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**THE IMPORTANCE OF ALIGNING MANAGERIAL
CHARACTERISTICS TO FUNCTIONAL STRATEGY
IN PUBLIC SECTOR ORGANISATIONS:
AN EMPIRICAL STUDY OF DUBAI GOVERNMENT**

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PhD

UNIVERSITY OF BRADFORD

2010

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Submitted for the degree
of Doctor of Philosophy

School of Management
University of Bradford

2010

II

Abstract

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Key words: Strategy, alignment, functional managers, characteristics, Dubai government.

Managerial characteristics have an important influence on strategy implementation. Previous studies have looked at the alignment of managerial characteristics with strategic type and aspects of performance. In all cases, the focus has been on corporate strategy and, predominantly, in private sector organisations. This study combines these objectives and investigates alignment between managerial characteristics, strategy and perceived performance. It focuses on management at the functional level in a public sector setting and demonstrates that classical upper-echelon theory is also relevant when applied at the functional level of management.

The Miles and Snow (1978) typology is applied to the functional strategy for Dubai government organisations, to investigate whether functional units pursuing strategies are led by functional managers with dissimilar attributes, and whether the alignment between managerial characteristics and strategy is related to performance of the functional unit.

Based on the extant literature, a research model has been developed, which yields two types of hypothesis. Data was collected by means of

interviews and surveys to obtain knowledge of strategy types, and demographic and psychological characteristics for the functional managers. Regression techniques have been used for data analysis rendering support for two types of hypothesis. Consequently, this study supports the view that Upper Echelon theory can also apply at the functional level, emphasising the role of the functional managers, at the lower management levels of the organisations, in strategy implementation.

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ACKNOWLEDGEMENTS AND DEDICATIONS

First and foremost, I would like to thank my family: my wife, Maryam, for standing by me during this work and for her encouragement, prayers, and personal sacrifices; my daughter and son, Fatima and Ahmed for bearing with seeing little of me on many occasions: my father, Ahmed, for all that he did for me, especially for his dedication of prayers.

I am deeply indebted to my supervisors Dr. James Wallace and Prof. Nelarine Cornelius, for their leadership and support throughout the years. Without the contribution of their insight, many of the results present in this thesis would not have been possible.

There are many other people who through their patience and support have made contributions to this thesis. It would be impossible to list everyone who contributed, or to adequately describe the extent of the contribution of those mentioned.

CHAPTER 1: INTRODUCTION

1.1 STUDY OVERVIEW

Much effort has been exerted by researchers in the pursuit of a better understanding of the factors which contribute to superior organisational performance. Contingency theories have consistently argued that, when correctly aligned with the environment present within a respective organisation, certain strategies, structures and processes are likely to improve organisational performance (Hambrick & Mason, 1984; Galbraith, 1983). Strategists have also supported this line of thought by advocating the notion that optimum use of available resources will only occur when a 'fit' is achieved between the organisation's strategy, its structure and the environment in which it is located (Andrews, 1971).

Strategic research has highlighted the crucial role of senior executives in terms of initiating and implementing the strategy development process. Andrews (1971, p.34) argues that '*... there is no way to divorce the decision determining the most sensible economic strategy from the personal values of those who make the choice*'. Previous research has concentrated on the relationship between strategy and leadership. For example, in their study on Upper-Echelon theory, Hambrick and Mason (1984) consider the organisation as a reflection of the demographic characteristic traits of its top managers, and argue the importance of matching these with the organisation's overall strategy.

With this in mind, much research has been conducted to investigate the importance of matching the characteristics of top managers to strategy, at both a corporate (Miller &

Toulouse 1986) and business unit level (Govindarajan, 1989; Thomas *et al.*, 1991). Despite this, matching nevertheless still requires further research, as there is a fundamental lack of empirical studies on such relationships at the functional level of strategy.

Due to the rapidly changing environment, public services face unprecedented challenges in the 21st Century, which include demands to increase the ability of public sector organisations to meet customer needs, in addition to the ever-increasing expectations of the general public. Consequently, public agencies need to consider strategic ways in which to manage change and accordingly cope with environmental uncertainty. Moreover, governments in various nations have exhorted public agencies to align their internal arrangements with their service objectives (Pollitt and Bouckaert, 2004).

Research in the public sector has traditionally been carried out by management scholars. Notably, Roulla and Liddle (2007) highlight, in this regard, "*The recent admission by management scholars that they have largely ignored this sector has resulted in a dearth of informed research and analysis on the issues and problems faced by public sector managers. There is evidence that organizational management insights and developments would be highly beneficial*" (Ibid p.333). Moreover, very little research has so far been conducted in consideration of the patterns of organisational strategy within the public sector, or otherwise on the links between strategies, other organisational characteristics, and the environment (Boyne and Walker, 2004). This research considers these issues and the need for improvements within the public sector by focusing on management at a functional level.

By customising an extended model (Hambrick & Mason, 1984; Carl & Baik, 2000; Karen *et al.*, 2004) to accommodate the public sector, this study investigates congruency between the characteristics of functional managers and strategy, and the positive impact that might be made upon the successful implementation of functional strategy. This model includes multiple demographic and psychological managerial characteristics, and a consideration of strategy and performance at the level of functional managers in Dubai government departments.

1.2 STUDY PURPOSE

The study has two purposes: firstly, it is intended to extend the scope of prior research within the organisation and strategy field by investigating the relation between managerial characteristics and strategy at a functional level; and secondly, it is intended that the research needs of the public sector shall be addressed by testing the model in the public sector. The objective here is to reach a better understanding of management attributes and their potential relationships with organisational performance through the successful implementation of functional strategy in a poorly researched business sector. To achieve this, two research questions are addressed:

1. Are various managerial characteristics or attributes associated with specific functional strategy types?
2. Does the alignment of appropriate managerial characteristics with functional strategic type improve performance?

The organisations of the Dubai government have been selected as the target population for this research. Dubai is considered to be a remarkable success story, as

it changed from a poor village to become one of the fastest growing cities in the world (Krane, 2009). Initially, the economic development of the village was begun by Sheikh Rashid bin Saeed Maktoum in 1960, to later be recognised as the leading regional trading hub of the Middle East. Rashid's son Mohammed subsequently took over, and pressed forward and continued with what his father had started with intense passion. Sheikh Mohammed decided upon a comprehensive development for the city to become one of the most well-recognised business centres in the world and, as a result, Dubai experienced substantial economic growth and development during his period. Continuous growth has been achieved in various sectors by effective commercial diversification to the extent that non-oil related GDP contributions are now well over 90% (Davidson, 2008). Significant successes have subsequently managed to attract large numbers of investors and businessmen due to Dubai's good infrastructure and economic policies, business flexibility and low costs.

The comprehensive development for the city required the public sector to work in line with the private sector and to maintain the growth of the city. In order to achieve this, Sheikh Mohammed argues that '*We must reinvent the government in order for Dubai to become a leader in the knowledge age*'. Thus, the service provided by the public sector has to be raised in order to meet the expectations of both the private and public sectors.

The Dubai public sector comprises 18 organisations which provide all the services required by the population of the city. All these organisations follow the general strategic plan for Dubai government (2007-2015), which covers five key sectors:

Economic Development; Social Development; Infrastructure, Land and Environment; Security, Justice and Safety; and Public Service Excellence.

The Organisations of the Dubai Government has been chosen for a number of reasons. Firstly, it is considered to be a valid representation of public sector organisations, which is being challenged by rapid changes taking place in various nations. Secondly, the personal interests of the researcher include building on the knowledge base of these organisations, to add to the experience and knowledge already gained from one of the Dubai government organisations. Thirdly, there has been great support received from Dubai's executive council, which is in charge of administering all the Dubai government's organisations, with information required for this study.

1.3 RESEARCH PROPOSAL OVERVIEW

1.3.1 IDENTIFICATION OF PERTINENT ISSUES

The three hierarchically ordered levels of strategy are corporate, business and functional. The top management specifies corporate strategy as being designed to realise the overall aims and objectives of the organisation. Business strategies are formulated by the managers of individual business units or strategic business units, and focus is placed on how the business should compete in a particular industry or product/market segment. Functional strategies are formulated by reference to the plans and activities of functional units, such as marketing, production, finance etc., and aim to achieve business objectives and corporate goals (Bourgeois, 1980). As the business strategy ultimately underpins corporate strategy, and is supported and

operationalised by functional level strategies, strategies at the lower levels of management should be consistent with higher corporate levels so as to foster the successful accomplishment of these higher levels (Hofer & Schendel, 1978).

Researchers have frequently used typologies when studying organisational strategy, with several typologies receiving substantial attention. Some strategic classification schemes primarily relate to specific industrial or for-profit environments. Examples of such schemes considered to be more appropriate to the for-profit sector include Porter's (1980) low-cost leadership, and Galbraith and Schendel's (1983) industrial products; these typologies generally have less applicability to the non-profit environment (Snow & Hrebiniak, 1980). Miles and Snow's (1978) typology for strategic orientation has also been shown to have wide applicability, and is more favourable for use in this research. This typology is based on the premise that organisations follow behaviour patterns as classified into four fundamental strategic types: Prospector, Defender, Reactor, and Analyser. Each of these is expanded upon below.

- A **Prospector organisation** is a creator of change within the industry, with innovation playing a key role in their success. Accordingly, such organisations focus their efforts on growth and innovation by means of a more consistent approach than other strategic types.
- **Defender organisations** direct their products or services at a clearly defined market. They have a stable set of products and customers, and strive to update their technology regularly so as to maintain efficiency. Innovative change, growth and diversification are achieved incrementally through market penetration.

- **Reactor organisations** typically react to market demands, and have little involvement in research and development. Accordingly, such organisations do not seek to be innovative.
- The **Analyser organisation** is an intermediate type, located, in function, between the prospector organisation and the defender organisation, and seeks to both create change by innovation while maintaining stability in its customer base.

In this instance, we are interested in the functional units within public sector organisations which typically deal with areas of conflict as posited by different stakeholders, more than functional units in non-public sector organisations (Pollitt & Bourkaert, 2004; Kickert, 2008). It is, therefore, unlikely that the analyser strategic type could be successfully pursued within any public sector environment, and so is not included in our study (Andrews *et al.*, 2007).

Strategies are commonly formulated and implemented by top executives; however, we believe that functional managers also have the ability to influence choices made within their organisations. The difference is that the influence of the functional manager is more constrained than that of top executives; however, no-one can deny the importance of the role played by the functional manager in relation to the direct implementation of strategy (Floyd & Wooldridge, 1992b). Thus, the functional managers' characteristics may determine, somewhat, the effectiveness of a strategy.

In their Upper Echelon theory, Hambrick and Mason (1984) relate the aspects of individuals, organisations and environments, and assume that managerial characteristics will be reflected in the organisational outcomes. Cyert and March (1963) further argue that decisions stem predominantly from behavioural factors more

than economic optimisation; this premise particularly supports any research dealing with the public sector, where economic optimisation is less of an issue. Thus, decisions stem from personal perspectives which build on knowledge, assumptions, values and preferences. Observable characteristics are seen as indicators of this perspective.

Managerial characteristics comprise, in part, psychological characteristics and demographic characteristics, although a continuing debate exists regarding the use of both these elements. For instance, those who promote the value of psychological traits argue that these are more closely related to individual values and beliefs, but involve a level of difficulty for the use of, as such information is not necessary accessible. Demographic characteristics, such as such as age, gender, tenure, education level and socioeconomic variables, have therefore often been used as a proxy for psychological traits.

When studying managerial characteristics, the study will incorporate both demographic characteristics and psychological measures for the functional managers. The objective here is to achieve greater understanding of management attributes and their potential relationship with organisational performance through the successful implementation of functional strategy. Managers considered that demographic characteristics would include age, education level, and tenure of the functional managers; and psychological measures would include locus of control, attitude towards change, and cognitive style.

1.4 RESEARCH METHODS FOR THE STUDY

The departments of Dubai local government have been selected as the special population for the study. These departments are representative of the many challenges facing organisations within the public sector, especially those within the fastest growing economies. The local departments differ in terms of size, responsibility and services provided to the public. Significant information is also publicly available, which will ultimately strengthen the research project. Data was collected from managers at two levels in each of the eighteen departments: firstly, the current organisation strategy type for each of the departments was investigated by a survey conducted for board member managers, in addition to in-depth interviews with the related member manager, who is responsible for designing, implementing and measuring the organisation's strategy; and secondly, functional strategic type and functional managerial characteristics were captured by means of a questionnaire-based survey conducted on randomly selected managers from all functional units within the departments. The data was subject to multivariate statistical analysis, which includes meaning condensation analysis technique for the interviews and regression analysis for data obtained from the questionnaire.

1.5 RESEARCH CONTRIBUTIONS

Previous studies have considered the alignment of managerial characteristics with strategic type and aspects of performance. In all cases, the focus has been on corporate strategy and predominantly within private sector organisations. In this instance, these objectives are combined, and alignment between characteristics and strategy is investigated. We focus on functional managers at a middle management

level within a local government setting, and accordingly investigate the practicable application of the classical Upper Echelon theory in relation to the functional level of management.

This study accepts the challenge in many phases: firstly, it incorporates multiple issues related to strategy and leadership, building on the theory found within the organisation and strategy literature; and secondly, applies such to a different organisational level within the public sector, building on suggestions determined in the literature (Andrews *et al.*, 2008; Kathuria & Stephen, 2003). This empirical study contributes to the organisational and strategy literature as well as the literature concerning the public sector. The study does not provide 'solutions' but rather extends the literature and understanding of public sector strategy. Findings of various concepts, such as locus of control, attitude towards change, and cognitive style could all fundamentally contribute to future planning for changes in leadership within the public sector, and future research.

1.6 THESIS OUTLINE

In order to achieve the research purpose and therefore to develop the foundation stage for the research model, the literature was reviewed so as to cover many aspects. Consequently, Chapter 2 sheds light on the organisation strategy. Many aspects have been covered in this regard, starting with strategy definition and ending with public sector strategy. This chapter is considered to form the foundation of the research model, whilst Chapter 3 covers the literature related to the role of middle management in terms of strategy and the Upper Echelon theory. Chapter 4 presents the research model and hypotheses, the latter being arranged into two major

groupings: the first group addresses functional manager demographics and psychological characteristics, and Miles and Snow's strategic types respectively; whilst the second group deals with aspects of the 'fit' between demographic and psychological attributes of the functional manager, strategy and functional unit performance. Chapter 5 explicitly outlines the research design, and includes descriptions of proposed data collection methods. Furthermore, this chapter adds details relating to the sample population, operationalisation of variables, and statistical methodologies.

CHAPTER 2: ORGANISATION STRATEGY

2.1 INTRODUCTION

No organisation can work in isolation; each operates in a certain context or under certain terms. Notably, all act and react with their environment, and each has to have its own way of acting and reacting when doing business; more accurately, each has to have its own strategy (Porter, 1980).

Accordingly, it is necessary to explore definitions of the word 'strategy' and to determine how people have dealt with such. This word has received a wealth of attention from both academics and practitioners, to the extent that it has become an important concept in the management literature (Richardson, 1994). Ansoff (1987:21) states in his book, *Corporate Strategy*, that '*during the past twenty years, the concept of strategy has become one of the everyday words of managers*'. His statement was made in 1965 and, as yet, this word continues to have quite an effect in the corporate world (Nutt & Backoff, 1992).

Several aspects of organisation strategy will be explored in this chapter. Firstly, the definition of the concept will be reviewed, and different opinions will be further explored, particularly with reference to Mintzberg's (1994) categorisation of the concept. Secondly, different strategy typologies and hierarchies will be discussed with special attention given to Miles and Snow's (1978) typology, as this is considered to be crucial within this research. Thirdly, different stages of strategic management will be presented and discussed with attention being given to strategy formulation and

implementation. Fourthly, the idea of using strategy in public organisations will be explored by the way in which these organisations define strategy, as well as considering the method by which public organisations formulate and implement their strategies.

2.2 DEFINITION OF THE WORD STRATEGY

Strategy, as a concept in business, acquired its importance in the 1960s and 1970s (Langfield-Smith, 1997; Wilson, 1994), in all aspects of business: in the public sector, in the two areas of public administration and not-for-profit organisations; and in the private sectors of industry and commerce (Johnson & Scholes, 1997).

Ansoff and McDonnell (1990) consider strategy as '*... an elusive and somewhat abstract concept*'. Others consider strategy a paradigm shift with regard to how the firm is viewed (Johnson, 1988). Instead of looking at detailed functions and the pattern of organisation—which was common in the 1950s and 1960s—strategy rather came to be seen as a holistic way of thinking about the organisation (Montgomery & Porter, 1991). During the 1960s and 1970s, the primary concerns of big businesses were occupied with the individual functions (production, marketing, and finance) of the organisation; its functionality was the key to success, and they therefore failed to recognise the importance of the strategy from a holistic point of view (Richardson, 1994).

Opinions differ in terms of the concept of strategy, and there are as many viewpoints as there are authors. Notably, whilst some authors consider strategy as a means to an end (Liedtka and Rosenblum, 1996), others simply believe that it is an end in itself.

It is an achievement for the organisation to have a strategy (Richardson, 1994). Furthermore, others treat it as an idea or a viewpoint which refers to the future (closer to a vision, as vision is part of the strategy), but it is nevertheless the case that every successful organisation has to have a strategy (Mintzberg *et al.*, 2009).

The famous strategy guru, Henry Mintzberg, clearly states that '*strategy is one of those words that we define in one way, yet use in another*' (2009: 9). He shares the point of view of Ansoff and McDonnell (1990) concerning the ambiguity of strategy. Mintzberg (1994) argues that there are five different points of view for strategy.

In the light of the above discussion, it is clear that strategy can be defined in many different ways. Moreover, there are as many definitions as there are people who use the term (Roth & Washburn, 1999). Webster's (1996) dictionary defines the term 'strategy' as '*the science or art of combining and employing the means of war in planning and directing large military movements and operations*'. An alternative working definition is '*a plan, method, or series of manoeuvres or stratagems for obtaining a specific goal or result*' (Webster, 1996).

Reviewing management literature reveals that strategy has various definitions, and there is no universally accepted single definition of strategy (Mintzberg & Quinn, 1996). In this thesis, definitions will be categorised according to their group. The first four meanings have been stated by Mintzberg (1994) and others who share the same opinion as cited therein. Further research unearthed supplementary definitions for strategy. These are as follows:

1. Plan: Mintzberg (1994: 23) defines it as '*a course of action into the future*'. In this respect, some organisations consider the annual operation plans as a strategy, guiding the organisation into the future (Ansoff, 1987), whilst others provide a more detailed definition: '*strategy is a major, comprehensive, and usually long-term plan for accomplishing strategic goals and objectives, including the fulfilling of the organisation's vision and mission*' (Higgins & Vincze, 1993). Some other writers share the same point of view, although they link it conceptually, to the organisation's competitive edge (Henderson, 1991).

2. Pattern: Pattern is another definition for strategy, relating to consistency in behaviour over time (Mintzberg, 1994). All the decisions made by an organisation should have a unified pattern and further serve as criteria for the decisions in the whole organisation. Higgins & Vincze (1993) state another definition for strategy, as it indicates the integrative and unifying pattern of decisions for achieving organisational purposes, resource allocations for achieving these purposes, and the firm's perception of a sustainable competitive advantage at a business level. This point of view is further shared by Andrews (1971), and is also stated by various other researchers. Andrews defines strategy as a pattern of decision-making in a company which ultimately determines and reveals its objectives, purposes or goals, procedures of the principal policies, and plans for achieving those goals. He states this in such a way so as to define what business the company is in (or is to be in), and the kind of company it is (or is to be) (Andrews, 1971). In the same context, Grant and King (1982) define strategy, as '*... a time sequence of internally consistent and conditional resource allocation decisions that are designed to fulfil an organisation's decisions*' (Pfeiffer, 1991:377).

3. Position: Strategy is the determination of particular products in particular markets (Mintzberg, 1994). In this case, it is the position the organisation chooses to be in. Porter (1980; 1998) is one of the management specialists contributing to this view whereby strategy is said to be the creation of a unique and valuable position, involving various different sets of activities.

Markides (1999) shares the same point of view, although he further suggests that the organisation should answer three questions:

1. Whom should the company target as a customer?
2. What products or services should the company offer the targeted customer?
3. How can the company do such efficiently?

The answers lie in the way in which an organisation conducts business which, accordingly, gives it an advantage over its competitors, or otherwise enables it to achieve its goals. In this respect, strategy is the way in which a company defines its business and links together the only two resources that really matter in today's economy: knowledge and relationships, or an organisation's competencies and customers (Normaim & Ramirez, 1993).

4. Ploy: A specific manoeuvre intended to outwit an opponent or competitor (Mintzberg & Quinn, 1996). In this respect, Webster's Dictionary (1996) defines the phrase 'business stratagem' as '*any artifice, ruse, or trick devised or used to attain a goal or to gain an advantage over an adversary or competitor*'; the assumption of competition is inherent in this notion of strategy (Nutt & Backoff, 1992).

The famous case of Johnson Control in the USA illustrates the use of this concept, and further illustrates how organisations protect new ideas (Nutt & Backoff, 1992: 62). It could also take the shape of cloak-and-dagger activities, such as phoney publicity for non-existent products with catchy names (ibid). However, some writers consider the previous definition as a production of a strategy, which guides the strategic action of the organisation (ibid). Porter (1980) and Schelling (1980) also use this meaning to define strategy.

Mintzberg (1994) speaks mainly in terms of the previously considered definitions. However, the researcher considers further meanings and definitions for strategy, examples of which follow:

5. Direction: Some define strategy as the direction of an organisation and, most often, a business firm direction (Rumelt *et al.*, 1995). This direction can be seen from the strategic choices which the organisation makes, and it is the integration of such choices that makes the set of choices a strategy (ibid). Johnson and Scholes (1997, p.10) define it, in their words, as '*....the direction and scope of an organisation over the long term; which achieves advantage for the organisation through its configuration of resources within a changing environment, to meet the needs of markets and to fulfil stakeholders' expectations*'.

6. Goals and Objectives: Strategy is centrally concerned with the selection of goals and objectives (Mintzberg & Quinn, 1996). For Rumelt (1996), '*strategy is a set of objectives, policies, and plans that taken together define the scope of the enterprise and its approach to survival and success*' (cited by Mintzberg & Quinn, 1996:56). Porter (1980) provides another definition for strategy, which complies with this

categorisation, defining strategy by linking it with other concepts, and stating that *'competitive strategy is a combination of the ends (goals) for which the firm is striving and the means (policies) by which it is seeking to get there'*. (Porter, 1980, p.xvi). Rumelt *et al.* (1995:16), define strategy as *'the determination of the basic long-term goals and objectives of an enterprise, and the adoption of courses of action and the allocation of resources necessary for carrying out these goals'*.

7. Strategy is the matching of the activities of the organisation to the environment in which it operates, and as building on or 'stretching' an organisation's resources and competences to create opportunities or to capitalise on such (Johnson & Scholes, 1997). Andrews and Christensen (1960) saw strategy as the unifying idea which links together the functional areas in a company, and relates its activities to its external environment (Montgomery & Porter, 1991).

8. Strategy is the art of creating (economic) value. It provides the intellectual framework, conceptual model and governing ideas which allow a company's managers to identify opportunities for bringing value to customers and for delivering that value at a profit (Normann & Ramirez, 1993). For others, it is the concept which involves profitable long-term revenue generation (Roth & Washburn, 1999).

9. Vision: For some writers, strategy is a vision of how the firm can operate, taking into consideration its competencies and market on one side, and defining the role of each function on the other (Abell, 1999). With reference to all these definitions for the concept of strategy, Mintzberg and Quinn (1996, p.16) state that, *'in some ways these definitions compete (in that they can substitute for each other), but in perhaps more important ways, they complement'*.

2.3 STRATEGY TYPOLOGY

The concept of organisation is complicated owing to the numerous situational variables involved with organisational activity. In response, various frameworks (typologies) for theoretical and empirical investigation of the strategic behaviour of organisations have been developed. Commonly cited typologies are presented in Table 2.1. These typologies are advanced by Utterback and Abernathy (1975), Hofer and Schendel (1978), Miles and Snow (1978), Vesper (1979), Porter (1980), and Wissema, Van Der Poi & Messer (1980).

According to the researcher's interpretation of the objectives of the business, these typologies focus on different aspects. The Utterback and Abernathy (1975) typology, for example, is based on a business's pattern of process and product innovation, whilst the Hofer and Schendel (1978) typology is focused on profitability and market share. The business's overall choice of product/market domain is the subject of Miles and Snow's (1978) typology. The Vesper (1979) typology is based on a business's ability to exploit resources within its given environment. Factors which drive organisational performance form the central idea in Porter's (1980) typology. Finally, the Wissema, Van der Pol and Messer (1980) typology is based on the market situation which they refer to as 'external potential', and the situation of the firm in the market which they call 'internal potential' (Galbraith & Schendel, 1983).

Table 2.1: Typologies of Strategic Orientations

Authors	Strategic Type	Based on
Utterback and Abernathy (1975)	Performance Maximising Sales Maximising Cost Minimizing	Business pattern of process and product innovation
Hofer and Schendel (1978)	Share Increasing Growth Profit	Profitability and market share objectives
Miles and Snow (1978)	Prospector Analyser Defender Reactor	Business choice of product/market domain
Vesper (1979)	Multiplication Monopolising Specialisation Liquidation	Business ability to exploit resources in its environment
Porter (1980)	Cost Leadership Differentiation Focus	Performance
Wissema, Van der Pol & Messer (1980)	Explosion Expansion Continuous Growth	Situation of the market (external potential) and situation of the firm in market (internal potential)

Source: Adapted from Galbraith and Schendel (1983).

Despite these typologies being commonly cited, most are based on conceptual constructs without much empirical support; notably, only the Miles and Snow (1978), and Porter (1980) typologies have been empirically validated. This owes mainly to the fact that the remaining typologies are only applicable within specific industries (Snow & Hrebiniak, 1980), with the exceptions of Miles and Snow (1978), and Porter (1980) typologies, which are termed as generic because they are not based on or formulated

for any specific industry and so can easily be applied to any business. They are termed typologies because they consider an array or bundle of idealised strategic choices, integrated to form specific strategic types, as discussed below.

The Porter (1980) typology assumes that firms are subject to five forces, namely customers, suppliers, new entrants, substitute products, and rivalry amongst firms. Porter (1980) maintains that a firm's behaviour within its environment is geared towards maintaining market positions. Strategy is viewed as having two dimensions: competitive advantage, and competitive scope. The firm's competitive advantage can be based on either cost or uniqueness of products, whilst the competitive scope can be either broad or narrow. Juxtaposing the elements of these two dimensions, Porter's typology stipulates five possible strategies: cost leadership, differentiation, focused cost leadership, focused differentiation, or an integrated combination of the first four strategies.

Moreover, Porter's generic strategies are most often defined in terms of competitive actions actually undertaken by a business as opposed to the kind of action intended by management (Walker & Ruekert, 1987). This can be a major limitation, as the difference between intended and realised strategies can be due to the ineffective implementation of the intended strategy.

The limitations of Porter's (1980) typology are overcome by the Miles and Snow (1978) typology, since this is based on a business's intended rates of production and market change. As such, a useful format for studying the successful implementation of different strategies is enabled; it is the only typology that describes an organisation as a complete system, especially in its strategic orientation (Snow & Hrebiniak, 1980).

Several propositions concerning how structure, process and management style should be integrated are suggested (Walker & Ruekert, 1987). Hambrick (1983) also observes that the typology enables the recording of variations across organisations, and enables construction to be operationalized in other than industry-specific terms.

The typology of Miles and Snow (1978) clearly stands as systemic and rates as more favourable for use in this research. The rationale for this conclusion is:

- The wide range of applicability of this typology, compared to other typologies, which primarily relate to specific industries;
- Other typologies generally do not accommodate the non-profit environment.

The Miles and Snow typology offers a framework which provides a meaningful interpretation within the non-profit environment (Andrews *et al.*, 2008), perhaps as the consequence that it was one of many used in the research leading to the development of the typology. Specifically, the typology was based upon studies in three industries: one of these studies intentionally focused on non-profit voluntary hospitals. Additional details about these studies are included in the next section of the literature review.

2.3.1 THE MILES AND SNOW (1978) TYPOLOGY:

Miles and Snow (1978) integrated organisational strategy, structure and process variables into a framework, thus proposing a complex typology. They argue that strategy is a way of adjusting the relationship between an organisation and its environment, and that internal structures and processes in turn must fit the strategy if

this adjustment is to be successful. The typology is based on the premise of three basic concepts:

1. Child (1972), and Weick (1969, 1977) have put forward the idea that an organisation imitates its own environment, i.e. the firm attempts to simulate the type of environment in which it wants to compete, rather than responding to actual environmental conditions.
2. The second concept draws inspiration from the renowned works of Drucker (1954), and Chandler (1962). These researches suggest that the strategy implemented and followed by a firm is indicative of the type of internal structure of the firm.
3. Cyert and March (1963), and March and Simon (1958) conclude in their researches that the strategy-structure relationship is critical because structure could create constraints in future strategy formulation.

These three basic concepts lead to a cycle of events, with strategy affecting structure and vice versa. It is using the premise of this cycle that Miles and Snow (1978) identify their four strategic type characteristics. They suggest an adaptive cycle which can best describe the dynamic relationship between the organisation and its environment; however, the adaptive cycle raises three basic problems — those which are entrepreneurial, engineering and administrative in nature.

The entrepreneurial problem refers to the selection of an organisation's domain and focuses on the products/services it will supply, and the target market to be served. These elements have to be addressed when the organisation is being conceived; but need also to be continually observed. In fact, after the business has been

successfully launched, the problem of entrepreneurship can be even more difficult due to the investment made, based on the initial entrepreneurial decision.

The engineering consideration poses an additional problem which relates to the selection of an appropriate technology fundamentally relevant to producing these products/services, and has to be decided upon at the time when the organisation is formed. This has to be communicated well so as to facilitate smooth implementation.

Finally, the administrative problem refers to the structure and processes which will promote stability within the organisation. The firm's management should be in a position to ensure that the systems adopted will support the entrepreneurial requirement and are robust enough to eliminate uncertainty.

The adaptive cycle incorporates the decisions with which management must deal and the relationship between each of these decisions in a way that explains the functioning of the organisation. Although these problems are presented sequentially, they must nevertheless be handled simultaneously. Each decision is not independent, but rather will affect the outcome of other problems.

Every organisation has its own unique relationship with its external environment, and so Miles and Snow (1978) classify this relationship into four categories: Defenders, Prospectors, Analysers and Reactors.

1. **Defender Organisation:** This type of organisation usually directs its products or services to a clearly defined market. The organisation exists for the purpose of producing the product in the most efficient manner possible. It constantly strives to update its current technology so as to maintain efficiency. Growth is achieved

cautiously and incrementally through market penetration. Moreover, due to the objective of protecting its domain from outside competition, the defender organisation has a tendency to ignore developments outside of its domain. Consequently, the defender organisation faces the risk of rapid extinction if there is a major shift in the market. Planning tends to be intensive and geared towards problem-solving. Defender organisations also tend to have functional organisational structures, extensive divisions of labour, a high degree of formalisation, and centralised control.

2. *Prospector Organisation:* This type of organisation is a creator of change within its industries. Such an organisation is continually seeking out diversification possibilities; being the first-to-market-for a new product is the constant goal. These attributes lead to intermittent growth phases in product development and market development. Typically, prospectors do not achieve the efficiency of production which defenders do, as they heavily rely upon innovation, with their success stemming from being the first mover. There is, however, the danger of the under-utilisation of resources, which could consequently create difficulties within this type of organisation.

Prospector organisations have a decentralised organisational structure, with a low degree of formalisation, a less extensive division of labour, and decentralised control. They tend to have project teams, task forces and product organisations, with performance evaluated on the basis of effectiveness.

3. *Analyser Organisation:* This type of organisation is a combination of the prospector and defender organisations. Such businesses are split between the efficiency of the defender and the innovation of the prospector. Much like the defender, the analyser strives towards efficiency in production, thereby leading to

stability. Moreover, like the prospector, the analyser is constantly innovating. The goal of the analyser organisation is to be the second-to-market, directly following the prospector. Growth occurs through market penetration, as well as via a combination of market development and product development. The hybrid nature of the analyser organisation's domain is predominantly reflected in matrix structures of the organisation, containing both functional divisions and product groups. Control is centralised in functional divisions, whilst it is decentralised in both product and project groups. Complex and expensive coordination mechanisms are used. In its stable domain, performance is based on efficiency; in its changing domain, on the other hand, performance is based on effectiveness.

4. **Reactor Organisation:** Reactor organisations are the most unstable, as they do not pursue any of the three stable strategies of the defender, prospector, or analyser organisations. Reactor organisations respond inappropriately to environmental change and uncertainty because they do not have the correct mechanisms in place to facilitate a consistent response to their environment. The lack of mechanisms may be due to several reasons: top management may not have devised the organisation's strategy, or the organisation's structure and processes might not fit its chosen strategy. Moreover, the strategy and structure may be deemed inappropriate for an environment that may have changed. Furthermore, unless management can direct the organisation in one of the other strategies, the prospects for success are almost nil.

Importantly, further studies (Miles & Snow, 1978) based on three industries observe that the strategic types differ in functional strategies expertise, competencies and

performance, thus leading to the development of the typology. The first study examined strategy in a single industry. This case of college textbook publishing suggested that organisations within one industry or grouping develop a strategy over time which relates to their market or constituency which is recognisable to industry observers and to their competitors.

Furthermore, the second study was designed to broadly explore the question: '*Would the variation in managerial perceptions of the environment observed in the college textbook publishing industry also be present in other industries?*' (Miles & Snow, 1978, p.193).

Accordingly, comparisons of strategy within the electronics and food processing industries were drawn from forty-nine organisations, all of which had variations in terms of technological change, and which, crucially, faced market uncertainty. Findings show that the patterns of structure and processes similar to the textbook firms were evident. It was also possible to determine the influential members of the top management team. Moreover, budget allocations to functional areas were also identified. With all of this in mind, the work therefore appeared to have provided additional insight and affirmation of the previous research findings.

The connection between management and strategy was scrutinised in the case of nineteen voluntary (non-profit) hospitals, conducted by Meyer (1982). The results indicated that there was relatively strong external agreement on a particular hospital's strategy, thus confirming the developing typology. Competitors held a similar view on the adaptive cycle with changes taken in the years tracked being, indeed, viewed

similarly by competitors. It was concluded that certain managerial philosophies and practices were appropriate for some types of organisations but not for others.

