter briefly reviews some of the international higher degree research (HDR) literature about what constitutes ‘good’ HDR Supervision and about whether HDR Supervision can be considered as teaching. A constructual framework of four constructs of ‘good’ HDR supervision is developed which was then used to form the basis of an on-line HDR supervisor professional development program. This professional development program was 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. 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.

In Chapter 18, A. Selvanathan discusses ‘Asian research symposia’. At the symposia, the doctoral candidates have an opportunity to meet other candidates, compare their progress, exchange tips and explore different research methodolgies. The candidates also receive advice from experts in a broad range of research areas, confirm examination requirements, network with business leaders and develop ongoing associations and dialogue with fellow candidates. Symposia also provide a forum for students, faculty, and the community to discuss cutting edge research topics and to examine the connection between research, practice and education. Using the symposium conducted in Kuala Lumpur in June 2008, the chapter reports on the topics covered.

The significant area of ‘Publishing research outcomes’ is reviewed in Chapter 19 by Geoffrey Meredith. Objectives of this chapter were to demonstrate that publications from doctoral thesis is an obligation by candidates and also produces a number of distinct advantages which may be specific to individual candidates depending upon their own personal objectives and aspirations. The chapter is devoted to techniques associated with converting research material in a doctoral thesis to publishable material in a journal article.

Chapter 20 by Ros Cameron raises the ‘Emerging research designs in doctoral studies’. Research paradigms are changing and mixed methods research is emerging in doctoral programs. This change 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.
The chapter argues that these practices may need to be abandoned in favour of a more holistic approach, where 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.

Establishing sound bases for research success is the topic of Chapter 21 by Lawson Savery. Once again, this chapter can be related to research culture discussed in Chapter 14. Good research cannot be conducted without a thorough understanding of research design and methodology. Basically, there are two types of research methodology, Quantitative and Qualitative with possible various levels of either of the two used according to the needs of the research question(s) to be answered. The chapter discusses the how a candidate chooses his/her supervisor, the two types of research methodologies and the reliability measurements of questionnaires. The chapter also discusses the format of the thesis using the five-chapter model and examines the content of each chapter.

The final chapter by Peter Miller is titled ‘Global confusion in the discipline of doctorates’. The chapter provides evidence of the confusion in the discipline of doctorates globally. Traditional doctoral awards like the PhD are being outnumbered by professional doctorate degrees and changes to the generic nature of the PhD, signaling a significant change in the direction universities are heading in regard to offering doctoral programs. The research presented raises a number of questions that generally remain unanswered. For example, should the professional doctorate’s sole aim be to produce quality researchers or is the sole aim to produce well-rounded practitioners/professionals? Are the aims compatible? Does the professional doctorate pose a risk to PhD programs? And if so, how? Should these programs be clearly differentiated or should they be encouraged to achieve the same outcomes and standards? How will the Bologna process impact on the structure of these programs as universities attempt to gain global recognition for the awards?

As was mentioned above, the last part of the book was not meant to identify a common thread to the discussion on transnational doctoral programs but to allow the chapter authors to write about the issues of concern to them and to give the benefit of their experience to others so to provide a platform for others to develop strategies to improve the quality of doctoral program delivery and management. Notwithstanding, several issues and themes do arise from these chapters.

Globalisation and increasing competition among countries for doctoral candidates is driving the trend for the availability of more quality doctoral programs. The trend is linked to the need for quality research and to economic success. There appears to be a significant potential throughout Asia generally for providing doctoral studies and this is likely to be a major growth area in the future for this level of educational activity. While not covered in the initial chapters, India and China appear to be on the precipice of a vast increase in doctoral activity and this will inevitably flow to other Asian countries as competition increases for candidates. Supply of doctoral programs, demand and cost factors will be significant issues for those charged with strategic growth in the area.
With the increasing managerialism of universities and the apparent lack of understanding by these managers of how to establish and maintain the necessary research culture for doctoral programs to thrive, it is of some concern where the supervisors for the doctoral projects will come from. The aging academic workforce in the West and the lack of well published and experienced supervisors may be a significant barrier to growth to Asian expansion in the doctoral area.

We do hope that you enjoyed reading the chapters of this work and have found some useful insights from the authors of the various chapters.

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