

University of Bath



## DOCTOR OF BUSINESS (DBA)

### **Building a Mutually-Desirable Relationship between a Higher Education Institution's Academic Schools and Its Adult/Continuing Education Unit: A Case Study Analysis of Abu Dhabi University and Its Knowledge Group (Abu Dhabi, United Arab Emirates)**

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Its Adult/Continuing Education Unit:  
A Case Study Analysis of Abu Dhabi University and  
Its Knowledge Group  
(Abu Dhabi, United Arab Emirates)**

Volume 1 of 1

Robert David McHardy

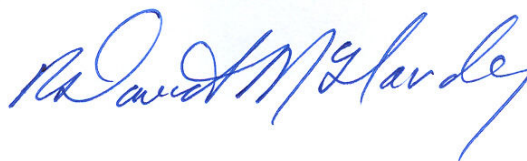
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The achievement of this DBA degree is definitely a shared accomplishment.

## ABSTRACT

*Historically, many higher education institutions have been structurally and culturally compartmentalised and subunits such as continuing education have been marginalised, merged or divested. In response to a variety of external phenomena, some higher education institutions are re-examining their internal and external relationships, including the relationship between their academic and continuing education units. This research examines the efforts of a higher education institution in the United Arab Emirates to improve its overall effectiveness by changing the nature of the relationship between its academic and continuing education units. A review of theory- and practice-based higher education, organisational culture and inter-/intra-organisational relationship literature revealed significant support for each partner's goals for the new relationship and was used to provide the parties with a series of recommendations for successful formulation, actualisation and governance. These results add to the literature and practice of higher education and continuing higher education, particularly in the area of relationship-building among organisational subunits and subcultures.*

## **GLOSSARY OF ABBREVIATIONS AND ACRONYMS**

AAHE	American Association for Higher Education
ADU	Abu Dhabi University
ADUHC	Abu Dhabi University Holding Company
ADUKG	Abu Dhabi University Knowledge Group
ASHE	Association for Studies in Higher Education
AUK	American University of Kuwait
CE	Continuing Education
CHE	Continuing Higher Education
COBA	College of Business Administration (part of ADU)
DEST	Department of Education, Science and Training (Australia)
E3M	European University Third Mission Project
EIU	Economist Intelligence Unit
ELI	English Language Institute (part of ADU)
ESL	English as a Second Language
GCC	Gulf Cooperative Council
GCE	General Certificate of Education
HCT	Higher Colleges of Technology (UAE)
HE	Higher Education
HEI(s)	Higher Education Institution(s)
ICDL	International Computer Driving License
ICS	Institute for Continuing Studies
IED	Institute for Executive Development (2008 onwards) or Institute for Enterprise Development (2006-2008)
IJLE	International Journal of Lifelong Education
IVD	Institute for Vocational Development
K - 12	Kindergarten to Grade 12
KPMG	Klynveld, Peat, Marwick & Goerdeler (accounting & finance firm)
M.B.A.	Masters in Business Administration
MNC	Multinational Corporation
MOHESR	Ministry of Higher Education and Scientific Research (UAE)
MOU	Memorandum of Understanding
NVQ	National Vocational Qualification

OBHE	Observatory for Borderless Higher Education
OECD	Organisation for Economic Co-operation and Development
OEU	The Observatory of the European University
QF	Qatar Foundation
ROI	Return on Investment
SME(s)	Small and Medium-Sized Enterprise(s)
SWOT	Strengths, Weaknesses, Opportunities & Threats
TCE	Transaction Cost Economics
UAE	United Arab Emirates
UAENBS	United Arab Emirates National Bureau of Statistics
UNESCO	United Nations Educational , Scientific and Cultural Organisation

# CHAPTER ONE – INTRODUCTION

## 1.1 Inter- and Intra-Organisational Relationship Research

Globalisation has catalysed the formation and study of organisational relationships, with much of the relevant research either combining inter- and intra-organisational relationship investigations or not distinguishing between them (e.g., Astley & Zajac, 1990; Cousins & Spekman, 2000; Ghoshal & Bartlett, 1990; Holmqvist, 2004; Li, 2005; Mena, Humphries & Wilding, 2009; O'Donnell, 2000; van Wijk, Jansen & Lyles, 2008). Studies related to the planning, organisation, governance, performance, and evaluation of organisational relationships are increasingly dominating the landscape of business literature (Shenkar & Reuer, 2006), are intermingling with fields such as organisational culture and structure (Damanpour et al, 2010; Leisen, Lilly & Winsor, 2002; Liso, 2011; Scott & Gable, 1997), and are challenging theories and practices in areas such as leadership (Ohmae, 1989; Rodríguez, 2005; Vangen & Huxham, 2003a) and human resource management (Black & Ulrich, 1999; Brake, 1999; Brewster & Suutari, 2005; Minbaeva et al, 2003). Prevalent research themes have emerged, including: cultural differences and “fit” (Cox & Finley-Nickelson, 1991; Douma et al, 2000; Weeks & Galunic, 2003; Wilkinson et al, 2008); partner behaviours, relationship- and trust-building, and demonstration of commitment/cooperation (Aulakh, Kotabe & Sahay, 1996; Barney & Hansen, 1994; Buchel, 2003; Cullen, Johnson & Sakano, 2000; Gulati, 1995; Hyder & Ghauri, 2000; Ikonen, 2010; Inkpen & Currall, 1997 & 2004; Jennings et al, 2000; Lane & Bachman, 1998; Lin & Germain, 1998; Luo, 2002a & 2002b; McEvily, Perrone & Zaheer, 2003; Madhok, 1995; Mohr & Spekman, 1994; Parkhe, 1998; Robson, Skarneas & Spyropoulou, 2006); power-sharing, control/autonomy, and hierarchy/heterarchy (Björkman, Barner-Rasmussen & Li, 2004; Ding, 1997; Fryxell, Dooley & Vryza, 2002; Grey & Garsten, 2001; Hedlund, 1986; Ikonen, 2010; Jaussaud & Schaaper, 2006; Kumar & Seth, 1998; Li, 2005; Li et al, 2006; Verbeke & Greidanus, 2009; Yan & Gray, 2001; Zander & Mathews, 2004); dual embeddedness (Andersson, Björkman & Forsgren, 2005; Andersson & Forsgren, 1996; Dhanaraj et al, 2004; Echols & Tsai, 2005; Figueiredo, 2011; Garcia-Pont, Canales & Noboa, 2009); entrepreneurship, initiative-taking, innovation, and value creation (Almeida & Phene, 2004; Ambos, Andersson & Birkinshaw, 2010; Ambos & Mahnke, 2010; Ambos & Schlegelmilch,

2007; Birkinshaw, 1997; Birkinshaw & Hood, 2001; Ferrary, 2011; Ghoshal & Bartlett, 1988; Maurer, Bartsch & Ebers, 2011; Nobel & Birkinshaw, 1998; Scott, Gibbons & Coughlan, 2010); and, the direction and value of knowledge flows (Ambos, Ambos & Schlegelmilch, 2006; Carlile, 2004; Dhanaraj et al, 2004; Foss & Pedersen, 2002 & 2004; Gnyawali, Singal & Mu, 2009; Gupta & Govindarajan, 1991, 1994 & 2000; Harzing & Noorderhaven, 2006; Lane, Salk, & Lyles, 2001; Lyles & Salk, 1996; Monteiro, Arvidsson & Birkinshaw, 2008; Mudambi, 2002; Noorderhaven & Harzing, 2009; Persson, 2006a & 2006b; Piscitello & Rabbiosi, 2006; Rabbiosi, 2011; Tsai, 2001; van Wijk, Jansen, & Lyles, 2008).

## **1.2 Inter- and Intra-Organisational Relationship Research in Higher Education**

Much of the Higher Education Management literature of the last decade and a half has focused on the challenges facing Higher Education Institutions (HEIs) in the twenty-first century and the perceived need for HEIs to change in order to meet those challenges (Altbach, Reisberg & Rumbley, 2009) and achieve “contextualised fitness to purpose” (Subotzky, 1999, p. 408). Areas of challenge and opportunity include: significant changes in applicant and student demographics (e.g., for western HEIs, decreases in “traditional” applicants (i.e., those whom apply for HE admission immediately upon graduation from secondary school) and increases in “non-traditional” applicants<sup>1</sup>) (Bok, 1990; Duderstadt, 2000); decreases in “traditional” (i.e., government) funding and increased need for diversified income streams (Ehrenberg, 2002; Gardner, 1999); decreased interest in “traditional” programmes, timetables and teaching methods and increased interest in part-time programmes and flexible, learner-appropriate delivery modes (Altbach, Reisberg & Rumbley, 2009; Bok, 1990; Duderstadt, 2000); rising neo-liberalism and associated increases in competition from global and private HEIs and increased potential for global expansion of programmes (Altbach, 2004a & 2004b; Bok, 2003; Davies, Gottsche & Bansel, 2006; Duderstadt, 1999; Gould, 2003; Kinser, 2006; Kinser et al, 2010; Weber, 1999; Zemsky, Wegner & Massey, 2005); heightened requirements for quality assurance and public accountability (Altbach, Reisberg & Rumbley, 2009; Duderstadt, 2000); increased demand for research to be “applied,” “relevant,” and contributing to economic development (e.g.,

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<sup>1</sup> The National Centre for Educational Statistics in the U.S.A. defines “non-traditional student” as someone who meets one or more of the following criteria: delays HE enrolment; attends part-time; works full-time; is considered “financially independent” by financial aid plans; has dependents other than a spouse; is a single parent; or, does not have a secondary school diploma.

through the development of research-based “spin-off” products or enterprises) (Altbach, Reisberg & Rumbley, 2009; Damrosch, 1995; Duderstadt, 2000); and, an ever-increasing speed of change in administrative and academic systems and technologies (Altbach, Reisberg & Rumbley, 2009; Duderstadt, 2000). Duderstadt (2000) observed “Higher education today faces greater pressure than ever to establish its relevance to its various constituencies in our society” (p. 63) and the stakeholders he and Burrows (1999) identified included: HE students; HE faculty, managers and staff; HE governors/governing boards; governments – federal, regional and local (and, in Europe, the European Union); publics/communities – national, regional and local; and the media/press – national, regional and local. Other significant stakeholders identified in the literature include: banks, funding organisations, and fund managers (Burrows, 1999); corporations, organisations and associations (de Zilwa, 2007; Doerfel & Ruben, 2002; Marginson & Considine, 2000); alumni (Doerfel & Ruben, 2002; Tien, 1999); partners (Burrows, 1999; Jongbloed, 2002; Newman, Couturier & Scurry, 2004); and, competitors (Bok, 2003; Burrows, 1999; de Zilwa, 2007; Doerfel & Ruben, 2002; Jongbloed, 2002; Marginson & Considine, 2000; Newman, Couturier & Scurry, 2004).

Duderstadt (2000) asserted that, as a developer and supplier of solutions for social challenges of virtually any type, HEIs have been “saturated by the backlog of society’s problems” (p. 63) and he further observed that “the diversity – indeed, incompatibility – of the values, needs, and expectations of the various constituencies served by higher education poses one of its most serious challenges” (p. 63). Benneworth and Jongbloed (2010) further observe that “universities face an increasingly complicated choice of which stakeholders’ interests to prioritise and how to reconcile contradictory interests (Slaughter & Leslie, 2001; Greenwood, 2007) ... as stakeholders place demands or conditions on the university in return for their resources” (p. 570). Like their business contemporaries, HEIs are meeting these diverse challenges through the implementation of various strategies, many of which involve changes in organisational culture (e.g., from discipline- and organisationally-centered to learner- and community/stakeholder-centered) and the development of new or improved organisational relationships, both internal and external. This, in turn, has sparked interest in HEI organisational relationship research, with support coming from organisations such as the Association for Studies in Higher Education (ASHE), the Observatory for Borderless Higher Education (OBHE), the American Association for Higher Education (AAHE), the Australian Department of Education, Science and Training (DEST), the Organisation

for Economic Co-operation and Development (OECD) and the United Nations Educational, Scientific and Cultural Organisation (UNESCO).

### **1.3 Research into the Relationships between Higher Education Institutions' Academic and Continuing Education Units**

Continuing Higher Education (CHE) literature talks a great deal about the differences in focus and culture between CHE units and their “parent” Higher Educational Institutions (HEIs) and the challenges and opportunities which result from these differences (Bazik, 1986; Blaney, 1994 & 1996; Bowl, 2010; Gollattscheck, 1981; Hall, 1986; Knox, 1981; Long, 1990 & 1993; Lovette, 2006; Martin, 2005; McIlroy & Westwood, 1993; Niemi, 1989; Pearman, 2007; Simerly, 1991; Votruba, 1987). It also discusses how HEIs organise themselves differently depending on their reasons for offering CHE programmes and their comfort with delegated academic authority (Gessner, 1988; King & Lerner, 1992; Prisk, 1987; Teichler & Hanft, 2009) and how changing political and economic conditions can directly affect CHE programming and organisational structures (Bowl, 2010; Duke, 2008; Jones, Thomas & Moseley, 2010; Lee, 2009; Malcolm & Zukas, 2007; Zepke, 2009). The marginalisation of Adult/Continuing Education units – by their parent institutions and by national/regional funding organisations - has been extensively discussed and documented for decades (Clark, 1958; Donaldson, 1991; Duke, 2008; Eitel, 1993; Gappa & Leslie, 1993; Gordon, 1980; Ilsley, 2004; Jones, Thomas & Moseley, 2010; Kogan, 2000; Long, 1990; Marksbury, 1987; Miller, 1981; Nesbit, Dunlop & Gibson, 2007; Schejbal & Wilson, 2008; Selman & Dampier, 1991; Taylor, 2005; Teichler & Hanft, 2009; Votruba, 1987), with Long (1990) rhetorically asking

How is it that through innovative programs we can bring our institutions into greater prominence within the community, but we cannot seem to bring our continuing education units into greater prominence within the institutions we serve? (p. 19)

Jack Blaney and James C. Votruba are two CHE academics who can offer unique perspectives to their colleagues and their discipline. They spent significant parts of their careers working in and leading CHE units, researching the HEI-CHE context and relationship, and both rose to the presidencies of their respective institutions (Simon Fraser University, Canada and Northern Kentucky University, USA, respectively).



Although the main body of their work is now over 20 years old, their research methods, subjects, and results remain relevant and much-referenced today (e.g., Adria & Boechler, 2004). Both chided their fellow CHE managers for blaming others for perceived marginalisation, with Votruba (1987) saying

[Continuing education units'] relative degree of centrality or marginality is based on the perceived contribution that they make to broader institutional purposes. This is true not only for continuing education but for every other organisational subunit as well. (p. 187)

While recognising the critical need for CHE units to remain “connected” to the marketplace and the external communities they serve, both Votruba (1987) and Blaney (1986) encouraged their colleagues to be equally concerned with their internal connectedness, with Blaney (1986) asserting

The evidence is overwhelming: only at your peril should you construct an extension organisation whose culture is at odds with its parent and whose contributions do not include the welfare of the university as a whole. Those not sharing an organisation's (or society's) basic values are not trusted and, without achieving trust, you will not earn the instruments of influence. ... (p. 74)

In contrast to this, perhaps as a result of CHE leaders not heeding Blaney's and Votruba's assertions, Higher Education literature seems to customarily ignore CHE and its culture. For example, Bergquist and Pawlak's (2008) *Engaging the Six Cultures of the Academy* did not discuss CHE culture and would seem to not recognise CHE as even a part of “the Academy” as they did not make a single reference to it. Even research focused on the need for universities to become more networked (de Wit & Meyer, 2010), collaborative (Kezar & Lester, 2009) or enterprising (Balderston, 1995; Duderstadt, 2000; Grudzinskii, 2005; Marginson & Considine, 2000) does not, for the most part, acknowledge CHE's “unparalleled capacity for grass roots community engagement” (National Association of State Universities and Land-Grant Colleges, Extension Committee on Organization and Policy, 2002, p. 2). Similarly they do not recognise that they are investigating how HEIs can become more CHE-like nor do they suggest learning from the expertise that lies in their midst, embodied within their CHE units.

One exception is Burton Clark's *Creating Entrepreneurial Universities: Organisational Pathways of Transformation* (1998) which, citing Scott (1997), recognised the enhancement of a university's "development periphery" as a vital element in "entrepreneurialising" the institution's culture and "stretching the 'core' university into the 'distributed' university" (p. 139). Another exception is Chris Duke's *The Learning University: Towards a New Paradigm?* (1992) and his follow-up book *Managing the Learning University* (2002), both of which explore universities' roles in supporting the creation of a learning society and the facilitation of lifelong learning among societal members. Duke likens CHE units to a Trojan Horse, an instrument used "at the cutting edge in higher education ... to smuggle in change." (1992, p. xii). Focusing on UK HEIs, Duke notes that even the most prestigious and traditional of UK HEIs – Oxford and Cambridge – have revised their mission statements to embrace lifelong learning, broadened accessibility and service to the community, and have devised multi-pronged strategies to fulfil these missions which include augmented CHE operations but also include changes in university teaching, admission and research such as modularised curricula, continuing professional development of faculty and staff, expanded credit transfer schemes, prior learning assessment and recognition, and partnered community- or industry-based research. Citing Clark, Duke (2002) said "Burton Clark's *five pathways of transformation* are

- a strengthened steering core which reconciles new managerial with academic values;
- an expanded developmental periphery with highly professional outward-looking business units
- a diversified funding base looking to second and third stream as well as old core business income;
- a stimulated academic heartland with very effective entrepreneurial academic units;
- an integrated entrepreneurial culture which sets up a benevolent cycle of new beliefs and values."

(p. 115)

Other researchers and practitioners take this argument further and recommend that HEIs recognise the significant contributions that their CHE units can make and develop structures and strategies to take advantage of the valuable resource they have typically housed in their institution's periphery. At a time when institutions are being

encouraged to become more entrepreneurial and/or community-engaged, learner-centered, accessible and diverse, they can access relevant capabilities and competencies within their CHE units and take advantage of their expertise and experience in areas such as needs assessment, programme and partnership development, enterprise education, and engagement with industry, government and communities (Davies, 1997; Duke, 1992; Knox, 2004). CHE units can also act as incubators for innovation (Kohl, 2010; Laserna & Leitner, 2008), catalysts for change (Kohl, 2010) and can significantly contribute to the ongoing evolution and viability of the institution and its programmes (both full-time and part-time) (Archer, Garrison & Anderson, 1999; Knox, 2004). This role was recognised in 2010 when the theme of the University Professional and Continuing Education Association's 95th Annual Conference was "Leading Innovation in Higher Education." The conference's four tracks included "Leadership as an Innovative Practice," "Technology as a Method of Innovation," "The Innovative Organisation," and "Environmental Imperative for Innovation." CHE units can lead an HEI's exploration of areas such as individualised and blended learning and instructional design utilising technologically-mediated methodologies and can insulate their institutions from the negative effects of disruptive technologies such as online learning (Archer, Garrison & Anderson, 1999). In this same vein, CHE unit leaders have been encouraged to embrace the opportunity to take an institutional leadership role, get actively involved in institutional planning and decision-making, and explore the development of intra-organisational synergies (Blaney, 1986; Matkin, 2010; Miller, 2010; Offerman, 1989; Reimers, 2009; Sandeen & Hutchinson, 2010; Votruba, 1987).

Similarly, in Vorley and Nelles' (2008) analysis of the dynamic between the University's Third Mission<sup>2</sup> and its other core missions of teaching and research, they acknowledged that the Third Mission's "emphasis on economic engagement presents a challenge to the core missions of the university, and arguably the idea of what a university is and the functions it should fulfil" (p. 12) and observed that many institutions – possibly because of funding structures (Benner & Sandström, 2000) - separate their Third Mission functions from teaching and research, which leaves them lacking the "inner connection" (Habermas, 1987) they need to facilitate mutual reinforcement and prevent isolation and tensions. Based on their research, they encouraged universities to approach the third mission not as an add-on activity but as an opportunity for fundamental institutional redefinition and synergisation among the

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<sup>2</sup> See section 1.4.2 for definition

three missions.

Also of note is the European Indicators and Ranking Methodology for University Third Mission (E3M) Project. A three-year (2008-2011) project funded by the European Commission's Lifelong Learning Programme and involving eight European HEIs as partners, its main objective was to "generate a comprehensive instrument to identify, measure and compare Third Mission activities of HEIs from a wide perspective" (E3M, 2008, p.1). The first step in the process was to identify three dimensions of Third Mission activities and then develop indicators for each of the dimensions. The three dimensions identified were Continuing Education, Technology Transfer and Innovation, and Social Engagement; thus, at least for the European project, Continuing Education is seen as a significant dimension or component of HEIs' Third Mission activities.

Notwithstanding these exhortations, Clark, Scott, Duke, and Vorley and Nelles did not delve into the realm of intra-organisational relationships between CHE units and HEIs' academic units. Similarly, despite identifying the need for CHE units to contribute to their institutions' purpose (Blaney, 1994), share their values (Votruba, 1987), and "align" their units with their parent institutions (Lovette, 2006), none of these researchers provided recommendations regarding the relationship that CHE managers should strive to create with their academic colleagues. Furthermore, most research and publications regarding CHE management, including tomes such as the adult and continuing education handbooks compiled by Kasworm, Rose and Ross-Gordon (2010) and Wilson & Hayes (2000), do not broach the subject of HEI-CHE relationships. Where it does exist, research into HEI-CHE relationships has focused on specific strategies such as conducting practice-driven research (Shoemaker, 1998), specific issues such as alternative educational pathways (Brewer, 2008; Stine, 2008) or resource-sharing (Thompson & Wagner, 1994), the assumption of specific institutional leadership roles such as green marketing and environmental consumerism (Sandeem, 2009), or on relationships with specific academic units such as business schools (Halfond & Moore, 2009) or administrative units such as institutional marketing and communication departments (Fong, 2009). None, however, has taken a comprehensive approach to researching the overall nature and scope of possible HEI-CHE relationships.

## **1.4 Definitions**

### ***1.4.1 Higher Education (HE)***

For the purposes of this thesis, Higher Education will be considered synonymous with “Tertiary Education” and “Post-Secondary Education.” For most countries in the developed world, education is divided into three levels – Primary/Elementary, Secondary, and Tertiary/Post-Secondary/Higher. For children and youth up to a certain age, attendance of either Primary/Elementary or Secondary school is compulsory by law. Higher Education institutions (HEIs) provide educational courses to those who have either successfully completed secondary school or who have passed the age of compulsory attendance (and, thus, are sometimes described as “post-compulsory”). In the United Kingdom and countries who model their systems after the UK, distinction is made between Higher Education and Further Education.

Further education is for people over the age of 16. Further education courses are generally up to the standard of General Certificate of Education (GCE) A-level or National Vocational Qualification (NVQ) Level 3 and take place in a sixth-form college or a further education institution.

Higher education courses are generally above the standard of GCE A-Levels or NVQ Level 3. They include degree courses, postgraduate courses, Higher National Diplomas and other qualifications. (HEFCE, 2009, p. 5)

In the United States and the United Arab Emirates (UAE), this distinction is not made, with U.S. Community Colleges and the UAE’s Higher Colleges of Technology considered HEIs. Thus, in these jurisdictions, HEIs confer post-secondary certificates, diplomas, and degrees (Bachelor’s, Master’s and Doctorates).

### ***1.4.2 Higher Education's Third Mission***

HE's first two missions are to

- Teach students or otherwise facilitate their learning
- Conduct research

The Third Mission relates to interactions between HEIs and their “outside” worlds – for instance, businesses, industries, and public authorities. Beyond this generalisation, definitions vary, influenced by nations’ levels of economic development (Göransson, Maharajh & Schmoch, 2009), regional politics, priorities and policies, and by the nature of the institution (e.g., comprehensive versus research-intensive versus teaching university).

Göransson, Maharajh and Schmoch (2009), who synonymised the Third Mission with extension and transfer, observed that “the international debate on third mission is largely dominated by the paradigm of the United States, where spin-off enterprises from universities in biotechnology and information technology implied a real economic boom” (p. 158). The U.S.’s Bayh–Dole Act, which aimed to improve economic use of university knowledge through increased university patenting, has also been cited as being highly influential internationally (Abramson et al, 1997).

In the UK, the Third Mission has become “synonymous with commercialising academic research” (Nelles & Vorley, 2008, p.1) and, in Sweden, obligates HEIs to “inform the public about their research and to actively co-operate with other actors in the society to decide research goals and problems” (Jacob, Lundqvist & Hellsmark, 2003, p.1557). In Africa and in Latin America, the Third Mission goes beyond research and technology and encompasses teaching/learning and the addressing of society/social needs (Bortagaray, 2009; Ndabeni & Maharajh, 2009). In Europe, the Observatory of the European University defines the University Third Mission as its “relationship with the non-academic outside world: industry, public authorities and society” (OEU, 2006, p. 131).

### ***1.4.3 Community Engagement***

The Carnegie Foundation for the Advancement of Teaching defines “community engagement” as the “collaboration between institutions of higher education and their

larger communities (local, regional/state, national, global) for the mutually beneficial exchange of knowledge and resources in a context of partnership and reciprocity” (Driscoll, 2008, p. 39).

Weerts and Sandmann (2010) observed that “engagement differs from traditional conceptualisations of public service and outreach ... [which are] typically conceived as one-way approaches to delivering knowledge and service to the public, whereas engagement emphasises a two-way approach in which institutions and community partners collaborate to develop and apply knowledge to address societal needs (Boyer, 1996; Kellogg Commission, 1999)” (p. 702).

#### ***1.4.4 Continuing Education***

Apps (1985) asserted that “Definitions have been a problem in continuing education for a long time” (p. 36). As an academic or professional discipline, it is often integrated with Adult Education or Lifelong Learning and its definition subsumed within it (e.g., Courtney, 1989; Hanft & Knust, 2009a; Jarvis, 2004). As a function within an organisation or institution, definitiveness is clouded by organisational structures and terminology. A considerable number of institutions have adopted decentralised models whereby discipline-specific Continuing Education functions are managed by various academic schools/divisions (McHardy, 1998; Prisk, 1987), while others use what King and Lerner (1987) called a “Hybrid Model” whereby credit courses for adults are managed by individual academic units while non-credit offerings are developed and administered by a central Continuing Education unit. In institutions with dedicated/centralised functional areas, despite having similar mandates, these units are labelled in many different ways – Continuing Education, Continuous Learning, Community Outreach, University Extension, Continuing Professional Development, etc. – and/or are integrated with other allied responsibilities (e.g., Continuing Education and Workforce Development) (Hanft & Knust, 2009a). Peterson & Associates (1979) noted “The field of adult education has evolved a vocabulary possibly unparalleled in its confusion” (p. 13).

Defining Continuing Education is further complicated by the process of definition and the organic nature of the function. Hanft and Knust (2009b) observed that Continuing Educators tend to be market/community-driven pragmatists who often begin with a

more classic definition of continuing education (e.g., offering personal or professional development courses for working adults) but then, when other opportunities arise, forego this narrow definition in order to fulfil community needs, contribute to institutional goals and/or mission, diversify revenues, and improve financial viability. This process of niche-finding involves both internal and external evaluations of supply and demand. Continuing Educators ask “what community education/training demands exist or will soon exist for which there is not a supplier within either our institution or our community?” This can sometimes be seen as a negative process – Continuing Education taking on roles and responsibilities that others do not. In the case of ADUKG, its role was negatively defined. Its mandate was to provide courses and services that were needed by ADU’s various external communities and not being provided by one of ADU’s other organisational units. In addition, as described by Hanft and Knust (2009b), ADUKG’s pursuit of opportunities has significantly changed its focus and constitution (see section 5.3 for details).

In my professional experience, the process described above is the norm, especially when initially defining Continuing Education within a new or restructured institution. Thus, when I am asked by Higher Education executives or Board members to define or describe “Adult/Continuing Education,” I often will use two different analogies from science – an amoeba and an electron cloud. I explain that, like amoebas or mythical shape-shifters, adult/continuing educators thrive and survive by evaluating their environments and adapting their forms and constitutions to explore possibilities and opportunities and maximise their potential for success. Similarly, I liken a Higher Education Institution to an atom, with its academic schools and central administrative service departments as protons and neutrons respectively in its nuclear core and its adult/continuing education unit (along with units such as research parks) whirling around the organisation’s periphery and forming the equivalent of an electron cloud. Since they are focused on quality assurance, academic integrity, and administrative consistency, the nuclear divisions tend to be relatively “rigid” or “solid” and are usually slow to change and/or to respond to changes in the institution’s external environment. In contrast, even though it is bonded to the institution’s core, an adult/continuing education unit tends to focus on external relationships of supply-demand and community/customer service and therefore actively engages and interacts with communities, partners, competitors and others in its environment. As an energised “cloud,” Adult/Continuing Education is managed and constituted to respond and adapt



to changes in its environment; so, when the environment warms or cools (i.e., increases or decreases in demand occur), Adult/Continuing Education typically has the organisational flexibility to expand or contract. When communities' needs evolve or shift, Adult/Continuing Education has the ability to reshape and reconstitute itself, thus combining effectiveness with efficiencies.

Through these processes, Adult/Continuing Education units form bonds both internally and externally. Because their units' missions, visions and goals tend to be externally-focused, there is a natural tendency among adult/continuing educators to concentrate more on their external bonds, thus potentially making them stronger than their internal ones (Blaney, 1986 & 1987; Votruba, 1987). As practicing Adult/Continuing Educators, Blaney (1986 & 1987) and Votruba (1987) implored their colleagues to be aware and beware of this tendency and to make establishing sustainable internal-external bond equilibria a priority. Both warned that the establishment of an Adult/Continuing Education culture – values, standards, norms and beliefs – that was more reflective of the communities' than the institution's will lead to conflict, distrust and, potentially, dissolution (e.g., an organisational shift to a decentralised Adult/Continuing Education model) or separation (e.g., the hiving-off of Adult/Continuing Education as a distinct institution or the transfer of Adult/Continuing Education to community-based organisations).

#### ***1.4.5 Continuing Higher Education (CHE)***

Schejbal and Wilson (2008) noted that the term “continuing higher education” is challenging to define because the responsibilities and offerings of continuing education units tend to vary significantly from one higher education institution to another. They recommend defining CHE based on what it does rather than what it is. They refer to the concepts of former University of Wisconsin President Charles Van Hise who, as early as 1904, encouraged higher education institutions to go beyond teaching degree-related courses and conducting research by extending knowledge to the institution's communities, by expanding the institution's boundaries to be the boundaries of the state, and by conducting applied research “to solve problems and improve health, quality of life, and the environment for all citizens.” (p. 33)

Hanft and Knust (2009a) observed that, throughout the English-speaking world, the

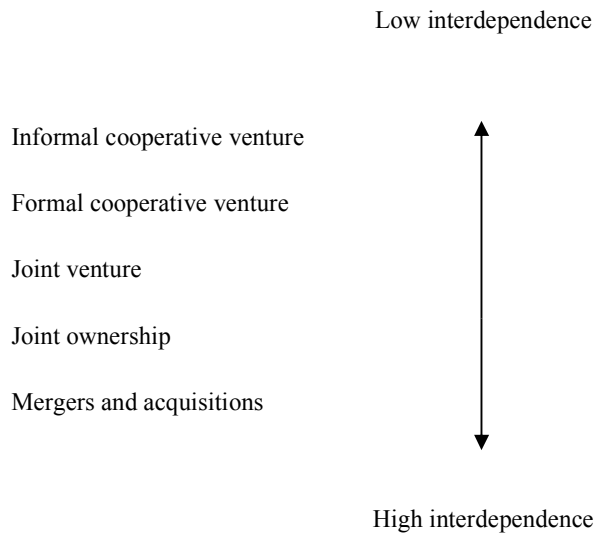
terms “lifelong learning,” “adult education,” “continuing higher education,” “university extension,” and “continuing professional development” are seen as synonymous by higher educators. They further asserted that, while countries such as Germany and Austria may define CHE as the provision of ongoing, additional education to university graduates, most institutions see this as only one aspect of CHE and that even defining CHE as broadly as “returning to organised learning after a period of professional activity” (p. xv) is considered overly restrictive and not synonymous with “lifelong learning.”

#### ***1.4.6 Inter-Organisational Relationship(s)***

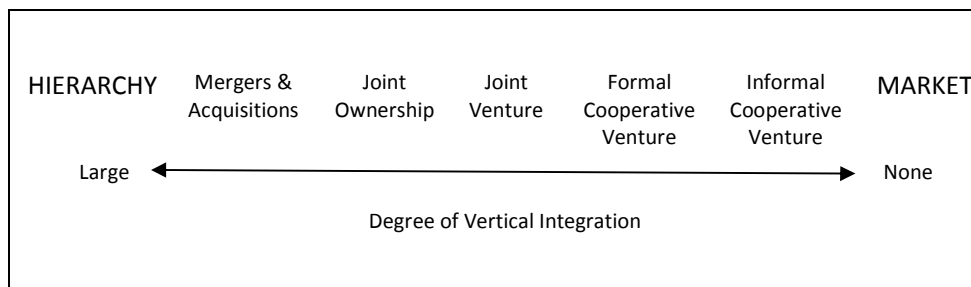
Inter-organisational relationships are recognised as being broad in range and scope (Root, 1988) and one of the challenges in defining them is varied nomenclature. Welborn and Kasten (2003) summarised the challenge by pointing out that “No matter what you call it – strategic partnership, key inter-organisational relationship, business-to-business connectivity, supply-chain integration, co-operation, or preferred provider status – collaboration is fundamentally about aligning your activities and processes with those of other organisations to create shared value and manage shared risk” (p. i). Harrigan and Newman (1990) refer to them as “coalition strategies” and define them as “a genre of ways for firms to co-operate” (p. 418).

Throughout the literature, inter-organisational relationships are often defined and portrayed as continua. Here again, nomenclature can cause confusion, as some authors use the overarching continua terms “inter-organisational relationship” and “strategic alliance” interchangeably while others envision “strategic alliance” as one or more positions on an “inter-organisational relationship” continuum. Relationship options included in these continua include informal cooperative ventures, formal cooperative ventures, joint ventures, joint ownerships, and mergers and acquisitions (Astroth, 1991; Contractor & Lorange, 2002; Harbison & Pekar, 1993 & 1998; Harrigan & Newman, 1990; Lorange & Roos, 1993), with informal and formal cooperative ventures sometimes referred to as “strategic alliances.” Relative positions on each continuum are determined by criteria such as degree of interdependence (Contractor & Lorange, 1988 (see Figure 1.1 below)), ownership type (Harrigan & Newman, 1990), opportunity/risk focus (Doz & Hamel, 1998), degree of vertical integration with parent firms (Lorange & Roos, 1993 (see Figure 1.2 below)), and expected longevity of the relationship (Contractor &

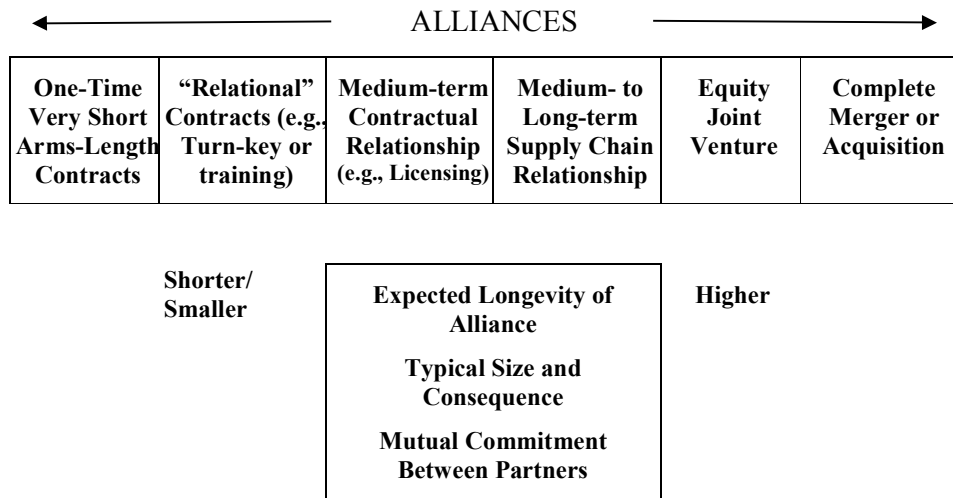
Lorange, 2002 (see Figure 1.3 below)) As illustrated in Figure 1.3, Contractor and Lorange (2002) define “alliance” as “any inter-firm cooperation that falls between the extremes of discrete, short-term contracts and the complete merger of two or more organisations” (p. 4).



**Figure 1.1: Inter-Organisational Relationship Options in Terms of Degree of Interdependence between the Parent Firms (Lorange & Roos, 1993, p. 4).**



**Figure 1.2: Inter-Organisational Relationship Options in Terms of Degree of Vertical Integration (Lorange & Roos, 1993, p. 3).**



**Figure 1.3: A Spectrum of Cooperative Arrangements  
(Contractor & Lorange, 2002, p. 5)**

One of the most referenced definitions comes from Parkhe (1991, p. 581), who defined strategic alliances as “relatively enduring interfirm cooperative arrangements, involving ... flows and linkages that utilise resources and/or governance structures from autonomous organisations ... for the joint accomplishment of individual goals linked to the corporate mission of each sponsoring firm.”

These dual purposes of maximising the positive (e.g., creating value, gaining synergies and achieving goals) and minimising the negative (e.g., eliminating redundancies and reducing risk) are consistent in the literature (Bannerman et al, 2005; Das & Teng, 2001); however, the degree to which each is emphasised, the level of trust between partners, organisations’ tolerance for ambiguity, and other characteristics give rise to different forms of inter-organisational relationship. For example, Doz and Hamel (1998) observed that organisations pursued joint ventures primarily to manage risks while they formed strategic alliances to take advantage of opportunities and thereby facilitate growth and mutual learning. In addition, while joint ventures were seen as highly structured, controlled and uni-directional, strategic alliances were seen as more dynamic, collaborative, loosely defined and controlled, multi-dimensional, and multi-directional. Strategic alliances were characterised as highly flexible and evolutionary, with partner relations, change management processes, and value creation and capturing

processes typically not initially well-defined and evolving over time in ways that are very difficult to predict at the time of inter-organisational relationship formation.

### ***1.4.7 Organisational Culture***

Anthropologist and historian Bronislaw Malinowski (1944) defined culture as "an integral whole consisting of implements and consumer goods, of constitutional charters ... of human ideas and crafts, beliefs and customs ... a vast apparatus, partly material, partly human and partly spiritual, by which man is able to cope with the concrete, specific problems that face him" (p. 36). Clifford Geertz defined "culture" as "an historically transmitted pattern of meanings embodied in symbols, a system of inherited conceptions expressed in symbolic forms by means of which men communicate, perpetuate, and develop their knowledge about and their attitudes toward life" (1973, p.89).

Chaffee and Tierney (1988) observed "Organisational culture exists ... in part through the actors' interpretation of historical and symbolic forms. The culture of an organization is grounded in the shared assumptions of individuals participating in the organization" (p. 7). Trice (1993) elaborated on the duality of cultures as he described them as having

... two major ingredients: sets of taken-for-granted, emotionally charged beliefs called ideologies; and mechanisms for expressing and affirming these beliefs, called cultural forms. Ideologies are the *substance* of a culture. Although abstract ideas, they tell members what is and in what actions they *ought* to engage. Cultural *forms*, in contrast, are observable entities that permeate actions with meanings (p. 20).

In a similar vein to House's Path-Goal Theory of Leadership Effectiveness (1971), some researchers have defined organisational culture as the means through which organisational leaders attend to the needs of their employees, garner performance and achieve organisational goals (Blaney, 1986; Hickman & Silva, 1984). Simply put, "it's how things are done around here" (Drennan, 1992, p. 1). Organisational culture has also been defined as "the coherent, learned, shared view a group of people has about life's concerns that ranks what is important, instills attitudes about what things are appropriate, and prescribes behavior, given that some things have more significance

than others” (Varner & Beamer, 1995, p. 2).

Denison (1982) takes his definition beyond members’ behaviours, as he described organisational cultures as having three hierarchal levels. The lowest level contains the values and beliefs that underlie actions. The middle level includes the patterns of behaviour that reflect and reinforce those values, while the top level involves the set of conditions, created by these patterns of behaviour, within which organisational members must function.

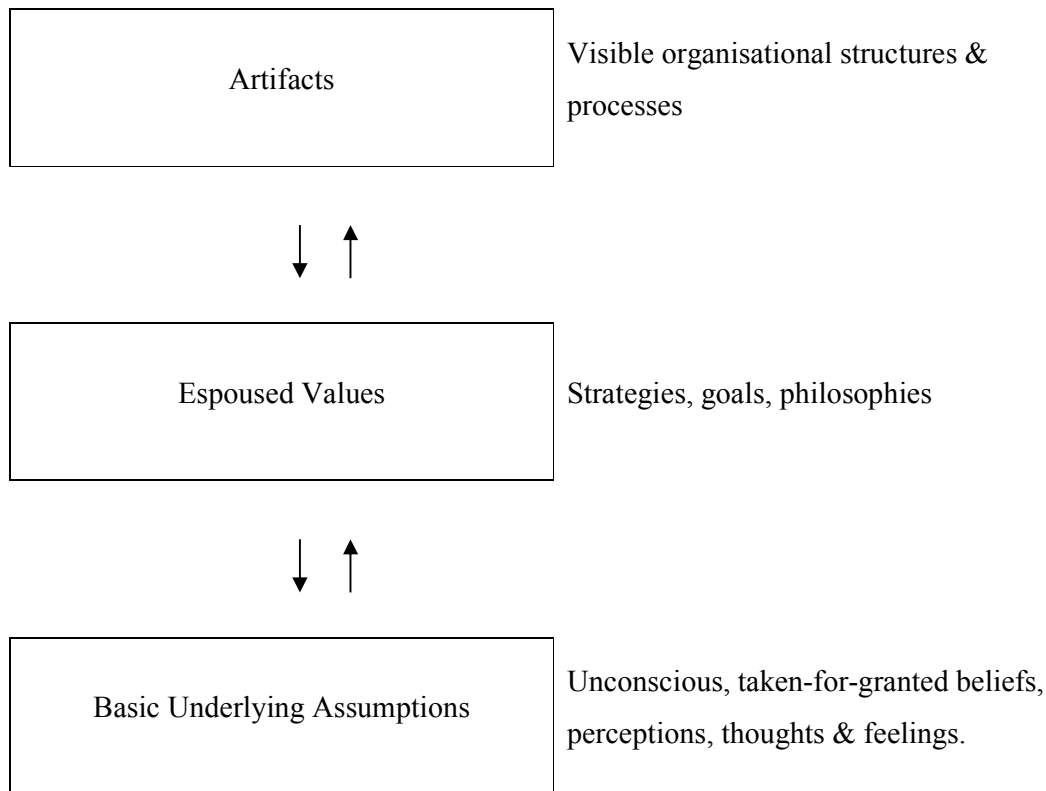
Building on the work of Denison (1982), Dyer (1982) and Schein (1981, 1984 & 1985), Lundberg (1985) addressed the abstract and unconscious elements of organisational cultures as he proposed a four-level typology with each level progressively more abstract. The uppermost and least abstract level consisted of *Artifacts* - the verbal, behavioural, and physical manifestations of culture shared by members of an organisation. He labelled his next level *Perspectives* and it was made up of the rules and norms socially shared by members and applied in given situations and contexts. His third level was *Values*, which reflect organisational goals, ideals, philosophies, and standards and are as bases for members to evaluate situations, acts, objects, and people. The bottom level was *Assumptions*, which he defines as “the tacit beliefs that members hold about themselves and others, their relationships to other persons, and the nature of the organization in which they live. Assumptions are the nonconscious underpinnings of the first three levels - that is, the implicit, abstract axioms that determine the more explicit system of meanings” (p. 172).

Finally, Schein’s (1992) seminal *Organizational Culture and Leadership* injects internal and external elements into the definition of group culture (see Figure 1.4 below):

A pattern of shared basic assumptions that the group learned as it solved its problems of external adaptation and internal integration, that has worked well enough to be considered valid and, therefore, is to be taught to new members of the group as the correct way to perceive, think and feel in relation to those problems. (p. 12)

## Figure 1.4: Levels of Organisational Culture

Adapted from Schein, 1992, p. 17



## 1.5 The Context of this Study

This research involved senior executives in Abu Dhabi University, a relatively small and new private not-for-profit university located in the United Arab Emirates (UAE). The UAE is a small, rapidly-developing coastal state situated on the Arabian Gulf between the Kingdom of Saudi Arabia and the Sultanate of Oman in the Gulf Cooperative Council (GCC) region of the Middle East. The UAE was formed as a federal hereditary monarchy in 1971 and is comprised of seven emirates, the two largest and best-known of which are Abu Dhabi and Dubai. Within the Emirate of Abu Dhabi is the City of Abu Dhabi, which has been the capital city of the UAE since 1996. Oil was discovered in the UAE in the 1950s, began to be exported in the early 1960s, and immediately became the country's primary source of income. Since that time, change has occurred in the UAE at a rate that would be difficult to describe other than "incredible." A country that had no roads, indoor plumbing or telephones as late as the

mid-1960s (Al-Fahim, 1995) has recently been ranked by the Economist Intelligence Unit Quality of Life Index (EIU, 2009) as number one for quality of life in the Middle East and North Africa region and number fifteen globally (out of 160 countries surveyed). It has an aggressive plan to develop and diversify its economy by 2030 (UAENBS, 2010) and considers education to be “the main driver of sustainable growth” (UAENBS, 2010, p. 39).

