

**HRM IN ACADEMIA: FROM STRATEGY TO ENACTMENT - A
MULTILEVEL STUDY**

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ABSTRACT

The purpose of this study is to examine the devolution and enactment of Human Resource Management (HRM) within a single higher education (HE) institution in New Zealand. Specifically, this study explores the HRM process by looking into some of the key variables identified in process models of HRM. This type of research is important as few, if any studies to date, have considered HRM process within an HE institution.

To generate an appropriate range and depth of data, a mixed methods methodology was employed. Within this framework, a two-phase exploratory mixed methods sequential transformative design was adopted. This study examined interview data obtained from the Human Resource Division; combined with quantitative data, sourced via an online survey, obtained from Heads of Departments and faculty members. The study provides significant information on the process of HRM within a university environment. Specifically HRM strategy, communication, intended HRM, operationalised HRM, perceived HRM and reactions to HRM are examined.

The examination of university setting along with intended HRM policies and practices revealed influential external and internal environmental factors affecting the university and its strategies. The main external factors are financial and internal challenges mostly relate to structure, bureaucracy, and staff attitude and perception. Subsequent finding on HRM strategy suggest that it is informed by both the operational needs as well as the institutional strategy. From the intended HRM policies and practices in place, there is strong focus around areas of academic leadership and recruitment. Transcending through the HRM process this study investigated how HRM is operationalised at the divisional level and the departmental level. The operationalisation of HRM appears to comprise more a shared responsibility between HODs and senior administrative staff working within the department. Results suggest that HR division influences HRM enactment by acting strictly in an advisory capacity. The investigation of ‘what’ is operationalised revealed that disconnect existed between what HODs’ claimed they offered and what faculty perceived what was actually implemented. Results on perceived HRM indicated that HRM policies and practices which were identified as important correspondingly had low perceived effectiveness and low level of satisfaction. Communication was emphasised as a crucial facet for HRM

operationalisation and perceived HRM. Finally, examination of reactions to HRM revealed high levels of job satisfaction which does not necessarily correspond with perceived HRM satisfaction.

This study contributes to the extant literature by providing a realistic picture of the HRM process within a university setting and in doing so a number of important factors worthy of consideration in HRM policy design and implementation have been identified. These results should have some utility for HR practitioners, HODs, and senior administrative staff working in this sector.

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LIST OF ABBREVIATIONS

ALP	Academic Leadership Programme
DHRMs	Divisional Human Resource Managers
HE	Higher Education
HOD	Heads of Departments
HRM	Human Resource Management
HRM – Performance	Human Resource Management and Performance
HRM Strategy	Human Resource Management Strategy
PBRF	Performance Based Research Funding

LIST OF DEFINITIONS

Academics	Includes Head of Departments and faculty members from academic departments holding a lecturer and above position.
Business Strategy	“The overall strategic aims of the organisation that both affect and are affected by the HRM process” (Truss & Gratton, 1994, p. 669).
Communication Quality	Conceptualised in terms of whether [1] “managers provide a sufficient amount of information about the work and organisation to employees; [2] employees understand the information they receive from their managers, and [3] employees find the information communicated by managers useful” (Den Hartog, Boon, Verburg, & Croon, 2013, p. 1643).
Environment	Include internal and external environment.
External Environment	“Provides opportunities and constraints within which HRM must operate within the organisation” (Truss & Gratton, 1994, p. 669).
Human Resource Management	“The management of work and people in organizations’. It is to do with ‘ <i>what</i> ’, ‘ <i>why</i> ’, ‘ <i>how</i> ’, ‘ <i>for whom and how well</i> ’ of HRM. ‘ <i>What</i> ’ and ‘ <i>why</i> ’ is concerned ‘with understanding what management tries to do with work and people in different contexts and with explaining why’. ‘ <i>How</i> ’ is about the ‘chain of processes that make models of HRM work well (or poorly)’. ‘ <i>For whom and how well</i> ,’ is interested ‘with assessing the outcomes of HRM, taking account of both employee and managerial interests” (Boxall, Purcell and Wright, 2007, p.7).
HRM Process	Process that must take place in order for HRM policies and practices to impact organisational performance (Wright & Nishi, 2012, p. 100).
HRM Satisfaction	“Satisfaction with various HRM elements within the organization” (Khilji & Wang, 2006, p. 1178).
HRM Strategy	“Set of processes and activities jointly shared by human resources and line managers to solve people-related

Intended HRM	business issues” (Schuler & Walker, 1990, p. 7). Policies and practices formulated by the policy makers, for instance HR Division and senior management (Khilji & Wang, 2006).
Internal Environment	“Organisational specific environment” (Truss & Gratton, 1994, p. 669).
International HRM (IIHRM)	Covers HRM in companies operating across national boundaries (Boxall et al., 2007; Lengnick-Hall, Lengnick-Hall, Andrade, & Drake, 2009).
Job satisfaction	“Pleasurable emotional state resulting from the appraisal of one's job as achieving or facilitating the achievement of one's job values” (Locke, 1969, p. 316).
Managerialism	Refer “to the adoption by public sector organisations of organisational forms, technologies, management practices and values more commonly found in the private business sector” (Deem, 1998, p. 47)
Micro HRM (MHRM)	Represents the sub-functions of HRM policy and practice and can be grouped into two main categories: [1] managing individuals and small groups (e.g. recruitment, selection, induction, training and development, performance management, and remuneration), and [2] work organisation and employee voice systems (including management–union relations) (Boxall et al., 2007; Lengnick-Hall, Lengnick-Hall, Andrade, & Drake, 2009).
Mixed Methods Research	“Type of research in which a researcher or team of researchers combines elements of qualitative and quantitative research approaches (e.g., use of qualitative and quantitative viewpoints, data collection, analysis, inference techniques) for the broad purposes of breadth and depth of understanding and corroboration” (Johnson, Onwuegbuzie, & Turner, 2007, p. 123).
Operationalised HRM	Policies and practices enacted in organisations and experienced by employees (Khilji & Wang, 2006).
Perceived HRM	Refers to employees’ interpretation, experience and

judgement of the operationalised policies and practices (Purcell & Kinnie, 2007; Wright & Nishii, 2007; Wright & Nishii, 2012).

Reaction to HRM	Includes different outcomes: [1] affective (attitudinal), [2] cognitive, and/or [3] behavioural.
Relevance	Refers to the “the degree to which HR initiatives and practices are perceived as useful, significant, and relevant (supporting achievement of organizational goals) and HR is capable of anticipating on daily problems and needs” (Delmotte, De Winne, & Sels, 2012, p. 1486).
Sequential Transformative Design	A two-phase project with a [1] theoretical perspective overlaying the [2] sequential procedure (Creswell, 2009). The theoretical perspective also known as theoretical lens or ideology. The sequential procedure refers to two sequential phases, where an initial phase (Qualitative) is followed by a second phase (Quantitative).
Strategic HRM (SHRM)	Concentrates on the overall HRM strategies adopted by business units and companies and tries to measure their impacts on performance (Boxall et al., 2007; Lengnick-Hall, Lengnick-Hall, Andrade, & Drake, 2009).
Visibility	Refer to the “the degree to which internal customers have a clear idea of HR practices, know which HR programmes are implemented, and what can and cannot be expected from the HR department” (Delmotte, De Winne, & Sels, 2012, p. 1486).