Meyer's (1982) study focuses on organisational adaptation to the environment, where there are changing conditions in the organisation's task environment, and appropriate responses are chosen. Due to their history of environmental changes, hospitals were specifically chosen. At the time of the study, there were two critical issues which could impact environmental change; the malpractice insurance crisis, and the proposed development of a national health insurance. It was therefore appropriate that the research be done in voluntary (non-profit) hospitals rather than government hospitals due to these contemporaneous issues.

Miles and Snow's (1978) research provides evidence of internal organisational processes and their relationship with their task environment following identifiable patterns which can be envisaged. Furthermore, it was inferred that a precise type of organisation structure, technology and administrative process could ultimately lead to the founding of an effective market strategy. The patterns which arose from the firm's decision-making endeavours were in response to the engineering and administrative problems.

When categorising the strategic orientation of an organisation, it is implicit that this is the predominant orientation; which most strategies will exhibit this orientation, some will, by this very nature, require an alternative orientation. This view was further confirmed in the interviews with the strategy unit managers and is substantially supported in the literature (Desarbo *et al.*, 2005, Conant *et al.*, 1990, James and Hatten 1995; McDaniel and Kolari 1987). However, given the diversity of the

management, the objective and stakeholders interests to be addressed, it is further argued in the literature (Boyne and Walker, 2004) that no single strategic stance would be appropriate across an entire organisation. In the case of Dubai, this intrinsic diversity is accommodated by the division of responsibility throughout the specialist functional units. Within these, we would expect a dominant orientation but not, as the literature suggests, necessarily between these functional units.

Not with standing, this within group, dominant stance, each of the functional units will certainly be pursuing alternative approaches. These were to be minimal by the strategy unit managers, consistent with this specialism, as a consequence, the standard approach of removing the analyst strategic orientation from consideration was adopted in this research (Andrews, Boyne, et al., 2005; Andrews, Walker and Boyne, 2006; Meier, O'Toole, et al., 2007, Andrews, Boyne, et al., 2008a, 2008b; Enticott and Walker, 2008), so that the dominant stance for each of the functional units was captured.

While this study encompasses the three remaining strategy types classifying the functional strategy typology (Prospector, Defender and Reactor), the focus throughout this research will be on two strategy types of the Miles and Snow (1978) typology, namely prospectors and defenders, as these are considered to be the more 'pure' strategies. The reactor strategy type will be included in this study, but it will be excluded from the hypothesis and the analysis presses, because, although it does exist, it is considered to be an unstable strategic type. Incorporating only prospectors and defenders—or at least emphasising these two types—has often been a restraint present in prior research (See Table 2-2).

2.3.2 RESEARCH RELATING TO THE MILES AND SNOW TYPOLOGY

The typology of Miles and Snow has been frequently cited and utilised in researches relating to organisational strategy. In order to apply this typology in practice, different approaches (self-typing, objective indicators, external assessment and investigator inference, for example) have been implemented in different environments, from education to the tobacco industry. In all cases, the typology has been validated.

The task of identifying suitable factors associated with the typology was undertaken by Zahra and Pearce (1990), who produced a review which summarised prior empirical research. Table 2.2 lists their classification system. Data collection methods, strategic groups covered and methods used in these studies are tabulated. Data collection methods include the use of interviews, mailed surveys, and secondary data. Zahra and Pearce (1990) favoured secondary data, using examples such as the number of products or market segments served, and data on research and development expenditures.

The authors argue that each of the four strategic types described in the work of Miles and Snow (1978) was potentially present and identifiable in various industries. However, Zahra and Pearce (1990) recognise the difficulty in identifying strategic groups; they used the approach of Snow and Hambrick (1980), where four useful approaches for group extraction are described. These are: a) self-typing, b) typing by investigator, c) independent assessment by experts, and d) empirical derivation using objective indicators.

Self-typing allows the firm’s top management to identify the organisation’s strategy based on the Miles and Snow typology. Typing by investigator is also referred to as ‘investigator inference’, whereby the researcher—using available data—classifies the organisation’s strategy. Independent assessment by experts—or external assessment—generally comprises a panel of industry experts who classify the organisation based upon the information they have concerning the firm. Objective indicators are quite unlike the independent assessment by industry experts, as they involve assessment based on actual measures of strategy, such as product-market data.

Table 2.2 lists the classification system of Zahra and Pearce (1990), which is supplemented with ten recent additional empirical studies that also use the Miles and Snow typology.

Table 2-2: Overview of Past Research on the Miles and Snow Typology

Studies	Data Collection Methods	Strategic Group Covered	Group Extraction	Sample
Snow & Hrebiniak (1980)	Secondary Data Mail Survey	D,A,P,R	Self-Typing	247 Managers in 4 Industries
Hambrick (1981a)	Secondary Data Interview	D,P	Expert Panel	20 Organisations from 3 Industries
Hambrick (1981b)	Secondary Data Interview	D,P	Expert Panel	20 Organisations from 3 Industries
Meyer (1982)	Secondary Data Interview	D,A,P	Classification by Researcher	3 Voluntary Hospitals

Hambrick (1983)	Secondary Data	D,P	Classification by Researcher	850 PIMS Firms in Growth And Maturity Industries
Hawes & Crittenden (1984)	Mail Survey	D,P,R	Empirical Derivation	181 Retailing Firms
Barrett & Windham (1984)	Interview	D,P	Classification by Researcher	16 Hospitals
Slocum, et al. (1985)	Interview	D,A	Classification by Researcher	499 Salespersons in 2 Companies
Chaganti & Sambharya (1987)	Secondary Data	D,A,P	Classification by Researcher	79 Executives in 3 Tobacco Firms
Segev (1987)	Mail Survey	D,A,P,R	Self-Typing	85 Israeli Industrial Enterprises
McDaniel & Kolari (1987)	Mail Survey	D,A,P	Self-Typing	310 Banks
Simon (1987)	Mail Survey Interview	D,P	Assessment by Experts	76 Canadian Firms
Conant et al. (1987)	Mail Survey	D,A,P,R	Empirical Derivation	150 Health Maintenance Organisations (HMO)
Odom & Boxx (1988)	Mail Survey	D,A,P,R	Self-Typing	188 Southern Baptist Churches
Usidken et al. (1988)	Interview	D,A,P,R	Self-Typing	24 Construction Firms
Smith et al. (1989)	Interview	D,A,P,R	Empirical Derivation	97 Electronics

Zajac & Shortell (1989)	Secondary Data Mail Survey	D,A,P,R	Self-Typing	510 Hospitals
Shortell & Zajac (1990)	Secondary Data Mail Survey Interview	D,A,P	Self-Typing	400 Hospitals
Thomas <i>et al.</i> (1991)	Secondary Data	D,P	Empirical Derivation	224 Electronics Firms
Floyd & Wooldridge(1992)	Secondary Data Mail Survey Interview	D,A,P	Self-Typing	259 Middle Managers in 25 Firms
Slater & Narver (1993)	Mail Survey	D,A,P	Empirical Derivation	140 SBUs
Waller, Huber & Glick (1995)	Secondary Data Interview	D,P	Empirical Derivation	-
Aragon-Correa (1998)	Mail Survey	P	Empirical Derivation	105 Firms in Spain
Wayne <i>et al.</i> (2005)	Mail Survey	D,A,P,R	Self-Typing	709 Firms in 3 Countries
Marguerite (2005)	Mail Survey	D,A,P,R	Self-Typing	525 Retail Companies
Andrews <i>et al.</i> (2006)	E-Mail Survey	D,P,R	Self-Typing	119 English Local Authorities
Jacqueline <i>et al.</i> (2008)	Mail Survey	D,A,P,R	Self-Typing	1,502 Nursing Homes

Table 2-3 yields analysis of the result for the studies tabulated in Table 2.2, which helps to identify research trends relating to the Miles and Snow typology, and further helps identify potential gaps in the research and literature.

Table 2.3: Trends in the Research Relating to the Miles and Snow Typology

Number of Times Strategic Type is Included in Empirical Research	
Defender	26
Prospector	26
Reactor	12
Analyser	17
Total Studies	27

Number of Times Group Extraction Method in Empirical Research is Used in	
Self-typing	12
Expert panel or classification by investigator	8
Empirical Derivation	7
Total Studies	27

Number of Times Data Collection Method is Used in	
Mail Survey	15
Secondary Study	11
Interview	11
Total Studies	27

The above table summarises all utilised methods of data collection and group extraction. However, the focus of the literature is given to the use of self-typing. Shortell and Zajac (1990) recognise this, and accordingly put their efforts to assessing the reliability and validity of the typology, subsequently reporting what they term a '*particularly interesting*' finding, which supports the validity of top managers self-typing organisations strategic orientations.

Table 2-2 also raises questions concerning the exclusion of the reactor organisation, which saw groups extracted by the researcher. This challenged the old belief that top managers would avoid identifying their own firms as reactors.

What is not included in the above table is the fact that, out of the twenty seven articles cited, nine attempted to consider performance; this data is, however, present in the work of Zahra and Pearce (1990). Eight of the nine studies reveal differences in the performance of the various strategic types. Miles and Snow (1978) strongly assert that prospectors, analysers and defenders all have the capacity to be equally successful, and will consistently outperform reactors. Moreover, there is an exception—as seen in the air transportation industry, as observed by Snow and Hrebiniak (1980)—where reactors outperformed defenders and prospectors. Zahra and Pearce (1990) conclude that support for equal effectiveness was obviously mixed.

Moreover, from the twenty-seven articles reviewed, one is related to the public sector, which is of specific interest to this study. This body of research by Andrews *et al.* (2009) is drawn from data produced by a large-scale multiple-information survey of

119 English local authorities. The survey began with the recording of the quintessential role of managers in shaping the strategy content of the public sector, which can be defined as the patterns of service provision selected and implemented. The argument was put forward that many studies of private organisations demonstrate that strategy content matters. In contrast, the study provides the first empirical investigation of the relation between strategy content and performance in public organisations (Andrews *et al.*, 2009).

In their study of strategy stance utilised, the analyser strategic type was not included because of their belief that it is not applicable to public sector organisations. Furthermore, data on strategy stance were obtained from surveyed multiple information within each organisation, and Likert type scales were used to assess the location of organisations occupying different dimensions of strategy content. The performance, as a dependent variable in their study, was measured based on the Comprehensive Performance Assessment (CPA), calculated by the UK Audit Commission (2002).

Andrews *et al.* (2009) strongly assert that public organisations which adopt the prospector strategy perform better than those which adopt the reactor strategy, and organisations which adopt a defender stance are likely to face a rocky path to service improvement. Furthermore, those adopting the reactor stance are likely to achieve performance which ultimately lacks that of both the defender and prospector. They suggest that high-performance levels in public organisations have to be based on a strategy of innovation and continuous searching for new service levels. They cite the limitation in their study, as they use a single measure for each aspect of strategy

stance and performance. Furthermore, only one set of public organisations were approached at a specific period of time, and so there is therefore the need to explore the impact of strategy stance across institutional contexts longitudinally.

There is also future scope for research concerned with investigating the connection between typology and performance. Of particular interest is the fact that, of the twenty-seven articles reviewed, while a few relate to non-profit organisations, only one relates to the public sector, which provides a further justification for this research.

The chapter will now proceed to explore another aspect of organisation strategy, as discussed in the next section.

2.4 STRATEGY HIERARCHY

Strategy occurring at many levels is termed the 'strategy hierarchy' (De Wit & Meyer, 1994). This strategy hierarchy comprises three fundamental components: corporate strategy, business strategy and functional strategy (De Wit & Meyer, 2002; Johnson & Scholes, 1997; Bartol & Martin, 1994; Mintzberg, 1994; Higgins & Vincze, 1993).

Corporate strategy defines the organisation's fields of effort, the industries and markets in which it will compete, the overall purpose and scope of the organisation, how resources will be allocated amongst the businesses, and the alignment of the various business level strategies (to answer the 'what' question). It is a strategy for multi-business firms. This type of strategy is developed by top management (Bourgeois, 1980).

Business strategy indicates in very broad terms how to conduct the business, and how the firm best competes within a particular industry or market. It supports the corporate level strategy and integrates the functional level strategies. This type is developed by business unit heads from top management, such as board members (c.f. *'It is at the level of the individual business or industry where most competitive interaction occurs and where competitive advantage is ultimately won or lost'*) (Montgomery & Porter, 1991, p.xiv).

Functional strategy relates to specific functional aspects of a company, such as action plans for achieving maximum resource utilisation, and supports the business level strategy through individual functions such as production, R&D, marketing, human resources and finance, in terms of resources, processes, people and their skills, facilitating overall strategic direction. This type of strategy is developed by functional unit heads at the middle management level; in this thesis, they are termed functional managers.

Functional strategy is considered to be an important part of organisation strategy. It is developed by functional managers who are more involved with strategy implementation than top management. On the other hand, it supports business strategy which, in turn, reinforces corporate strategy. In theory, then, lower levels of strategy are consistent with higher levels of strategy so as to foster their successful accomplishment (Hofer and Schendel, 1978).

2.5 STRATEGY FORMULATION

Strategy can be referred to as a synonym for strategic management (Rumelt *et al.*, 1995). Strategic management is multi-phase; it comprises strategy formulation and strategy implementation (Mintzberg *et al.*, 2009; Higgins & Vincze, 1993). Accordingly, strategy formulation is a very important stage in the case of strategic management, as it represents the thinking part (Mintzberg, 1994). However, Mintzberg (1977) states that the dichotomy between strategy formulation and strategy implementation is a false one.

The formulation stage is not the strategy itself, and some writers have their own points of view concerning this stage and their treatment of it (Bailey & Johnson, 1995). Higgins & Vincze (1993) see and describe this stage from the perspective that the organisation generates alternative strategies and chooses from amongst them in mind of what the best strategy/strategies might be to achieve the organisational goals. However, Liedtka and Rosenblum (1996) consider it the cognitive part of the change process as a whole, since developing strategies can be viewed as a logical process. This stage includes the process of identifying the mission and strategic goals, conducting competitive analysis, and developing specific tools (Bartol & Martin, 1994). It is the ultimate outcome of the decision-making process (Bailey & Johnson, 1995).

Some researchers term the formulation stage as the strategic planning stage, which will subsequently lead to the formulation of strategy (Judson, 1996; Higgins & Vincze, 1993). Ansoff (1987) describes this as the procedure for formulating the strategy.

From the literature, it is clear that there is no absolute 'right or correct way' when creating strategy, any more than there should be one 'right or correct form' of an organisation (Mintzberg & Quinn, 1996). Notably, however, in many cases, strategy formation patterns have an effect on performance within the organisation (Slevin & Coven, 1997), as developing an effective strategy is the key to profitable survival and growth in an otherwise uncertain environment (Roth & Washburn, 1999). Importantly, the strategy development processes are likely to differ within, as well as across, organisations (Daniels & Bailey, 1999). Bailey and Johnson (1995) identify three main ways of formulating strategy; however, Mintzberg *et al.* (2009) count ten 'schools of thought' in strategy formation, which they categorise and place into three distinct groups. Table 2.4 provides a brief description for each of these.

Table 2.4

Group One: Prescriptive In Nature, More Concerned With How Strategies Should Be Formulated Than With How They Necessarily Do Form	
Design School: Strategy formation as a process of conception	<ul style="list-style-type: none"> • Achieve fit between internal (strengths and weaknesses) and external (opportunities and threats) • Formulated by the senior managers, and implemented by other staff • Deliberate process by conscious thoughts
Planning School: Strategy formation as a formal process	<ul style="list-style-type: none"> • Decomposable into distinct steps • Delineated by checklist • Formulated by planners not by senior management
Positioning School: Strategy formation as an analytical process	<ul style="list-style-type: none"> • Formulated through formalised analysis of the industry

Group Two: Concerned less with prescribing ideal strategic behaviour than with describing how strategies are formed. (The first two concern the individuals).

Entrepreneurial School: Strategy formation as a visionary process	<ul style="list-style-type: none">• Formulated by CEO• Process rooted in mysteries of intuition• Vague vision, broad perspective• Organisation leader maintains a tight control over implementation of vision
Cognitive School: Strategy formation as a mental process	<ul style="list-style-type: none">• Creative interpretation• Not mapping reality in an objective way• Distorted and not clear
Learning School: Strategy formation as an emergent process	<ul style="list-style-type: none">• Incrementalism-oriented• Could be formulated in any location of the organisation• Formulation and implementation are intertwining, no separation between stages
Power School: Strategy formation as process of negotiation	<ul style="list-style-type: none">• Negotiation activities with all stakeholders internally and externally• At the macro level, strategy takes the shape of a partner in alliance, joint ventures and network relationships• At the micro level, strategy within the organisation, is bargaining, persuasion and confrontation between people who have the power
Culture School: Strategy formation as a collective process	<ul style="list-style-type: none">• Reverse of the Power School• Common interest and integration• Social process rooted in culture
Environmental School: Strategy formation as a reactive process	<ul style="list-style-type: none">• Strategy formation is a reactive process in which the initiative lies not inside the organisation, but with its external context• External forces have a great effect in developing strategy; these forces could be dominant forces in the environment, a parent organisation, legislation, and government pressure

Group Three: A Conglomeration or Combination of the Aforementioned Schools.

Configuration School: Strategy formation as a process of transformation

- One describes state of the organisation and its surrounding context as configurations
- The other describes the strategy-making process as transformation
- Strategy-making becomes a process of leaping from one state to another; transformation is an inevitable consequence of configuration

Notably, Higgins & Vincze (1993) view strategy formulation as the phase in which organisations generate alternative strategies, and accordingly select an appropriate one to achieve strategic objectives. Andrews (1971) considers strategy formulation as analytically driven. Mintzberg ends his argument over the differences between schools when stating that, *'There has been at least one consistent ambiguity throughout this book: whether these schools describe different processes, used in different organisations, or different parts of the same process, used at different stages of the same organisation.... We have gone both ways on this question for one good reason: the answer has to be 'yes' both times'* (Mintzberg *et al.*, 2009, p.381). He also states that, *'every strategy process has to combine various aspects of the different schools'* (ibid).

Besides Mintzberg *et al.*'s (2009) ten schools, Bailey & Johnson (1995) identify six dimensions which describe strategy development processes, namely 'command', 'planning', 'incrementalism', 'cultural', 'political' and 'enforced choice', which closely match several of the Mintzberg schools.

Even with all of these schools, it is clear that there is no 'right or correct way' to create strategy. Rather, strategy development is a skill that is developed with practice (Roth & Wahsburn, 1999); therefore, in order for strategy formulation to be successful in any organisation—and especially public sector organisations—it is essential to develop a series of workshops on strategic processes, content and contexts. Furthermore, developed strategies must be feasible, appropriate, and acceptable to all stakeholders (Liddle, 2009).

2.6 STRATEGY IMPLEMENTATION

The second part of strategic management is strategy implementation. Although the field of strategy formulation has attracted a lot of attention, little has been done in the strategy implementation field (Hrebiniak & Joyce, 1994; Priem & Harrison, 1994; Kiechel, 1982). The role of strategy implementation in the process of strategic management is critical, with impact being felt on organisation performance (Hrebiniak & Joyce, 1994; Flood *et al.*, 2000).

Mintzberg *et al.* (2009) consider strategy implementation as a building of policy into the organisation's social structure. On the other hand, others see it as the organisation's attempt to take advantage of change within the environment or to otherwise manage the change (Atherton, 1993). If the strategy process involves more than one phase, the implementation is then considered to be the active part of the strategy (Bartol & Martin, 1994); it requires the mobilisation and commitment of relevant available resources (Roth & Washburn, 1999). Rumelt *et al.* (1995) consider strategy implementation as primarily administrative; in this regard, we can then consider such as the process of translating strategy into actions and results (Higgins

& Vincze, 1993), where it can be measured and evaluated accordingly. There is another view of this stage which is concerned with carrying out the strategic plan and maintaining control of the plan (Bartol & Martin, 1994). It is the process of implementing a strategy which causes the organisation to behave according to the set strategy (Ansoff & McDonnell, 1990). Strategy implementation, for others, is concerned with planning how the choice of strategy can be put into effect and how it can manage the changes required (Johnson & Scholes, 1997). As Hrebiniak and Joyce (1994) observe, strategy formulation represents the starting point for the implementation of action (De Wit, 1994).

2.6.1 ASPECTS OF STRATEGY IMPLEMENTATION

There are various crucial aspects of strategy implementation which have had great effects in terms of implementation success; the obvious aspect which has been noted includes the role of employees and managers in strategy implementation. Accordingly, the following discussion will address this along with other aspects which are believed to have an influence on strategy implementation.

2.6.1.1 EMPLOYEES' PERCEPTIONS AND ROLE:

The employees' role (staff and managers) in terms of the strategy implementation stage is clear and notable (Flood *et al.*, 2000). It has been observed that staff contributions in formulating the strategy have a positive impact on successful implementation (Wilson, 1994). The strategy may be stated or created by the organisation's senior management, but is more likely to be implemented and realised by its employees, i.e. middle managers, supervisors and staff (Brodwin & Bourgeois,

1984). The organisation members' role in relation to strategy formulation and implementation is crucial, and there is an approach in strategy implementation which focuses on individual participation (Brodwin & Bourgeois, 1984).

The employees' perceptions and interpretations of strategy control is the way in which such is implemented (O'Donnell, 2000; Hrebiniak & Joyce, 1994). Due to the fact that their behaviours are based on their perceptions, this highlights the importance of strategy clarity (Flood *et al.*, 2000). Moreover, the way in which employees view the strategy is according to their role, power and interest, and determines their attitude towards it (Stiles, 2000). The employees' behaviours are driven by human needs, all of which have a great effect on this process (Sparrow, 2000). It is important for employees to adhere to clearly defined roles for implementation in order to achieve success in terms of strategy implementation (*ibid*). Accordingly, it is useful for management to understand the way in which employees think and how they perceive the world in order to be successful in the implementation stage (Carroll, 2000).

In this context, Stiles (2000) focuses on the clarity of the strategy, and rates communication as an important ingredient for successful implementation (Flood *et al.*, 2000). Human behaviour is guided by clear, consensus-based goals (Bourgeois, 1980) to the extent that the organisation has to use imaginative ways in which to communicate to employees the need for change (Carroll, 2000). The way in which employees perceive strategy implementation subsequently has an effect on the its success (O'Donnell, 2000).

Middle management also has a distinct role in relation to strategy implementation (Fenton-O'Creevy, 2000). Its role is to create strategy and manage complex issues

within the organisation (Sparrow, 2000). Furthermore, research by Fenton O'Creevy (2000) shows that, in many cases, middle managers block the strategy due to perceiving it as a threat to their role, and to their power and position within the organisation. The manager's role is to absorb the process, make sense of such and to accordingly disseminate information in order to ensure the organisation makes proper decisions regarding its future and strategy (Sparrow, 2000). This issue is discussed in detail in Chapter 3.

2.6.1.2 DECISION-MAKING AND STRATEGY IMPLEMENTATION:

Strategic management is, in general, concerned with strategic decision-making (Lyles & Thomas, 1988); strategy implementation, in particular, is concerned with all decisions made in order to achieve the organisation's established goals and objectives (Rumelt *et al.*, 1995; Eisenhardt & Zbaracki, 1992). The way in which managers and staff make decisions so as to realise the intended strategy is the process of strategy implementation; this therefore makes the way in which organisation members make decisions a field to be explored (Hrebiniak & Joyce, 1994). Eisenhardt & Zbaracki (1992) consider that strategic decision-making is the focal point of strategic process issues, simply because these are linked to the basic decisions which fundamentally shape the organisation. Moreover, strategic decisions are highly affected by the top management paradigm (Rumelt *et al.*, 1995, p.10; Lyles & Thomas, 1988), and are also owing to the role that the decision-makers' perceptions play in comprehending the strategic issues (environment, strategy and structure) (Schwenk, 1988).

2.6.1.3 MANAGERIAL CHARACTERISTICS:

There have been many attempts to correlate managerial characteristics with strategy implementation (Hambrick & Mason, 1984; Miller & Toulouse, 1989; Kathuria & Stephen, 2003). Notably, it is suggested in the literature that the demographic and psychological characteristics of the managers all have a significant affect on manager perceptions and decision-making and, in turn, on strategy implementation.

The strong interconnectedness between individuals, organisations and environment are highlighted in the Upper Echelon theory, wherein Hambrick and Mason (1984) assert that managerial traits ultimately influence organisational performance. Prior to this, Cyert and March (1963) stated that most managerial decisions arise as the net result of behavioural traits rather than economic optimisation. This premise particularly supports any research dealing with the public sector, where economic optimisation is often a lesser consideration than service delivery. Thus, decisions stem from personal perspectives, which are built on knowledge, assumptions, values and preferences. Furthermore, observable characteristics are seen as indicators of this perspective. Further discussion concerning the Upper Echelon theory will be included in Chapter 3.

2.6.1.4 EXTERNAL ENVIRONMENT:

The fourth aspect is uncertainty, which characterises the external environment of the organisation (Flood *et al.*, 2000). This aspect is not unique to the private sector, but is rather a crucial issue in the public sector as well (Hartley, 2000). In the case of government agencies, due to how the environment is changing, this change will have

an impact on these organisations and also on the possible responses of the organisation to the changes in the environment (ibid). One of the manager's duties is to cope with and make use of the uncertainties within the environment, regardless of the source and location of uncertainty (ibid). The external environment could limit the organisation's strategic choices; however, the changes and uncertainty within such an environment will be tackled by the new strategy (Tan & Litschert, 1994).

Tan & Litschert (1994) demonstrate that there are specific environmental dimensions, namely dynamism, complexity and hostility. The environmental dynamism and its corresponding complexity have been closely linked to information uncertainty, whilst hostility has been associated with resource dependence. They also show that each of these components has an impact on the formulation of a firm's overall strategy, and proceed to explain that the external environment could fundamentally and indirectly affect the strategy by influencing the managers—who are likely to avoid proactive and risk-taking decisions when facing an uncertain environment.

2.6.1.5 ORGANISATIONAL STRUCTURE:

This is one of the controversial issues previously discussed and argued as being crucial. Hrebiniak & Joyce (1994) argue that organisations do not change their structures when implementing strategy until they are forced to do so by operating efficiency.

Importantly, organisational structure could be one of the weak points in strategy implementation due to the force exerted on managers in terms of strategic issues relating only to their part of the business (ibid). Certain modifications have to be made

for the organisation with the new strategy, such as, for example, a new organisational structure, personnel changes, a new information system, or revisions to the compensation scheme (Brodwin & Bourgeois, 1984).

2.6.1.6 POLITICS AND POWER:

Politics and power distribution within the organisation is a significant issue in terms of managing the organisation in general (Long, 2000), and for strategy implementation in particular (Stillman, 2000), due to the fact that '*organisations are coalitions of people with competing interests*' (Eisenhardt and Zbaracki, 1992, p.23). In the approach developed by Brodwin and Bourgeois (1984), it is demonstrated that the leader must have enough power to command strategy implementation and to limit the resistance to change within the organisation, since a new strategy might be perceived by some organisation members as posing a potential threat to their role, interests and power base (Noble, 1999). Moreover, organisations—both public and private—are affected by this factor, by both the external and internal environments (Hartley, 2000; Johnson & Scholes, 1997).

2.7 STRATEGY WITHIN PUBLIC ORGANISATIONS

In this section, the researcher explores the idea of using strategic models, developed in the arena of commercial organisations, in public organisations. The way in which the public organisation defines strategy has been considered, as well as the method by which the same formulates and implements its strategy.

Public organisations in particular and the public sector in general are equally concerned to enhance the organisation's performance (Alford, 2000; Ring & Perry,

1985). Part of the effort to achieve this includes the application of management techniques which are used regularly in the private sector and which are fundamentally useful to the public sector (Stillman, 2000; Rose & Lawton, 1999; Drucker, 1993). In this regard, the consideration of the best public sector organisational practices was extracted from the business perspective (Stillman, 2000). The efforts required to utilise private sector mechanisms and techniques were backed and supported by governments (Johnson & Scholes, 2001) and were considered as part of the public manager's commitment to the organisation (Wisniewski, 2001). The procedure for applying private sector management techniques within the public sector is called 'transferability' (Rose & Lawton, 1999; Perry & Rainey, 1988).

Strategy was one of the concepts developed within the private sector arena, and used by public organisations (Cayer & Weschler, 1996; Nutt & Backoff, 1992; Ring & Perry, 1985). However, it has been argued that public organisations need to adopt the concept in order to sustain both improvement and innovation (Joyce, 1998, Drucker, 1993), and also to employ strategic ways of managing change and coping with environmental uncertainty (Osborne, 1996; Bryson, 1995). Although strategy has been most widely theorised and applied within the private sector, it had been used by the public sector also (Ring & Perry, 1985). Maintaining a vision of the future is one of the duties of the public organisation manager (Moore, 1995). Strategic planning is often used by the public sector in order to address uncertainty in the environment (Alford, 2001; Cayer & Weschler, 1996).

However, some have questioned the wisdom of applying private sector approaches such as strategic management to the public sector. Alford (2001) attempts to answer

the question associated with the validity of applying private sector management techniques to public organisations, including the fostering of strategic management. He considers that what they have in common includes three aspects of strategic management, which are value, environment and resources capabilities. However, the two sectors might differ in terms of the actual nature of these aspects (Alford, 2001).

Notably, there was a sign of change in the public sector, and the need for strategic management researchers to cope with the increasing adoption of strategic management approaches, ensued (Nutt & Backoff, 1992). Moore (1995) went beyond the utilisation of the concept to suggest that it was possible to use similar techniques to formulate strategy, due to the fact that both public and private managers 'when confronting the future they find themselves in the same leaky boat' (ibid, p.56).

Researchers addressed and discussed the distinction between the two sectors in various ways (Rose, 1999; Perry & Rainey, 1988). Some researchers, such as Alford (2001), and Perry & Rainey (1988), for example, considered the public-private sector as a continuum, not a dichotomy. The latter also consider this distinction as useful in terms of organisational research. Moore (1995) claims that the differences between the two sectors may seem crippling. Rose and Lawton (1999) consider that the distinction between the two sectors to be no longer valid and, in a country like the UK, the concept of the private and public sector has been eliminated (Rose and Lawton, 1999): 'Public and private sector management is analogous' (Alford, 2001, p.3). In fact, private and public organisations could be considered as two branches of one structure—the differences are in the application (Shawki & Abo-Idris, 1995). Johnson

and Scholes (2001), however, were unable to identify the difference between the two categories; they use the same tools and techniques.

Nevertheless, there are some obvious areas of difference between the two sectors (Frederickson, 1997). These include political, ethical and organisational dimensions, public manager responsibility, and public values. Public managers use more diverse resources and a more diverse range of productive capabilities (Alford, 2001; Johnson & Scholes, 2001). In summary, the differences include that the public sector holds not only public, but also private, values; it faces not only a market environment, but also a political one; its key resources are not only monetary, but also public power; and it harnesses not only organisational but also external capabilities, organisational environment, constraints, incentives and culture (Alford, 2001; Perry & Rainey, 1988). Furthermore, in general, there are areas of distinction and similarity between the public and private sectors (Harrop, 1999). Lawton (1999) refers to the suggestion of Bozeman and Straussman (1990) that, although public management and private management are similar on an operational level, this is of the least likelihood at a strategic level.

2.7.1 STRATEGY DEFINITION IN PUBLIC ORGANISATIONS

The public sector defines strategy in a similar way to the private sector (Lawton, 1999). Ring and Perry (1985, p.281) define strategy for the public sector as '...strategic management is policy implementation'. In writing on public administration, Moore (1995) defines public policy as equivalent to strategy, sharing the same definition with Ansoff (1987); for him, public policy 'focuses attention on the ends of government as well as means' (Moore, 1995, p.7). In public organisations, strategy

has been used and defined as planning, and is fundamentally part of the planning school (Joyce, 1998, Alford, 2001; Lawton, 1999; Cayer & Weschler, 1996). Moreover, Collier, Fishwick and Johnson (2001) list the differences between strategy within public and private organisations as follows:

1. Less exposure to market pressure.
2. The need to conform to statutory and other formal regulations.
3. Greater emphasis on net public welfare and different core objectives.

Ranson and Stewart (1989) consider that the conditions facing the two sectors are different (Lawton, 1999). And others like Ring and Perry (1985, p. 279-281) suggested that strategic management in the public sector may be extremely difficult, and they spotted several differences as follows:

1. Policy ambiguity: The separation of functional responsibilities frequently contributes to vagueness and/or ambiguity in policy and objectives, which must be strategically managed. Ambiguity in strategy, characteristic of many public organisations, may therefore be an asset.
2. Openness of government: The role played by the media is cited frequently as one of the major differences in the work lives of public and private managers. The empirical evidence leading to the conclusion that government policy-making is a more open process receives additional substantiation from executives who have managed in both sectors. Both research and practice indicate that the media and other institutions impede thorough discussion of issues, and lead policy makers to be concerned with how policy will look, as well as how it will work.

3. Attentive public: Public sector executives and top managers must pay much more attention to a diverse public, in general, than private sector managers. The strategic management process in the public sector must take account of a wide range of stakeholder interests.
4. Time problem: Time becomes a major constraining factor in public strategic management processes in two important ways. The first is associated with the tenure of public officials; that is, their length of stay with an agency. The second involves time constraints that are legislatively imposed, court imposed, or created by the exigencies of elective political office. Time constraints in the private sector tend to be defined by the type and rate of market (broadly defined) changes. Public managers face time constraints in dealing with the strategic management of policy implementation, quite unlike those that their private sector counterparts confront.
5. Shaky coalitions: The distinction to be made here between public and private sector management is that public sector executives, unlike those in the private sector, frequently must create internal coalitions to get policy passed, but these coalitions may and often do break up during implementation.

For Alford (2001), strategy in its two aspects (process and content) differs according to whether the sector is private or public.

Strategy is formulated based on the following assumptions, which apply to both private and public organisations (Alford, 2001), which differ only in nature:

1. Values produced and purposes pursued by the organisation. These might not be the same values and purposes for the public sector as those of the private sector.
2. The environment in which the organisation operates. In the same manner, the public organisation works and acts with the environment—whether it is an external or internal environment. It is crucial for both sectors to monitor the changes taking place in the environment (Worthington, 1999). In both sectors, a more dynamic and turbulent environment is experienced (Rose and Lawton, 1999).
3. The resources and capabilities through which the values are defined or purposes are pursued. This is the main responsibility of the public organisation managers rather than for managers from private sector organisations.

As in the private organisation, Worthington (1999) thinks that there is a relationship between the internal and external environment of the public sector, and the environment is one of the main keys or dimensions of strategy. Also, one of the main responsibilities of the organisations' management is to convert the resources into tangible and non-tangible values (Alford, 2001). For the approach that the organisation is a transformer of inputs (material, human, technology) into outputs (goods, services, information), with the transformation aspects and processes taking place in an environment (Worthington, 1999), the distinction is not valid. Strategy in the public organisation has to focus on setting direction rather than producing services (Osborne, 1996).