In order to achieve its economic growth, the UAE employs a very significant number of foreign “expatriate” workers. The last census conducted in the UAE was in 2005 and a planned census in 2010 has been postponed; so, current, accurate demographic data is not available. The country is described by government officials as having grown “exponentially” since 2005, with some estimating that the population grew 64% from 2007 to 2011 despite the global economic turndown that occurred in 2008/9 (UAEInteract, 2010). Because of the lack of empirical data, the rapid rate of population growth, the relative inability of the government to control and tabulate concurrent importation and exportation of foreign workers, the varied effects of the 2008/2009 global economic crisis, and the use of different estimation tools, population estimates vary considerably; however, it is generally accepted that Emirati Nationals make up approximately 11.5% of the population of the UAE, 8% of the UAE workforce and 4% of the private sector workforce (UAEInteract, 2010). Despite national and regional agencies and campaigns to “Emiratise” private sector jobs in the UAE, the reality is that most meaningful executive positions are held by western expatriates while most frontline service and labour positions are held by expatriates from countries such as India, Pakistan, Bangladesh and the Philippines. Thus, if one is working for a private sector organisation that reflects the national average for the employment of Emirate Nationals, 96% of the people in one’s workplace are expatriates.

In the case of ADU and ADUKG, the senior-most executive – the Chairman of the Executive Board of the ADU Board of Governors and Trustees (hitherto referred to as “the Chairman”) - was an American-educated Emirati. Reporting directly to the Chairman were the senior ADU and ADUKG executives and they were the principals involved in the process of ADU-ADUKG relationship-building. The senior ADU executive – the Chancellor – was an Egyptian-born academic whose graduate education and previous academic experiences were all in Canada and the United States. The two



senior ADUKG executives were a South African-born, British-educated businessman whose previous work experience was with U.S.-based multinational companies and a British business school (Director - Institute for Executive Development (IED)) and a British-born and educated vocational training executive whose previous employment was all in the U.K. (Director - Institutes for Continuing Studies and Vocational Development (ICS/IVD)). Within ADU and ADUKG, there was a small number of Emiratis employed in frontline positions in areas such as student and human resource services and contract training; however, no one between the Chairman and the frontline employees was Emirati. So, although the University and its services and physical environs were clearly embedded in the social networks and culture of Abu Dhabi and the UAE, the culture of its boardrooms were a complex, socialised amalgam of western higher education management and business cultures (Bourdieu, Passeron & de Saint Martin, 1994; Hofstede, 2001; Hofstede & Hofstede, 2005). Because of this, there was very little Arab cultural context to the relationship-building process and, therefore, to this research project.

## **1.6 The Aims and Expected Contributions of this Study**

As a Continuing Higher Education (CHE) practitioner, I continually deal with the dual challenges of effectively serving community adult learning needs while establishing and maintaining positive relationships with the academic and administrative leaders within my “mother” or “host” (Blaney, 1986) Higher Education Institution (HEI). To assist me in this, I regularly review and draw upon research related to CHE management (e.g., Teichler & Hanft, 2009), HEI-CHE alignment (Lovette, 2006), and generating institutional support for CHE units and their missions (Blaney, 1986; Votruba, 1987); however, after over 30 years in the field, one area that remained unclear to me was the nature and scope of the relationship that CHE unit managers strive to establish between their units and their HEI’s academic units. Discussions with professional colleagues and reviews of relevant literature revealed a significant shortage of understanding and research in this area.

In the Fall of 2008, an opportunity to study this phenomenon first-hand presented itself. In Abu Dhabi, the Chairman of ADU/ADUKG was looking for ways to combat the global economic crisis and to maximize the benefits gleaned by his “sister organisations” from their investments in human and physical resources. “I do not want

territorialism to cause inefficiencies,” he explained. “I want separation replaced by synergy wherever possible” (Chairman, Personal Communication, November 2008). He therefore directed the organisations’ executives to explore ways to work better together by entering into a mutually-advantageous strategic relationship. He left the details of development, however, to the executives of the two organisations.

This study aims to examine the ADU-ADUKG relationship proposed by their senior executives. Its primary research question is

What outcomes are sought when adult/continuing education and academic units within a higher education institution develop enhanced inter-unit relationships?

And its secondary research question is

Which outcomes are prioritised and why?

By delving into this issue, I hope to help ADU and ADUKG establish a mutually-advantageous and sustainable relationship that will contribute to improvements in both partners’ performance and to the achievement of organisational goals. I also hope to improve my own professional practice and that of my colleagues, assist in improving the performance of my current CHE unit and institution, help fill the gap in the relevant CHE/Higher Education (HE) literature, and thereby make a discernable contribution to the fields of CHE and HE management.

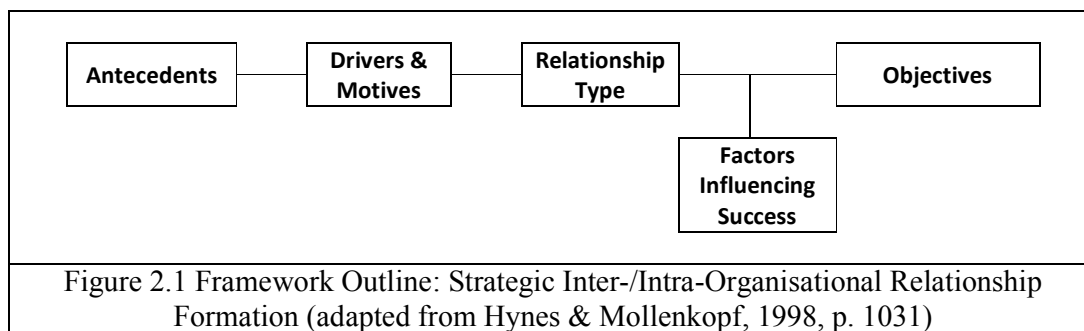
## **1.7 The Organisation of this Study**

**Chapter Two** reviews the literature pertinent to Higher Education, Continuing Higher Education, and Organisational Culture. **Chapter Three** reviews literature related to Inter-/Intra-Organisational Relationships. **Chapter Four** explains the research design and methodology of the study. **Chapter Five** presents the findings of the study and **Chapter Six** summarises the findings, analyses their implications and sets out a series of recommendations.

# CHAPTER TWO - HIGHER EDUCATION MANAGEMENT, CONTINUING HIGHER EDUCATION MANAGEMENT, AND ORGANISATIONAL CULTURE

## 2.1 Introduction

This study deals with the management of a new, privately-owned university whose ultimate head – the Chairman – was an American-educated Emirati business person. It delves into the relationship outcomes sought when the Chairman directed the senior executives of ADU and ADUKG to establish an enhanced inter-unit relationship that would “bridge between the silos” and “replace separation with synergy wherever possible” (Chairman, Personal Communication, July 2008). The framework that will be used to analyse the relationship development process will be adapted from one previously proposed by Hynes and Mollenkopf (1998) because it is one of the few in the literature that focuses on the relationship formation process (e.g., as opposed to the entire relationship life cycle). This strategic inter-/intra-organisational relationship formation model (see Figure 2.1) includes elements such as relationship antecedents, inter-/intra-organisational relationship motives and types, factors influencing success and relationship objectives, with two of the most important factors influencing success being “cultural fit” between or among the organisations involved and “human fit” between or among the individuals involved in managing the relationship (Douma et al, 2000).



Thus, the literature reviewed comes from the fields of higher education management (section 2.2), continuing higher education management (section 2.3), organisational culture (sections 2.4, 2.5 and 2.6) and inter- and intra-organisational relationships (Chapter 3).

## 2.2 Higher Education Management

There is substantial empirical evidence that level of education, employability, employment stability, and lifetime income are all directly related (Blöndal, 2002; Blöndal, Field & Girouard, 2002; Deere & Vesovic, 2006; Peracchi, 2006; Oliveira Martins et al, 2007; Santiago et al, 2008a; Strauss & de la Maisonneuve, 2007), although some research has called into question the true value-addedness of higher education (e.g., Arum & Roksa, 2011; Keeling & Hersh, 2012). Recent studies of vocational competency requirements have led researchers to conclude that, across the board, the “bar has been raised;” that is, higher education has become the minimum requirement for people to pursue non-menial employment and meaningful careers (Carnivale, Smith & Strohl, 2010; Duderstadt, 2009). Organisations such as the Observatory of the European University (OEU), Organisation for Economic Cooperation and Development (OECD), World Bank and United Nations Educational, Scientific and Cultural Organisation (UNESCO) are increasingly recognising that higher education institutions, the communities they serve, and the systems and technologies they employ are evolving at previously unseen rates. Phenomena such as globalisation, marketisation, flexibilisation<sup>3</sup> and management professionalisation compound the dynamism and complexity of institutions’ internal and external environments (Enders, 2006; Hahn, 2003; OEU, 2006). The knowledge-driven nature of social, cultural, environmental, economic, and organisational development and global competitiveness puts ever-increasing pressure on HEIs to transform human capital (both students and employees, through teaching, training and professional development), build knowledge and resource bases (e.g., through research), maintain and safeguard knowledge, resources and intellectual capital (e.g., through archiving, copyrighting and patenting), and disseminate, apply and, potentially, commercialise knowledge (e.g., through interactions with knowledge users and external partners) (Santiago et al, 2008a, 2008b & 2008c).

In response to this, Higher Education at the system, institutional and campus levels has evolved, diversified and “massified.” Higher Education’s institutional typology has expanded to embrace institutions such as polytechnics, technological institutes and university-colleges and its institutions are using a broader range of technologies,

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<sup>3</sup> Refers to increasing flexibility in definitions of scholarship, qualifications for positions, and career paths.

methodologies and media to provide expanded demographic, geographic and temporal access to a broader spectrum of programme disciplines in order to prepare graduates for wider ranges of vocations and professions in a world that's becoming increasingly complex politically, socially and technologically (Altbach, Reisberg & Rumbley, 2009; Jones, Ewell & McGuinness, 1998; Teichler, 1998). At the same time, especially in the United States, private-for-profit and corporate higher education institutions have quickly grown in size, prominence and importance, with the sector now serving approximately ten percent of the students enrolled in degree-granting institutions in the US (Wilson, 2010) and providing educational opportunities to "a disproportionate number of low-income and minority students who want to earn degrees to improve their employability" (Kohl, 2010, 15). The overall result has been hitherto unseen levels of participation and rates of change in higher education (OEU, 2006). "Between 1985 and 1996, the world cohort of kindergarten through to higher education students grew from 919 million to 1.13 billion. At the same time, higher education students increased as a group from 60.27 million to 84.26 million" (Jones, 2001, p. 107) and worldwide demand for higher education is projected to reach 160 million students by 2025 (Moe & Blodget, 2000). In 2006, the OEU identified five "folds of the University fabric" (p. 8) that needed to be transformed - funding patterns and structures, human resources, academic outcomes, third mission, and, governance and strategy - and governments have responded with white papers and policy changes (e.g., DBIS-UK, 2011). At the same time, many developing countries have experienced decade-to-decade increases in higher education participation rates of fifty percent or more and most developed countries now expect more than fifty percent of their populations to participate in higher education at some time in their lives (OECD, 2010 & 2011). In Europe, this trend is expected to stabilise university supply/demand equilibria and enrolments which otherwise would have significantly fallen because of the "greying" of their societies (OEU, 2006). In many other regions, however, this significant rise in demand has not been and will not be offset by a corresponding increase in domestic supply. Studies are now predicting that, in countries like the United States, domestic higher education systems will not have the capacity to keep pace with the demand for workers with post-secondary-level education and training (Carnivale, Smith & Strohl, 2010).

As has occurred previously in fields such as telecommunications, with increased availability and reliance have come heightened demands for access to higher education

programming, funding and infrastructure, along with cries for increased accountability, effectiveness, efficiency, and scrutiny (OECD, 2010). In many free-market countries, these are positively associated with business-like management practices such as quality assurance, and with competition and privatisation. In response to this, national and regional higher education quality assurance organisations have been established such as the UK's Quality Assurance Agency and domestic and international ranking systems such as the UK's League Tables and Times Higher Education QS World University Rankings have also evolved.

With the continued integration of educational technologies into higher education programme and service delivery and and general trends towards globalisation and strategic partnerships and networks, developing countries have opportunities for immediate access to education and training of all types and qualities, and institutions have opportunities to implement global higher education colonisation strategies and pursue positions of international dominance.

### **2.3 Continuing Higher Education (CHE) Management and the "Learning Trinity"<sup>4</sup>**

Just as the Queen in Lewis Carroll's "Alice's Adventures in Wonderland" prophetically observed "It takes all the running you can do, to keep in the same place" (1865, p. 78), Hart (1927), as cited in Beder (1989), pointed out

Within the last century, education, having become more or less completely identified with schooling, has been allocated almost exclusively to the period of childhood and youth. This has enabled adult generations to avoid and escape education. All this has taken place in a century of unprecedented industrial and social change - a century that should, because of those changes, have devoted a major part of its energies to the education of adults for intelligent living in this changed world. (p. 39)

Today, it seems evident that the trinity of learning societies, learning organisations and lifelong learning (Tight, 1998) has evolved from being a prognosticative concept

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<sup>4</sup> The Learning Trinity consists of lifelong learning, the learning organization, and the learning society (Tight, 1998)

(Naisbitt & Aburdene, 1990; Popcorn, 1992; Toffler, 1970) to being an accepted need within all societies and all aspects of those societies (Barnett, 1998), with Jarvis (2001) observing “large proportions of the workforce now work with knowledge and produce new knowledge in the course of their work” (p. 196). Reflective reviews (Field, 2001; Griffin & Brownhill, 2001; Smith, 2000) recognise the tremendous contributions made by scholars in the 1960 to 1980 time period to the conceptualisation of the learning trinity (e.g., Boshier, 1980; Faure, 1972; Husén, 1974, 1986; Hutchins, 1970, Knowles, 1980; Schön, 1967a, 1967b & 1971). Schön’s *Beyond the Stable State* (1971) envisioned all three aspects of the trinity and provided a theoretical framework to connect change situations with learning needs. He also recognised the need for institutions and organisations to continuously evolve their systems and products/services to remain competitive and, therefore, the need for them to establish transformational learning systems that would not only improve owners’ and employees’ work performance but also enhance their capacity for learning.

The loss of the stable state means that our society and all of its institutions are in continuous processes of transformation. We cannot expect new stable states that will endure for our own lifetimes.

We must learn to understand, guide, influence and manage these transformations. We must make the capacity for undertaking them integral to ourselves and to our institutions.

We must, in other words, become adept at learning. We must become able not only to transform our institutions, in response to changing situations and requirements; we must invent and develop institutions which are ‘learning systems’, that is to say, systems capable of bringing about their own continuing transformation (Schön, 1971, p. 28).

Schön’s subsequent collaborations with Chris Argyris (Argyris & Schön, 1974, 1978 & 1996) explored learning organisations and contributed to Peter Senge’s *The Fifth Discipline* (1990), and his later solo studies focused on lifelong learners and examined the concepts of reflection-in-action and reflection-on-action (Schön, 1983, 1987 & 1991). Interestingly, over 30 years later, the assertions contained in the U.S.’s National Intelligence Council 2020 Project report (2004) sound remarkably similar to Schön’s from 1971:

The very magnitude and speed of change resulting from a globalizing world – apart from its precise character – will be a defining feature of the world out to 2020... Globalization – growing interconnectedness reflected in the expanded flows of information, technology, capital, goods, services, and people throughout the world will become an overarching mega-trend, a force so ubiquitous that it will substantially shape all other major trends in the world of 2020 (National Intelligence Council, 2004, p. 10).

Husén's (1974 & 1986) approach has been described as “futurological” (Smith, 2000). Based on his analysis of how advances in communication technologies and media might affect the future of education (Griffin & Brownhill, 2001), his concept of an effective future education system included: education will be lifelong, continuous, meaningful and relevant, integrated with other life functions (e.g., employment) and without fixed entry or exit points; education will combine formal and informal processes and be more universally accessible, with learning occurring at home, at work and “on the go;” and, educational systems and learners will become more dependent on the resources, systems and media developed and supplied by third party companies and organisations.

Drawing upon the liberal democratic, emancipatory writing of authors such as Freire (1970 & 1972), Illich (1973) and Goodman (1964), Boshier (1980) envisioned a seamless education model that allowed lifelong participation, and facilitated political awareness and engagement and continuous adaptation to social and economic change. Today, lifelong learning's roles in reducing social exclusion/marginalisation, inequity, poverty and crime, facilitating cultural change, catalysing personal well-being and identity-making, and contributing to active citizenship and social justice continue as themes in scholarly research (e.g., Annette, 2010; Burton & Kagan, 2004; Crick & Wilson, 2005; Field, 2004; Jackson, 2011; MacLachlan & Osborne, 2009; Rahman, 2006), international inquiries and discussions (e.g., Hake, 1999; Segers, 2009), and national policy-making and debates (e.g., Álvarez-Mendiola, 2006 (Mexico); Drodge Shiroma, 2004 (Brazil & U.K.); Feinstein, Vorhaus & Sabates, 2008 (U.K.); Healy & Slowey, 2006 (Ireland); Matrix Knowledge Group, 2009 (U.K.); Ministry of Education, Republic of China, 2006 (Taiwan); Okumoto, 2008 (England & Japan); Sabates, 2008 (U.K.)), as well as its unanticipated hidden costs and negative effects on families and



relationships (Waller, Bovill & Pitt, 2011).

Malcolm Knowles' cornerstone book *The Modern Practice of Adult Education: From Pedagogy to Andragogy* (1980) linked the learning trinity to adult/continuing education, as it described the functions of adult/continuing as “satisfying three distinct sets of needs and goals: 1) the needs and goals of individuals, 2) the needs and goals of institutions [which included organisations such as businesses and governments], and 3) the needs and goals of society” (p. 27). These represent a relatively common thread within the adult/continuing education literature as summarised in Table 2.1.

<b>Table 2.1 - The Functions of Adult/Continuing Education</b>			
Beder (1989)	<ul style="list-style-type: none"> <li>• facilitate change in a dynamic society</li> <li>• support and maintain a good social order</li> <li>• promote productivity</li> <li>• enhance personal growth</li> </ul>	Kelly (1983)	<ul style="list-style-type: none"> <li>• salvation</li> <li>• vocation</li> <li>• civilisation</li> <li>• participation</li> <li>• recreation</li> </ul>
Darkenwald & Merriam (1982)	<ul style="list-style-type: none"> <li>• cultivation of the intellect</li> <li>• individual self-actualisation</li> <li>• personal and social improvement</li> <li>• social transformation</li> <li>• organisational effectiveness</li> </ul>	Knowles (1980)	<ul style="list-style-type: none"> <li>• needs and goals of the individual</li> <li>• needs and goals of institutions</li> <li>• needs and goals of society</li> </ul>
Jarvis (1985)	<ul style="list-style-type: none"> <li>• maintenance of the social system and reproduction of existing social relations</li> <li>• transmission of knowledge and the reproduction of culture</li> <li>• individual advancement and selection</li> <li>• leisure time pursuit and institutional expansion</li> <li>• development and liberation</li> </ul>	Stamp (as cited in Selman and Dampier, 1991)	<ul style="list-style-type: none"> <li>• earn a living</li> <li>• live a life</li> <li>• mould a world</li> </ul>

For the purposes of analysis, there are advantages to delineating among these functions; however, they are inextricably linked together, both in harmony and in conflict (Knowles, 1980). Individuals gather together to form organisations, institutions and societies. Institutions employ and serve individuals and play fundamentally important roles in societies. And, ideally, there is congruency between societies’ and institutions’ goals and those of the individuals who constitute them. (for example, Robert House’s *Path-Goal Theory of Leader Effectiveness* (1971)).

Knowles (1980) observed that society's "rapidly accelerating pace of change" (p. 28) challenged adults' natural and universal pursuit of self-actualisation (as described by Lindeman (1961) and Maslow through his Hierarchy of Needs (1954)) and envisioned the role of adult/continuing educators as helping "individuals learn what is required for gratification of their needs at whatever level they are struggling ... and ... help them explore undeveloped capacities and become their full selves" (p. 29). Subsequently, Lash (1984) concluded that the most effective and efficient means to knowledge gain is formalised education/training and Stephens (1990) observed that lifelong learning was becoming increasingly associated with skills updating and the "training and development needs" (p. 51) of employees. Thereafter, the editors of the journal dedicated to the subject – the *International Journal of Lifelong Education* – asserted that lifelong learning is "increasingly being equated with continuing education and related rather specifically to vocational updating for which academic qualifications are awarded" (IJLE, 1998, p. 69).

In the decades since the early lifelong learning visionaries published their various works, the complex concept of the learning trinity has been analysed and debated, with Rikowski (1998) describing the learning trinity as "idealistic educational discourse" (p. 223) that is "utopian" and "unhistorical" (p. 226) and Hughes and Tight (1995) characterising it as a "myth" which has "no real prospect of coming into existence in the foreseeable future" (p. 188) and which is being perpetuated by those who seek to profit from it. In a similar vein, Featherstone (1991) observed that, in our consumer societies, education has become commodified, a source of wealth, and a symbol of status. Sociologists Ulrich Beck (1994) and Anthony Giddens (1990) purported that lifelong learning is a natural result of modernity and it and its associated social structures will occur regardless of whether governments develop guiding policies or organisations or education systems evolve to embrace it. Similarly, Peter Drucker described the modern business world as "post-capitalistic" and observed that knowledge is "the only meaningful resource" (1993, 42) and knowledge renewal is the key to competitiveness, although Jarvis (2001) warns that "since education generally reinforces and reproduces the social structures of its society" (p. 197), lifelong education could also be used to control creativity and competitiveness and impose groupthink. Michael Strain and John Field (1998) encouraged their peers to not dismiss the concept of the learning trinity out of hand and observed that "There is 'out there' a real society in which knowledge and other resources are unequally distributed, to a

degree that is not only inimical to the fulfilment of individual capabilities and freedoms, but, arguably, detrimental to the collective survival and development of human society” (Strain & Field, 1998, p. 240). Ranson (1992, 1994, 1998a, 1998b & 1998c) used an analogous argument to encourage us to utilise the learning trinity concept to make sense of and guide the adaptations that individuals, organisations and societies have to make because of globalisation and other ongoing social and economic changes. In support of this, Ranson (1998a), Richard Edwards (1997) and Michael Young (1998) have developed “elaborate typologies ... which represent deep analyses of the principal perspectives in the field” (Hyland & Merrill, 2003, p. 24).

Over its four-decade lifespan, lifelong learning has been consistently proposed as an important educational, social, economic and political concept by international organisations such as the United Nations Educational, Scientific and Cultural Organisation (UNESCO), the Organisation for Economic Cooperation and Development (OECD), the World Bank and two European regional organisations, the Council of Europe and the European Union/Community (Schuetze, 2006). UNESCO’s International Commission on the Development of Education’s *Learning to Be* (Faure et al, 1972) vaulted the concepts of the learning society and lifelong learning from obscurity to mainstream politics, as they became the subject of substantial political debate and the bases for policy-making for many Western governments (Smith, 2000).

If learning involves all of one's life ... and all of society, including its social and economic as well as its educational resources, then we must go even further than the necessary overhaul of 'educational systems' until we reach the stage of a learning society (Faure et al 1972: xxxiii).

Schuetze (2006) observed that “The Faure report formulated the philosophical–political concept of a humanistic, democratic and emancipatory system of learning opportunities for everybody, independent of class, race or financial means, and independent of the age of the learner” (p. 290) and led to other international organisations commissioning studies and publishing reports (Tuijnman & Boström, 2002). In the 1990s, developments such as the Internet, free trade agreements and the recognition of knowledge as an increasingly important economic factor and organisational and political asset led to a rekindling of interest in lifelong learning (Schuetze, 2006) and sparked a new round of studies, publications and/or policy statements (e.g., the European Commission’s *Teaching and Learning – Towards the Learning Society*

(1995), UNESCO's *Learning: The Treasure Within* (1996), the OECD's *Lifelong Learning for All* (1996) and the European Council's *Conclusions on a Strategy for Lifelong Learning* (1996)). Since the dawn of the 21<sup>st</sup> Century, further studies have been conducted, largely spurred on by the opportunities and challenges represented by globalisation, technologically-mediated learning, and the ascension of multinational corporations, organisations and alliances. The U.K. has been particularly assertive regarding lifelong learning research and government policy-making, with the National Institute of Adult Continuing Education's Inquiry into the Future for Lifelong Learning conducting comprehensive nation-wide research and producing reports (e.g. Bynner, J., 2009; Matrix Knowledge Group, 2009; Sabates, 2008; Schuller & Watson, 2009) that contain significant policy recommendations for government. Studies have found that, for a variety of ideological and economic reasons, the majority of governments and institutions have focused lifelong learning operationalisation processes on vocationally-/employment-related activities, with Jarl Bengtsson, former head of the Centre for Educational Research and Innovation at OECD, observing "The UK policy view of lifelong learning, which in practice is increasingly employer-led, has largely followed an agenda of developing a more productive and efficient workforce and raising Britain's economic competitiveness through a 'skills revolution'. The dominant understanding of lifelong learning in official policy discourse continues to place an emphasis on vocational learning" (2009, p. 1). Field further asserted that

lifelong learning has been used by policymakers as little more than an modish repackaging of rather conventional policies for post-16 education and training, with little that is new or innovative. ... The tendency to wrap up existing practice in a more colourful phrase can also be seen in the rush by providers to claim their adherence to lifelong learning and even professional titles have been subjected to this rebranding. The educational result is a kind of linguistic hyperinflation, in which the term is constantly devalued (2006, pp. viii-ix).

The depth, breadth and dynamism of learning needs being brought forward by individuals, associations and employers has led many to envision private HEIs, community colleges, further education institutions, and CHE units as the most willing and able to respond in an effective and timely manner (Blair, 2010; Dann-Messier, 2011; Duke, 2009; Leader, 2003; Morse, 2008). Lifelong learning is seen as a significant challenge to HEIs (Duke, 1999; Teichler, 1999), their leadership (Byrne,

1999) and their internal power relations and structures (Kogan, 2001). HEI academic units are generally characterised as “slow to respond” (Jarvis, 2004, p. 64) to community lifelong learning needs, as they struggle to “rethink and reshape their business concept” (Jongbloed, 2002, p. 413), to see adult learning needs as a priority (Boylston & Blair, 2006; Hadfield, 2003), to fit responding to lifelong learning needs into a broader context of community engagement (Duke, 2009), and to bridge the gaps between formal and informal learning (Baba-Moussa, 2011), academic and professional studies (Blair, 2010) and credit and non-credit programming (Fouts & Mallory, 2010).

In the UAE, the Ministry of Higher Education and Scientific Research (MOHESR) published its *Educating The Next Generation Of Emiratis: A Master Plan For UAE Higher Education* in 2007 and in it describes higher education as “a critical building block for national progress” (p. 5). The document “envisions a world-class higher education system that will prepare our citizens for social and economic leadership and for informed and intelligent personal lives” (p. 5) and maps out a highly-regulated, quality-assured, and accessible-to-all higher education system made up of public and private institutions that “reflects UAE values [and] is part of the social fabric of the nation” (p. 10). It predicts substantial increases in domestic demand for higher education over the next decade and makes continuous reference and commitment to the provision of lifelong learning and “strong and extensive continuing education” (p. 5) opportunities.

## **2.4 Organisational Cultures**

Geertz (1970) observed that many animals are genetically coded to behave in certain ways in order to enhance survivability. Since human beings do not possess this coding at the gene level, they develop cultural codes at the collective level (e.g., groups, families, societies) in order to effectively survive, adapt and achieve. Culture provides the framework for groups of people to make order out of chaos (Trice & Beyer, 1993) and provides the foundation for explanations of patterns and orderliness of individual and group behaviours (Bergquist & Pawlak, 2008). Many researchers have studied the interdependence between organisational culture and performance (e.g., Agbényiga, 2011; Beadles et al, 1995; Brown, 1992; Deal & Kennedy, 1982; Gordon & DiTomaso, 1992; Gregory et al, 2009; Kirby, 2005; Kotter & Heskett, 1992; Marcoulides & Heck, 1993; Miner, Crane & Vandenberg, 1994; Ogaard, Larsen &

Marnburg, 2005; Ogbonna & Harris, 2000; Ouchi, 1981; Peters & Waterman, 1982; Saffold, 1988; Schein, 1990 & 1991; Skerlavaj et al, 2007; Tom, 1991; Wilkins & Ouchi, 1983), with some observing that organisational cultures help establish social order, manage collective uncertainties, and create organisational identity, continuity and commitment (Trice & Beyer, 1993). Many further contend that, in order to be effective leaders and managers, organisations' executives must learn how to connect goal achievement/corporate performance to the fostering of contributory elements in their organisations' cultures and must become knowledgeable and skilled at cultural management (Beer et al, 2005; Brown, 1992; Denison, 1990; Hickman & Silva, 1984; Masood et al, 2006; Ogbonna & Harris, 2000; Schein, 1992).

Organisational cultures are heavily influenced by regional/national cultures (Dickson, BeShears & Gupta, 2004; Hofstede, 2001; Javidan et al, 2004; Moore, 1985) and industry cultures (Barley, 1983; Brodbeck et al, 2004) and have been seen, in certain circumstances, to encourage ethnocentrism (Trice & Beyer, 1993). They emerge over time (Trice & Beyer, 1993), are shaped by organisations' past experiences (Clark, 1970) and leaders (Kotter & Heskett, 1992; Pettigrew, 1979; Schein, 1985 & 1992), are dynamic, intrinsically symbolic, and emotionally charged (Trice & Beyer, 1993), and are constantly evolving (Fombrun, 1983). In organisations like hospitals and long-term healthcare facilities, effective organisational culture reduces occupational stress and protects employees from anxiety (Lyth, 1992)

The critical importance of subcultures has been emphasised by many scholars (e.g., Barley & Louis, 1983; Boisnier & Chatman, 2002; Gregory, 1983; Hopkins, Hopkins & Mallette, 2005; Linnenluecke, Russell & Griffiths, 2009; Locke & Guglielmino, 2006; Lok, Westwood & Crawford, 2005; Morgan & Ogbonna, 2008; Palthe & Kossek, 2002; Riley, 1983; Trice, 1993) and is seen by some as the dominant perspective today (Boisnier & Chatman, 2002; Hopkins, Hopkins & Mallette, 2005; Trice & Morand, 1991). Most scholars acknowledge the presence and importance of subcultures but many question the true existence of "organisation-wide umbrella cultures" (Silver, 2003; Trice & Beyer, 1993, p. 13). Other studies have revealed the co-existence of organisation-wide cultures and subcultures (Child & Smith, 1983; Clark, 1970; Hackman, 1984; Lok, Westwood & Crawford, 2005; Pettigrew, 1979; Whipp, Rosenfeld & Pettigrew, 1989), with each subculture exhibiting unique combinations of universality/distinctiveness and rigidity/malleability (Hopkins, Hopkins & Mallette,

2005; Leach, 1970; Levi-Strauss, 1963; Trice & Beyer, 1993). Studies have also found that highly visible cultural artefacts that are shared across an organisation can give the illusion of homogeneous culture while masking the existence of significant cultural differences (Siehl, 1984), a situation which may only become obvious in times of high organisational stress (Lorsch, 1986). Some have argued that subcultures detract from overall organisational performance (Martin, 1992) and that a strong, unifying culture precludes subcultures (O'Reilly, 1989; Saffold, 1988). Research conducted by Hopkins, Hopkins and Mallette (2005) concluded that sustained high performance and organisational competitiveness requires a strong overarching organisational culture that fits well with the organisation's mission, goals and strategies and, to achieve this, leaders must effectively align organisational subcultures "such that an organisation's employees identify with and are committed to the same set of organisational values" (p. 8). Others have found the combination of a strong central culture and dynamic subcultures to be key components of agile, competitive organisations (Boisnier & Chatman, 2002) and others have found that subcultures' types and leadership styles directly impact inter-cultural relationships (Lok, Westwood & Crawford, 2005). Thus, there is significant value in studying how high-performance organisations manage their subcultures and orchestrate intra-organisational interactions and perceptions that foster commitment and support superior overall organisational performance (Boisnier & Chatman, 2002; Hopkins, Hopkins & Mallette, 2005; Lok, Westwood & Crawford, 2005; Saffold, 1988).

Since employees often do not have clear rules to follow as they pursue strategy-based outcomes, they rely on corporate culture for guidance (Schein, 1992; Schwartz & Davis, 1981) on how to perform and prioritise tasks (Barney, 1986). In these situations, stronger culture provides clearer guidance and greater positive impacts on employees' strategy-related behaviours, thus significantly contributing to the success of strategy implementation (Kotter & Heskett, 1992; Schein, 1992). Interestingly, Hopkins, Hopkins and Mallette's (2005) subculture alignment research focused completely on aligning subcultures with a strong, overarching organisational culture and did not address inter-subculture alignment or relationships.

Research by Denison (1990), Fjortoft and Smart (1994), and Smart and Lerner (1993) support the hypothesis that effective performance is contingent upon a close alignment between an organisation's mission and culture, as expressed through artefacts such as

policies and procedures. Chaffee's (1984) findings implied that, in order to implement successful turnaround strategies, institutions must establish missions that facilitate adaptive responses to changes in their external environments. Schein (1990) and Shockley-Zalabak and Morley (1989) suggested that, through mechanisms such as enhanced communications and employee involvement in decision-making, culture influences an organisation's ability to adapt to its external environment and to harmonise its internal resources; thereby, culture substantially affects an organisation's overall effectiveness.

Studies have proposed three perspectives on organisational culture – **integrated** (emphasising organisation-wide consensus, internal consistency and clarity), **differentiated** (emphasising consensus and clarity within subcultures, and inconsistencies and a lack of shared perspective among them), and **fragmented** (emphasising inconsistencies in consensus and clarity at all levels and the pervasiveness of ambiguity and uncertainty) (Martin, 1991; Martin & Meyerson, 1988; Meyerson, 1991a & 1991b; Meyerson & Martin, 1987). Ouchi (1980) and Wilkins and Ouchi (1983) proposed a threefold typology of organisational culture - clans, bureaucracies, and markets - grounded in transactional cost theory. They presented the three proposed culture types as alternative "governance modes" or "patterned exchanges;" that is, each of the culture types uses different mechanisms to control or influence member behaviour (Ouchi 1980). Dill (1982) used this typology in his study of quality control mechanisms in American colleges and contended that "the earliest American colleges exhibited clan procedures of control, which were gradually supplemented by institutionally-based hierarchy and rules, and have culminated in increasing reliance on market-based mechanisms" (p.47).

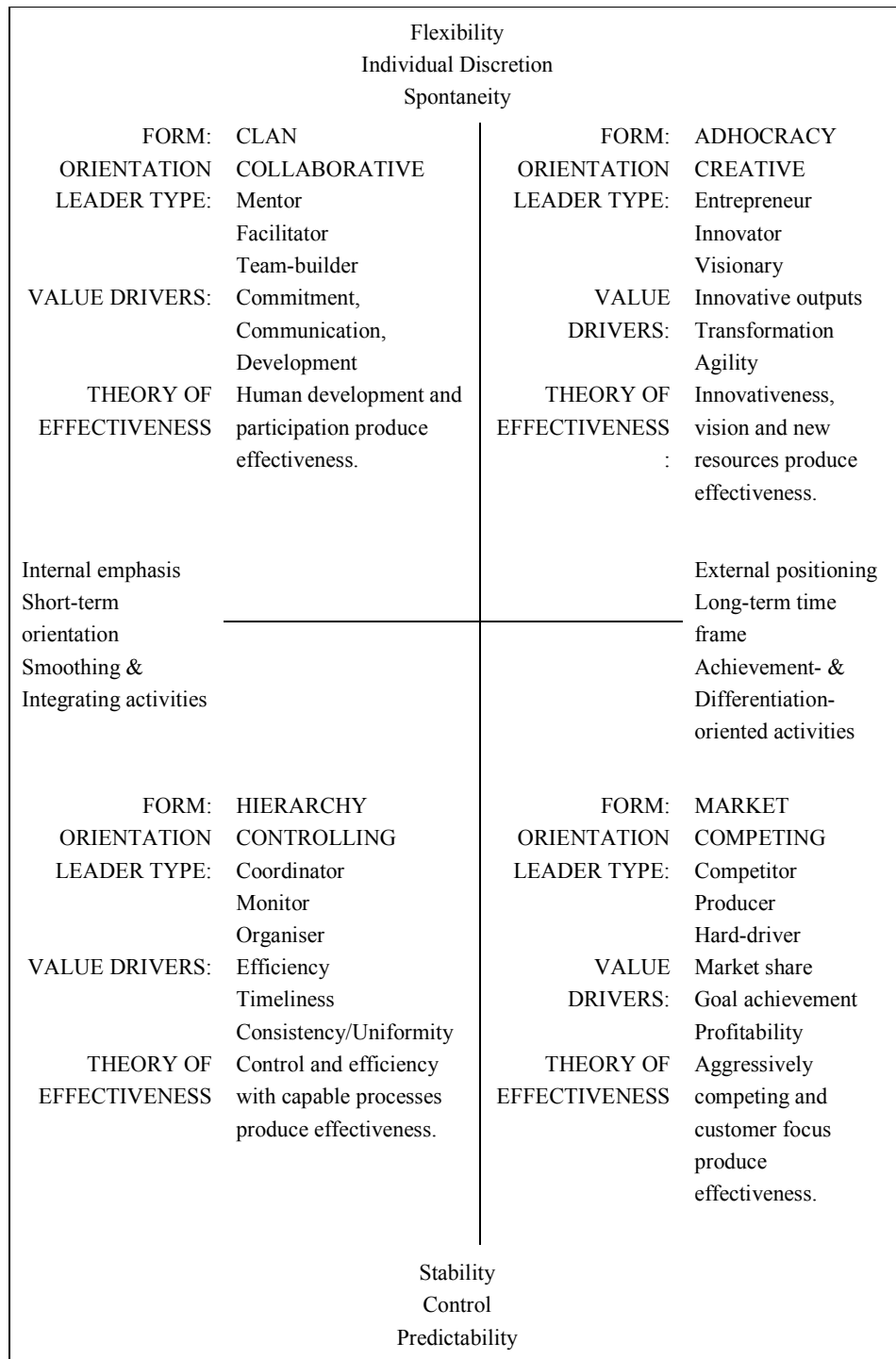
Influenced by Jung's (1923) "psychological archetypes" and Quinn's (1988) concept of competing demands in organisations, Cameron and Ettington (1988) added a fourth type – adhocracies – to Ouchi's (1980) and Wilkins' and Ouchi's (1983) model. The resulting fourfold "competing values framework" was based on two dimensions: **dynamism/stability** (with emphases ranging from flexible, individual, and spontaneous to control-oriented and predictable) and **internal/external orientation** (with *internal* characterised by a short-term orientation and a focus on internal harmonising activities and *external* characterised by a long-term time frame and a focus on external competition and



marketplace positioning and achievement). Quinn and Kimberly (1984) explored ways to use the framework to evaluate organisational culture by probing “basic assumptions that are made about such things as the means to compliance, motives, leadership, decision making, effectiveness, values and organisational form” ( p. 298). Zammuto and Krakower (1991) helped to validate the framework and its value as a research tool and Cameron and Quinn (2006) then used the framework to generate cultural assessment, cultural change management and organisational effectiveness improvement tools and applied it to organisational roles and strategies such as leadership, human resource management and total quality management. Figure 2.2 (below) illustrates the application of the competing values model to organisational leadership and effectiveness.

## Figure 2.2 – The Competing Values of Leadership, Effectiveness, and Organisational Theory

(adapted from Cameron and Quinn, 2006, p. 46)



Bergquist & Pawlak (2008), Martin (1992), Martin, Sitkin and Boehm (1985), Trice (1993) and Van Maanen and Barley (1984) profess that organisations are fundamentally multicultural (i.e., made up of multiple subcultures) and that, in order to be truly effective in managing an organisation, executives need to identify its subcultures and develop strategies to harmonise and acculturate them. Schein (1992) observed that, as organisations grow, they naturally “differentiate” (i.e., divide into subgroups). In some cases, organisational subcultures and organisational substructures align (e.g., product divisions or geographic subsidiaries) but in other cases they do not (e.g., workers of a particular age, gender or ethnicity are not necessarily members of the same department).

Harrison M. Trice, in his book *Occupational Subcultures in the Workplace* (1993), noted that, besides occupational subcultures, there are five other areas within organisations where subcultures typically arise. These involve individuals who are bonded together by a common trait or interest (e.g., age, gender, ethnicity), share a technology or are part of a work flow, are in the same department, are members of top management, and are members of staff units/teams. He proposed a typology of four subcultures based on each of two characteristics being high or low (see Figure 2.3). One characteristic relates to the degree to which members of the subculture are cohesive or "stick together" and he referred to this as the "Group Dimension." The other involves tangible structures, patterns and norms through which members of the subculture relate to each other (e.g., ranking, autonomy, etc.). This he referred to as the "Grid Dimension." Subcultures whose members had clearly-written and communicated position descriptions and delineated rankings, responsibilities for the work of others, levels of occupational autonomy, etc. were considered to be strong in their grid dimension.

**Figure 2.3 – Chart Adaptation of Trice’s (1993, p. 43)  
Group/Grid Dimension Typology System for Occupational  
Subcultures**

<b>INCREASING GROUP STRENGTH ↑</b>	<p align="center"><b>Strong Group/Weak Grid Dimensions ("Dominating" Occupational Subculture)</b></p> <p>These can be found in organisations where all or almost all of the organisation's members are in one well-developed occupation. As a result, members generate their own grid structure to administer the organisation and are also responsible for planning and controlling work processes (Freidson, 1986). Consequently, such occupations have relatively weak grid structures but <i>dominating</i> group features. Occupations in secondary schools, police departments and social welfare agencies are examples.</p>	<p align="center"><b>Strong Group/Strong Grid Dimensions ("Accommodating" Occupational Subculture)</b></p> <p>These occupations approach being communities. ... they have prominent structural features. These features are independent, however, of the organisation's administrative structure. Thus, they have a ranking system relative to the other occupations with which they interact in the organisation and a ranking system within their own group. They adapt to managerial subcultures by <i>accommodating</i> their culture's definitions and practices to those of management so that neither prevails. Corporate physicians are an example.</p>
	<p align="center"><b>Weak Group/Weak Grid Dimensions ("Egalitarian" Occupational Subculture)</b></p> <p>These occupations have tended to reject both occupational expertise as well as administrative hierarchy, submitting instead to the authority of democratic consensus. They abandon both grid and group features, attempting to create new work organisations in which they can express the [<i>egalitarian</i>] ideology that everyone has an equal role in deciding how work will be organised and relationships structured. Examples are producer cooperatives, alternative schools and feminist health collectives.</p>	<p align="center"><b>Weak Group/Strong Grid Dimensions ("Assimilated" Occupational Subculture)</b></p> <p>Occupations in this category have ideologies that closely resemble those in the managerial hierarchy or management has been successful in dismantling and redistributing the occupation's tasks and body of knowledge. Thus, the occupation becomes <i>assimilated</i> and over time takes on management's ideologies and strong grid structure. Members of the occupation have weak consciousness of kind and low cohesiveness. Examples are engineers, accountants and personnel administrators.</p>
	<b>INCREASING GRID STRENGTH →</b>	

Trice portrayed organisations as dynamic amalgams of subcultures, each of which is in a constant process of acculturation (i.e., "reaching equilibrium") with those subcultures with which it has contact. In each instance, acculturation involves accommodation, assimilation or a combination of the two processes. Which process or combination of processes is used largely depends on their relative group/grid strengths and on their relative positions in the organisation's hierarchy. The organisation's managers are seen as a "managerial administration" subculture. The managerial administration subculture is responsible for acculturating with all other subcultures and ensuring that all are effectively contributing to the overall mission and goals of the organisation.