CHAPTER 1: INTRODUCTION

1.1 Introduction to Chapter 1

This study seeks to explore the Human Resource Management (HRM) process by looking into some of its key variables. Through this exploration this study aims to examine the devolution and enactment of HRM within a higher education (HE) setting. It is anticipated that knowledge from this study will be beneficial for HRM practitioners working within HE settings as it should help them to better understand how academics interpret, enact and apply HRM policies. Equally this type of exploration will enable discrepancies between intended and operationalised HRM policies and practices to be identified. This research employed a mixed methods approach to illustrate the process under examination. Multiple methods (comprising in this study semi-structured interviews and an online survey) and multiple informants (comprising HR Managers, heads of academic departments and faculty members) were included in the data collection.

The chapter begins with an overview of the context and background followed by the presentation of the problem statement, purpose statement and accompanying research questions. Also included is a discussion of the research approach, research assumptions and researcher background. Finally, this chapter concludes by highlighting the rationale and significance of the study and a brief explanation of the participating organisation.

1.2 Context and Background

In recent years, HRM researchers have shown increased interest in establishing a link between HRM and organisational performance (hereinafter referred to as HRM – performance). There has been a proliferation of research addressing this issue; however the question of a link between HRM and performance still remains unanswered. This is evident by the abundance of inconclusive findings which have been reported in the academic literature. For example, while some studies have consistently shown a significant positive relationship; others have reported either small or even insignificant relationships to exist between HRM and performance (see Arthur, 1992, 1994; Becker & Gerhart, 1996; Becker, Huselid, Pickus, & Spratt, 1997).

Despite these varied findings, HRM – performance research over the twenty years (Guest, 2011) has successfully shed some light on the challenges and limitations of the

existing research and by identifying these shortcomings possible lines for future research have been identified. Some of these challenges and limitations are now reviewed.

First, the literature highlights the tendency of HRM scholars to concentrate on two-focal variables (for instance strategy and performance or HR practices and performance) (Richardson & Thompson, 1999; Wright & Nishii, 2012). It has been suggested that this approach limits the theoretical understanding of how these two points relate. Scholars have therefore argued for an examination of the intervening or mediating variables (Becker & Gerhart, 1996; Dyer & Reeves, 1995; Guest, 1997); thus necessitating process-based research. In response to this, process-based researchers have been able to identify several missing pieces in the HRM – performance puzzle. Communication (Den Hartog, Boon, Verburg, & Croon, 2013), employee satisfaction with HRM (Khilji & Wang, 2006), and job satisfaction (Vermeeren, Kuipers, & Steijn, 2013) being some of these key aspects.

Second, exploration of HRM at the top level is another noted drawback. Recent studies have reported that relying on accounts from the strategic level (such as HRM professionals) only captures the intended HRM or planned HRM and it does not necessarily reflect the actual, implemented, realised or operationalised HRM down the line (Khilji & Wang, 2006; Nishii, Lepak, & Schneider, 2008; Purcell & Kinnie, 2007; Truss & Gratton, 1994; Wright & Nishii, 2012). By way of elaboration, adopting a similar definition to Khilji and Wang (2006), intended HRM here refers to policies and practices formulated by the policy-makers (i.e. HR Divisions and senior management), whereas operationalised HRM refers to the policies and practices enacted in organisations and experienced by employees. Addressing this weakness, scholars (e.g. Brewster, Gollan, & Wright, 2013; Richardson & Thompson, 1999) have argued that operationalised HRM (i.e. *how something is done*) is as important as the intended HRM (i.e. *what is done*). The extension of research on intended and operationalised HRM has also paved the way for research examining the role of the line managers in HRM operationalisation (for examples refer to Purcell and Hutchinson, 2007, Sikora and Ferris, 2014, and Brewster et al., 2013).

Third, progression of HRM research with limited engagement with [1] practitioners and [2] those (workers/employees) influenced by the HRM policies and practices

(Richardson & Thompson, 1999) was seen as a shortcoming. Scholars have accordingly emphasised the need for theory driven empirical research (Wright & McMahan, 1999) and to include workers' voice, as they are closer to the point of implementation (Guest, 2011). Research on workers' perception is relatively new. Some recent publications contributing to this understanding, however, include Alfes, Shantz, Truss, and Soane (2013) and Den Hartog et al. (2013).

A fourth and related challenge which has been recognised in the literature relates to research methodology. Two frequently cited methodological issues include: [1] who should provide information, and [2] what method(s) to use. For the first issue, there is a general consensus on using multiple informants as information from single respondents (e.g. senior HR Managers) may not provide an accurate description of implementation or effectiveness of the practices (Gerhart, 2007; Guest, 2011; Khilji & Wang, 2006). For the second issue, it is now widely acknowledged that contemporary HRM requires more than a "tick box (i.e. yes/no) surveys" of HRM practices (Khilji & Wang, 2006, p. 1173). Within this perspective, researchers agree that limiting information to surveys of intended HRM practices may not reveal the full picture of the context within which they are enacted. Considering this some researchers (e.g. Gratton, Hope-Hailey, Stiles, & Truss, 1999; Guest, 2011) have highlighted the need for interviews with senior HR people and in doing so contemporary HRM can be seen to pave way for mixed methods approaches.

Finally, documented in the literature is the puzzling question of research context. While some researchers emphasised the need for large-scale research (Wall & Wood, 2005) involving research across organisations; others have suggested moving away from this approach (Guest, 2011) in favour of context with "reduced complexity such as departments within large organisations or small businesses" (Allen & Wright, 2007, p. 100). Researchers have argued that reduced complexity will provide more meaningful illustrations of the HRM – performance relationship. Additionally, researchers encourage testing HRM models in greenfield sites (Guest & Hoque, 1996), contexts where there is significant HR change (Guest, 2011), or in new and unique situations (Allen & Wright, 2007). Recent studies conducted in single settings include Kehoe and Wright (2013), Den Hartog et al. (2013), and Alfes et al. (2013). Similarly research has also now been carried in unique and less researched public, small business and health care organisations (Burke & Cooper, 2012).

Guided by these challenges and limitations, the researcher will now set the stage for this research.

1.3 Problem Statement

Research indicates that a meaningful discussion of HRM – performance requires: [1] knowledge of the HRM process and its variables; [2] recognition of the intended and operationalised HRM; [3] information from multiple sources (senior HR, line managers and employees); and [4] careful selection of research methods. Equally demand for research in new and unique contexts has been highlighted. Hence, by tying these requirements into a single conceptual framework (discussed in Chapter 2) and through collection of empirical evidence this study proposes to increase the level understanding of the HRM process in HE. To the researcher's knowledge there are no established studies to date which have considered HRM processes of a HE institution. Thus, at this exploratory level, focus is placed on understanding the HRM process within this particular setting. The researcher has made no attempt to establish relationships or test for relationships as this is outside the scope of this study.

1.4 Purpose Statement

The purpose of this study was to examine the devolution and enactment of HRM within a single HE institution in New Zealand. It is believed that developing an understanding of this HRM process will be beneficial for HRM practitioners working within HE settings because this type of exploration will enable discrepancies between intended and operationalised HRM policies and practices to be identified. In seeking to understand the HRM process, the following five research questions were set:

- [1] What are the intended strategic aims of HRM policy and practices within a university setting?
- [2] How are the intended HRM policy aims and objectives operationalised at the divisional and departmental levels?
- [3] Are there identifiable differences between the intended aims and objectives of the HRM team for HRM policy and practice, and the operationalised policies and practices that occur at the divisional, departmental levels? And if so, what are these differences?