Moore (1995) mentioned several benefits for the strategy for public management as follows:

1. It might help public management to accommodate to the reality.
2. It helps public management to focus on creating public value, taking into consideration the external environment.
3. It gives management the ability to maintain a sense of purposefulness.
4. It encourages public managers to scan the environment for potential changes.
5. It helps public managers to understand why the organisations function as they do, and how they behave in the future.
6. It elevates public manager role from technician to strategist
7. It helps public managers to position the organisation.
8. It stimulates and guides the contributions that others can make in the organisation.

Lawton (1999, p. 135) cited Choo (1992) regarding the fundamental tasks of strategic management in the public organisation, as follows:

1. Environmental analysis.
2. Developing a corporate vision.
3. Strategy formulation.
4. Strategy implementation.
5. Strategic control.

2.7.2 STRATEGY FORMULATION

Strategy formulation within public organisations encompasses the same approach as in private-sector organisations (Moore, 1995). In the case of private organisations, the process of developing strategy is iterative in nature (Rose & Lawton, 1999). In this aspect, one of the challenges facing public sector management is the formulation of a vision and how to achieve to this vision (Moore, 1995). However, formulating a strategy within a public organisation is not straightforward, and public organisations face additional challenges in terms of involving stakeholders in the process (Lawton, 1999). The strategy formulation schools of thought have been previously mentioned in this chapter. Several types could be—and actually are—used by the public sector organisations (Lawton, 1999). Ring and Perry (1985) mention two types of schools of thought when formulating strategy in the public sector; they are the rational planning method and the emergent method (Lawton, 1999; Ring & Perry, 1985). In this manner, the strategy continuum in public organisations, similar to that of private organisations, varies from deliberate strategy at one end, to an emergent strategy at the other (Collier, Fishwick & Johnson, 2001; Lawton, 1999; Ring & Perry, 1985).

Researchers in public administration have different ideas, and call for a different approach for public administration (Frederickson, 1997), due to the differences in the conceptions and assumptions of the two sectors (Perry and Rainey, 1988).

Besides the similarity or applicability of schools of thought for strategy formulation for the private or public sector organisations, researchers like Moore (1995) identify three conditions when developing strategy in the public organisation:

1. Declare the overall mission or purpose of an organisation.
2. Offer an account of the sources of support and legitimacy.
3. Explains how the enterprise will have to be organised and operated to achieve the declared objectives.

Lawton (1999) discusses several strategic analysis tools and techniques which private organisations use, and which could be likewise used by the public organisation. First, a STEP analysis involves the organisation considering the social, technical, economic and political environments; the second tool is the SWOT analysis, which examines the internal strengths and weaknesses of the organisation, in addition to any external opportunities and threats facing it.

2.7.3 STRATEGY IMPLEMENTATION

Public sector organisations have to invest tremendous amounts of effort into implementing their strategies; otherwise, failure is inevitable (Stillman, 2000). Both sectors share the same line of thought regarding strategy implementation, but the public sector organisation ultimately gives more consideration to political aspects (Moore, 1995). Challenges and difficulties for public sector managers in terms of implementing strategy could be the same as those facing private sector managers. Moore (1995) states three elements for successful strategy implementation: first, strategy should be substantively valuable; second, it should be legitimately and politically sustainable; finally, it is required to be operationally and administratively feasible.

Moore (2001, p.95) addresses the fact that public sector managers need to consider the following aspects in order to achieve successful strategy implementation:

1. Enough political support to supply money, authority, and people required to implement the strategy.
2. An organisation which can perform key tasks and accordingly absorb investment that will ultimately carry them towards improved performance in terms of executing the intended strategy.
3. Managers need to recognise ideas which seem plausible and worth experimentation.

Stillman (2000, p.405) mentioned seven prominent implementation concepts in the public sector as follows:

1. Implementation as a linear process.
2. Implementation as politics of mutual adaptation.
3. Implementation as gamesmanship.
4. Implementation as conditions for effectively accomplishing objectives.
5. Implementation as a circular policy leadership process.
6. Implementation as contingency theory.
7. Implementation as case analysis.

Summary:

In summary, strategy as a concept found to be same for both sectors (public and private). However, in the public sector it is distinct in the content, due to the areas of conflict posed by different stakeholders, such as the general public, service users, media, policy regulators, and interference by politicians in public sector organisation (Rose and Lawton, 1999). This belief also adopted by many publications research by the strategy unit in UK cabinet office (Cabinet office, 2004), they advocated that *“There is a huge literature on strategy in business and in warfare; strategy in government is similar, but tends to be more complex. It generally involves multiple goals rather than one single bottom line and it is implemented through a wide range of policy instruments, including laws, taxes and services. Far from being a neat linear process, it is shaped by unexpected events and political pressures. It also often needs to be more visible and accountable than strategy in other fields.*

As a rule, the best strategies in governments and public services are:

- *clear about objectives, relative priorities and trade-offs*
- *underpinned by a rich understanding of causes, trends, opportunities, threats and possible futures*
- *based on a realistic understanding of the effectiveness of different policy instruments and the capacities of institutions (strategies that work well on paper but not in practice are of little use)*
- *creative - designing and discovering new possibilities*
- *designed with effective mechanisms for adaptability in the light of experience*

- *developed with, and communicated effectively to, all those with a stake in the strategy or involved in its funding or implementation.*

Therefore many researchers are convinced of the application of the private sector strategy within the public sector organisation, whilst taking into consideration the specificity and the characteristics of each sector. To a great extent, the public sector can benefit from the private sector's experiences in management, taking into consideration that the differences between the two sectors are in nature, not in type, and could be considered a continuum, not a dichotomy (Alford, 2001).

Section 2.7 explored the areas in strategic management where the concepts could be applied to both sectors as follows:

1. Rose and Lawton (1999) consider that the two sectors define strategy in the same way. From the point of view of the strategy definition, how both sectors define strategy and look at it, there are no differences in that what applies to the private sector might apply to the public sector.
2. The size and capacity of the challenges that face the public sectors force them to exert all efforts to succeed; besides that, the public activities are more complex than the private ones (Joyce, 1998, Harrop, 1999). Part of the efforts is to benefit from the existing experiences, which are dominated and preceded by the private sector (Drucker, 1993).
3. The two sectors are deferred in some aspects, but that does not mean to deprive one from benefiting from the experiences of the other (Drucker, 1993).
4. If the differences are great between the two sectors, it is the public organisation which is more complex (Joyce, 2005, Rose and Lawton, 1999), and harder to

manage than the private organisation. In this case, it needs management techniques to fulfil its obligations.

5. The managers in both organisations "...are similar in the process of doing business, but they might be distinct in the content" (Alford, 2000, p. 5). Improving the managers' thinking and practices helps in improving the organisation's performance (Alford, 2000). One of the strategy benefits is to enhance the organisational performance (Johnson & Scholes, 1997).
6. In regard to strategic management and strategy features, they occur in both sectors, private and public (Lawton, 1999), regardless of the different conditions facing them.
7. Maintaining a strategic fit between the organisation and its environment is a sign of success (Worthington, 1999); this in fact is right for both sectors, regardless of how easy or difficult it is from sector to sector. Both sectors share the same problem of encountering an uncertain environment (Bryson, 1995).
8. In terms of strategic analysis, the literature shows that the private sector techniques could be applied one way or another to the public sector (Eppink & DeWaal, 2001; Lawton, 1999; Nutt & Backoff, 1992).
9. The distinction between the stages of strategic management, the strategy formulation stage and implementation stage in both sectors, is defer for practical purposes only. Although, the process is iterative in nature (Rose & Lawton, 1999).

CHAPTER 3: MIDDLE MANAGEMENT AND UPPER ECHELON THEORY

3.1 INTRODUCTION

Whilst the traditional approach limits strategy formulation to the top management, Fredrickson (1984) argues that strategy is the duty of all employees, not only the top management (Wooldridge and Floyd, 1990), and that successful strategy has to be quality-checked by all parties (Hay & Williamson, 1997). The objective is to seek more in-depth information from an uncertain environment; this can be more successfully achieved through organisation members' input, while middle management might fundamentally lead this process (Schilit, 1987).

Traditionally the top-bottom approach was present in strategy, which involved the separation of thinking from doing, where the top management formulate and other organisation members implement (Floyd and Wooldridge, 1996). This approach has been refuted by various researches, such as Floyd and Wooldridge (1992b), Guth and MacMillan (1986), and Burgelman (1983b). Successful strategy is now categorised as that which all organisation members should contribute to in one way or another.

The middle management level proves to be one of the most important levels or categories in the organisation and able to influence strategy (Fenton-O'Creevy, 2000; Kathuria & Stephen, 2003). In the definition of strategy as 'a pattern of decisions', according to Mintzberg and Waters (1985), the role of middle management appears very clearly, as decisions are the middle management's main task (Ansoff, 1987), and

strategy implementation is concerned with decisions and actions. Moreover, some consider middle management's significance to be relevant to the implementation stage only (Schilit, 1987), whilst others consider it a crucial part of the whole strategic management process (formulation and implementation) (Floyd and Wooldridge, 1992b).

Bartol & Martin (1994: 19) define middle managers as, *'Managers located beneath the top levels of the hierarchy who are directly responsible for the work of managers at lower levels. The managers for whom they have direct responsibility may be other middle managers or first-line managers. Sometimes, middle managers also supervise operating personnel, such as administrators and specialists (e.g., engineers, financial analysts, etc.). Many different titles are used for middle managers, including 'manager', 'director of', 'chief', 'department head', and 'division head'*. Managers of functional units (functional managers) form the ultimate focus of this research, and are therefore considered middle managers. Consequently, reference to the middle management in this sense reflects the role of the functional manager.

Other researchers (Currie and Procter, 2001; Floyd & Wooldridge, 1997, 1996, 1992; Mckevitt, 1998; Burgelman, 1983) define middle managers based on many different aspects, such as location in the hierarchy, context, titles, and nature of work.

In this chapter, we continue to format the research model literature concerning middle management's role in organisation strategy and the Upper Echelon theory. The first part will present the middle management's role in relation to the organisation strategy, showing which part of the strategy is more concerned with middle management activities and behaviours. The second part will present the Upper Echelon theory, the

demographic characteristics and the psychological traits selected for this research, which will be discussed in detail.

3.2 MIDDLE MANAGEMENT'S ROLE IN ORGANISATION STRATEGY

Previous studies and research show the important role that middle managers have to play in organisation strategy (Floyd and Wooldridge, 1996). For example, they should be engaged in more activities than the traditional roles in order to contribute effectively in terms of realising the strategy of the overall organisation (Nutt, 1987). A study by Wooldridge and Floyd (1990) highlights the positive relationship between middle management's involvement in strategy and organisational performance.

One factor which fundamentally determines the middle management's role is top management's perception and actions. In some cases, top management uses middle management as a scapegoat for strategy failure (Fenton-O'Creevy, 2000). In actual fact, the top management's real role is to narrow the gap between middle management and strategy by all means, as the middle managers' role is of paramount importance to the organisation's strategy (Guth and MacMillan, 1986). In a more active role, top management expects middle management to play a strategic part in order to realise top management's vision by allowing middle management to redefine the strategic context (Burgelman, 1983b). Burgelman (1983b: 238) defines strategic context as *'the political process through which middle-level managers attempt to convince top management that the current concept of strategy needs to be changed so as accommodate successful new ventures'*. By doing so, top managers supersede the obstacle of not understanding the strategy detail (Floyd and Wooldridge, 1996).

A second factor which determines the middle management's role is the way in which the organisation formulates strategy. Mintzberg (1994, 1990) links the role of middle management in organisation strategy with the emergent school, owing to the fact that this school widens the level of involvement of organisation members in strategy formulation (Fenton-O'Creevy, 2000). Stiles (2000) considers the role of middle management in strategy as being crucial in hierarchical-type organisations; they influence the strategy process and, on the other hand, are the stimuli for any new initiatives (Floyd and Wooldridge, 1992).

Although historically, strategy has been considered as being top management's responsibility, in practice, middle management has an effective role at an operational level (Floyd and Wooldridge, 2000). More recently, middle management has been influencing all aspects of strategic management (Fenton-O'Creevy, 2000; Burgelman, 1983a) in both stages of strategy formulation and implementation (Stiles, 2000).

3.2.1 STRATEGY FORMULATION

This stage of strategic management presents the learning process to the middle management (Floyd and Wooldridge, 2000). Middle management's role in formulating organisation strategy is becoming more obvious and important (Wooldridge and Floyd, 1990; Schilit, 1987). Floyd and Wooldridge (1996: 46) suggest the following areas of middle management's involvement according to the four typologies of the middle manager's role, two of which contribute to the formulation stage, and two of which contribute to the implementation stage:

1. Synthesising information:

- Gather information from both within and outside of the organisation;
- Supply information to top management;
- Frame information and manage top management perceptions; and
- Assess changes within the external environment (Burgelman, 1994, cited by Fenton-O’Creevy, 2000: 154).

2. Championing:

- Provide resources;
- Establish feasibility potential;
- Search for new opportunities; and
- Propose programmes or projects to higher-level managers.

3.2.2 STRATEGY IMPLEMENTATION

The implementation stage is seen as a political/behaviour process (Floyd and Wooldridge, 2000). Middle management decisions and actions all play a major role in terms of strategy implementation (Nutt, 1987), and their role in implementing an organisation’s strategy is becoming more obvious and important (Wooldridge and Floyd, 1990; Schilit, 1987).

Middle management’s involvement in this stage ultimately influences all aspects of strategy implementation; for example, in relation to quality of implementation (Floyd and Wooldridge, 1992). This involves simple tasks, as stated by Stiles (2000), such as making a decision concerning the selection of the most appropriate communication media, or more serious decisions, such as the interpretation of the strategy implementation.

The strategy interpretation is associated with the managers' mind set, cognitive ability (paradigm) and beliefs relating to the organisation's identity (Stiles, 2000). Floyd and Wooldridge (1996: 46) suggest the following areas of middle management involvement, according to the four typologies of the middle manager's role:

1. Facilitating adaptability:

- Relax the regulations in order to initiate new projects;
- 'Buy time' for experimental programmes;
- Locate and provide resources for trial projects;
- Provide a safe haven for experimental programmes; and
- Encourage informal discussions and information sharing.

2. Implementing deliberate strategy:

- Monitor activities to support top management objectives;
- Translate goals into individual plans;
- Translate goals into individual objectives; and
- Sell top management ideas and vision.

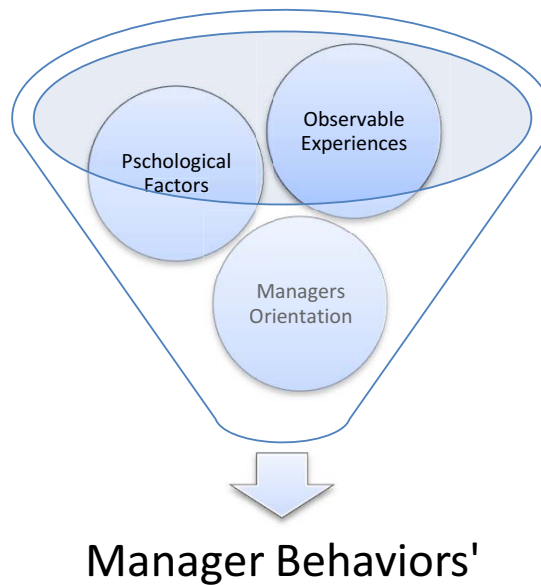
3.3 UPPER ECHELON THEORY

Organisation strategy and performance have been the subjects of intense management research. The role of strategy in terms of directing performance within the organisation is imperative; however, focusing on strategy alone will not suffice. The management always attempts to create and facilitate opportunities which require the implementation of organisational strategy in order to achieve the desired results,

thereby leading to the enhancement of the brand value of the firm. The organisation's leader is duty-bound to ensure that every aspect of the business is well coordinated.

The 'Upper Echelon Viewpoint' is drawn from prior research which investigates the significant link between organisations, individuals and the external environment. Figure 3.1 depicts the general model proposed by Hambrick and Mason (1984), which theorises that organisation upshots, strategic choices, and performance level are all strongly influenced by managerial decisions. On the other hand, however, the Carnegie School asserts that '*complex decisions arise from behavioural factors rather than a mechanical guess for economic optimization*' (Hambrick & Mason 1984:194). Moreover, Cyert and March, (1963) conclude that bounded rationality, multiple and conflicting goals, options and varying aspirations can all be limited to the extent to which decisions can be made; however, based on knowledge, assumptions, values and preferences, decisions are totally subject to the foibles of decision-makers, which can be distinguished.

Figure 3.1: Strategic Situation (adapted from Hambrick and Mason, 1984)



The Upper Echelon perspective' endows three major benefits:

- The potential to predict organisation outcome;
- The selection and development of managers; and
- The prediction of competitors' moves.

The aim of the study was to develop a pragmatic theory inspired by the literature review to be a foundation for future empirical research. A wealth of research has been conducted in consideration of the Upper Echelon theory, subsequently resulting in conflicting views presented by psychologists, sociologists and strategy researchers.

Lawrence (1997) points out that there has been contemplation on the use of the so-called 'observable' characteristics, such as age, academic background, functional training, organisational tenure, and socioeconomic variables or psychological

measures. Psychological hypotheses (Ibid), which are associated with individual values and beliefs, can go some way to explaining why certain manager choices are made, or why various behaviours are considered whilst decision-making is being done. An obvious disadvantage of psychological measuring appears when individuals—managers, in particular—are hesitant in terms of contributing data to psychological tests. Due to the small, sometimes negligible, sample size, it may not be possible to obtain the desired data. Since demographic attributes are readily available, they have been considered as absolute substitutes for psychological traits.

Hambrick & Mason's (1984) original study of the Upper Echelon theory circumvented the original demographic debate, as the theory constructed could be further assessed by psychologists. Finkelstein and Hambrick (1996) concluded, in this regard, that both demographic and psychological characteristics are important aspects for consideration in management research.

3.3.1 DEMOGRAPHIC CHARACTERISTICS

Related research on the Upper Echelon theory has concentrated on background characteristics, which include academic qualification, professional work experience and tenure within the particular organisation. There was, however, less emphasis on attributes such as gender and when the academic qualification was obtained. The crux of the study was that these attributes are associated, or directly or indirectly linked, with organisational strategy.

The model proposed for this study includes managers' demographic characteristics such as age, level of education, and tenure. Gender has been excluded as a

determining characteristic due to a lack of cases. Moreover, although the ethnic background of employees in the United Arab Emirates is highly varied, few females ultimately hold senior managerial positions. A summary of the related literature follows in the next section.

3.3.1.1 AGE:

It is widely believed that the age of the managers is a crucial factor when decisions relating to change, innovation and risk-taking are made. Notably, the age of the manager has been found to negatively correlate with receptivity to change (Carlson and Karlson, 1970; Wiersema and Bantel, 1992), with innovativeness and innovation (Bantel and Jackson, 1989), with willingness to take risks (Hambrick and Mason, 1984), and with organisational growth (Ellis and Child, 1973). These studies are further discussed below.

Carlson and Karlson (1970) postulate the premise that, with increasing age, intelligence and the ability to adapt to change towards new ideas and behaviours steadily decline, although this may have nothing to do with the kind of task in hand. This also corresponds with the general resistance to change as one grows older.

Taking 87 firms as a good sample size, Wiersema and Bantel (1992) investigated the correlation between change and the demographic traits of the top managerial teams. Focusing on top managerial teams, they discovered that 6 main variables—such are young age, short organisational tenure, longer team tenure, high academic qualification, academic training in sciences, and heterogeneity in educational

specialisation—all had major and high impacts on the strategic changes within the respective organisation.

Furthermore, having collected the demographic data of the top management teams (TMTs) in 199 banks in 6 Midwestern states in the USA, Bantel and Jackson (1989) attempted to establish a link between the collected data and that of the level of innovation adopted by the banks; accordingly, they observed that the average age and tenure of the TMT negatively correlated with innovation, whilst the level of education showed a positive correlation.

Hambrich and Mason (1984) argue that older managers have a lesser ability to learn new behaviours, or may otherwise be less able to comprehend new ideas or do anything that involves risk. Older managers, on the whole, would not like to do anything that would upset the status quo of the organisation.

Ellis and Child (1973) carried out an extensive survey in 78 companies, approaching as many as 787 managers in order to examine whether managers differed in terms of their working and social context. They found that, the younger the managers, the faster the organisation grew. Ellis and Child (1973) deduced that evolving companies are more likely to hire younger managers, or it could be that younger managers are considered better able to dedicate more physical stamina and mental energy to the growth of the organisation.

3.3.1.2 EDUCATIONAL LEVELS:

Prior empirical studies reveal that personal values and beliefs of senior managers are largely influenced by the educational institutions which they attended. Bantel &

Jackson (1989), Hambrick & Mason (1984), and Finkelstein & Hambrick (1996) collectively conclude that the quality and level of education are strong indicators as to the extent to which senior managers are receptive to innovation. Finkelstein & Hambrick (1996) elucidate this further by citing a number of studies carried out in banks, hospitals, and software and hardware companies, which relate the education levels of top managers with the amount of innovation within the organisation.

Kimberly & Evanisko (1981), Thomas *et al.*, (1991), and Wiersema & Bantel (1992) strongly assert that, because education 'opens up the mind', it has a major bearing on the approach to change of all kinds. The proclivity for everything to be up-to-date displayed by managers who seek alternative solutions to bring about strategic changes in the way in which an organisation performs has a strong link to the type of education the managers have had.

3.3.1.3 TENURE:

In the literature, 'tenure' is defined in a number of ways (Patrick *et al.*, 2006). Generally speaking, it is the amount of time spent by an individual in a job, organisation, position or industry. Usually, when executives continue their tenure in an organisation, they tend to like to experiment with different strategies in order to determine which ones work, as they are more willing to take calculated risks. However, later on, it is possible that they are urged to—or are otherwise required to—protect the status quo, and may therefore no longer be so open-minded and flexible. Those studies which investigate the relationship between managerial characteristics and behaviour also offer evidence for similar relationships between managerial

behaviour and tenure (Thomas *et al.*, 1991; Hambrick & Mason, 1984; Ellis & Child, 1973; Wiersema & Bantel, 1992; Bantel & Jackson, 1989).

Hambrick & Mason (1984) argue that managers who have long tenures in one organisation are likely to have limited perspectives and may accordingly avoid radical changes. Ellis & Child (1973) also found that longer tenure associates with a conservative, more averse risk-taking outlook. At least two studies (Changanti & Sambharya, 1987; Thomas *et al.*, 1991) support the notion that long-tenured executives tend to pursue that which Miles and Snow (1978) refer to as 'defender' strategies (emphasising stability and efficiency), whereas short-tenure executives are more likely to pursue 'prospector' (emphasising product or market innovation) strategies (Finkelstein & Hambrick, 1996).

3.3.2 PSYCHOLOGICAL TRAITS

Over a period of time, social psychologists have studied numerous individual traits which have been measured in an attempt to understand what the various elements of managerial personality consist of. Reasons for this interest include the possibility of predicting executive behaviour, and the subsequent bearing on organisational performance.

The proposed thesis has focused on three main psychological attributes: attitude towards change, locus of control, and cognitive style. These psychological traits have been specifically chosen owing to their prominent places in the literary material.

3.3.2.1 ATTITUDE TOWARDS CHANGE:

As a consequence of rapid environmental change, pressure is put on organisations to adapt. In order to survive, the application of frequent change to strategy is advised (David *et al.*, 2007; Danneels, 2002). The strategic change Rumelt (1984) applied is bifurcated into content and process:

- Content relates to firms selecting the product and market domains; and
- Process indicates the competitive decisions made by firms within a particular product/market domain.

The scope for this strategic change is externally influenced by the environment and internally within the firm, all of which have a direct bearing on the velocity of the change. Hence, it is imperative to identify and so tackle all external and internal forces which may cause resistance to or deceleration of change.

Although many researches have dealt with organisational change, David *et al.* (2007) point out that there are many undercover points concerning the factors which influence the capability of the organisation to adopt change, and the relationship between these factors.

In turn, managers' characteristics have been seen as one of the important factors of influence upon strategic decisions and change (Huffman & Hegarty, 1993). In this regard, Holland (1988) assumes that managers' attitudes toward change fundamentally influence the capability of the organisation to apply change. Miller and Toulouse (1986) further state that resourcefulness, flexibility, innovativeness and

leverage for change are intricately linked to a CEO's overall positive performance. These, in turn, are translated into organisation growth, which in turn increase profits.

3.3.2.2 LOCUS OF CONTROL:

Many strategic management researchers and organisation theorists have influenced the role of managerial locus of control beliefs in formulation and implementation of business strategy (e.g., Rotter, 1966; Boone *et al.*, 1996; Miller & Toulouse, 1986; Miller *et al.*, 1982; Anderson & Schreier, 1978); Marcus, 2005; Frits and Arjen, 2007; Hossain, 2008). The concept of locus of control originates with the work of Rotter (1966), and ultimately reflects the belief of individuals concerning who controls the rewards and events in their lives (e.g. better jobs, promotions, higher salaries), i.e. themselves or other external factors, such as luck, chance, fate, powerful others, or the government. Those who tend to explain the rewards and events in their lives as something which is contingent upon their own actions, skills and abilities encompass the notion of internal locus of control; in contrast, those who tend to explain the rewards and events in their lives as a result of external factors encompass the notion of external locus of control.

Anderson *et al.* (1973) established the thought that locus of control is highly related to the perception of stress within the environment; in such situations, they found that internal managers are more likely to express task orientation and to out-perform externals. A seminal work in this area is that of Miller *et al.* (1982), who claim that internal managers are associated with the challenges of dynamic environments, and suggest that organisations with innovative strategies are more likely to be forthcoming than managers who are confident about their abilities to control their firms. Miller and

Toulouse (1986) have reached similar conclusions, and determine significant correlations between internal managers and product innovation strategies for the high perceived environmental dynamism subgroup.

Accordingly, several empirical studies associate internal managers with action orientation, pro-activeness, transformational leadership, high information-processing abilities, and a proclivity for complex and unstructured tasks. In general, they demonstrate that internal managers prefer innovative strategies in order to exert control over their environment (Boone *et al.*, 1996; Miller & Toulouse, 1986; Miller *et al.*, 1982; Anderson *et al.*, 1973).

3.3.2.3 COGNITIVE STYLE:

A cognitive style can be defined as consistent individual ways of organising and processing information and experience (Messick, 1984). In other words, it is the way in which people process and organise information before arriving at conclusions based on their observations (Hunt *et al.*, 1989). Accordingly, cognitive styles are increasingly seen as a critical variable within an organisation's overall performance; they provide a meaningful explanation of individual behaviour (Kirton and McCarthy, 1988). Talbot (1989) claims that individuals with different cognitive styles significantly affect each other and team interactions in the workplace, which in turn leads to an excellent opportunity to improve individual and team performance, by careful identification and understanding of individuals' cognitive style. Furthermore, many studies have identified and constructed cognitive styles from various viewpoints. Researchers have developed many instruments for the assessment of cognitive styles. For example, Hayes and Allinson (1994) distinguish 29 separate views in the

review of the related literature. From these different views, the Kirton Adaptation-Innovation (KAI) is known and used in many studies as a single purporting tool to measure a dimension of cognitive style.

Kirton (1976) assumes that individuals adopt preferred styles of creativity, problem-solving and decision-making. This theory makes a sharp distinction between the two styles of problem-solving and decision-making, indicating that one prefers to make the things best or to make the things differently. These style differences are predominantly concerned with a normally distributed continuum, ranging from high adaption to high innovation. Individuals who have an adaption style focus on precision, efficiency, disciplines and attention to norms; they focus on minute details of problems, and prefer to work within a highly defined structure. Moreover, they find solutions through the application of solutions deriving from previous experience. Conversely, innovators are characterised as being undisciplined; they tend to challenge the rule, and look to new and different ways of solving problems. Innovators view adaptors as entirely resistant to change. Conversely, they have been perceived to display risky behaviours by adaptors. Consequently, both groups tend to personalise their differences, which negatively influences the performance, and consequently slows down the work and group productivity (Boone *et al.*, 1996).

CHAPTER 4: THE MODEL AND DEVELOPMENT OF HYPOTHESES

4.1 INTRODUCTION

Hambrick and Mason's Upper Echelon Theory (1984) has essentially paved the way for further research into the importance of leadership on organisational performance. Finkelstein & Hambrick (1996) used their theory set to construct a model of strategic choice, which is based on the fact that managerial traits do have a major impact on organisational performance.

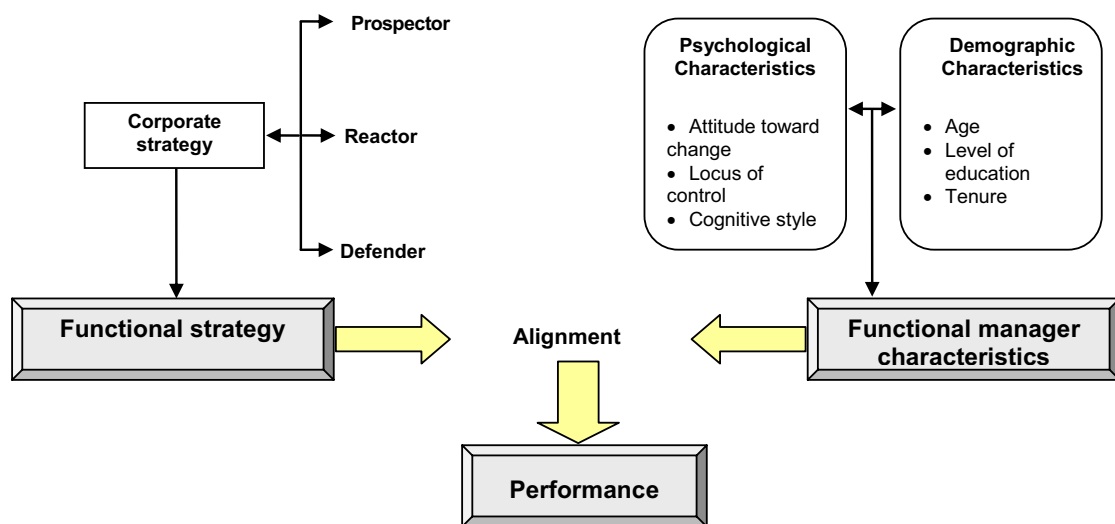
Utilising the results of prior research, the sole intention of this study is to develop and test a comprehensive model of performance for application within the public sector. The following hypotheses again emphasise the categories of defender and prospectors, simply because they are regarded as 'pure type' strategies in the Miles and Snow typology. Such delineations will help to avoid the instability that occurs with reactor types. Chapters 2 and 3 hold basic assumptions from which the hypotheses are formulated.

4.2 THE MODEL

Based on the literature review, it is possible to conclude that a relationship between top managers' characteristics, strategy and performance has been established. So different strategies will call for different managerial characteristics, and organisations which are with an alignment between the characteristics of top managers and the requirements of their strategies, outperform those which are not. The purpose of this study is to attempt to develop a model for matching the characteristics of managers from the functional units with the functional strategy and performance.

Drawing inspiration from the empirical work of Miles & Snow (1978), and Hambrick & Mason (1984), the research model developed for this thesis is as follows:

Figure 4.1: Research Model



The model proposed for this research includes functional manager characteristics, functional strategy implementation and performance.

Two major relationships of interest are shown in the model. The first relationship to be addressed is that between managerial characteristics and functional strategy. From the literature review, we would expect certain relationships to exist. Each manager has his/her own personal attributes and work experiences. These characteristics, over time, are reflected by the organisation because of the decisions made, actions carried out, and the implementation of strategy. In other words, it can be expected that there be a certain relationship between specific manager characteristics, such as a higher

academic qualification, and a specific strategic type, for instance, a prospector. The second relationship, on the other hand, is mainly concerned with correlating managerial attributes to that of the organisational strategy. This portion of the research develops the argument that certain top manager characteristics fit better with specific strategic orientations. This could be attributed to the fact that managers have a great deal of influence in formulating and implementing organisational strategy.

Consistent with the previous argument concerning the assumption of the similarity between the top managers and functional managers in influencing strategy within their organisations, it could be argued that managerial traits have strong effects on functional units' performance and, in turn, on the organisation's overall performance. Thus, the second relationship to be examined is the coordination between functional manager characteristics and functional strategy in relation to functional unit performance. When the alignment between functional manager characteristics and functional strategy does not exist, performance will be negatively influenced; this is because the much needed characteristics are not available in order to address the specific issues demanded by the functional strategy.

Importantly, it is observed that the relationship between strategy and performance may not be in sync with the first relationship discussed above. The main premise for this is that if certain managerial characteristics were to be associated with specific organisational strategies, then it would beg the question why it is that all organisations do not always reap a winning performance.

Although the aim might be for something that is picture-perfect, there could be a mismatch between managers' capabilities and the organisation's core competencies; the reason for this could be due to changes in the company's strategy not being favoured by all employees, or there could otherwise have been wrong judgement in appointing and selecting managers, or promotions which have been overlooked, or petty politics which could cause friction and inertia within the company. These slip-ups and miscalculations have the potential to lead to failure to capitalise on the firm's core competencies, under-utilisation of resources, and lack of clarity in terms of organisational goals. This explains why 'defender' organisations are determined by the type of products/services which they offer, and their continuous endeavour to ensure fairly stable market domains. Defender organisations are not completely willing to divert their key resources for diversification, as they firmly believe that this can have a negative bearing on the organisation's overall performance.

Referring back to the model constructed on the basis of certain assumptions which need to be investigated on the hypothesis that has been put forward:

Assumption 1: An Organisation's Strategy Influences Its Performance

The basic assumption is that the strategy is to be aligned with the environment. In order to survive, organisations have to match the activities of the organisation to the environment in which it operates, and must build on an organisation's resources and competences so as to create opportunities or to otherwise capitalise on such (Johnson & Scholes, 1997). In doing so, organisation performance and success is influenced by the way in which a company relates its activities to its external environment (Montgomery & Porter, 1991).

Assumption 2: There Is A Correspondence Between Functional Strategy And Its Functional Manager Characteristics

The people element is core to the model—especially that of the functional managers, as there is a strong interconnection between organisational leadership and strategy. This is very true because the organisation's leaders are closely involved with the construction of the organisational strategy and its implementation.

Chapter 3 cites many researchers advocating the relation between top managers' characteristics and organisational strategy, and further cites the argument of many researchers concerning the important role of middle management in terms of the formulation and implementation of organisation strategy. Drawing from these two arguments, this assumption was built.

Assumption 3: The Functional Unit Will Perform Better When A Manager's Characteristics Align With The Functional Strategy.