When organisations are small, it is not unusual or undesirable for leaders to express their own values and beliefs and integrate them into the organisation's emerging culture (Kotter & Heskett, 1992; Pettigrew, 1979; Schein, 1985 & 1992). As organisations grow, subcultures emerge, subunits are formed, and the leader's ability to personally manage frontline culture diminishes. To continue to generate consistency and commitment among frontline employees, effective senior leaders do not attempt to homogenise diverse subcultures or create a single culture that encompasses them all; rather, they embrace and celebrate their diversity and find workable solutions to challenges that "maintain the organisation's culture by reconciling diverse interests ..." (Trice, 1993, p. 226). Trice (1993) further observed that "Where constant clashes characterise a relationship, it is quite possible that many members of the less dominant subcultures will become alienated, in which case they may reject both the dominant subculture and their own as well." (p. 226). Thus, the ability to reduce the number and intensity of internal clashes by using "an accommodative mode of interaction" (Trice, 1993, p. 226) becomes a critical ability among senior managers of medium-sized and large organisations. The U.S.-based Center for Creative Leadership identified five critical competencies for "boundary-spanning" cross-cultural managers: heightened self-awareness, (including a clear understanding of his/her organisation's culture and subcultures, his/her place within them, and how well his/her personal values, beliefs, standards and norms align with those of the organisation's culture and his/her and other organisational subcultures), commitment to informed action and change (including continuous learning and the ongoing encouragement and provision of effective feedback), effective work-life integration, respect for organisational diversity and differences in others, and the ability to see the world from the perspective of others without losing his/her own perspective ("the ability to be anchored while moving")

(Alexander & Wilson, 1997, p. 294).

## **2.5 Organisational Cultures in Higher Education**

Based on the efforts of researchers such as Chaffee (1984), Davies (1986), Denison (1990), Lang and Lopes-Sweetman (1991), and Smart and Lerner (1993), Fjortoft and Smart (1994) looked further into the interrelationships among organisational culture, mission agreement and higher education institutional performance and concluded that “efforts to foster mission agreement in order to enhance organisational effectiveness must take into consideration the prevailing culture type of the campus” (p. 443).

The study of organisational culture in institutions of higher learning appears to be a growing area of interest (e.g., Bergquist & Pawlak, 2008; Chaffee & Tierney 1988; Dill, 1982; Folch & Ion, 2009; Hurley, 1990; Ion, 2006; Knight & Trowler, 2000; Lewis, Marginson & Snyder, 2005; Locke & Guglielmino, 2006; Roueche, Roueche, & Johnson, 2002; Rusch & Wilbur, 2007; Silver, 2003; Taylor, 2002; Tierney, 1988, 1997 & 2006), although Hardy (1990) pointed out that the amount and sophistication of research into organisational culture in institutions of higher learning is behind that of its corporate counterparts. In part, this laggardness could be explained by academics’ concerns about the inappropriateness of applying corporate culture concepts to HEIs (Parker, 2000; Willmott, 1993) and by researchers’ observations of departmental instabilities (Becher, 1990), divided loyalties (Silver, 2003), and low levels of integration of programmes and subjects within institutions (Evans, 1988).

HE-related cultural research in the 1950s and 1960s focused on student culture (Becker, 1963; Bushnell, 1960; Clark, 1963; Davie & Hare, 1956; Pace, 1960). Moving into the 1970s and 1980s, Burton Clark became recognised as a pioneer in HE cultural research (Tierney, 1988), with studies on distinctive HEIs as cultures (Clark, 1970), the roles of belief and loyalty in HEIs (Clark, 1971), and organisational sagas as tools for HEI identity (Clark, 1972). Other 1980s research studied academic cultures (Becher, 1981; Freedman, 1979; Gaff & Wilson, 1971), HEI leadership (Chaffee, 1984; Chaffee & Tierney, 1988; Tierney, 1988) and the HE system as a culture (Bourdieu, 1967; Clark, 1984), with Clark (1984) describing academics as “clusters of professionals tending various bundles of knowledge” (p. 107).

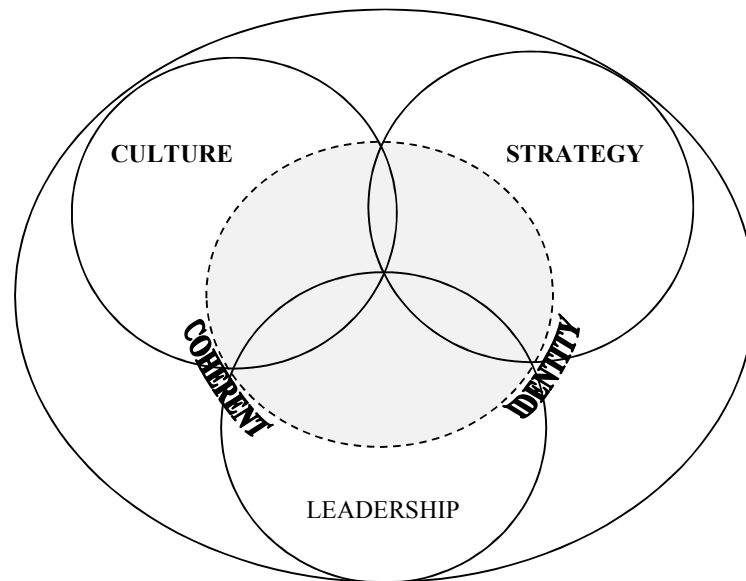
One of the most respected academics in the HE organisational culture field is William G. Tierney. In 1988, Tierney produced a question-based “essential elements to be studied” (1988, p.8) organisational culture framework for HEIs (see Table 2.2 below).

<b>Table 2.2 – A Framework of Organisational Culture</b> (Tierney, 1988, p.8 and Tierney, 2008, p.30)	
Environment	<ul style="list-style-type: none"> <li>• How does the organisation define its environment?</li> <li>• What is the attitude toward the environment? (Hostile? Friendship?)</li> </ul>
Mission	<ul style="list-style-type: none"> <li>• How is it defined?</li> <li>• How is it articulated?</li> <li>• Is it used as a basis for decisions?</li> <li>• How much agreement is there?</li> </ul>
Socialisation	<ul style="list-style-type: none"> <li>• How do new members become socialised?</li> <li>• How is it articulated?</li> <li>• What do we need to know to survive/excel in this organisation?</li> </ul>
Information	<ul style="list-style-type: none"> <li>• What constitutes information?</li> <li>• Who has it?</li> <li>• How is it disseminated?</li> </ul>
Strategy	<ul style="list-style-type: none"> <li>• How are decisions arrived at?</li> <li>• What strategy is used?</li> <li>• Who makes decisions?</li> <li>• What is the penalty for bad decisions?</li> </ul>
Leadership	<ul style="list-style-type: none"> <li>• What does the organisation expect from its leaders?</li> <li>• Who are the leaders?</li> <li>• Are there formal and informal leaders?</li> </ul>

Tierney asserted that “Each cultural term occurs in organisational settings, yet the way they occur, the forms they take and the importance they have, differs dramatically” (1988, p. 9).

The 1988 book *Collegiate Culture and Leadership Strategies* that Tierney co-authored with Ellen E. Chaffee is one of the most referenced studies on the subject. In it, they describe organisations’ “search for dynamic equilibrium in organisational culture” (p. 18) and the need for culture, strategy and leadership to be congruent in order to establish, communicate and maintain a coherent institutional identity. (see Figure 2.4

below).



**Figure 2.4 – Coherent Organisational Identity**

Adapted from Chaffee & Tierney, 1988, p. 28

A principal role of leaders, they said, was to seek dynamic equilibria among their organisations’ cultural dimensions (structure, environment and values) and to manage organisational continuity, change and identity by continually seeking congruence among its culture, strategy and leadership. Four years later, Tierney’s co-authored guidebook on *Cultural Leadership in Higher Education* (Rhoads & Tierney, 1992) recognised that each HEI exists as a unique organisational culture and provided HEI managers with principle-based practical guidance regarding cultural leadership in HEIs.

Integrating suppositions put forward by Giroux (1992) and Freire (1970 & 1972) and reflecting Van Maanen and Barley’s (1985) assertion that organisational culture studies in HEIs should “move to the group level of analysis” (p. 51), Tierney (1993) drew upon postmodernism’s concept of continuous search for identity and critical theory’s focus on equitable and democratic pluralism to paint a different picture of cultures and subcultures in a higher education/academic environment. Echoing Becher and Trowler’s (2001) perception of HEIs as being divided into academic tribes/clans and territories, Hodgkinson’s (1968) observation that HEIs had “gone from paternalism to competitive factionalism” (p. 406), the Kellogg Commission’s analysis that HEIs have



“become institutionally fragmented aggregation[s] of departments” (2000, p. 10), and Damrosch’s description of academic culture as “a heady mix of scholarly alienation and disciplinary nationalism” (1995, p. 6), Tierney saw HEIs as being made up of distinct and often strong subcultures, each of which could use its differences as reasons for focusing inwardly, thus creating a “siloesd” organisational culture with no hope of achieving pluralism. Tierney argued that subcultures’ search for identity should be performed in the context of the total organisation and needs to include sustained interaction with adjacent subcultures. Reflecting some academics’ concerns that HEI managers could use organisational culture as a means to suppress dissent and individuality (Alvesson, 1993; Willmott, 1993), Tierney asserted “cultural citizenship involves transcending borders and trying to understand cultural difference. We honor one another’s identities not by assuming we can amalgamate differences, but by engaging in dialogues of respect and understanding” (1993, p. 141). By so doing, subcultures’ identities are ever-evolving and there is greater appreciation for and acceptance of the idea that there is no one “truth,” only different perspectives on reality. Tierney explained that “Each act in itself is not a magic potion to radically transform academic culture, but it offers a schema for thinking about higher education in a way radically different from ideas of colleges and universities as museums or ‘stews’ or isolated arenas with unbridgeable differences” (1993, p. 143).

In 1997, John C. Smart and George D. Kuh teamed up with Tierney to study the inter-relationships among organisational culture, decision making approaches and institutional effectiveness in two-year American colleges. The study used the four-culture Competing Values Framework typology developed by Cameron and Ettington (1988) and researched by Cameron and Freeman (1991), Cameron and Quinn (2006) (see Figure 2.1), Quinn and Rohrbaugh (1981 & 1983), and Quinn and Spreitzer (1988). The four culture types were labelled Clan, Adhocracy, Bureaucracy, and Market. Characterisations of the four culture types are provided in Table 2.3 below.

**Table 2.3 – Descriptions of Culture Types**  
(from Smart, Kuh & Tierney, 1997, p. 262 & 264)

<b>Culture Type</b>	<b>Characterised by ...</b>
<b>Clan</b>	<ul style="list-style-type: none"> <li>• Norms and values that foster affiliation, encourage member participation in decision-making, and emphasise talent development as an institutional goal</li> <li>• Faculty and staff are motivated by trust, tradition and their commitment to the institution</li> <li>• An organisational emphasis on human resources</li> <li>• Leaders are considered to be mentors, sages or parental figures</li> <li>• The use of interpretive strategies and consensus to make decisions</li> </ul>
<b>Adhocracy</b>	<ul style="list-style-type: none"> <li>• An assumption that change is inevitable</li> <li>• A commitment to innovation and development with an emphasis on “being first”</li> <li>• A willingness to take risks</li> <li>• Individuals being motivated by the importance and ideological appeal of the tasks they address</li> <li>• An emphasis on growth and new resource acquisition and the use of a prospector-type strategic orientation to acquire resources to ensure institutional vitality and viability</li> <li>• Leaders are seen as entrepreneurs, innovators and risk-takers</li> <li>• The use of adaptive and interpretive strategies to make decisions</li> </ul>
<b>Bureaucracy</b>	<ul style="list-style-type: none"> <li>• A strategic orientation toward stability and maintaining the status quo</li> <li>• Well-defined role descriptions that dictate the activities performed by various individuals and the nature of the relationships among people</li> <li>• Formal and structured work environment which emphasises smooth-running operations, where rules and regulations govern individual compliance with organisational mandates, and where people are not encouraged to share personal information</li> <li>• Linear strategy as the mode of operation</li> </ul>
<b>Market</b>	<ul style="list-style-type: none"> <li>• A orientation toward competition, measured performance and goal achievement</li> <li>• An emphasis on planning, productivity and efficiency when developing strategy</li> <li>• A work environment that does not encourage employees to share personal information</li> <li>• The leader being considered a producer, technician and “hard driver” and not a coordinator, organiser or administrator</li> <li>• The use of linear strategy</li> <li>• The assurance of faculty and staff performance through rewards for competence and contributions to organisational effectiveness</li> </ul>

The research results indicated that the organisational effectiveness of a two-year college is directly affected by the nature of the interaction among the external

environment, institutional culture, and decision-making approach. When faced with potentially debilitating conditions in their external environments, colleges with adhocracy and clan cultures are advantaged (Cameron & Ettington, 1988; Cameron & Freeman, 1991; Fjortoft & Smart, 1994). Nearly half of the colleges studied had dominant bureaucratic or market cultures, both of which demonstrated a negative relationship with effectiveness under the environmental conditions present at the time. Consistent with Schein's (1992) findings, the research indicated the importance of college managers and executives understanding and managing their organisational cultures and, in this case, moving their cultures and leadership styles to be consistent with the need to facilitate organisational entrepreneurship.

In 2007, Deanna de Zilwa reported on a study conducted among Australian universities at a time when external forces were pushing the institutions far from their normal modes of operation, a situation described by Mitleton-Kelly (2003, p. 32) as "far from equilibrium." The study found that, when universities found themselves "far from equilibrium," they altered their operations and even their organisational structures in an effort to adapt to the situation and restore equilibrium, a finding that was consistent with previous research (Cameron, 1984; Gumport, 2000; Gumport & Sporn, 1999; Jongbloed, Maassen, & Neave, 1999; Sporn, 1995, 1996 & 1999). Depending on their organisational cultures, academic units approached adaptation proactively or passively-reactively. Proactive units were seen to use their heterogeneity to "create a climate of intellectual fervour, innovation, flexibility, risk-taking and exaptation<sup>5</sup>" (de Zilwa, 2007, p. 571) and were found to share one area of homogeneity among themselves and with their management colleagues – entrepreneurship. Passive-reactive units enjoyed a more homogeneous culture that included goal cohesion, shared values, congruence in spatial and temporal orientations, and a lack of interest/affinity for marketisation and entrepreneurship. These latter units were often made up of members whose disciplinary "tribal bonds" (Becher & Trowler, 2001) "defined their identity and became their primary affiliation" (de Zilwa, 2007, p. 563) and thus weakened their affiliation with their unit and the institution.

One of the seminal books in this field of study is Bergquist and Pawlak's *Engaging the Six Cultures of the Academy* (2008). In it, they built on the work and recommendations

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<sup>5</sup> Exaptation was defined by Mitleton-Kelly in 2003 (pp. 35–37) as "seeing a new function for part of an existing entity."

of Tierney (1988 & 1990) and postulated that higher education – and the institutions which comprise it – house six cultures (summarised in Table 2.4). Three of the cultures (Collegial, Managerial & Tangible) have deep historical roots in higher education, while the remaining three (Developmental, Advocacy and Virtual) have emerged more recently, partially in response to the seeming failure of the original cultures to adapt effectively to changes in contemporary colleges and universities.

**Table 2.4 – A Summary of Characteristics of Bergquist & Pawlak’s  
Six Cultures of the Academy (2008)**

	<i>a culture that finds meaning ...</i>	<i>a culture that values ...</i>	<i>a culture that holds assumptions about ...</i>	<i>a culture that conceives of the institution’s enterprise as ...</i>
<b>Collegial Culture</b>	primarily in the disciplines represented by the faculty in the institution	faculty research & scholarship & quasi-political governance processes of the faculty	the dominance of rationality in the institution	the generation, interpretation, & dissemination of knowledge & the development of specific values & qualities of character within the future leaders of our society
<b>Managerial Culture</b>	primarily in the organisation, implementation, & evaluation of work that is directed toward specific goals & purposes	fiscal responsibility & effective supervisory skills	the capacity of the institution to define & measure its goals & objectives clearly	the inculcation of specific knowledge, skills, & attitudes in students so that they might become successful & responsible citizens
<b>Developmental Culture</b>	primarily in the creation of programmes & activities furthering the personal & professional growth of all members of the higher education community	personal openness & service to others, as well as systematic institutional research & curricular planning	the inherent desire of all men & women to attain their own personal maturation, while helping others in the institution become more mature	the encouragement of potential for cognitive, affective & behavioural maturation among all students, faculty, administrators & staff.
<b>Advocacy Culture</b>	primarily in the establishment of equitable & egalitarian policies & procedures for the distribution of resources & benefits in the institution	confrontation & fair bargaining among constituencies (primarily management & the faculty or staff) who have vested interests that are inherently in opposition	the ultimate role of power & the frequent need for outside mediation in a viable academic institution	either the undesirable promulgation of existing (& often repressive) social attitudes & structures or the establishment of new & more liberating social attitudes & structures.
<b>Virtual Culture</b>	by answering the knowledge generation & dissemination capacity of the postmodern world	the global perspective of open, shared, responsive educational systems	its ability to make sense of the fragmentation & ambiguity that exists in the postmodern world	linking its educational resources to global & technological resources, thus broadening the global learning network
<b>Tangible Culture</b>	in its roots, its community & its spiritual grounding	the predictability of a value-based, face-to-face education in an owned physical location	the ability of old systems & technologies being able to instill the institution’s values	the honouring & reintegration of learning from a local perspective

Bergquist and Pawlak (2008) contended that most HEIs contain all six cultures, although one may be more dominant than the others. The cultures, they explained, are really three pairs of opposites, with the members of each pair interdependent, sharing some cultural elements (e.g., values) and continuously working to maintain a dynamic inter-cultural equilibrium. Without mutual respect or an appreciation for the value of differing perspectives, the opposing nature of these cultures potentially leads to polarity, entrenchment, positioning and ongoing conflict. The challenges for HEI leaders, they asserted, are to: embrace the six cultures; manage interactions so as to prevent or respond to potential polarising situations or issues; model appreciative, empathetic and transformational approaches to leadership; encourage and facilitate boundary-spanning behaviours; and, accept and deal with the fact that academic life is fundamentally paradoxical. For example, HEIs are expected to generate new knowledge while preserving, protecting and communicating old/existing knowledge, professors are expected to be leading edge experts remarkable for their uniqueness yet they are expected to conform to quality assurance systems and deliver standardised curricula, and HEIs are expected to be stable yet constantly changing institutions. When managing organisational change, the authors pointed out that it is vital to understand the six cultures, anticipate and identify with each culture's concerns and anxieties, and ensure that heterogeneous and possibly hybridised strategies are inclusively developed and implemented.

Many of these studies have identified changes in institutional values and/or culture as an integral component of HEIs' response to external challenges (e.g., Altbach, Reisberg & Rumbley, 2009; Clark, 1998; Duderstadt, 1999; Kellogg Commission, 2000; Newman, Couturier & Scurry, 2004). For example, Clark identified "an integrated entrepreneurial culture" (1998, p. 7) as one of the five key elements in HEIs' successful entrepreneurial transformations. In addition, one of the six reports stemming from the Kellogg Commission on the Future of State and Land-Grant Universities was entitled *Returning to Our Roots: Toward a Coherent Campus Culture* (2000) and, in it, the Commission identified culture-related key strategies to help HEIs move forward successfully into the twenty-first century: One of the strategies recommended – putting learning first – is otherwise expressed as "developing a culture of learning" (Duderstadt, 1999) or "creating an organisational culture of quality learning" (Newman, Couturier & Scurry, 2004) and it represents a consistent culture-related theme in relevant literature. This "shift in the teaching paradigm" (Duderstadt, 2000) is often

associated with changes in the role of faculty members (e.g., from “purveyor of knowledge” to “facilitator of learning”) (Duderstadt, 2000), with some studies describing it as an integral component of a student access, retention and success strategy (Kuh, 2001; Newman, Couturier & Scurry, 2004; Ortiz & Heavyrunner, 2003), another associating it with the active development of student-faculty-stakeholder learning communities (Duderstadt, 2000), and Bok (1982) describing the desired outcome as having each graduate possess “a critical mind, free of dogma but nourished by humane values” (p. 47). In addition, it is often coupled with changes in the definition of “scholarship” (Altbach, Reisberg & Rumbley, 2009), concurrent quality assurance initiatives (Altbach, Reisberg & Rumbley, 2009; Zemsky, Wegner & Massy, 2005), increases in the use of educational technologies and in the availability of online and blended learning options (Altbach, Reisberg & Rumbley, 2009; Duderstadt, 2000; Van Der Werf & Sabatier, 2009), modifications to the organisation and content of undergraduate degree programmes (Duderstadt, 2000), changes in student assessment and evaluation (Altbach, Reisberg & Rumbley, 2009), and a re-evaluation of the inter-relationships among teaching, research, and service to society (Altbach, Reisberg & Rumbley, 2009; Duderstadt, 2000; Subotzky, 1999).

## **2.6 Continuing Education as a Subculture in Higher Education Institutions**

An organisation’s culture is significantly affected by its functions and ideologies (Tierney, 1991) and expressed, at least in part, by its policies and practices (Schein, 1992). As a boundary-spanning unit, CHE’s culture is a subculture of its HEI and, depending on its degree of integration, of the communities it is an active member of. In Multinational Corporation (MNC) literature, this is referred to as “dual embeddedness” (Figueiredo, 2011). In order to be effective in its role as a contributing member of its HEI and external communities, a CHE unit must ensure that its culture “meshes” well with the overall culture of the HEI, the cultures of the HEI units and disciplines it interacts with, the overall public community, and the cultures of the organisations, professions and industries it interacts with (for example, the organisational and learning cultures of CHE pre-professional and continuing professional education programmes should mesh well with the professional and organisational cultures that students experience as professionals (Knox, 2000)). A CHE unit’s culture must also be attuned to the needs, wants and demands of its various stakeholders, including its own staff and

faculty. To achieve this, it must effectively gather and analyse data, establish and maintain positive working relationships and open lines of communication, and be an appropriately-responsive and reflective cultural chameleon and organisational contributor. At the same time, it must develop an organisational culture that is appropriate to its purpose and membership and ensure that it is looking after its own needs. As a student/customer/community-focused organisation that is expected to be either financially self-sustaining or a source of revenues for the institution, there is a natural tendency for the CHE management team to concentrate on ensuring that the CHE culture is business-like, customer and student-focused and externally well-attuned (Archer, 1999; Einsiedel, 1998). This could, however, lead to the unit being held in high regard and trusted externally but not internally (Blaney, 1986, Long, 1990, Votruba, 1987) and/or to it being more closely aligned culturally with the institution's managerial culture (Bergquist & Pawlak, 2008), a situation that could lead to alienation from the institution's collegial culture (Bergquist & Pawlak, 2008) and/or to the HEI withholding status, power, resources and "the instruments of influence" (Blaney, 1986, p. 76) from the unit. To move in from the organisational margins, CHE units' voices must be heard (Harlos, 2001; Hirschman, 1970; McCabe & Lewin, 1992; Murphy, 2002; Putnam, Phillips & Chapman, 1996; Renard & Eastwood, 2003) and they must be perceived as "singing in harmony" with the rest of the organisation (Preston, 1995).

To effectively ensure that the HEI and CHE cultures remain in harmony with each other, the CHE unit leader must: develop a clear and thorough understanding of the two cultures; identify interests, values, beliefs, norms and standards that the two cultures share; build the strongest possible CHE unit culture that is not only compatible with that of the HEI but integral to it; make a conscious and public commitment to respecting both cultures; actively participate in the shaping of the HEI's vision, mission, goals, strategies and culture and, through that involvement, clearly demonstrate how the CHE unit contributes to the overall success of the HEI and endeavour to ensure that the contribution of the CHE unit is recognised in documents such as strategic plans and therefore obvious to the rest of the institution (Blaney, 1986; Votruba, 1987).

Results from research conducted by Sandra Pearce (1992) were generally consistent with Blaney and Votruba's recommendations. Pearce surveyed university deans of continuing education in the United States and asked them what they perceived as the



major threats to their units' continued survival. Perceived threats to survival generated by the university included: reductions in resource allocations/access, decision-making authority and academic autonomy, lowering the position of the CHE unit in the organisational hierarchy; and decentralising the CHE function. The root causes of these threats were believed to be: the traditional academic training of senior administrators which created a lack of understanding of the operational and cultural requirements of the CHE unit; unease with the risk that is inherent in innovative programming and with the perception that the unit's culture and programmes were significantly different from that of the HEI; and, the perception that, because of its external and/or customer/student focus, the CHE unit's goals and strategies were not well-aligned with or contributing to those of the overall institution. While threats also came from the external environment (e.g., competition), the deans believed that the threats from their own institutions far outweighed them. Based on these results, Pearce concluded "... the most important implication drawn from this for practice is the need for deans to focus time and attention within their own institutions. They need to lobby internally to build support for the concept of continuing education and, just as importantly, to build support for the continuing education unit itself ..." (p. 6).

Bazik (1986), Blaney (1994), Gollattscheck (1981), Hall (1986), Knox (1981), Long (1990 & 1993), Niemi (1989), and Simerly (1991) all viewed the situations described by Blaney (1986), Votruba (1987) and Pearce (1992 & 1993) as representing significant opportunities for continuing educators to convert the cultural differences between their units and their parent organisations from being a "clash" (e.g., a reason for being marginalised) to being a source of status and/or synergy. The positive outcomes they envisioned for continuing educators ranged from better recognition and appreciation as invaluable resources to and components of their "parent" institutions to becoming institutional leaders as they utilised their unique blend of entrepreneurial, marketing and academic talents to guide their institutions' efforts to adapt to changing conditions in their external and internal environments.

Gollattscheck (1981) saw leadership opportunities for CHE units stemming from HEIs' migration to mission statements that reflect concerns for lifelong learning and community-based programming. Simerly (1991) also saw institutional leadership opportunities stemming from CHE units adopting strategic and quality assurance-oriented approaches to programme and business management. Knox (1981) envisioned

CHE units' strengths in dynamic and cost-effective programme management and public relations as increasingly important to their institutions. Einsiedel (1998) and Archer (1999) also saw CHE units acting as innovation incubators for their institutions, as they continuously research and analyse external stakeholders' education and training needs, keep abreast of education and training trends, develop, renew and adapt curricula, and explore and embrace alternative modes of course delivery. Areas of innovation could go well beyond programming and delivery technologies and could include organisational developments such as increases in staff diversity and changes in organisational culture. Vallett's (2010) research indicated linkages between organisational culture, virtuousness and performance and one of the recommendations from her research was for CHE units to study the amplification effect of organisational virtuousness<sup>6</sup> (Cameron, 2003) and test it as a means of increasing student enrolments and satisfaction with courses and improving internal and external inter-organisational relations.

Votruba (1981 & 1987) and Simerly (1987) - both of whom edited much-referenced CHE books in the 1980s<sup>7</sup> - identified significant challenges facing CHE unit leaders and provided recommendations to their CHE professional audience regarding strategies and principles to follow in order to effectively face them. The challenges they identified included reductions in "traditional" funding and student numbers and associated increases in competition – both internally and externally – for students, resources and revenue-generating programmes and services. They further predicted that increased reliance on non-traditional funding and student enrolments would lead to increased institutional demands to "mainstream" CHE programming and operations at the same time that the marketplace was becoming more complex, diverse, globally competitive, and lifelong learning-focused, and individuals and organisations were expecting HEIs to be more responsive to a greater range of societal challenges. To further compound matters, HEIs' faculty and executives will be "fossilising" and retiring at the very time when the institutions need to re-engage with external stakeholders and regain support for their visions, missions and strategies.

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<sup>6</sup> Citing Cameron, Bright and Caza (2004), Vallett defines organizational virtuousness as "the manifestation of virtues within an organization as evidenced in the actions and perceptions of the organizational members" (2010, p. 131).

<sup>7</sup> James C. Votruba edited the 1981 edition of Jossey-Bass's *New Directions for Adult and Continuing Education* series entitled "Strengthening Internal Support for Continuing Education" and Robert G. Simerly edited "Strategic Planning and Leadership in Continuing Education" which was published in 1987.

In response to these challenges, Votruba (1981 & 1987) and Simerly (1987) recommended that CHE leaders take an inclusive and strategic approach to the development of units' visions, missions, goals, and academic priorities and to ongoing unit management and programming. They also encouraged CHE leaders to become actively involved in institutional management, including the shaping of their institutions' future visions and to ensure that CHE unit plans and initiatives were not only compatible with those of the institution, but their contributions were demonstrably invaluable to institutional success, especially in areas such as programme development, instructional innovation, marketing, and community engagement. To achieve this, CHE leaders were encouraged to become skilled in conflict management, performance management, strategic relationship management, and the effective use of "stratonomics"<sup>8</sup> and to use these skills to establish and maintain strong inter- and intra-organisational trust, credibility, and relationships. They entreated CHE leaders to become familiar enough with colleagues' and stakeholders' interests, beliefs, values and perspectives that they could effectively communicate, relate and empathise with them. They further recommended that CHE leaders ensure that all systems required to assure innovative, high-quality programming and satisfied stakeholders were in place and, as their units achieved their goals, to recognise and celebrate these achievements and market their units both internally and externally. Regarding the importance of organisational culture to the future of CHE, Simerly (1991) pointed out that "hoping that an effective, supportive organisational culture will develop is not enough. Transformational leaders take deliberate steps to ensure that such a culture is established" (p. 12).

Echoing many of Votruba's, Blaney's and Simerly's arguments and recommendations, Long (1990) recommended strategies for improving a CHE unit's status within an HEI. These strategies were – appropriately enough - largely competency-based. She implored CHE staff to continuously develop their competencies as academics, researchers, and innovators and to consciously demonstrate them to internal and external stakeholders as they strategically, systematically and reliably respond to needs and interests and adapt to changing conditions and situations. Key to fostering

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<sup>8</sup> Simerly explained "*Stratonomics* is the term used to describe how leaders create the context for effective organisational decision making and strategy development (Simerly, 1990). Analysing how to manage the *contextual* elements of decision making, quite aside from the decisions that are actually reached or the strategies designed to implement them, is an important leadership skill." (p. 3)

collegiality and ensuring mutual responsiveness are active, constructive communication, involvement in institutional programme and policy development, consistent demonstration that institutional priorities take precedent over unit ones, and the conscious development of relationships based on mutual respect, trust and collaboration.

Long (1990, p. 18) observed

Language is perhaps the educators' most powerful tool within the academic setting. It is also quite possibly the least utilised by continuing educators, who are perceived by their institutional colleagues as neither poets nor pundits, but rather as doers in a reality-based world. Their communication suffers from too little collaboration in shaping their experience, and from conspicuous absence of writing for the purpose of documenting their experiences. They need to talk more with their institutional colleagues, and write more for their profession.

CHE units are seen as acting as both a tool and a medium for serving needs, providing solutions and resolving issues (Lerner, 1992a & 1992b). One of the challenges involved in studying CHE as a discipline or as a practice is the tremendous variations seen in organisational structures (King & Lerner, 1987 & 1992) and unit composition, roles, goals and associated cultures (Hanft & Knust, 2009a). A significant cultural artefact associated with this is the labelling of the unit, a phenomenon that potentially reflects the culture of the HEI, its view of the CHE unit's function, and/or its inter-relationship with other units and/or its assumption of other duties within the institution (Einsiedel, 1998; Morris & Potter, 1996). The component of the name that is reflective of organisational structure can include Office, Centre, Department, Division, School, Faculty, College or can even be absent in some cases (e.g., "University Extension"). The discipline component of the name can show a similar variation and can include Lifelong Learning, Community Education, Continuing Education, Continuing Higher Education, Continuing Studies, Adult Education, Continuing Professional Development, Extension, Outreach, Part-time Studies, Vocational Development, Executive Development, and Workforce Development (Hanft & Knust, 2009b; Morris & Potter, 1996). Adding further to the heterogeneity of the field and the culture of the units is the merging of duties and/or the assumption of other organisational functions and responsibilities that has occurred in many institutions (Einsiedel, 1998). Additional

functions that CHE units manage include conference centres, public relations, marketing, recreation, centres for teaching and learning, human resource/organisational development, distance/distributed/on-line learning and summer sessions. (Morris & Potter, 1996) Research has shown that cultural compatibility is rarely part of the decision-making process when functions are transferred or merged within HEIs and, once the change is made, it is usually left to the CHE unit manager to find ways to re-create a coherent unit culture (Martin, 2005).

Research that implicitly dealt with the concepts of harmonising organisational subcultures and strengthening institutional support for continuing education was conducted by Cervero and Wilson (1994, 1996a, 1996b & 2006) and Mills et al (1995). Based on the premise that adult education programmes have the capacity to perpetuate or alter social, economic and political situations, these researchers asserted that adult educators need to be pragmatic “big picture” thinkers who can envision not just products (e.g., adult education programmes) but outcomes and the effects that those outcomes will have on stakeholders. Rather than only focusing on the technical skills and details, they focused on the people aspects of programme development, arguing that the process needs to be approached pragmatically, politically and ethically and that, to be effective, adult education programme developers must possess appropriate technical, negotiating and ethical knowledge and skills. They postulated that, in order to ensure the viability of programmes and their outcomes, adult educators must develop programmes in an inclusive, democratic manner that considers the needs and perspectives of all potentially affected stakeholders (Knox, 1993), utilises situationally-appropriate processes, and involves the effective negotiation of power (i.e., the capacity to act) and interests (i.e., “predispositions embracing goals, values, desires, expectation, and other orientations and inclinations that lead a person to act in one direction or another” (Morgan, 1986, p. 41)). They surmised that, in some instances, the restructuring of power relationships achieved through the development process would be as important as the programme itself. They identified the principal stakeholders as learners, teachers, planners (themselves), the leadership of the institution in which the programme is planned, and the affected public and contended that the long-term viability of the programme would be directly dependent on the legitimacy and substantiveness of the chosen representatives and the effectiveness of the negotiations conducted with them. Cervero and Wilson (1994) provided the following summary.

In sum, educational programs are constructed by people with particular interests who have relationships of power with each other.

Power and interests define the social contexts in which planners must act. In order to understand what planners are able to do, their actions must be linked to these contexts. Therefore, to make the connection between planner discretion and structural constraint, we argue that *negotiation* is the central form of action that planners undertake in constructing programs. (p. 29)

Blaney, in a presentation to the Canadian Association for University Continuing Education in May, 1994, congratulated his audience of university continuing educators for their courage, integrity, and positive attitudes, and their competence as community developers, inter-organisational relationship-builders, negotiators and innovative programmers. Citing Cervero and Wilson (1994) and Simerly (1991), Blaney asserted that these skills were precisely what universities and colleges needed to successfully meet the dynamic challenges of higher education; therefore, he encouraged participants to further enhance their knowledge and skills and to focus their use not just externally but also internally to help integrate continuing education into the central core of their institutions and help their institutions become better at fulfilling their missions in the future.

Finally, there are the related questions of partner cultural fit and strategic relationship performance (Meijer, Duysters & Ulijn, 2010) and strategic fit and organisational effectiveness (Wong, 2005). In harmony with Blaney's (1986) and Votruba's (1987) assertions, culture is increasingly seen by scholars and practitioners as a key element in the success or failure of intra- and inter-organisational relationships (Meijer, Duysters & Ulijn, 2010; Stahl & Voigt, 2008), with much of the relevant research seeking to explain the underperformance of relationships by examining variables such as cultural difference (Pothukuchi et al, 2002; Sirmon & Lane, 2004), cultural distance (Morosini, Shane & Singh, 1998; Shenkar, 2001; Simonin, 1999), cultural diversity (Parkhe, 1991), cultural compatibility (Cartwright & Cooper, 1996; Sarkar et al, 2001), cultural fit (Child, Faulkner & Tallman, 2005; Datta & Puia, 1995; Weber, Shenkar & Raveh, 1996), management style similarity (Larsson & Finkelstein, 1999), organisation/cultural congruence (Barkema, Bell & Pennings, 1996; Brown, Rugman &

Verbeke, 1988; Park & Ungson, 1997), cultural change (Kavanagh & Ashkanasy, 2006), cultural convergence (Birkinshaw, Bresman & Håkanson, 2000), or acculturation (Larsson & Lubatkin, 2001; Nahavandi & Malekzadeh, 1988). From a cultural perspective, international strategic relationships are seen as being among the most challenging (Hofstede, 2010; Kumar & Das, 2010) because they “reside at the confluence of different cultures, including national, corporate and occupational” (Salk & Shenkar, 2001, p. 163). Cultural-related challenges can affect strategic relationships in a variety of ways, including the form of the relationship the partners are willing to engage in, the protractedness of the relationship formation process, and the generation of governance and operational problems. Thus, while resource complementarity is seen as a relationship asset, cultural complementarity is not. “[I]n order to share, combine and leverage complementary resources ... the partners’ employees must interact effectively” (Sirmon & Lane, 2004, p. 307).

Chorn, Myres and Gattorna (1990) assert that organisational performance and effectiveness are optimised when there is a strategic fit between a situation or opportunity faced by an organisation and the combination of leadership style, strategy and organisational culture presented in response. As a boundary-spanning organisation, the challenge for a CHE unit is to establish strategic fit – or, to use Chaffee and Tierney’s (1988) terms, present a coherent identity - both internally and externally. The CHE unit leader can choose different and appropriate leadership styles when dealing with an internal or external stakeholder and can create and implement strategies that suit the particular situation and purpose. The challenge, however, is the organisational culture of the unit and the degree to which the leader and members can shift the culture to effectively fit with the wide variety of stakeholder situations that they will face. This is potentially an appropriate application of Tierney’s (1993) concept of “community of difference;” that is, by building a CHE unit team based on complementarity of values, beliefs, interests, skills and perspectives, the unit’s leader can potentially choose different members to help deal with different situations and thereby respond to a particular stakeholder situation with an effective combination of leadership style, strategy and culture. This could also involve a strategic partner (who can provide additional cultural capacity) if appropriate. The challenge is to establish and maintain sufficient cultural capacity and sufficiently stable dynamic equilibria among the unit members to allow the unit to dependably and effectively respond to different stakeholder situations.

## 2.7 Summary

This chapter has reviewed literature from the fields of higher education management, continuing higher education management and organisational culture. Phenomena such as globalisation, accelerating rates of development and change, and a growing acceptance of the concept of the learning trinity are putting substantial pressure on HEIs and CHE units to effectively respond to the evolving needs of their many stakeholders. Organisations such as HEIs are made up of many different subunits and house many different subcultures and one of the keys to optimizing organisational performance – and thereby satisfying the needs and demands of stakeholders - is finding ways for those subunits and subcultures to work together and maximise their contributions to the successful achievement of the organisation’s goals. Since CHE units typically possess many of the attributes that stakeholders have identified for HEIs to develop (e.g., being responsive, entrepreneurial and student-centred) and CHE unit leaders have been encouraged to strengthen their intra-organisational relationships and become actively involved as institutional leaders, there is literature support for HEI executives and their CHE unit leaders to collaboratively exploring ways to, as expressed by the ADU Chairman, “replace separation with synergy wherever possible” (Personal Communication, July 2008).

The next chapter reviews research from the fields of inter- and intra-organisational relationships and higher education extra-mural (“third mission”) relationships.



# **CHAPTER THREE - A REVIEW OF RELEVANT INTER- / INTRA-ORGANISATIONAL AND HIGHER EDUCATION INSTITUTION EXTRA-MURAL RELATIONSHIP LITERATURE**

## **3.1 Introduction**

This chapter reviews research related to inter- and intra-organisational relationships found in both general literature and from HEI/CHE-related sources. It provides detailed information on theory- and practice-based explanations for their development. Section 3.2 focuses on inter-organisational relationships while 3.3 delves into intra-organisational relationship literature. Section 3.4 explores inter-organisational and extra-mural relationships in higher education and includes a specific subsection on higher education third mission documents and research. Section 3.5 reviews research related to intra-organisational relationships in higher education, with an emphasis on main campus-branch campus relationships in both domestic and international settings. The chapter concludes with a summary of the review.

## **3.2 Inter-Organisational Relationships**

Organisations enter into strategic inter-organisational relationships because they believe that, by combining resources, sharing knowledge, and working collaboratively with one or more partners, they can create value, derive mutual benefits, manage risk, and achieve goals more effectively and/or efficiently than if they acted alone (Barringer & Harrison, 2000; Doz & Hamel, 1998; Parkhe, 1991; Nielsen, 2003). To be successful, these relationships must be reciprocal, formed by mutual agreement and governed by an overall win:win attitude that rewards mutual gain and protects against individualistic, opportunistic behaviours (Bannerman et al, 2005; Harbison & Pekar, 1993; Luo, 2006). Some are “horizontal” (i.e., involving organisations from the same industry) while others are “vertical upstream” (e.g., involving customers) or “vertical downstream” (e.g., involving suppliers) (Baum, Calabrese and Silverman, 2000; Harrigan, 1988).

One of the most popular forms of inter-organisational relationship is the strategic alliance (Bannerman et al, 2005; Barringer & Harrison, 2000; Contractor and Lorange, 1988; Gomes-Caceres, 1996; Harbison & Pekar, 1993; Harrigan & Newman, 1990; Lorange & Roos, 1993). Strategic alliances do not involve joint ownership of assets (Barringer & Harrison, 2000). The partners remain independent; however, the achievement of their individual goals involves interdependence (Bannerman et al, 2005; Barringer & Harrison, 2000; Bierly & Coombs, 2004; Contractor & Lorange, 1988; Das & Teng, 2001; Doz & Hamel, 1998; Gulati, 1998; Gulati & Singh, 1998; Harbison & Pekar, 1993; Harrigan & Newman, 1990; Inkpen, 2001; Kok & Creemers, 2008; Lorange & Roos, 1993; Mohr & Spekman, 1994; Pfeffer & Nowak, 1976; Spekman et al, 1998; Yang, Zhiang & Peng, 2011). Strategic alliances are usually highly flexible and evolutionary in nature (Arino & de la Torre, 1998; Axelrod, 1984; Das & Teng, 2002; Doz, 1996; Hite & Hesterly, 2001; Hoffmann & Schlosser, 2001; Inkpen, 2000a; Iyer, 2002; Kale & Zollo, 2006; Koza & Lewin, 1998; Niederkofler, 1991; Osborn & Hagedoorn, 1997; Ring & van de Ven, 1992 & 1994; Young-Ybarra & Wiersma, 1999) , with processes governing partner relations, change management, and value creation and capturing typically not well-defined initially and evolving over time in ways that are very difficult to predict at the time of alliance formation (Doz & Hamel, 1998). They are dynamic, collaborative, multi-dimensional, and multi-directional (Doz & Hamel, 1998; Root, 1988), with partners sharing control over inter-organisational activities (Bierly & Coombs, 2004; Das & Teng, 1998a; Gulati & Singh, 1998). The degree to which each partner exerts control is directly related to “partners’ perceptions of the importance of the alliance purpose and objectives to their own individual goals, the level of dependence on the outcomes of the alliance, and the success of the alliance...” (Bannerman et al, 2005, p. 24).

### ***3.2.1 Strategic Inter-Organisational Relationships as a Business Strategy – Explanatory Theories from Literature***

Like no other phenomenon other than, perhaps, world wars, globalisation has changed the faces of business and economics. With it have come opportunities for foreign supply, foreign investment, and access to foreign investors, workforces and markets. But it also comes with the threat of foreign competition. With products and services increasingly relying on diverse, specialised technologies and resources, barriers to diversification or even renewal can be very high. In addition, fortunes are being routinely made or lost based on how fast companies can bring new or improved

products or services to the marketplace. For these and a multitude of other reasons, fewer companies are finding themselves able to compete both independently and successfully. As long ago as the early 1990s, Jack Welch, then Chairman and Chief Executive Officer of the General Electric Company, asserted “If you think you can go it alone in today’s global economy, you are highly mistaken.” (as quoted in Harbison & Pekar, 1993, p. 2)

“In this context,” Bannerman et al (2005) observed, “international expansion through the traditional mechanisms of generic growth, merger or acquisition provide ownership and control but at a high cost and high direct risk. In contrast, forming a strategic inter-organisational relationship with a co-operative organisation, which has synergistic goals and complementary resources, can be a cost-effective strategy for international expansion, competitive advantage and exemplary performance” (p. 12). And it does appear that businesses have been listening, have responded, and will continue to respond for the foreseeable future (Gomes-Casseres, 1996). Auster (1987) and Hergert and Morris (1988) observed that the number of worldwide strategic inter-organisational relationships doubled in the ten years preceding their studies. A 1997 survey by Coopers and Lybrand revealed that America’s fastest growing companies had entered into forty-eight percent more strategic inter-organisational relationships than three years prior (Trendsetter Barometer, 1998). Similarly, a Booz-Allen & Hamilton study in 1997 found that, in the preceding ten years, the number of strategic inter-organisational relationships worldwide had grown by twenty-five percent per year and that, among the top two thousand companies in the world, strategic inter-organisational relationships had consistently produced returns on investment (ROI) of nearly seventeen percent for almost ten years, performance that was fifty percent higher than the ROI produced by the companies overall (Harbison & Pekar, 1998). In addition, research by the Andersen Consulting Company revealed that “it is typical for an average large corporation to have more than 30 alliances in operation, compared to none a decade ago” and predicted that “by 2005, global alliances will total \$(US)25 trillion to \$(US)40 trillion in value” (Cravens, Piercy & Cravens, 2000, p. 529).