- [4] (a) How do academics perceive operationalised HRM policies and practices?
And (b) Do perceptions of the HRM policies and practices differ across different HRM stakeholders (i.e. heads of departments and faculty)?
- [5] (a) How do academics react to HRM? And (b) Is there any identifiable difference between perceived HRM satisfaction and job satisfaction?

1.5 Research Approach

With the approval of the ethics committee, the researcher employed a mixed methods design to illustrate the process under examination. A single large University in New Zealand formed the context for the study. Within the framework of a mixed methods approach, the study was most suited for a two-phase exploratory mixed method sequential transformative design. The first phase sample comprised senior HR Managers while the second phase sample was made up of academics from two academic divisions. Two data collection methods were utilised, these were semi-structured interviews and an online survey. Semi-structured interviews were conducted in the first phase and the interview data obtained were coded, analysed and assessed for trustworthiness before informing the design of the survey instrument. The online survey was administered after validation and data received were analysed using statistical procedures and SPSS software. In addition to primary data collection methods (interviews and survey), secondary data in the form of policy documents were also consulted. Ethical issues were considered in every data collection phase and various safeguards were put in place to ensure the study was ethically sound.

1.6 Research Assumptions

Assumptions are fundamental to research studies. Assumptions are statements reflecting important issues around the topic which the researcher holds to be true (Bloomberg & Volpe, 2012). Based on current literature six primary assumptions were made.

First, it is assumed that there are a variety of HRM systems within a single organisation and each has its focus on meeting the needs of a particular stakeholder group. This assumption is based on the work of Lepak and Snell (1999). The authors explicitly noted the existence of different employment policies and practices for different groups of employees with unique knowledge and skills. Thus, the researcher assumed that

within a university setting the HRM system generally meet the needs of two different stakeholder groups: [1] general/administrative staff; and [2] academic/faculty staff. Additionally, it is assumed that policies and practices are uniform and consistently applied within each group.

Second, all people within an organisation are important, however, in this study it is assumed that some provide greater leverage for competitive advantage. This assumption is guided by Barney and Wright (1997) and Delery and Doty (1996). These authors suggested HRM assessments should be undertaken on those positions core to the business needs of the organisation. It is assumed that in a university setting, academics are the core job groups as these workers have the greatest potential to provide competitive advantage to the institution.

Third, based on the work of Khilji and Wang (2006), Truss and Gratton (1994), and Wright and Nishii (2012) it is assumed that intended HRM does not necessarily equate with operationalised HRM.

Fourth, although performance is central to HRM – performance research, in this study the researcher has placed performance outside of the purview of this research. The focus of this research is on process and while desirable it was not feasible to the researcher to collect this information and thus this study is confined to the devolution and enactment of HRM.

Fifth, based on Khilji and Wang (2006, p. 1177) it is assumed that HRM satisfaction “is not identical to job satisfaction”. Job Satisfaction refers to “the pleasurable emotional state resulting from the appraisal of one's job as achieving or facilitating the achievement of one's job values” (Locke, 1969, p. 316). While HRM satisfaction refers to “satisfaction with various HRM elements within the organisation”, in other words it is employees’ perceptions or experiences of HRM practices that have been implemented (Khilji & Wang, 2006, p. 1173).

Finally, the sixth assumption concerns employee reaction to HRM. For employee reaction, only attitudinal reaction (i.e. job satisfaction) was observed. According to Wright and Nishii (2007, 2012) each employee may elicit reactions namely: [1] affective (attitudinal), [2] cognitive (knowledge or skills), and/or [3] behavioural. Similarly, Purcell and Kinnie (2007) subdivided employee reactions into [1] employees’ attitudinal reactions and [2] their subsequent behavioural reactions.

Notwithstanding, in this study the cognitive and subsequent behavioural outcomes were treated as exogenous.

1.7 The researcher

At the time of conducting this study, researcher was a student and this study was completed as a requirement for a Master of Commerce Degree. Prior to this study, the researcher was employed in a HE institution for more than 6 years. The researcher has also had the experience of working as an HR professional. Although previous knowledge and understanding of HE context was valuable in providing insights; the researcher was also aware of potential biases or subjectivity that this role might have created. For this reason assumptions have been made explicit at the outset of the study, with various safeguards taken to enhance the trustworthiness of the study (refer Chapter 3).

1.8 Rationale and Significance

The rationale for this study originates from the researcher's desire to understand the HRM process of a HE institution. There are several reasons for this interest. First, limited HRM research exists for HR practitioners in HE. As Julius (2000, p. 50) observed "worthwhile publications and related literature designed for HRM practitioners in higher education is rare". This study will provide practitioners in HE with knowledge of the HRM process and will enable them to identify any discrepancies between intended and operationalised HRM. Second, this study will fill some of the gaps present in HRM – performance literature identified previously. How the researcher aims to address these gaps and contribute to the existing body of knowledge is now detailed below.

To overcome the deficiencies addressed in the HRM – performance literature and to make a contribution to the field, the researcher opted for the following research approach. First, instead of concentrating on two-focal variables, the researcher adopted a holistic approach and studied the whole process and a number of its key variables. Second, the researcher did not use a pre-determined list of HRM policies and practices. All the HRM policies and practices were identified by the informants and this was seen as essential in a study examining intended and operationalised HRM. Third, multiple informants (i.e. HR Managers, HODs and academic staff members) were used to reflect a top down perspective. By doing this, the study represents the voice of the senior HR

managers, line managers (i.e. HODs) and workers (i.e. academic staff members). Fourth, multiple methods (i.e. semi-structured interviews and online survey) were employed to overcome the shortcoming of different methods. Semi-structured interviews helped in understanding the context and intended HRM while the survey provided data on operationalised HRM, staff perception and reaction. Finally, the study was conducted in a new and unique setting (i.e. a HE setting) with reduced complexity (i.e. two academic divisions).

1.9 Organization of this Study

The reminder of this thesis will be organised in the following format. Chapter Two presents a critical synthesis of the relevant literature related to HRM and HE. In addition, this chapter outlines the conceptual framework for this study.

Chapter Three describes the research paradigm and the rationale for a mixed methods approach. The chapter also describes in detail the research context, data sources, the approach taken to data collection and the analysis methods employed. This chapter ends with a discussion on the limitations of the study design.

Chapter Four reports the results by presenting the relevant qualitative and quantitative data. To ensure coherence with the study design, this chapter is divided into two sections: [1] qualitative analysis and findings, and [2] quantitative analysis and findings.

Chapter Five discusses these results and finally Chapter Six concludes with recommendations for future research.

CHAPTER 2: LITERATURE REVIEW

2.1 Introduction to Chapter

The purpose of this study was to examine the devolution and enactment of HRM within a single HE institution in New Zealand. Specifically, the researcher sought to understand the HRM process of a higher education institution. It is believed that developing an understanding of the HRM process will be beneficial for HRM practitioners working within HE settings because this type of exploration will enable discrepancies between intended and operationalised HRM policies and practices to be identified. To achieve this purpose, it was necessary to complete a critical review of the present literature. The literature was reviewed on an ongoing basis throughout the study design, data collection and data analysis phases of this study.