The proposed research intends to investigate the impact of the liaison between functional strategy and functional managers' attributes in public organisations. The model shows that functional managers' characteristics and functional strategy interact and impact performance. In order to achieve a better understanding of how organisational strategy works, the typology of Miles and Snow (1978) was referred to, as it provides a clear-cut identification of the four strategic types, i.e. Prospectors, Defenders, Analysers and Reactors. In fact, this assumption is the major focus of this research. It has been argued that better performance will ultimately be reaped when there is a match or 'fit' between top managers' attributes and organisational strategy.

The related hypotheses will argue that certain functional managers' characteristics, when combined with congruent functional strategy, will result in superior organisational performance.

Assumption 4: Despite A General Correspondence Between Strategy And Managers' Characteristics, Mismatches Will Occur.

Related hypotheses will be presented in two sections—demographic characteristics and the philosophical characteristics. For each managerial characteristic, the hypotheses reflect the two relations previously developed; the relation between certain manager characteristics and certain functional strategy type, and the matching of functional manager characteristics and functional strategy and its effect on the performance of the functional units.

4.2.1 DEMOGRAPHIC CHARACTERISTICS

4.2.1.1 AGE:

Previous studies have examined the age of managers in relation to change, innovation and risk-taking. Notably, age has been found to negatively correlate with receptivity to change (Wiersema & Bantel, 1992), innovativeness and innovation (Bantel & Jackson, 1989), willingness to take risks (Hambrick & Mason, 1984), and organisational growth (Ellis & Child, 1973). From the literature, it is proposed that the prospector and defender organisations will approach strategic directions differently, which will be reflected in the selection of their managers. Prospectors will also seek younger leaders with fresh perspectives conducive to change and innovation.

Defenders will seek older leaders so as to ensure valued core efficiency and control competencies. Specifically, the following is suggested:

- *H1a: Managers of prospector functional units will be, on average, younger than managers of defender functional units.*

It has been argued through the presentation of the model that functional units will perform better when manager characteristics align with the functional strategy. The association between younger managers with innovative activities desired by the prospector strategic type and older managers with a tendency to emphasise the status quo and stability desired by the defender strategic type, have also been observed. Therefore, it is expected that younger functional managers will ultimately perform better, on average, in functional units whilst pursuing a prospector strategy. In contrast, functional managers who are older will ultimately perform better, on average, in functional units, whilst pursuing a defender strategy. Based on this premise, the following hypotheses are proposed to test the resulting relationship with performance:

- *H1b: Prospector functional units will show higher performance, on average, when led by younger managers.*
- *H1c: Defender functional units will show higher performance, on average, when led by older managers.*

4.2.1.2 LEVEL OF EDUCATION:

The level and type of education and cognitive values imparted by educational institutions have a strong impact on functional managers, and this, in turn, affects the

decision-making process in later years. This also plays a role in their receptivity to innovation, as observed by Finkelstein & Hambrick (1996). The examples are cited in studies relating to hospitals (Kimberly & Evanisko, 1981), banks (Bantel & Jackson, 1989) and computer companies (Thomas *et al.*, 1991). Nevertheless, the main point to be noted is that managers with high educational levels are strongly associated with company growth and profits, and are definitely more receptive to innovation (Norburn & Birley, 1988; Wiersema & Bantel, 1992).

The Miles and Snow (1978) typology expounds that 'prospector' organisations ensure that growth and innovation are well integrated into their organisational strategy. Furthermore, they are more enthusiastic about exploiting new products and market opportunities and they actively encourage diversification, but also try to circumvent long-term commitments to a particular technology.

Defenders, on the other hand, would rather ensure stable products and services whilst catering to a loyal market segment. In a bid to ensure operational efficiency, there is a greater degree of control. However, there is little emphasis on diversification, innovation and growth.

Higher and advanced levels of education ensure that the individual is more 'open-minded', not only in terms of being receptive to new information, but also by encouraging the individual to take more risks (Finkelstein & Hambrick, 1996). Continuing with this line of thought, the literature focuses on the level of education interconnected with the general attitude towards innovation. In contrast, Miles and Snow (1978) relate innovation with the prospector strategy type, from which it can be inferred that:

- *H2a: Managers of prospector functional units will have, on average, higher educational levels than defender managers of functional units.*

It becomes necessary to relate to the review, as mentioned in Chapter 3, which relates to the relationship between academic levels and the acceptance of innovation, which are also central to the prospector strategy. Importantly, prospector companies like to experiment, and are constantly seeking new opportunities; as such, they are very receptive to innovation. Accordingly, a manager who is negatively or neutrally receptive to innovation is therefore more likely to be perceived as a misfit in an organisation which actively pursues a prospector strategy.

Good performance is seen in functional units, especially when managerial attributes are in sync with the organisational strategy; indeed, this is one of the basic postulates of the proposed model, which is:

- *H2b: Prospector functional units will show higher performance, on average, when led by more educated managers.*

Whilst constructing a hypothesis that can be examined further, it is also suggested that 'more is not always better', i.e. with regards to the 'fit' between managers, academic qualification and functional strategy. Furthermore, although the literature review cites different strategic issues and their prescribed solutions, at times, a stronger level of innovation and education is not actually required, as in the case of a defender strategy. There have been instances where certain high-efficiency-requiring operations, like the armed forces, do not have to adhere to the need for change or innovation. This accordingly determines the next hypothesis, which suggests:

- *H2c: Defender functional units will show higher performance, on average, when led by less educated managers.*

4.2.1.3 TENURE:

Tenure is defined in a number of ways; it is the amount of time invested either with an organisation or specifically in a particular position (Patrick *et al.*, 2006). Specifically, for this study, we have defined job tenure as the time that a person has been the manager of a functional department, whereas organisation tenure is the time that a manager has been employed, in any capacity, by their current organisation. Finkelstein & Hambrick (1996), and Miller & Toulouse (1986) have jointly posited in their reports that having a longer organisational tenure has a positive impact on stability, less change and innovation; however, it is observed that organisations possessing defender strategies also encounter the same set of problems with regards to stability, and de-emphasise change.

Taking these discussion points further, Miles and Snow (1978) posit that defender types tackle entrepreneurial problems by sealing off a portion of the market and subsequently creating a stable set of products. They also argue that administrative problems encountered are related to control issues, whilst engineering problems are related to efficiency (Ibid). Moreover, the defender type organisations would have encouraged promotions from within the organisation rather than recruiting from outside, and they would also prefer managers with a lengthy tenure. The rationale behind this being that individuals would be accustomed with the products, technologies and ways of working; the lack of change is attributed to the conventional practices followed by long tenured managers.

Finkelstein & Hambrick (1996), and Miller & Toulouse (1986) report that 'prospector' organisations pride themselves on accepting change and innovation; this is because managers with shorter organisational tenure welcome change and are risk-takers. It is these same characteristics which fundamentally match the entrepreneurial, engineering and administrative challenges of prospector organisations; these challenges are inclusive of developing new products and seeking new markets, encouraging diversification, and adapting to different technologies rather than focusing on a single technology.

Consistent with the above arguments, it is suggested that organisations associated with defender strategies are more closely associated with stability and resistance to change. Thus, organisations adopting the defender strategic type are likely to value long tenure (Miles & Snow, 1978). However, prospector organisations are innovative and accepting of change, and shorter tenure has been shown to be associated with organisational change, willingness to accept risk and openness to fresh, diverse information (Finkelstein & Hambrick, 1996). Functional managers pursuing a prospector strategy will therefore have, on average, shorter tenure than their counterparts pursuing a defender strategy. This leads to the construction of the following hypotheses:

- *H3a: Functional managers of prospector units will have average organisational tenure that is shorter than that for functional managers of defender units.*
- *H3b: Functional managers of prospector units will have average job tenure that is shorter than that for functional managers of defender units.*

Chapter 2 makes explicit reference to prior researches which connect organisational tenure with that of performance, indicating how the factors 'fit' into how the organisation must function. In the case of prospector firms, a manager who insists on maintaining the status quo would be deemed a misfit, simply because it is now clear that firms pursuing prospector strategies are dynamic, open to new ideas, and would want to explore and develop every market opportunity. With this in mind, the subsequent hypotheses recognise the strong connection between shorter organisation tenure, its acceptance of innovation, and its resulting impact on performance as aspired to by prospector organisations:

- *H3c: Prospector functional units will show higher performance, on average, when led by a shorter- organisational tenured manager.*
- *H3d: Prospector functional units will show higher performance, on average, when led by a shorter- job tenured manager.*

Miller (1993) coined the phrase 'stale in the saddle', which has negative connotations as, in the proposed study, this refers to organisations seeking defender strategies. This is because such organisations believe that when adhering to the status quo they are shielding the organisation from market risks, and ultimately prefer stability. When a manager with a relatively short tenure in the organisation attempts to bring about change through a flurry of activities, this can be seen as making the organisation highly vulnerable to competition, and thus poses a risk to stability. This consequently results in the market not being sufficiently exploited for opportunities, and procedures and technologies not being changed, or, if they are changed, there are only slight modifications which do not always achieve the desired outcomes.

The ensuing hypothesis stipulates that a functional manager who seeks stability rather than risk delivers better performance, and so the following hypotheses will be tested:

- *H3e: Defender functional units will show higher performance, on average, when led by long- organisational tenured managers.*
- *H3f: Defender functional units will show higher performance, on average, when led by long- job tenured managers.*

4.2.2 PSYCHOLOGICAL TRAITS

4.2.2.1 ATTITUDE TOWARDS CHANGE:

Managers' characteristics have been seen as one of the important factors influencing strategic decisions and change (Hoffman & Hegarty, 1993). In this regard, Holland (1988) assumes that managers' attitudes toward change influence the ability of an organisation to apply such change. Miller and Toulouse (1986) state that resourcefulness, flexibility, innovativeness and leverage for change are intricately linked to managers' overall positive performance. These, in turn, can be translated into organisation growth and increases in profits.

It has been shown in Chapter 2 that a positive relationship between attitude towards change and innovative activity is present. In general, the proposed model for this research assumes that there is an important influence of functional managerial attributes in relation to that of organisational strategy.

The prospector organisations have a keen enthusiasm for exploiting new market possibilities and adapting to innovation but, at the same time, will avoid being totally dependent on a single technology. Defender organisations will attempt to ensure stability, and are keen to 'defend' their domain. What is fundamental here is the acceptance or reluctance to change. Therefore, managers who are risk averse would never 'fit' into a prospector organisation. With this in mind, the subsequent hypothesis suggests that prospector functional managers will have, on average, a receptive attitude to change than that for defender functional managers and the strategy suggested for this study:

- *H4a: Functional managers of prospector units will be, on average, more receptive to change than those for functional managers of defender units.*

Chapter 2 contains much concerning how prospector organisations would rather be synchronised and responsive to evolving market needs than be risk averse. There is a sense of constant change towards discovering and exploiting new markets and a capacity for technical savvy which is associated with prospector organisations.

The proposed model holds the assumption that there is a strong correlation between managerial attributes and functional strategy, which could lead to improved functional unit performance. As such, if this correlation is logical, then prospector organisations would prefer employing individuals who value change. Using this premise, the ensuing hypothesis can be tested:

- *H4b. Prospector functional units will show higher performance, on average, when led by managers who are more receptive to change.*

Operational efficiency with strong control systems and domain protection is widely seen in defender organisations. Operational efficiency is seen in the standard procedures which actively emphasise quality and quantity followed in manufacturing assembly lines. Strong control indicates the adherence to protocol and quality standards. Moreover, due to the emphasis on not deviating from expectations, negating risk and adhering to the set directives, there is little or no desire for change. Likewise, a manager who encourages change would be a misfit in a defender organisation.

During the process of creating new products and discovering new markets, the normal routines in an organisation could be disrupted, thereby leading to inefficiencies. It is seen in defender organisations that resources are efficiently delegated and technology is utilised to the maximum so as to ensure good performance. This is certainly why managers who value little or no change are preferred in defender organisations. Based on this premise, the following hypothesis proposes that:

- *H4c. Defender functional units will show higher performance, on average, when led by managers who are less receptive to change.*

4.2.2.2 LOCUS OF CONTROL:

Rotter (1966) carried out an extensive research on the locus of control factor within organisations. He suggests that managerial traits have a direct bearing on the locus of control in all activities of the organisation. Boone *et al.* (1996) postulate that the internal and external locus of control is carried out with different learning strategies

with the adoption of different leadership styles. Moreover, Hodgkinson (1992) observed that managers with an internal locus of control are under pressure to control their environment, and so are accordingly more likely to plan and scan the environment for information. This has been defined in the summary prepared by Miles and Snow (1978) for the prospector strategy. The summary notes the benefits of accepting changes and exploiting new opportunities. In contrast, defender organisations who ensure stability and operational effectiveness would rather work within given constraints. This approach is not favoured by prospector organisations, as they attempt to take control and lead, which are the characteristics of those having an internal locus of control trait. Therefore, the following hypothesis is proposed:

- *H5a: Functional managers of prospector units will have, on average, more internal locus of control than those for functional managers of defender units.*

Rotter (1966), and Boone *et al.* (1996) theorise that managers with either an internal or external locus of control use different learning strategies, perform differently, have different leadership styles, and deal differently with stress-related events. Importantly, the internal locus of control assertively tackles the environment with the intention of actively 'shaping' it in order to serve the end needs of the organisation. They focus more keenly on searching for the right information, are highly motivated, and actively identify boundaries and accordingly engage in strong leadership. This ultimately leads to extremely successful operations in prospector organisations.

Moreover, defender organisations adopt a different take in the case of internal locus of control. The need to protect one's domain and ensure highly efficient operations is key for defender organisations; there is greater emphasis on adhering to rules and

norms, and there is minimal variance. A manager who influences overall behaviours in an organisation, i.e. one who makes extensive efforts to be involved with the external environment, identifies and scans boundaries, which may not be the right way forward for defender organisations. Essentially, displaying traits like this would be counterproductive in defender organisations.

From the discussion, it can be inferred that individuals having either an internal or external locus of control possess different styles of leadership and different data processing methods. Within the proposed model, and also throughout the development of these hypotheses, it is suggested that different strategies also require different information processing techniques and leadership attributes. Furthermore, a matching of strategy requirements and appropriate leadership attributes results in better organisational performance.

Continuous domain development, a wide range of monitoring, and the creation of change and new products, have all been associated in the literature with the prospector strategy, and seem to be traits which belong to managers with internal locus of control. Consequently, it is argued that individuals with an internal locus of control seem to be more appropriate for prospector strategy. Accordingly, the following hypothesis is stated:

- *H5b: Prospector functional units will show higher performance, on average, when led by managers with an internal locus of control.*

In contrast, managers with an external locus of control are not keen on scanning the environment; they would rather focus on operational efficiency and work with

constraints. This is predominantly seen in the case of firms pursuing the defender strategy, where the strategy is concerned with creating a stable set of products and services, and the market readily consumes them. Any move outside the comfort zone is ignored or downplayed. Based on this observation, the subsequent hypothesis is proposed:

- *H5c: Defender functional units will show higher performance, on average, when led by managers with an external locus of control.*

4.2.2.3 COGNITIVE STYLE:

Kirton (1976) asserts that each individual approaches problem-solving with a combination of adaptive and innovative skills, manifesting as a problem-solving style. This theory sharply distinguishes between two distinct styles of problem-solving and decision-making, indicating that one prefers making things better or otherwise different. These style differences lie on a normally distributed continuum, ranging from high adaption to high innovation. Individuals who have predominant adaption styles emphasise precision, efficiency and discipline, and attempt to view problems through the application of solutions deriving from previous experiences. The innovative style, on the other hand, is characterised by those who naturally challenge rules and consider new and different ways of solving problems in preference to modifying existing approaches.

A careful exploration of Miles and Snow's (1978) strategic types and Kirton's (1976) Adaption-Innovation theory suggest that a prospector strategy may be preferred by individuals whose psychological characteristics indicate predominant innovative

behaviour. On the other hand, defender strategies seem to be most attractive to individuals who prefer an adaptive cognitive style. Therefore, the following hypotheses are proposed:

- *H6a: Functional managers of prospector units will be, on average, more innovative than functional managers of defender units.*
- *H6b: Prospector functional units will show higher performance, on average, when led by innovative managers.*
- *H6c: Defender functional units will show higher performance, on average, when led by adaptive managers.*

Table 4.1 lists the model hypotheses for both relationships under the study: the association between managerial characteristics and the functional strategy type, and aligns the managerial characteristics to functional strategy type and the effectiveness on performance.

Table 4.1 lists all the hypotheses for this research:

Table 4.1

Hypotheses	
H1a	Managers of prospector functional units will be, on average, younger than managers of defender functional units.
H1b	Prospector functional units will show higher performance, on average, when led by younger managers.
H1c	Defender functional units will show higher performance, on average, when led by older managers.
H2a	Managers of prospector functional units will be, on average, with higher educational levels than managers of defender functional units.

H2b	Prospector functional units will show higher performance, on average, when led by more educated managers.
H2c	Defender functional units will show higher performance, on average, when led by less educated managers.
H3a	Functional managers of prospector units will have average organisational tenure that is shorter than that for functional managers of defender units.
H3b	Functional managers of prospector units will have average job tenure that is shorter than that for functional managers of defender units.
H3c	Prospector functional units will show higher performance, on average, when led by a shorter- organisational tenured manager.
H3d	Prospector functional units will show higher performance, on average, when led by a shorter- job tenured manager.
H3e	Defender functional units will show higher performance, on average, when led by long-organisational tenured managers.
H3f	Defender functional units will show higher performance, on average, when led by long-job tenured managers.
H4a	Functional managers of prospector units will be, on average, more receptive to change than those for functional managers of defender units.
H4b	Prospector functional units will show higher performance, on average, when led by managers who are more receptive change.
H4c	Defender functional units will show higher performance, on average, when led by managers who are less receptive change.
H5a	Functional managers of prospector units will have, on average, more internal locus of control than those for functional managers of defender units
H5b	Prospector functional units will show higher performance, on average, when led by managers with an internal locus of control.
H5c	Defender functional units will show higher performance, on average, when led by managers with an external locus of control.
H6a	Functional managers of prospector units will be, on average, more innovative than functional managers of defender units.
H6b	Prospector functional units will show higher performance, on average, when led by innovative managers.
H6c	Defenders functional units will show higher performance, on average, when led by adaptive managers.

CHAPTER 5: RESEARCH METHODOLOGY

Chapter 5 describes the research methodology and the specific methods used for this study in order to test the hypotheses and theory presented in the earlier chapters. Section 5.1 addresses additional details regarding the target population, and the research philosophy is discussed in section 5.2. The selected research methods are detailed in Section 5.3, and the procedure in which these methods are applied and the specific steps taken so as to encourage participation are further detailed in Section 5.4. Section 5.5 defines the variables and describes the measurement techniques used, with an explanation of specific methods used for analysing respondent data forming the final portion of this chapter on methodology (sections 5-6).

5.1 POPULATION

Selecting a target population is often the major part of any empirical research; it has to be selected carefully if the research is to succeed. Many points should be considered here, such as representing the entire population (public sector in this research) and sufficient response rate.

The Organisation of the Dubai Government has been chosen for a number of reasons: firstly, it is considered to be a good representation of a public sector organisation, which is challenged by rapid changes; secondly, the personal and professional interests of the researcher which was to build a knowledge base for Dubai government organisations; thirdly, because of the support offered by Dubai executive council, which is in charge of administering the entire government

organisations, enabling access to information needed for this study. The following section will provide an overview of the evolution of the state of Dubai, and accordingly provide information about these organisations.

Dubai was a village set on the edge of a vast desert, mostly surrounded by a sea of sand, with no running water or roads. In the times that other nations launched rockets into space, the villagers fished and slept. They and their slaves dived for pearls in the sea. From the time that Dubai was nothing more than a poor village until now, when it has become one of the fastest growing and most successful cities in the world, Dubai has been detailed as a remarkable success story (Krane, 2009).

Dubai's plan for growth was first set in 1960 by Sheikh Rashid bin Saeed Maktoum, who wanted the name of his town, Dubai, on the lips of every person on Earth. Rashid made a wish that Dubai would become the most luxurious city the world has ever known; the "city of Gold" (Krane, 2009).

Sheikh Rashid started to develop the infrastructure of the city, with many important steps being taken, such as dredging the creek and developing the first port in 1961, which became the centre for the shipping industry in the Arabian Gulf; building the Dubai airport and the Middle East's tallest building in 1979; the building of another port and a dry dock on an empty beach, twenty miles from the creek, which became the largest man-made harbour, Dubai's greatest financial asset, and the US Navy's number one overseas seaport.

Rashid's son, Mohammed, took over and pressed forward, continuing with what his father had started but with even more passion. During his period, Dubai experienced

substantial economic developments, and continuous growth was achieved in various sectors, which were effectively diversified to the extent that non-oil-related GDP contributions to the Dubai economy are now well over 90% (Davidson, 2008). Significant economic success has managed to attract large numbers of investors and businessmen due to its good infrastructure, economic policies, business flexibility and low costs leading to Dubai becoming the first international commercial centre in the Arabian Gulf. The economic growth has further led to expansion and diversification, which has now reached approximately 16%. Subsequently, Dubai is currently recognised as the world's fastest growing city (Krane, 2009). This success is due to many reasons, including:

- Excellent strategic position between the Middle East, Europe, the Commonwealth of independent States, and Africa;
- Close relations with the Gulf and the Middle East;
- Political stability as a result of careful management concerning regional and international relations;
- As a part of the federation of United Arab Emirates, Dubai has the federal flexibility needed to control the city independently;
- A comprehensive legal framework for companies and a freehold property scheme;
- A free and open economic system, which attracts investment and major corporations. In addition, there are no direct taxes on company profits or personal income;

- Exemptions from customs duties and the lack of restriction on foreign exchange or referrals (fixed exchange rate between the dollar and the UAE Dirham);
- Sophisticated infrastructure: with substantial investments in transport and telecommunications and energy; 7 industrial zones and 3 specialised free zones. Moreover, there are 2 sea ports and a sophisticated international airport being constructed next to another, which is considered will be the largest in the world. In addition there is a cargo village and a highways network;
- Lower costs due to cheap labour, the employment of different nationalities, competitive energy, and high liquidity levels;
- Large commercial network, which is the Dubai World's third largest centre for re-export following Hong Kong and Singapore; and
- Advanced manufacturing industries featuring industries export, templates, aluminium and metal products, manufactured fabrics and garments, gold jewellery, food and electronic goods, oil refinery and chemical products and minerals.

The comprehensive development of the city to become one of the recognised business centres in the world requires the public sector to work in line with the private sector and to keep up with the fast growth of the city. The Dubai Strategic plan 2007-2015 reflects the objectives of the Dubai public sector for the future. The plan covers five key sectors: Economic Development; Social Development; Infrastructure, Land and Environment; Security, Justice and Safety, and Public Service Excellence.

Moreover, the Dubai public sector comprises 18 organisations that provide all the services required for the city. A brief explanation of the services provided from each organisation is cited in Appendix 8, as quoted from the official website of Dubai Government (<http://www.dubai.ae/en.portal> on 3/5/2010).

5.2 RESEARCH PHILOSOPHY

Saunders *et al.* (2003) observe that researchers often ponder over which method of data collection is most appropriate and sufficient for the research (i.e. to administer a questionnaire or conduct an interview?) but they should ensure they do not lose sight of the research philosophy to which they are to adhere.

It is important to address the appropriate research philosophy due to the fact that every research tool or procedure is related to particular versions of the world. In order to administer a questionnaire, select a random sample, conduct interviews and so on, a particular philosophy needs be involved.

Historically, there have been two broad philosophical prescriptive streams within the social science: positivism and interpretivism. The interpretivist paradigm was developed as a philosophy of the social sciences in the latter part of the 19th Century as a reaction to positivism by sociologists who believed that the scientific model was not applicable to the study of social life. On the other hand, positivistic approaches are based on a belief that the study of human behaviours should be conducted in the same way as those studies conducted in the natural sciences (Collis & Hussey, 2003). Sayer (1992) points out that positivists perceive human experiences of the world as a reflection of an independent reality which is outside of the social world.

Positivists supposedly try to build a knowledge of a reality which exists beyond the human mind. They believe that human experiences of the world reflect an objective and independent reality, and that this reality provides the foundation for human knowledge.

On the other hand, Burr (1995) states that interpretivism views human knowledge as a reflection of particular goals, culture, experience and history, all of which are created by humans themselves inside the framework of the social world. Interpretivists recognise that the knowledge they build ultimately reflects their particular goals, culture, experience, history and so on. Furthermore, they intentionally constitute knowledge. In other words, they try to make sense of the world, recognising that their sense-making activities occur within the framework of their life-worlds, and that the particular goals they have for their work-knowledge are built through social construction of the world.

There are many researchers who claim to be positivists, most of whom recognise the inherent limitations of the knowledge they seek to build. They are aware that their culture, experience and history have an impact on the research work they undertake, and thus the findings of their work. This recognition is not a privileged insight of interpretive researchers.

In order to apply one of the research philosophies, there are always two approaches: the deductive approach, which seeks to validate a theory and hypotheses, by designing a research strategy to test the hypotheses; and the inductive approach, which collects data and develops a theory as a result of data analysis. The deductive approach is related to positivism and the inductive approach is related to

interpretivism (Saunders *et al.*, 2003). Undoubtedly, it is essential that the approach is appropriate to the nature of the object, and the purpose and expectations of our enquiry (Sayer, 1992).

In this sense, the approach for this research is based on the deductive approach by developing the research model and hypothesis dependent on the literature, which means that the research will adopt a positivist philosophy.

The principles of positivism are based on the techniques used in the natural sciences, which can produce law-like interpretations (Saunders *et al.*, 2003). Moreover, the positivistic approach does not focus on the subjective state of the individual as it is concerned with searching for the facts or causes of social phenomena. May (1997) defines the positivist thought as '*...for the Positivist, the social scientist must study social phenomena in the same state of mind as the physicist, chemist, or physiologist when he probes into a still unexplored region of the scientific domain*'. Similarly, Blaikie (1993) defines positivist thoughts as '*positivist science is based on the belief that there can be natural scientific study of people and society, in spite of the differences in subject matter, both natural and social science, the same method and logic can be used although each science must elaborate these in ways appropriate to its object of enquiry*'. Moreover, Smith, (1998) believes in '*positivism as the most important attempt to generate authoritative knowledge about social world*'. Objectivity is defined by positivists as being the same as that for natural science, whilst social life may be explained in the same way as natural phenomena. The results of research using this method of investigation lead to a set of 'true', precise and wide-ranging 'laws' (known as Covering Laws) of human behaviours in terms of cause and effect.

However, Popper (1989) argues that the positivist approach is only acceptable in natural sciences. He believes that the methods of natural sciences are not applicable to social sciences, and further states '*whilst the so-called 'laws of nature' are assumed to apply throughout space and time, the regularities in social life are time and space specific. Social uniformities cannot be generalized because they change from one historical period to another and across cultures*' (Ibid), and he further rejects positivism in favour of scientific realism as he accepts the idea that there is the need to test theories; he argued that, by eliminating untruth through the falsification process, science moves nearer to the truth.

The early origins of positivism can be traced to August Comte of the early 19th Century, who believed that social investigation should not seek to provide explanations of social phenomena in theoretical principles or metaphysical theories, but rather in society itself and in the social structure of relations (Sarantakos, 1998). The principle of interest of the logical positivists was restricted only to issues which are considered to be answerable. Their objective was to eliminate all forms of speculative thinking. Logical positivists, according to Smith, advocate an approach towards the generation of new knowledge and human progress, whereby sense experiences were taken as the starting point for all ideas (Smith, 1998).

Standard positivism is associated with the deductive approach. Deduction refers to the mental process through which valid conclusions can be logically deduced from valid premises; that is, a generalisation or universal law. Accordingly, we can state that, whilst the logical positivist approach places greater emphasis upon induction and verification, the post-war standard positivist view places great stress on the deductive

process when explaining the steps involved in theory construction, although within strict empirical constraints. In all approaches, it was assumed that there was a clear separation of facts from values and that it was general to discover general laws, 'the fact-value distinction' (Smith, 1998).

In this case, the research approach adopted in this study is based on an explorative and deductive approach, which means that a positivist philosophy has been adopted. The starting point is the explorative approach, which identifies the subject area and what research issues need to be addressed. Subsequently, the research moves to a deductive approach which involves creating a research model based on theory and validating this.

5.3 DATA COLLECTION METHODOLOGY

In order to adopt the most appropriate data collection method for the research, it was important to identify the criteria that would be considered. Choosing the right data collection methods for a research is not an easy task; it is a complex task, and depends on various criteria, such as that detailed below.

- The research question
- The research objectives
- The type of information needed
- The character of respondents
- Degree of control that the research has over the case under study
- Effort time and money availability

The topic and specific research questions are the most important aspect which subsequently lead to the choice of the most appropriate data collection. Remenyi (1998) indicates that the topic to be researched and the research questions are the main drivers in the choice of research methodology. Moreover, Robson (2002) points out that, if the methods do not provide answers to the research questions, it is an indication that changes are required; therefore, we have to be careful when selecting the data collection method, and actively ensure the data generates answers to the research question.

Data collection methods are divided into two major methodological approaches: quantitative and qualitative. Each contains several types of 'data collection methods'.

1. The qualitative research approach is based on intensive study of as many features as possible, of a small number of phenomena. It seeks to build understanding by depth. Often, its methods are associated with the phenomenological position (Yates, 2004). This approach seeks to highlight processes and meanings which are not experimentally examined or measured in terms of quantity, amount, or frequency (Denzine and Lincoln, 2000). Thus, it implicates non-mathematical analytical procedures which result in findings derived from data gathered primarily via interviews, observations, case study, or secondary sources through books and articles, or otherwise through 'literature reviews'.
2. The quantitative research approach, on the other hand, can be defined as that which primarily seeks to express information numerically (Remenyi *et al.*, 1998). The aim of the approach is to determine common patterns amongst an

examined population and to accordingly develop explanations of cause and effect relationships (Bentz and Shapiro, 1998). In the case of quantitative research, the researchers—as subjects—are seen as being distant from the objects of investigation (Dachler, 1997). Overall, statistical analysis of experimental, survey and archival data are considered to be quantitative (Saunders *et al.*, 2003).

Many researchers do not limit themselves to one of these data collection approaches; rather, they intend to benefit from both methods, known as mixed method approach. Moreover, the mixed method refers to '*the attempt to get a true fix on a situation by combining different ways of looking at it or different findings*' (Silverman, 2000, p.177); it is a '*rationale for using multiple sources of evidence*' (Yin, 1999, p.91). In this sense, mixed method seems to be the most appropriate and suitable research methodology for this study. It combines quantitative and qualitative methods through a complementary use of secondary data, case studies, questionnaire survey and interviews.

Miles & Huberman (1994, p.40) state that, '*we need to face the fact that numbers and words are both needed if we are to understand the world*'. Rossman and Wilson (1984) suggest three broad reasons for linking qualitative and quantitative data:

1. To enable confirmation or corroboration of each other via triangulation;
2. To elaborate or develop analysis, providing richer details;
3. To initiate new lines of thinking through attention to surprises or paradoxes, 'turning ideas around', providing fresh insight.

The use of quantitative and qualitative research in conjunction may often also provide access to different levels of reality; this offers some further possibilities. One of the most obvious advantages is *'to check the validity of findings using very different approaches to data collection; as suggested by empirical reality, multiple methods of observation must be employed'* (Denzin, 1978, p.28).

One important way of strengthening a study design is through a combination of methodologies in the study of the same phenomena. This can mean using several kinds of methods or data, including both qualitative and quantitative approaches (Patton, 1990). Multiple methods are *'tempting because they seem to give you a fuller picture'* (Silverman, 2000, p.50).

Case studies provide one of the more common ways in which quantitative and qualitative research can be combined. Most case study researchers do involve more than one method of data collection (Bryman, 1995). Yin (1994, p.91) demonstrates that *'a major strength of case study data collection is the opportunity to use many different sources of evidence'*. These various sources are *'highly complementary, and a good case study will therefore want to use as many sources as possible'* (ibid, p.30).

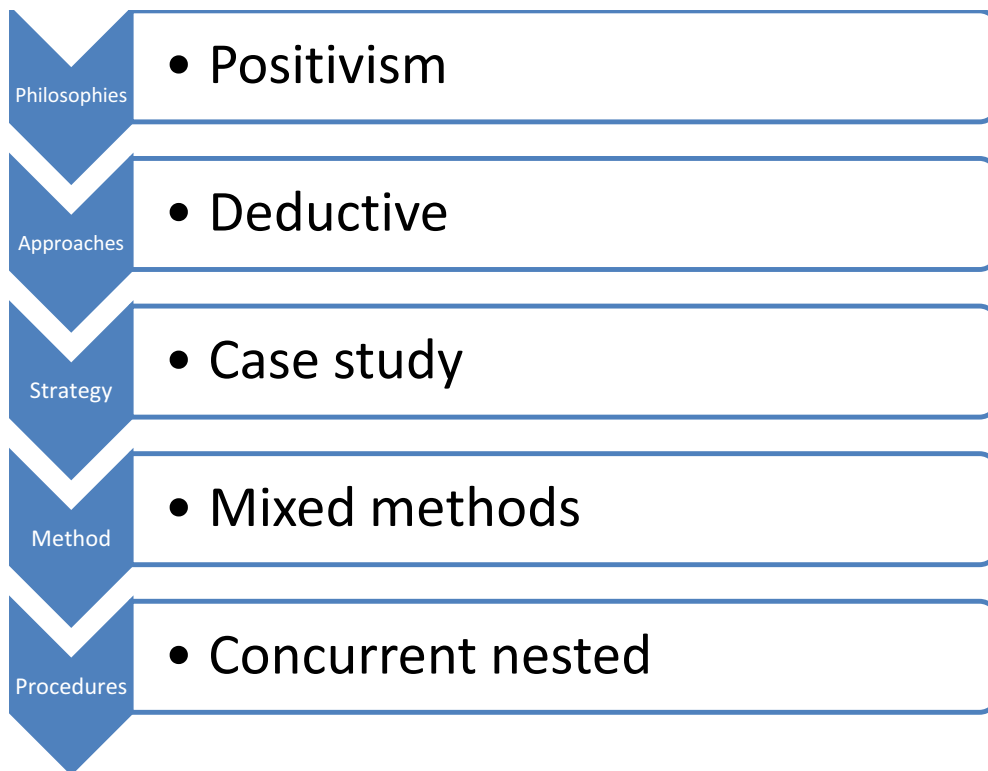
One such research report was carried out by Faules (1982), who collected his research data by survey questionnaire and semi-structured interviews. Another example is the study of Schall (1983), which depended on a questionnaire, documents, participant observation and unstructured interviews for gathering data; she demonstrates the utility of employing quantitative and qualitative methods at

different stages of the research process and in relation to different facets of the topic being investigated (Bryman, 1995).