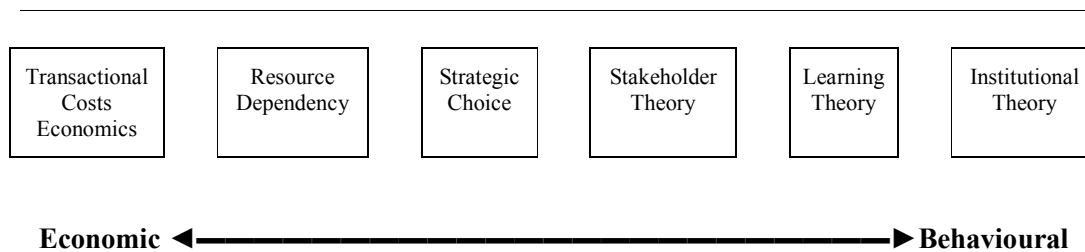
Despite this growing popularity and performance, not all the outcomes from strategic inter-organisational relationships are positive. Inter-organisational relationships are complex, ambiguous, difficult to manage, and often involve organisations with significantly different corporate cultures (Culpan, 1993; Henderson, 1990; Kanter, 1989

& 1990; Mehta et al, 2006; Sirmon & Lane, 2004; Spekman et al, 1998). Interaction procedures among partners are rarely fully delineated and, when this involves the potential transfer of sensitive corporate data, this can prove problematic (Anand & Khanna, 2000). Many problems are caused by partner over-optimism regarding benefits of participation (Doz & Hamel, 1998; Hatfield & Pearce, 1994; Niederkofler, 1991) or by actual or perceived self-serving, opportunistic behaviour by inter-organisational relationship members (Fryxell, Dooley & Vryza, 2002; Williamson, 1985 & 1996). Despite the fact that studies have shown a positive relationship between involvement in strategic inter-organisational relationships and corporate innovation (Küppers, 2002; Möller, Rajala & Westerlund, 2008; Semans & de Fontaine, 2009; Westerlund & Rajala, 2010), there are those who would argue that, because of the challenges inherent in managing and maintaining these relationships, organisations would be better served in the long term by investing internally and thereby retaining full control of plans, resources and operations, and outcomes (Chesbrough & Teece, 1996). From a statistical perspective, Bleeke and Ernst (1993) found that two-thirds of international inter-organisational relationships experienced serious financial or managerial difficulties in their first two years and a variety of studies and surveys have found inter-organisational relationship failure rates to be between fifty and seventy percent (Harrigan, 1988; Kok & Wildeman, 1999; Park & Russo, 1996; Park & Ungson, 1997 & 2001; Porter, 1987; PriceWaterhouseCoopers, 1998).

As the participation rate in strategic inter-organisational relationships increases, more companies who are inexperienced in their management will become involved (Miles & Snow, 1992) and the ability to manage a collaboration will become a more acute need for managers and their organisations (Draulans, deMan & Volberda, 2003; Kanter, 1994). It has become increasingly evident that, for strategic inter-organisational relationships to successfully create value for their partner organisations, their opportunities and challenges need to be better understood and this knowledge needs to be converted into organisational/managerial capabilities and practices (Draulans, deMan & Volberda, 2003; Dyer, Kale & Singh, 2001; Hamel, Doz & Prahalad, 1989; Kale, Dyer & Singh, 2001; Kanter, 1994; Prahalad & Krishnan, 2008), with one study further concluding that “when a firm makes an investment in a dedicated alliance function designed to capture and apply the know-how from its alliance experience, the firm’s alliance success rate increases” (Kale, Dyer & Singh, 2002, p. 762).

The response to this challenge within the academic community has also been significant. Zineldin and Bredenl w (2003) observe that ‘‘Few, if any, phenomena in public or private management and organisation have raised so much scholarly attention in such a short period of time as cooperation, strategic inter-organisational relationships and partnerships between complementary or competitor organisations’’ (p. 449). As a result, the size of the strategic inter-organisational relationship literature now available is very large and it provides several theoretical paradigms to explain the formation of strategic inter-organisational relationships (Barringer & Harrison, 2000; Casson & Mol, 2006; Doz & Prahalad, 1991; Eisenhardt & Schoonhoven, 1996; Glaister & Buckley, 1996; Johanson & Mattsson, 1987; Kogut, 1988a & 1988b; Luo, 2001).

The majority of the theoretical foundations are summarised in Figure 3.1 below which places them on a continuum running from the economic paradigm to the behavioural paradigm.



**Figure 3.1: Theoretical Foundations of Strategic Inter-organisational Relationships**  
 (from Bannerman et al, 2005 as adapted from Barringer & Harrison, 2000)

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### **3.2.1.1 Economic Theory and Transactional Cost Economics**

Economic theory relevant to strategic inter-organisational relationships primarily focuses on the conducting of business beyond the organisation’s boundary and the desire of the firm to expand its traditional boundary in order to rationalise products, achieve economies of scale, link vertically with other firms, and share risks (Contractor & Lorange, 1988; Glaister & Buckley, 1996). Within this general realm, Transaction Cost Economics (TCE) encourages firms to orchestrate their boundary-expanding strategies in such a way that the sum of production and transaction costs are minimised (Buckley & Casson, 1988; Hennart, 1988 & 1991; Ireland, Hitt & Vaidyanath, 2002;

Williamson, 1975, 1985 & 1991). Production costs vary between firms due to differences in the scale of operations, learning effects, location advantages, and proprietary assets and knowledge (including owning patents and intellectual property). Transaction costs also vary, and include expenses associated with contracting, managing, and monitoring transactions across markets (Child & Faulkner, 1998; Kogut, 1988a). Transaction costs will increase if a trading partner behaves in a self-interested or deceptive manner (Judge & Dooley, 2006) and will decrease when resource alignment is achieved (Chen & Chen, 2003).

One very pertinent example of TCE application is the make or buy decision or, in the case of ADU/ADUKG, contract with an outside trainer/instructor to deliver curricula that he/she owns or utilise a member of the faculty to develop the curriculum and then deliver it. In a free market, it is generally more cost effective for a firm to buy a generic product from a company who specialises in its production than it is for the firm to develop and make the product itself; however, this is dependent on the transaction costs imposed by the supplier. The market is said to have failed when the firm's decision-makers consider the transaction costs to be prohibitive and they decide to internalise production (Bannerman et al, 2005). For ADU/ADUKG, this would occur if the fees charged by a trainer/instructor for supplying and delivering a curriculum were equal to or greater than the sum of the cost of curriculum development and delivery by a faculty member.

Intra-/Inter-Organisational Relationships offer a third option – make, buy or partner. Ultimately, partnering represents the best choice if, by working together to jointly maximize value creation, firms can achieve superior production efficiencies and/or reduce transaction costs (Hennart, 1988, Jarillo, 1988; Zajac & Olsen, 1993). For ADU/ADUKG, a development/delivery agreement could flow in either direction or could represent a mutual gain if the curricula developed were potentially deliverable by both partners. In one instance, ADU could agree to contract with ADUKG to develop a curriculum and then have either an ADU or ADUKG faculty member deliver it. In another instance, a vice-versa situation could occur. In a third instance, the two partners could agree that they share a mutual area of curricular interest and could form a development team made up of representatives from both partners. The curriculum could be modularised and then formulated into multiple courses by either partner, depending on the need. In a fourth instance, ADU and ADUKG could agree to form a

mutual partnership with a third entity, with both agreeing to 1) have the third party develop the curricula and they would mutually own it or 2) have the third party develop, delivery and own the curricula. Whichever route is chosen, the TCE goal for ADU and ADUKG is to deliver the highest quality courses at the lowest cost. The route chosen would largely depend on the availability of internal or external capacity for development and/or delivery, the relative cost of development and delivery, the expected frequency of delivery, and the anticipated cost of maintaining currency.

TCE's main contribution to strategic inter-organisational relationship theory is its efficiency and cost minimising rationales. Its primary limitation is that it does not account for inter-organisational relationship issues such as conflicting organisational cultures, inter-partner trust, or other inter-organisational relationship formation motivators such as organisational learning, enhanced competitive advantage, and improved organisational reputation (Chen & Chen, 2003).

### **3.2.1.2 *Resource-related Theories***

There are two resource-related concepts in the literature that explain why organisations – and especially small organisations (Street & Camerson, 2007) - enter into strategic inter-organisational relationships. One is resource dependence and the other is the resource-based view of the firm. Resource dependence theory examines the interrelationships among resource access, resource control, organisational culture, and organisational performance. It argues that it is unreasonable to expect that any organisation can supply all the resources it requires; therefore, firms must obtain resources from outside their boundaries and, because of this, become dependent on the suppliers of these resources in order to conduct business (Scott, 1987). The more critical the resource is to the firm's operations, the more concern there is about the power that this dependency gives to an outside source and, therefore, the more interest there is within the company to seek measures to increase control of these resources and reduce the risks associated with dependency (Miles, Preece & Baetz, 1999), which helps explain why alliance partners sometimes merge. By essentially expanding one's firm's boundaries through the development of a stable, mutually-beneficial strategic inter-organisational relationship with a critical resource supplier, one can not only increase one's power to control critical resources but can potentially also keep the resources out of the hands of one's competitors (Barringer & Harrison, 2000). In order

to successfully achieve this, however, it is extremely likely that the firm will need to adapt its culture to better comply with the expectations of the resource supplier. Thus, the supplier controls not only the firm's resource but also influences behaviours that could ultimately affect the firm's performance (Child, Faulkner & Tallman, 2005).

Another aspect of this theory is the desire of a firm to create situations where other firms become dependent on its products or resources. Whether it is to reduce your dependency on other firms or stabilise other firms' dependency on you, strategic inter-organisational relationships can increase a company's relative power and thereby increase its competitive advantage over companies in its relevant environment who are not involved in such inter-organisational relationships (Cool & Henderson, 1998; Pfeffer & Nowak, 1976; Pfeffer & Salancik, 2003; Thorelli, 1986).

An internally-focused corollary of this theory is the Resource-based View of the Firm which argues that higher performance and greater competitive advantage are generated when a firm has proprietary access to and control of unique resources that can create value in the marketplace (Barney, 1991 & 2001; Chung, Singh & Lee, 2000; Eisenhardt & Schoonhoven, 1996; Peteraf, 1993; Ray, Barney & Muhanna, 2004; Teece, Pisano & Shuen, 1997). In 1991, Castanias and Helfat said, "From a resource-based perspective, rare and difficult-to-imitate internal firm resources are key to the firm's acquisition and maintenance of sustainable competitive advantage" (p. 155). Firms that do not possess such resources can achieve competitive advantage by sourcing them and then "internalising" them through strategic inter-organisational relationships (Child & Faulkner, 1998, Das & Teng, 1998b & 2000; Hitt et al, 2000; Mitchell & Singh, 1996, Reuer & Koza, 2000). Conversely, organisations who do possess them can utilize external networks to facilitate inter-organisational learning that can allow them to augment, update or upgrade protected resources and thus adapt them to changing markets and/or prevent them from being surpassed by competitors (Das & Teng, 2000). Such inter-organisational relationships are often based on resource or asset complementarity (Child & Faulkner, 1998) and can include inter-organisational relationships designed to pool knowledge or collective intelligence (Dyer & Singh, 1998) or ones created to take advantage of unique market power or prestige (Harbison & Pekar, 1998). Beerkens (2004, p. 11) explained the value and applicability of the resource-based view to HEI strategists by noting that "the resource-based view is



prescriptive in nature, and therefore it makes us aware of the opportunities that arise through cooperation in an international context.”

In Abu Dhabi, ADUKG had secured multi-year agreements with Edexcel (which is part of Pearson International) and the International Computer Driving License (ICDL) GCC Foundation for sole rights to their certifications, certificate programmes, and resources for the United Arab Emirates. Since signing the agreements, ADUKG had been delivering courses and certification exams to adult residents of the UAE through its Institutes for Continuing Studies and Vocational Development and had been negotiating with the UAE government to make the ICDL certifications mandatory for public sector employment. At the time of the research interviews, ADU and ADUKG were exploring ways to integrate the ICDL certifications and selected Edexcel certificates into appropriate ADU University College programmes which would allow students to transfer credits between ADUKG and ADU, ADU to offer additional designations to its undergraduate students (something no other institution in the UAE offered), and ADUKG to market its programmes as providing students with both internationally-recognised certificates/certifications and ADU credit transfer value (something no other public- or private-sector training institution or company currently offered).

Thus, if ADU and ADUKG were able to reach an agreement, they would stabilise the supply of important and unique resources and thereby address their resource dependency issue and create a situation of dependence if the government made ICDL certification mandatory for employees. From a resource-based perspective, they would increase their competitive advantages by sharing unique resources and providing unique opportunities for students and corporate clients, and “internalise” dual-credit course offerings and thereby clearly answer the question often asked by students and companies: “How is your education/training different and better than other institutions?”

Resource-based approaches complement transaction cost economics (TCE) by focusing on resource management rather than transaction management. Like TCE, however, they do not address issues related to conflicting organisational cultures and do not address motivators such as organisational learning.

### 3.2.1.3 Strategic Choice Theory

Organisations and institutions entering into strategic inter-organisational relationships who are motivated by strategic choice see inter-organisational relationships as a strategy for maximising revenues and returns by continuously adapting to environmental changes (Hrebiniak & Joyce, 1985; Park, Chen & Gallagher, 2002) and improving relative market power and comparative competitive position (Beverland & Bretherton, 2001; Lyons, 1991). In comparison, those motivated by transaction cost economics are seeking to *minimise* the sum of their production and transaction costs (Bannerman et al, 2005).

Inter-organisational relationship partners may have a broad range of strategic choice-related motivations, including: extended access to markets; increased economies of scale for research or production; increased access to resources, knowledge, research, or technologies; increased efficiencies and reduced costs; increased speed to market; expanded product and service offerings; increased ability to counteract or preclude actions by competitors (Barringer & Harrison, 2000; Chen & Ross, 2000; Child, Faulkner & Tallman, 2005; Dussage & Garrette, 1999; Dyer & Singh, 1998; Glaister & Buckley, 1996; Harbison & Pekar, 1998; Harrigan, 1988; Jarillo, 1988 & 1989; Kogut, 1988a; Kotabe & Swan, 1995; Porter & Fuller, 1986; Shan, 1990; Zhao, 1999). Alliance motivations, choice of partner, governance structure, scope, and performance will all be influenced by the characteristics and perceptions of the partners' senior managers (Pansiri, 2005), with Duysters, De Man & Wildeman (1999, 187) proposing "a network management perspective in which individual alliances are seen as part of a much broader picture of network relationships."

In an international context, forming an inter-organisational relationship with a local partner can represent the most efficient way to enter into a new market or the most effective way to establish strategic advantage locally (Shan & Hamilton, 1991). In some countries (e.g., the State of Kuwait), having a local partner or "sponsor" is the only way to enter into that market because of regulations or laws precluding direct access (Glaister & Buckley, 1996; Pongsiri, 2002).

For ADUKG, strategic choice represented one of the major motivations for entering into inter-organisational agreements with external partners. Immediately upon inception, the Knowledge Group needed to expand its programme offerings quickly and

in a cost-efficient manner. In addition, it needed to be associated with quality programmes and instructors and, if possible, programmes which met international standards. By entering into inter-organisational relationships with Edexcel and the International Computer Driving License (ICDL) GCC Foundation, ADUKG gained instant and exclusive access to highly relevant, sought-after, and internationally-recognised programmes, certificates and certifications. From Edexcel's and the ICDL GCC Foundation's perspectives, allying with ADUKG provided them with access into a potentially fruitful marketplace that they could not enter directly, and to local knowledge and resources. It also represented opportunities to enjoy economies of scale for programmes and instructor training that they had invested in. For all three organisations, the inter-organisational relationship offered advantages and opportunities that they could not have achieved alone. The formation of the inter-organisational relationship aligned with the strategic plans and goals of all partners as it represented a means to increase market power and competitive advantage and achieve financial goals.

Ironically, throughout its early life, ADUKG partnered with foreign organisations but not ADU, its own sister institution. When requested to explore possibilities by the Chairman, one of the first relationships formed centred around the University's Cisco Academy. The University had invested in the creation of a Cisco Laboratory and had trained faculty and technicians to support the lab. Its only use, however, occurred when ADU ran its once-per-year Cisco certification programme for its undergraduate Computer Science students. By partnering with ADUKG, the certification programmes expanded into previously untapped markets (i.e., public, government, business and industrial communities), thus increasing access to considerable revenues and achieving significantly enhanced economies of scale. From ADUKG's perspective, this arrangement provided it with instant, no-cost access to an internationally-recognised programme and designation that it could market to existing customers and use to attract new customers.

Paradoxically, the breadth of strategic choice theory is both its greatest strength and the source of its greatest weakness. Bannerman et al (2005) note "The field is fragmented and tends to be unified only by its strategic motivation. Also, implementation is subject to contextual nuances such as country-specific conditions and constraints that are rarely fully represented in the theoretical perspective. And, as with strategy in general, prescription is difficult – successful strategy is often identified only after the event" (p.

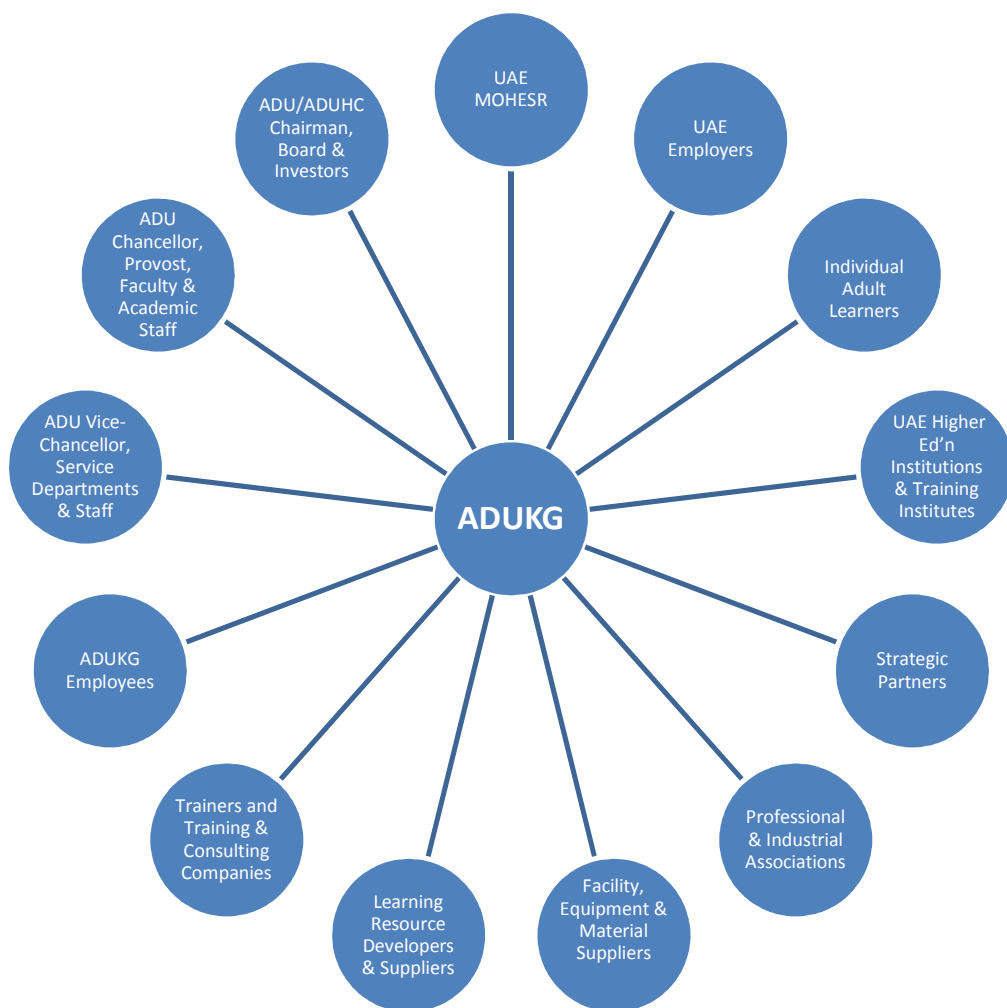
15). Barringer and Harrison (2000) further note “One of the challenges for researchers who use the strategic choice perspective is sorting all of the existing strategic alliance strategies into meaningful groups for study. There is no consensus, nor are there meaningful heuristics regarding how this grouping should be done” (p. 375).

#### **3.2.1.4 Stakeholder Theory**

Stakeholder literature characterises organisations as vehicles for coordinating stakeholders’ interests (Donaldson & Preston, 1995; Freeman, 1984 & 1994; Freeman, Wicks & Parmar, 2004; Freeman et al, 2010; Frooman, 1999; Mitchell, Agle & Wood, 1997; Ogden & Watson, 1999), with stakeholders being anyone who can affect or be affected by the organisation and its activities (Freeman, 1984 & 1994; Freeman et al, 2010). Stakeholder theory “considers that the final results of any activity should take into consideration the returns of the results for all stakeholders involved and not only the results of owners or shareholders” (Alves, Mainardes & Raposo, 2010, p. 160). Its broad scope and critical importance have elevated it in the eyes of some to the status of a distinct organisational theoretical approach (Friedman & Miles, 2006) and it is seen as having particular applicability to systems and institutions such as higher education (Alves, Mainardes & Raposo, 2010; Baldwin, 2002; Beach, 2009; Benneworth & Arbo, 2006; Bjorkquist, 2008; Brown, 1999; Bryson, 2004; Burrows, 1999; Harvey, 1999; Jongbloed, Enders & Salerno, 2008; Macfarlane & Lomas, 1999; Neave, 2002; Simmons, 2003), although not all stakeholder relationship studies refer specifically to stakeholder theory (Alves, Mainardes & Raposo, 2010). Organisations and institutions are envisioned as being hubs in the centre of networks of stakeholders (Atkinson Waterhouse & Wells, 1997). Individually and collectively, stakeholders are invaluable to any organisation or alliance because of the important roles they play in goal achievement (Atkinson, Waterhouse & Wells, 1997; Freeman, 1984 & 1994; Freeman et al, 2010; Mitchell, Agle & Wood, 1997) and researchers have postulated that, in order to be sustainably successful, organisations and alliances must decide to focus on stakeholder interests, relationship-building, and satisfaction (Beach, 2009; Robson, Leonidou & Katsikeas, 2002), formulate core strategic objectives that include the generation of outcomes that benefit stakeholders and strengthen organisation-stakeholder relationships (Whittington, 2000), and measure manager and employee success based on stakeholder relations and satisfaction (Clarkson, 1995). Similar to Gomes-Casseres’ (2006) concept of constellations of alliances (see section 3.2.2), the organisation/alliance-stakeholder network is a complex, nuanced and heterogeneous system of formal and informal relationships and coalitions, and

organisations and their managers need to identify and understand the implications of stakeholder interests and consider them whenever making decisions (Robson & Katsikeas, 2005). Thus, organisations need to form relationships with their stakeholders that facilitate communication, knowledge exchange, and the alignment of interests and objectives, thereby allowing the organisation to achieve its goals with less risk and uncertainty (Axelrod et al, 1995; Barringer & Harrison, 2000; Friedman & Miles, 2006; Harrison & St. John, 1996; Post, Preston & Sachs, 2002; Rowley, 1997).

Regarding ADUKG, Figure 3.2 represents the Knowledge Group and its immediate stakeholders.



**Figure 3.2 - ADUKG Stakeholders**

An aspect of the ADU-ADUKG relationship that was stakeholder-based was the proposed transferability of ADUKG certificate/diploma courses into ADU's University

College. When the UAE government contracted with ADUKG to train unemployed Emiratis and redundant Emirati civil servants, the goal of the training was to bridge the students into employment or higher education. The dual credit arrangement proposed would significantly enhance the viability of the second goal, thereby furthering the government's interests and affecting many of ADUKG's stakeholders.

According to the inter-organisational relationship literature, although the central concepts of stakeholder theory have been well developed and researched, little empirical testing has been carried out, especially regarding the process of strategic inter-organisational relationship formation amidst competing stakeholders' self-interests. The theory is largely accepted based on faith or hard-to-define "moral correctness" (Barringer & Harrison, 2000) and, although descriptive, provides little guidance when it comes to the practical formation of inter-organisational relationships.

#### **3.2.1.5 Learning Theory**

Another inter-organisational relationship formation motivator is the desire for organisational learning and the need for increased employee knowledge and competencies (Crossan & Inkpen, 1995; Das & Kumar, 2007; Eisenhardt & Martin, 2000; Hamel, 1991; Holmqvist, 2004; Inkpen, 1998, 2000b, 2002 & 2005; Iyer, 2002; Kogut, 1988a; Lang, 1997; Lyles & Gudergan, 2006; March, 1991; Morrison & Mezentseff, 1997; Mowery, Oxley & Silverman, 1996; Patterson, 1999; Poell et al, 2000; Powell, 1998; Salk & Simonin, 2003; Van der Krogt, 1998). Research indicates that individuals within organisations have both explicit and tacit knowledge and that, although explicit knowledge is much easier to acquire (Polanyi, 1966; Reid, Bussiere & Greenaway, 2001), it is embedded tacit knowledge that contributes to organisations or institutions achieving competitive advantage (O'Dell & Grayson, 1998). This type of knowledge is developed internally through "learning by doing" (Tsang, 2002) and is not easily articulated and cannot be bought in the marketplace. One way to speed up the tacit knowledge acquisition process is to form an inter-organisational relationship with a partner whose employees already possess the desired expertise or knowledge (Lin, Yang & Demirkan, 2007). As representatives of both parties work together on collaborative assignments, tacit knowledge is transferred and the inter-organisational relationship becomes an effective means of facilitating inter-organisational knowledge transfer (Kogut, 1988a). Research has demonstrated that this concept is applicable in

the higher education sector (Patterson, 1999) and that, because of the dynamic nature of strategic inter-organisational relationships, internalising partner organisations' experience and knowledge are essential elements in the ongoing successful management of inter-organisational relationships (Child & Yan, 2003; Simonin, 1997).

For ADU, one of the major incentives for enhancing its relationship with ADUKG was to increase its access to the information that the Knowledge Group was continuously gathering about the government, businesses and industries in Abu Dhabi and the rest of the UAE, all of whom were potential employers of ADU's (and ADUKG's) graduates. In addition, the University could learn from the successes and failures of the Knowledge Group's courses and programmes, thus providing it with effective and efficient means to updating and upgrading its curricula, learning resources and teaching methodologies.

Although learning theory is well grounded in research, it can be very difficult to track and expensive to facilitate in actual practice. Acquiring tacit knowledge can be challenging, time-consuming and prone to barriers (Henfridsson & Söderholm, 2000). An inherent risk in all inter-organisational relationships, but particularly learning-based ones, is the inadvertent passing from partner to partner of proprietary knowledge that was neither part of the inter-organisational relationship nor intended to be disclosed (Hamel, Doz & Prahalad, 1989).

### **3.2.1.6 Institutional Theory**

Institutional theory contends that institutional environments exert pressures on organisations to appear legitimate and to conform with prevailing business, social and cultural norms (Dacin, Oliver & Roy, 2007; DiMaggio & Powell, 1983; Meyer & Rowan, 1977; Scott, 1995; Uzzi, 1997). In a business context, it is postulated that businesses respond to these pressures by involving themselves in activities that increase their legitimacy and present them as in compliance with the rules, requirements and norms of their business environments (Barringer & Harrison, 2000; Dacin, Oliver & Roy, 2007; Oliver, 1990; Scott, 1995; Zucker, 1977). This includes multinational companies establishing legitimacy in new markets by overtly conforming to local cultural norms (Bianchi, 2002). In a higher education context, this could involve a private, for-profit institution pursuing institutional or programme accreditation.

One practical and relatively expedient way for an organisation to achieve this is through inter-organisational partnerships or through corporate social responsibility initiatives such as support for charitable, cultural or social organisations or events (Crawford & Gram, 1978; Hitt et al, 2000; Lin, Yang & Arya, 2009; Park & Ungson, 1997; Pollock, Gulati & Sadler, 2002; Zukin & DiMaggio, 1990). In higher education, this could involve a foreign institution partnering with a local one in order to facilitate acculturation and acceptance or a small, local institution partnering with a “big name” foreign institution in order to use that association to increase credibility and acceptance. In countries like South Africa, for-profit institutions have actively pursued relationships with established public institutions in order to achieve credibility by association (Mabizela, 2005).

For ADUKG, its association with ADU enhances its legitimacy, especially when combined with its relationships with internationally-recognised organisations such as Pearson Education and the ICDL GCC Foundation.

Institutional Theory, however, is limited in its explanation of inter-organisational relationship motivation because “it is a narrow, behaviourally oriented paradigm” (Barringer & Harrison, 2000, p. 381). In particular, since it is largely based on imitation and compliance with norms, it does not explain inter-organisational relationships whose purpose is to differentiate the organisation in the marketplace and establish sustainable competitive advantage (Barney, 1991; Osborn & Hagedoorn, 1997) nor does it explain situations where mimicry leads to above-average financial performance.

### **3.2.1.7 Social Network Theory**

The Social Network Theory of strategic relationship formation argues that economic actions take place in communities and societies within which are complex arrays of social networks and these social networks significantly influence whom decision-makers decide to ally with, how inter-organisational relationships are formed and governed and, oftentimes, the success and longevity of inter-organisational relationships (Ahuja, 2000; Aulakh & Kotabe, 2008; Gulati, 1995, 1998 & 1999; Hennisz & Swaminathan, 2008; Hutt et al, 2000; Kenis & Knoke, 2002; Rowley, Behrens, & Krackhardt, 2000; Uzzi, 1997). Inter-organisational relationships – especially those formed with other members of social networks – become embedded and intertwined with social networks and this



can significantly enhance trust, communication and opportunities for new inter-organisational relationships, can decrease relationship management costs, and can act as a safeguard against the self-interest-based behaviours that can undermine the viability of inter-organisational relationships (BarNir & Smith, 2002; Ghauri, Lutz & Tesfom, 2003; Greve & Salaff, 2003; Gulati, 1995; Hagedoorn, Roijackers & Van Kranenburg, 2006). Inter-organisational relationship partners accrue “social capital” – knowledge, information and resources – which can have beneficial effects beyond the inter-organisational relationship and its governance (Batjargal, 2003; Burt, 1997; Inkpen & Tsang, 2005; Knack & Keefer, 1997; Koka & Prescott, 2002; Tsai, 2000; Tsai & Ghoshal, 1998). Social networks have been found to exert more influence on the success of business activities in emerging economies than in developed ones, particularly in developing economies (like the UAE) that have “higher regulatory and normative institutional burdens” (Danis, de Clerq & Petricevic, 2011, p. 394). They have also been found to be key contributors to the effectiveness of intra-organisational networks (Flap, Bulder & Völker, 1998)

Social Network Theory hypothesises that, as “sister companies” and therefore close members of the same social network, ADU and ADUKG will experience the positive benefits detailed above when they enter into a strategic relationship; however, it does not explain inter-organisational relationships that are entered into that involve organisations and individuals who do so for purely commercial, competitive, or legitimacy reasons and who are not part of the same social networks. It does, on the other hand, complement theories such as TCE and illuminate the humanistic elements that inter-organisational relationship partners need to consider when forming or managing inter-organisational relationships.

### **3.2.1.8 Game Theory**

Game Theory deals with cooperative and competitive strategies employed and outcomes achieved in social situations (“games”) involving two or more persons (“players”) whose interests are interconnected or interdependent (Zagare, 1984). Child, Faulkner and Tallman (2005) explain “[Game Theory] addresses the issue of how we individually balance our innate inclination to act selfishly against the collective rationality of individual sacrifice for the sake of the common good. ... In the situation

of a strategic inter-organisational relationship, the optimal joint score can be achieved only through genuine trusting cooperation.” (p. 36-37)

If a player believes that an interaction is a one-off event, then the likelihood is that he/she will focus on self-interest. As soon as he/she perceives that this interaction may be the first of a series and that the strategies used and outcomes achieved from this first interaction will influence those of the subsequent interactions, the greater the likelihood is that he/she will sacrifice immediate self-interest for long-term mutual interest (Parkhe, 1993). Axelrod (1984) refers to this as the future casting a shadow over the present situation and Gulati, Khanna & Nohria's (1994) research results indicate that the overall success of an inter-organisational relationship is largely dependent on each partner making a strong, unilateral commitment to cooperation. Nalebuff and Brandenburger (1996) argue that game theory is an effective tool for assessing the likely outcomes of players' competitive versus cooperative behaviours and that organisations will be more successful if they recognise the duality between cooperation and competition which they refer to as “coopetition.” Doz and Hamel (1998) refer to this as “co-option” and view it as one of the primary purposes of an inter-organisational relationship. Research suggests that this phenomenon is being increasingly recognised by organisations and institutions that are local competitors (Lee, Lim & Tan, 2000) or international rivals (Luo, 2004), although Western managers are less familiar and comfortable with it than their Eastern counterparts (Biggart & Hamilton, 1997).

Given the “sister company” relationship of ADU and ADUKG and the direction given by the Chairman to the senior managers of ADU and ADUKG (i.e., to explore ways of generating inter-organisational synergies), Game Theory would suggest that, if synergies can indeed be discovered, the two otherwise competitive institutions would commit to formulating a trusting, coopetitive relationship and long-term mutual benefits would be garnered.

Child, Faulkner and Tallman (2005) conclude that

Game theory, then, makes a valuable contribution to the analysis of cooperative strategy by pointing to situations in which this strategy may be rewarding and also the conditions under which it may be undermined. In its present forms, game theory relies on a number of simplifying assumptions that distance it from reality, without, however, necessarily undermining its essential insight. Among

the features of reality which cannot readily be encompassed by the game-theory framework are the personalities of the players, their social ties, verbal communication between the players (and the emotional and norm-building consequences of such communication), uncertainty about what the other player actually did at previous points in the game, and the social conventions and institutional rules in which the players and their interaction are embedded. Game theory also reduces firms to single actors and has difficulties in coping with the differentiation of roles, perceptions, and interests within them. Nevertheless, it continues to have tremendous potential for advancing our understanding of the intrinsic nature of business cooperation. (p. 40)

### ***3.2.1.9 Other Inter-organisational Relationship Motivation Theories***

While the theories that are predominant in the literature have been summarised in the preceding pages, there are other, less-referenced ones that also appear in the literature and thus merit mention. These include social exchange theory (Cook, 1977), social ecology (Emery & Trist, 1973), culture (Boisot, 1986), organisational ecology (Baum & Oliver, 1991) and social identity theory (Salk & Shenkar, 2001). Bannerman et al (2005) also note that many contributors to the field's literature provide rationale for inter-organisational relationship formation that are independent of specific theoretical frameworks. These include Beverland and Bretherton (2001), Contractor and Lorange (1988), Doz and Hamel (1998), Glaister and Buckley (1996), Harbison and Pekar (1998), Harbison et al, 2000; Henderson (1990), Lorange, Roos and Bronn (1992), Oliver (1990), Saffu and Mamman (2000), and Spekman, Isabella and MacAvoy (2000).

### ***3.2.1.10 Analysis of the Theories***

There are two observations that seem evident upon review of the theoretical foundations of strategic inter-organisational relationships. First, the theoretical explanations for organisations entering into inter-organisational relationships are diverse and increasingly well-researched. With the exception of Strategic Choice, these theories' explanations are based on concepts that are highly distinct and narrowly focused. Because of their lack of interconnectedness, the breadth of their perspectives is only evident when cumulatively viewed.

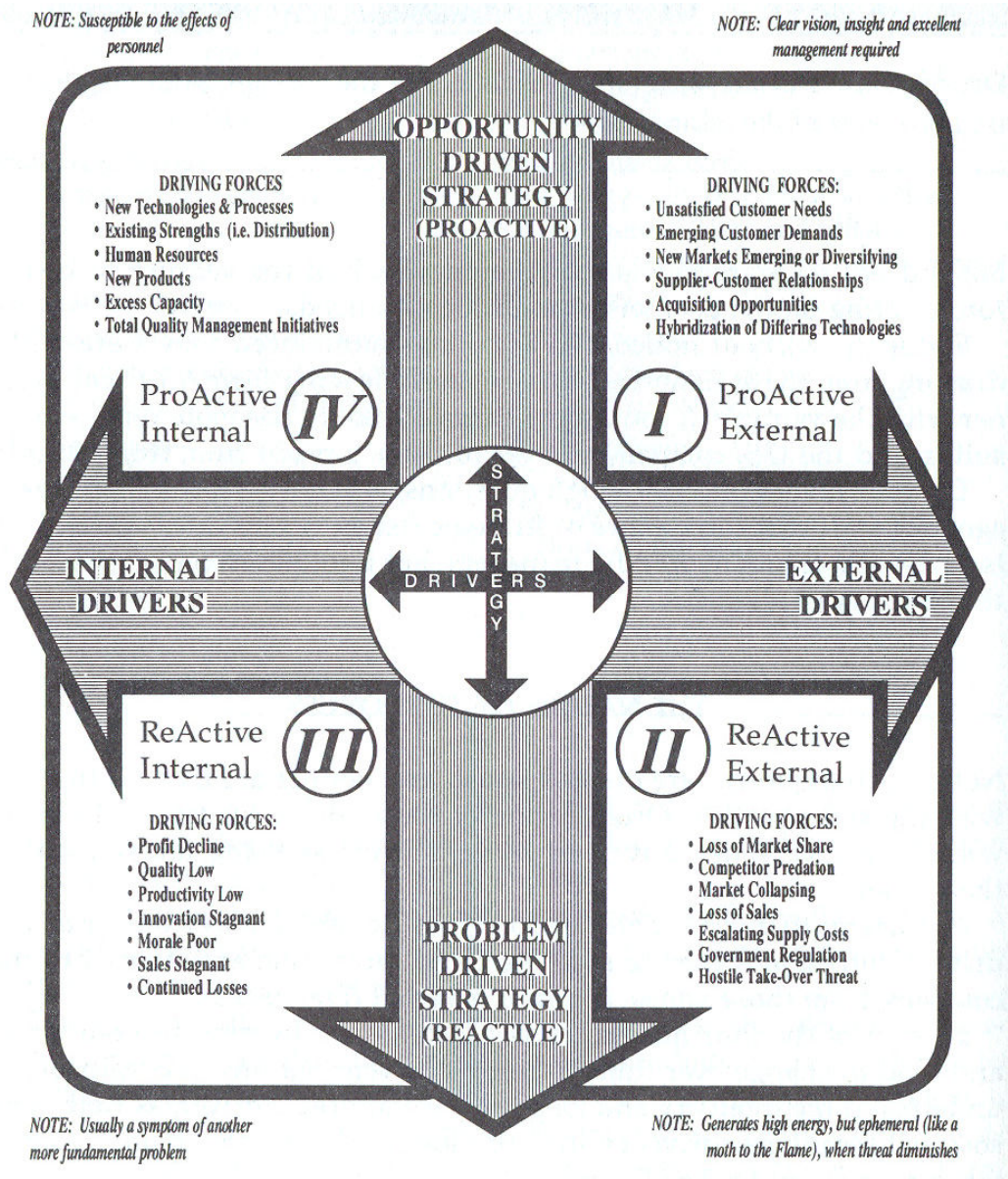
Second, because of the complex nature of real-life organisations' behaviours, cultures and strategies and, therefore, the complex and diverse natures of their inter-organisational relationships, no single theory is sufficient on its own to explain the specific behaviours and characteristics seen. Each organisation's rationale for entering into each inter-organisational relationship involves unique mixes of theoretical foundations. This has caused researchers such as Ahuja (2000) and Dyer and Singh (1998) to propose summative/integrative explanations and researchers such as Barringer and Harrison (2000) to argue that our understanding of inter-organisational relationships could be significantly enhanced if inter-organisational relationship researchers investigated blends of different theoretical explanations.

### ***3.2.2 Strategic Inter-organisational Relationships as a Business Strategy – Explanations from Practice***

Booz-Allen & Hamilton Inc. carried out extensive research throughout the 1990s into strategic inter-organisational relationship practices and concluded that ever-increasing numbers of organisations were entering into strategic inter-organisational relationships in order to effectively and efficiently gain access to the critical differential capabilities they needed to remain competitive in marketplaces where competition was increasingly coming from outside national borders and/or from companies who were using inter-organisational relationships and/or acquisitions to augment critical capabilities, enhance customer value, and drive their markets. They found that the critical rationale for forming inter-organisational relationships were the needs to reduce risk by sharing it, achieve economies of scale, gain access to new market segments and/or geographic markets, gain reliable access to additional capabilities and technologies, overcome funding constraints, strengthen barriers to market entry for competitors, and find a viable alternative to acquisition (Harbison & Pekar, 1993).

Lynch (1993) researched inter-organisational relationships and why and how partners formed them. Based on this, he developed a four-quadrant framework that plotted drivers (internal and external) against strategies (proactive and reactive) and provided tangible examples of driving forces that would be applicable to each quadrant (Figure 3.3). Of particular relevance to the ADU/ADUKG situation is Lynch's observation that, when partners are considering entering into an inter-organisational relationship, if they are

doing so in reaction to internal or external forces, their relationship strategies will most likely focus on resolving problems (i.e., rather than capitalising on opportunities).



**Figure 3.3 - Strategic Drivers (Lynch, 1993)**

Based on their research into the roles that collaboration plays in creating and maintaining competitive advantage in multinational corporations, Hansen and Nohria (2004) proposed a framework for creating value through interunit collaboration that linked managerial action, barriers to interunit collaboration, and value creation. They observed five major categories of desired benefits from collaboration: cost savings (e.g., through the transfer of best practices); improved decision-making (e.g., through

advice from partner colleagues); increased revenues (e.g., through sharing of expertise and products); innovation (e.g., through sharing and collective generation of ideas); and, enhanced capacity for collective action (e.g., through dispersed partners).

Citing external driving forces such as globalisation, shortened development times and product life cycles, and fast technological change, Child, Faulkner and Tallman (2005) identified the following internal drivers for inter-organisational relationship formation: gain skills and resources needed to respond to external challenges or opportunities; enhanced credibility/reputation; inter-organisational learning and innovation; limiting risk; increasing speed to market; minimising costs; and, improving poor performance. Similarly, Zajac (1990) identified four dominant inter-organisational relationship formation motivators from the perspective of organisations' chief executive officers: acquiring means of distribution and pre-empting competitors (35%); gaining access to new technologies and diversifying into new businesses (25%); achieving economies of scale and vertical integration (20%); and overcoming legal/regulatory barriers (20%). In the U.K., based on participatory research in the public sector, Huxham introduced the concepts of "collaborative capability," "collaborative advantage" and "shared meta-strategy" (Huxham & MacDonald, 1992; Huxham, 1993a, 1993b & 2003) and, with Vangen (Huxham & Vangen, 2005; Vangen & Huxham, 2006), identified common bases for collaborative advantage: access to resources; shared risk; efficiency; coordination and seamlessness; and, learning.

Kogut (1988a), Doz and Hamel (1998), Zineldin and Dodourova (2005) and Chen, Lee and Wu (2008) took very high-level views, with each identifying principal inter-organisational relationship drivers or purposes. Kogut's drivers included minimising transactions costs, improving strategic position, and achieving organisational learning (1988a), while Doz and Hamel identified the following inter-organisational relationship purposes: co-option (potential competitors contribute complementary products and/or services); co-specialisation (synergistic bundling of distinct assets); and, learning and internalisation (1998). Synthesizing two decades of previous research, Zineldin and Dodourova (2005) divided inter-organisational relationship motivations into four broad categories: 1) financial (e.g., cost reduction and profit generation).2) technological (e.g., sharing technologies or jointly developing new processes or products), 3) managerial (e.g., supplier and purchaser commitment, loyalty and interdependence) and 4) strategic (e.g., competitive positioning). Based on subsequent empirical research, they concluded

that “a joint venture alliance has a better chance to succeed if the partners initially focus on financial objectives and, at a later stage, on strategic and managerial objectives” (p. 467) and identified lack of trust, communication and commitment as the primary causes of relationship breakdown. Following a similar literature synthesis approach, Chen, Lee and Wu (2008) divided alliance formation motivations into four clusters and postulated that partner selection criteria should be dependent on the relative importance of these motivational clusters to the formation of a particular alliance. The four clusters identified were: 1) strategy-oriented (e.g., in support of strategic goals such as maximizing profit, increasing market share, entering a new market, reducing new product development time); 2) cost/risk-oriented (i.e., reducing costs and risks by sharing them with partners); 3) resource-oriented (e.g., sharing resources in order to reduce costs of development or increase revenues from advertising); and, 4) learning-oriented (e.g., sharing information or jointly gaining knowledge).

Lorange and Roos (1993) proposed a generic inter-organisational relationship motivation framework (see Figure 3.4) that considered two strategic dimensions. The first was the strategic importance of the business within which the inter-organisational relationship is being considered and how it fits into the overall portfolio of a particular partner (e.g., is it business that is peripheral to the company or does it form part of the company’s core business?). The second was the firm’s relative market position for the business being considered – is the company considered to be a leader or a follower?