This critical review explores two major areas of literature: [1] HRM, and [2] HRM in HE. This review enabled an understanding of the evolution of the HRM field, significant developments in the field, plus those areas that received considerable attention and those areas that have remained largely unexamined to be identified. Further, reviewing the literature on HRM in HE allowed the state and the role of HRM within the HE context to be examined.

Prior to discussing this review of the literature, this chapter will first outline how this review was conducted. Next, the literature on HRM and HRM in HE is reviewed, and this is followed by the presentation of the conceptual framework. Finally, the chapter concludes with a brief summary.

2.2 Conducting the Literature Review

To conduct this review, a literature search was carried using online databases (e.g. EBSCO Host, Google Scholar) and offline sources accessible to the researcher. Multiple online and offline sources used include: journals, books, reports, and student dissertations.

At this stage anything conceived as important was scanned, skimmed, recorded and filed. No time limits were used, both dated and recent publications were explored based on perceived relevancy. During this phase around 20 student thesis repositories were searched. This was done [1] to avoid any repetition and [2] to enhance the novelty of

this research. Throughout the search, researcher noticed plenty of academic literature on HRM but academic literature specific to HRM in HE/University was found to be scarce. It was found that much of the literature available on HRM in HE (mainly student dissertations and reports) originated from United Kingdom or Europe and consequently was specific to the British or European context. The accessed reports were mainly from professional organisations such as Universities Personnel Association; and Chartered Institute of Personnel and Development.

2.3 Review of HRM Literature

This review of the HRM literature has been divided into broad three themes, reflecting the directions that the researcher has taken to establish the overall objective and framework for this study. The three identified themes include: [1] what is HRM? [2] HRM and performance, and [3] research context and methodology.

2.3.1 What is HRM?

As definitions are central to any analysis, the researcher found it ideal to accept a definition reflecting the purpose of this study. Focusing on the purpose also prevented getting coiled in the definitional terrain of HRM. This study adopted the definition of Boxall, Purcell, and Wright (2007, p. 7), which states HRM is “the management of work and people in organisations”. It addresses the ‘*what*’, ‘*why*’, ‘*how*’, ‘*for whom and how well*’ of HRM. According to these authors, ‘*what*’ and ‘*why*’ is concerned “with understanding what management tries to do with work and people in different contexts and with explaining why”. On the other hand, ‘*how*’ is about the “chain of processes that make models of HRM work well (or poorly)”. Finally, ‘*for whom and how well*’ is interested “with assessing the outcomes of HRM, taking account of both employee and managerial interests” (p.7).

HRM can also be viewed as comprising three major subfields: micro HRM (MHRM), Strategic HRM (SHRM), and International HRM (IIHRM). MHRM represents the sub-functions of HRM policy and practice and can be grouped into two main categories: [1] managing individuals and small groups (e.g. recruitment, selection, induction, training and development, performance management, and remuneration), and [2] work organisation and employee voice systems (including management–union relations). SHRM concentrates on the overall HRM strategies adopted by business units and

companies and tries to measure their impacts on performance. Lastly, IHRM covers HRM in companies operating across national boundaries (Boxall et al., 2007; Lengnick-Hall, Lengnick-Hall, Andrade, & Drake, 2009). HRM researchers, by pursuing different questions have contributed to the development of each of these subfields. Though three domains have been developing in parallel, it is believed that overspecialisation is dysfunctional to the HRM field as it could limit learning from one domain to another. Additionally it is argued that a profound impact on the field is only possible by looking across the domains (Boxall et al., 2007; Wright & Boswell, 2002). Thus, the researcher of this study avoided confining to any one subfield and reasonably adopted an “analytical approach to HRM”. Analytical HRM focuses on “what happens in practice” and “privileges explanation over prescription” (Boxall et al., 2007, p. 4).

2.3.2 HRM and Performance

The debate surrounding HRM terminology or ‘What is HRM?’ gave way to the more substantive issue of HRM and performance. For the last two decades, HRM researchers have been trying to establish a link between HRM and performance. Although there has been a proliferation of research addressing this issue (for example see Arthur, 1992, 1994; Becker & Gerhart, 1996; Becker et al., 1997; Delery & Doty, 1996; Fey & Björkman, 2001; Guerrero & Barraud-Didier, 2004; Huselid, 1995; Huselid & Becker, 1996; Patterson, West, Lawthom, & Nickell, 1997; Wright, Gardner, et al., 2001), the question of a link between HRM – performance still continues to remain unanswered. In spite of the considerable efforts, the findings have been mixed, while some studies showed a significant positive relationship others reported either small or even insignificant relationships.

Despite these inconclusive findings, exploration of the HRM – performance relationship continues to hold centre stage even after 20 years of extensive research (Guest, 2011). To understand the developments and progress of HRM – performance research it is useful to briefly consider several overlapping phases which include: [1] different ‘fits’, [2] contribution of HRM [3] HRM system architecture, [4] intended, operationalised, perceived HRM and reaction to HRM.

Different ‘fits’

For early HRM – performance scholars establishing various types of ‘fit’, ‘synergy’ or ‘integration’ was significant as they suggested that fit was the key to better performance. Various fit models suggesting different types of fit were designed. Some of these models recommended [1] fit between HRM practices, [2] fit between HRM practices or HRM systems (i.e. coherent sets of HRM practices) and other systems in the organisation, [3] fit between HRM system and competitive strategy of the organisation, and [4] fit between HRM system and the organisation’s environment (Wood, 1999).

In reviewing some of this work, Delery and Doty (1996) categorised three main approaches: [1] universal or best practice approach (internal fit), [2] contingency or best fit approach (external fit), and [3] configurational or bundles approach (i.e. systems theory). In their study of US Banks, Delery and Doty found relatively strong support for each of these approaches (Lengnick-Hall et al., 2009). The *universal approach* implies that there exists a set of “best HRM practice” and these best practices have a positive effect on organisational performance under all conditions and across all organisations (Guest, 1997, p. 271; Lengnick-Hall et al., 2009). This approach was tested by many scholars and there is a strong support namely from Huselid (1995); Delaney and Huselid (1996); Arthur (1994); and MacDuffie (1995). Though strong empirical evidence is provided (Wood, 1999), some scholars have found little evidence (Boxall & Purcell, 2000) or even no support for this relationship (Chang & Huang, 2005).

Contingency approach suggests that organisations will perform best if the HRM practices or HRM systems are matched with the organisational strategy (Guest, 1997). While Youndt, Snell, Dean, and Lepak (1996) and Michie and Sheehan (2005) found support for this approach, in contrast, Huselid (1995) only found minimal support and MacDuffie (1995) completely rejected it.

Configurational approach proposes that distinctive patterns or configurations (sometimes called as ‘bundles’) of HRM practices have a positive effect on performance (Guest, 1997; Lengnick-Hall et al., 2009). For this approach, Takeuchi, Wakabyashi, and Chen (2003) and Stavrou and Brewster (2005) found support whereas Delaney and Huselid (1996) failed to find any.

Some scholars have recommended combining some of these approaches. For instance, using the term *person-environment (PE) fit*, Werbel and DeMarie (2005) suggested combining [1] external or vertical/strategic fit and [2] internal or horizontal fit. The PE fit literature itself highlights three different fit (Werbel & DeMarie, 2005). First, *person-job (PJ)* fit suggests matching employees' (skills, knowledge, and abilities) to specific job-related tasks in the work environment. Second, *person-group (PG)* fit focuses on having a composite set of skills and behaviours that support both the group task dimension (skill diversity) and the group maintenance dimension (value similarity). Finally, *person-organisation (PO)* fit involves matching employees' interests, values, and needs to the work processes that permeate all jobs in an organisation. In other words, PO fit hypothesized the importance of workers' perception (Paauwe & Boselie, 2005).