In the light of the above discussion, a case study methodology will be used in this study, involving mixed methods which combine quantitative and qualitative methods through a complementary use of secondary data, interviews and questionnaires. These methods are chosen as they are considered to be relevant to the nature of this research as an exploratory tool for gaining understanding of the managerial characteristics and functional strategy implementation in the Dubai government. In addition, the use of various methods for data collection will enable the researcher to offset the strengths and weaknesses of one method against the other.

The mixed methods in this research are followed by concurrent nested procedures in which both quantitative and qualitative data has been collected at the same time, and then information has been integrated in the interpretation of the overall result. This design enables the researcher to offer various perspectives from the different types of data or from different levels within the study (Creswell, 2003). In this research, these procedures have been used together from two different levels within each organisation under the study. (Figure 5.1 presents the research methodology.)

Figure 5.1: Research methodology



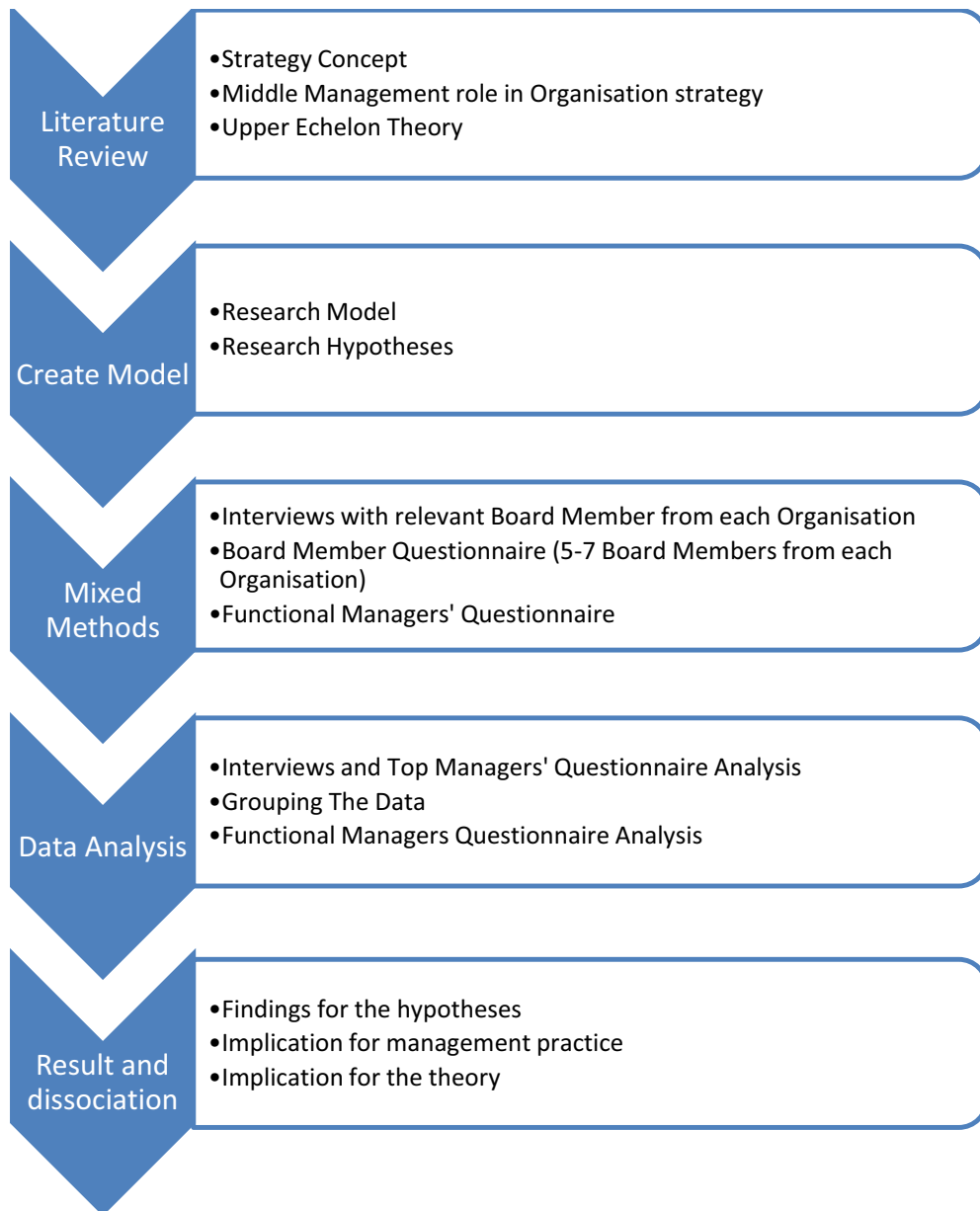
5.4 SAMPLING AND PROCEDURE

In order to determine the various research objectives, a comprehensive scrutiny of relevant literature on strategy and leadership was undertaken. The purpose of the literature review was to obtain details of the results of other studies related to the current study. The first part of the literature review concentrated on the strategy concept in the private sector so as to provide the basic foundation for the research: additionally, the strategy was presented in terms of the definition, formulation, implementation and strategy in the public sector. The second part presents the role of middle management in organisation strategy. After the broad foundation, which covers all the background aspects, the research presents the essential idea by

discussing the Upper Echelon theory, and identifies the research gap which develops the research model based on previous foundations.

In order to investigate and test the research model in the public sector, the researcher has targeted the local government organisations in Dubai, which comprise 18 organisations, including more than 800 functional managers. Despite the fact that functional managers are the focus of the research, top managers are also important in identifying organisation strategy types; as functional strategy is intricately related to corporate strategy for the organisation. In this sense, data was collected from managers at two levels in each of the organisations: firstly, a strategy survey was conducted for board member managers, as well as in-depth interviews with one board member manager for each organisation; and secondly, a questionnaire-based survey of functional managers was conducted on 683 randomly selected managers from the functional units (see Figure 5.2).

Figure 5.2: Research procedure



5.4.1 INTERVIEWS:

Interviews are considered to be important data sources, as they enable the researcher to access the interpretation and understanding which participants possess regarding the events which have taken place, or are taking place, and the views and

aspirations of the interviewer and other participants (Kvale, 1996; Walsham, 1995). Interviewing is particularly useful when the researcher wishes to study past events, making the most efficient use of the researcher's limited time. Interviews enable the researcher to learn about people closely; to see the world through their eyes; to understand their experiences (Taylor and Bogdan, 1984).

The interviews in this research are intended to explore the formulation and the implementation of the organisation strategy for each organisation under the investigation; in other words, to justify the strategy type for the organisation. Subsequently, interviews were held with a manager who was also a member of the management board for each organisation. Each was a manager of their organisation's respective strategy unit, and was responsible for designing, implementing and evaluating the organisation's strategy. It was also intended that the participants be informed about the proposed research in order to ensure the best access and their co-operation in terms of administering the questionnaire in the next stage of the data collection process.

Semi-structured interviews were selected as the method for data collection at this stage. The benefit of using semi-structured interviews is that because they cover a wide range of instances, the interviewer has the opportunity to ask further questions in response to what are seen as being significant replies (Bryman, 2001). Moreover, as the semi-structured interview unfolds, the mode of the conversation offers the interviewee the opportunity to explore issues they consider to be important (Longhurst, 2003).

From section 2.3.1, we noted Miles and Snow (1978) argue that strategy is a way of adjusting the relationship between an organisation and its environment, and that internal structure and processes must, in turn, fit the strategy if this adjustment is to be successful. Therefore, each of Miles and Snow's (1978) strategies is associated with distinctive organisational structures and processes.

A prospector strategy is associated with decentralisation and rational planning. Moreover, the defender strategy is associated with centralisation and logical incrementalism. Reactor organisations, on the other hand, lack a coherent and stable strategy, and have not shaped their structures and processes to the specific form (Andrews *et al.*, 2009).

In order to capture all aspects of the organisation strategy and to justify the strategy type as specified by Miles and Snow, the questions for the interviews exploit the semi-structured style and are outlined in the five steps listed below:

Managers' Description: Managers were asked to describe their department's functions and what they are doing, what tasks they are to carry out, and their role in the strategy formulation and implementation.

Strategy Formulation: In order to explore the processes of strategy formulation, managers were asked an open-ended question concerning strategy formulation (How to formulate your organisation strategy?), giving managers the freedom to talk and describe all the issues relating to strategy formulation in their particular organisation. The focus of the researcher is to get the interviewee to answer questions on strategy formulation: the stable formal procedures for strategy formulation indicate rational

planning and, in turn, relate to the prospector strategy; an on-going process of adjustment to new circumstances and negotiation with key stakeholders indicate the logical incrementalism in planning and, in turn, relate to the defender strategy; with non-discernible processes for strategy formulation being related to the reactor strategy (Andrews *et al.*, 2009).

Depending on the manager's answers to the previous question and the corresponding justification of the previous key issue, the researcher was prompted to ask more questions, such as:

1. Is it a formal procedure that you usually follow (rational)?
2. Is it based on the formal analysis of the service needs (rational)?
3. Do you assess alternative strategies (rational)?
4. Do you follow precise procedures in order to achieve targets (rational)?
5. Do you match your targets to the specifically identified citizen needs (rational)?
6. Is your organisation strategy made on an on-going basis (logical incrementalism)?
7. Is your organisation strategy developed through the negotiation with external stakeholders (e.g. voluntary/private sector groups) (logical incrementalism)?

Staff Contribution in Strategy Formulation: The managers were asked an open-ended question—i.e. Who is responsible for strategy formulation in your organisation, and to what extent do the staff contribute in strategy formulation? This question determines the structure of management decentralisation in terms of decision-making, by the degree of staff involvement in strategy formulation (Carter & Cullen, 1984). High involvement of the staff in strategy formulation indicates the decentralisation

approach and, in turn, relates to a prospector strategy. The limited involvement of the staff in strategy formulation indicates the centralisation approach and, in turn, relates to the defender strategy.

Strategy Implementation: The managers answer to an open-ended question about strategy formulation—i.e. What is the procedure to follow in order to implement your organisation strategy? The focus of the researcher is on getting the interviewees to answer the question relating to strategy implementation. The sequential activities for formulation and implementation indicate the rational planning (Thompson, 2000) and, in turn, relate to the prospector strategy. Strategy review and adjustment during the implementation, which indicate logical incrementalism planning (Hart, 1992; Rajagopalan and Rasheed, 1995) relate to a defender strategy. A non-discernible approach to implementing strategies relates to a reactor strategy.

Depending on the manager's answer to the previous question and the justification of the previous key issue, the researcher may ask more questions in this regard, including:

1. When implementing strategies, do you have clearly defined tasks with targets (rational)?
2. When implementing strategies, do you regularly review progress against targets (rational)?
3. Do you implement strategies by initially piloting them and then implementing them in full (rational)?
4. When implementing strategies do you often refine and amend them as you go along (logical incrementalism)?

Strategy Typology: The interviewers received a full explanation of each of Mills and Snow's strategic type, and were asked to select the strategic type which most closely matched their own organisation strategy, with the knowledge that there is no right or wrong strategy type amongst them.

Before commencing each interview, the researcher contacted each interviewee by phone to provide them with information concerning the study and to arrange for the interview. The interviews were completed by 18 managers (100%) of the target population, who were men aged between 34 and 47. Prior permission to record each interview was obtained, and these interviews were administered in Arabic. The results and analysis technique are discussed in the next chapter.

5.4.2 QUESTIONNAIRES

Depending on the study objectives, two separate questionnaires were further developed and sent to two levels of managers within each organisation. The first questionnaire examined the organisation's strategies, and was sent to between 5 and 7 board members in each organisation, depending on the overall size of the organisation. A total of 98 board member managers were contacted and provided with hard copies of the questionnaire. 48 managers responded, which provides a response rate of 48.9%.

The second questionnaire was sent to 683 functional managers of the eighteen organisations. This particular questionnaire contained questions relating to functional strategy typology, and selected manager characteristics. In order to increase the response rate, many steps were taken, as detailed in the following section. A total of

294 completed responses were received from the functional managers, with an additional 131 responding to a reminder in the next stage, making a total of 425 usable responses, a response rate of 62.2%.

5.4.2.1 ADMINISTERING THE QUESTIONNAIRE

Interviews were held with the board member manager of each organisation, each of whom was a manager of the organisation strategy unit, and who was responsible for designing, implementing and measuring the organisation's strategy. Another target was to inform the participants about the research, which was to take place in order to ensure the best access and co-operation for administration of the questionnaire in the next stage for the data collection.

To increase the response rate, managers of strategy units for each organisation were contacted personally, prior to the distribution of the questionnaires (during the first stage for the data collection), and the objectives of the research were explained to them. They were also notified of the complete support for the survey by the senior management of Dubai's local government, and given assurances of confidentiality. They were subsequently provided with hard copies of the questionnaire to be distributed amongst the functional managers in their organisations. Due to cultural issues and the demographic nature of the residents of Dubai, this is the preferred contact protocol by public sector managers. The functional managers were selected by discussing the organisation size, hierarchy and the manager's responsibility with the strategy managers of each organisation, and were usually closer in hierarchy to the top management.

5.4.2.2 GETTING ACCESS AND RAISING RESPONSE RATES

In order to increase the response rate, the following steps were taken:

- Official support letters were issued from the senior management of Dubai's executive council, which is in charge of administering all of Dubai's local departments;
- The managers of the strategy units for each organisation were contacted personally in order to explain the research objectives and to obtain the necessary support;
- Hard copies of the questionnaire were distributed amongst the functional managers. Due to cultural issues and the demographic nature of the residents of Dubai, this is the preferred contact protocol by public sector managers;
- The hard copies of the questionnaires also enclosed covering letters detailing the research objectives, instructions, and the referenced letter from Dubai's executive council;
- Two follow-up reminders were sent to all respondents one week and two weeks after the first contact.

5.4.2.3 THE LAYOUT OF THE QUESTIONNAIRE (ORDER AND FLOW)

The appearance of the questionnaire had to be short and attractive to the respondents in order to encourage them to fill it in (Saunders *et al.*, 2003). Subsequently, the following steps were taken in this regard:

1. The questionnaire was divided into sections with a brief description at the beginning (Saunders *et al.*, 2003).

2. Questions were sequentially arranged in rows and the set of potential responses in columns. Saunders *et al.* (2003) suggests that this is another method of reducing the length of the questionnaire.
3. All questions are closed-ended questions in order to facilitate quantitative analysis. With one open-ended question towards the end of the questionnaire so that respondents were able to add additional information.

5.4.2.4 RELIABILITY AND VALIDITY

Reliability is to ensure that the same result could be obtained, on average, if the research was repeated, whereas the validity is to ensure that the findings reflect what is happening in the situation (Collis & Hussey, 2003).

1. Translation: as the primary and official language of Dubai is Arabic, the researcher has translated the questionnaire into Arabic in order to increase the response rate and to guarantee full understanding of the items. To ensure a coherent and sensitive translation, the researcher started by developing the questionnaire in English, and then translated it into Arabic. In the second step, a professional translated the Arabic version back into English; the last step was to make a comparison between the two translations and make any necessary changes.
2. It was decided that a pilot test would be conducted using a group of people demographically similar to the target population. The idea behind this was to test for effectiveness and appropriate terminology. Ten people co-operated during this stage and participated in the test, including the researcher's

colleagues at work and the researcher's fellow Arabic speaking PhD researchers. Their feedback helped to make the required changes.

5.5 DEFINITION OF MEASUREMENT OF VARIABLES

The main objective of the questionnaire was to capture specific demographic and physiological characteristics for the functional managers, pertaining to age, level of education, organisational tenure, attitude toward change, locus of control and cognitive style.

5.5.1 DEMOGRAPHIC CHARACTERISTICS MEASUREMENT

5.5.1.1 AGE

For this study, age was measured by number of years, and so the respondents were asked for their age in years.

5.5.1.2 EDUCATION LEVEL

Education has been measured as a continuous variable in many studies. For example, Thomas *et al.* (1991) measure the level of education by adding years of college experience to the number 12, which represents a high school diploma as a baseline. This procedure creates a pseudo-continuous measurement with a bachelor's degree equalling sixteen and a master's level equating to eighteen. In this study, a similar integer valued measurement was used in order to assess level of education. Managers were asked to indicate the highest level of education attained from the following alternatives: some high school; high school diploma; some college; bachelor; master degree; and doctoral degree. These were then transformed to

numbers grading using a six-point scale, the highest on the scale reflecting the highest level achievable (i.e. 6 = doctoral degree).

5.5.1.3 TENURE

Tenure can be defined in a number of ways, and has been measured in the literature as being tenure in a job, within a company, or within an industry. Specifically, this study includes job and organisation tenure. We are therefore interested in the time that a person has been the manager of a functional department, and the time employed in the organisation. Consequently, the questionnaire queried the functional managers in terms of what time in years the respondent had spent employed at the organisation, and that as the current manager of the functional unit.

5.5.2 PSYCHOLOGICAL CHARACTERISTICS MEASUREMENT

5.5.2.1 ATTITUDE TOWARDS CHANGE

Hage and Dewar (1973) developed a scale that could measure attitudes towards change. Having done so, they tried to predict if it was possible to use elite values to measure innovation within social service organisations. This scale was adopted for use in this research in which respondents had to answer using a seven-point scale with the highest value of seven being associated with 'strongly agree'. The index was calculated by taking the average of the sum of the responses to each of the five items. Based on the scores, it was inferred that a high score means that a respondent has a set of values favourable to change. These five items are following:

Questions Used for Attitude Towards Change

1. There is something refreshing about enthusiasm for change.
2. If I were to follow my deep convictions, I would devote more time to change movements; this seems to me to be a primary need today.
3. The current situation in the community calls for change; we should do something now (we must respond at once).
4. If you want to get anywhere, it's the policy of the system as a whole that needs to be changed—not just the behaviour of isolated individuals.
5. Any organisation structure become deadening weight in time and needs to be revitalized.

5.5.2.2 LOCUS OF CONTROL

Hodgkinson's strategic locus of control scale (1992) has been adapted in this study for the purpose of measuring the locus of control of functional managers. There are sixteen questions, which are modified so as to identify the public sector as the population of interest. The answers are plotted on a seven-point Likert scale, with seven indicating that the respondents strongly agree; from this, it can be inferred that a higher score for the scale indicates a strong external locus of control. Appropriate recoding is necessary where answers are reverse coded. The modified questions used in this study are following (Items that were reverse coded are indicated with (R)).

Modified Questions Used for Locus of Control

1. There is very little my local department can do in order to change the 'rules' in the public sector and community.
2. Many of the problems experienced by the public sector can be avoided through careful planning and analysis (R).

3. To a great extent, the services environment in which my local department operates is shaped by forces beyond its control.
4. Becoming a successful local department is a matter of creating opportunities; luck has little or nothing to do with it (R).
5. There is little point in the majority of local departments taking an active interest in the wider concerns of the public sector, because only the large, more powerful local departments have any real influence.
6. It is not always wise to create strategic plans far ahead because many things may turn out to be a matter of good or bad fortune.
7. My local departments can pretty much accomplish whatever they set out to achieve (R).
8. Most local departments can have an influence in developing the services market (R).
9. Regarding the local departments providing services, most departments are subject to forces they cannot control.
10. There is little point in engaging in detailed strategic analyses and planning because events often occur which the local department cannot control.
11. Usually, local departments fail because they have not taken advantage of their opportunities (R).
12. My organisation is able to influence the basis upon which it competes with other organisations.
13. Organisations which rarely experience strategic problems are just lucky.
14. There is a direct connection between the interest you take in other public sector organisations, and the success of your own organisation (R).

15. My local department has a direct role in shaping the environment in which it operates (R).

16. The opportunities for my local departments are largely predetermined by factors beyond my department's control.

5.5.2.3 COGNITIVE STYLE

Kirton (1976)—who developed an instrument and is accredited with the Kirton Adaption Innovation (KAI) Theory for assessing managers' cognitive style—yielded results that have been validated. Therefore, the official KAI response sheet (a psychometric questionnaire redeveloped by Occupational Research Centre, see Appendix 6), with the required translation into Arabic (see Appendix 7), has been attached with a hard copy of the questionnaire. This being a five-point scale, respondents have been asked to indicate how difficult it is to present themselves as a certain type of person. Moreover, there are 32 questions in which managers can rate their creative style towards the adaptive or innovative end.

The scores for all 32-item statements are aggregated in order to arrive at a final KAI score.

The possible range of scores is 32-160. Innovators are identified as those receiving high scores, whereas adaptors are identified as those receiving low scores.

Table 5.1 Summaries of the measurement techniques used to measure the selected managerial characteristic.

Table 5.1: Definition of measurement of variables

	Characteristics	Measurement of variables
Demographic characteristics	Age	Age was measured in number of years; respondents were asked their age in years.
	Education level	Respondents were asked to mark the highest level of education they had attained from six categories.
	Organisation and job tenure	Respondents were asked what time, in years, they had spent in the organisation and, that as the current manager of the functional unit.
Psychological characteristics	Attitude toward change	Adaptation of the survey instrument. reported by Hage and Dewar (1973) (5 questions)
	Locus of control	Adaptation of the survey instrument, reported by Hodgkinson (1992) (16 questions)
	Cognitive style	Official KAI response sheet developed by Kirton (1976) (32 questions).

5.5.3 STRATEGY MEASUREMENT

A single nominal variable (Miles & Snow, 1978) was used in order to classify functional strategy. Strategic orientation was measured in four ways, namely: self-typing; objective indicators; external assessment; investigator inference (Snow & Hambrick, 1980). Combinations of these four approaches were used.

The self-typing measure can be achieved using two methods. In the 'paragraph' approach, the respondent is presented with a short descriptive paragraph of each strategic style, and the one that matches the organisation the closest is selected. Snow and Hambrick (1980) believe that this approach is not a complete one although efficient and unambiguous

The second approach was to select from a multi-item scale of questions posed regarding Miles and Snow's strategic types. Conant *et al.* (1990) believe that the use of multiple indicators does provide more information in terms of strategic response.

Objective indicator measures have been used by Hambrick (1983), whereby organisations can be classified by strategic type using a percentage of sales of new products compared to the firm's largest competitors. Snow and Hambrick (1980), however, jointly conclude that it is difficult to find the relevant data reflecting the strategic orientation from rival firms and this is particularly true for public sector provision.

The external assessment measure can be made using the same instrument of self-typing but administering it to a panel of expert judges within the industry rather than internally (Meyer, 1982). It is quite possible that the expert may not have current knowledge of the strategic orientation of all the organisations of interest to the researcher and their opinions may be inaccurate (Snow & Hambrick, 1980).

The investigator inference measure is based on interviews with company officials (Walker & Ruekert, 1987). It is possible to achieve a valid assessment of strategic orientation provided the researcher has clarity concerning the internal ways of working in the organisation and these have been investigated. The main drawback here is that there are limits in terms of the size of the sample that can give up-to-date data. Snow and Hambrick (1980) strongly assert that this method is the least reliable amongst the four methods mentioned.

It is known that, whilst the methods have their own merits and demerits, each nevertheless brings to research a particular view of strategic orientation and a level of accuracy. The order of 'accuracy', starting from the most accurate, would be self-typing, external assessment, objective measurement, and finally, investigator inference (Snow & Hambrick, 1980). Snow and Hambrick (1980) advise that two or more methods should be adopted in order to achieve an accurate overall measure of strategic orientation.

Depending on the previous discussion of the various methods of measurement for the Miles and Snow (1978) typology, the self-typing method and investigator inference method were used in order to gain the most accurate measure of strategic orientation. When applying the self-typing method, two strategic levels of interest were targeted.

Both approaches were combined in the drafting and the administration of the board members' and functional managers' questionnaires. The paragraph approach was used in the functional managers' questionnaire, as it facilitated assessing their preferred functional strategy.

Functional managers were provided with short descriptive paragraphs concerning each strategic style, and were asked to select that strategic type that most closely matched their functional unit strategy. In all cases, however, the analyser strategic type was not included in our study, and the focus was, instead, on the three remaining types (Prospector, Defender and Reactor). The paragraphs used were as follows:

- Defender strategy type: this type of organisation/department attempts to locate and maintain a secure niche by offering a relatively stable set of services to member agencies and the community. The organisation/department tends to offer a more limited range of services by offering higher quality, superior service, lower administrative costs, and so forth. Often, this type of organisation/department is not at the forefront of developments; it tends to ignore public sector changes which have no direct influence upon current areas of operation, but rather concentrates on doing the best job possible in a limited area.
- Prospector strategy type: this type of organisation/department typically operates within a broad service domain that undergoes periodic redefinition. The organisation/department values being 'first in' with new services for the member agencies and the community, even if not all efforts prove to be highly

successful. The organisation/department rapidly responds to earlier signals concerning areas of opportunity, and these responses often lead to a new round of actions. However, this type of organisation/department may not maintain strength in all areas which it enters.

- Reactor strategy type: this type of organisation/department has a continually changing orientation in terms of how it serves member agencies and the community. The organisation/department is usually not as aggressive in terms of maintaining established services, nor is it willing to take as many risks. Rather, the organisation/department responds in those areas in which it is forced by pressures from within the community, and to non-profit environments.

Since the board member has an informed view of strategy implementation, it was deemed appropriate to use a more detailed approach to examine their perceptions. The multi-item scale is therefore considered more suitable than the paragraph approach. Consequently, respondents were asked 12 questions adapted from the survey instrument reported by Andrews *et al.* (2009), which has been previously validated and used for local authorities.

The prospector strategy was assessed through four measures of innovation and market exploration. The specific measures are derived from the works of Snow and Hrebiniak (1980), and Stevens and McGowan (1983). In order to explore the defender strategy, three questions assessing whether or not the approach to service delivery was focused on core activities and achieving efficiency were included (Snow & Hrebiniak, 1980; Stevens & McGowan, 1983; Miller & Toulouse, 1986). In contrast,

reactors are expected to lack a consistent strategy and are believed to await guidance on how to respond to environmental change. Consequently, five questions relating to the existence of definite priorities in the service they provide and the extent to which their behaviours were determined by external pressures were present in the questionnaire. These measures are based on prior works (Snow & Hrebiniak, 1980), taking particular care to avoid leading questions.

The second method used to measure the strategy type was the investigator inference method by conducting interviews with the board member managers of the strategy units. The interviews were semi-structured so as not to restrict the researcher using specifically prepared questions. Face-to-face interviews were used, as these generally achieve higher response rates than interviews by telephone, especially when targeting managers in the public sector. Moreover, the interviewer can benefit from tracing any possible body language and investigate this further, if required.

5.5.4 PERFORMANCE MEASUREMENT

Performance for business organisations is typically measured by accounting data, such as profit growth, profit margin, sales increase, market share, return on investment, etc. However, given the nature of the target organisation, some adaptations of measures were required for a public sector environment. A robust measure of performance for public sector organisations should be a comprehensive measure which covers many of the concerns of public sector management researchers, such as quality, efficiency, effectiveness, responsiveness, and equity (Venkatraman & Ramanujam 1986; Carter *et al.*, 1992; Boyne 2002). The study uses the Core Service Performance measure (CSP) a measure that has been successfully

used in English local government (Andrews *et al.*, 2009). It covers six dimensions of performance: quantity of outputs, quality of outputs, efficiency, formal effectiveness, value for money, and consumer satisfaction. These embrace all the main areas of local government activity.

Here, we used 10 questions from this instrument for the questionnaire for functional managers. These are the Likert type questions, and the average value was used to measure the performance of the functional units.

5.6 ANALYTICAL TECHNIQUES

In order to analyse the data for this research, three distinct and sequenced steps are utilised. The first step is to identify the organisation strategy type, which is vital for the second step, in which data will be grouped depending on the matches between the organisation strategy type and the functional strategy type. In the third step, analysis is undertaken for two of the four groups, depending on the research model and objective.

5.6.1 FIRST STEP: VERIFY THE ORGANISATION STRATEGY

Many researchers have emphasised the importance of strategy alignment (Maheshkumar *et al.*, 2003). Strategy alignment in this instance is related to a strategy hierarchy, in which corporate strategy aligns with functional strategy and, in turn, functional strategy aligns with operational strategy. They advocate that organisations with strategy alignment perform better than those without. Therefore, the misalignment functional unit will be excluded from the examination of the hypotheses in relation to performance, firstly because misalignment with corporate

strategy may have a great affect on the performance of the functional unit (Maheshkumar *et al.*, 2003), and secondly because misalignment may occur as a result of wrong decisions or misunderstandings of the functional manager concerning the functional unit type, which may also affect the performance of the functional unit. The alignment with the functional strategy is considered in the grouping technique during the second analysis step.

As previously stated, the organisation strategy type is measured by interviewing the strategy manager for each organisation, as well as questionnaire survey, which was sent to 5-7 board members in each organisation. By comparing the results of the interviews and board member questionnaires, the organisation strategy type for each organisation was identified.

5.6.2 SECOND STEP: GROUPING THE DATA

The researcher decided to apply two grouping techniques at the same time, which resulted in four groups. The reason for this was to cover two different aspects, as detailed below:

Firstly, the belief concerning strategy alignment builds on the existing literature. After the organisation strategy types have been identified for each organisation in the previous step, the comparison is then made between the organisation strategy type and the functional strategy types for all units within each organisation; this is done in order to identify the functional units which align their strategy with corporate strategy, and those units which do not. Assessment of the functional strategy types here are obtained from the functional managers for each unit, resulting from responses of

functional managers' questionnaires. The two groups resulting from this stage are as follows:

1. Alignment group: containing all functional managers, who identified their unit strategy as the same type as that for the organisation strategy;
2. Misalignment group: containing all functional managers who cited their unit strategy as differing from that of the organisation strategy type.

Secondly, the alignment group is divided into three groups depending on Miles and Snow's (1978) strategy types, which have been selected for this research. The grouping here aims to differentiate the strategic type and to examine the hypotheses. The final resulting groups are as follows:

- Misalignment Group
- Prospector Group (alignment)
- Defender Group (alignment)
- Reactor Group (alignment)

5.6.3 THIRD STEP: REGRESSION MODELLING

In order to test the hypotheses, statistical comparisons are made between the two groups (Prospector and Defender groups); this is because all hypotheses relate to these types, which are regarded as 'pure type' strategies in the Miles and Snow (1978) typology, and to avoid the No analyses of the reactor types or for the Misalignment group were undertaken as previous research suggests that these groups will be unstable in performance.

Hypotheses which reflect the first relationship (between certain manager characteristics and certain functional strategy types) will be tested using the independent samples t-tests. This is appropriate as the samples are large in all instances and so normality of the mean values is assured to a high level of accuracy. Furthermore, the hypotheses which reflect the second relationship (matching of functional manager characteristics and functional strategy and its effect on the performance of the functional units) will be tested using the regression technique (backward elimination).

CHAPTER 6: RESULTS

In the previous chapters, the relevant theories were reviewed, and the objectives and purpose of this thesis was outlined. Chapter 5 reviewed the population sample and the sampling technique, and the way in which the variables of interest were measured. This chapter presents the analysis of the empirical data obtained from the functional managers and the board members in the Dubai government's organisations, and findings.

The first step in this analysis was to identify the organisation strategy type, which is vital for the second step in which data will be grouped depending on the match between the organisation strategy type and functional strategy type. In the final step, the selective analysis technique will run for two of the four groups (Prospector and Defender). (Table 6.1 shows the organisation codes that are used to denote the eighteen organisations being analysed.)

Table 6.1: Organisations coding

	Government Departments	Entity Abbreviation
1	Dubai Police	DP
2	Dubai Electricity & Water Authority	DEWA
3	Dubai Municipality	DM
4	Dubai Airport Free Zone Authority	DAFZA
5	Land Department	LD
6	Department of Economic Development	DED
7	Department of Tourism & Commerce Marketing	DTCM
8	Dubai Ports, Customs & Free Zone Corporation	DPCFZC
9	Dubai Chamber of Commerce & Industry	DCCI
10	Department of Health & Medical Services	DHMS
11	Roads & Transport Authority	RTA
12	Dubai Public Prosecution	DPP
13	Dubai Media Corporation	DMC
14	Dubai Courts	DC
15	Islamic Affairs & Charitable Activities Department	IACAD
16	Naturalization & Residency Administration	NRA
17	Awqaf & Minors Affairs Foundation	AMAF
18	Department of Civil Aviation	DCA

6.1 ORGANISATION STRATEGY

The organisation strategy type was the measure used to identify the strategy orientation utilised by each organisation in the sample, in accordance with the Miles & Snow (1978) typology. This was achieved by combining two research methods: interviewing the managers of the strategy departments, and a questionnaire sent to the board members.

6.1.1 INTERVIEWS ANALYSIS

As mentioned earlier in Chapter 5, the main objectives of the interviews were to explore the organisation strategy and to ensure the best access for administration of the questionnaire in the data collection stage. Interviews were held with a board member manager for each organisation. Each was a manager of the organisation strategy unit, and was responsible for designing, implementing and evaluating the organisation strategy. This strategy unit usually exists under different names in all organisations of the Dubai government, such as strategy unit, strategic planning unit, strategy and organisation performance, policy and strategy, corporate planning and quality department.

The interviews were completed by 18 managers (100%) of the target population, who were men aged between 34 and 47. The interviews lasted between 20 and 40 minutes, and permission to record each interview was obtained prior to the interview. Each interview was transcribed into Microsoft Word, and was sent to the respondent in order to allow him the opportunity to make amendments if desired. These interviews were semi-structured and passed through five steps, as discussed in the previous chapter.

The following excerpts from the interviewees' responses to the five steps of the interviews reveal the underlying attitudes that emerged from this phase of the research.

Managers' Description: Although each of the selected managers from the strategy unit were all responsible for the formulation and implementation of the organisation

strategy, their actual contribution to organisation strategy was found to be dependent upon the organisation structure and the responsibility of their unit.

Strategy Formulation: In answering the questions concerning strategy formulation, the majority of interviewees mentioned that they have a stable and formal procedure to formulate strategy: *'...formal procedures were applied for all work processes in our organisation and we have a great procedure for strategic formulation which has been recognised by strategic planning council in USA for which we were awarded the Richard Goodman Strategic Planning Award 2008'* — Code DM. Moreover, many of them mentioned that this procedure can be enhanced and changed by the top management, when required *'...even we have a formal procedure for strategy planning but it is usually dependent on the understanding of the person who is going to manage the process of strategy formulation and the top manager can change this procedure'* — Code DED.