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		Business’ Market Position	
		Leader	Follower
Strategic Importance in parent’s portfolio	Core	Defend	Catch Up
	Peripheral	Remain	Restructure

**Figure 3.4 - Generic Motives for Strategic Inter-organisational Relationships (Lorange & Roos, 1993)**

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In this regard, Gomes-Casseres (2006) noted that the formation of strategic inter-organisational relationships creates constellations of companies and changes the nature of competition, with inter-firm competition giving way to inter-constellational/inter-alliance competition (Das & Teng, 2002; Guidice, Vasudevan & Duysters, 2003). This has been further evolved into the concept of the meta-organisation, with Gulati, Puranam and Tushman (2012, p. 573) describing meta-organisations as “networks of firms or individuals not bound by authority based on employment relationships, but characterized by a system-level goal.” Using Lorange and Roos’ framework, a company which is a follower in its core business could use the formation of an inter-organisational alliance as a means of catching up and possibly surpassing its competition. Faced with this new alliance as competition, the former leading company could then enter an alliance of its own in order to defend or regain its leadership position. Thereafter, assuming the business remains core, strategies for defending or catching up would depend on the alliances adding or substituting partners in order to achieve competitive advantage.

Glaister and Buckley (1996) studied ninety-four UK international inter-organisational relationships and generated a ranked listing of strategic motivators for forming inter-organisational relationships (Table 3.1).

<b>Rank</b>	<b>Motivation</b>	<b>Rank</b>	<b>Motivation</b>
1	Gain presence in new market	9	Faster payback on investment
2	Faster entry into market	9	Concentrate on higher margin business
3	Facilitate international expansion	11	Share research and development costs
4	Compete against common competitor	11	Spread risk of a large project
5	Maintain market position	13	Reduce competition
6	Exchange complementary technology	14	Produce at lower cost location
7	Economies of scale	15	Exchange of patents/territories
8	Product diversification	16	Conform to foreign government policy

**Table 3.1 - Strategic Motivation for Inter-organisational Relationship Formation**  
(Glaister & Buckley, 1996)



They then grouped the inter-organisational relationship motivators into five underlying factors. These have been weighted according to factor rank and presented in descending order in Table 3.2.

<b>Factor</b>	<b>Motivation</b>
<b>Market Development</b>	<ul style="list-style-type: none"> <li>• Gain presence in new market</li> <li>• Faster entry into market</li> <li>• Facilitate international expansion</li> <li>• Conform to foreign government policy</li> </ul>
<b>Market Power</b>	<ul style="list-style-type: none"> <li>• Compete against common competitor</li> <li>• Maintain market position</li> <li>• Reduce competition</li> <li>• Produce at lower cost location</li> </ul>
<b>Resource Specialisation</b>	<ul style="list-style-type: none"> <li>• Economies of scale</li> <li>• Concentrate on higher margin business</li> <li>• Faster payback on investment</li> </ul>
<b>Technology Development</b>	<ul style="list-style-type: none"> <li>• Exchange complementary technology</li> <li>• Share research and development costs</li> <li>• Exchange of patents/territories</li> </ul>
<b>Large Project</b>	<ul style="list-style-type: none"> <li>• Product diversification</li> <li>• Spread risk of a large project</li> </ul>
<p><b>Table 3.2 - Weighted Factors of Strategic Motivation</b> (adapted from Glaister &amp; Buskley, 1996)</p>	

In their book *Peripheral Vision* - which focuses on the importance of companies detecting and interpreting weak signals from their corporate periphery in order to anticipate and effectively respond to changes, challenges, threats and opportunities - authors Day and Schoemaker (2006) identify another potential driver for inter-/intra-organisational relationship formation. They recognise strategic relationships as potentially valuable sources of information from the organisation's periphery and beyond and, therefore, of organisational learning and strategic preparedness. In order to ensure that relationships provide this benefit, organisations must have the capability and capacity to generate, analyse, and interpret information and insights from their external environments and to effectively communicate this information within the partnership(s).

### ***3.2.3 Strategic Inter-organisational Relationships as a Strategy for Small- and Medium-Sized Enterprises – Explanations from Practice***

Finally, if one considers ADUKG to be a small enterprise operating on the periphery of the University (which, with fewer than 150 employees (faculty and staff), is itself a small or medium-sized enterprise (SME)), then the literature related to SMEs and strategic inter-organisational relationships becomes germane. Using Game Theory as the basis of their research and with literature and two case studies to support their conclusions, Lee, Lim and Tan (1999 & 2000) assert that one of the major problems faced by start-up small businesses is their lack of resources and that one of the most successful strategies to overcome this disadvantage is entering into strategic inter-organisational relationships. They further observe that the size of the SME, the level of competition it faces, and the source of its competition (e.g., from a large firm) all have direct effects on the likelihood of an SME entering into an inter-organisational relationship and on its choice of a relationship partner. SMEs' choices of potential partners include local SME competitors, major firms with similar interests who are looking to gain entry into the SME's marketplace, and SMEs and large firms who possess complementary strengths and expertise. Each partner choice brings with it distinct benefits and these are summarised in Table 3.3 below.

<b>Inter-organisational Relationship Partner</b>	<b>Dimension for Cooperation</b>	<b>Benefits</b>
Local SMEs with similar interests	Combined resources	<ul style="list-style-type: none"> <li>• Overcome resource disadvantages (e.g., assign combined resources to problem or project)</li> <li>• Inter-SME learning</li> </ul>
Non-competing major corporation or SME	Mutual access to complementary resources & expertise	<ul style="list-style-type: none"> <li>• Increased strength of SME</li> <li>• Acquire competitive advantage over larger firms</li> </ul>
Local SMEs interested in Joint Operations	Joint operations	<ul style="list-style-type: none"> <li>• Achieve cost advantages through               <ul style="list-style-type: none"> <li>○ economies of scale and scope</li> <li>○ increased bargaining power (e.g., when negotiating with suppliers)</li> </ul> </li> </ul>
<b>Table 3.3 - Benefits of Strategic Inter-organisational Relationships for SMEs</b> (adapted from Lee, Lim & Tan, 2000)		

Das and He (2006) specifically researched relationship formation between small, entrepreneurial and large, established firms, identified a significant number of intrinsic and alliancing factor differences between them, and provided the entrepreneurial firms with a series of recommendations to help with evaluating and selecting partners. They concluded “Entrepreneurial firms should choose those established firms that are motivated to develop technology or product rather than simply to meet the threat of a new technology, that are willing to provide access to manufacturing and marketing functions, that involve committed middle managers in addition to enthusiastic top managers, that will set up dedicated task forces dealing with the alliances, and that are committed to act immediately and with speed. We believe that by being especially attentive to these factors in selecting established firms as partners, entrepreneurial firms would have better prospects for survival and growth” (Das & He, 2006, p. 138).

Street and Cameron (2007) conducted an extensive review of literature related to small businesses and their external relationships and observed that four categories of antecedents to the relationship process emerged from their research – individual characteristics, organisational characteristics, relationship characteristics, and environmental characteristics.

### **3.2.3.1 Individual Characteristics**

Small business owners or managers often leverage personal network connections to form business relationships (Alizadeh, 1998; BarNir & Smith, 2002) and their self-interests directly impact their decisions to continue/discontinue partnerships (Young & Olk, 1997). Their personal characteristics (e.g., gender, age, ethnicity) can influence the number and type of inter-organisational relationships they are able to access (Alizadeh, 1998; Blisson & Rana, 2001) and their willingness to learn and these general attitudes/behaviours towards partnering directly influence the knowledge transfer between partners (Beecham & Cordey-Hayes, 1998).

### **3.2.3.2 Organisational Characteristics**

Small firms are more likely to form inter-organisational relationships than larger firms (Shan 1990) and businesses with unique and potentially significant products that lack commercial, technical, and social capital are among the most likely to seek partners (Ahuja, 2000). Some of the most successful inter-organisational relationships are

between small businesses and large, foreign businesses (Hadjimarcou et al, 2000) and, in relationships between businesses of unequal sizes, the smaller firm must often accept a higher level of risk (Sulej, Stewart & Keogh, 2001). In an inter-organisational relationship involving a small business, the innovation rate of the small business is directly related to the technological capabilities of the partner firm (Stuart, 2000) and the small business's level of access to financial resources is directly related to the prominence of the inter-organisational relationship partner (Stuart, Hoang & Hybels, 1999).

### **3.2.3.3 Relationship Characteristics**

The type of inter-organisational relationship (e.g., formal versus informal) sought should be determined by the goals of the small business (e.g., start-up) (Autio & Garnsey, 1997), growth (Autio & Garnsey, 1997), or inter-organisational learning (Stephenson & Duncan, 1994)) and networks are most likely formed among partners with existing trust relationships (Oughton & Whittman, 1997; Volery & Mensik, 1998). There is a direct relationship between inter-partner relational compatibility and goal congruence and the benefits enjoyed by a small business (Hoffman & Schlosser, 2001) and its ability to overcome resource constraints (Naude, Steyn & Steyn, 2001). In the case of a two-party inter-organisational relationship involving a small business, the strength or depth of the relationships positively influences the small business's financial performance (Uzzi & Gillespie, 2002) and the success of small business start-ups (Greve, 1995). In the case of multiple-party inter-organisational relationships, the size, density, and structure of the network can affect small business performance (Baum, Calabrese, & Silverman, 2000; Hite & Hesterly, 2001; Uzzi & Gillespie 2002) and the success of a business start-up (Renzulli, Aldrich, & Moody, 2000).

### **3.2.3.4 Environmental Characteristics**

Small businesses are more likely to form inter-organisational relationships in marketplaces dominated by large chain stores (Masurel, 1996; Masurel & Janszen, 1998). When industry members downsize, the gaps created are often filled by smaller business partnerships or consortia (Sonfiled, 1995). High levels of economic uncertainty and changing risk levels increase the popularity of small business inter-organisational relationships and influence the type of relationship strategies used (Weaver, Dickson, & Gibson, 1997). Inter-organisational relationship formation rates

are directly affected by national or regional cultures (Steensma et al, 2000) and by appropriately-targeted government programmes and policies (Ahwireng-Obeng, 2001; Rosenfeld, 1996). Business associations (e.g., Chambers of Commerce) and government institutions can act as intermediaries to encourage the development of trust between inter-organisational relationship members (Davenport, Davies, & Grimes, 1999).

### **3.3 Intra-Organisational Relationships**

Driven by a global convergence in consumer demands and increased world-wide competition and catalysed by rapid developments in information and communication technologies, organisations are increasingly globalising their operations (Johanson & Vahlne, 1990). Many industries are now dominated by large multinational corporations (MNCs) that are diverse and complex in nature (Benito et al, 2002; Benito, Grøgaard & Narula, 2003; Melin, 1992; O'Donnell, 2000), with many MNC subsidiaries interacting with distinctive economic, legal, political and cultural environments and responding by developing unique organisational cultures (Hofstede, 2001; Javidan et al, 2004) and providing locally-attuned if not locally-developed products and services (Bouquet & Birkinshaw, 2008a & 2008b).

Early studies of MNC development and growth focused on business-strategy approaches (e.g., “Staged Theory Approach” (Johanson & Vahlne, 1990)); however, further research has revealed that, although globalisation has become increasingly viewed in the corporate world as a requisite component to growth goal achievement (Pajunen & Maunula, 2008), it is often not pursued as a goal unto itself. Rather, it is a means of mitigating threats, taking advantage of opportunities (Young et al, 1989) and achieving competitive advantage through various combinations of collective intelligence, knowledge transfer, economies of scale and scope, and/or proximity to and interaction with strategic consumer and labour markets (Araujo & Rezende, 2003; O'Donnell, 2000). Because of this, internationalisation processes can be highly complex and unpredictable and significantly affected by environmental interactions and management decisions (Vaara & Tainio, 2003). Globalisation has also spawned organisations that have been conceived and born as MNCs (Autio, Sapienza & Almeida, 2000; Bloodgood, Sapienza & Almieda, 1996; Knight & Cavusgil, 1996; Oviatt & McDougall, 1994; Rennie, 1993; Rialp, Rialp & Knight, 2005; Sapienza et al, 2006). Not surprisingly, the

trend toward MNC domination of certain markets and industries has generated considerable research interest, including studies into their organisational structures, cultures and relationships (Kogut, 1989). Of particular interest here is the area of intra-organisational relationships between headquarters and subsidiaries or among subsidiaries.

MNCs are envisioned as complex, organic organisations made up of inter-twined internal and external networks (Araujo & Rezende, 2003; Flap, Bulder & Völker, 1998; Ghoshal & Bartlett, 1990; Nell, Ambos & Schlegelmilch, 2010). Most have a headquarters and multiple, geographically dispersed and functionally disparate subsidiaries. Ghoshal and Bartlett (1990) noted that organisations achieve their multinational status through different pathways, including mergers and acquisitions. They also observed that subsidiaries vary considerably in size and in range and type of function, and headquarters-subsidiary relationships also demonstrate full spectra of variations from tightly-controlled hierarchies to loosely managed heterarchies (Hedlund, 1986)

As global economic and competition conditions have changed and an increasing number of organisations have gained experience in global management, headquarters-subsidiary relationships have evolved (Doz & Prahalad, 1991). Homogeneous, hierarchal relationships, with subsidiaries dependent on headquarters for resources, direction and decisions have given way to diverse and situationally-appropriate relationships (Gates & Egelhoff, 1986; O'Donnell, 2000), many of which demonstrate high levels of symbiotic interdependence (Roth & Morrison, 1992; Taggart, 1997) and facilitate organisational flexibility and responsiveness (Porter, 1986). Single-hubbed, uni-directional organisational grids – with the headquarters located in the home country and considered the “heart and head” of the organisation and the subsidiaries constituting the organisational periphery (Benito et al, 2002) – have, in many instances, developed into multi-hubbed, multi-directional networks with multiple centres of excellence (Adenfelt & Langerström, 2006; Forsgren, Johanson & Sharma, 2000; Frost, Birkinshaw & Ensign, 2002). Embedded in their local communities, their external business and social networks, and in the organisation's networks, subsidiaries are exposed to many different societal, cultural, political, economic, technical, legal and managerial environments and influences and must carefully balance demands, integrate cultures, and develop unique sets of competencies (Andersson, Forsgren, & Holm, 2002; Ghoshal & Bartlett, 1990; Nell, Ambos & Schlegelmilch, 2010; O'Donnell, 2000).

When endowed with sufficient levels of absorptive capacity (Lane & Lubatkin, 1998; Tsai, 2001) and combined with effective leadership, coordination and internal networks, the evolution of more delegative headquarters-subsidary relationships facilitates innovation (Almeida & Phene, 2004; Dyer & Singh, 1998; Frost, 2001; Hakanson & Nobel, 2001; Jindra, Giroud & Scott-Kennel, 2009; Lehrer & Asakawa, 2002; Rugman & Verbeke, 2001; Schulz, 2001), drives subsidiary performance (Andersson, Forsgren & Holm, 2002; Gulati, Nohria & Zaheer, 2000; Luo, 2001), expedites inter-unit learning - including headquarters learning from subsidiaries and subsidiaries learning from each other - (Ambos, Ambos & Schlegelmilch, 2006; Björkman, Barner-Rasmussen & Li, 2004; Li, 2005), encourages resource-sharing (Barner-Rasmussen & Björkman, 2005; Kogut & Zander, 1993), and contributes to enhanced and sustainable capacity-building at all levels (O'Donnell, 2000; Qin, Ramburuth & Wang, 2008). As a result, the perceived source of competitive advantage for a MNC may shift from centralised headquarters-associated assets to decentralised, subsidiary capabilities (Forsgren, 1990; Forsgren, Holm & Johanson, 1995; Hedlund, 1986). The achievement of this shift, however, depends on headquarters' openness to subsidiary input, willingness to foster subsidiary initiative and assertiveness, and ability to recognise recommendations or best practices that potentially have organisation-wide implications (Birkinshaw & Ridderståle, 1999), all of which is largely contingent upon headquarters' understanding of local subsidiary practices and their appreciation for the current and potential value of subsidiary networks and the ideas they generate (Andersson, Björkman & Forsgren, 2005; Andersson & Forsgren, 2000). In addition, there may be a tendency for headquarters staff to see themselves as bastions of corporate stability and consistency and therefore may resist changes in subsidiary autonomy (Birkinshaw & Ridderståle, 1999). Given these potential sources of resistance, inter-unit relationships play a significant role in the achievement of knowledge transfer (Ghoshal & Bartlett, 1988; Ghoshal, Korine & Szulanski, 1994) and key elements in these relationships are shared vision, empathy and trust (Li, 2005).

Through the development of improved inter-unit communication and relations and the shift from "parent-child" to sibling relationships, subsidiaries evolve into semi-autonomous units with increased abilities to make better and faster decisions, develop unique value-adding systems, resources and products, exercise self-determination regarding their roles and relationships both within and outside the organisation, act as a

broker between the headquarters and local environment, and, through the effective use of boundary-spanning behaviours and external networking techniques, contribute to organisational intelligence, strategies and outcomes (Asakawa, 2001; Benito et al, 2002; Birkinshaw & Ridderstråle, 1999; Day & Schoemaker, 2006). At the same time, headquarters are better able to orchestrate the effective creation and implementation of global corporate strategies, utilise organisational best practices to help subsidiaries improve their operations, decentralise organisational roles and responsibilities, recognise the unique challenges and contributions of each subsidiary, and use collective intelligence to increase the likelihood of success when moving into different markets (Ambos, Ambos & Schlegelmilch, 2006; Bartlett & Ghoshal, 1989; O'Donnell, 2000).

As MNCs and their subunits and interrelationships mature, a series of dynamic organisational equilibria are established regarding autonomy/control, competition/collaboration, and differentiation/consistency, and the organisation's culture becomes a complex melting pot of organisational hyperculture (Hopkins, Hopkins & Mallette, 2005; Luo, 2005) and pluralistic subcultures, the complexity of which goes well beyond simple headquarters-subsidiary dimensions (Hofstede, 2001; Javidan et al, 2004). Each subsidiary has different interests, influences and commitments, communicates through different channels, has access to different information, draws power from different sources, and is motivated by factors which often differ significantly from those of their corporate headquarters (Forsgren, 2002; Nohria & Ghoshal, 1994). As they gain more autonomy from their headquarters, subsidiaries are often challenged to find an effective balance between their interdependency with their headquarters and their interdependency with their external communities and networks, a situation that challenges headquarters' ability to exert control over their subsidiaries (Andersson & Forsgren, 2000; Li, 2005). At the same time, corporate growth and greater subsidiary autonomy may lead headquarters to focus more on corporate-wide strategies and issues and less on internal relations and the issues and concerns of a particular subsidiary (Andersson, Björkman & Forsgren, 2005). In addition, headquarters may choose to focus their internal interaction time on those subsidiaries that are experiencing difficulties and/or have performance issues rather than on facilitating knowledge transfer or celebrating achievements or excellence (Bouquet & Birkinshaw, 2008a & 2008b). This can lead to increased feelings of alienation among subsidiaries – especially among those who feel they are performing well and making significant contributions to the organisation – and may lead to decreases in subsidiary interest in sharing innovations or



best practices (Ambos, Ambos & Schlegelmilch, 2006; Björkman, Stahl & Vaara, 2007; Porter, 1986). This, in turn, can further exacerbate the organisational learning situation and can lead to tension and increased feelings of distrust (Asakawa, 2001). The key to maintaining positive, synergistic internal relations and reducing frustration and friction is an effective combination of formal plans and strategies (Björkman, Stahl & Vaara, 2007), harmonised formal and informal networks (Flap, Bulder & Völker, 1998) and mechanisms to generate social capital and develop and maintain positive personal relationships between representatives of headquarters and subsidiaries (Gupta & Govindarajan, 2000).

### **3.4 Inter-Organisational and Extra-Mural Relationships in Higher Education**

Inter-organisational and extra-mural relationships – ranging from informal associations to mergers and from individual to institutional levels – are increasingly becoming vital components in HEIs’ strategic plans (Eddy, 2010). Encouraged by government policymakers eager to eliminate redundancies, increase efficiencies and facilitate successful student transitions, HEIs are entering into vertical relationships with schools supplying them with freshmen students and with companies and organisations employing their graduates (Leskes, 2006; Van de Water & Rainwater, 2001; Yff, 1996). At the same time, they are forming horizontal consortia (i.e., with other HEIs) to collectively bargain with labour unions and suppliers and lobby government (van Ginkel, 1999). This section will examine the many ways in which HEIs are using collaborative relationships to fulfil their missions, achieve their goals, and meet the challenges they are facing.

#### ***3.4.1 Higher Education Institutions’ Third Mission***

Much of today’s Higher Education literature describes HEIs as having three distinct but inter-related missions. Their first mission relates to the provision and teaching of education and training programmes and the facilitation of student learning. The second mission involves the conducting of research and the creation of new knowledge. The third mission refers to HEIs’ “relationship with the non-academic outside world: industry, public authorities and society” (OEU, 2006, p. 131).

Scholars argue that, although the labelling of external relationship activities in HEIs as their “Third Mission” is new, the concept of HEIs being embedded in, interacting with, and contributing to society is not new and, in many cases, goes back to the original purpose for founding the institutions (Bok, 1982; Clark, 1998; Etzkowitz, 2002). Bok (1982) observed that all three missions of U.S. public HEIs “have evolved to serve a civic purpose” (as quoted in Duderstadt, 2000, p. 132) and are the U.S.’s principal means of not only creating, preserving and disseminating knowledge but of serving society through the application of that knowledge. Inspired by British initiatives in extension education that were started a half-century before (Schoenfeld, 1977), American HEI founders and leaders such as Ezra Cornell and Charles Van Hise influenced legislators in the early 20<sup>th</sup> Century to create programmes such as the Morrill Land-Grant Act and the Wisconsin Idea<sup>9</sup> which established the expectation that HEIs would be aware of and respond to societal needs (Hackney, 1986).

The third mission is recognised as being multifaceted, is dependent on the “character” of the institution (OEU, 2006), and can give rise to different organisational structures (Jacob & Hellström, 2003). Common among approaches are institutional boundary expansion and/or boundary-spanning activities (Weerts & Sandmann, 2010). Moreover, Lundvall (2002) asserted that, regardless of the HEI’s character and its definition of and approach to its third mission, the most important contribution it will make to society and the economy will be well-trained and educated graduates.

In 1998, the U.K. introduced a fifty million-pound “Third Mission” government funding initiative which focused on innovation, technology transfer and wealth creation (Klein, 2002; Martin & Tang, 2007; Molas-Gallart et al., 2002). This reflected the sentiments of the OECD and many governments and scholars and they aligned well with the concepts of the entrepreneurial university (Bok, 2003; Clark, 1998; Etzkowitz, 2003; Etzkowitz et al, 2000; Marginson & Considine, 2000; Nelles & Vorley, 2008, 2010a & 2010b; Rothaermel, Agung & Jiang, 2007; Sanchez & Elena, 2006; Slaughter & Leslie, 1997; Vorley & Nelles, 2008 & 2009; Woollard, Zhang & Jones, 2007) and

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<sup>9</sup> The “Wisconsin Idea” was coined in a book written by Charles McCarthy of the Wisconsin Free Library Commission in 1912 and officially identified that same year by the University of Wisconsin. It refers to the idea that university extension programmes and cooperative extension services should be considered core functions of the institutions and therefore supported by state funding. (Haveman & Shroder, 1989). It is often associated with the slogan “the boundaries of the university are the boundaries of the state” which was introduced by the University’s public relations department soon after its inception. (Corry & Gooch, 1992)

the Triple Helix, which “was first proposed by Etzkowitz and Leydesdorff (1995 & 2000) in the context of the evolutionary theory of innovation (Nelson and Winter, 1977 & 1982) to explain the systemic nature of the interaction between universities (engaged in knowledge generation and transfer), industry (engaged in the application of knowledge), and government (engaged in the provision of the requisite policy framework for knowledge circulation to thrive)” (Zawdie, 2010, pp. 152-153).

An approach to the Third Mission that complements the Entrepreneurial University is the Engaged University (Kellogg Commission, 1999; Watson, 2007; Watson et al, 2011). Where the former focuses on the commercialisation of innovation, engagement with government and industry, and the pursuit of economic benefit (Gulbrandsen & Slipersaeter, 2007), the latter focuses on the sharing of innovation, engagement with a broad spectrum of stakeholders, and the pursuit of social, cultural and environmental benefits (Subotzky, 1999; Venditti, Reale & Leydesdorff, 2011; Watson et al, 2011; Weerts & Sandmann, 2010). Engaged scholarship (Marginson, 2000) and serving a public agenda were common themes in HE-related literature and research in the 1990s (Knox, 2001), spawning books such as *Scholarship Reconsidered* (Boyer, 1990), *Scholarship Assessed* (Glassick, Huber, & Maeroff, 1997) and *Making the Case for Professional Service* (Lynton, 1995) and reports from the Kellogg Commission on the Future of State and Land-Grant Colleges (Kellogg Commission, 1999) and the American Association of State Colleges and Universities (2002) which encouraged HEIs to more actively engage their communities. Founded in 1985 by four members, the U.S.’s Campus Compact experienced significant growth over the succeeding two decades and, today, its 1,100 HEI president members are “committed to fulfilling the civic purposes of higher education.” (Campus Compact, n.d., p. 1). The outreach and engagement field has become sufficiently robust to merit its own journal – The Journal of Higher Education Outreach and Engagement – and the related field of Service Learning has spawned several, including Academic Exchange Quarterly, Community Works Journal, Compact Current, Journal for Civic Commitment, International Journal for Service Learning in Engineering and the Michigan Journal of Community Service Learning. The body of literature related to HEI community engagement has also experienced substantial growth and, according to Weerts and Sandmann (2010), has developed significant themes. These themes include: leadership and institutional commitment to engagement (e.g., Chambers, 2005; Gilliland, 2005; Kezar, 2005a; Novak & Johnston, 2005; Sandmann & Weerts, 2006; Votruba, 1996, 2005a & 2005b;

Walshok, 1995 & 1999; Wegner, 2008); faculty roles, rewards and challenges related to engaged scholarship (Braskamp & Wergin, 1998; Colbeck & Michael, 2006; O'Meara, 2002 & 2004; O'Meara et al, 2011; Peters et al, 2005; Ramaley, 2005; Sandmann et al, 2000; Ward, 2003 & 2005); organisational and structural factors that facilitate engagement (Amey, Brown, & Sandmann, 2002; Benson, Harkavy & Hartley, 2005; Bringle & Hatcher, 2000; Kezar, 2005c; Stanton, 2007); campus-community partnerships (Bacon, 2002; Bringle & Hatcher, 2002; Dorado & Giles, 2004; Jacoby, 2003; Sandmann & Simon, 1999; Sockett, 1998); and, the centrality of mission and vision in designing engagement programmes (Holland, 2005; Kezar, 2005b). Some promote CHE units as HEI-community engagement convenors (Shannon & Wang, 2010) while others lament that institutional engagement initiatives suffer from funding shortfalls (Tuunainen, 2005) and from a lack of overarching strategy and function coordination and/or integration (Laredo, 2007).

An approach which incorporates HEIs' social and economic engagement roles is being undertaken by the Observatory of the European University (OEU). Tasked with formulating success criteria and measures for universities' third mission activities, the OEU has devised a University Third Mission Profile identification process that includes two dimensions – Economic and Societal – with each dimension divided into sub-dimensions. The Economic sub-dimensions are Human Resources, Intellectual Property, Spin-offs, and Contracts with Industry (Multinational Corporations, Small and Medium-sized Enterprises, and Large Firms). The Societal sub-dimensions are Participation in Policy-making, Involvement in Social and Cultural Life, and Public Understanding of Science. One shared sub-dimension is Contracts with Public Bodies (OEU, 2006).

Another European initiative is the European Commission's Indicators and Ranking Methodology for University Third Mission (E3M) Project. It has identified three dimensions of Third Mission activities: Continuing Education; Technology Transfer and Innovation; and, Social Engagement (E3M, 2008).

Building on the work of Tushman (1977), Maurrasse (2001), and Friedman and Podolny (1992), Weerts and Sandmann (2010) researched community engagement in U.S. research universities and made observations at both the organisational and individual levels. At the individual level, they discovered four distinct "boundary-

spanning” roles in those institutions that were considered well-engaged with their communities: Community-based Problem-solver (e.g., Outreach Coordinator), Technical Expert (e.g., Professor of Agriculture, Education, Engineering, Environmental Studies, Healthcare Management, or Urban Planning), Internal Engagement Advocate (e.g., Academic Dean or Executive Assistant to the Provost), and Engagement Champion (e.g., President, Vice-Chancellor, Provost, or Vice-President – Academic).

### ***3.4.2 Inter-Organisational Relationships among Higher Education Institutions (HEIs) and between HEIs and other Educational Institutions or Organisations***

HEIs have a long history of collaboration (Martin & Samels, 2002; Whealler Johnson & Noftsinger, 2004). Locally, regionally and internationally, HEIs enter into relationships “for a variety of reasons: to effect educational reform, to provide regional economic development, to allow dual enrollment for K–12 students, to encourage transfer between community colleges and four-year universities, to improve student learning, to save on resources, to obtain a shared goal or vision, to create international partnerships” (Eddy, 2010, p. 4). HEIs and their employees, constituents and stakeholders value inter-organisational relationships at levels ranging from individual to departmental to institutional (Eddy, 2010). Individual relationships facilitate professional collaboration regarding research, teaching and/or outreach and are particularly valued when individuals are sole specialists in a disciplinary area (Creamer, 2004).

Departmental/divisional-level relationships allow institutions to strategically partner with other HEIs based on their particular disciplinary strengths. For example, believing that a network of discipline-based partnerships would provide it with opportunities that no single institutional partnership could, the Qatar Foundation (QF) has, in only a decade and a half, built a comprehensive, world-class “multiversity” (QF, 2010, p. 14) known as “Education City” through discipline-specific partnerships with specially-chosen western institutions (e.g., Education City’s Medical School is the “Weill Cornell Medical College in Qatar” while its Business School is “Carnegie Mellon University in Qatar,” etc.). In other instances, HEIs enter into institutional-level relationships to leverage resources, facilitate institutional mentorship and knowledge transfer, and/or pool talent (Russell & Flynn, 2000). An illustrative example of this is the American University of Kuwait’s (AUK’s) relationship with the U.S.’s Dartmouth College. Upon

its inception in 2004, AUK's relationship with Dartmouth provided it with instant access to the College's administrative and academic policies and procedures. AUK was therefore able to create its own through guided adaptation rather than through "building from scratch," thus gaining from Dartmouth's centuries of experience and considerably shortening their time of development (AUK, 2011). From developed countries' perspectives, international relationships facilitate access into emerging markets, a practice which, in some developing countries, is mandated by law (e.g., Kuwait) and which blurs the lines between inter- and intra-organisational relationships. The growing phenomenon of globalised HE and its numerous viral-like effects on developing countries' social, cultural and economic directions and development has been described as "firmly incorporated into the neo-liberal discourse of 'global competitiveness'" (Robertson & Keeling, 2007, p. 3), with Razak (2011) observing "the fate of international education in the near future is rather gloomy if it is not accompanied by reforms that make society more equitable. We need to seek out new parameters taking the societal context in mind to cater for the diverse interests, mission and vision of education. The present ecosystem is no longer tenable" (p. 12). The globalisation and internationalisation of HE has spawned considerable research interest (e.g., Altbach & Knight, 2007; Burnett, 2009; Deiacco, Gren & Melin, 2009; Deiacco & Melin, 2006; Kehm & Teichler, 2007; Nerad, 2010; Rena, 2010), a plethora of debates and concerns (Kapur & Crowley, 2008; Naidoo, 2007; Razak, 2011), "good practice" guideline recommendations (Connelly, Garton & Olsen, 2006), and more than a modicum of enthusiasm on both sides of the developed/developing divide, with policy- and decision-makers exploring its positive potential in areas such as research, educational and knowledge-sharing capacities, quality standards and assurance, and HEI governance, management, and infrastructure (Altbach, 2009; Hansen, Andersen & Rasmussen, 2011; Knight, 2007; Larsen et al, 2004; Lewis, 2009; Marginson & van der Wende, 2007, 2009a & 2009b; McBurnie & Ziguras, 2009; van Rooijen, Bjarnason & Ischinger, 2011; Vincent-Lancrin, 2009a & 2009b; Witte, Huisman & Purser, 2009). HEIs can participate as active extra-mural relationship participants, as facilitators, brokers or incubators of partnership and collaborations or as researchers of collaborative relationships (Amey, 2010; Amey, Eddy & Campbell, 2010; Amey, Eddy & Ozaki, 2007; Eddy, 2007; Maimon, 2006; Ozaki, Amey & Watson, 2007). Researchers have observed that HEIs' efforts to compete and collaborate have led to them adopting private enterprise-like management practices (Flora & Hirt, 2010; Gilde, 2007; Slaughter & Leslie, 1997; Slaughter & Rhoades, 2004) and that strategic inter-

organisational relationships among HEIs are, in many ways, not dissimilar from their counterparts in business and industry (Bannerman et al, 2005) and this includes reconciling multiple institutional cultures, policies and practices (Eckel & Hartley, 2008) and dealing with high rates of failure (Reed, Cooper & Young, 2007) even when mandated by government policy or legislation (Farrell & Siefert, 2007). This situation has led institutions such as the University of Adelaide to develop policies and guidelines on the formation and evaluation of strategic relationships (University of Adelaide, 1998) and/or the granting of joint conferred academic awards (University of Adelaide, 2011) and organisations such as the Higher Education Funding Council for England to research lessons learned and provide institutions with guidance on collaborative relationship decision-making, formation and governance (HEFCE, 2012).

### **3.5 Intra-Organisational Relationships in Higher Education**

As discussed in section 2.6, HEI organisations are often characterized as “loosely coupled systems” (Birnbaum, 1988; Weick, 1976) made up of disparate discipline-based tribes and territories (Becher & Trowler, 2001) in various states of internal and external equilibria. Similarities among and between some disciplines can contribute to the “softening” of some inter-disciplinary boundaries/borders, the development of positive inter-divisional relationships and, in some cases, to the successful creation and delivery of inter- or multi-disciplinary programmes, often organised and managed in ways similar to joint ventures established with external partners (van Ginkel, 1999). An institutional focus on successful undergraduate transition, retention and success can lead to curricular and/or organisational changes that are fundamentally collaborative (Kuh & Hinkle, 2002) and/or inter-disciplinary in nature (Duderstadt, 2000), an example of which is ADU’s University College. Other, often inter-connected, organisational strategies that have increased in global frequency/popularity over the past decade and that involve increased/improved inter- /cross-departmental communication, collaboration and teamwork are institutional strategic planning, performance management, pursuit of excellence, and quality assurance (Brennan & Shah, 2000; Lawrence & Cermak, 2004; Miller, 2007; Ruben, 2004). Freed, Klugman and Fife (1997) note

The concept of collaboration and teamwork in colleges and universities is complicated by several factors. Obstacles to teamwork include the tradition of academic freedom, the competitiveness of individual departments for funds and students, and ... fundamental ... individualism. Faculty members are accustomed to working independently, often competing with one another. The idea of working together to improve quality suggests a uniformity with which they are not comfortable. ... Quality might be initiated in the hearts and minds of senior leaders, but it lives in the work of [employee] teams (pp. 112-114).

Parallel to the interest that business researchers have shown in multinational corporations/organisations and their subsidiaries and the contributions their studies have made to intra-organisational relationship literature, higher education scholars are now investigating the phenomena of regional and international branch campuses, as evidenced by a series of studies conducted by the Observatory on Borderless Higher Education (OBHE) (Becker, 2009; Garrett, 2002; Lawton, 2011; Lawton & Katsomitros, 2012; Verbik & Merkley, 2006) and by the American Council on Education's recent publication of a collection of articles on branch campuses (Schuman, 2009). The complex spectrum of academic and administrative arrangements, types of institutions, and countries involved make the study of HE main campus-branch campus relationships challenging (Dengerink, 2009; Lawton & Katsomitros, 2012), right down to the question of what defines or constitutes a "branch campus." As with other forms of strategic relationships, international branch campus operations involve the sharing of risks - e.g., financial and reputational - and the exploring of opportunities by the partners involved. Typically, originating institutions are seeking opportunities to serve additional students whom they would otherwise not have access to and thereby generate greater tuition revenues and achieve improved economies of scale for programmes. Additional benefits include associated prestige and market standing as an international institution, opportunities for staff, student and cultural information exchanges and for faculty to gain international experience, and possible leverage for future arrangements. Host countries, on the other hand, want immediate access to internationally-recognised, higher educational programmes for their citizens thus avoiding the high costs, risks, and delays of programme development, satisfying workforce and economic development needs, and increasing national/regional capacities. To achieve this mutually beneficial arrangement,



originating institutions usually provide educational resources such as curricula, learning materials, and faculty and administrative and student service resources such as personnel, policies, procedures and systems, while host countries provide facilities, capital and operating finances and support infrastructures (Lawton & Katsomitros, 2012). In many instances, the programmes offered in the host country are identical to those offered in the originating nation, although some involve joint development of curricula and granting of degrees. In either instance, Lawton and Katsomitros (2012) noted a growing trend towards higher levels of scrutiny by both host governments (often in the form of national accreditation) and originating countries' accreditation/quality assurance organisations.

### **3.6 Summary**

Organisations of all types and sizes, from small non-profit social service agencies to the world's largest multinational for-profit corporations – and including higher education institutions - are using inter-organisational relationships to explore and exploit opportunities, share and manage risks, satisfy customer/student and stakeholder needs, and compete. Similarly, multi-located organisations – including HEIs – are continuously seeking ways to optimize intra-organisational relationships in order to improve performance. Research related to these phenomena is dominating relevant literature, with the business world considered well ahead of their HEI counterparts. A significant amount of literature was found to be relevant to this research project, including documents and research related to HEIs' third mission. Given the “sister company” relationship between ADU and ADUKG, the environmental conditions at the time of the study (i.e., a global economic crisis) and the focus of their relationship-building (i.e., reacting and adapting to their changing external environment), it is anticipated that the theories and practices found in the literature that will be most relevant to this research will be those related to problem-solving and efficiencies (e.g., Transactional Cost Economics, Resource Dependency, and Resource-based View of the Firm) and social capital generation (e.g., Social Network, Game and Learning theories).

The next chapter will detail the research design and methods for this project, including the application of the reviewed literature to the research results.

# CHAPTER FOUR - RESEARCH DESIGN AND METHODS

## 4.1 Introduction

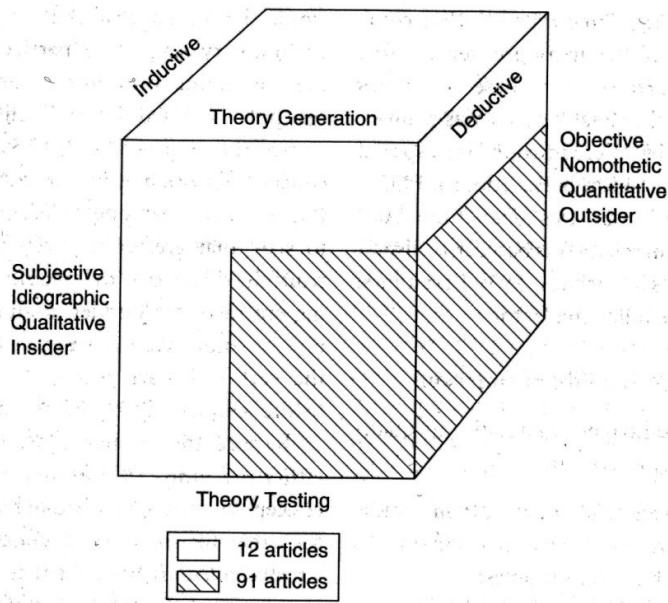
This chapter describes the research design and methods used to seek answers to the main research questions. Section 4.2 examines research in the field of inter-/intra-organisational relationships, presents the themes prevalent in the research, and describes the methods used by other researchers to investigate them and enhance our understanding of the phenomena. Section 4.3 deals with the design and methods chosen for this particular research project, along with their inherent challenges and issues. The chapter concludes with a summary of research process followed.

## 4.2 Inter-/Intra-Organisational Relationship Research

The theories and practices of management draw on a variety of disciplines, including psychology, sociology, anthropology, and economics. The study of management is, therefore, inherently complex and multi-disciplinary. Similarly, mutually-beneficial relationships exist everywhere, from the inter-molecular to the multinational level and are inherent components of the formation of agreements (e.g., North American Free Trade Agreement), confederations (e.g., European Union), and alliances (e.g., Airbus). So, it is not surprising that, when you mix management with mutually beneficial relationships, the resulting inter-/intra-organisational relationships are both intriguing and multi-dimensional (Parkhe, 2006). Their desirability is reflected in their formation rates – some estimate that organisations announce new strategic relationships every hour of every day globally (de Rond & Marjanovic, 2006) – and their complexity is reflected in their failure rates, which multiple studies have estimated at fifty percent or higher (Harrigan, 1988; Kok & Wilderman, 1999; Park & Ungson, 1997 & 2001; Park & Russo, 1996; Porter, 1987; PriceWaterhouseCoopers, 1998).

The growth rate of inter-/intra-organisational relationship research mirrors that of relationship formation, which Parkhe describes as “exponential” (2006, p. 369). Despite this, scholars observe that, although important individual discoveries have been made, a coherent underlying theoretical structure has not coalesced from all this research (Doz, 1996; Salk & Simonin, 2003; Salk & Vora, 2006). Parkhe (1993)

proposed that “this weakness in theory development ... stem[s] from the convergence of ‘hard’ methodological approaches with ‘soft’ behavioural variables [such as trust, reciprocity, opportunism, and forbearance]” (p. 227). Parkhe (2006) reviewed inter-/intra-organisational relationship literature published in selected major journals from 1994 to 2003 and continued to find a predominance of empirical and quantitative research (see Figure 4.1).



**Figure 4.1: Results of Strategic Alliance Literature Review (Parkhe, 2006, p. 372)**

Of the 128 articles he discovered, he categorized 25 (19.5%) as theoretical/conceptual in nature and 103 (90.5%) as empirical. Of the empirical studies, 91 (88.3%) were quantitative, 8 (7.8%) were qualitative and 4 (3.9%) combined quantitative and qualitative methods. He concluded that, although behavioural variables were beginning to receive greater research attention, “a much greater focus on behavioural variables is needed if theoretical salience and research attention are to correspond more closely [and] such a shift in focus will not be possible with the continuing methodological biases in favour of quantitative methods” (Parkhe, 2006, p. 375). Kaplan (1964) described this “mystique of quantity” as “an exaggerated regard for the significance of measurement, just because it is quantitative, without regard either to what has been

measured or to what can subsequently be done with the measure. Number is treated as having an intrinsic scientific value” (p 172).

In solidarity with Parkhe, other scholars have encouraged researchers to use “qualitative research methods such as participant observations and interviews“ (Salk & Vora, 2006, p. 392) or to use qualitative research methods that facilitate “the inclusion of the voices of participating managers as they reflect on their experiences” (Coughlan & Coughlan, 2008, p. 443) or to consider taking interdisciplinary approaches to inter-/intra-organisational relationship research in order to “confront their multifaceted and complex nature” (de Rond & Marjanovic, 2006, p. 415).

### **4.3 Research Design and Methods**

When this project was first proposed in 2008, I was employed by the Abu Dhabi University Knowledge Group (ADUKG) as Director of its Institute for Continuing Studies. I was one of six ADUKG Directors/Vice-Presidents. The challenge of researching and defining a mutually-advantageous and agreeable relationship between ADU and ADUKG was seen as ill-structured – i.e., complex, ill-defined, and open ended - and being researched in a real-world situation that was not well specified, where goals were unclear, changing, or evolving, and where sufficient information was often not readily available (Chi & Glaser, 1985; Sinnott, 1989; Voss & Post, 1988). Thus, this study was expected to involve me as a practitioner-researcher exploring an ill-structured, real-world challenge and seeking research outcomes that would take actually-faced constraints into consideration and lead to improved practice. Given this, I proposed to use a problem-based methodology to conduct the research, a methodology that had been largely developed to examine educational problems and propose solutions from the perspective of a practitioner (Robinson, 1993 & 1998).

In 2009, however, my employment situation changed and this forced a change in methodological approach. With the global economic crisis in full bloom, the economy of the UAE slowed drastically and the demand for organisational/corporate training dropped dramatically. As a result, the previously-established goals of ADUKG became unachievable and the Chairman decided to consolidate the ADUKG executive and eliminate two positions, one of which was mine. I was given two months notice and,

by the end of the year, I had accepted a position back in Canada.

### ***4.3.1 Selecting the Most Appropriate Research Approach***

Given this abrupt and unexpected change of circumstance, I needed to revise my research methodology. Parkhe's (2006) research discussed in Section 4.2 clearly demonstrated that inter-/intra-organisational relationships have been and continue to be researched using both quantitative and qualitative research designs. Qualitative approaches are best used when the researcher wants to explore a problem or issue, develop a more complex and detailed understanding of it through "bottom-up" inductive analysis, and encourage multiple individuals involved to provide their perspectives on it in their own words (Creswell, 2007; Jupp, 2006). Creswell (2007) recommended that researchers select their specific method from among five qualitative approaches – narrative research, phenomenology, grounded theory, ethnography, and case study – and he provided criteria to assist with the selection.