At a time where most of the research focused on organisational level analysis (Paauwe & Boselie, 2005), the idea of PE fit or blending vertical and horizontal linkages became significant as it accommodated both the organisational and individual level of analysis (Werbel & DeMarie, 2005). This idea of mixing organisational and individual level was supported by others (namely Bowen & Ostroff, 2004; Paauwe & Boselie, 2005; Wright & Boswell, 2002; Wright & Nishii, 2012). According to Paauwe and Boselie (2005) multi-level analysis is inevitable when looking at the HRM – performance linkage.

This review of the fit models is useful because it affords a glimpse of the initial arguments underpinning the HRM – performance research. However, the inconsistencies addressed in the fit literature are problematic. Also a further weakness was that these models concentrated on assessing link between HRM and performance with disregard for the mechanism linking them (Richardson & Thompson, 1999; Wood, 1999; Wright & Nishii, 2012). In other words the processes that mediate or moderate the link between HRM – performance were neglected. It was possibly these inherent weaknesses surrounding the fit models that shifted the focus of scholars to other areas of research interest, including the contribution of the HR function, HR professionals and HRM activities.

Contribution of HRM

One central discussion around HRM – performance debate relates to the contribution of the HR function, its professionals and activities. Some scholars (e.g. Barney & Wright, 1998) argue that the HR function, its professionals and activities should be transformed into performance contributors. In this respect, scholars have studied the influence of [1] HR department(s), [2] HR professionals or executives, and [3] HRM activities or practices on performance.

In one of the earliest studies in this area, Tichy, Fombrun, and Devanna (1982) recognised the HR department as a major player in driving organisational performance. This was similarly emphasised by Barney and Wright (1998). Taking a resource-based view they examined the role of the HR function and its executives in developing and maintaining competitive advantage. They highlighted the low priority given to HR department(s) and its leaders despite the widely held belief about the importance of HRM and the HR department(s). Thus, these two scholarly articles provided guidance (for HR professionals) on how to effectively gain and maintain competitive advantage. Others who contributed to this line of research include Huselid, Jackson, & Schuler, 1997, and Green, Wu, Whitten, & Medlin, 2006.

In their work, Huselid et al. (1997) compared [1] technical (e.g. recruitment, training) and [2] strategic (e.g. designing and implementing a set of HRM practices that contributes to business strategy) HR manager capabilities and their impact on performance. The results showed that strategic capabilities were related to performance while technical capabilities were not. In contrast, Green et al. (2006) found that performance was related to HR professionals' individual performance, organisational commitment and job satisfaction.

Apart from the HR department and HR professionals, there was an accompanied interest towards the HRM activities and its link to performance. This interest, first raised the question of the contribution of the HRM system versus single HRM practices and second, it triggered research on HRM practices/systems and performance. Research on HRM practices and performance indicated that HRM practices are effective when they exist as a coherent system as opposed to single HRM practices (Barney & Wright, 1998). The research on configurational approach (discussed above) supported this

notion with this interest in HRM systems and performance leading to a variety of studies in this area (see for example, Khatri, 2000; Huang, 2000; and Vlachos, 2008).

Khatri (2000) examined the link between [1] strategy and HRM practices and [2] HR practices and firm performance. The findings reported that (1) overall strategy affects HR practices, (2) HR practices have a direct effect on organizational performance, and (3) strategy moderates the relationship between HR practices and organizational performance. Similarly, Huang (2000) studied HRM practices and firm performance relationship and found that performance was related to certain HRM practices (such as planning, staffing, appraisal, compensation, and training and development). Last, Vlachos (2008) observed the relationship between HRM practices (i.e. job security, selective hiring, self-managed teams, decentralization of decision making, compensation policy, extensive training, and information sharing) and organisational performance. He identified a relationship between all HRM practices and performance (with the exception of job security).

This group of research flagged the importance of the HR department, HR professionals and HRM systems in the HRM – performance link. At the same time, this line of inquiry extended the HRM research agenda to accommodate the idea of multiple HRM systems.

HRM System Architecture

From the research on HRM systems it became clear to many scholars that organisations rarely comprise a single HRM system for all employees. They discovered that a variety of HRM systems may exist within a single organisation. Multiple HRM systems are often described using the term HRM architecture (Lengnick-Hall et al., 2009).

Some of the first pioneers to identify multiple HRM systems include Tsui, Pearce, Porter, and Tripoli (1997). They identified and described four different types of employee – organisation relationships: [1] *Quasi-spot contract* (i.e. the employer offers short- term, purely economic inducements in exchange for well-specified contributions by the employee); [2] *Mutual investment* (involves some degree of open-ended and long-term investment in each other by both the employee and the employer); [3] *Underinvestment* (the employee is expected to undertake broad and open-ended obligations, while the employer reciprocates with short-term and specified monetary

rewards); [4] *Overinvestment* (the employee performs only a well-specified set of job-focused activities, but the employer offers open-ended and broad-ranging rewards). Overall they found that employees who worked in overinvestment and mutual investment relationships performed better compared to those employees in a quasi-spot contract or underinvestment relationship.

Other significant contributors to this literature included Lepak and Snell (1999). These researchers introduced two primary determinants of HRM system architecture: [1] value and [2] uniqueness of employee skills. Based on these two dimensions they argued that not all jobs and employees are “equally unique and/or valuable to a particular firm” (p. 45). Lepak and Snell (2002) provided empirical support for this argument and showed that value and uniqueness differed across four employment modes (i.e. knowledge-based employment, job-based employment, contract work, and alliance/partnership). The empirical findings strengthened their argument for differentiating HRM towards specific employee groups and this had a substantial influence on subsequent research (for example see Kulkarni & Ramamoorthy, 2005; Palthe & Kossek, 2003). According to Paauwe and Boselie (2005) employee groups can be classified depending on factors such as [1] the nature of their jobs (e.g. production, technical support, administration, and management), [2] their professional backgrounds (e.g. level of education, degree of professionalisation of the occupation), and [3] needs and wants of individuals (e.g. degree of employment security, need for challenging tasks).

The review of the HRM system architecture literature aided the present study by identifying different employee groups (refer Chapter One, discussion under Assumptions). As well, research along this theme stimulated HRM researchers to look inside HRM systems and to explore the component parts. In this regard Becker and Gerhart (1996), Dyer and Reeves (1995), and Guest (1997) have all made calls to uncover the elements and relationships that existed between HRM practices and performance. In the light of such calls scholars have now begun to examine different HRM processes and thus these efforts prompted the distinction of intended, operationalised and perceived HRM.

Intended, Operationalised and Perceived HRM and Reaction to HRM

Developments in the HRM practices – performance debate, enabled scholars to distinguish between intended and operationalised HRM (Gratton et al., 1999; Khilji & Wang, 2006; Truss & Gratton, 1994). Along a similar track, others differentiated between intended, operationalised and perceived HRM (Brewster et al., 2013; Nishii et al., 2008; Purcell & Hutchinson, 2007; Purcell & Kinnie, 2007; Wright & Nishii, 2007; Wright & Nishii, 2012). The distinction of these components drew attention towards employee's reaction to HRM and thereby provided an improved view of the HRM – performance debate. Each of these components have been reviewed below and any interlink between the components have been highlighted.