Staff Contribution in Strategy Formulation: Nearly all the interviewees emphasised the importance of staff contribution in strategy formulation: *'...in order to build our strategic plan, we first consult our people (staff) and then other stakeholders, this kind of plan is so powerful because it is not imposed on people, it comes from them'* — Code DCCI; *'...our top management believes the importance of staff participation in building strategy and the formal procedure of strategy formulation necessitates this participation'* — Code IACAD. Others support this line of thought and add that, what happens in the real world, may sometimes be different: *'...even though we advocate our staff and stakeholders are participating in the building of our strategic plan, but*

what really happens, that most of our strategic plans reflect the view of the top management team' —Code DC.

Strategy Implementation: Many of the interviewees mentioned that they are always trying to stabilise their strategy by developing a successful strategy and implementing it without change: *'the right strategy has to be stable, apply the change to the strategy without the pressure of the changing environment is an indicator of a failed strategy'* — Code DED. Others set a procedure to revisit the strategy and to apply the desirable change and justify that to the changeable and unstable environment in Dubai as one of the fastest growing cities: *'we believe in the changing environment and the importance to update the strategy in response to this change, so we set a system called the knowledge line which is considered a formal system to update the strategy when there is a considerable change in external environment such as the recent economic crisis'* — Code DM.

Strategy Typology: Half of the interviewees (9 of 18) selected the prospector strategy type and mentioned that the Dubai Excellence Award was the motivation, as it was the measurement criteria emphasising innovation and development: *'from my knowledge of the history of our department, it follows the prospector strategy type, we always seek to provide new services and look for new ideas. Even though our core service is issuing commercial licenses and monitoring them, we provided and applied many important ideas out of our domain, such as Dubai shopping festival and other commercial initiatives, we set many targets to develop the economics of Dubai which is our core business'* — Code DED.

A considerable number of interviewees (7 of 18) selected the defender strategy type, and accordingly mentioned the importance of quality in the public sector service: *'we passed the time period we were focusing on the development and providing new services. Now we are focusing on the stable set and the quality of the services provided to the public and lower administrative costs'* — Code DM.

A small number of interviewees (2 of 18) selected the reactor strategy, and mentioned that unstable management led to many changes in strategy and the application of different strategies: *'we have changed our strategy orientations many times, and believe to do so in future, that because of the changing environment and sometimes because of the new top manager who has different views than the previous one, so we are closer to the reactor strategy type'* — Code NRA.

In order to analyse the interviews' meaning, the condensation analysis technique was used. Meaning condensation techniques are used to present the meanings expressed by the interviewees in a shorter formulation. It systematically deals with data that remains expressed in ordinary language to analysis without necessarily transforming the data into quantitative expressions (Steinar & Svend, 2009). The analysis steps as described by Steinar & Svend (2009) follow:

Step 1: the complete interview is read through to get a sense of the whole concept;

Step 2: the natural 'meaning units' of the text are determined depending on the targeted information for each question, as previously discussed, such as the formal procedure to formulate the strategy; and

Step 3: the theme dominating the natural meaning unit is restated by the researcher as simply as possible, thematising the statements from the subject's viewpoint. For example:

'formal procedures were applied for all work processes in our organisation and we have a great procedure for strategic formulation which has been recognized by strategic planning council in USA for which we were awarded the Richard Goodman Strategic Planning Award 2008' (Code DM) → **stable formal procedure.**

'Even we have a formal procedure for strategy planning but it is usually dependent on the understanding of the person who is going to manage the process of strategy formulation and also the top manager can change this procedure' (Code DED) → **flexible formal procedure.**

Step 4: the fourth step consists of interrogating the meaning units in terms of the specific purpose of specific steps in the interviews in order to result in one answer for each of the following:

- **Strategy formulation:** rational planning or logical incrementalism?
- **Staff contribution in strategy formulation:** centralisation or decentralisation?
- **Strategy implementation:** rational planning or logical incrementalism?

Step 5: the essential themes of the entire interview are put together into a descriptive statement. This was done by comparing the results from the previous step, which indicate the organisational structures and processes, with the interviewee perception concerning strategic type (results from the direct question about strategic type in the

last step of the interviews). Results from this analysis in the light of the Miles & Snow (1978) typology were identified, as seen in Table 6.2.

Table 6.2: Organisations strategy types

	Entity Abbreviation	Organisation Strategy
1	DP	Prospector
2	DEWA	Prospector
3	DM	Defender
4	DAFZA	Prospector
5	LD	Defender
6	DED	Prospector
7	DTCM	Prospector
8	DPCFZC	Prospector
9	DCCI	Prospector
10	DHMS	Defender
11	RTA	Prospector
12	DPP	Defender
13	DMC	Defender
14	DC	Defender
15	IACAD	Prospector
16	NRA	Reactor
17	AMAF	Reactor
18	DCA	Defender

6.1.2 BOARD MEMBER QUESTIONNAIRE:

The second approach in identifying the organisation strategy types was the board member questionnaire, which was sent to between 5 and 7 board members in each organisation, depending on the size of the organisation. In total, 98 board member managers were contacted and provided with a hard copy of the questionnaire. 48 managers responded, with the desired minimum of two responses from each of the 18 organisations being achieved.

Since the board member had an informed view of the strategy implementation, it was deemed appropriate to use a more detailed approach in order to examine their perceptions. A multi-item scale questionnaire was therefore considered to be more suitable than a paragraph approach. Respondents were asked 12 questions adapted from the survey instrument reported by Andrews *et al.* (2008), which has been validated and used to assess local authorities.

The prospector strategy was assessed through four measures of innovation and market exploration. The specific measures are derived from the works of Snow & Hrebiniak (1980), and Stevens & McGowan (1983). In order to explore the defender strategy, three questions assessing whether or not the approach to service delivery was focused on core activities and achieving efficiency were included (Snow & Hrebiniak, 1980; Stevens & McGowan, 1983; Miller & Toulouse, 1986). In contrast, reactors are expected to lack in terms of a consistent strategy, and to await guidance on how to respond to environmental change. Five questions concerning the existence of definite priorities in the service which they provide, and the extent to which their behaviours were determined by external pressures were present in the questionnaire. These measures are based on prior work (Snow & Hrebiniak, 1980), taking particular care to avoid leading questions.

In order to analyse the board member questionnaire, the mean value for each strategy type was measured and the highest score indicated the organisation strategy. The results were combined with the previous results for the interviews in order to identify the organisation strategy type.

Table 6.3 shows the combined technique for the result from the board member questionnaire and interviews technique, which has been used to identify the organisation strategy: for example, department number 3 (DM) has three responses from board members, two of whom mentioned the defender type, with one mentioning the prospector type in combination with the interviewer perspective (manager for strategy unit), who mentioned the defender type. Therefore, we can confidently classify this organisation into the defender strategy type.

Table 6.3: Organisation strategy typology

	Government Departments	Questionnaire Responses			Interviews	Origination Strategy
		P	D	R		
1	DP	4	0	0	Prospector	Prospector
2	DEWA	3	0	0	Prospector	Prospector
3	DM	1	2	0	Defender	Defender
4	DAFZA	2	0	0	Prospector	Prospector
5	LD	0	2	0	Defender	Defender
6	DED	3	0	0	Prospector	Prospector
7	DTCM	2	0	0	Prospector	Prospector
8	DPCFZC	1	1	0	Prospector	Prospector
9	DCCI	2	1	0	Prospector	Prospector
10	DHMS	0	2	0	Defender	Defender
11	RTA	2	1	0	Prospector	Prospector
12	DPP	0	2	0	Defender	Defender
13	DMC	0	2	0	Defender	Defender
14	DC	1	3	0	Defender	Defender
15	IACAD	3	0	0	Prospector	Prospector

16	NRA	0	0	3	Reactor	Reactor
17	AMAF	1	0	1	Reactor	Reactor
18	DCA	0	2	0	Defender	Defender

6.1.3 FUNCTIONAL MANAGERS QUESTIONNAIRE:

The functional managers' questionnaire was sent to 683 functional managers of the eighteen organisations. It contained questions relating to the functional strategy typology with selected demographic and physiological questions related to the characteristics of the responding manager. Steps were taken in order to increase the response rate, all of which are detailed in chapter 5. A total of 294 completed responses were received from the functional managers, with an additional 131 responding to a reminder, therefore making a total of 425 usable responses. This provides a response rate of 62.2%. Details of the responses are present in Table 6.4 and Table 6.5, and Figure 6.1.

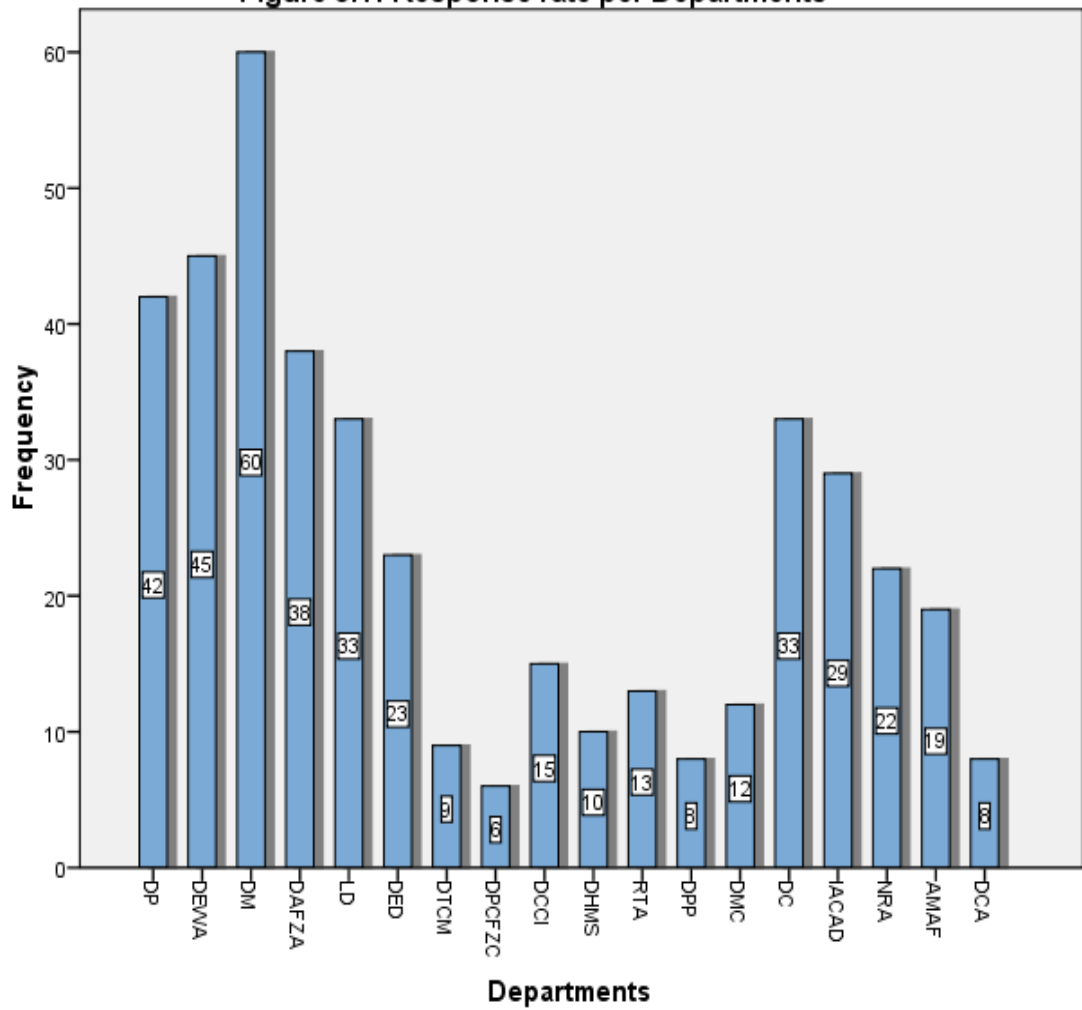
Table 6.4: Total sample respondents

	Early Response	Later Response	Total
Responding	294	131	425
Not Responding	389	258	258
Presenting	43%	19.1%	62.2%

Table 6.5: Respondents by organisation

	Government Departments	Number distributed	Total Response	Total percentage
1	DP	107	42	9.9%
2	DEWA	54	45	10.6%
3	DM	75	60	14.1%
4	DAFZA	43	38	8.9%
5	LD	40	33	7.9%
6	DED	32	23	5.4%
7	DTCM	17	9	2.1%
8	DPCFZC	22	6	1.4%
9	DCCI	20	15	3.5%
10	DHMS	31	10	2.4%
11	RTA	24	13	3.1%
12	DPP	23	8	1.9%
13	DMC	26	12	2.8%
14	DC	40	33	7.8%
15	IACAD	40	29	6.8%
16	NRA	35	22	5.2%
17	AMAF	29	19	4.5%
18	DCA	25	8	1.9%
	Total	683	425	100%

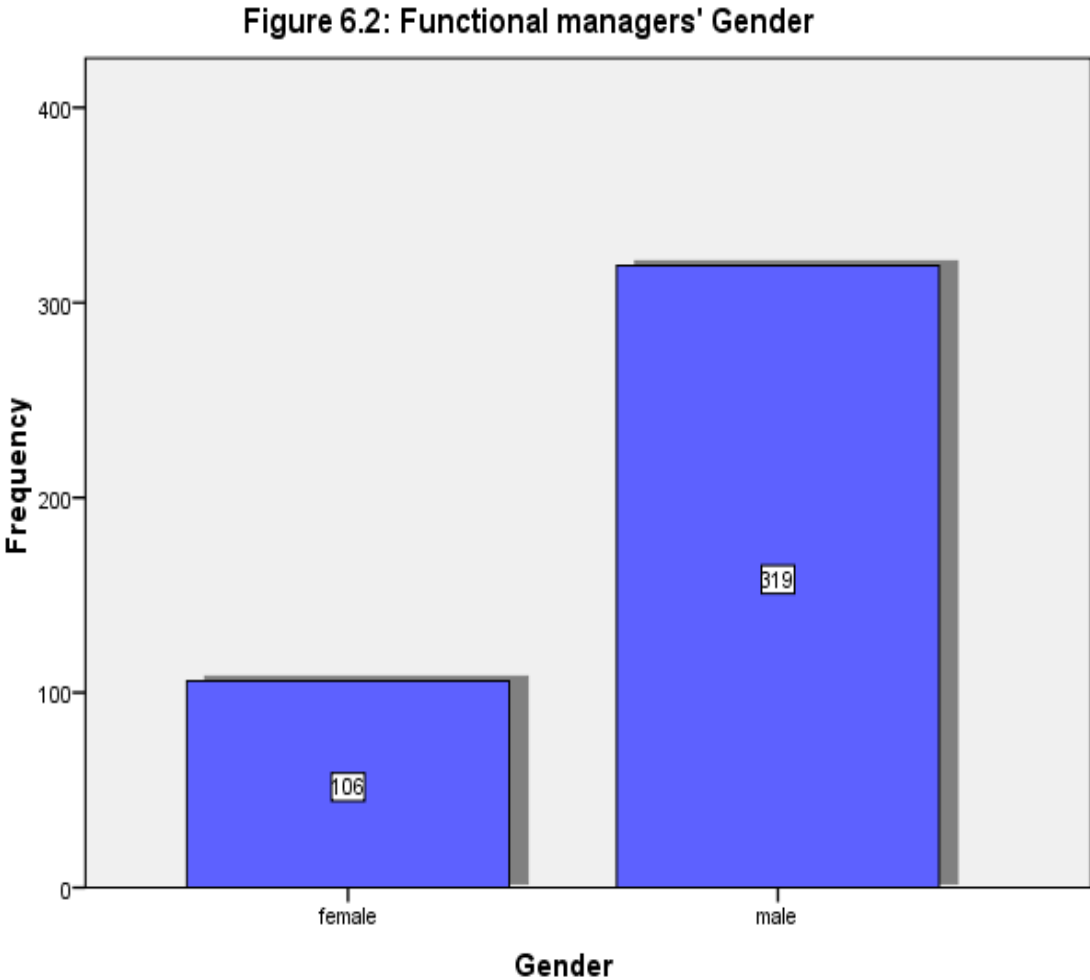
Figure 6.1: Response rate per Departments



6.1.3.1 PROFILE OF RESPONDENTS

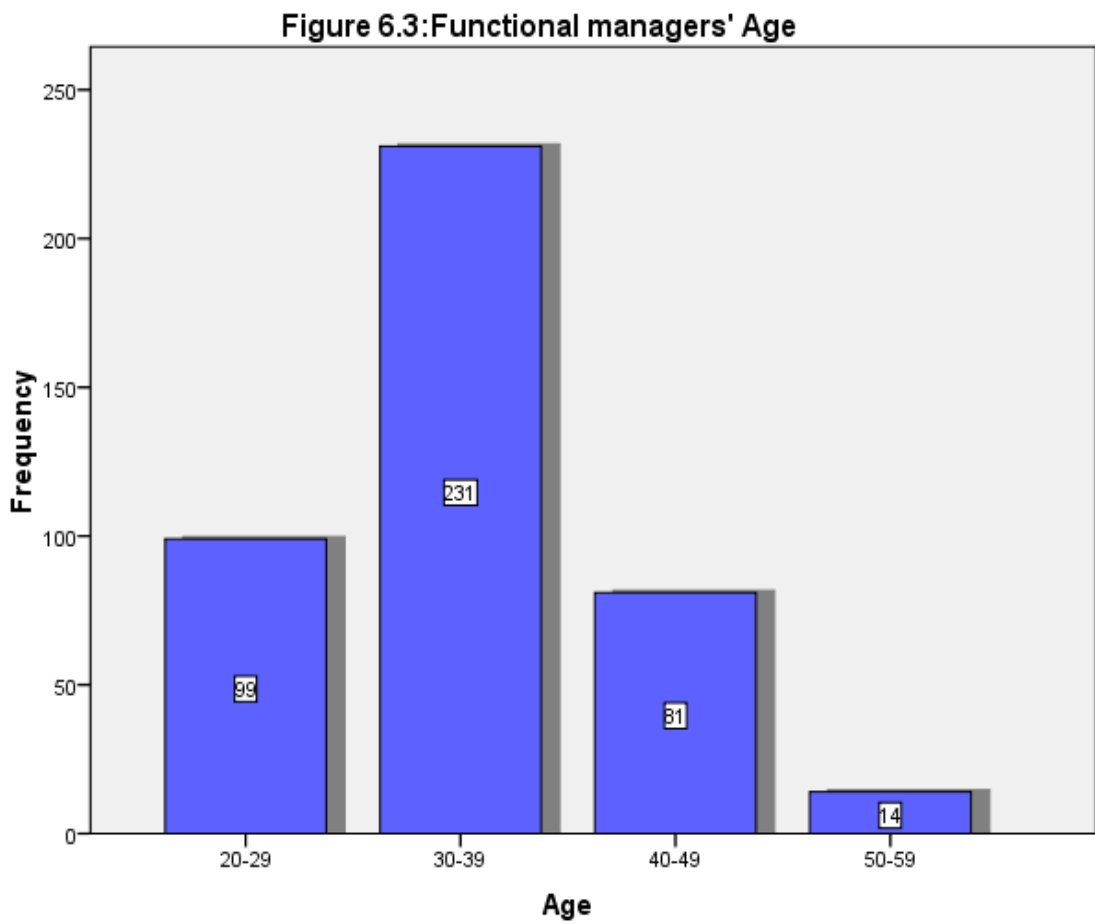
Respondents' gender

Figure 6.2 shows that the majority of the respondents—75.1%—were male respondents, with only 24.9% of respondents being female.



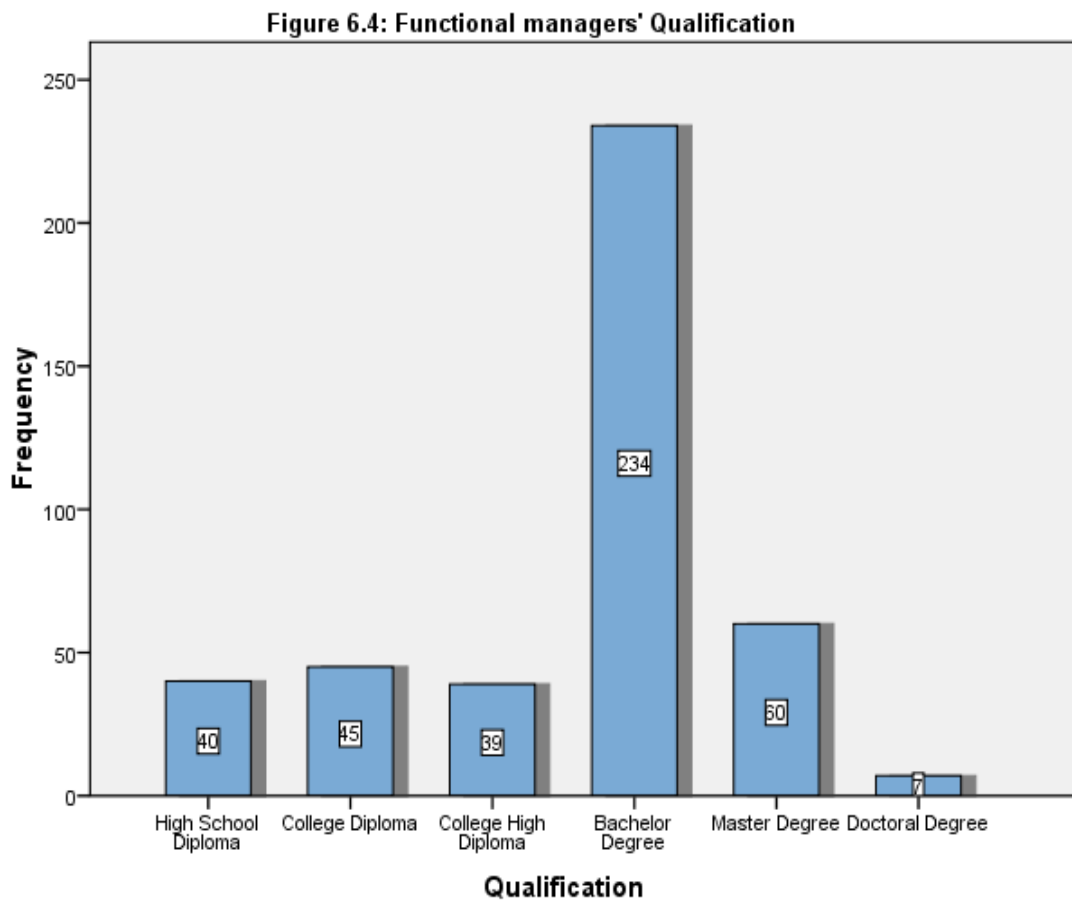
Respondents' Age

As can be seen in Figure 6.3, a large number of the respondents (54.4%) fell into the age range of 30-39 years, with the rest distributed amongst other categories (23.3% aged between 20 and 29 years; 19.1% aged between 40 and 49 years; and 3.3% aged between 50 and 59 years).



Respondents' qualifications:

Figure 6.4 shows that the majority of respondents have a first degree (55.1% have a bachelor degree; 14.1% have a master degree; and 1.6% have a doctoral degree), whereas a small percentage did not have a first degree (10.6% have a college diploma; 9.4% have a high school diploma; and 9.2% have a college high diploma).



6.2 GROUPING THE DATA

The functional managers were further classified into four groups. Firstly, the strategy alignment was emphasised by dividing the 425 responses into two groups: the alignment group, comprising all functional managers who cited their unit strategy as that also identified as the organisation strategy (292 cases); and the misalignment group, comprising the remaining responses which had a mismatch between selective functional strategy type and organisation strategy type (133 cases).

Secondly, the alignment group was further divided into three groups in accordance with the Miles & Snow (1978) strategy types. The final resulting groups are as follows (see Table 6.6).

Table 6.6: Final groups

Group	Number of cases	Percentage
Misalignment	133	31.2%
Alignment – Prospector	176	41.4%
Alignment – Defender	100	23.5%
Alignment – Rector	16	3.7%

6.3 REGRESSION TECHNIQUE

In order to examine the hypotheses, the statistical techniques will run for the two groups (prospector and defender groups); this is because all hypotheses are built on these types, which are regarded as ‘pure type’ strategies in the Miles & Snow typology, and to avoid the instability that occurs with reactor types or the misalignment group.

The hypotheses reflecting the first relationship—i.e. the relation between cretin manager characteristics and cretin functional strategy type—will be tested using the independent samples t-tests; this is considered to be appropriate as the samples are independent and sufficient in size in such a way so as to treat the sample mean values as following normal distributions (from the Central Limit theorem) in all instances. Hypotheses which reflect the second relationship—i.e. the matching of functional manager characteristics and functional strategy and its effects on the performance of the functional units—will be tested by fitting a multiple regression model to the data, and accordingly testing the significance of the relevant regression coefficients. The model was fitted using the backward elimination method (Neter *et al.*, 2006).

In order to test the hypotheses for the relationships between functional managers' characteristics and certain strategic types (H1a, H2a, H3a, H3b, H4a, H5a, and H6a), independent samples t-tests were conducted. H2 was tested using a Mann-Whitney test, as education is measured on the ordinal scale.

Furthermore, summary statistics for the managerial characteristics are presented in Table 6.7 All standard deviations for corresponding prospector and defender data for each of the variables are seen to be similar, and subsequent tests for equality of the variances confirm this. The independent samples t-tests, consequently, assume equal variances.

Table 6.7: Summary statistics

H	Characteristic	Strategy	Sample Mean	Standard Deviation
H1a	Age	Defender	35.23	6.89
		Prospector	34.58	6.76
H2a	Education	Defender	3.42	1.24
		Prospector	3.74	1.12
H3a	Organisation tenure	Defender	11.61	6.378
		Prospector	9.62	6.057
H3b	Job tenure	Defender	5.78	2.917
		Prospector	5.07	3.00
H4a	Attitude toward change	Defender	5.16	.693
		Prospector	5.33	.727
H5a	Locus of control	Defender	4.69	.512
		Prospector	5.09	.507
H6a	Cognitive style	Defender	92.80	10.08
		Prospector	95.79	9.03

[Sample size: Prospector=251; Defender=130]

The results for the t-tests for H1a, H3a, H3b, H4a, H5a, and H6a are exhibited in Table 6.8. The mean age of the functional managers from the prospector units is not significantly different to that of their counterparts in the defender units, and so we have no evidence to support H1a. However, the functional managers of the prospector units have significantly shorter mean values for organisation and job tenures compared with those of the defender units, supporting H3a and H3b. From the Mann-Whitney test, functional managers employed in prospector units have significantly higher levels of

education, on average, ($P=0.001$) than functional managers of defender units, which lends support to H2a.

The managers of the prospector functional units were found to be significantly different from the managers of the defender units in terms of mean attitude towards change, locus of control, and cognitive style—which in turn support H4a, H5a and H6a.

Table 6.8: t- statistics for independent samples tests

Characteristic	Hypothesis	t- statistic
Age	H1a	-0.887 (NS)
Organisation tenure	H3a	2.986*
Job tenure	H3b	2.229*
Attitude toward change	H4a	-2.297*
Locus of control	H5a	-7.225*
Cognitive style	H6a	-2.945*

[NS= Not significant, * \rightarrow <0.05 , ** \rightarrow $P<0.01$].

Results for the hypotheses which reflect the first relationship for the research model are summarised in Table 6.9.

Table 6.9: Summary of hypotheses result for managers' characteristics and functional strategy alignment

Hypotheses	Result
H1a Managers of prospector functional units will be, on average, younger than managers of defender functional units.	Not Supported
H2a Managers of prospector functional units will be, on average, of higher educational levels than managers of defender functional units.	Supported
H3a Functional managers of prospector units will have average organisational tenure that is shorter than that for functional managers of defender units.	Supported
H3b Functional managers of prospector units will have average job tenure that is shorter than that for functional managers of defender units.	Supported
H4a Functional managers of prospector units will be, on average, more receptive to change than functional managers of defender units.	Supported
H5a Functional managers of prospector units will be, on average, more internal locus of control than functional managers of defender units	Supported
H6a Functional managers of prospector units will be, on average, more innovative than functional managers of defender units.	Supported

The effect of the strategy type and managerial characteristic alignment on performance was tested using a multiple regression model. The form of the initial regression model employed in this thesis is:

$$Y = \beta_0 + \beta_1 x_1 + \beta_2 x_2 + \dots + \beta_k x_k + \text{errors}$$

For example, in the equation above, the dependent variable Y will be the performance of the functional unit, and the independent variables, x_i , $i=1, \dots, 6$, will be the six characteristics of the functional managers as defined earlier in Chapter 5. Subsequently, the initial regression model, based on the literature, is given by:

$$\text{Performance} = \beta_0 \text{ Age} + \beta_1 \text{ Education level} + \beta_2 \text{ Organisation tenure} + \beta_3 \text{ Job tenure} \\ + \beta_4 \text{ Attitude toward Change} + \beta_5 \text{ Locus of control} + \beta_6 \text{ KAI} + \text{errors}$$

We fit this model to the data of both the prospector and defender groups using a Backward Elimination approach, where the full model is fitted and the variable which is least significant is removed from the model (Kutner *et al.*, 2004) This process continues until the most parsimonious model is found, which has all the remaining predictor variables present, significant. This model is then checked for goodness-of-fit, and the model assumptions are validated.

Model Assumptions:

1. All observations are independent.
2. All predictors are measured without error.

3. Errors are independent, normally distributed, which a constant variance ($\varepsilon \sim N(0, \sigma^2)$)

6.3.1 PROSPECTOR GROUP MODEL:

It is essential to conduct tests for correlations amongst the predictor variables, to establish if any high correlations exist between the variables. If present, these violate independent assumptions of the regression model, and would therefore affect the statistical test for the regression coefficients (Kutner *et al.*, 2004). Table 6.10 presents the correlation matrix, and we can see that organisation experience is highly correlated to job experience (.180*), and so cannot be simultaneously in the same regression model. In addition, the locus of control is highly correlated to KAI (.296**) and, for the same reason, this could lead to problems associated with multi collinearity (Kutner *et al.*, 2004).

As a result of the above dissection, we should remain with one of each of the correlated variables. The design here is to remove organisation experience and KAI, as they are less contributed with the other variables in the model. In addition, the education level is present in the model by coupled indicated variable (pre-graduate, postgraduate), again as education is measured on the ordinal scale. Therefore, when using the Backward Elimination technique, we should not remove any of these indicated variables, when any of them is considered to be significantly contributed to the model.

Table 6.10: Correlations of variables in prospector group

	Age	Pre-graduate	Postgraduate	Organisation tenure	Job tenure	Attitude toward Change	Locus of control
Age							
Pre-graduate	.017						
Postgraduate	-.080	-.271**					
Organisation tenure	.584**	.251**	-.108				
Job tenure	.001	.208**	-.213**	.180*			
Attitude toward Change	-.002	-.203**	.085	-.014	-.172*		
Locus of control	.063	-.188*	.051	-.064	-.052	.262**	
KAI	-.040	-.348**	.089	-.203**	-.134	.103	.296**

[*→ <0.05, **→ P<0.01].

Step 1 [Full Model]

The initial full model is fitted, and the result is presented in Table 6.11. The regression equation is:

$$\text{Perform} = 2.945 - .002 \text{ Age} - .484 \text{ Pre-graduate} - .041 \text{ Postgraduate} + .017 \text{ Organisation tenure} + .260 \text{ Attitude toward Change} + .279 \text{ Locus of control}.$$

From this, we can see that Age does not make a significant contribution to the model, and so it will be removed in the next step; even the indicated variables of postgraduate do not significantly contribute to the model; however, these will not be removed because the other indicated variables (pre-graduate) are positively contributed to the model, as was previously discussed.

Table 6.11:

Predictor	β	SE	T	P
(Constant)	2.945	.512	5.753	<.0005
Age	-.002	.008	-.258	.797
Pre-graduate	-.484	.113	-4.286	<.0005
Postgraduate	-.041	.105	-.391	.696
Organisation tenure	-.017	.008	-1.973	.050
Attitude toward Change	.260	.064	4.083	<.0005
Locus of control	.279	.082	3.384	.001

Step 2 [The Final Model]

The final reduced model with Age removed—as it is non-significant—is presented in table 6.12. The regression equation is:

$$\text{Perform} = 2.893 - .480 \text{ Pre-graduate} - .039 \text{ Postgraduate} - .018 \text{ Job tenure} + .261 \text{ Attitude toward Change} + .277 \text{ Locus of control.}$$

Table 6.12:

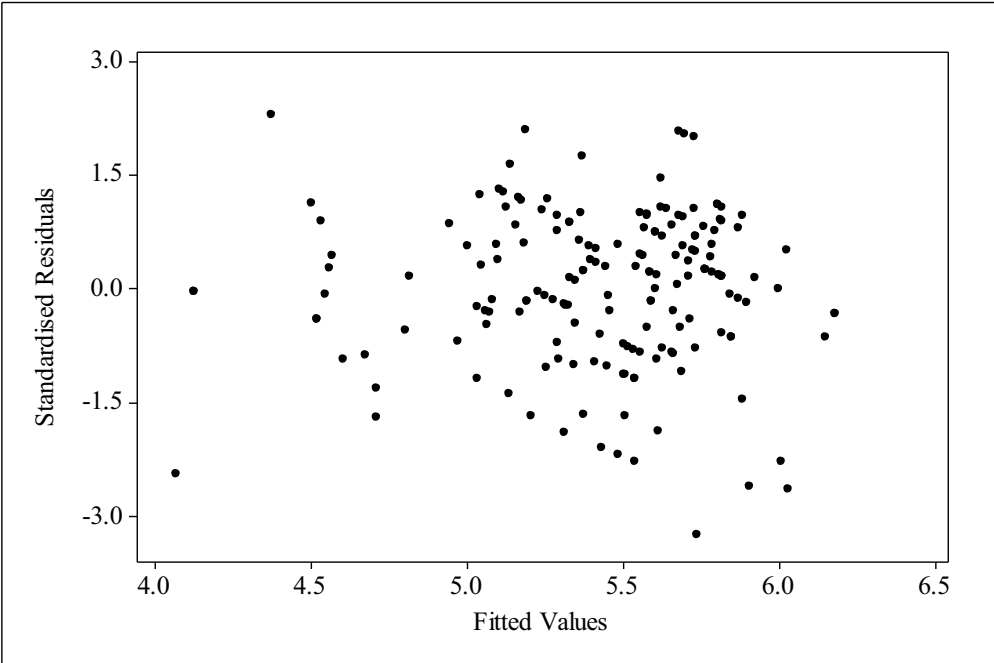
Predictor	β	SE	T	P
(Constant)	2.893	.469	6.162	<.0005
Pre-graduate	-.480	.111	-4.305	<.0005
Postgraduate	-.039	.104	-.372	.710
Job tenure	-.018	.006	-2.794	.006
Attitude toward Change	.261	.063	4.110	<.0005
Locus of control	.277	.082	3.384	.001

Table 6.13: Model Summary

R	R ²	Adjusted R ²
.601 ^a	.362	.343

In order to check that the model assumption for this regression model holds, a graph of the standardised residuals plotted against the fitted values is given in Figure 6.5. From inspection of this graph, the residual does look to be randomly plotted, thereby suggesting that the independence assumption is valid. In addition, there does not appear to be any obvious fan-in or fan-out (Kutuer *et al.*, 2004), thereby confirming the constant variance assumption. Finally, 11 observations are more than 2 standard deviation from the central zero measure, which is consistent with the normality assumption for the errors. We are therefore confident that the results model for the prospector group is valid.