The selection of a particular research design should be guided by the focus of the research (e.g., the problem to be solved) and the questions to be asked in order for the findings and conclusions to be considered credible (Creswell, 2007; Opie, 2004). In this particular research project, I was now an outsider to both the University and the Knowledge Group (i.e., was only in a position to observe and not to manipulate and measure), I was investigating a complex, multifaceted process in a bounded system which was going to proceed regardless of my presence or absence and which was partially in the past and partially current. I was primarily concerned with discovering and understanding the goals and motivations of each partner and how these would potentially affect the formulation process and nature and scope of the relationship once it was formulated. Since the purpose of my research was not to understand and compare the principals' experiences as they progressed through the partnership development process nor to analyse and interpret the culture of principals as a group, I eliminated narrative research, phenomenology and ethnography as possible approaches. Since no single theory can explain the relationship development process, grounded theory was a possible approach; however, the purpose of the research was to examine the nature and scope of the relationship proposed in the specific, bounded ADU-ADUKG situation, a process that would directly involve three people, with guidance from a fourth. Thus the research is focused on a process being conceived in the minds

of those charged with managing it and in a specific context (Yin, 2003a; Tight, 2003; Sarantakos, 2005; Coleman, 2007) and is seeking to understand (i.e., not manipulate) the process in a contemporary (i.e., not historical) context (Yin, 2003a & 2003b). Based on all of the above, I determined that the Case Study method would be the most appropriate approach. This is a method that is acknowledged as being widely and effectively used in education/higher education research (Merriam, 1998; Tight, 2003), has been recommended as an approach to study inter-/intra-organisational relationships (Salk & Vora, 2006), and is widely seen in the study of inter-organisational relationships involving HEIs. (e.g., Eckel & Hartley, 2008; Flora & Hirt, 2010). Regarding the study of inter-/intra-organisational relationships, Daft (1980) observed

If investigators continue to be exact, to quantify, as they examine more complex aspects of organizations, they may tend to oversimplify ... exclusive reliance on statistical techniques may mean that we interpret the texture of organizations in a way similar to interpreting Shakespearean plays exclusively by word counts and ratios. The complex, intangible, emotional dimensions of organizations probably cannot be processed through the fine filter of linear statistics. Case studies and other high-variety techniques may be more appropriate for these dimensions. (p. 632)

### ***4.3.2 Research Methods***

During the early stages of this research (i.e., from July 2008 to June 2009), I was a colleague of the principals; therefore, a problem-based practitioner research methodology (Robinson, 1993) was employed. The principals and I engaged in discussion to delve into the theories of action currently being employed (i.e., the maintenance of “siloes” structures and operations) and analyse the factors that were sustaining them. We were then to enter into a critical dialogue (Robinson, 1993) so that all parties could develop a better understanding of the problem and the factors that were contributing to it, and then, using Argyris and Schön’s (1974) “double-loop learning process,” cooperatively work towards developing and learning new theories of action (e.g., “building bridges between the silos”) (Argyris, 2005) so that new outcomes could be produced that were not seen as problematic and the solutions proposed could contribute to and not interfere with solution development nor lead to other problems.

The method was designed to focus on three key themes (Robinson, 1993): 1) identification of the nature of the problem and how the principals might seek to resolve it (e.g., how can we “build bridges between the organisational silos?”); 2) development of alternative ways to understand and resolve the perceived problem (e.g., what different forms could “inter-silo relationships” take?); and, 3) formulation of a theory and practice of change that could help the principals go beyond describing the problem in order to establish a realistic, collaborative plan to resolve it (e.g., how do we change stakeholders’ behaviours so that inter-silo relationships can be created, supported and maintained?). To commence this process, I met on a series of occasions with the ADU and ADUKG principals and gathered data via manually-transcribed meeting notes. In some cases, these discussions formed part of the agenda of regularly-held management meetings, while in other cases, meetings were specifically organised to address questions related to the relationship formation process. In addition, the ADUKG Board of Directors collectively formulated a draft “ADU-ADUKG Memorandum of Understanding” (MOU) (October 2008) (see Appendix “B”) and the ADU Chancellor wrote a document entitled “Conceptual Relationship between Abu Dhabi University and Continuing Education” (May 2009) (see Appendix “A”), both of which were shared with me. During this same time period, I asked the Chairman how he would like to be kept informed of our proceedings and provided with opportunities for input into the process. He expressed a preference for face-to-face meetings (e.g., rather than an exchange of emails), a preference which I observed to be very common in Emirati business culture. I therefore met with him twice during this time period and documented the contents of these discussions via manual transcription.

Over the course of the spring and summer of 2009, multiple challenges arose that ultimately led to the research design changing from problem-based practitioner to case study and the data gathering process changing from “discussion” to “interview.” First, the growing global financial crisis began to severely impact ADUKG and, as it became increasingly clear that the Group’s revenue targets for 2009 were not going to be reached, its Board of Directors’ focus shifted from “thriving” to “surviving” and discussions on any topic other than sales, revenue generation and current project management were discontinued. Meetings to discuss ADU-ADUKG relationship development were cancelled and it was continually deferred as a Board of Directors agenda item. Then, in late June 2009, two of the six ADUKG Directors were notified that their positions were being eliminated, one of which was me. At this point, the

research methodology was immediately changed from problem-based to case study, a process which involved the reformulation of all notes taken to that point. From July to December 2009, I re-met with each of the principals to review the notes from previous individual and group discussions, verify sources and quotes, and gather additional perceptions and ideas. Manually-taken notes from these and previous meetings were then sent to each of the principals for final verification of authenticity. Similarly, notes taken during meetings with the Chairman were sent to him for validation. Thus, all quotes attributed to the Chairman and the principals in this research have been authenticated by them and are published with their consent. It should be noted that, since ongoing exchanges occurred between the principals and me for an extended time period and similar input was often gathered formally and informally and through various media, for the sake of simplicity, I have labelled all such input as “personal communication” throughout this document.

In addition to the verbal input received, multiple printed and online documents were reviewed. Besides the aforementioned draft MOU and concept paper, these included strategic planning and informational documents produced by the UAE Ministry of Higher Education and Scientific Research, the Government of Abu Dhabi, the Abu Dhabi Education Council, ADU and ADUKG.

#### ***4.3.2.1 Data Collection through Discussions and Interviews***

A case study is “an in-depth study of interactions of a single instance in an enclosed system... It could involve a single person, [or] a group of people within a setting” (Opie, 2004, 74); therefore, the number of persons contacted and interviewed will depend on the “enclosed system” and the number of persons within this system. In this case, although the formation of a strategic relationship would affect and be of interest to a number of ADU and ADUKG employees, there were, with the elimination of my position, four people – the Chairman, the Chancellor of ADU and the two Institute Directors within ADUKG –directly involved in the process of exploring and defining it. Thus, the “enclosed system” and, therefore, the research discussions, interviews and correspondence involved the aforementioned four people.



#### **4.3.2.2 Validity & Reliability**

The majority of the data gathering for this research was conducted using a problem-based methodological approach. This method has been specifically developed to help practitioners research ill-structured problems in education and related fields and to generate results that will be deemed valid by both the academic/research community and practitioners (and especially those practitioners directly involved or closely associated with the study). Each of these groups will view validity differently (Robson, 2002). Researchers will largely look for verification of the study's findings based on evidence that effective mechanisms were utilised during the research to contribute, in an incremental fashion, to the reliability and validity of the data gathered and, by so doing, to the rigour of the study (Morse et al, 2002). Practitioners, on the other hand, will want to know that the research results are trustworthy and worth investing in (Fox, Martin & Green, 2007; Guba & Lincoln, 1981). Those not directly involved in this specific study will also want to know how transferable the solutions will be to their situation; in other words, the degree to which the results are generalisable.

While some controversy surrounds the need for validity in qualitative research (Wolcott, 1994) and the mechanisms used differ from traditional validation techniques, the knowledge claims of this study have been justified through triangulation, prolonged engagement, and detailed description. These techniques are commonly used in interpretive research and, complemented by the use of error detection and correction and member checks (Robinson & Lai, 2006), will act as justification for the study's knowledge claims.

##### **4.3.2.2.1 Triangulation**

This term refers to a process whereby data is collected on a particular phenomenon through a combination of sources or methods (e.g. persons, times, places (Jick, 1979)). In this study, source triangulation was achieved through interviews with senior executives within ADU and ADUKG and with the Chairman. Method triangulation was achieved by collecting data through group meetings, individual interviews, and artifact collection. It was important to ensure through these processes that participants were being genuine in their input and not providing the researcher with what they perceive he wanted to hear.

#### **4.3.2.2.2 *Prolonged Engagement***

In this study, multiple formal interviews and meetings and informal conversations were held with individual and various combinations of stakeholders. This allowed behaviours to be observed on multiple occasions and in different settings and situations as the espoused theories of participants are recorded and their theories-in-action identified through analyses of behaviours and communication. For senior executives who already felt “meeting to death,” whenever possible, it was important to integrate research-related topics into existing meetings’ agendas (e.g., ADUKG Board of Directors meetings) and to schedule individual meetings either flexibly or for times that participants perceived would not interfere with operations or workflow, a process that became increasingly difficult as time went on.

#### **4.3.2.2.3 *Detailed Description***

A detailed outline of the study and its context and participants and a complete and accurate account of the processes used and the data gathered has provided a foundation for assessing the validity of the findings, the applicability of the results to other settings, and the usefulness of the results to other practitioners and researchers.

#### **4.3.2.2.4 *Error Detection and Correction***

Cronbach (1980) as cited in Robinson (1993) said “the job of validation is not to support an interpretation, but to find out what might be wrong with it. A proposition deserves some degree of trust only when it has survived serious attempts to falsify it” (p. 116). While common practice in quantitative research, it has no direct equivalent in qualitative methodology. In this study, this involved a search for weaknesses in the hypotheses used and in the outcomes proposed. It also involved a review of transcripts and/or field notes with study participants and consideration of alternative explanations of events or outcomes.

#### **4.3.2.2.5 *Member Checks/Participant Verification***

Lincoln and Guba (1985) view participant verification as the primary method of establishing credibility in qualitative research. In problem-based research, member checks are used to improve theory through the detection and correction of error and

to examine the basis for particular beliefs (Robinson, 1993). Member checks validate research findings in three ways. The first involves proving the reliability of the data through agreement by the participants that the records accurately reflect what was said and/or occurred. The second has participants reflect on and agree with the researcher's reconstruction of the theories of action. Since this may involve a significant difference between espoused theory and theory in use, this validation may be more challenging to achieve. The third is achieved through gaining mutual agreement on the researcher's critique of the practitioner's theory. In this study, participant verification was achieved through both verbal and written communication. These processes also provided participants with opportunities to raise objections to my analyses (although none was raised) and, through critical dialogue, gain a better understanding of their own theories in use and how their actions may be preventing them from solving problems and achieving their goals.

#### ***4.3.2.2.6 Generalisability***

One of the most common concerns regarding both problem-based and case study research is the generalisability of results (Robinson, 1993; Yin, 2003a). Similar to the concept of "best practices," the degree to which a specific solution generated through this research will be valid in other settings will largely be based on the degree to which the situations and the people and resources involved are similar. Robinson and Lai (2006) point out "In principle, there is a trade-off between relevance to a particular setting and generalisation to other settings. The better the piece of research captures the richness of a particular theory of action, the less likely, one would predict, that it will be applicable to other contexts where different theories operate" (p. 66). In a field like teaching, where common methodologies are followed, analogous situations occur and similar students are taught, a relatively high degree of transferability has been reported (Robinson & Lai, 2006). This degree of transferability, however, may not carry over into the field of educational management.

Regarding the research described herein, no attempt was made to gather information from members of the University's community other than those named nor were efforts made to perform analyses or draw conclusions from any situation other than the one specifically described here. In addition, as in other forms of

qualitative research, this research may have been affected by the limitations and biases of the persons involved and by limitations in time and resources. While the information sought was that which was considered to be the most valid, the sources used were those regarded as the most reliable and the amount of time spent was thought to be appropriate, the possibility of inherent error and bias must be recognised.

#### **4.3.2.3 Ethical Considerations**

In this research, the University of Bath's Code of Good Practice in Research (University of Bath, 2011) and the Ethical Guidelines for Educational Research (BERA, 2011) published by the British Educational Research Association were followed and the general principle of D-E-E-R – Describe, Explain, Evaluate, Recommend – was adhered to in the writing of the report (Robinson & Lai, 2006). The participants were fully apprised of the nature and purposes of the study and the value placed on mutual learning and benefits. It was made clear that their participation was voluntary, they were free to withdraw at any time, and that every conceivable effort would be made to ensure that the presence of the research project and their participation in it would not interfere with stakeholders' work nor with the operation of any of their departments or institutes or the University or Group as a whole. In addition, as data was gathered, each was provided with opportunities to review the reporting and interpretation of the data to which he/she directly contributed and provide feedback and verification. At the time when the research methodology was changed from problem-based to case study, this change was explained to all participants and each was again provided the opportunity to cease involvement in the research, to examine the research process to ensure their confidence that researcher influence and interpretation were minimised, and to review research notes for accuracy. Given the experienced and assertive nature of the principals involved, I am confident that, had any of them had concerns, he/they would have expressed them clearly and unequivocally; however, no such concerns were raised. In the end, if any of the participants had wished to be anonymous or requested that portions of the data not be released to the public, or the Chairman had wished the institution not to be identified, these requests would have been complied with. The one request that was made was for titles and not names to be used and this has been adhered to. Ultimately, the overall guiding principle and goal is to ensure that the integrity and rigour of the research is maintained, participants provide

free and informed consent, and no harm comes to the institutions or individuals involved.

## **4.4 Summary**

The Chairman's direction to the senior executives of ADU and ADUKG to explore a mutually-beneficial relationship that would "bridge between the silos" and "replace separation by synergy wherever possible" (Chairman, Personal Communication, July 2008) created a unique opportunity to study the formulation of an intra-organisational relationship between an HEI's Extension/Continuing Education unit and its academic units (at ADU, called "Colleges").

While the research was originally envisioned and pursued via a problem-based methodology, the elimination of the researcher's ADUKG executive position led to the research eventually being conducted as a case study, with data ultimately gathered via a mixture of these two methods. The aim of this constructivist, interpretive qualitative research is to examine the ADU and ADUKG senior executives' perception of what outcomes would constitute a "mutually beneficial relationship," compare their perceptions and goals to those found in relevant literature, utilise the framework developed by Hynes and Mollenkopf (1998) to analyse the research results, and ultimately provide the principals with feedback and recommendations based on these findings. The next chapter will detail the research findings.

# CHAPTER FIVE - RESEARCH FINDINGS

## 5.1 Introduction

Following the design and methods outlined in chapter 4, this chapter details the finding of the research conducted. Section 5.2 looks at what was discovered regarding higher education in Abu Dhabi and the UAE from relevant documents. Section 5.3 deals with the history of ADU and ADUKG and reveals why the two organisations became “siloeed.” Section 5.4 describes ADU and ADUKG when the research was conducted, including the relationship between them.

## 5.2 Higher Education in Abu Dhabi and the United Arab Emirates (UAE)

The UAE was founded as a nation in 1971. Soon thereafter, the UAE government made four significant policy decisions regarding higher education. These were:

- The UAE would build and operate its own universities.
- Qualified faculty that meet international standards would be employed.
- Instruction would be predominantly in English.
- Education was to be for all qualified Emiratis, and would include women.

(MOHESR, 2007, p. 11)

Today, national oversight of higher education in the UAE is provided by the national government’s Ministry of Higher Education and Scientific Research (MOHESR) and the governments of the two largest Emirates – Abu Dhabi and Dubai – also operate Education Councils which have regulatory mandates and powers. At the time of this research, the MOHESR had developed *Educating the Next Generation of Emiratis: A Master Plan for UAE Higher Education* (2007) and the Abu Dhabi Education Council was developing its *Abu Dhabi Higher Education Strategic Plan* (ADEC, 2010), both of which represented educational plans in support of their respective governments’ economic development plans and visions (i.e., the UAE’s *Vision 2021* (UAE Cabinet, 2010) and Abu Dhabi’s *Economic Vision 2030* (Government of Abu Dhabi, 2008)). As reflected in these documents, both bodies were establishing governance policies for national and private higher education institutions – including ADU – to ensure that

Emiratis had access to the higher education programmes they needed to realise their potentials, achieve their vocational/professional goals, and actively contribute to the success of their nation. Their policy frameworks focused on enhancing programme availability and accessibility (for both traditional and non-traditional higher education students), programme quality, and the alignment of programme goals and graduate competencies with governments' developmental visions. There was also clear acknowledgement that the UAE's national institutions did not have the capacity to fulfil the country's higher education requirements and, therefore, the contributions of private institutions like ADU would be vital for the governments to achieve their goals.

Prior to ADU opening, the citizens of Abu Dhabi were served by local campuses of the nation's three publicly-funded Higher Education Institutions (HEIs), all of whom had English as their primary language of instruction. UAE University was founded in 1977 as the country's comprehensive national university and is headquartered in Al Ain, which is in the Emirate of Abu Dhabi, approximately 160 kilometres east of Abu Dhabi City. The UAE Higher Colleges of Technology (HCT) were founded in 1988 and modelled after North American community colleges. Since then, HCT has grown from four to sixteen campuses and now offers designations ranging from certificates to masters degrees, with all graduate credentials offered in collaboration with a foreign partner. The third institution, Zayed University, opened in 1998 as an all-women's HEI and later expanded to include male students. It operates three campuses – one in Abu Dhabi and two in Dubai – and is organised into five colleges — Arts and Sciences, Business Sciences, Communication and Media Sciences, Education, and Information Systems. Zayed's colleges offer undergraduate and postgraduate programmes up to the master's degree level.

### **5.3 The Founding and Separating of ADU and ADUKG**

In 2000, under the guidance of the Deputy Prime Minister of the United Arab Emirates (UAE) – who was also the inaugural Chairman of the ADU Board of Trustees and Governors - the Charter of ADU was written. After three years of planning and securing programme accreditations from the UAE Ministry of Higher Education and Scientific Research, the university opened its doors in September 2003 to an inaugural class of 1,000 students on two campuses, one in Abu Dhabi City and the other in the City of Al Ain.

Since ADU opened, other private HEI campuses have been established in Abu Dhabi. Paris-Sorbonne and New York Universities established campuses in Abu Dhabi in 2006 and 2009 respectively and Al HOSN University and the Masdar Institute for Science and Technology opened in Abu Dhabi in 2005 and 2009 respectively. Unlike in Kuwait, where private HEIs are required by government policy to have a Western HEI partner or in Qatar where the private university is a consortium of prestigious Western HEI faculties, the UAE does not require private HEIs such as ADU to have any affiliation with Western HEIs. At the time of this research, ADU did not offer any partnered or foreign-owned undergraduate programmes, although future plans for professional schools such as medicine had been formulated on the assumption that they would involve western partner institutions. Its sole partnered programme was a Masters in Engineering Management that it jointly offered with the U.S.A.'s Purdue University Calumet (which was the Chancellor's previous employer). ADUKG, on the other hand, was a highly-networked and, in many ways, highly-reliant institution, with most of its curricula either owned by foreign partners (e.g., Pearson Edexcel, University of Cambridge International Examinations, and International Computer Driver's License GCC Foundation) or adapted from foreign sources. One of its most successful programmes – in military field medical services – was developed and delivered in partnership with a U.S. university, it had signed partnership agreements with several other U.S. and U.K. HEIs, and all members of the ADUKG Board of Directors had experience establishing and managing inter-organisational relationships and were actively encouraged by the Chairman to explore partnership/relationship opportunities.

Three years after the University opened, the Chairman established the Abu Dhabi University Holding Company (ADUHC), made ADU a subsidiary of ADUHC and created another subsidiary, the Institute for Enterprise Development (IED) (ADU Media Centre, 2006). The IED's principal activities were to include offering executive/management consulting, training and conferences, delivering internationally-accredited professional qualification programmes, conducting applied research, and creating specialised centres of excellence. In its press release announcing the creation of the Institute, an ADU official is quoted as saying "IED capitalises on the expertise and resources of Abu Dhabi University and its network of partners" (ADU Media Centre, 2006, p. 1), thus clearly connecting the Institute to the University and its partners.



In an interview conducted in July, 2008, the Chairman explained “When I agreed to the creation of the IED in 2006, I envisioned it to be an autonomous company that would run programmes complementary to ADU’s and would utilise the support services of ADU just as ADU’s academic colleges and institute did.” Then, opportunity knocked and everything changed.

Following the death of the founding President of the UAE in late 2004, the Abu Dhabi government announced two significant initiatives. It formed a new agency to help approximately 6000 unemployed Emirati Nationals become and remain employed and to fund and oversee training projects to help them eliminate any competency gaps that might impede their ability to achieve sustainable employment. At the same time, the government declared approximately 1500 Emirati civil servants redundant and developed a training project to re-skill these employees so they could pursue employment in either the public or private sectors in the UAE. Both these training projects involved programmes of full-time study that could range from 3 to 18 months. Initially, the projects were tendered to government-operated institutions but, when they failed to deliver what was required, the government turned to the IED to “pick up the pieces” and immediately start delivering the programmes (Chairman, Personal Communication, July 2008).

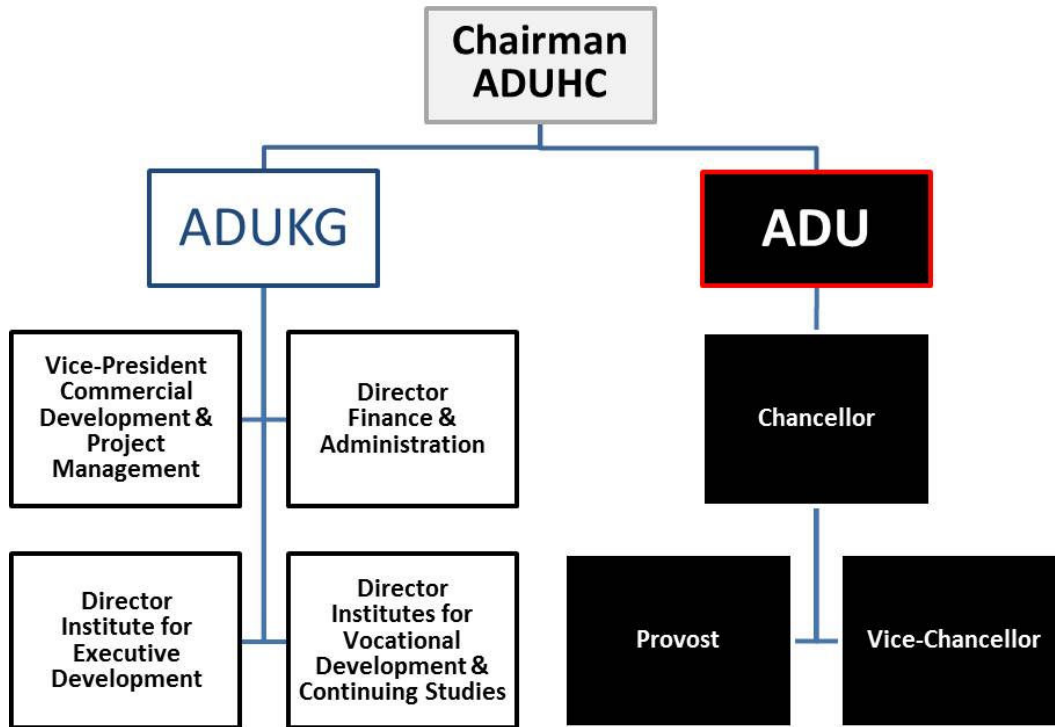
As a result, at a time when the fledgling ADU had approximately 1500 undergraduate and post-graduate students and was still building its administrative infrastructure to effectively serve and grow this population, IED introduced about 4500 adult students to the university’s two campuses, effectively quadrupling the campuses’ population. To achieve this, new classroom and office facilities were required in both Abu Dhabi and Al Ain and about 225 instructors needed to be recruited, hired and oriented from overseas, all of which had to be achieved in less than two months. When it became quickly evident that the support services of ADU had neither the capabilities nor the capacity to deal with this challenge, the Chairman authorised IED to develop its own project management office, human resources department, information technology department, and operational support teams. With their distinct programmes, student populations and now support service units, ADU and IED became almost instantly “siloed.” (Chairman, Personal Communication, July 2008)

Two years later, with the two projects in full operation, the Chairman created the Abu Dhabi University Knowledge Group (ADUKG) by formalising a Project Management/Operational Support Department, adding Finance & Administration and Commercial Development Departments, re-naming IED the Institute for Executive Development, and creating two new “sister institutes” - the Institute for Vocational Development (IVD) and the Institute for Continuing Studies (ICS). ADUKG was described as “a growing group of leading edge institutes and organisations created to meet specific needs and opportunities in the UAE” (Al Dhaheri, 2009) and was designed to serve the needs of unemployed adults (and thus contribute to UAE capacity-building and workforce development and facilitate career entry), employed adults (and thus contribute to UAE capacity-building and workforce development and facilitate career advancement and/or re-direction), and organisations, companies and governments (and thus contribute to UAE productivity, sustainability, and competitiveness).

#### **5.4 ADU and ADUKG in 2008/9**

When this research was conducted in 2008/9, ADU was headed by a Chancellor and a senior management team that consists of a Provost (senior academic officer) and a Vice-Chancellor (senior operational officer). ADUKG was led by a Board of Directors consisting of two Vice-Presidents (Commercial Development and Project Management/Operational Support), a Director of Finance and Administration, and three Institute Directors (Executive Development, Continuing Studies and Vocational Development), all of whom reported directly to the Chairman. After the elimination of one Institute Director and one Vice-President position in June 2009, the ADU/ADUKG senior management organisational chart became as shown in Figure 5.1

**Figure 5.1: Senior Management Organisational Chart (July 2009)  
Abu Dhabi University Holding Company, Abu Dhabi University  
Knowledge Group and Abu Dhabi University**



### ***5.4.1 Abu Dhabi University (ADU)***

The first decade of the twenty-first century was a time of tremendous visioning, planning and development for the UAE and for Abu Dhabi. Both established aggressive economic visions and plans and recognised education as one of the key drivers of future success (Government of Abu Dhabi, 2008; UAENBS, 2010). Their visions and strategic plans focused on four priorities: providing accessible and affordable higher education and continuing education learning opportunities for all Emiratis; raising the quality of the higher education system and its institutions to “internationally recognised levels” (Abu Dhabi Education Council, 2010, p. 10); building and maintaining a research ecosystem to drive an innovation-based economy and enhance cultural and intellectual life in the country; and, aligning higher education with the social, cultural, economic and environmental needs of the nation. Thus, these documents directly addressed all three higher education missions and indirectly recognised the significance of the large scale training/re-training project for Emirati

Nationals that ADUKG was involved in.

In 2008-9, the Chancellor of ADU orchestrated a strategic planning process and, in 2012, the results were reviewed and renewed (see Table 5.1).

<b>Table 5.1: ADU Strategic Plan “Vision &amp; Beyond” (ADU, 2012)</b>
<p><b>Vision 2013</b></p> <p>Abu Dhabi University is recognised as a national university of choice for quality education, applied research that drives regional economic development, and enjoys international accreditation.</p>
<p><b>Mission</b></p> <p>The mission of ADU is to offer highly rewarding career oriented undergraduate and graduate degree programmes aligned with the needs of UAE and the region through excellence in teaching, student learning, faculty scholarship and engagement in community development.</p>
<p><b>Institutional Culture and Shared Values</b></p> <p>The community of Abu Dhabi University is student-centered, committed to faculty/staff development and prides itself in:</p> <ul style="list-style-type: none"> <li>• Collegiality</li> <li>• Inclusiveness while Respectful of Arab culture</li> <li>• Integrity</li> <li>• Equity</li> <li>• Innovation</li> <li>• Agility</li> <li>• Service above self</li> </ul>
<p><b>Goals and Objectives</b></p> <p><b>Goal 1:</b> Create a student-centered learning environment conducive to intellectual and personal growth of students</p> <p><b>Goal 2:</b> Meet the needs of our stakeholders and be a responsive contributor to our community</p> <p><b>Goal 3:</b> Achieve academic excellence at every level</p> <p><b>Goal 4:</b> Achieve operational excellence by creating a service oriented organisation characterised by evidence-based assessment and continual improvement</p> <p><b>Goal 5:</b> Instill a culture of valuing people and create an environment conducive to innovation and professional excellence of faculty and staff</p> <p><b>Goal 6:</b> Reach a sustainable financial position with the ongoing capacity to invest in growth and the pursuit of excellence</p>

In 2008-9, the University offered four levels of programming and was organised as illustrated in Table 5.2.

<b>Table 5.2: Abu Dhabi University Programming</b>			
<b>ABU DHABI UNIVERSITY (ADU)</b>			<b>Comments</b>
<b>College of Research &amp; Graduate Studies</b>			<b>Master’s Degrees</b>
<b>College of Arts &amp; Sciences</b>	<b>College of Business Administration</b>	<b>College of Engineering &amp; Computer Sciences</b>	<b>Bachelor’s Degrees – Years 3 &amp; 4 of Undergraduate studies</b>
<b>University College</b>			<b>Years 1 &amp; 2 of Undergraduate Studies</b>
<b>English Language Institute</b>			<b>Pre-University College Bridging &amp; Preparatory Programmes</b>

The presence of the English Language Institute allows the University to serve under-qualified/prepared students and bridge them into undergraduate studies. “The vertical division of its undergraduate programmes into a University College (for years one and two) and three discipline-specific Colleges (for years three and four) allows the university to maintain its government accreditation while hiring instructors with Masters degrees to teach the majority of its University College courses, a strategy which is not only cost-saving but is designed to improve student service, retention and success” (Chancellor, Personal Communication, October 2008).

### 5.4.2 Abu Dhabi University Knowledge Group (ADUKG)

Upon its inception, the Directors of ADUKG were asked by the Chairman to formulate a strategic plan. The results of that process are illustrated in Table 5.3.

<b>Table 5.3 - ADUKG Strategic Plan</b> <b>“About ADUKG”</b> (ADUKG, 2009)
<p><b>WHAT IS THE ABU DHABI UNIVERSITY KNOWLEDGE GROUP?</b></p> <p>The Abu Dhabi University Knowledge Group (ADUKG) has been created to be the united face of a new and growing collection of knowledge orientated institutes and entities. These organisations are dedicated to offering wide-ranging training and development solutions across the UAE and the region. We look to provide a single point of call for all of the specific training and development needs of businesses, government institutions and individuals.</p>
<p><b>OUR VISION</b></p> <p>To be the leading provider of education and training solutions in all of its core areas, and to be known for our sustainable contribution to the social and economic development of the region.</p>
<p><b>OUR MISSION</b></p> <ul style="list-style-type: none"> <li>• To rapidly grow the sustainable provision of knowledge and skills for individuals, businesses and governments.</li> <li>• To provide every client the quality of education and training necessary to achieve their aims and exceed their expectations.</li> <li>• To build a world class network of partners in relationships that add mutual value and that advance a shared vision of regional development</li> </ul>
<p><b>OUR CORE VALUES</b></p> <ul style="list-style-type: none"> <li>• Excellence and Professionalism</li> <li>• Passion for Growth</li> <li>• Teamwork</li> <li>• Flexibility</li> <li>• Creativity and Innovation</li> </ul>
<p><b>WHAT IS ADUKG’s OBJECTIVE?</b></p> <p>We provide a wide selection of innovative courses designed to develop the potential of people – and, by extension – the organisations they work for now and in the future. On a broader level, through a combination of research, academic excellence, responsive course structuring and key sector focus, ADUKG makes sure that organisations throughout the region are competitive, sustainable and equipped with highly-qualified, and enlightened people to lead them.</p>

Several observations regarding ADUKG’s programming (see Table 5.4), location and human resource management practices are noteworthy. The concept of ADUKG’s predecessor, the Institute for Enterprise Development, was to develop and deliver

business/management/administrative programmes via open enrolment and contracted training. With the subsequent acquisition of the two very large-scale, multi-year workforce development projects, the limited resources of the IED were completely consumed by the demands of these projects, thus causing it to abandon its original continuing education/contract training concept and assume the role of a workforce development department. Subsequently, several other enterprise-level, multi-Institute training contracts awarded to ADUKG were sufficiently long-term and large-scale to require ADUKG to hire additional overseas instructors, with one contract involving the operation of a small campus at a military base located a hour's drive away from ADU's main campus. As a result of this, the local recruitment of part-time/adjunct instructors and the short-term hiring of overseas instructor-contractors were abandoned and replaced with the establishment of open-duration employment relationships with western adult educators that involved ADU-like immigration arrangements and benefits such as housing, annual flights to countries of origin, etc.. It was only with the hiring of additional directors in 2008 that ADUKG regained the capacity to expand its offerings and pursue its original continuing education mandate, a situation that proved fleeting because of the impact of the global recession and the resulting release of two directors.

When it was decided in early 2009 to begin to promote executive development, vocational training and continuing studies courses as open enrolment offerings, a Strengths-Weaknesses-Opportunities-Threats (SWOT) analysis was performed and a number of significant barriers identified. Hiring qualified instructors who were not already ADUKG employees to teach evening and weekend classes was problematic because most were in the UAE via work visas sponsored by other educational institutions. In order to teach part-time for ADUKG, the teachers' visa sponsors would need to give written permission and, since most viewed ADUKG as a competitor, they usually refused to do so. ADU's location was also problematic. The Abu Dhabi Campus was built to be in the heart of the anticipated "uptown" centre for government and related services, a multi-billion dollar development that was to proceed over the second decade of the new millennium. Unfortunately, what this meant in 2009 was that most prospective students for evening classes would have to drive over 20 kilometers outside downtown Abu Dhabi City to attend, a distinct competitive disadvantage when organisations such as the British Council could offer similar courses at similar prices right downtown. Because of these and other related challenges, ADUKG offered very

little programming typical of a continuing higher education unit. (Director-ICS/IVD, Personal Communication, January 2009)

Another aspect of note was the inter-relationships among ADUKG’s three institutes. Given the complexity of the challenges faced by the UAE government and by companies and organisations operating in the UAE and the Gulf Region, the ADUKG Directors or their Coordinators would usually work in teams to develop training solution proposals that either involved the coordinated offering of multiple courses by multiple institutes or integrated multi-institute solutions (e.g., an accredited Edexcel course (IVD) integrated with English as a Second Language instruction (ICS)). (Director-ICS/IVD, Personal Communication, January 2009)

<b>Table 5.4 - Abu Dhabi University Knowledge Group Programming</b>	
<b>Abu Dhabi University Knowledge Group (ADUKG)</b>	<b>Programming</b>
<b>Institute for Executive Development (IED)</b>	<ul style="list-style-type: none"> <li>• <b>Courses and programmes for executives and senior managers in business, industry and government</b></li> <li>• <b>Often offered in partnership with foreign business schools such as Ashridge (U.K.) and Babson (U.S.A.).</b></li> </ul>
<b>Institute for Vocational Development (IVD)</b>	<ul style="list-style-type: none"> <li>• <b>Vocational courses and programmes for managers, supervisors and front-line employees</b></li> <li>• <b>Often offered in partnership with foreign vocational programme providers such as Pearson Edexcel and business schools such as Ashridge (U.K.) and Babson (U.S.A.).</b></li> </ul>
<b>Institute for Continuing Studies</b>	<ul style="list-style-type: none"> <li>• <b>“Core skills” education and training in areas such as language, critical thinking, teaching &amp; learning, and computer use</b></li> <li>• <b>Often coordinated with international programmes or standards such as the International English Language Testing System or the International Computer Driving License programme.</b></li> </ul>



### ***5.4.3 The Organisational Cultures of ADU and ADUKG***

The existence of the ADUHC holding company and the fact that ADU and ADUKG are consistently referred to by the Chairman and others as equal subsidiary “sister companies” represent two inter-related and highly relevant cultural artefacts. Coupled with each having its own administrative support units, this immediately sets this situation apart from most HEI organisations. Other than for institutions such as the Open University in the U.K. and the University of Phoenix in the U.S. where the primary business of the organisation is adult/continuing education, most HEIs view their academic schools/faculties/divisions as embodying their primary *raison d’etre*, with virtually all support services organised in support of full-time and part-time students pursuing “traditional” academic/educational credentials (e.g., diplomas and degrees) offered by these units. Research clearly indicates that most HEIs view their CHE units as peripheral “children” of their organisations, with CHE literature often referring to the HEI as the “host” or “parent” institution (e.g., Allen, Tilghman & Whitaker, 2010; Blaney, 1986; Bowl, 2010; Findsen, 2001; Hanna, 1998; Hansen, McClure & Parkes, 2009; Matkin, 2009; Vallet, 2010).

Another important cultural artefact is the strategic plan of each organisation. A review of the two organisations’ visions, missions, espoused values and goals/objective (see Tables 5.1 and 5.3) clearly show significant similarities, despite the fact that they were developed independently and without reference to each other (Director-IED, Personal Communication, September 2009). The two organisations’ visions both talk about leading, being recognised, and contributing to economic development, while both their missions describe service to individuals, quality programming and engagement in national/regional development. Each presents strikingly similar core values - collegiality/teamwork, agility/flexibility, innovation and integrity/professionalism – and objectives – student-centered/responsive to needs, facilitating growth/achievement of potential, achieving academic excellence, and contributing to the sustainability of organisations (including their own) and to community/regional development.

An additional cultural artefact is the composition of the organisations. Academic/programming personnel for both organisations are made up of either western-born or western-educated individuals with each employing a significant number of bilingual (Arabic-English) instructors and administrators (especially in student service positions)

and with virtually all managers and executives possessing either Master's or Doctoral degrees. While ADU uses traditional academic titles (e.g., Chancellor, Vice-Chancellor, Provost, Dean, etc.) and ADUKG uses more business-like titles (e.g., Director, Manager, etc.) and their terms and conditions of employment are somewhat distinct, the core elements - pay scales and benefits – are very similar and people from both organisations are offered the opportunity to live in on-campus staff accommodations. (Chairman, Personal Communication, July 2008)

Branding also represents a cultural artefact that binds the two organisations together. Not only do the two organisations share the name “Abu Dhabi University” but the slogan of the university is “Universal Knowledge ... Timeless Truth;” thus, the word “knowledge” is common among ADU, ADUKG and ADUKG's Institutes, each of which has a “knowledge”-based slogan:

- ADU - *Universal Knowledge ... Timeless Truth*
- ADUKG – *From Knowledge to Success*
- Institute for Executive Development - *From Knowledge to Leadership*
- Institute for Vocational Development – *From Knowledge to Expertise*
- Institute for Continuing Studies – *From Knowledge to Achievement*

The logos of ADUKG (see Figure 5.2) and its institutes were all designed to coordinate with each other and with that of ADU, symbolising “distinct but connected.” (Director - IED, Personal Correspondence, May 2009)

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**Figure 5.2 – ADU and ADUKG Logos**



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Finally, and perhaps most tellingly, were the assertions of the senior executives regarding their respective organisations and their cultures. All saw ADU and ADUKG sharing core values, norms and beliefs - achieving excellence in programming and service, outcome-oriented and continuously pursuing improvement, focused on personal, organisational and regional capacity building and sustainability, concerned about student/customer satisfaction and success, being demonstrably entrepreneurial, competitive, innovative, agile and flexible, interested in collaboration and partnerships, and, over-ridingly, the institution was a business that needed to be financially and administratively solvent and sustainable. The differences in culture and approach between the two organisations were recognised, viewed as appropriate to their mandates, and seen as “meshing” well together and not in conflict. All agreed that the relationship between the two was not hierarchal but collegial and that, “by working together, we are confident that we are going to create positive synergies and enjoy enhanced competitive advantage” (Chancellor, Director-IED & Director-ICS/IVD, Personal Communication, August, 2008).

#### ***5.4.4 ADU-ADUKG Relationships***

By 2008, much of the co-joining between ADU and ADUKG had been severed. Since its inception in 2006, many of the organisational decisions made by the Chairman or by ADUKG's Directors involved severing ties with ADU. "In most cases, the reason cited was the inability of the particular ADU department to deal with the volume and/or the speed of service required by ADUKG" (Chairman, Personal Communication, January 2009). While this primarily involved support service departments such as finance, human resources and information technology, it also involved one academic area – the English Language Institute (ELI).

When it was first created, ADUKG's English as a Second Language (ESL) courses were coordinated by the ELI and were primarily instructed by members of the ELI faculty. With its rapid involvement in major projects, ADUKG's ESL programming and personnel needs exceeded the ELI's ability to develop and supply them; so, ADUKG created the Institute for Continuing Studies (ICS) and gave it responsibility for developing and delivering general and customised ESL programmes. At its peak from 2006 to 2008, ICS employed over 125 full-time expatriate ESL instructors, which was nearly eight times the number of instructors working for the ELI (16) (Chairman, Personal Communication, July 2008).

At an ADUKG Board of Directors meeting held in July, 2008, the Chairman expressed concern about the lack of connection between ADU and ADUKG and asked that, as part of their roles, the Directors of the three Institutes take on the challenge of "building bridges between the silos" (Chairman, Personal Communication, July 2008). In particular, he wanted ADUKG's Directors and ADU's Chancellor, Provost and Deans to explore ways to ensure that investments made in research, curricula and learning resource development, human capital recruitment, facility development, and equipment acquisition reaped maximum returns. He did not know what the specific nature of the relationship should be, but he wanted to see "separation replaced by synergy wherever possible" (Chairman, Personal Communication, July 2008). In relevant literature, what the Chairman was seeking is often referred to as an "exchange relationship" (Levine & White, 1961) established to facilitate the generation of "collaborative advantage" (Bleeke & Ernst, 1995; Huxham, 1993a, 1993b & 2003; Huxham & MacDonald, 1992; Huxham

& Vangen, 2005; Vangen & Huxham, 2006) and this latter concept and its accompanying theories and framework ultimately proved key to the analysis of this study.

In response to the Chairman's request, the ADUKG Institute Directors and ADU Chancellor met in August 2008 and, through a collaborative brainstorming process, identified possible areas of cooperation/collaboration. These areas included: shared use of academic and administrative facilities and equipment and/or student/customer services; joint research projects; joint marketing and/or student recruitment campaigns and/or organisation or sponsorship of events; establishment of joint external partnerships and/or expansion of current partnerships; joint development of curricula, teaching/learning resources, and/or resource acquisition and utilisation plans; ADUKG employment of regular or sessional ADU faculty to teach open enrolment or contracted courses; joint employment of foreign sessional faculty; shared recruitment and/or employment of faculty; sharing of student and/or alumni contact information to facilitate recruitment into other programmes; and, credit transfer.

As a follow-up to the meeting, the ADU Chancellor agreed to draft a short document outlining his thoughts on possible conceptual relationships between ADU and ADUKG (see Appendix "A"). In addition, the ADUKG Institute Directors agreed to draft a Memorandum of Understanding (MOU) between ADU and ADUKG, based on similar agreements they had with other partners (see Appendix "B"). At this time, ADUKG was involved in very active partnerships with Pearson Edexcel, the International Computer Driving License Gulf Cooperative Council Foundation, Ashridge Business School, the British Council, and University of Cambridge International Examinations.

The content of the documents subsequently produced largely reflected the topics discussed in the meeting and described above. The two additional concepts put forward by the ADU Chancellor in his paper were: the coordinated exploration of innovations, both in the areas of programme content and teaching methodologies and technologies, with ADUKG typically acting as the testing ground; and, the joint development of Centres or Centres of Excellence that would conduct research and/or develop and deliver programmes "that address the special needs of industry, government or the corporate community" (Chancellor, 2009 (see Appendix "A")).

#### **5.4.4.1 Shared Use of Academic and Administrative Facilities and Equipment and/or Student/Customer Services**

Since their inceptions, IED and then ADUKG have shared space with ADU in Abu Dhabi but not in Al Ain. In Abu Dhabi, IED/ADUKG utilized separate classrooms and maintained separate room scheduling systems from ADU and in Al Ain the sister institutions maintained separate buildings that were about 5 kilometres from each other. At the time of this research, this did not present problems in Abu Dhabi because both institutions had sufficient classroom space available to fulfil their needs and, as is so often the case in HEIs, they scheduled classes in very different ways, with ADUKG typically scheduling classes for half-days or full days and ADU scheduling classes every hour, systems which the principals had experienced in past positions and had found difficult to harmonize (Director-ICS/IVD, Personal Communication, August 2008). Al Ain, however, presented opportunities, as ADUKG was significantly challenged to fill its space and ADU's campus there was "bursting at the seams." (Chancellor, Personal Communication, August 2008). The physical separation of the two campuses would create challenges, but "we might be able to overcome some of these by using video-conferencing technologies" (Chancellor, Personal Communication, August 2008).