Intended HRM

As introduced earlier (see Chapter 1), intended HRM refers to policies and practices formulated by the policy-makers (i.e. HR Divisions and senior management). Arguably these policies and practices are derived from a developed HRM strategy (Wright & Nishii, 2007; Wright & Nishii, 2012). In discussions of intended policies and practices some scholars (e.g. Truss & Gratton, 1994; Wright & Snell, 1998) have highlighted how these policies and practices may be tied to business strategy or determined by other influences (e.g. environment). To illustrate, Truss and Gratton (1994) depicted a link between [1] environment, [2] business strategy (both intended and realised), and [3] intended HRM. They (like Jackson & Schuler, 1995) divided the environment into external and internal categories. The external environment was described as the broader environment which provided “opportunities and constraints”, whereas internal environment was represented as “organisational specific” (p. 669).

Demarcation of intended HRM was significant as scholars realised that in organisational reality intended or planned HRM does not necessarily reflect the actual, implemented, realised or operationalised HRM (Khilji & Wang, 2006; Nishii et al., 2008; Purcell & Kinnie, 2007; Truss & Gratton, 1994; Wright & Nishii, 2012). In their work, Khilji and Wang (2006, p. 1174) argued that “an analysis that ignores a distinction between intended” and operationalised HRM will fail to provide valid findings and thereby fail to provide an accurate explanation of the “real situation in the organization”. Thus, this led to the exploration of operationalised HRM.

Operationalised HRM

Operationalised HRM, (defined earlier in Chapter 1), refers to policies and practices enacted in organisations and experienced by employees. Emphasising the importance of operationalised HRM, scholars (e.g. Richardson & Thompson, 1999) have argued that operationalised HRM (i.e. *how something is done*) is as important as the intended HRM (i.e. *what is done*). According to Khilji and Wang (2006) it is important to investigate both operationalised and intended HRM but they believed that the former had a greater, concrete and direct impact on employees.

More recently, Brewster et al. (2013, p. 830) added that the ““*how*” question must also clearly address the ‘*who*’ question”. Interestingly this area of research found that operationalised HRM did not fall entirely within the responsibility of the HR department (Brewster et al., 2013; Purcell & Hutchinson, 2007; Sikora & Ferris, 2014; Wright & Nishii, 2012). These scholars observed that intended HRM policies and practices (set by HR departments) get executed by multiple individuals (e.g. line managers and supervisors), mostly based on their discretion, and thus inconsistency among the individuals occurs. Taking the example of managers conducting a performance appraisal, Brewster et al. (2013) illustrated how HRM operationalisation could differ across implementers. They noted the differences that may exist in: [1] rating (some maybe be more accurate raters than others), [2] feedback (some may be more effective feedback givers), [3] consistency and timeliness (some may be more consistent and timely than others), and [4] treatment (may vary in how she or he treats each employee).

In hindsight it is unfortunate that research on line managers and HRM was silent until recent times. However, this topic has now been placed centre-stage and research reveals a changing relationship between the HRM practitioners and line managers (Alfes et al., 2013). A review of the extant literature on line managers and HRM revealed the following. First, line managers’ are now recognised as key player of HRM as more HRM “work has been “devolved” to them” (Renwick, 2003, p. 262). With this greater responsibility, how line managers perform their role has become crucial to the HRM – performance link. For instance, Wright, McMahan, Snell, and Gerhart (2001) found that organisations fail to achieve optimum performance levels if their line managers failed to carry out HRM execution effectively. Hence, HRM practitioners have been

called to collaborate with line managers to ensure that HRM practices are executed effectively on a daily basis (Alfes et al., 2013). According to Alfes et al. (2013, p. 346) the “crucial question” for present HRM practitioners is “how to manage this process”.

Second, inclusion of line managers in the HRM – performance debate improved the reflection of organisational reality. Most of the previous literature provided accounts of strategic level HRM practitioners. These accounts either detailed the extent to which HRM was implemented (Guest, 1999) or complaints about the line’s failure to execute HRM (Brewster et al., 2013). Some scholars (e.g. Edgar & Geare, 2010), as well critics, have found these less reliable, exaggerated or biased. Guest (1999, p. 22) referred to this as ‘talk up’. Thus, line manager involvement enabled scholars to accommodate the under-represented voice of the line and identify any disconnect between intended and actual HRM (Nishii et al., 2008). Some examples of research which has captured line managers’ voice include the work of Buyens and De Vos (2001); Renwick (2003); Wright, McMahan, et al. (2001). These scholars obtained viewpoints on the [1] importance and effectiveness of HRM, [2] added value of the HR function, and about [3] their willingness to handle HRM responsibilities respectively.

Lastly, examining the role of the line manager was seen crucial due to the influence of line managers on employees’ perceptions of (perceived HRM) and reactions towards HRM (Alfes et al., 2013; Brewster et al., 2013; Den Hartog et al., 2013; Purcell & Hutchinson, 2007; Vermeeren et al., 2013). For instance, Purcell and Hutchinson (2007), Brewster et al. (2013), and (Den Hartog et al., 2013) have all highlighted how line management can influence and shape employees’ perceptions towards HRM.

Perceived HRM

Perceived HRM refers to employees’ interpretation, experience and judgement of the operationalised policies and practices (Purcell & Kinnie, 2007; Wright & Nishii, 2007; Wright & Nishii, 2012). In the absence of adequate research (Alfes et al., 2013; Den Hartog et al., 2013; Guest, 1999; Kehoe & Wright, 2013), this has become one of the most actively researched areas. In the limited work in this area, scholars have recognised the importance of including worker’ voice or perception in HRM–performance debate, (for example refer Alfes et al., 2013; Den Hartog et al., 2013; Edgar & Geare, 2005; Guest, 1999; Khilji & Wang, 2006). They have argued that employees’ perceptions should be taken into account similar to that of HR managers

and line managers. Supporting this argument, Guest (1999, p. 11) noted that inclusion of employee perception will bring in a wide range of participants' interest thus, an improved "partnership or stakeholder perspective" could be obtained.

Scholars favoured research on perceived HRM for several reasons. First, they believed that employees' perception is more valid as they are closer to the point of implementation (Guest, 2011). Second, scholars argued that employee perceptions will likely indicate any disconnect or misalignment from line manager reported HRM (Den Hartog et al., 2013; Liao, Toya, Lepak, & Hong, 2009). Scholars foresaw such disconnect as line managers in their different role gain better access to a firm's intended HRM. Unlike line managers, employees receive these policies and practices after filtration based on line discretion (Den Hartog et al., 2013).

To minimise this disconnect, an area for improvement suggested by scholars is communication, or 'quality of communication' to be more specific (Bowen & Ostroff, 2004, p. 207; Den Hartog et al., 2013, p. 1643; Rodwell, Kienzle, & Shadur, 1998; Wright & Nishii, 2012). Den Hartog et al. (2013, p. 1643) conceptualised communication quality in terms of whether [1] "managers provide a sufficient amount of information about the work and organisation to employees; [2] employees understand the information they receive from their managers, and [3] employees find the information communicated by managers useful". They proposed that "what employees see in terms of HRM is likely to be affected by the quality of managers' communication" (p. 1643).

Third, scholars found that employee perception influences how they react to HRM, (Alfes et al., 2013; Wright & Nishii, 2012) and this aspect is reviewed below.