Figure 6.5: Residual Analysis



6.3.2 DEFENDER GROUP MODEL

As was previously mentioned with the prospector group, the starting point will be to consider a correlation amongst the predictor variables. Table 6.14 presents the correlation matrix, and again we can see that organisation experience is highly correlated to job experience (.691**), and locus of control is also highly correlated to KAI (.422**).

Therefore, organisation experience and KAI will be removed from the model, as they are less contributed with the other variables. Education level will be present in the model by coupled indicated variables (pre-graduate and postgraduate).

Table 6.14: Correlations of variables in defender group

	Age	Pre-graduate	Postgraduate	Organisation tenure	Job tenure	Attitude toward Change	Locus of control
Age							
Pre-graduate	-.123						
Postgraduate	.120	-.299**					
Organisation tenure	.525**	-.068	.136				
Job tenure	.318**	-.028	-.037	.691**			
Attitude toward Change	-.049	.003	.069	-.262**	-.218*		
Locus of control	.117	.049	.031	-.094	-.259**	.417**	
KAI	-.025	.043	.018	-.172	-.228*	.365**	.422**

[* → <0.05, ** → P<0.01].

Step 1 [Full Model]

The initial full model is fitted and the result is presented in Table 6.15. The regression equation is:

$$\text{Perform} = 7.126 + .016 \text{ Age} - .015 \text{ Pre-graduate} - .057 \text{ Postgraduate} + .041 \text{ Job tenure} - .288 \text{ Attitude toward Change} - .316 \text{ Locus of control}.$$

From this, we can see that Age, Pre-graduate and Postgraduate do not make a significant contribution to the model. Using the rational for Backward Elimination by two indicated variables (pre-graduate, postgraduate), the most non-significant were removed.

Table 6.15:

Predictor	β	SE	t	P
(Constant)	7.126	.698	10.205	<.0005
Age	.016	.010	1.571	.120
Pre-graduate	-.015	.129	-.113	.910
Postgraduate	-.057	.205	-.280	.780
Job tenure	.041	.023	1.762	.081
Attitude toward Change	-.288	.100	-2.888	.005
Locus of control	-.316	.134	-2.361	.020

Step 2 [Education Levels removed]

The initial full model is fitted, and the results are presented in Table 6.16, and the regression equation is:

$$\text{Perform} = 7.124 + .015 \text{ Age} + .042 \text{ Job tenure} - .290 \text{ Attitude toward Change} - .315 \text{ Locus of control.}$$

From this, we can see that Age does not make a significant contribution to the model. Consequently, it was removed.

Table 6.16:

Predictor	β	SE	t	P
(Constant)	7.124	.690	10.321	<.0005
Age	.015	.010	1.581	.117
Job tenure	.042	.023	1.821	.072
Attitude toward Change	-.290	.099	-2.931	.004
Locus of control	-.315	.132	-2.387	.019

Step 3 [Final Model]

The final reduced model with Age removed—as it is non-significant—is presented in Table 6.17, and the regression equation is:

$$\text{Perform} = 7.359 + .058 \text{ Job tenure} - .293 \text{ Attitude toward Change} - .265 \text{ Locus of control}$$

Table 6.17:

Predictor	β	SE	t	P
(Constant)	7.359	.679	10.833	.000
Job tenure	.058	.021	2.773	.007
Attitude toward Change	-.293	.100	-2.946	.004
Locus of control	-.265	.129	-2.053	.043

Table 6.18: Model Summary:

R	R ²	Adjusted R ²
.528 ^a	.279	.256

In order to check that the model assumptions for this regression model hold, a graph of the standardised residuals was plotted against the fitted values; this is given in Figure 6.6. From inspection of this graph, we have evidence that the residuals fan-in (Kutner et al., 2004), demonstrating violation of the constant variance assumption (i.e. heteroscedasticity). We therefore note the final model, as it is the minimum least squares estimate, and has undertaken an additional weighted regression (Kutner et al., 2004). The approach that is advocated is to provide a minimum least squares fit to these data that weighted each of the observations such that a greater emphasis is given to observations that are close to the best fit line, with those some distance away, being penalised. Here the residuals from fitting the final model are saved, and the reciprocal of the squared values for those are subsequently used as the weighting scheme in the weighted regression (Kutner et al., 2004).

Figure 6.6: Residual Analysis

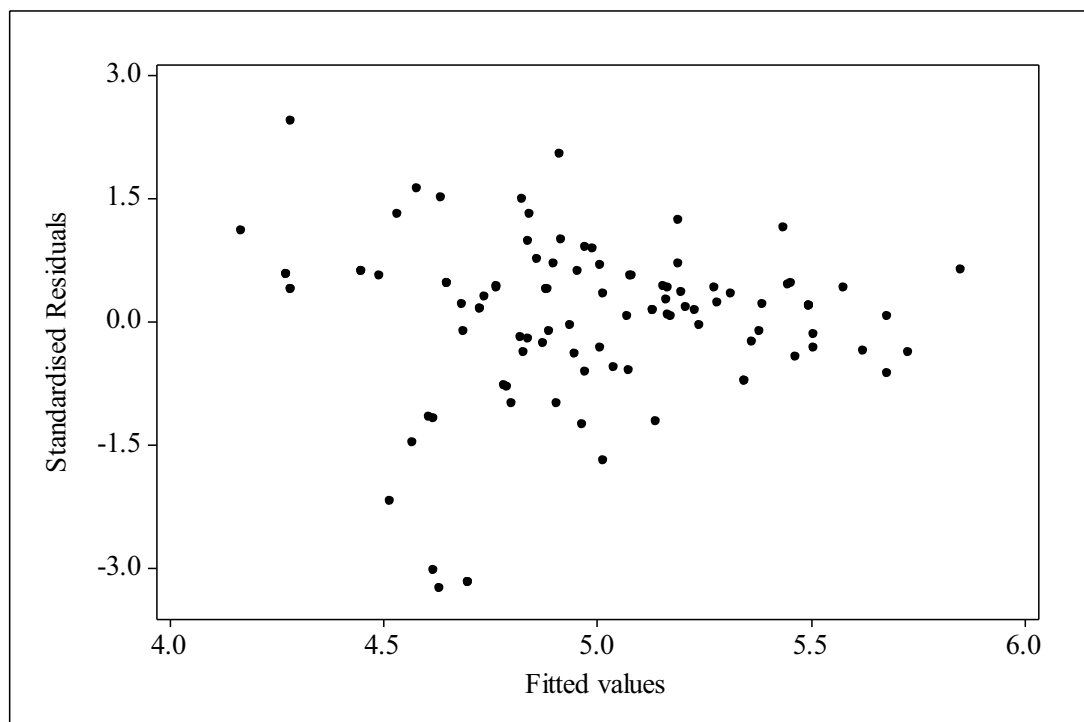


Table 6-23 summarises the findings for the second relationship in the research model. Align managerial characteristic to functional strategy type, and the effectiveness on performance of functional units.

Table 6.23: Summary of the hypotheses results of alignment of the managerial characteristic to functional strategy type, and the effectiveness of functional unit performance.

Hypotheses		
H1b	Prospector functional units will show higher performance, on average, when led by younger managers.	Not Supported
H1c	Defender functional units will show higher performance, on average, when led by older managers.	Not Supported
H2b	Prospector functional units will show higher performance, on average, when led by more educated managers.	Supported
H2c	Defender functional units will show higher performance, on average, when led by less educated managers.	Not Supported
H3c	Prospector functional units will show higher performance, on average, when led by a shorter- organisational tenured manager.	Not Supported
H3d	Prospector functional units will show higher performance, on average, when led by a shorter- job tenured manager.	Supported
H3e	Defender functional units will show higher performance, on average, when led by long- organisational tenured managers.	Not Supported
H3f	Defender functional units will show higher performance, on average, when led by long- job tenured managers.	Supported
H4b	Prospector functional units will show higher performance, on average, when led by managers who are more receptive to change.	Supported
H4c	Defender functional units will show higher performance, on average, when led by managers who are less receptive to change.	Supported
H5b	Prospector functional units will show higher performance, on average, when led by managers with an internal locus of control.	Supported
H5c	Defender functional units will show higher performance, on average, when led by managers with an external locus of control.	Supported

H6b	Prospector functional units will show higher performance, on average, when led by innovative managers.	Not Supported
H6c	Defenders functional units will show higher performance, on average, when led by adaptive managers.	Not Supported

CHAPTER 7: DISCUSSION OF RESULTS

7.1 INTRODUCTION

This chapter presents a discussion of the empirical findings reported in Chapter 6. Section 7.2 discusses the findings relating to the alignment of managers' characteristics with functional strategy. Section 7.3 reviews the findings relating to the functional unit performance, and the alignment of managers' characteristics and functional strategy.

7.2 FINDINGS FOR MANAGERS' CHARACTERISTICS AND FUNCTIONAL STRATEGY ALIGNMENT

From the literature review, it has been argued that certain managers' characteristics would align with specific functional strategies. Each manager has his/her own personal attributes and work experiences. These characteristics, over time, are reflected by the organisation because of the decisions made, actions carried out, and the implementation of strategy. In other words, it can be expected for there to be a certain relationship between specific manager characteristics, such as a higher academic qualification, and a specific strategic type, for instance, a prospector. This proposed alignment is applied to both demographic and psychological attributes. The model shown in Chapter 4 demonstrates these general relationships, whilst the hypotheses state specific expected relationships.

As previously noted, the age of managers has been found to negatively correlate with receptivity to change (Wiersema & Bantel, 1992);

innovativeness and innovation (Bantel & Jackson, 1989); willingness to take risks (Hambrick & Mason, 1984); and organisational growth (Ellis & Child, 1973). It is proposed that the prospector and defender organisations will approach strategic directions differently, and this will be reflected in the selection of their managers. Prospectors will seek younger leaders, with fresh perspectives conducive to change and innovation. Defenders will seek older leaders to ensure valued core efficiency and control competencies. Specifically, it is proposed that managers of prospector functional units will be, on average, younger than the managers of defender functional units (H1a). Essentially, the age mean for the defender group (35.23) was found to be higher than the age mean for the prospective group (34.58) in the data analysis, but the independent sample t-tests show no significant relationship; this, in turn, means that this hypothesis was not supported.

Similarly, it was argued that managers of the defender organisations would have lower educational levels than managers with prospector organisations. The argument for the education concentrated on the relationship between a higher level of education and individual perceptivity to innovative practices (Bantel & Jackson, 1989; Finkelstein & Hambrick, 1996; Kimberley & Evanisko, 1981). Innovative practices have been associated throughout the literature review with prospector strategies. Defenders do not emphasise innovative moves, and may find them to be disruptive to their primary activities, which are devoted to protecting a domain. The hypothesis tested proposed that functional managers at defender organisations would have lower educational levels than their counterparts at prospector firms (H2a). This hypothesis was supported using independent samples t-tests. The

results show that functional managers employed in prospector units have significantly higher levels of education, on average, when compared with functional managers of defender units (education level mean for prospector group 3.74 and for defender group 3.42).

I also argued that functional managers at defender organisations would have more experience with similar organisations and longer tenure with the current functional unit. In this research project, similar experience is defined as experience specifically with recent organisations and with recent functional units. Both of these arguments closely follow the theory of Miles & Snow (1978); within their work, defender organisations made changes in leadership less often and showed strong preferences to promote from within.

Hypothesis 3a and 3b dealt with greater prior experience with recent organisation and functional unit addressed the issue of tenure, and following the logic of Miles & Snow (1978) proposes that the managers at the defender unit would have longer organisation and job tenure than their counterparts at the prospector unit. The results for each were in the proposed direction and were considered to be significant (organisation tenure means for prospector group 9.62 and for defender group 11.61) (job tenure means for prospector group 5.07 and for defender group 5.78).

Overall, the results of the testing of the hypotheses relate to the demographic characteristics of education, organisation and job tenure, all of which are in line with, and supportive of, prior research (Bantel & Jackson, 1989; Chaganti & Sambharya, 1987; Kimberley & Evanisko, 1981; Miles &

Snow, 1978; Thomas *et al.*, 1991). On the other hand, the age of the functional managers shows no significant relationship with strategy type.

The rest of the hypotheses in this section relate to the psychological traits of attitude toward change, locus of control and cognitive style. I argued for a relationship between the manager's attitude towards change and his or her likelihood of following the more innovative prospector strategy (Rage & Dewar, 1973; Wilson, Ramamurthy, & Nystrom, 1999). In contrast, defenders will devote their efforts to protecting and maintaining their domain, and could feasibly find a positive attitude to change to be disruptive to core activities. The hypothesis proposed for manager attitudes toward change was supported, giving credence to the argument that managers at prospector units will be more receptive to change than managers at defender units (H4a). This hypothesis was supported in the sample result (attitude towards change mean for prospector group 5.33 and for defender group 5.16).

The literature review and arguments for this specific research propose that managers aligned with a defender strategy would have a more external locus of control compared with managers associated with prospector strategy. The theory contends that prospectors will be active in attempting to change and impact upon the environment, whilst defenders will be associated with the defence of their domain (Boone, De Brabander & Van Witteloostuijn, 1996; Hodgkinson, 1992). The empirical findings of this study support this hypothesis (H5a), thereby lending support to the argument that managers at defender units will have a more external locus of control than

managers at the prospector units (locus of control mean for prospector group 5.09 and for defender group 4.69).

It has been argued in the development of the research model for a similarity between Miles & Snow's (1978) strategic types and Kirton's (1976) Adaption Innovation theory, and the suggestion has been made that a prospector strategy may be preferred by individuals whose psychological characteristics indicate innovative behaviour. On the other hand, defender strategies seem to be most attractive to individuals who prefer an adaptive cognitive style (H6a). This hypothesis has also been supported in the results (KAI mean for prospector group 95.79 and for defender group 92.80).

The results for this first section of hypotheses dealing with the alignment of managers' characteristics and functional strategic types are quite promising. Six of the seven hypotheses were supported, whilst only one was not supported. The results reinforce the findings of prior studies (Bantel & Jackson, 1989; Chaganti & Sambharya, 1987; Hage & Dewar, 1973; Hodgkinson, 1992; Kimberley & Evanisko, 1981; Miller & Toulouse, 1986; Thomas *et al.*, 1991), and further contribute to the literature in relation to the functional strategy and the demographic and psychological attributes of the functional managers. The research responds to gaps within the public sector literature that relate to strategic approach, leadership characteristics and performance. This large-scale empirical study is a unique addition to the research of this sector. Furthermore, this research contributes

clarification to the ongoing debate regarding the importance of demographic characteristics versus psychological attributes.

The remaining hypotheses are incorporated or focused upon the additional variable of functional unit performance.

7.3 FINDINGS FOR ALIGNMENT OF MANAGERIAL CHARACTERISTICS WITH FUNCTIONAL STRATEGY AND FUNCTIONAL UNIT PERFORMANCE

The arguments relating managers' alignment and functional unit performance have a convincing theoretical basis that was reviewed in Chapter 3 (Beal & Yasai-Ardekani, 2000; Chaganti & Sambharya, 1987; Hofer, 1976; Szilagi & Schweiger, 1984; Thomas *et al*, 1991). It is argued in this research that the prospector functional unit will excel when its distinct strategy is associated with manager characteristics, such as being younger (H1b), having a higher education level (H2b), shorter organisation (H3c) and job tenure (H3d). In addition, prospector functional units should gain from an alignment in their strategy with managers who have more receptive attitude towards change (H4b), an internal (i.e. less external) locus of control (H5b), and are more innovative. (H6b). All of these characteristics have been argued for as being supportive of the prospector strategy which emphasises change, innovation, control and manipulation of the environment.

It has also been contended that the defender strategy is more appropriately aligned with managers' characteristics, such as older in age (H1c), lower levels of education (H2c), longer organisation (H3e) and job tenure (H3f),

less receptive to change (H4c), a more external locus of control (H5c), and more adaptive (H6c).

It is further argued for each of these strategies that an appropriate alignment will enhance functional unit performance: without alignment, conflicting or counter-productive activities can be undertaken, which fundamentally reduce overall efficiency and effectiveness. Using the regression occasion with the Backwards Elimination technique, result for final model for each of the two groups provided that the examination for each hypotheses in the relationship.

The overall findings for the second relationship of the research group were reasonably satisfactory: of the fourteen hypotheses, seven show empirical findings supporting the related hypothesis at a significance level of $p < .05$.

Age has been found to negatively correlate with receptivity to change, innovation and risk-taking, which was previously developed in Chapter 4 in order to hypothesise the negative relationship between manager age and the performance of prospector functional unit (H1b), and a positive relationship between age of manager and performance of defender functional unit (H2c). The results shown in Chapter 6 do not support either hypotheses (P-value for prospector group .724 and for defender group .120), which therefore advocates less importance of manager age in relation to the performance of the prospector or defender functional unit—at least for the recent research sample.

At an education level, as has been proposed earlier, there is a significant relationship between educational level of the functional managers and performance of the functional unit—in both directions, positive relationship with prospective group (H2b) and negative relationship with the defender group (H2c) —more educated managers are found in the literature to be more ‘open-minded’, receptive to new ideas and change, which matches the requirements of prospector strategy. On the other hand, less educated managers, show the opposite attitude, with less receptivity to, or rejection of, new ideas and change, which matches the requirements of the defender strategy. The results in Chapter 6 support the significance of the first relationship (P-value <.005), and do not support the second (P-value=.809), which emphasises the importance of a higher education level for prospector organisation, with the suggestion for these types of organisation to employ more educated managers for its functional unit, which can increase the chances of successful implementation of functional strategy. The negative result for the second relationship indicates that education level is not an issue for the defender organisation.

Organisation tenure has been found to not significantly relate to performance in both groups. The p-value was .547 in prospective group and .918 in the defender group, which indicates less importance of managers’ organisation tenure, in relation to the functional unit performance. On the other hand, job tenure has been found to be significantly related to performance in both groups. The p-value was .006 in the prospective group and .007 in the defender group. The lesson to be learned here is the importance of job tenure in relation to the performance of the functional unit.

Functional managers with a shorter job tenure have been found to be more successful in implementing prospector strategy, and functional managers with longer job tenure are found to be more successful in the implementation of the defender strategy: it is recommended, then, to maintain the change orientation of prospector organisation by swapping and changing the position of the functional units managers from time to time, and maintain the stability of the defender organisation by trying to stabilise the position of functional managers as much as possible.

Managers' attitudes toward change is proposed to be positively related to the performance of prospector functional unit (H4b), and negatively related to the performance of defender functional unit (H4c). The results confirm both hypotheses (H4b & H4c) with a significant p-value of $<.0005$ & $<.0005$. This confirmation promotes the importance of psychological traits of the functional manager in general, and attitude towards change in particular, which leads to the recommendation to prospector organisation to select the functional managers which naturally change orientation and promote the change within the organisation through management projects and training programmes.

Managerial locus of control has developed extensively in the literature to have a direct effect on all managers' activities within the organisation. The hypotheses have been positively developed so as to relate internal locus of control to the performance of prospective functional unit (H5b), and positively relate external locus of control to the performance of defender functional unit (H5c). The result supports the hypotheses for both groups

with a significant p-value of $<.0005$ and $.043$. Furthermore, this result promotes the principle of locus of control for future research, and leads the organisations to apply it to management projects and training programmes.

Managerial cognitive style has been noted in the literature as having a direct effect on managers' activity. Kirton's (1976) Adaption Innovation theory (KAI) advocates this thought by dividing the individuals into Adaption and Innovation types. The hypotheses developed for KAI positively relate innovative managers to the performance of prospective functional unit (H5b), and positively relate adaption managers to the performance of defender functional unit (H5c). The results show no evidence to support either hypotheses for KAI, with a significant p-value of $.113$ and $.306$.

Earlier, in Section 6.2, the results for the first section of hypotheses showed many of the anticipated relationships between functional managers' characteristics and Miles & Snow (1978) strategic types. The results of the testing of the hypotheses associated with the alignment of managers' characteristics with functional strategy and performance were, at best, satisfactory. Many managerial characteristics have shown a significant relationship with the performance of functional units; i.e. the level of education with prospector strategy, organisation tenure, attitude towards change and locus of control with both prospectors and defender strategies. This concludes the review of findings for the hypotheses which relate to the alignment of managerial characteristics with functional strategy and performance.

Table 7.1 summarises the findings for the model hypotheses for both relationships under the study and the association between managerial characteristics and the functional strategy type, and aligns the managerial characteristics to functional strategy type and the effectiveness on performance.

Table 7.1: Summary of the hypotheses results

Hypotheses		
H1a	Managers of prospector functional units will be, on average, younger than managers of defender functional units.	Not Supported
H1b	Prospector functional units will show higher performance, on average, when led by younger managers.	Not Supported
H1c	Defender functional units will show higher performance, on average, when led by older managers.	Not Supported
H2a	Managers of prospector functional units will be, on average, of higher educational levels than managers of defender functional units.	Supported
H2b	Prospector functional units will show higher performance, on average, when led by more educated managers.	Supported
H2c	Defenders functional units will show higher performance, on average, when led by less educated managers.	Not Supported
H3a	Functional managers of prospector units will have average organisational tenure that is shorter than that for functional managers of defender units.	Supported
H3b	Functional managers of prospector units will have average job tenure that is shorter than that for functional managers of defender units.	Supported
H3c	Prospector functional units will show higher performance, on average, when led by a shorter- organisational tenured manager.	Not Supported
H3d	Prospector functional units will show higher performance, on average, when led by a shorter- job tenured manager.	Supported
H3e	Defender functional units will show higher performance, on average, when led by long- organisational tenured managers.	Not Supported

H3f	Defender functional units will show higher performance, on average, when led by long- job tenured managers.	Supported
H4a	Functional managers of prospector units will be, on average, more receptive to change than those for functional managers of defender units.	Supported
H4b	Prospector functional units will show higher performance, on average, when led by managers who are more receptive to change.	Supported
H4c	Defender functional units will show higher performance, on average, when led by managers who are less receptive to change.	Supported
H5a	Functional managers of prospector units will have, on average, more internal locus of control than those for functional managers of defender units	Supported
H5b	Prospector functional units will show higher performance, on average, when led by managers with an internal locus of control.	Supported
H5c	Defender functional units will show higher performance, on average, when led by managers with an external locus of control.	Supported
H6a	Functional managers of prospector units will be, on average, more innovative than functional managers of defender units.	Supported
H6b	Prospector functional units will show higher performance, on average, when led by innovative managers.	Not Supported
H6c	Defenders functional units will show higher performance, on average, when led by adaptive managers.	Not Supported

CHAPTER 8: CONCLUSION

8.1 INTRODUCTION

The findings from this study provide evidence of relationships between the alignment of managers' characteristics with functional strategy and the effectiveness of this alignment on functional unit performance. Section 8.2 summarises the findings of this study, and the following sections discuss the implications for management practice and further research. A review of the limitations and contributions of the study complete the chapter.

8.2 SUMMARY OF THE FINDINGS

Many previous studies have established the importance of matching managerial characteristics with strategy types at both corporate and business unit levels. This study has extended prior research in the field by examining the importance of this matching at the functional level. Our findings indicate that functional units with dissimilar strategies are led by managers with dissimilar attributes. Furthermore, it suggests a positive relationship between the alignment of the managerial characteristics with strategy and performance of the functional unit. This study thus supports the applicability of the Upper Echelon theory at the functional level. In addition, it emphasises the role of the functional managers in strategy implementation.

The findings suggest that specific types of managerial characteristics are critical to the implementation of each strategic type. It places emphasis on

the importance of the selection of the functional manager whose characteristics have alignment with the required strategy orientation in order to target the best performance for the functional unit. Thus, organisations should select their functional managers depending upon their strategic orientation and the best fit with managerial characteristics. For example, in this study, the prospector functional units are found to perform better when led by managers with higher educational, shorter job tenures, more positive attitude towards change and an internal locus of control; the defender functional units have also been found to be best suited to managers who have higher job tenures, less flexible attitude towards change and an external locus of control.

8.3 IMPLICATIONS FOR MANAGEMENT PRACTICE

Some implications for management appear to be the same for both, the private or public environments. The research model was developed, based on research on the private sector, the results from this study show its applicability to the public sector. Various functional strategies are seen as being more closely related to specific identifiable managerial characteristics. This concept of 'fit' between managers' characteristics and functional strategy has ramifications for decision-making regarding work allocation, hiring and promotions. A proper fit helps to assure consistency in the strategic approach for the organisation and leads, on average, to increased performance.

Because of the consistency of the findings for the public sector in Dubai, it is posited that the model has external validity. Consequently, the following

observations and recommendations for the Dubai Government, could also be applied to other public sectors, the study:

1. Confirms the applicability of Miles and Snow's strategy to public sector organisations.
2. Emphasise the role of functional managers in strategy implementation and the need to support them to achieve successful implementation.
3. Both strategic types (prospector and defender) can be successfully implemented in public sector organisations; the selection should be based on the nature of the organisation and requirements of the service provided.
4. Government organisations should emphasise the importance of aligning managerial characteristics with strategy, when recruiting, promotion and training.
5. Prospector government organisations should encourage the practice of innovation and change within the organisation.
6. Defender organisations should encourage an appreciation of effectiveness and stability within the organisation.
7. Prospector government organisations have to promote education by recruiting highly educated managers and encourage education within the organisation.
8. Prospector government organisations should maintain the change orientation by swapping and changing the position of the functional unit managers as required.

9. Defender government organisations should maintain stability by stabilising the position of functional managers as much as is possible.
10. Prospector government organisations should select functional managers who are naturally change-oriented and promote change within the organisation through management projects and training programmes.
11. Prospector government organisations should promote the principle of internal locus of control, and apply it on training programmes.
12. Defender government organisations should promote the principle of external locus of control, and apply it on training programmes.

8.4 IMPLICATIONS FOR FURTHER RESEARCH

There are several findings in this study which raise questions that could be addressed with further study. Unsupported findings in the alignment of managerial characteristics and functional strategy relate to managerial age, organisation tenure, and cognitive style, all of which offer an opportunity to further explore why this was demonstrated here and whether or not it would occur in another environment. Supported findings, on the other hand, need to be tested in another public sector organisation and perhaps another region for any findings to be generalisable.

Other variables could have been selected and included in the model and tested. Most recently, the management field has seen increased interest and research regarding other managerial characteristics. Self-efficacy is an excellent example of an attribute that shows particular promise of being a

meaningful attribute and important component of successful strategic improvement. The inclusion of this and other managerial characteristics in this research may lead to a refinement of the model and increase its predictive power.

8.5 LIMITATIONS OF THE STUDY

This research project was designed in order to eliminate or minimise as many weaknesses as possible. However, a few limitations still must be noted.

8.5.1 IMPORTANCE OF THE POPULATION AND GENERALISABILITY OF RESULTS

This study was limited to Dubai government organisations; this allowed for research to specifically emphasise the public sector environment. The organisations of the Dubai government were an important population to be studied; they are homogeneous in purpose and vary in size. The emphasis of their work and service providing is on making their respective communities better. Some caution should be exercised in generalising these results in other, dissimilar, public sector environments.

8.5.2 MEASUREMENT OF PERFORMANCE

One of the major difficulties for this research was to provide the most suitable performance measurement for functional units. Performance, in general, and particularly within the public sector environment, is difficult to define (Drucker, 1990; Fahey & Christensen, 1986). In addition, there is the

need to measure the performance of each functional unit from the population, which adds further difficulty. Much effort has been invested in searching the literature for relevant best performance measurements for this research; the result was always for the organisation performance which is out of the scope for this research. Performance within this research was measured by the Core Service Performance measure (CSP), a measure that has been successfully used in English local government (Andrews *et al.*, 2007). It covers six dimensions of performance—quantity of outputs, quality of outputs, efficiency, formal effectiveness, value for money, and consumer satisfaction, all of which embrace the main areas of local government activity. Besides the selected performance measurement in this research, other performance variables could possibly produce different results.

8.5.3 SELECTION OF MANAGERIAL CHARACTERISTICS AND ATTRIBUTES

It could also be speculated that other managerial attributes or characteristics might be relevant to perceived successful performance in the public sector and other environments. This research was unique in that it combined both demographic and psychological managerial attributes in the model tested. The psychological attributes included were: attitude towards change, locus of control, and cognitive style. Additional important psychological factors exist which were not included; these factors include values, and other personality factors of managers. Examples of personality

factors include self-efficacy, risk taking, tolerance for ambiguity, self-monitoring and the ambition to achieve (Finkelstein & Hambrick, 1996).

8.6 CONTRIBUTIONS OF THIS RESEARCH

A review of the literature included in Chapter 3 reveals an increasing interest in understanding factors that are believed to contribute to superior performance. Optimum performance and overall effectiveness have been associated with the concept of 'fit' between an organisation and its environment (Hofer & Schendel, 1978). Miles and Snow (1978) argue that consistency in strategic approach contributes to the ability to survive and prosper. Other researchers, on the other hand, view the organisation as a reflection of its top managers (Hambrick & Mason, 1984).

The purpose of this research, as initially explained in Chapter 1, is two-fold. Organisation and strategy research were to be extended by the development and testing of a model that combines demographic and psychological managerial characteristics, functional strategy and performance. A model representing these variables was introduced in Chapter 4, complete with associated hypotheses outlined in Chapter 5.

In addition, research needs within the public sector environment were to be specifically addressed. The population of Dubai Government organisations was specifically selected in order to address the related needs of the public sector environment. The Dubai Government is a great example for the public sector, as it experiences a lot of challenges affecting the

opportunities available to most public-sector organisations; it is certainly representative of the public sector.

The research sought clarification of the impact of functional managers, and a consistent strategic approach on performance. The basic questions examined included: Are certain managerial characteristics or attributes associated with specific functional strategy types? Does the alignment of appropriate managerial characteristics, in conjunction with functional strategic type, improve performance?

A number of contributions can be attributed to this research project. Those identified in this chapter emphasise the extensions to existing literature or research, which specifically incorporate the public sector environment and which address identified gaps in both the organisation and the strategy literature.

8.6.1 EXTENSION OF EXISTING RESEARCH REGARDING MANAGERIAL CHARACTERISTICS

This project extended existing research through the development and testing of a model that addressed important questions which advance the understanding of several issues relating to managerial characteristics, functional strategy and performance. The managerial characteristics included in the study encompass the demographic and psychological. The study is also important to this research area because a large number of managers actually provided psychological information, which is often difficult to obtain from middle management.

The research also contributes to the literature by showing that psychological measures can be connected to strategy. This study is also unique in that the relationships between functional strategy and management characteristics have been drawn from managers who have provided psychological data.

8.6.2 EXTENSION OF EXISTING RESEARCH REGARDING THE MILES AND SNOW TYPOLOGY

The research provides another verification of the Miles and Snow (1978) typology. Specifically, the project uses the self-typing and investigator inference methods in an environment other than that which has been utilised in prior research. The research also combines managerial characteristics and the Miles and Snow typology with performance measures. This concept of matching is important, yet limited research has been undertaken on this alignment. The model is unique also in that it combines both demographic and psychological attributes of managers and analyses these two types of managerial characteristics with functional strategic types in relation to performance.

8.6.3 EXTENSION OF EXISTING RESEARCH IN THE PUBLIC SECTOR ENVIRONMENT

One of the most important contributions of this work relates to the population studied. Specifically, by design, the research project is associated with the public sector environment. This addresses an identified gap within the literature. The public sector environment is a rapidly growing environment, which calls for more substantial research to be developed in

order to address it (Roulla & Liddle, 2007). The specific target population utilised, as noted earlier, is of significance in the public sector.

8.6.4 EXTENSION OF EXISTING RESEARCH REGARDING MIDDLE MANAGEMENT

The research also contributes to the middle management literature by studying functional manager characteristics and their roles in terms of strategy implementation. Notably, little research has been reported that deals with functional managers and functional strategy. Consequently, this study considers the shortage of research in this area by studying one of the important aspects which can affect the implementation of the functional strategy in the public sector.

8.6.5 LARGE SCALE RESEARCH WITH A HIGH RESPONSE RATE

The project contributes to prior research by its design in being a large-scale empirical study addressing a number of relationships between variables not previously studied. A high response rate (62.2% of the participants contacted) was achieved. The positive response and indicated interest from the Dubai government and functional managers was greatly appreciated. Their responses have been essential to the success of this research. Multiple respondents from each organisation, representing the board members and functional managers, reduced the usual common method problems associated with a low response rate. Because of the large and sufficient response rate, it was accordingly able to test: 1) relationship of managerial characteristics and functional strategic types, and 2) the

relationship of an alignment of managerial characteristics with a consistent functional strategic approach and performance. The reported results affirmed the theory and supported hypotheses in both areas of the study.

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APPENDIX 1: LIST OF PUBLICATIONS

- Sebaa, A., Wallace, J. and Hussain, Z. (2008). An Investigation in the Importance of Matching Leadership Characteristics to Functional Strategy for Maximising Performance in Dubai Public Sector, 4th Annual Scottish Doctoral Management Conference, University of St Andrews, Fife. Scotland, July, (**Awarded 'Best track paper' prize for Strategy Track**).
- Sebaa, A., Wallace, J. and Cornelius, N. (2009). Alignment of Strategy-Managerial Characteristics and Performance at Functional Level in Dubai Local Government, Book Chapter, Nov, Springer-Verlag, New York.
- Sebaa, A., Wallace, J. and Cornelius, N. (2009). Managerial Characteristics, Strategy and Performance in Local Government. *Measuring Business Excellence*, 2009, vol. 13, no 4, pp 12-21.