An area of particular interest to ADUKG was ADU's Registrar's Office and Call Centre.

We want to expand into open enrolment programming but, in order to do so, need systems to answer public inquiries, register students and take fee payments. It would seem pretty silly to create our own when ADU has a call centre, registration office and cash office already in operation and the Registrar has expressed interest in expanding her services to include our students (Director - ICS/IVD, Personal Communication, August 2008).

#### **5.4.4.2 Joint Research Projects**

The Director – IED said

One of our greatest challenges is off-shore competition. In many cases, when we approach U.K. or U.S. business schools to discuss possible partnerships, they respond by telling us that they already have experience delivering contract training courses in the UAE and/or other

Gulf countries and, in many cases, have relatively longstanding relationships with companies and organisations here. So, they ask us ‘If we were to partner with you, what added value would you provide?’ and often I don’t have an answer. If we were talking about credit programming or open enrolment continuing education-type programming, then our campuses and registration services, etc, here would represent value addedness; but, when it comes to executive training, with fly-in instructors, etc., our offering of classroom space well away from the downtown core of Abu Dhabi is seen more as a detriment than a value added. The one area of significant potential is developing our knowledge of Arab and in particular UAE and Gulf Region leadership styles and management and administration systems. One of the constant complaints we hear from organisations here is that off-shore institutions teach western concepts and standards and they just don’t apply here. They say to us “Harvard professors are experts in leadership and management and we really enjoy taking courses from them; but, we don’t manage like Americans and many of the approaches they suggest either we’re not comfortable with or we’re convinced won’t work here. So, we do learn from them and we take pride in putting certificates from Harvard on our office walls, but do we get our money’s worth from these sessions? Probably not. But what choice do we have? If we want training, we don’t have local options that offer anything better and they certainly wouldn’t have the prestige of Harvard or Oxford.” So we need to research Arab/Gulf leadership and develop our expertise to a point that we can negotiate with places like Harvard and offer opportunities to “Arabise” or “Gulfise” their curricula so that executives here see us offering executive training that is both world-class and locally/culturally attuned (Personal Correspondence, August 2008).

The Chancellor added “This research would be of tremendous interest and value to ADU as well, especially for our M.B.A. programme. So, if we could find a way to jointly support it and benefit from it, that would be great” (Personal Communication, August 2008).

#### ***5.4.4.3 Joint Marketing and/or Student Recruitment Campaigns and/or Organisation or Sponsorship of Events***

The Chancellor and Director-IED agreed that

We want ADU and ADUKG recognised as the places to go to in the UAE for business and management education and executive training. Given the similarities in the profiles of ADU M.B.A. and ADUKG IED students, the co-development of marketing campaigns and events such as leadership conferences makes absolute sense (Personal Communication, August 2008).

#### ***5.4.4.4 Establishment of Joint External Partnerships and/or Expansion of Current Partnerships***

After some brainstorming, the Chancellor asserted

Given the requirement that UAE civil servants must have ICDL [International Computer Driving License] certification, I'm really curious about how we could expand the relationship already established by ADUKG and integrate ICDL training into our undergraduate programmes. No one else in Abu Dhabi is doing this, so it would be something unique we could offer our students. Given the number of Emiratis who work in the civil service or see their future as being a civil servant, I think it could help us attract new students (Personal Communication, August 2008).

#### ***5.4.4.5 Joint Development of Curricula, Teaching/Learning Resources, and/or Resource Acquisition and Utilisation Plans***

Two areas of mutual interest were immediately identified – Cisco networking training and tourism education and training. Regarding the former, the Chancellor observed:

In 2008, our College of Engineering and Computer Science bought all the necessary hardware and software and launched its Cisco Networking Academy. Since then, every year we offer our undergraduate computer science students the opportunity to become Cisco certified. But that only takes about a month each year. The rest of the time the Cisco lab sits unused. We have been asked several times by UAE businesses to run courses and workshops for their employees and we've done it and made some money; but, we're not set up administratively to deal with



this and it would make much more sense for ADUKG to offer that as a service to corporate and government clients (Personal Communication, August, 2008).

Regarding tourism, the Chancellor asserted

The governments of Abu Dhabi, Dubai and the UAE have all recognised tourism as a significant area of current and future interest both in terms of economic development and employment opportunities for UAE nationals. The Chairman has asked one of his special advisors to explore partnership possibilities with foreign universities who have well-recognised programmes in tourism and to look simultaneously at undergraduate, graduate and continuing education opportunities. I've discussed with the Chairman the possibility of developing tourism modules that could be offered as either components of credit programmes or as stand-alone CE [Continuing Education] courses, and he is very interested in exploring this (Personal Communication, August, 2008).

#### ***5.4.4.6 ADUKG Employment of Regular or Sessional ADU Faculty to Teach Open Enrolment or Contracted Courses***

The Chancellor said

When I talked to the Chairman about ADU-ADUKG partnership, one of the first things he talked about was his interest in ensuring that the money we invest each year bringing professors in from overseas provides us with maximum returns and he specifically asked about the possibility of ADUKG using ADU business faculty to deliver corporate training courses rather than bringing in instructors from the U.K. or U.S.. I pointed out to him that one of the principal barriers to ADUKG utilising ADU faculty is conflict in teaching schedules. Professors typically have classes to teach each day; so, to release them for a day or two to teach training courses would be disruptive to our undergraduate and graduate courses. This situation is made worse by the fact that many of the faculty that would be of greatest interest to ADUKG are also in big demand within COBA [College of Business Administration], which means that some of them are teaching as many as three overload courses per semester. So, from both a scheduling and workload perspective,

they're really not available for ADUKG to use. I did, however, commit to exploring ideas and options with the folks in ADUKG to see if there was some way for us to work it out so that it could work for both parties (Personal Communication, August 2008).

#### **5.4.4.7 Joint Employment of Foreign Sessional Faculty**

The Director-IED provided the following comments:

We have a very active and mutually advantageous relationship with Ashridge Business School in the U.K. and, through that association, we've been able to land some very nice executive training contracts here. Ashridge provides us with instructors who are both experienced in business and academically qualified and, when ADU's M.B.A. people found out we were bringing them in every couple of months, they were very interested in exploring the possibility of offering M.B.A. courses in intensive formats and using Ashridge faculty to teach them. We haven't worked out all the details yet, but Ashridge has said that they're open to the idea. It would be great for the M.B.A. programme, great for the Ashridge faculty person and might make a wider range of faculty interested in coming here to teach, which would be good for us (Personal Communication, August, 2008).

#### **5.4.4.8 Shared Recruitment and/or Employment of Faculty**

Besides Business, another area of "overlap" between ADU and ADUKG is in the employment of English as a Second Language (ESL) instructors. The Director – ICS/IVD announced to his colleagues

The Director of the ELI [ADU's English Language Institute] and I have had a couple of hallway conversations about exploring this. It would be really helpful if we could figure out a way to create a pool of ESL instructors from which we could both draw as needs arise. We've both committed to talking about this further (Personal Communication, August 2008).

#### **5.4.4.9 Sharing of Student and/or Alumni Contact Information to Facilitate Recruitment into Other Programmes**

The Chancellor and the two Institute Directors acknowledged that there were many data

sharing possibilities to explore (e.g., recruitment of ADU alumni into IED programmes, IED students into ADU's M.B.A. programme, or ICS/IVD students into ADU undergraduate programmes). The Director-ICS/IVD pointed out

We took this one step further this past summer. We had literally hundreds of Emirati high school students attending summer English and ICDL camps with us; so, we offered ADU admissions staff opportunities to visit the classes and try and convince participants to enrol at ADU in the future. They did a great job, offering free prizes and making it more of a game than a sales pitch. The participants looked forward to them coming into the classes. So, ADU now has their contact information and has made a face-to-face connection with each of them (Personal Communication, August, 2008).

#### **5.4.4.10 Credit Transfer**

The Chancellor asserted

ADUKG has trained or is training thousands of Emirati nationals and, when they graduate, it would be natural for a certain number of them to pursue undergraduate education either instead of or in addition to employment. We're not seeing as many as I think we should be and I think part of the problem is that we're not offering credit transfer or maybe call it dual credit. If students taking a business course through IVD knew that that course would be recognised for credit by COBA or the University College, I think we'd be seeing more of them at least inquiring about the possibilities. I also expect that we will explore this idea with other vocational colleges in the UAE as well (Personal Communication, August, 2008).

#### **5.4.4.11 Coordinated Exploration of Innovations**

After producing and circulating his paper, the Chancellor elaborated on the area of "new opportunities."

In my experience in the States, contract training is the first area of an institution to find out about changes in the workplace. CE then adopts the changes and eventually the undergraduate programmes catch on and do something similar. We have an opportunity here to do this in a much

more coordinated way...

Another area of possible synergy is in the development of new teaching/learning methodologies such as online learning. ADUKG could act as a testing ground and ADU could learn from and adopt some of their approaches (Personal Communication, June, 2009).

#### ***5.4.4.12 Joint Development of Centres or Centres of Excellence***

In his paper, the Chancellor discussed the possibility of developing Centres/Centres of Excellence that combine leading edge research with continuing education-type courses “that address the special needs of industry, government or the corporate community.”

(Chancellor, 2009) In an interview shortly thereafter, he added:

Abu Dhabi will soon be opening three new museums, all of which will have affiliations with world-renowned institutions. These are being developed in part to attract tourists and in part to act as centres for cultural education and preservation. If we were able to develop a centre of excellence in support of these efforts, a centre that would conduct leading edge research in the exploration and preservation of Arab culture and train and education people to work in the fields of tourism and museum management and cultural education and preservation, this would support Abu Dhabi’s strategic plan and help put Abu Dhabi on the map as a place to visit or a place to study (Personal Communication, June, 2009).

## **5.5 Summary**

As “sister institutions” ADU and ADUKG have “grown up” quickly and largely independently. After the Chairman requested that they explore areas of mutual interest and gain, the ADU Chancellor and the ADUKG Institute Directors met and formulated a substantial list of potential areas of mutual advantage. In the next chapter, this list will be analysed for congruence with relevant research and this analysis will be used as the basis for a series of recommendations to the principals.

# **CHAPTER SIX - ANALYSIS OF FINDINGS, CONCLUSIONS AND RECOMMENDATIONS**

## **6.1 Introduction**

In this final chapter, the research findings are summarised and analysed, conclusions are drawn and recommendations made regarding future action by ADU/ADUKG officials and regarding future related research. Section 6.2 analyses ADU-related results while 6.3 does the same for ADUKG. Section 6.4 analyses and compares the organisational cultures of ADU and ADUKG while 6.5 looks at the inter-relationships proposed by ADU and ADUKG's officials and reviews the degree to which the characteristics and objectives proposed are supported by theory- or practice-based literature. Section 6.6 provides recommendations for ADU and ADUKG for future actions while 6.7 summarises the research's conclusions, identifies possible implications and suggests opportunities for future related research.

## **6.2 Abu Dhabi University (ADU)**

A review of ADU's vision, mission and goals reveals that all three Higher Education missions - teaching and learning, research, and community engagement - are included. This notwithstanding, ADU promotes itself to prospective professors as a teaching institution where "you have the chance to make a difference by educating the youth of tomorrow with skills, expertise and professional acumen." (ADU H.R., n.d., p. 1) In an interview conducted in January, 2009, the Chancellor asserted

We see the generation of qualified graduates through quality teaching and student service as our primary means of contributing to regional development. Regarding research, we do not actively encourage faculty to pursue research because we know that, for budgetary reasons, we will probably need to ask professors to teach courses in excess of their normal teaching load and/or, because of the youth of our institution, to perform duties such as programme and curricula development. While professors are expected to teach four courses per semester for two semesters per year, many teach overload courses, with some teaching as many as three overload courses per semester [which could mean they

teach as many as seven courses per semester or fourteen courses per year].

The Chancellor also noted that he was aware that ADUKG's IED had unsuccessfully applied for funding from the UAE National Research Foundation for research on Arab Leadership.

Had the project gone ahead, I had hoped that we [ADU] could have reaped some form of cross-over benefit. For example, the U.K. professor who would have been hired to coordinate the research project could perhaps have taught a course or two in our M.B.A. programme. In the future, our plans include initiating a Doctorate in Business Administration programme and building a publicly/privately-funded research park, both of which will be partnered projects and will enhance our future capacity to conduct applied research (Chancellor, Personal Communication, January, 2009).

Regarding entrepreneurship and community engagement, the Chancellor said Overall, we consider ADU to be an entrepreneurial and community-engaged institution; however, because of faculty teaching and development workloads, especially among the most skilled professors, it is extremely difficult to involve them in outreach or ADUKG teaching activities. This is further compounded by the fact that most professors are from overseas and do not have local community or professional connections or contacts, although our Campus Dean in Al Ain is an exception because he's a long-time UAE resident and has been actively involved with the Abu Dhabi accounting & finance professional community for some time. For the most part, however, when it comes to external community engagement, we rely on the ADUKG Directors to engage the public and professional communities, explore possible contract training and applied research opportunities and provide us with updates or referrals during our monthly Provost/Dean meetings (Chancellor, Personal Communication, January 2009).

Thus, on its own, ADU was really only fulfilling one of the HE missions – teaching and learning – and was being stretched to do so. It was relying on ADUKG as a partner to

assist with its fulfilment of the other two missions (research and community engagement), but was doing so without any formal agreement or collaborative plan.

### **6.3 Abu Dhabi University Knowledge Group (ADUKG)**

While the senior managers of ADU and ADUKG did not see themselves in competition with each other, they recognised that they often delivered analogous programmes (see Table 6.1) to parallel, niche audiences. For example, employed degree-holders could choose to pursue a master's degree with ADU if they had the appropriate combination of interest, time and funds available. Alternatively, those who were interested in advancing their careers but were missing one or more of these qualifiers could attend a programme, course or seminar offered by ADUKG's Institute for Executive Development. The parallel nature of the audiences and the analogous nature of the programmes meant that it was worthwhile for each to promote its programmes to the students of the other. In that way, an M.B.A. student who found him/herself overcommitted could continue to pursue professional development with IED or a person who had been out of school for a period of time could use IED courses as a bridge to the M.B.A. programme.

IVD's programme alignment with the United Kingdom's Business and Technical Education Council (BTEC) and ICS's accreditation by the International Computer Driving License (ICDL) Foundation and University of Cambridge International Examinations and collaboration with the British Council facilitate their delivery of courses at the post-secondary and pre-post-secondary levels, thus aligning them with both the University College and the English Language Institute (see Table 6.1). At the time of interviews, active discussions were being held regarding possible course transfer credits from ADUKG's IVD and ICS to ADU's University College, plus the possibility of ADU offering undergraduate students the opportunity to take the ICDL exams and thus receive the ICDL credential (which was a requirement for employment in the UAE federal public service) in addition to their degrees.

<b>Table 6.1- Analogous Programme Areas</b>			
<b>ABU DHABI UNIVERSITY (ADU)</b>			<b>ABU DHABI UNIVERSITY KNOWLEDGE GROUP (ADUKG)</b>
<b>College of Research &amp; Graduate Studies</b>			<b>Institute for Executive Development</b>
<b>College of Arts &amp; Sciences</b>	<b>College of Business Administration</b>	<b>College of Engineering &amp; Computer Sciences</b>	
<b>University College</b>			<b>Institutes for Vocational Development and Continuing Studies</b>
<b>English Language Institute</b>			<b>Institutes for Vocational Development and Continuing Studies</b>

By re-phrasing and re-sequencing their vision, mission and value statements, the similarities between them become clear, as depicted in Table 6.2.



<b>Table 6.2 - A Comparison of Key Elements of ADU's and ADUKG's Strategic Plans</b>		
	<b>ADU Strategic Plan "Vision &amp; Beyond" 2008 – 2013</b> (“Vision & Beyond,” n.d.)	<b>ADUKG Strategic Plan "About ADUKG"</b> (ADUKG, 2009)
<b>Vision</b>	Recognised as <ul style="list-style-type: none"> <li>• the UAE's “university of choice” for quality education and applied research</li> <li>• a driver of regional economic development</li> <li>• an internationally-accredited institution</li> </ul>	Recognised <ul style="list-style-type: none"> <li>• as the UAE's “trainer of choice” for executive, vocational and continuing education and training</li> <li>• for its sustained contribution to regional social and economic development</li> <li>• internationally as a viable regional partner and/or an accredited training provider</li> </ul>
<b>Mission</b>	To provide undergraduate and graduate students with highly-rewarding, career-oriented degree programmes that are aligned with the needs of the UAE and Gulf Region and recognised internationally.	To provide individuals, businesses and governments in the UAE and Gulf Region with high-quality, needs-fulfilling education and training programmes through a international network of world-class partners
<b>Values</b>	<ul style="list-style-type: none"> <li>• Student-centered approach to education and service</li> <li>• Service above self</li> <li>• Commitment to faculty/staff development</li> <li>• Collegiality</li> <li>• Inclusiveness while respectful of Arab culture</li> <li>• Integrity</li> <li>• Equity</li> <li>• Innovation</li> <li>• Agility</li> </ul>	<ul style="list-style-type: none"> <li>• Passion for growth</li> <li>• Excellence</li> <li>• Teamwork</li> <li>• Professionalism</li> <li>• Creativity and Innovation</li> <li>• Flexibility</li> </ul>

During the time period when the Institutes of Continuing Studies and Vocational Development were introduced and the Institute of Enterprise Development was being changed to the Institute of Executive Development, the institute directors worked together to establish a collective name, brand and identity. The concept of the “Knowledge Group” was soon agreed upon but one item that was actively debated was whether the Group should be known as the “Abu Dhabi Knowledge Group” or the

“Abu Dhabi University Knowledge Group.” The debate was potentially divisive, as the Director of the Institutes of Continuing Studies and Vocational Development saw distinct Institute advantages to the Group being affiliated in its name with the University especially related to the credibility of its programmes and instructors and the inherent perception of possibilities for credit bridging or transfer. At the same time, the Director of IED opposed the affiliation as he felt that those who were not familiar with the university would assume it was a public-sector organisation and focused on research and theory rather than consulting and practical application, both of which were potentially detrimental to the Group establishing an IBM-like “The Solutions Group” brand. Three significant factors ultimately tipped the scales.

First, the Abu Dhabi government announced that, henceforward, any company or organisation that was not directly affiliated with the government and who wanted to use the name “Abu Dhabi” in its name would have to seek and receive approval from the government, a process which was expected to take anywhere up to a year to complete. Second, a significant number of Abu Dhabi-based organisations who were potential management or executive training clients had asked if the training courses the Institute(s) delivered could provide the double advantage of solving immediate professional development/performance needs and offer the participants some kind of transfer credit towards an ADU credential at the Bachelor’s or Master’s level. The Directors were told that, if the Knowledge Group could offer this, it would clearly differentiate it from its competitors and would make the programmes significantly more attractive to potential contract training customers. Third and lastly, the ADU Master’s in Business Administration (M.B.A.) programme – which, to accommodate working adults, operated during weekday evenings and on weekends - had recently be recognised as the largest and fastest-growing programme of its type in Abu Dhabi. “When all factors were considered, the Directors decided to include ‘University’ in the Group’s name and thereby brand itself as affiliated with ADU” (Director - IED, Personal Communication, January 2009).

Having made the decision to affiliate itself with ADU, the challenge was now for ADUKG to develop specific collaborative/affiliative advantage actualisation strategies and implement them (Huxham & Vangen, 2005). Several current and potential clients had clearly expressed interest in having ADUKG deliver training programmes that will fulfil two agendas – eliminating employees’ immediate competency gaps and providing

them with a bridge into credentialed education. Tangible examples of this, especially involving its most popular training programmes and those programmes currently being negotiated with potential clients, needed to be successfully negotiated with ADU, documented, integrated into ADUKG syllabi and promotional materials, and then, where appropriate, used as leverage to close currently open negotiations with potential training customers.

## **6.4 The Organisational Cultures of ADU and ADUKG**

This research found high levels of power equality, trust, mutual respect, cultural congruence and potential interdependence between ADU and ADUKG, phenomena that are not typical of HEIs (Clark, 1958; Donaldson, 1991; Duke, 2008; Eitel, 1993; Gappa & Leslie, 1993; Gordon, 1980; Ilsley, 2004; Jones, Thomas & Moseley, 2010; Kogan, 2000; Long, 1990; Marksby, 1987; Miller, 1981; Nesbit, Dunlop & Gibson, 2007; Schejbal & Wilson, 2008; Selman & Dampier, 1991; Taylor, 2005; Teichler & Hanft, 2009; Votruba, 1987) and which bode well for the development of a long-term, successful relationship between them (Austin, 2000; Hopkins, Hopkins & Mallette, 2005; Meirovich, 2010), characterised by excellent knowledge transfer (Lucas, 2006). ADU's and ADUKG's vision/mission statements and strategic plans include elements of culture, strategy and leadership and, in each case, combines them into a coherent identity (see Figure 2.3 - Chaffee & Tierney, 1988). As part of the process of entering into a strategic relationship, their challenge was now to work in collaboration with each other to produce a coherent identity for the ADU-ADUKG partnership, a process that would be tangibly helped by the significant degree to which their strategic plans were already congruent (as illustrated in Table 6.2) and by the lengthy process undertaken by ADUKG to create a brand that was clearly affiliated with ADU (see Figure 5.2).

Cursory analyses of ADU's and ADUKG's cultures showed high degrees of similarity between them, an outcome not altogether surprising given the hands-on, directive leadership style of the Chairman and the co-joined organisational structure. A review based on Smart, Kuh and Tierney's (1997) four-culture typology (see Table 2.3) reveals a shared predominance of the Adhocracy and Market cultures. In addition, if one were to substitute "in harmony with Abu Dhabi's and the UAE's goals" for "maintaining the status quo" (p. 262), one would also see them sharing strong Bureaucracy cultures as well. A similar analysis based on Bergquist and Pawlak's six-culture typology (see

Table 2.4) uncovers an in-common dominance of two cultures – Managerial and Tangible. Elements of the Collegial culture are also mutually in evidence in as much as ADU’s and ADUKG’s missions clearly espouse support for the values of generating, interpreting, and disseminating knowledge and developing specific values and qualities of character among young men and women who are future leaders of their society (Bergquist & Pawlak, 2008, p. 15); however, the cultural artifacts most universally associated with the Collegial culture – tenure, scholarship, research and shared governance – are noticeably absent from ADU and ADUKG. Since Bergquist and Pawlak recommend that institutions pursue equilibria among their three cultural pairs – Managerial – Advocacy, Collegial – Developmental and Virtual - Tangible – one possible strategy that ADU/ADUKG could pursue would be the formation of external partnerships with institutions whose strengths are in research, scholarship, professional development and technologically-mediated and learner-centred programme delivery. The propensity for such partnerships to generate culture-based conflicts would need to be recognised and effective joint management strategies would need to be proactively formulated to mitigate them; however, assuming that appropriate partnership governance strategies could be successfully put in place, mutually beneficial relationships with foreign institutions should be achievable, and a strong ADU-ADUKG partnership – with its Clarkian “integrated entrepreneurial culture” (Clark, 1998, p. 7) - would enhance such relationships’ opportunities for success.

The research further suggests that, if culturally-related conflict were to occur, it would be more likely to occur between ADU/ADUKG’s western expatriate directors/executives and their Emirati Chairman, their Emirati government clients, or their Emirati students than among ADU’s and ADUKG’s directors/executives or between ADU/ADUKG and their western partners (Gupta & Hanges, 2004; Hofstede, 2001). The potential for conflict with government officials or students supports ADU’s and ADUKG’s practice of employing Emiratis as frontline representatives in key culture-connecting areas such as student services and contract training and the Chairman’s practice of acting as organisational “front man” when appropriate situations/opportunities arise. Besides avoiding cultural conflicts or faux pas, the combination of expatriate managers’ knowledge of business and community development practices and Emirati employees’ knowledge of cultural practices and protocols, familial ties, and community and organisational histories will enhance the probability that ADU’s and ADUKG’s boundary-spanning departments and/or

employees will be able to achieve their desired state of “dual embeddedness” and positively contribute to organisational innovation (Figueiredo, 2011) and “peripheral vision” (Day & Schoemaker, 2006).

## **6.5 ADU-ADUKG Relationships**

The research conducted revealed a series of explanatory theories and practices for strategic relationship formation that are directly applicable to the ADU – ADUKG situation. While each relationship is unique, the following analysis illustrates the support found in the literature for ADU-ADUKG’s relationship strategies and also suggests additional areas of strategic advantage that could potentially be explored.

### ***6.5.1 Support from Theory and Practice for Currently-Proposed Relationship Aspects***

To begin, given the patriarchially-led, “co-joined at the head family-of-organisations” nature of the relationship between ADU and ADUKG (e.g., they and other companies owned by the Chairman are regularly referred to as “sister companies” by ADU and ADUKG employees), managers and employees saw themselves as part of a corporate network and, because of that, entered into discussions regarding collaboration or joint ventures with presumptions of trustworthiness and decreased relationship management costs because of a lower-than-usual likelihood of self-interest behaviours undermining the viability of the relationship. It was also presumed that closer ties between sister companies would lead to enhanced communication and other opportunities for collaboration, especially when it came to the development and delivery of enterprise-level solutions for companies and governments (Director-IED, Personal Communication, January 2009). This is a clear and direct application of Social Network Theory as the basis for a relationship (Ahuja, 2000; Aulakh & Kotabe, 2008; Gulati, 1995, 1998, 1999; Hennisz & Swaminathan, 2008; Hutt et al, 2000; Kenis & Knoke, 2002; Rowley, Behrens, & Krackhardt, 2000; Uzzi, 1997).

Similarly, Game Theory would suggest that the co-joined, long-term nature of the relationship between the two otherwise competitive parties – ADU and ADUKG - and the parallel, analogous nature of their programmes lend themselves to what Brandenburger and Nalebuff (1996) call “coopetition” and Doz and Hamel (1998) refer

to as “co-option;” that is, the recognised duality of cooperation and competition and the joint advantage of cooperating in order to enhance each partner’s competitive position in the marketplace. Projecting into the future, if one were to apply Gomes-Casseres’ model of industry organisation and vision of organisational constellations and inter-constellational competition (1994, 1996 & 2003) to HEIs in competitive marketplaces such as the UAE, it would suggest that, if all else is equal, those HEIs who have formulated synergy-generating strategic relationships between their academic schools and their CHE units would be in a competitive advantage situation. Taking this one step further, presumably constellations of HEIs whose academic and CHE units have networked would form and, eventually, the HEI/CHE marketplace would be dominated by HE constellational competition. Thus, an ADU-ADUKG strategic partnership potentially provides both partners with a strategic competitive advantage in the competitive Abu Dhabi/UAE HE marketplace and could lead to the partners being able to provide solutions to companies and governments that are unmatched by other competitors (e.g., training programmes custom-designed to both improve individual and corporate performance and provide participants with transfer credits toward a recognised undergraduate or graduate credential)

The balance of this theory-based analysis will be presented on a goal-by-goal basis.

#### **6.5.1.1 *Shared arrangement for and use of resources***

Proposed sharing would include facilities, equipment, student/customer service systems (e.g. Registrar’s Office and Call Centre) and regular and sessional faculty. By jointly arranging for and utilising facilities, equipment, service systems and human resources, the partners can rationalise and share inherent risks involved in resource acquisitions and can achieve utilisation economies of scale (Contractor & Lorange, 1988; Glaister & Buckley, 1996). By justifying more extensive resources through partnership, they could become more inter-dependent and thus increase the security or assuredness of the resource supply/availability and reduce the likelihood of either becoming dependent on third parties for these resources (Cool & Henderson, 1998; Pfeffer & Nowak, 1976; Pfeffer & Salancik, 2003; Thorelli, 1986). Thus, this aspect of the proposed strategic relationship is supported by two significant theories – Transactional Costs Economics (TCE) and Resource Dependence respectively.

### **6.5.1.2 Joint projects**

Joint projects could involve research, innovation, development of curricula and/or teaching/learning resources, development of centres or centres of excellence, sponsorship/organisation of events such as conferences, and marketing campaigns. By partnering on projects, ADU and ADUKG could share “inputs” such as human and physical resource utilisation; access to partner resources; financial investment; and risks and “outputs” such as human resource development/organisational learning and unique “products” (e.g., teaching and learning resources, curricula, courses and/or programmes) that could be integrated and potentially sold to external partners.

These aspects of the relationship are supported by theories such as Resource Dependence, Resource-based View of the Firm, Stakeholder Theory and Learning Theory.

Other collaboration goals included generating synergies (e.g., through cross-unit marketing of programmes/courses and credit transfer for students), producing enhanced outcomes such as revenue generation and competitive positioning, and, from ADUKG’s perspective, lending credibility to its programmes and services. Thus, this aspect of the proposed strategic relationship is supported by Transactional Costs Economics (TCE), Strategic Choice Theory and, for ADUKG, Institutional Theory.

### **6.5.1.3 Establishment of joint external partnerships and/or expansion of current partnerships**

Discussions with ADU and ADUKG officials regarding their current external partnerships revealed a full spectrum of motivations. One motivation for an ADU-ADUKG relationship would involve increased net revenues through the cost-effective adoption and/or adaptation of trusted, already-developed and delivered curricula, learning resources, etc. that, because of sole-partner clauses in agreements, were often unique in the region and through which immediate delivery and connection to internationally-recognised credentials and institutions could be achieved. For ADU, this could include the International Computer Driver’s License programme offered by ADUKG. For ADUKG, it could be the Cisco Academy offered by ADU. These strategies are explained by Transactional Costs Economics, Resource Dependence Theory, Resource-based View of the Firm, Social Network Theory, Strategic Choice

Theory and Institutional Theory and are supported by the practice-based research of Child Faulkner and Tallman (2005), Glaister and Buckley (1996), Hansen and Nohria (2004), Harbison and Pekar (1993), Lee, Lim and Tan (2000), and Lynch (1993).

Another motivation would include connections through partners to other institutions in similar situations and, therefore, to information about how others have utilised, adapted and/or marketed partners' programmes and resources, instructional designs and technologies being used to deliver programmes, and/or anticipated changes/innovations in programme content, design or delivery. This strategy is explained by Learning Theory and supported by extensive practice-based research literature (Inkpen, 2005), including Child Faulkner & Tallman (2005), Doz & Hamel (1998), Inkpen (1998), Ireland, Hitt & Vaidyanath (2002), Khanna, Gulati & Nohria (1998) and Kogut (1988a).

A third motivation would be expansion of course offerings and/or reduced marginal cost of delivery through coordinated utilisation of external partners' faculty. For example, ADU had struggled to build and maintain the instructional capacity necessary to effectively deliver its M.B.A. programme. At the same time, ADUKG's IED has entered into an agreement with the U.K.'s Ashridge Business School to jointly deliver executive training to an Abu Dhabi organisation and this involved periodically flying in a U.K.-based Ashridge professor to deliver each course. It is conceivable, therefore, that the faculty member could be chosen based not only on his/her ability to delivery the customised training course but also on his/her ability to teach a course within ADU's M.B.A. programme and could be brought in for a longer time period in order to deliver the ADUKG-Ashridge course and an ADU M.B.A. course taught in an intensive format. To add even more value, the faculty person could meet with representatives from both ADU and ADUKG to discuss current and anticipated developments in the M.B.A. and Executive Training programmes delivered by Ashridge and other U.K. HEIs. If this arrangement could be planned and organised as a regular component of the ADU M.B.A. programme, then this could be used to develop and deliver unique course offerings, could enhance the programme's credibility through association with Ashridge, could help alleviate ADU's instructional capacity challenges, and could help keep them regularly abreast of developments at or around one of UK's premier business schools. Conceivably, as a quid-pro-quo measure, ADU could share with the visiting faculty person information about the UAE business



marketplace, etc, could have members of its faculty visit Ashridge to teach or share information about topics of interest such as Islamic Banking, and/or could establish other means of information-sharing and/or shared course delivery.

This strategy is supported and explained by Transactional Costs Economics, Resource Dependence Theory, Resource-based View of the Firm, Strategic Choice Theory, Learning Theory, and Institutional Theory and supported by extensive practice-based research literature (Inkpen, 2005), including Child Faulkner & Tallman (2005), Doz & Hamel (1998), Glaister & Buckley (1996), Hansen & Nohria (2004), Harbison & Pekar (1993), Huxham (1993a, 1993b & 2003), Huxham & MacDonald (1992), Inkpen (1998), Ireland, Hitt & Vaidyanath (2002), Khanna, Gulati & Nohria (1998), Kogut (1988a), Lee, Lim & Tan (2000), Lynch (1993), and Vangen & Huxham (2003b).

In addition, particularly from ADU's perspective, the strategy of regularly interacting with ADUKG and its partners (such as Ashridge) and consciously gathering information from them regarding current and anticipated market conditions is supported by Day and Schoemaker's (2006) research as ADUKG and its partners could provide ADU with prognosticative or "early warning" information from its periphery that could prove to be strategically invaluable.

From the perspective of ADU's and ADUKG's international partners (e.g., Ashridge), the primary motivations for partnership were expansion into new markets and the achievement of economies of scale for already-developed products such as training courses and learning resources (Chancellor & Director-IED, Personal Communication, January 2009), motivations that are explained by Strategic Choice Theory and supported by the practice-based research of Glaister & Buckley (1996), Harbison & Pekar (1993), and Lynch (1993), with Glaister & Buskley's *Strategic Motivators for Forming Alliances* listing "Gain presence in new market" as the highest-ranked motivator among sixteen. A secondary motivation shared by ADU's and ADUKG's international partners was the potential for cost-effective development and profitable delivery of new and unique products through collaboration (e.g., culturally-attuned or adapted courses and resources). The partners could then potentially market these products in other Arab countries, thus further expanding their market reach (Chancellor & Director-IED, Personal Communication, January 2009). This motivation is supported by Transactional Costs Economics, Resource Dependence Theory, Resource-

based View of the Firm, Social Network Theory, Strategic Choice Theory and Learning Theory. The inter-relationships among enhanced innovation, value creation, and strategic relationship formation is also supported by extensive practice-based research (e.g., Etzkowitz, 2008; Kwak, 2004; Prahalad & Krishnan, 2008), some of which focuses on HEI-Industry and/or HEI-Industry-Government partnerships (Etzkowitz, 1998; Etzkowitz & Leydesdorff, 2000; Inzelt, 2004; Kleyn et al, 2010; Markkula & Lappalainen, 2009). A tertiary motivation was the potential for inter-organisational learning (e.g., UK-based institutions and their faculty learning more about the UAE/GCC/Middle East) (Chancellor & Director-IED, Personal Communication, January 2009). This strategy is explained by Learning Theory and supported by extensive practice-based research literature (Inkpen, 2005), including Child Faulkner & Tallman (2005), Doz & Hamel (1998), Inkpen (1998), Ireland, Hitt & Vaidyanath (2002), Khanna, Gulati & Nohria (1998) and Kogut (1988a).

Given this, it would seem reasonable that theoretical and practice-based support for expanding relationship networks would be similar, depending on the specific partner and nature of the relationship.

### ***6.5.2 Support from Theory and Practice for Additional Relationship Aspects Not Proposed/Identified by Either Partner***

Transaction Cost Economics focuses on cost minimisation and there appear to be several areas of possible administrative cost savings that have not been identified by either ADU or ADUKG. One involves the elimination of their current practice of maintaining distinct Human Resource, Computer Technical Support and Finance/Administration offices, all under the same roof. Common business practice would suggest the opportunity for cost savings if the two organisations could somehow harmonise these operations.

In a similar vein, at the time when this research was conducted, ADUKG was exploring how to launch open enrolment Continuing Studies courses, a process that would involve establishing a means to answer public inquiries, register students and receive fee payments. ADU already operates an integrated public information call centre, registration/admissions office and cash/finance office, although only during regular

weekday business hours; so, the two parties could explore possible synergies in this area.

A third area of possible cost savings could involve facility scheduling and management, especially regarding the two organisations' campuses in Al Ain. Both ADU and ADUKG operate campuses in Al Ain and, while ADUKG struggles to fill its building, ADU struggles to accommodate all its programmes and students in its facility. The partners need to explore the possibility of increased efficiencies and therefore cost savings in this area.

### ***6.5.3 Summative Analysis of Theory-based Support for an ADU-ADUKG Strategic Relationship as Proposed by the Partners***

A summing of the preceding support/motivation analysis reveals the frequencies listed in Table 6.3.

<b>Table 6.3 –Frequency with which Each Explanatory Theory Appears in the Analysis of ADU-ADUKG Relationship Development</b>	
<b>Explanatory Theory</b>	<b>Frequency in ADU-ADUKG Relationship Analysis</b>
Transactional Cost	7
Resource Dependence	4
Resource-based view of firm	3
Strategic Choice	3
Institutional	3
Learning	3
Social Network	2
Game	1
Stakeholder	1

When the Chairman made his request to the ADU and ADUKG executives to explore relationship development, the three principals involved interpreted the Chairman's

references to “synergies” and “ensure investments reap maximum returns” as meaning “do more with what we have.” For example, in order to offer academically viable courses in Psychology, the university would need to employ a suitably qualified Professor with all his/her associated costs. If the university could then only attract enough students interested in Psychology to run two or three classes per year, then the fixed cost of that Professor’s employment would only be amortised over a very small number of classes or “transactions,” representing a highly inefficient use of a valuable and costly resource. If, on the other hand, ADU and ADUKG worked together, hired a Professor who could not only teach Psychology to ADU undergraduates, but could also teach lifeskills courses to ADUKG adult students and provide ADU and ADUKG students and members of the public with fee-for-service career and academic counselling, then the fixed cost of investing in the employment of the Professor could be offset by multiple sources of revenue, thus representing a much better and, because of the diversification of the income streams, sustainable return on investment. In other words, a partnered approach could lead to reduced transactional costs. At the same time, much of the discussion regarding partnership took place under the pall of a global recession and one of the first strategies recommended by business consultants during such a time period is to “aggressively manage your costs.” So, it is not surprising that the most referenced motivator focused on cost/risk management (rather than opportunity exploitation).

The next most frequent explanatory support for a partnership strategy was Resource Dependence which, for a new university in a developing country that employs expatriates as its instructors, managers and decision-makers, is also not surprising. Since its inception, ADUKG had been resource dependent and, although ADU had largely avoided resource dependency up to now, it had recognised that most of its future development (e.g., the opening of a medical school) would involve partnerships and pre-developed resources accessed through them (Chancellor, Personal Communication, January 2009). By working together, the two partners could increase the effectiveness and efficiency of their resource dependencies and could potentially become somewhat mutually resource dependent. For example, when ADUKG ran summer camp programmes for high school-aged Emiratis, ADU would provide it with sole access to classrooms and ADUKG would offer ADU representatives sole opportunities to make recruitment presentations to the programme’s participants.

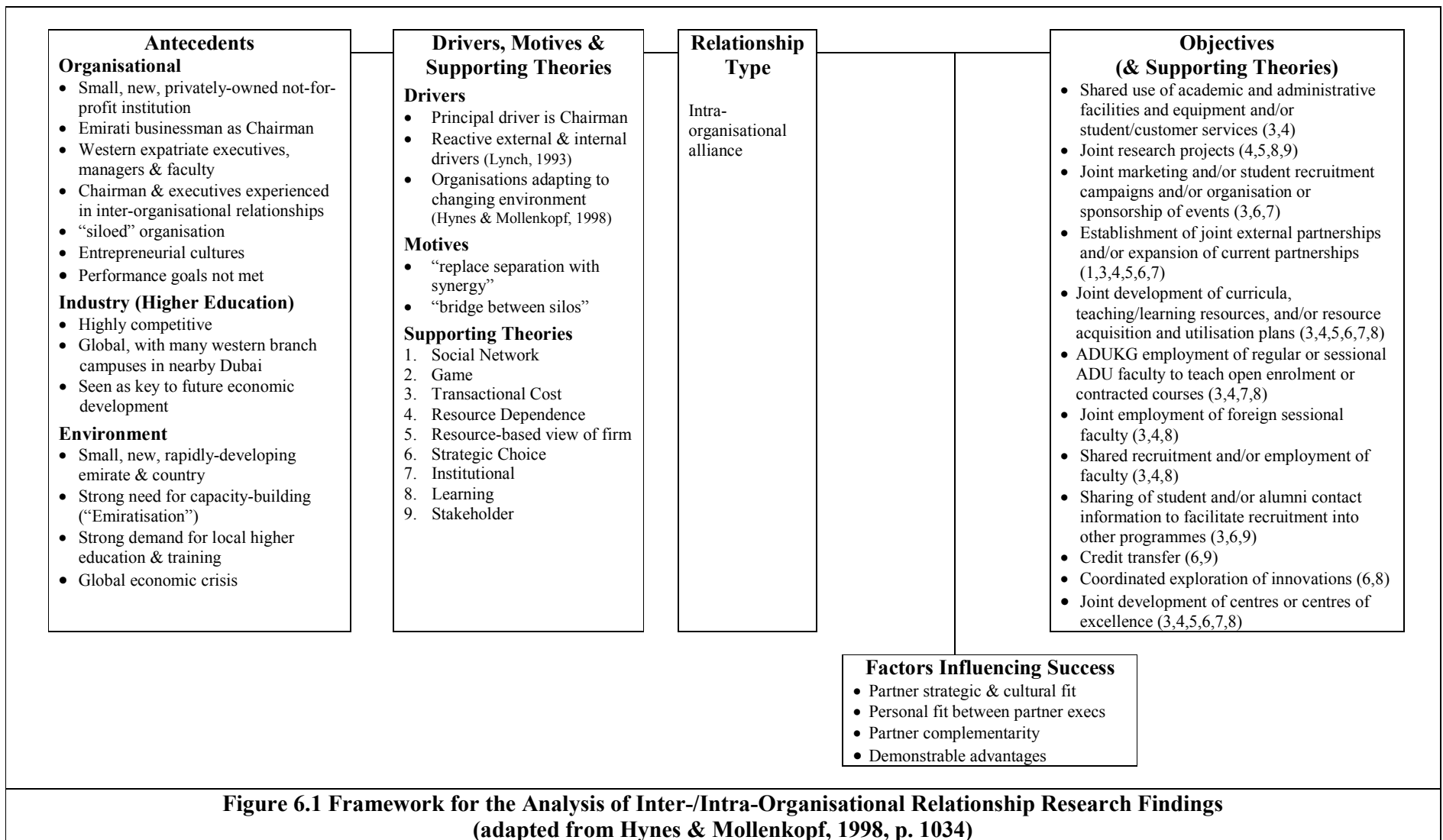
The third explanatory theory was Resource-based View of the Firm, which focuses on the ability to offer unique programmes and/or services through development, acquisition, adaptation, agreement or a combination thereof. For example, ADUKG had negotiated an agreement with the International Computer Driving License (ICDL) GCC Foundation for sole rights to their certifications, certificate programmes, and resources for the United Arab Emirates. Their goal now was to negotiate with the UAE government to make the ICDL certifications mandatory for public sector employment and with ADU to both accept ICDL certification as a first year undergraduate credit and to integrate ICDL curricula into ADU's introductory-level computer course. If these negotiations were successful, ADU and ADUKG could offer students credentials and employment accessibility that would be unmatched by any other UAE HEI.

The fourth explanatory theory was Strategic Choice and one of the principal examples of this was strong mutual interest in jointly-developed modularised curricula. Through modularisation, ADUKG could mix and match curricula to meet the unique needs of contract training clients without the cost of reactive curriculum development. It would also give ADU opportunities to offer course variations to different disciplines (e.g., English for Nursing, English for Engineering, English for Business, etc.) and to offer students who failed a course module the option to make up just that module and not have to repeat an entire course, a strategy that other institutions had found to be effective in helping to retain students. (Chancellor, Director-IED & Director ICS/IVD, Personal Communication, January 2009)

The final two theories I will elaborate on are Institutional Theory and Learning Theory. These both represented primary areas of partnering interest but only to one of the two partners. The former was of particular interest to ADUKG (i.e., ADU providing ADUKG with credibility) and the latter was one of the primary motivators for ADU (i.e., ADUKG providing ADU with information about needs, resources and trends based on its community based research and outreach activities).

#### ***6.5.4 Analysis of The Research Findings using an Adapted Version of Hynes' and Mollenkopf's Framework for Strategic Alliance Formation Research***

The use of Hynes' and Mollenkopf's framework for strategic alliance formation research (see Figure 2.1) to analyse the summative research findings from this research produces the results detailed in Figure 6.1 below. The framework graphically shows and connects factors that are important in the successful formation of strategic inter-/intra-organisational relationships. The application of the framework to the results of this study reveals significant consistency with Hynes' and Mollenkopf's 1998 findings, especially related to the connection between underlying motives of reactive adaptation to environmental conditions and the predominance of problem-driven relationship outcome goals (which is also consistent with Lynch's 1993 findings) and the importance of inter-organisational cultural fit and inter-personal "fit" between/among individuals responsible for managing the relationship (Doumas et al, 2000).