Reaction to HRM

Research interest towards employees' reaction to HRM developed in parallel to research on perceived HRM. Similar to perceived HRM, this is an area identified in need of "good evidence" (Guest, 1999, p. 9). As stated, the current literature suggests a link between employee perception and employee reaction to HRM (Purcell & Kinnie, 2007; Wright & Nishii, 2007; Wright & Nishii, 2012). Employee reaction to HRM has been framed to include different outcomes. For instance, Wright and Nishii (2012) emphasised three outcomes [1] affective (attitudinal), [2] cognitive, and/or [3]

behavioural. They defined affective reactions to include aspects of job satisfaction and/or organisational commitment. Cognitive reactions were seen to comprise increased knowledge or skills and finally, behavioural reactions were divided to include [1] task behaviour (i.e. job-focused behaviour), [2] counterproductive behaviour (i.e. negative behaviour), and [3] discretionary behaviour (i.e. non-prescribed behaviour).

Purcell and Kinnie (2007), in revising Wright and Nishii's work subdivided employee reactions into attitudinal outcomes and subsequent behavioural outcomes. Attitudinal outcomes include "attitudes employees hold toward their job and their employer and/or levels of morale or motivation" whereas, behavioural outcomes was seen to be "learning new methods of working, engaging in behaviour which is beyond that required...or levels of attendance and remaining in the job, or their opposites" (Purcell & Kinnie, 2007, pp. 541-542). They specified three types of behaviours, namely the [1] competencies needed to perform the job, [2] discretionary behaviour, and [3] turnover and absence (or retention and attendance). A major notable development in the work of Purcell and Kinnie is the link between attitudinal outcomes and behavioural outcomes (see *Figure 2.1*). Within this school of thought, scholars have studied various links between attitudinal outcomes and behavioural outcomes (e.g. Alfes et al., 2013; Kehoe & Wright, 2013; Nishii et al., 2008).

Model proposed by Wright and Nishii (2012, 2007)



Model proposed by Purcell and Kinnie (2007)

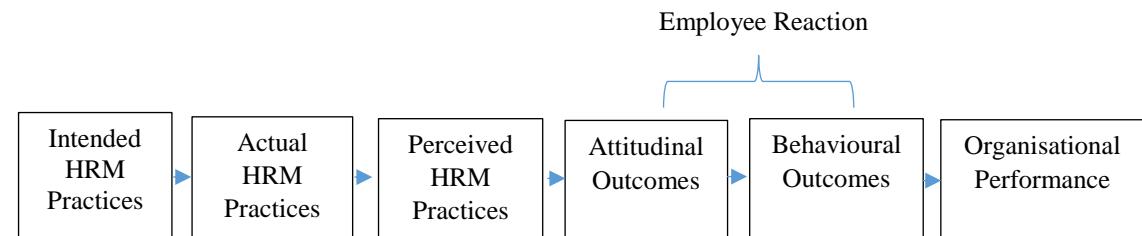


Figure 2.1: Comparing Process models of HRM

Two popularly explored attitudinal outcomes include job satisfaction and commitment (Alfes et al., 2013; Edgar & Geare, 2005). According to Saari and Judge (2004, p. 395) job satisfaction is the “most focal employee attitude”. As for behavioural outcomes, scholars commonly looked into organisational citizenship behaviour (OCB) and turnover intentions (Alfes et al., 2013; Kehoe & Wright, 2013). For instance, Nishii et al. (2008) studied job satisfaction and its mediating relationship between employees’ attribution of HRM practices and OCB, while Kehoe and Wright (2013) examined the relationship between [1] commitment and OCB and [2] commitment and turnover intentions. In contrast, Alfes et al. (2013) proposed employee engagement as an alternative mediator to commitment and job satisfaction. They studied how OCB and turnover intentions are mediated by levels of engagement in the presence of two moderator variables: [1] perceived organisational support and [2] leader – member exchange.

Overall, the flow of HRM – performance research, from fit models to employee outcomes reflects impressive progress in the field. Notwithstanding, these recent developments have added to the complexity of the HRM – performance debate and consequently have also provided scope for future research.

2.3.3 Research Context and Methodology

When reviewing the HRM literature, an effort was made to determine [1] the most appropriate methodological approach, and [2] the ideal context to establish this research. In this regard, this review of the HRM literature revealed a number of methodological challenges.

First, there remains an unresolved debate over the use of single versus multiple raters or respondents (Lengnick-Hall et al., 2009). A number of scholars (e.g. Gerhart, 2007; Guest, 2011; Khilji & Wang, 2006; Wright & Haggerty, 2005) advised on using multiple informants as a mean to reduce measurement error. This is contrary to a study conducted by Huselid and Becker (2000), in which they asserted that increasing the number of raters yielded only minor improvements and they further suggested on using knowledgeable or key informants instead multiple raters. However, it was later found by Wright, Gardner, et al. (2001) that highly knowledgeable or key informants also provide highly unreliable information about HRM practices. Similarly they noted that “knowledgeable informants do not display adequate levels of interrater agreement” (p. 893). While this debate remains unresolved, this has interestingly led to another related methodological issue concerning ‘whom to ask’.

Scholars’ judgement on who should be asked to provide information about the HRM systems seems to differ. For instance, at one end it has been suggested that “senior HR managers are not very reliable informants” thus information should be sought from workers who experience the HRM practices (Guest, 2011, p. 6). On the other end, scholars have highlighted the need to include senior top-management informants (Gerhart, Wright, McMahan, & Snell, 2000) or HR professionals (Cascio & Aguinis, 2008) as a mean to accommodate the changing needs of the practitioners. Within these controversial arguments, a more useful and acceptable argument have been forwarded by scholars like Arthur and Boyles (2007) and Wright and Nishii (2012).

In their work, Arthur and Boyles (2007) suggested considering HRM system components in making a decision. Using the conceptualisation of HRM systems (by Schuler, 1992) they argued that information on HRM principles, policies and programmes should be obtained from organisation level business leaders while information on HRM practices and climate should be attained from lower level

managers and employees. Similarly, Wright and Nishii (2012) proposed determining informants based on what is measured (i.e. intended HRM or operationalised HRM). They anticipated the involvement of HR representatives for measures of intended HRM whereas line or employees for operationalised HRM.

Finally, a methodological issue that continues to be debated concerns the use of methods. Some agree (e.g. Khilji & Wang, 2006) that contemporary HRM requires more than a ‘tick box’ of yes/no response surveys (also referred as additive measures, see Edgar & Geare, 2005). Within this perspective, researchers agree that limiting information to surveys of intended HRM practices may not reveal the full picture of the context within which they are enacted. Considering this some researchers (e.g. Gratton et al., 1999; Guest, 2011) have highlighted the need for qualitative, integrative interviews with senior HR people. In a similar vein, some (e.g. Lengnick-Hall et al., 2009, p. 81) suggest surveying employees regarding “whether or not they received consistent message across various levels of the HRM systems”. Thus, contemporary HRM can be seen to pave way for mixed methods approaches (Guest, 2011).