**APPENDIX 2: OFFICIAL SUPPORT LETTER FROM SENIOR
MANAGEMENT OF DUBAI'S EXECUTIVE COUNCIL**

 <p>حكومة دبي GOVERNMENT OF DUBAI</p>	 <p>المجلس التنفيذي THE EXECUTIVE COUNCIL</p>
التاريخ : 2009/1/07	
السادة مدراء الإدارات الفرعية في حكومة دبي المحترمين	
تحية طيبة وبعد،،،	
<p>يقوم الباحث علي أحمد سباع بإجراء دراسة تتناول القيادة الوسطى واستراتيجيات الدوائر المحلية في حكومة دبي، فإننا نرجو منكم التعاون مع الباحث بتوفير البيانات المطلوبة لدراسته وفق النظم المعموله لديكم .</p>	
وتفضلوا بقبول فائق الإحترام والتقدير،،،	
 <p>سناء محمد سهيل مساعد الأمين العام لشؤون المجلس</p>	
<small>ص ب ٧٢٢٢٣، دبي، الإمارات العربية المتحدة، هاتف: ٣٣٠ ٢٩٩٩، فاكس: ٣٣٠ ٢٩٩٩، ٤ ٣٣٠ 2999، ٤ 330 2111، دبي، الإمارات العربية المتحدة، هاتف: ٣٣٠ ٢٩٩٩، فاكس: ٣٣٠ ٢٩٩٩، ٤ ٣٣٠ 2999، ٤ 330 2111، PO. Box: 72233, Dubai, United Arab Emirates, Tel: +971 4 330 2111, Fax: +971 4 330 2999</small>	

**APPENDIX 3: TRANSLATION OF SUPPORT LETTER FROM SENIOR
MANAGEMENT OF DUBAI'S EXECUTIVE COUNCIL:**

**DUBAI GOVERNMENT
COUNCIL**

THE EXECUTIVE

Dear Functional managers in Dubai Government

Ali Sebaa is involved in an important study of middle management and strategies in Dubai Government. Consequently, we appreciate your cooperation with the researcher by support him with needed information and answering the survey item.

Sana Mohamed

Assistant of general manager

APPENDIX 4: FUNCTIONAL MANAGER'S QUESTIONNAIRE:



Bradford University School of Management
Emm Lane, Bradford, BD9 4JL, UK
Direct Line: +44 (0)1274 234423

A SURVEY OF ORGANISATIONAL STRATEGY AND LEADERSHIP CHARACTERISTICS IN PUBLIC SECTOR

Dear Sir,

We are a team of researchers at the University of Bradford England conducting a survey on Organisation strategy and leadership characteristics in public sector. The purpose is to **investigate the importance of matching leadership characteristics to functional strategy for maximising performance in the Dubai government**. The finding of this research will be useful in leadership development programmer and for recruitment and selection of leaders which serve the successful strategy implementation. We need your valuable cooperation for this purpose through completing this questionnaire. We guarantee that all responses will be treated in the strictest confidence.

Please read the questions carefully and answer all items in this questionnaire. Where appropriate, tick in the box or on the scale provided.

Regards

Ali Sebaa

Research Team
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SECTION 1: INFORMATION ABOUT YOU AND YOUR ORGANISATION

We need a few pieces of information about you and your organisation. This information is critical to this research project. Your participation is important.

1. **Your Name:** [redacted]

2. **Your organisation:** [redacted]

3. **Your Age :** [redacted]

4. **Your Gender :** Male Female

5. **Please indicate the highest level of education attained by you (tick one).**

<input type="checkbox"/> High School Diploma	<input type="checkbox"/> Bachelor degree
<input type="checkbox"/> College Diploma	<input type="checkbox"/> Master degree
<input type="checkbox"/> College High Diploma	<input type="checkbox"/> Doctoral degree
<input type="checkbox"/> Any other, please specify: [redacted]	

6. **Your work experience:**

Please indicate the number of years of work experience for each of the following categories.

Years of experience within the private sector environment	[redacted]
Years of experience with recent local department	[redacted]
Years of experience as a manager of recent department	[redacted]
Total years experience	[redacted]

SECTION 2: ABOUT YOUR STRATEGY

The following three paragraphs describe different strategies. Your organisation and your functional unit may have some attributes of all three. Please consider your organisation as a whole and your functional unit, and note that none of the types listed below is inherently 'good' or 'bad'. Please specify by place the number of strategy type in the boxes.

	Number
Your Organisation Strategy Type	
Your functional unit Strategy Type	

Type 1 This type of organisation/ functional unit attempts to locate and maintain a secure niche by offering a relatively stable set of services to member agencies and the community. The organisation/ functional unit tends to offer a more limited range of services and it tries to offer higher quality, superior service, lower administrative costs, and so forth. Often this type of organisation/ functional unit is not at the forefront of developments - it tends to ignore public sector changes that have no direct influence on current areas of operation and concentrates instead on doing the best job possible in a limited area.

Type 2 This type of organisation/ functional unit typically operates within a broad service domain that undergoes periodic redefinition. The organisation/ functional unit values being 'first in' with new services for the member agencies and the community even if not all of the efforts prove to be highly successful. The organisation/ functional unit responds rapidly to early signals concerning areas of opportunity, and these responses often lead to a new round of actions. However, this type of organisation/ functional unit may not maintain strength in all areas it enters.

Type 3 This type of organisation/ functional unit has a continually changing orientation in how it serves member agencies and the community. The organisation/Department is usually not as aggressive in maintaining established services, nor is it willing to take as many risks. Rather, the organisation/ functional unit responds in those areas where it is forced to by pressures in community and nonprofit environment

SECTION 3: FUNCTIONAL MANAGER CHARACTERISTICS

The following section includes statement that relate to your local department. Please indicate the extent to which you agree with each of the following statements by circling the appropriate response.

	Reasons	Rating						
		Strongly Disagree	Disagree	Moderately Disagree	Neutral	Moderately Agree	Agree	Strongly Agree
		1	2	3	4	5	6	7
1	There is very little my local department can do in order to change the 'rules' in the public sector and the community.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2	Many of the problems experienced by public sector can be avoided through careful planning and analysis.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3	To a great extent the services environment in which my local department operates is shaped by forces beyond its control.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4	Becoming a successful local department is a matter of creating opportunities, luck has little or nothing to do with it.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5	There is little point in the majority of local department taking an active interest in the wider concerns of the public sector because only the larger more powerful local department have any real influence.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6	It is not always wise to make strategic plans far ahead because many things may turn out to be a matter of good or bad fortune anyhow	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7	My local departments can pretty much accomplish whatever it sets out to achieve.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
8	Most of local departments can have an influence in developing the services market.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
9	As regards to local departments in providing the services, most departments are the victims of forces they cannot control.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
10	There is little point in engaging in detailed strategic analyses and planning because often events occur that my local department cannot control.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
11	Usually local departments fail because they have not taken advantage of their opportunities	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
12	My organisation is able to influence the basis upon which it competes with other organisations.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
13	Organisations rarely experiencing strategic problems are just lucky.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
14	There is a direct connection between the interest you	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

4	take in other public sector organisations and the success of your own organisation.							
1 5	My local departments department has a direct role in shaping the environment in which it operates.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1 6	The opportunities for my local departments are largely predetermined by factors beyond my department control.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

In this next section you will find a number of statements which relate to change. Please read each carefully and indicate your level of agreement with each statement using the following scale.

	Reasons	Rating						
		Strongly Disagree	Disagree	Moderately Disagree	Neutral	Moderately Agree	Agree	Strongly Agree
		1	2	3	4	5	6	7
1	There is really something refreshing about enthusiasm for change.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2	If I were to follow my deep convictions, I would devote more time to change movements.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3	The current situation in the community calls for change; we should do something now (we must respond at once)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4	If you want to get anywhere, it's the policy of the system as a whole that needs to be changed, not just the behaviour of isolated individuals. (Item eliminated in reliability analyses)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5	Any organizational structure becomes a deadening weight in time and needs to be revitalized.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

SECTION 4: ABOUT PERFORMANCE

We would like you to think about the performance of your unit department relative to other unit departments in your organisation, Please indicate the extent to which you agree that your unit department performs in comparison others in relation to:

	Reasons	Rating						
		Very Poor	Poor	Moderately Poor	Good	Moderately good	Very good	Excellent
		1	2	3	4	5	6	7
1	Quality of outputs (e.g. how reliably your services are delivered).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2	Quantity of outputs (e.g. the volume of service delivery).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3	Efficiency (e.g. cost per unit of service delivery)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4	Effectiveness (e.g. whether your objectives were being achieved)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5	Value for Money (cost-effectiveness).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6	Consumer satisfaction	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7	Equity (e.g. how fairly your services are distributed amongst citizens)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
8	Staff satisfaction	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
9	Promoting the social, economic and environmental well-being of the area	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
10	Overall, to what extent would you agree that your service is performing well:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

COMMENTS

If there are any issues you wish to raise please provide brief comments below:

THANK YOU FOR YOUR TIME, VALUABLE INPUT AND COOPERATION

APPENDIX 5: BOARD MEMBER QUESTIONNAIRE:



Bradford University School of Management
Emm Lane, Bradford, BD9 4JL, UK
Direct Line: +44 (0)1274 234423

**A SURVEY OF ORGANISATIONAL STRATEGY AND LEADERSHIP
CHARACTERISTICS IN PUBLIC SECTOR**

Dear Sir,

We are a team of researchers at the University of Bradford England conducting a survey on Organisation strategy and leadership characteristics in public sector. The purpose is to **investigate the importance of matching leadership characteristics to functional strategy for maximising performance in the Dubai government.** The finding of this research will be useful in leadership development programmer and for recruitment and selection of leaders which serve the successful strategy implementation. We need your valuable cooperation for this purpose through completing this questionnaire. We guarantee that all responses will be treated in the strictest confidence.

Please read the questions carefully and answer all items in this questionnaire. Where appropriate, tick in the box or on the scale provided.

Regards

Ali Sebaa

Research Team
Ali Sebaa
Email: aasabaa@bradford.ac.uk
Dr. J Wallace
Email: J.Wallace1@Bradford.ac.uk
Prof. N Cornelius
Email: n.cornelius@Bradford.ac.uk

SECTION 1: INFORMATION ABOUT YOU AND YOUR ORGANISATION

We need a few pieces of information about you and your organisation. This information is critical to this research project. Your participation is important.

- **Your Name:** [REDACTED]
- **Your organisation:** [REDACTED]
- **Your Age :** [REDACTED]
- **Your Gender :** Male Female

Please indicate the highest level of education attained by you (tick one).

<input type="checkbox"/> High School Diploma	<input type="checkbox"/> Bachelor degree
<input type="checkbox"/> College Diploma	<input type="checkbox"/> Master degree
<input type="checkbox"/> College High Diploma	<input type="checkbox"/> Doctoral degree
<input type="checkbox"/> Any other, please specify: [REDACTED]	

SECTION 2: ABOUT YOUR STRATEGY

The following sets of questions ask you to think about what, in general terms your local department is like. Please indicate the extent to which you agree with the following statements about your department.

	Reasons	Rating						
		Strongly Disagree	Disagree	Moderately Disagree	Neutral	Moderately Agree	Agree	Strongly Agree
		1	2	3	4	5	6	7
1	We continually redefine our service priorities	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2	We seek to be first to identify new modes of delivery	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3	Searching for new opportunities is a major part of our overall strategy	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4	We often change our focus to new areas of service provision	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5	We seek to maintain stable service priorities	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6	The service emphasizes efficiency of provision	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7	We focus on our core activities	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
8	We have no definite service priorities	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
9	We change provision only when under pressure from external agencies	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
10	We give little attention to new opportunities for service delivery	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
11	The service explores new opportunities only when under pressure from external agencies	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
12	We have no consistent response to external pressure	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
13	Strategy for our service is usually made by the head of service	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
14	Most staff have input into decisions that directly affect them	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
15	There is no internal pressure to create or develop strategy	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

	Reasons	Rating						
		Strongly Disagree	Disagree	Moderately Disagree	Neutral	Moderately Agree	Agree	Strongly Agree
		1	2	3	4	5	6	7
16	Strategy making is a formal procedure in our service	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
17	Strategy is based on formal analysis of the service's needs	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
18	We assess alternative strategies	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
19	We follow precise procedures to achieve targets	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
20	Targets in the service are matched to specifically identified citizen needs	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
21	Strategy is made on an on-going basis	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
22	Strategy develops through negotiation with external stakeholders (e.g. voluntary/ private sector groups)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
23	There is no discernible strategy process	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
24	We use a project/business plan to implement strategies	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
25	When implementing strategies we have clearly defined tasks with targets	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
26	When implementing strategies we regularly review progress against targets	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
27	We implement strategies by piloting them initially and then implementing them in full	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
28	When implementing strategies we often refine and amend them as we go along	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
29	We improve the implementation of our strategies by getting all of the affected groups involved in their development	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
30	There is no discernible approach to implementing strategies in our service area	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

SECTION 3: ABOUT PERFORMANCE

We would like you to think about the performance of your organisation relative to other organisation in Dubai Government, Please indicate the extent to which you agree that your unit department performs in comparison others in relation to:

	Reasons	Rating						
		Very Poor	Poor	Moderately Poor	Good	Moderately good	Very good	Excellent
		1	2	3	4	5	6	7
1	Quality of outputs (e.g. how reliably your services are delivered).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2	Quantity of outputs (e.g. the volume of service delivery).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3	Efficiency (e.g. cost per unit of service delivery)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4	Effectiveness (e.g. whether your objectives were being achieved)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5	Value for Money (cost-effectiveness).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6	Consumer satisfaction	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7	Equity (e.g. how fairly your services are distributed amongst citizens)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
8	Staff satisfaction	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
9	Promoting the social, economic and environmental well-being of the area	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
10	Overall, to what extent would you agree that your service is performing well:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

COMMENTS

If there are any issues you wish to raise please provide brief comments below:

THANK YOU FOR YOUR TIME, VALUABLE INPUT AND COOPERATION

APPENDIX 6: KAI RESPONSE SHEET:

<p>Respondent Details</p> <p>Date _____</p> <p>Name _____</p> <p>Age _____ Sex _____</p> <p>Occupation/Title _____</p> <p>Department _____</p> <p>Educational Status _____</p> <p>Other _____</p>	<p style="font-size: 2em; font-weight: bold; text-align: center;">KAI RESPONSE SHEET</p> <p>IMPORTANT</p> <ul style="list-style-type: none"> ● Complete 'Respondent Details' ● Answer all questions ● Use ball point pen and press hard <p>Guidance Notes</p> <p>We all find it necessary to present a particular image of ourselves consistently over a long period. In some cases this proves easy as we are like this; sometimes it is very difficult as we are not like this at all.</p> <p>For instance, some of us are early risers. It is easy for such people to present the image of good timekeepers at work. So if you are an early riser and were asked how easy or hard it is for you to present an image at work of a good</p>	<p>timekeeper you would put a clear cross on the scale below, on or near 'Very Easy'.</p> <p style="text-align: center;"> Very Hard Hard Easy Very Easy </p> <p style="text-align: center;"> X </p> <p>If you are the extreme other sort you would find being on time every morning for a long period difficult, and you may well put a cross on the scale at the 'Very Hard' end.</p> <p>Please indicate the degree of difficulty (or ease) that would be required for you to maintain the image, consistently for a long time, that is asked of you by each item below.</p> <p>You will find some images easy to present, and some hard; but there are no right or wrong responses.</p>
<p>How easy or difficult do you find it to present yourself, consistently, over a long period as:</p>		
	Very Hard Hard Easy Very Easy	
1) A PERSON WHO IS PATIENT.	
2) A PERSON WHO CONFORMS.	
3) A PERSON WHO WHEN STUCK WILL ALWAYS THINK OF SOMETHING.	
4) A PERSON WHO ENJOYS THE DETAILED WORK.	
5) A PERSON WHO WOULD SOONER CREATE SOMETHING THAN IMPROVE IT.	
6) A PERSON WHO IS PRUDENT WHEN DEALING WITH AUTHORITY OR GENERAL OPINION.	
7) A PERSON WHO NEVER ACTS WITHOUT PROPER AUTHORITY.	
8) A PERSON WHO NEVER SEEKS TO BEND (MUCH LESS BREAK) THE RULES.	
9) A PERSON WHO LIKES BOSSES AND WORK PATTERNS WHICH ARE CONSISTENT.	
10) A PERSON WHO HOLDS BACK IDEAS UNTIL THEY ARE OBVIOUSLY NEEDED.	
11) A PERSON WHO HAS FRESH PERSPECTIVES ON OLD PROBLEMS.	
12) A PERSON WHO LIKES TO VARY SET ROUTINES AT A MOMENT'S NOTICE.	
13) A PERSON WHO PREFERS CHANGES TO OCCUR GRADUALLY.	
14) A PERSON WHO IS THOROUGH.	
15) A PERSON WHO IS A STEADY PLODDER.	
16) A PERSON WHO COPEs WITH SEVERAL NEW IDEAS AND PROBLEMS AT THE SAME TIME.	
17) A PERSON WHO IS CONSISTENT.	
18) A PERSON WHO IS ABLE TO STAND OUT IN DISAGREEMENT ALONE AGAINST A GROUP OF EQUALS AND SENIORS.	
19) A PERSON WHO IS STIMULATING.	
20) A PERSON WHO READILY AGREES WITH THE TEAM AT WORK.	
21) A PERSON WHO HAS ORIGINAL IDEAS.	
22) A PERSON WHO MASTERS ALL DETAILS PAINSTAKINGLY.	
23) A PERSON WHO PROLIFERATES IDEAS.	
24) A PERSON WHO PREFERS TO WORK ON ONE PROBLEM AT A TIME.	
25) A PERSON WHO IS METHODOICAL AND SYSTEMATIC.	
26) A PERSON WHO OFTEN RISKS DOING THINGS DIFFERENTLY.	
27) A PERSON WHO WORKS WITHOUT DEVIATION IN A PRESCRIBED WAY.	
28) A PERSON WHO LIKES TO IMPOSE STRICT ORDER ON MATTERS WITHIN OWN CONTROL.	
29) A PERSON WHO LIKES THE PROTECTION OF PRECISE INSTRUCTIONS.	
30) A PERSON WHO FITS READILY INTO 'THE SYSTEM'.	
31) A PERSON WHO NEEDS THE STIMULATION OF FREQUENT CHANGE.	
32) A PERSON WHO PREFERS COLLEAGUES WHO NEVER 'ROCK THE BOAT'.	
33) A PERSON WHO IS PREDICTABLE.	
<p>PLEASE CHECK THAT YOU HAVE ANSWERED ALL 33 QUESTIONS.</p>		
585624	NOT TO BE COPIED IN ANY WAY	© M.J. Kirton 1977-2006. For further information see www.kaicentre.com Occupational Research Centre, Cornerways, Cardigan Street Newmarket, Suffolk CB8 8HZ, United Kingdom Tel & Fax: (UK) (0) 1638 662704. e-mail: ukinfo@kaicentre.com Form ref. E100 B.

APPENDIX 7: TRANSLATION OF KAI RESPONSE SHEET:

استبيان KAI

- الرجاء الإجابة على جميع الأسئلة
- استخدام قلم جاف ، واضغط بشدة

إرشادات

جميعنا نجد أن له سلوكاً معيناً طوال الوقت ، في بعض الأحيان يكون هذا السلوك سهلاً لأنه يتواءم مع طبيعتنا وفي الأحيان الأخرى يكون صعباً لأنه ليس كذلك.

من فضلك عبر عن مدى سهولة أو صعوبة السلوك بالتأثير أمام كل بند مذكور أدناه.

التاريخ:

الاسم:

العمر: الجنس:

الوظيفة / المهنة:

القسم:

Vary Hard صعب جداً	Hard صعب	Easy سهل	Very Easy سهل جداً
-----------------------	-------------	-------------	-----------------------

كيف تجد سهولة أو صعوبة التعبير عن نفسك ، على مدى طويل كان تكون:

	Very Hard Hard	Hard	Easy	Very Easy Easy
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33

timekeeper you would put a clear cross on the scale below, on or near 'Very Easy'.

Very Hard Hard Easy Very Easy

..... X

If you are the extreme other sort you would find being on time every morning for a long period difficult, and you may well put a cross on the scale at the 'Very Hard' end.

Please indicate the degree of difficulty (or ease) that would be required for you to maintain the image, consistently for a long time, that is asked of you by each item below.

You will find some images easy to present, and some hard; but there are no right or wrong responses.

Very Hard Hard Easy Very Easy

.....

APPENDIX 8: ORGNISATION OF DUBAI GOVERNMENT:

Quoted from the official website of Dubai Government (<http://www.dubai.ae/en.portal> on 3/5/2010)

Dubai Police:

Dubai Police is the most forward thinking and progressive Arab police force today. It employs over seventeen thousand officers of the highest educational standards of any organization. Dubai Police has received both local and international recognition including the “Dubai Award for Government Performance” and the ISO 2000:9001 for applying quality management systems in all police fields.

Dubai Police was the first Arab police force to apply DNA testing in criminal investigations, the first to use electronic finger printing, and the first Arab department to apply electronic services. It was also the first to use GPS systems to locate Police Patrols via satellite, aiding operations. Dubai Police’s Strategy is to play a major role in society, establishing a “Human Rights Department” within its Administrative Structure.

The General Department of eServices of Dubai Police was established in 2001 to provide the latest technological support to Dubai Police headquarters and its branches .Dubai Police provides more than 300 services today through several channels, the Intranet, Internet and others which include Kiosks, IVR, and mobile messaging to ensure speed and convenience.

Dubai Electricity and Water Authority:

Dubai Electricity and Water Authority (DEWA) provides vital electricity and water supply to customers across the emirate of Dubai. DEWA strives to provide the best possible customer services with reliable, clean and safe electricity and water.

Dubai Electricity and Water Authority (DEWA) was established in 1992 after the merger of Dubai Electric Company and the Dubai Water Department that had been operating independently since 1959.

Today DEWA employs a workforce of over 6000 employees who constantly endeavour to see that both the quantity and quality of services provided are of the highest standards in consistency and reliability. In line with its vision and keeping in pace with developments in technology, DEWA is among the first batch of local authorities to become completely eEnabled and its website reflects the ongoing efforts to communicate effectively with its customers and to provide eGovernment services and up-to-date information for online users.

Dubai Municipality:

Dubai Municipality provides municipal services to a diverse population in Dubai. Its work includes urban planning and supervision of construction, environmental protection and improvement, conservation of public parks, regulating and ensuring

international quality standards in construction and building materials, food & consumable items, professional services in laboratory certification and accreditation.

Dubai Municipality began with 3 employees operating from a single room in the early 50's. The Municipality has kept up its steady growth since its inception and now has more than 15,000 staff working in 32 organizational units to become the major driving force behind the development process of Dubai City as a whole and has already delivered a year ahead of schedule on its promise to migrate 90% of its 512 unique services into eServices.

The Municipality has the vision of "creating an excellent city that provides the essence of success and comfort of living." Dubai Municipality is also instrumental in maintaining the architectural heritage of the emirate through many projects that aimed at reviving and maintaining cultural landmarks of Dubai. Dubai Municipality was the proud winner of the 2006 Public Services Award from the United Nations. It has also won many regional awards including the Arab eContent 2005 Award.

Dubai Airport Free Zone Authority:

Dubai Airport Free Zone (DAFZA) was established in 1996 within the boundaries of Dubai International Airport, and is considered as one of the fastest growing Free Zones in the region. The DAFZA Free Zone is a strategic gateway for developing Dubai as a successful centre for business, trade and investment. The Free Zone provides all facilities required by multinational companies worldwide to establish their regional offices, capture business opportunities available in the neighbouring markets having over 2 billion consumers.

The main mission of the DAFZA team is to ensure that Dubai is the preferred investment destination using enterprise, commitment and creative solutions. More than 825 multinational and regional companies operate in the Free Zone.

Dubai Airport Free Zone's website is designed to provide a complete view of all information, facilities and services required by customers, while applying the latest art, design and technology in order to deliver an easy and user-friendly access to our customers. Dubai Airport Free Zone's online services are geared to provide our customers a quick access to the various facilities and services provided by it.

Dubai Land Department:

Dubai Land Department (LD) handles all matters of legalization for sale and purchase of lands and approves, organizes and documents real estate trading operations.

The department was established on January 24, 1960, and by depending on highly qualified staff and through its commitment to excellence, it has regulated and documented the real estate trading operations in the emirates on behalf of Dubai Government.

Dubai Land Department provides many online services aimed at facilitating the task of customer service and enhancing the ability to communicate with customers. These

services include inquiring about procedures and monthly and daily trades, issuing maps, evaluating lands, issuing ownership certificates in lieu of lost ones and registering land sales.

Department of Economic Development:

The Department of Economic Development (DED) was initiated with a mission to contribute to economic planning and business sector regulation by recommending policies and preparing development programmes and projects by developing the best resources possible.

The three goals of Dubai Economic Department are:

1. Contributing to achieve Dubai Government's vision and developing the different economic sectors.
2. Prepare a competitive investment environment to attract local and foreign investment and organizing the business sector according to best practices.
3. Provide the best human, financial and technical resource and supportive environment for creativity and excellence.

The DED portal is a continuation of the department's endeavors to provide the best possible service and customer satisfaction at all times. For those interested in obtaining further details about Dubai economy, the portal has provided latest data for socio-economic indicators. Its eServices including checking the status of your transactions, cost estimates for trade licenses, cost of renewal of trade license and general enquiries.

Department of Tourism and Commerce Marketing:

The Department of Tourism & Commerce Marketing (DTCM)'s mission is "to position Dubai as the leading tourism destination and commercial hub in the world."

DTCM is the principal authority for the planning, supervision and development of the tourism sector in the emirate. As part of its marketing role, the DTCM plans and implements an integrated programme of international promotions and publicity activities. This programme includes exhibition participation, marketing visits, presentations and road shows, familiarization and assisted visits, advertising brochure production and distribution, media relations and enquiry information services.

In addition to its head office in Dubai, the DTCM has 18 overseas offices. They are located in New York, London, Paris, Frankfurt, Stockholm, Milan, Moscow, Sydney, Johannesburg, Mumbai, Beijing, Hong Kong, Tokyo, Jeddah, Riyadh & Berne.

Previously, tourism and hospitality were not traditionally the first-choice for young nationals looking to embark on a career. However, DTCM's Emiratisation drive has underlined the opportunities that the tourism sector offers to young and qualified UAE nationals and plays a significant role to ensure that a vibrant Emiratisation deployment is achieved.

Dubai Ports, Customs and Freezone Corporation

in May 1991, Jebel Ali Port and Free Zone merged with Port Rashid to form Dubai Ports Authority which led to a dramatic increase in throughput to cross one million TEU's.

Formally established in September 2005, DP World emerged from the corporate integration between Dubai Ports Authority and DPI Terminals (Dubai ports International), to become one of the largest global port operators.

Dubai Customs is a government department that facilitates free trade in Dubai and helps secure the integrity of Dubai's borders. Collecting customs revenues and administering trade measures are other major duties. Dubai Customs supports fair trade practices and ensures that international conventions and agreements are strictly followed by the trade community.

Dubai Customs was established much before all other Dubai government departments and aims to be a world leader in customs administration through innovative and proactive services to its clients. Its vision is 'to sustain economic and social development in Dubai and to be one of the leading customs administration in the world supporting legitimate trade'. It believes in integrating innovation and technology to keep pace with the times and follows a 'Reform and Modernization Program' which seeks to develop Customs processes, procedures and technology and most importantly its people to meet the challenges of the future. Its introduction of e-improvements and hi-tech digital developments in IT and communications technology are firm steps towards meeting the international standards and requirements of the World Customs Organization. All Dubai Customs electronic services are provided through Dubai Trade (www.dubaitrade.ae); an innovative portal that combines all electronic services provided by Dubai Ports, Customs and JAFZA.

Dubai Chamber:

Established in 1965, Dubai Chamber of Commerce and Industry (Dubai Chamber) is an indispensable source of competitive advantage for the business community in Dubai as it provides maximum support and assistance for furthering the business climate in the region, in line with its mission .

Currently Dubai Chamber has around 108,000 members & has formed 19 business groups representing various sectors and has initiated the Dubai Business Women Council.

In line with its new identity, vision and mission, Dubai Chamber has relaunched its website that not only complements Dubai Chamber's strategy but also the Dubai Strategic Plan 2015. The refurbished website is a browser's delight, an easy tool for all members and visitors who will find the portal user-friendly. Its newest features, supported by its interesting layout, make the website an indispensable source of information for the business community who can obtain the needed data about Dubai Chamber's services at the click of a mouse.

Dubai Health Authority:

Dubai Health Authority (DHA) provides a quality healthcare system in Dubai by setting and ensuring policies and strategies for healthcare in public and private hospitals and clinics in Dubai.

DHA works to ensure that public health is protected and quality of life is improved, provides health strategy for Dubai to meet future needs, ensures partnerships between public and private health service providers, provides licensing and regulation across the Dubai Health Sector and strives to increase the transparency and accountability of the healthcare system in the emirate.

Its mission is to always adhere to values of quality, protection of patient rights, clinical competence and patients' safety amongst others, while ensuring a future where patients, their families, friends and visitors to Dubai have access to the best medical care whenever they need it.

Roads and Transport Authority:

With a vision of safe and smooth transport for all, Roads and Transport Authority (RTA) is responsible for planning and executing transport and traffic projects in Dubai, preparing legislation and strategic plans, planning and constructing the Dubai Metro, developing other integrated solutions of road system and marine network that are safe and in line with the city's economic development plans and the highest international standards.

Due to its massive role in the development of infrastructure and transportation for Dubai, RTA administers itself through six agencies: Marine, Public Transport, Traffic & Roads, Rail, Dubai Taxi & Licensing Agency. The RTA is currently working on an integrated mass transport system, to ease Dubai's traffic. The Dubai Metro Project is set to begin from September 2009 with its Red Line, followed by the Green Line set for completion in March 2010. The Purple and Blue Line will link Dubai's airports and by 2020, the RTA will have a total of 318 kms of metro lines and 270 kms of tram lines.

Some other current projects by RTA include a Dubai integrated address system, operation of automatic toll collection through Salik, free car-pooling by registration with the Sharekni website, air-conditioned bus shelters, marine mass transit through water-buses and abras among many other projects to ensure safe and smooth transport for all.

Dubai Public Prosecution:

Dubai Public Prosecution strives to create a more secure community by protecting the legal rights and freedom of the community, using justice, independence, and cooperation with its partners to ensure a fair and secure society. It believes in transparency and accuracy of investigations and uses modern techniques to create an efficient public prosecution for Dubai. Justice is achieved by protecting the rights of all parties involved in court cases, irrespective of gender, origin, religion or social status, on the principle that the accused is presumed innocent until proven guilty. It conducts

all investigations independently and imposes charges based on clear and precise evidence.

The Dubai Public Prosecution website has been designed to provide electronic services in such a way that enables the parties of legal cases to view the details of their cases and follow up the progress on them.

Dubai Media Incorporated:

Dubai Media Incorporated represents one of the biggest media organizations in the United Arab Emirates and it also has its great mark on the regional front. The organization's main mission is building its image base more efficiently and effectively in Arab countries.

The Dubai Media Incorporated initiated various electronic services on its portal that include a recruitment service and an online registration form or application for enrolling in the media training centre. The Website also provides information on the corporations' channels and on the media training centre.

Dubai Courts:

Dubai Courts implements justice in Dubai through precision and promptness in adjudicating lawsuits, execution of judgments, decisions, judicial orders, contract and document authentication. It strives to achieve the satisfaction of the public through maintaining an up-to-date level in technology, in order to provide speedy justice for the welfare of society.

Established in 1970, its vision is to be a pioneer in court procedure, while valuing justice, equality, ingenuity, excellence, teamwork and independence. Dubai Courts relies on qualified nationals, correct procedures, and newly developed technology. Some services in general include civil, labour, legitimate appeals, legal and civil authentication, execution of judgments and accreditation of lawyers.

The Dubai Courts website has been designed to provide electronic services in such a way that enables the parties of legal cases to view the details of their cases and follow up their progress.

Islamic Affairs and Charitable Activities:

The Department of Islamic Affairs and Charitable Activities (DICD) was established in 1969 by the late ruler of Dubai HH Sheikh Rashid bin Saeed Al Maktoum. DICD seeks to be the first in the field of offering religious and charitable guidance and values honesty, devotion, perfection, transparency and creativity.

DICD's main role is to spread Islamic culture and develop religious awareness in the region. DICD supervises the printing of the Holy Quran, religious book and other multimedia. It also provides fatwa guidance, organize Haj & Umrah trips to Mecca, translates religious books and issues licenses for Islamic religious teachers. DICD also

cares for mosques and supervises their management by coordinating with Awqaf and Minors Affairs Department.

The DICD website has some invaluable eServices including providing online religious enquiries (fatwa guidance), guidance for new Muslims, listing of all mosques in Dubai, prayer times, religious holidays and accreditation for registered charitable organizations in Dubai.

General Directorate of Residency and Foreigners Affairs-Dubai:

The General Directorate of Residency and Foreigners Affairs Dubai (DNRD) was one of the pioneers in using various eServices aimed at speeding up and facilitating transactions so that customers' time and effort are saved, while reducing overcrowding at the DNRD counters.

DNRD eServices has achieved great progress during the last few years, with customers preferring to use such services, especially as several technical developments have also taken place. [eDNRD](#) is a website where customers can login, choose the type of "Entry Permit" they wish to apply for, fill out the form, post the form and print out the visa.

Awqaf and Minors Affairs Foundation:

Awqaf and Minors Affairs Foundation (AMAF) is a Dubai government department responsible for the legal supervision over the Awqaf, its care and investment, as well as the well-being of minors. It manages, and invests such money through an Islamic perspective in full Sharia compliance as well as cares and empowers such minors.

It also aims at developing endowments by promoting philanthropic activities and a sense of charity in the region, through social solidarity leading to peace and harmony in society. AMAF believes in leadership by results, loyalty and institutional excellence, societal responsibilities and strategic partnerships with charitable organizations, leading members of society and other government departments. In order to achieve its mission, the Foundation recruits people with skills and creativity in order to enhance its mission.

Dubai Civil Aviation Authority:

Dubai Civil Aviation Authority (DCAA) is the governing body that undertakes the development of the air transport industry in Dubai and oversees all aviation related activities, including management of Dubai International Airport as well as the new Al Maktoum International Airport in Jebel Ali. The Authority oversees the administration and coordination of all matters relating to civilian airport operations, including traffic rights, operating permissions, flight training, duty free shops, and cargo including the Dubai Cargo Village, Dubai Duty Free, Dubai International Hotel and Dubai Aviation Club.

Formerly a department that was established in March, 1971 to handle all matters relating to airport operations, including granting landing rights and operating

permissions it became an autonomous authority in 2007, by a decree of HH Sheikh Mohammed bin Rashid Al Maktoum in his capacity as Ruler of Dubai.

The DCAA includes five departments: namely, Department of Air Transport, Department of International Government Affairs, Department of Finance and Administration, Department of Aviation Security Standards and Department of Standards and Regulations.

Some of its objectives include creating policies for civil aviation, signing air agreements on behalf of Dubai government, authorizing and providing landing approval of foreign air transportation and aircraft charters, monitoring of air-crew, licensing travel agencies and restricting the carriage of dangerous goods.