## **6.6 Recommended Next Steps**

The University of Adelaide (1998) in Australia has published a practical, five-stage set of guidelines for considering and evaluating strategic relationships and joint ventures. In my search for practical strategic relationship development tools, Adelaide's stood out as the most readily available, thorough and practical. In order to ensure the future success of the ADU-ADUKG relationship and to satisfy the needs of a very hands-on, "wants to know" Chairman, I would recommend that the three principals involved in the development of the relationship follow the Adelaide guidelines' pragmatic step-by-step approach and, after each step, make a joint presentation to the Chairman (and, if appropriate, the Executive Board) and receive feedback and approval before proceeding further.

### ***6.6.1 Preliminary***

The Preliminary stage involves high-level discussions regarding the general vision, mission and purpose of the relationship and, in the case of inter-organisational relationships, an assessment of partner "fit." ADU and ADUKG have already successfully achieved the goals associated with this stage.

### ***6.6.2 Step One – Short- and Long-Term Relationship Goals, Partner Contributions and Benefits, and Alignment with Partners' Strategic Plans***

At this stage, the partners need to mutually determine the initial scope of the relationship, keeping in mind that it will be important to be able to demonstrate short-term, tangible achievements that the Chairman and other members of the Executive Board will consider valuable from the perspective of the two organisations following their strategic plans and contributing to the achievement of already-delineated goals and objectives. It will also be important to demonstrate how the partnership will achieve better results than the partners would have achieved independently.

Ultimately, the scope, goals and partner contributions will need to be determined through partner discussions, negotiations and, possibly, SWOT-type analysis; however, based on my research, I would recommend that the initial agreement focus broadly on



the long-term pursuit of academic and operational excellence, net revenue improvements, and innovative programme and service development. Research has shown that organisations are increasingly using strategic inter- and intra-organisational relationships to pursue goals like these (Doz & Hamel, 1998; Gerwin & Ferris, 2004; Hagedoorn, 2002; Hillebrand & Biemans, 2004; Kok & Creemers, 2008; Linnarsson & Werr, 2004; Roijakkers & Hagedoorn, 2006). Specifically, in the short term, I would recommend exploring opportunities to jointly implement a quality assurance system and examining ways for ADUKG's Centre for Excellence in Teaching and Learning to assist both ADU and ADUKG with developing course and instructor quality assurance systems and running professional development programmes for ADU and ADUKG faculty members. In addition, I would recommend developing a joint Cisco Academy marketing and programme delivery plan, negotiating a tangible and marketable credit transfer system from ADUKG's Institutes for Vocational Development and Continuing Studies to ADU's University College, and researching ways to integrate ICDL into ADU's University College information technology courses. All of these are initiatives that both parties have previously discussed (in some cases together, and in other cases independently) (Chancellor, Director-ICS/IVD & Director-IED, Personal Communication, May 2009), are all achievable within a year and without reliance on external stakeholders, and would help balance the organisational cultures of both ADU and ADUKG by contributing to each's Developmental Culture. In addition, if the principals agreed that the evolutionary introduction of alternative modes of course delivery and, through that, the development of their Virtual Cultures, was a priority, then this too could be mutually pursued by seeking and evaluating possible external partners.

Once the goals and priorities were agreed upon, then the three principals would want to develop a project plan with specific, measurable outcomes and expected costs (including in-kind human resource costs), revenues, and time frames for presentation to the Chairman for approval before proceeding.

### ***6.6.3 Step Two – Resource Utilisation and Development***

As a second stage in this process, the parties will want to take a step back, review their resources, and search for ways to increase effectiveness and efficiencies. What resources would each partner foresee contributing? For example, would there be

efficiencies achieved without loss of effectiveness if ADU and ADUKG jointly hired some professors/instructors, jointly used their two campuses in Al Ain, jointly promoted programmes such as ADU's M.B.A. programme, and jointly developed modularised curricula in core areas such as English, mathematics, critical thinking, and computer software usage? This would also be a good time to investigate ways to harmonise currently separate ADU and ADUKG support services such as human resources and information technology and to review planned future areas of development (e.g., an ADU medical school) to initiate discussions about areas of possible joint involvement.

These discussions should result in a tangible medium-term plan that can be presented to the Chairman and Executive Board for feedback and approval.

#### ***6.6.4 Step Three – Governance and Communication***

Once the short and medium-term plans are in place, the partners will want to agree on the specifics of governance so that both parties are clear on roles and responsibilities regarding the actualisation of the plans through organising and implementing strategies and initiatives. As part of this, they will want to agree on how progress and success will be monitored, measured and reported and on joint communication strategies and protocols to ensure that internal and external stakeholders are kept abreast of plans, developments and accomplishments and that the parties achieve maximum benefits from their efforts and investments.

The resulting plans, systems and structures should be then reported to the Chairman and the Executive Board for feedback and approval.

#### ***6.6.5 Step Four – Formal Agreement***

Since this relationship could directly affect partners' relationships with third parties and since recent history has shown relatively high levels of executive personnel turnover, it would be wise to formalise the partnership agreement, perhaps in the form of a memorandum of understanding between the two parties. This should involve a solicitor's review and approval by the Chairman.

### **6.6.6 Step Five – Implementation Plan**

At this stage, the parties would agree on a comprehensive joint implementation plan and each would integrate its anticipated contributions to and outcomes from the partnership initiatives into its individual annual business plan and budget.

## **6.7 Summary, Conclusions and Implications**

As two youthful, privately-owned, autocratically-managed “sister companies” co-joined at the head through an overarching holding company, ADU and ADUKG are not typical HEI and CHE organisations; however, in many ways, the impetus created and expectation expressed by the holding company’s Chairman, combined with the desire of both organisations to explore all reasonable means of reducing costs, generating more incomes and therefore garnering greater net revenues created “the perfect storm” for this research. Based on their past experience and from their own unique perspectives, the senior executives of the two organisations started the relationship ball rolling by drafting brainstormed lists of relationship objectives. By examining these documents and interviewing the two organisations’ executives, I was able to gather the empirical data I needed to compare it to relevant theoretical and practice-based literature and make recommendations regarding the nature of the relationship that ADU and ADUKG should look to form with each other.

Given the experience levels of the protagonists – the Chancellor and the two ADUKG Institute Directors have, among them, over 80 years of HE, CHE and Further Education experience - and their extensive practical experience with inter-organisational relationships, it is not surprising that the lists they independently developed were remarkably thorough and well-supported by relevant theory and practice. Although none of them had formally studied strategic relationship formation and management and were not familiar with concepts such as Gomes-Casseres “competing organisational constellations” (1994, 1996 & 2003), they understood that, by entering into a partnership, they would get access to their partner’s partners and that the “multiplier effect” of this was potentially significant for each of them.

While conducting the research, I was concerned initially about distinguishing whether or not ADU and ADUKG were separate organisations or subsets of a single

organisation. As I reviewed the literature, it became clear that the question was largely irrelevant. With globalised, national and regional companies utilising tremendously varied governance and management structures, and mergers, acquisitions, joint ventures, and alliances blurring the lines between subsidiaries, affiliates and departments, the research on intra- and inter-organisational relationships has largely converged (Flap, Bulder & Völker, 1998).

Over time, with results published from research like this, it is certainly hoped that the irrationality and unacceptability of organisational units having greater synergies with external partners than with internal ones will not be lost on those units' managers nor on HEI senior executives. Similarly, at a time when CHE leaders are grieving over the death of their community development-focused programmes (Cruickshank 1991, 1994a & 1994b; Cunningham 1992a & 1992b; McLean, 2007), hopefully they will be sufficiently well-connected and respected internally that, when their HEIs are developing strategies to engage their communities and fulfil their third missions, they will first engage with their CHE units and work with them to develop mutually-advantageous joint strategies (Duke, 1992; Hall, 2009; Shannon & Wang, 2010). Surely, if an HEI as staid as Harvard University can entrust its Extension School with post-graduate degree-granting status (Shinagel, 2009), the University of the West Indies can effectively navigate the politics involved with managing 42 sites and delivering HEI and CHE programmes in 16 countries (Fergus, Bernard & Soares, 2007), and HEIs in Iraq, Afghanistan and Palestine can find ways to continue to operate despite developmentally-debilitating conflicts, then there should be hope for all HEIs to break down barriers, generate intra- and inter-organisational relationships that are symbiotic and synergistic (Etemad, Wright & Dana, 2001), and find ways to deliver life-changing programmes and services to their communities and satisfy diverse stakeholder needs.

It was the purpose of this study to examine the interests and aspirations expressed by ADU's and ADUKG's executives, analyse them, and provide the parties with recommendations regarding the specific nature of the relationship they could establish. To achieve this, literature on HEI Management, HE's Third Mission, CHE Management and the Learning Trinity, Intra- and Inter-Organisational Relationships, and Organisational Culture (generally and specifically within HE and CHE) was reviewed. In addition, ADU's and ADUKG's senior executives were interviewed and relevant documents were reviewed and analysed.

What was quickly discovered is that there is an abundance of literature on business relationships, especially regarding the formation of inter-organisational alliances and the management of MNCs' subsidiaries. What was also quickly apparent was the lack of research into HEI intra-organisational relationships (other than for branch campus-related research) and especially into the relationships established between HEIs' CHE units and their academic units (e.g., schools, faculties, etc.). Growing interest in strategic HEI external relationships, including strategic alliances and the fulfilment of their third missions, has generated research interest and results, including concepts such as Etzkowitz and Leydesdorff's "Triple Helix" (1995 & 2000) of HEI – industry – government relationships. Interest in organisational culture both generally and within HEIs has continued into the twenty-first century, although much of the most-referenced literature is from the 1980s and 1990s, along with some updates from that era (e.g., Bergquist and Pawlak's 2008 *Engaging the Six Cultures of the Academy* is an update of Bergquist's 1992 *The Four Cultures of the Academy*), with much of the current research looking at global issues such as the inter-relationship between public, industrial and organisational cultures and its implications for MNCs. (e.g., Brodbeck et al, 2004; Dickson, BeShears & Gupta, 2004; Hofstede, 2001)

In reviewing HEI-related literature from the last decade, one is left with the overwhelming impression that HEIs the world over are feeling tremendous pressure to change and that the theme of the next decade will be "the status quo is not an option" (Schön, 1971), with Goldin and Katz (2008) describing education and technological change as being in a "relentless race" (p. 283). Fueled by the beginning of a new millennium, globalisation, ever-increasing rates of technological advancement, and ongoing political, social and economic crises, stakeholder demands for change have seemingly grown to tsunami-like proportions, with academics and students alike wondering how do we best prepare ourselves and, once the waves hit and recede, what will be left standing? In this environment, it seems highly unlikely that stakeholders will support HEIs managing parallel HE and CHE units that do not interface, interact or generate collaborative advantages (Bleeke & Ernst, 1995; Huxham, 1993a, 1993b & 2003; Huxham & MacDonald, 1992; Huxham & Vangen, 2005; Vangen & Huxham, 2006). Thus, this research is timely and, although the distinctive nature of ADU, the disparate nature of CHE units, and the limits to the generalisability of these case study-based results are all recognised, it is certainly hoped that HEI senior executives and

board members and CHE leaders will find these results useful and that it will inspire additional research into the area of CHE – Academic Unit relationships.

Given the emphasis that has been put on outcome-based education, training and curricula for the past two decades, HEI and CHE leaders should find comfort in the fact that relationship development is outcome-based. Individuals and organisations enter into relationships in response to drivers and with an eye to achieving certain outcomes. At a high level, these drivers largely break down into two categories – efficiency/decreasing the negative (e.g., managing costs, risks and threats) and effectiveness/ increasing the positive (e.g., taking advantage of opportunities to grow, expand, explore, innovate, etc.).

HEI managers could find Lynch's (1993) pragmatic four-category chart of strategic relationship drivers helpful (see Figure 3.3). He classified his drivers as: proactive external (e.g., anticipated changes in public and industrial demographics; development of new technologies, methodologies and programmes; emerging changes in community and student needs and interests; incursions by new competitors; etc.); proactive internal (e.g., anticipated introduction of new courses, programmes, methodologies, technologies and/or systems; changes in organisational priorities and associated changes in resource allocations; changes in personnel because of leaves, retirements, etc.); reactive external (e.g., changes in social, cultural, economic and/or environmental conditions; changes in government policies; changes introduced by competitors; decreases in demand for certain programmes or services; etc.); and, reactive internal (e.g., decreases in programme or course enrolments; decreases in net revenues; unanticipated changes and breakdowns; decreases in innovation, productivity, student satisfaction and/or staff morale; etc.) Consistent with the findings of this research project, Lynch postulates that, in response to reactive driving forces, managers will focus on developing problem-driven inter-/intra-organisational relationship strategies (e.g., reducing costs and sharing risks) rather than opportunity-driven strategies (e.g., exploring new markets).

Following the architectural assertion that “form follows function,” the specific nature of the relationship established between an HEI's CHE and academic units should be appropriate to the drivers behind the development and to the desired outcomes. Fundamentally, like all sustainable relationships, these intra-organisational

relationships need to build on a foundation of mutual advantage/benefit (i.e., “win:win”), respect and trust (Das & Teng, 1998a; Kittel, 2007; Li, 2005; Luo, 2001; MacDuffie, 2011).

Academics need to be seen as more than just “thinkers” and CHE people more than just “doers.” Complementarity, compatibility, commitment and communication are key ingredients for sustainability and both parties are responsible for identifying and analysing unit and individual characteristics and finding ways to increase mutual understanding and empathy, the building blocks for the above-mentioned foundation. Consistent with the network theory of relationship-building, there is evidence that if representatives of partners can connect on a personal level, then the chances for their partnerships to achieve their goals are substantially increased (Spekman et al, 1996). So, HEI managers need to choose their unit representatives wisely, as much will hinge on their ability to work well with their colleagues. And, once the relationship is formed, there is an entire body of literature to guide the relationship’s management (e.g., Bernhut, 2002).

For ADU and ADUKG, the driver in this instance was the Chairman and the desired outcome was to ensure that the investments made by both organisations reaped maximum returns and to “replace separation with synergy wherever possible” (Chairman, Personal Communication, July 2008). The Welcome letter in the brochure *Abu Dhabi University Knowledge Group: Where Global Knowledge Meets Local Expertise* says

Using their autonomy to generate synergy, ADU and ADUKG can capture global knowledge and local expertise to provide unique answers for many of the issues facing us in the region. We believe this combination provides a unique and unrivalled single source for education, training and development solutions (Al Dhaheri, 2009, p. 1).

The architects of the plan were the senior academic managers of the two units – the Chancellor of ADU and the Directors of the ADUKG Institutes. The two units understood the Chairman’s edict to encompass both sides of the financial ledger; that is, they should look for outcomes that increased both efficiency (e.g., reduced costs) and effectiveness (e.g., increased revenues). The resulting, mutually agreed-upon list of initiatives addressed issues of both effectiveness and efficiency and were well

supported by the theory- and practise-based literature reviewed. When moving from planning to operationalising, it is recommended that the senior triumvirate continue to meet and oversee outcomes and that each unit choose appropriate operational staff to act as co-facilitators of the various initiatives implemented, with each team of co-facilitators sending regular reports to the joint senior management group.

In this particular instance, there is clear evidence that the relationship envisioned and developed was, for all intents and purposes, a strategic alliance which normally involves two or more independent organisations rather than two divisions within the same organisation; however, with the growth in intra-organisational research and the convergence of that research with that involving inter-organisational relationships (e.g., Mena, Humphries & Wilding, 2009), these research results coalesce with those from MNC intra-organisational research and strongly suggest that the theories, concepts and practises associated with inter-organisational relationships can apply equally well to relationships formed between organisational subunits. The continuing increase in the number of interdisciplinary programmes offered by universities strongly suggest that a framework for decision-making, planning, implementation, operation and review based on inter-/intra-organisational relationship research and practises might be helpful when it comes to the development and delivery of such programmes.

Clearly, more research is needed; however, the results of this research suggest that, in order to reap full benefits from their academic and CHE units, HEIs should be holding them responsible for developing inter-unit relationships and exploring inter-unit joint venture opportunities. In addition, besides reviewing the strategies recommended by Blaney (1986) and Votruba (1987), CHE managers should take the lead on exploring intra-organisational relationship formation and, where appropriate, joint venture creation with their academic colleagues and, by so doing, demonstrate a willingness and ability to be collaborative institutional leaders (Blomqvist & Levy, 2006) and generate enhanced institutional support for their units. Since CHE unit endeavours and external strategic relationships both involve the blurring of organisational boundaries (Gomes-Casseres, 1996), it would make sense that CHE unit leaders become internal experts in and catalysts for intra- and inter-organisational relationship formation. Given this, the development of inter-organisational relationship management knowledge and skills should be seen as a critical element of HEI manager professional development (Bernhut, 2002) and, ideally, programmes like the University of Bath's



ICHEM DBA should include inter-organisational relationship formation and management as a topic within the HEI Strategic Management component of the programme.

As a personal testimony to my belief in the efficacy of this research, I can testify that I use lessons learned from this research on an almost daily basis in my current position in College Extension and that I teach others from these materials on a regular basis. Hopefully, others managing in HE will find them as useful and others doing HE research will see fit to further examine intra-organisational relationships in HEIs.

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# APPENDICES

## Appendix “A”

### Conceptual Relationship between Abu Dhabi University and Continuing Education [ADUKG]

Written by the Chancellor, ADU in May 2009

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It is important to recognize the differences that exist between Continuing Education and the University. Both are necessary to serve the educational needs of the community. However, Continuing Education is mainly driven by short term needs in the market place while the university’s goals are normally long term goals aligned strategically with future workforce needs and national goals for economic development. CE programs are typically characterized by project/contract-based activities of relatively short duration and hence needs to be agile and highly sensitive to changes in the market place. The university on the other hand is often driven by academic curricula requiring several years of study to ensure comprehensive sets of student learning outcomes that prepare graduates to succeed in a broad range jobs. The question is whether one can develop a win-win relationship beneficial to both organizations and supportive of the different strategic objectives of both. In my view it is possible to establish a collaborative relationship that simultaneously serves missions of both organizations. The following areas provide examples of areas of potential collaboration:

1. Sharing of faculty members: This would enable the University to strengthen its intellectual capital with faculty talents in special areas of expertise while enable CE to use the same faculty members for teaching non-degree courses
2. Joint programs: It is possible for both organizations to develop joint programs and offer them both for credit leading to degrees/Diplomas as well as for non-credit leading to certificate of recognition
3. New Opportunities: Both organizations should be able to conduct joint environmental scans to identify new opportunities and develop a collaborative strategy to effectively respond to the need
4. Joint Marketing: In many cases such as emerging technologies, both organizations can jointly market programs of similar educational themes and

hence offer the customer an opportunity to learn by taking courses either for credit or non-credit

5. Development of Centers: It is possible for the University to develop successful areas of applied research using high caliber researchers who can also participate in CE programs that address the special needs of industry, government or the corporate community.

## **Appendix “B”**

# **Draft Memorandum of Understanding between Abu Dhabi University and the Abu Dhabi University Knowledge Group**

Written by the ADUKG Board of Directors, October 2008

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### **MEMORANDUM OF UNDERSTANDING**

between

**Abu Dhabi University Knowledge Group (ADUKG)**  
A part of Abu Dhabi Education and Learning Holding Company

and

**Abu Dhabi University (ADU)**  
A part of Abu Dhabi Education and Learning Holding Company

### **1. INTRODUCTION**

#### **1.1. Purpose and Objectives**

This Memorandum of Understanding (MOU) sets out the contractual framework for collaboration, optimisation of resources, and financial remuneration that will take place between Abu Dhabi University Knowledge Group (hereafter ADUKG) and Abu Dhabi University (hereafter ADU) in relation to:

1. Facilities usage
2. Faculty sharing
3. Cross selling & staff recruitment opportunities
4. Partner networks & intellectual property

This Memorandum of Understanding outlines the scope of services that each party agrees to provide to the other, the obligations of both ADUKG and ADU in meeting the objectives of this agreement, performance measures, reporting and dispute resolution mechanisms as well the financial arrangements to provide an operational framework for the delivery of high quality and timely services that meet the needs of Abu Dhabi University and Abu Dhabi University Knowledge Group.

### **1.2. Duration of Agreement**

This MOU will continue in perpetuity unless cancelled by 3 months written notice by either party.

### **1.3. Changes to this Agreement**

Either party may propose changes to any portion of this MOU. The parties will mutually agree to any final changes. All incorporated changes must be approved in writing by both parties and attached to this agreement as an addendum.

## **2. MOU OBLIGATIONS**

### **2.1. Abu Dhabi University Obligations**

The services that Abu Dhabi University will provide to support Abu Dhabi University Knowledge Group are as listed, described and specified in Appendix A through D of this agreement.

### **2.2. Abu Dhabi University Knowledge Group Obligations**

The services that Abu Dhabi University Knowledge Group will provide to support of Abu Dhabi University are as listed, described and specified Appendix A through D of this agreement.

## **3. SERVICE MANAGEMENT**

### **3.1. SERVICE LEVEL MANAGEMENT**

Both parties will manage service levels defined in this MOU to ensure the agreed upon levels of services are so that any adverse impact on service quality or availability is kept to a minimum for both parties.

### **3.2. SERVICE LEVEL OBJECTIVES**

The specific service expectations that will be regularly monitored, reported and managed; the descriptions of how the service expectations will be measured and the acceptable level of performance for each expectation are summarized in Appendix G according to the following format.

#### **3.2.1. Service to be provided**

This is the title of the service to be used on all service level reports.

### **3.2.2. Measurement method**

This column contains information on the agreed method for financially quantifying and where appropriate monitoring actual performance for the service level objective.

Either entity may also independently monitor the others performance for all the service expectations documented in the Appendix A through D. Either party will document any perceived non-compliance (anything requested from either party to be carried out and subsequently not delivered) for later discussion with the other party.

### **3.2.3. Acceptable level of performance**

This section provides details of the agreed criteria for performing specific services. Reported actual performance that is below the performance expectation level will be considered non-compliance of an SLO. This performance expectation will be used on the service level reports.

### **3.2.4. Reporting Frequency**

The period is the regularity with which either party is expected to provide the report on the item and whether it met the performance expectations.

## **3.3. SERVICE LEVEL REPORTING**

Abu Dhabi University and Abu Dhabi University Knowledge Group will report monthly on actual performance of the SLOs listed in Appendix A through D. The report(s) will cover the actual performance achieved, and the financial remuneration to be passed between the two parties. Finance departments working together shall calculate the net difference on a monthly basis so that the accounting records of both entities are accurate. These report(s) will be provided within twenty one working days after the end of each month.

A description of any non-compliance for the reporting month, as appropriate, will be provided. The description will include any non-compliance, a brief description including a reference to the non-compliance report and/or change request, if applicable.

## **3.4. SERVICE REVIEW MEETINGS**

The two parties shall participate in meetings together to discuss/review performance and other topics on a mutually-agreed upon Appendix. These meetings will be coordinated by Abu Dhabi University Knowledge Group or / and Abu Dhabi University staff as appropriate.

**3.5. ACTIONS WHEN SERVICE EXPECTATIONS NOT MET**

When a service expectation, either a measured SLO or an obligation as documented in Appendixes A through E, are not met, the party not meeting the expectation will develop and implement a Service Improvement Plan (SIP) for ensuring that such non-performance does not reoccur. The status of these SIPs may be discussed in the service review meeting, or at a specially-appendixed meeting.

**3.5. PURPOSE**

The purpose of this process is to coordinate a timely and informal resolution of all disagreements involving the Abu Dhabi University or Abu Dhabi University Knowledge Group performance of their obligations as documented in this Agreement. It is the expectation that most disagreements will be resolved in the normal course of business by the representatives of both parties. This dispute resolution process is for those disagreements that cannot be resolved at that level. When this dispute resolution process is invoked, it is the expectation of both parties that the issue will be resolved within ten working days.

**5. FINANCIAL REMUNERATION**

The agreed remuneration for the provision of services and the procedures for interim and final payments are defined in Appendix A through D.

**6. SIGNATURES**

The following authorized representatives of each party execute this Agreement at the commencement date:

<b>Abu Dhabi University – The first party</b>	<b>Abu Dhabi University Knowledge Group – The second party</b>
Signature: ..... .....	Signature: ..... .....
Name:	Name:
Position:	Position:
Date of Signing: .....	Date of Signing: .....

## **APPENDIX A – Facility Optimisation**

### **A1. Services To Be Provided**

#### **1.1 General Description of Services**

This Agreement defines the facility requirements that Abu Dhabi University will provide for Abu Dhabi University Knowledge Group.

These facilities can be sub-divided into five main types. These are: Office facilities, Classroom facilities, Conference facilities, Meeting facilities, and Communal space facilities.

The Abu Dhabi University goal is to provide facilities in which the client associates and partner staff experience can be interactive, comfortable and are most importantly appropriate to the needs described at the time of booking. Abu Dhabi University shares a common objective with Abu Dhabi University Knowledge Group in desiring to have its facilities thought of as impressive for the purposes unto which they are dedicated.

#### **1.2 Specific Services**

##### **1.2.1 Office Facilities**

Abu Dhabi University Knowledge Group has the need for appropriate office space for its management and operation work force. The two parties will need to work closely together to coordinate in advance to supply to the evolving needs. The aim is to make the best use of the available office space. Each six months the assigned client services representatives from both parties will meet to confirm the previous quarter's office space usage and identify if requirements will change in the following quarter. Office space cost will be calculated by the number of square Meter of office space dedicated by Abu Dhabi University to Abu Dhabi University Knowledge Group multiplied by the agreed upon rate of \_\_\_\_AED/square Meter. This rate integrates utility usage and all other additional costs.

##### **1.2.2 Classroom Facilities**

Abu Dhabi University Knowledge Group will have the need for classroom facilities in which to deliver programs to its clients. These needs will vary in response to client delivery needs. Before any commitment to a client is made regarding teaching facilities the assigned client services representatives from Abu Dhabi University Knowledge Group will submit a written request detailing the number of students, number of classes, timing and duration of the courses, and clarification of any additional needs. Within \_\_ working days the assigned client services representative for Abu Dhabi University will inform their counterpart whether such facilities are available. In cases in which the facilities are available then the per month hour duration of the course(s) will be calculated and this will be multiplied by the agreed upon rate depending on the entire duration of the

booking (refer to A8). At the end of each month Abu Dhabi University will calculate the total of all the previous month's classroom usage and provide a bill in the monthly report to Abu Dhabi University Knowledge Group.

### **1.2.3 Conference Facilities**

Abu Dhabi University Knowledge Group will have the need for conference facilities in which to host conferences. These needs will arise and be addressed in a case by case manner. Before any commitment to providing a conference is made by Abu Dhabi University Knowledge Group the assigned client services representative will submit a written request detailing the timing and duration of the conference, and clarification of any additional needs. Within \_\_\_ working days the assigned client services representative for Abu Dhabi University will inform their counterpart whether such facilities are available and provide alternative timings if those requested are not possible. The use of conference facilities will be costed on a basis of a flat rate per day for the few conference facilities, simpler). At the end of each month Abu Dhabi University will calculate the total of all the previous month's conference usage and provide a bill in the monthly report to Abu Dhabi University Knowledge Group.

### **1.2.4 Meeting Facilities**

Abu Dhabi University Knowledge Group will have the need for meeting rooms for staff and client meeting purposes. The aim is to make the best use of the available meeting space. When Abu Dhabi University Knowledge Group has needs for meeting rooms beyond those already dedicated they will contact the assigned Abu Dhabi University client services representative and submit a verbal request detailing the timing and duration of the meeting, and clarification of any additional needs. The assigned client services representative for Abu Dhabi University will inform the member of Abu Dhabi University Knowledge Group immediately whether such facilities are available and provide alternative timings if those requested are not possible. The per month hour usage of meeting rooms will be calculated and this will be multiplied by the agreed upon rate of \_\_\_AED. At the end of each month Abu Dhabi University will calculate the total of all the previous month's meeting room usage and provide a bill in the monthly report to Abu Dhabi University Knowledge Group.

## **A2. Reporting**

Abu Dhabi University shall provide a monthly basic facilities usage report and a quarterly detailed report in a format to be agreed upon by both parties.

## **A3. Assigned Client Services**

Both parties will nominate a primary contact person for facilities, who shall be available for service review meetings and any meetings required for dispute resolution.



#### **A4. Compliance with Policies, Procedures and Standards**

Abu Dhabi University Knowledge Group shall make every effort to comply with the Abu Dhabi University's policies, procedures and standards. Abu Dhabi University Knowledge Group inability or failure to cooperate with the Abu Dhabi University in providing necessary information or in the resolution of a problem may impact on end-user services.

#### **A5. Notification of Requirement Changes**

Abu Dhabi University Knowledge Group must make its best effort to notify the Abu Dhabi University's Client Services Representative as many days as possible in advance of any changes to their requirements.

#### **A6. Incident and Problem Management Processes**

In all cases of a change or disruption likely to affect the service provided by the Abu Dhabi University, Abu Dhabi University Knowledge Group shall provide the Abu Dhabi University Client Representative with an incident report in sufficient time for the Abu Dhabi University to take action and at most within a maximum of three working days following identification of the problem. The report shall include the date/time of the problem, the affected systems and resources, a description of the problem, its cause, its impact on services and resolution.

#### **A7. Reporting the Need for Problem Escalation**

If Abu Dhabi University Knowledge Group determines that the resolution of an open incident report is not progressing, Abu Dhabi University Knowledge Group will contact their Abu Dhabi University Client Representative for bringing it to the attention of Abu Dhabi University management team.

#### **A8. Reporting the Need for Problem Escalation**

Number of Training Hours Committed To	Payment Per Hour
1 to 20	?
21 to 60	?
61 to 199	?
200 or more	?

## **APPENDIX B – Faculty and Teaching Staff Optimisation**

### **B1. Services To Be Provided**

#### **1.1 General Description of Services**

Both parties have a large number of qualified experts in a wide range of areas. This Agreement defines the systems for the optimal utilisation and sharing of the body of knowledge worker resources.

The purpose of sharing such expertise can be sub-divided into two main types. These are: Sharing for Delivery, and Sharing for Materials Development.

The goal of both parties is to provide education, training/learning and development related services in which the learner/customer experience is of the highest standard possible. Abu Dhabi University shares a common objective with Abu Dhabi University Knowledge Group in desiring to have its provision of services consistently of the highest caliber.

#### **1.2 Specific Services**

##### **1.2.1 Sharing for Delivery**

Both parties will have the opportunity in their delivery of educational commitments for better utilizing their combined teaching force. Both parties shall catalogue their teacher resources and keep regularly updated records within a shared computer system (content management system, to be developed by ADUKG). This system should catalogue and record the details regarding the teacher in an agreed upon format: including name, age, nationality, an overall profile a summary of the expertise areas of the teacher, the academic qualifications, professional experience and language abilities. The full CV's of all teaching staff and faculty should also be available within this system. Points of contact will be identified and indicated so that requests may be submitted to better utilize teaching staff and faculty. When a need arises a written request will be submitted summarizing the need in the agreed upon format. This request will be responded to in no more than \_\_\_ working days. Should the need and matching availability occur within the teaching staff or faculties normal salaried working hours then an agreed upon rate of (refer to B8) per contact hour will be paid to the department who pays the teacher / faculty members salary - the teacher or faculty member will also be rewarded by an additional 10% of the amount for the month being paid into their salary. Should the need occur outside of salaried working time then an agreed rate of (refer to B8) per contact hour will be paid directly into the salary of the member of teaching staff and their department will also be rewarded by an additional 10% of the amount for the month being paid into its finances. The total amounts for shared teaching staff shall be calculated and submitted within every monthly report by both parties.

### **1.2.2 Sharing for Materials Development**

Both parties will have the opportunity in their delivery of educational commitments for better utilizing their combined teaching staff through materials development projects. Both parties shall catalogue their materials development capabilities and keep regularly updated records within a shared computer system. This catalogue should record the subject matter areas in which materials development projects are possible. Points of contact will be identified and indicated so that requests may be submitted to better utilize teaching staff and faculty through materials development projects. When a need arises a written request will be submitted summarizing the need in the agreed upon format. This request will be responded to in no more than \_\_\_ working days. Should the need and matching availability occur within the teaching staff or faculties normal salaried working hours then an agreed upon rate of (refer to B9) per contact hour will be paid to the department who pays the teacher / faculty members salary - the teacher or faculty member will also be rewarded by an additional 10% of the amount for the month being paid into their salary. Should the need occur outside of salaried working time then an agreed rate of (refer to B9) per contact hour will be paid directly into the salary of the member of teaching staff and their department will also be rewarded by an additional 10% of the amount for the month being paid into its finances. The total amounts for shared teaching staff shall be calculated and submitted within every monthly report by both parties.

### **B2. Reporting**

Both parties shall provide a monthly basic report and a quarterly detailed report in a format to be agreed upon.

### **B3. Assigned Client Services**

Both parties will nominate a primary contact person for faculty and teaching staff, who shall be available for service review meetings and any meetings required for dispute resolution.

### **B4. Compliance with Policies, Procedures and Standards**

Both parties shall make every effort to comply with the others policies, procedures and standards. Either parties inability or failure to cooperate with the other in providing necessary information or in the resolution of a problem may impact on end-user services.

**B5. Notification of Requirement Changes**

Both parties must make their best efforts to notify the other parties Client Services Representative for faculty and teaching staff as many calendar days as possible in advance of any changes to their requirements.

**B6. Incident and Problem Management Processes**

In all cases of a change or disruption likely to affect the service provided by either party shall provide their respective Client Representative with an incident report in sufficient time for the other party to take action and at most within a maximum of three working days following identification of the problem. The report shall include the date/time of the problem, the affected systems and resources, a description of the problem, its cause, its impact on services and resolution.

**B7. Reporting the Need for Problem Escalation**

If either party determines that the resolution of an open incident report is not progressing, they will contact their respective Client Representative for bringing it to the attention of the senior management team.

**B8. Payment for Contact Hours**

Highest Level of Qualification	Payment Per Hour
Doctorate	?
Masters	?
Degree	?
Certification	?

**B9. Payment for Materials Development**

Highest Level of Qualification	Payment Per Hour
Doctorate	?
Masters	?
Degree	?
Certification	?

## APPENDIX C – Cross Selling & Recruitment Optimisation

### C.1 Services To Be Provided

#### 1.1 General Description of Services

Both parties have active recruitment, sales and business development. In the market place there are definite opportunities for cross selling which need to be managed and incentivised to be optimised. This Agreement defines the systems for that cross selling.

The types of lead passing / cross selling can be sub-divided into four main types. These are: **Unqualified leads** – prospective interest in services that can be supplied that have not been qualified to show their potential to develop into actual revenue generating business, **Assisted leads** - prospective interest in services that can be supplied that have already been qualified as having strong potential to develop into actual revenue generating business and will be assisted by personal relationships, **Integrated Services Cross Selling** – these are sales that involve both parties production capabilities and will require the two parties working in tandem to create client satisfaction, **Recruitment Passing** – is identifying high caliber talent who apply to work for either party and while the entity applied to should always have right of refusal costs can be reduced and quality enhanced by sharing prospective talent leads.

The goal of both parties is to provide an associated yet differentiated brand of high quality education in the market place. Passing leads and cross selling is part of the loyalty and membership of the mother company. All staff should subscribe to the effort. Everybody will benefit in the end. Abu Dhabi University Knowledge Group shares a common objective with Abu Dhabi University in desiring to have its recruitment and sales always accurate in the portrayal of capabilities and thus maintaining its reputation in the keeping of its brand promise.

#### 1.2 Specific Services

##### 1.2.1 Unqualified Sales Lead Passing

Both parties will have the opportunity in their recruitment and sales to better optimise their combined sales potential. Both parties shall catalogue their statement of capabilities and keep regularly updated records within a shared computer system. This catalogue should ideally record the details regarding all potential capabilities as well as historical delivery data accompanied by testimonials. Both parties will provide the business / student recruitment development team of the other with a quarterly presentation as to their capabilities and focal areas. With this understanding in place when student recruitment or sales finds that a lead is more appropriate for the other entity it can be passed. A record of the number of leads passed and the revenues generated from such will be kept and if appropriate rewards will be chosen quarterly by the sales management of the receiving entities for lead passing provided.

### **1.2.2 Assisted Sales Lead Passing**

There may be occasions in which individual personal connections or other potent sales assisting factors will greatly facilitate the sales processes of either party. In these cases the passing of leads that are so assisted needs to be flagged for the direct rewarding of the assisting individual. The profitability of these assisted leads will be calculated each quarter and if appropriate the individual will be rewarded on a basis deemed by the head of sales / student recruitment.

### **1.2.3 Integrated Services Cross Selling**

Both parties may have the opportunity in their recruitment and sales to provide integrated services. Both parties shall catalogue their statement of capabilities and keep regularly updated records within a shared computer system. This catalogue should ideally record the details regarding all potential capabilities as well as historical delivery data accompanied by testimonials. Both parties will provide the business / student recruitment development team of the other with a quarterly presentation as to their capabilities and focal areas. With this understanding in place should an opportunity for integrated services cross selling occur then a meeting will be coordinated between the respective department heads to discuss the appropriacy, logistics and cost structure. Should a delivery solution be possible then these will form additional case by case appendixes in which SLOs will be indentified and detailed implementation planning and pricing (see Appendix F) provided.

### **1.2.4 Teacher / Faculty / Staff Recruitment Passing**

Appropriate and high quality human capital is the basis for the success of any educational institution. Recruitment is therefore a continuous and vital process for both entities. Although such recruitment won't generally be coordinated both parties should catalogue their current needs and keep regularly updated records within a shared computer system. Both parties will provide the HR / Staff recruitment team of the other with a quarterly presentation as to their upcoming needs and focal areas. With this understanding in place then when recruitment or sales finds a potential candidate more appropriate for the needs of the other entity it can be passed. A record of the number of candidates passed and the new hires generated from such will be kept and if appropriate rewards will be chosen quarterly by the HR management of the receiving entities for candidate passing provided.

## **2. Reporting**

Both parties shall provide a monthly basic report and a quarterly detailed report in a format to be agreed upon.

### **3. Assigned Client Services**

Both parties will nominate a primary contact person for sales / student recruitment and a primary contact person for HR / staff recruitment, who shall be available for service review meetings and any meetings required.

### **5. Compliance with Policies, Procedures and Standards**

Both parties shall make every effort to comply with the others policies, procedures and standards. Either parties inability or failure to cooperate with the other in providing necessary information or in the resolution of a problem may impact on end-user services.

### **5. Notification of Requirement Changes**

Both parties must make their best efforts to notify the other parties Client Services Representative for faculty and teaching staff as many calendar days as possible in advance of any changes to their requirements.

### **6. Incident and Problem Management Processes**

In all cases of a change or disruption likely to affect the service provided by either party shall provide their respective Client Representative with an incident report in sufficient time for the other party to take action and at most within a maximum of three working days following identification of the problem. The report shall include the date/time of the problem, the affected systems and resources, a description of the problem, its cause, its impact on services and resolution.

### **7. Reporting the Need for Problem Escalation**

If either party determines that the resolution of an open incident report is not progressing, they will contact their respective Client Representative for bringing it to the attention of the senior management team.

## **APPENDIX D – Partner & Intellectual Property Optimisation**

### **D1. Services To Be Provided**

#### **1.1 General Description of Services**

Both parties have a large number of education partners and access to, or ownership of valuable intellectual property. This Agreement defines the systems for the optimal utilisation and sharing of this body of resources.

The purpose of sharing can be sub-divided into two main types. These are: **Marketing**, and **Delivery**.

The goal of both parties is to provide education, training/learning and development related services in which the learner/customer experience is of the highest standard possible Abu Dhabi University Knowledge Group shares a common objective with Abu Dhabi University in desiring to have its academic reputation always thought of as being of the highest caliber.

#### **1.2 Specific Services**

##### **1.2.1 Marketing**

Both parties will have the opportunity in their marketing to better utilize their combined partner network and display intellectual property. Both parties shall catalogue their partner network and access to intellectual property and keep regularly updated records within a shared computer system. This catalogue should record the details regarding partner relationships and the prospective uses of intellectual property in an agreed upon format. When a marketing possibility arises a meeting will be coordinated between the respective heads of marketing to discuss the appropriate use. Any marketing materials containing reference to Partners, Intellectual Property or associated capabilities belonging to the other party must receive written approval from the corresponding head of marketing before publication and/or distribution.

##### **1.2.2 Delivery**

Both parties may have the opportunity in their delivery to better utilize their combined partner network and intellectual property. Both parties shall catalogue their network of partners (with designated ownership) and access to intellectual property and keep regularly updated records within a shared computer system. This catalogue should record the details regarding partner relationships and the prospective uses of intellectual property in an agreed upon format. When a delivery possibility arises a meeting will be coordinated between the respective department heads to discuss the appropriacy, logistics and cost structure. Should a delivery solution be possible then these will form additional case by case appendixes in which SLOs will be indentified and detailed implementation



planning and pricing (see Appendix F) provided. Permission to access any partner will be based on the designated owner of the partnership rather than the MOU signatory.

## **2. Reporting**

Both parties shall provide a monthly basic report and a quarterly detailed report in a format to be agreed upon.

## **3. Assigned Client Services**

Both parties will nominate a primary contact person for partners and intellectual property, who shall be available for service review meetings and any meetings required for dispute resolution.

## **5. Compliance with Policies, Procedures and Standards**

Both parties shall make every effort to comply with the others policies, procedures and standards. Either parties inability or failure to cooperate with the other in providing necessary information or in the resolution of a problem may impact on end-user services.

## **5. Notification of Requirement Changes**

Both parties must make their best efforts to notify the other parties Client Services Representative for partners and intellectual property as many calendar days as possible in advance of any changes to their requirements.

## **6. Incident and Problem Management Processes**

In all cases of a change or disruption likely to affect the service provided by either party shall provide their respective Client Representative with an incident report in sufficient time for the other party to take action and at most within a maximum of three working days following identification of the problem. The report shall include the date/time of the problem, the affected systems and resources, a description of the problem, its cause, its impact on services and resolution.

## **7. Reporting the Need for Problem Escalation**

If either party determines that the resolution of an open incident report is not progressing, they will contact their respective Client Representative for bringing it to the attention of the senior management team.

## **APPENDIX E – Sample Project Financial Procedures and Payments Schedule**

This agreement is based on the current estimate of (#) associates who will come from the (end client) through Abu Dhabi University Knowledge Group at ADU to attend (skills) classes at Abu Dhabi University ADU.

### **1. Total Cost**

In the event that there are less than (#) associates attending Abu Dhabi University Knowledge Group will provide total remuneration for financial amount of the Abu Dhabi University (skills) program as agreed on the proposal. **(Cost of cohorts attending a maximum of (#) levels: (#) AED.** In words: (\_\_\_\_)

### **2. Program Costs**

INSERT

### **3. Payment Appendix**

INSERT

### **4. Payment Conditions**

INSERT

## APPENDIX F – Service Level Objectives Summary

Service and Assigned Services Representative	Measuring method	Acceptable level of performance	Reporting Frequency
1. Facilities (provided by ADU for ADUKG) ADU: _____ _____ ADUKG: _____ _____	1.1 Office Space – square meter dedicated. 1.2 Classroom Space – classroom hours used. 1.3 Conference Space – per day duration rate 1.4 Meeting Space – meeting room hours used.	1.1 – 1.4 Appropriate quality space. Clean and well maintained. Attractive visually for the intended purpose. Suitable functionality for the intended purpose.	1.1 Six Months 1.2 Monthly 1.3 Case by Case 1.4 Monthly
2. Faculty and Teaching Staff ADU: _____ _____ ADUKG: _____ _____	2.1 + 2.2 ADU Faculty work time hours ADUKG Teachers work time hours ADU Faculty non-work hours ADUKG Teachers non-work hours (contact or materials dev.)	2.1 Well prepared, punctual, highly presentable, appropriately qualified, high student satisfaction. 2.2 Needs responsive, high quality, on-time.	2.1 Monthly 2.2 Monthly
3. Cross Selling and Recruitment ADU: _____ _____ ADUKG: _____ _____ ADU: _____ _____ ADUKG: _____ _____	3.1 Number of unqualified leads passed and revenues generated 3.2 Number of assisted leads passed and profits generated 3.3 Separate Project MOUs 3.4 Number of applicants passed and new hires	3.1 – 3.4 No leads are lost. Leads are channeled to correct sales and production centers. Client expectations are accurately set. Brand promises are fulfilled. Business units work in tandem for better client satisfaction. Talent resources are optimized.	1.1 Quarterly 1.2 Quarterly 1.3 Case by Case 1.4 Quarterly
4. Partner and Intellectual Property ADU: _____ _____ ADUKG: _____ _____ ADU: _____ _____ ADUKG: _____ _____	4.1 Marketing materials auditing 4.2 Separate Project MOUs	4.1 No unauthorized use of partner information or intellectual property advertising whilst maintaining optimal use of partner information and IP. 4.2 To be clearly defined in project SLOs.	4.1 Case by Case 4.2 Case by Case