Majority of the discussions on methodology similarly addressed the issue of research context. Scholarly suggestions on research context seem to be as puzzling as the discussions on research methodology. While some researchers emphasised large-scale studies (Wall & Wood, 2005) involving research across organisations, others have suggested moving away from this approach (Guest, 2011) in favour of context “with reduced complexity such as departments within large organisations or small businesses” (Allen & Wright, 2007, p. 100). Thus, a number of recent studies are confined to single or less complex settings. For instance, Kehoe and Wright (2013) surveyed a multi-unit food service organisation, while Den Hartog et al. (2013) sampled a single large firm comprising multiple branches (a restaurant chain) and finally Alfes et al. (2013) studied a single division of a service sector organisation in the United Kingdom.

Along a similar line, scholars (e.g. Allen & Wright, 2007; Colakoglu, Lepak, & Hong, 2006; Guest, 2011; Guest & Hoque, 1996) have been encouraged to extend HRM research to different types of companies and different contexts. Some see this important as the bulk of research comes from the manufacturing industry (Boxall et al., 2007; Khilji & Wang, 2006). Within this argument scholars have called for research in

greenfield sites (Guest & Hoque, 1996), contexts where there is significant HR change (Guest, 2011), or in new and unique situations (Allen & Wright, 2007). These calls undoubtedly have diverted interest towards “less attention devoted” areas like public, small business and health care organisations (Burke & Cooper, 2012). Guided by these calls, and based on the researcher experience in higher education (refer Chapter 1), the focus of this review now shifts to examine HRM in HE.

2.4 Review of HRM – HE Literature

As noted at the outset of this review, limited studies were available on HRM within this context. Based on the accessible literature, roughly three main areas or themes could be identified: [1] infiltration of HRM in HE; [2] changing HE context and HRM; and [3] modernisation of HRM in HE. These three themes are now reviewed.

2.4.1 Infiltration of HRM in HE

HRM took its roots in HE in the late 1940s (Julius, 2000), as a personnel administrative function and it was not until the 1990s that HRM took its current form (Arslan, Akdemir, & Karslı, 2013). In general, it has been argued, and in some instances assumed that the transformation from personnel to HRM enhanced the overall strategic significance of the HR departments in HE and equally increased the HR directors’ senior status within the university hierarchies (Waring, 2013). In spite of such claims, others (e.g. Julius, 2000) have argued that transformation (from Personnel to HRM) improved the status of HRM function in some industry/sectors and this was to a lesser extent in HE. This is documented in the works of Farndale and Hope-Hailey (2009) and Waring (2013), in which they discussed the low power and influence of HR departments in HE.

A reason for low power / influence stems from the “traditional conflict” between the academic staff and HRM function (Farndale & Hope-Hailey, 2009, p. 398). Scholars (such as Guest & Clinton, 2007; Smith & Ferris, 1990; Waring, 2013) have indicated the negative reaction of academics towards more managerial, bureaucratic and administrative HRM functions. According to these scholars, HRM, which emerged as a new managerial discourse, conflicted with the traditional academic collegiality from which academics used to derive considerable status and authority. HRM was less acceptable for academics as [1] it expected academics to exercise more managerial

approaches, and at the same time it [2] marginalised academic voice for which they had considerable freedom (Waring, 2013).

Another argument for low power / influence branches from the academics doubts on viability of HRM. For one thing, the HRM policies fail to show any direct impact on everyday work (Waring, 2013). Similarly, involvement of the HRM function in strategic decisions was seen minimal and limited to issues of people management (Farndale & Hope-Hailey, 2009) and finally the HRM function fails to demonstrate any contribution towards the institutions mission (Glazer, 2002; Julius, 2000). For instance, in the work of Guest and Clinton (2007, pp. 30-31), it was noted that HR directors rated the “influence of their function as generally low” and equally they found their influence on performance outcomes (such as research, teaching and students) to be “indirect at best”. Thus, some scholars (Edgley-Pyshorn & Huisman, 2011, p. 610; Glazer, 2002; Waring, 2013) have argued that HR departments in HE institutions must first attempt to “justify its position, worth and capability” in order to “gain the buy-in” of academics. Glazer (2002) called on HR managers to build a close partnership with employees and line managers and to “completely reconceive and reconfigure the function—to overhaul it from one devoted to activities to one committed to outcomes” (Ulrich, 1998, p. 126).

Despite the low power / influence claims, recent changes in the wider HE context heightened the argument towards HRM and never then before there has been greater appeal towards adopting HRM in HE. Much of this demand originates from professional organisations and in some contexts (like the United Kingdom) due to political or government pressures.

2.4.2 Changing HE context and HRM

While the criticism towards HRM in HE continues, the argument towards HRM took a positive turn due to a number of significant changes in the HE landscape. Work done in this area (for example, Ginsburg, 1993; Glazer, 2002; Gordon & Whitchurch, 2007; Holbeche, 2008; Waring, 2013) highlighted several conflicting internal and external challenges faced by today’s HE institutions. Specifically these challenges were [1] the greater competition for students; [2] the increasing need to upgrade technology and equipment; [3] greater demand for achieving the right balance between teaching and research; [4] budget cuts; [5] strain on fund raising due to increased competition; [6]

unprecedented growth, and increased student expectations for flexibility and service; and [7] changing expectations of staff about employment terms and conditions as well broader aspects of working life.

To alleviate these challenges different strategies were sought, for instance by public funding bodies in countries like New Zealand, Australia and United Kingdom (Gordon & Whitchurch, 2007). Overall the initiatives resulted in a number of reforms across HE institutions, which Smeenk, Eisinga, Teelken, and Doorewaard (2006, p. 2036) recognised as a wave of “New Public Management” (NPM) or “managerialism”. The term managerialism defined by Deem (1998, p. 47) refer “to the adoption by public sector organisations of organisational forms, technologies, management practices and values more commonly found in the private business sector”. Smeenk et al. (2006, p. 2036) suggested that “timing, pace and extent of managerial changes” may vary among countries, universities, and faculties. For instance, reflecting on the New Zealand context, Edgar and Geare (2013) indicated the low influence of managerialism on universities although it extensively influenced other public sector organisations. This differs from the UK context, where managerialism contributed to a round of HRM modernisation efforts in the HE sector. Selective discussions on HRM modernisation have been provided below.

2.4.3 Modernisation of HRM

The fundamental idea behind HRM modernisation was to improve the overall performance of the universities. HRM was seen as the right tool to enhance the individual staff performance and thereby to influence the overall performance (Waring, 2013). Thus, HRM modernisation initiatives were adopted in a number of countries and this is evident from Dubosc and Kelo (2012); Guest and Clinton (2007); Archer (2005); and Bodor (2011). For instance, Dubosc and Kelo (2012) reported on modernisation agenda of HE systems between European Union and Partner Countries. Guest and Clinton (2007) and Archer (2005) detailed the modernisation status of British universities while Bodor (2011) updated on modernisation of the Hungarian HE system. These initiatives were more prevalent in some countries compared to others. For example, Bodor (2011) compared the advancement of HRM in Hungarian and British HE system and the final result showed Hungarian HE systems to lag behind the British HE system.

The review of HRM modernisation literature revealed some interesting advances of HRM in HE of which some have been highlighted below. It is also noteworthy to mention that much of these developments reflect the British HE context.

First, the findings reported by Archer (2005) showed that HR managers no longer see themselves confined to administrative silos. Arguably the role has shifted from an administrative support function to a more valued ‘client facing advisory services and trusted partners’ (Archer, 2005, p. 4). The new clients were recognised to include faculties, schools, departments and all line managers within institutions.

Second, Guest and Clinton (2007) indicated significant developments in the formulation of HRM strategy. For instance, in their study of 141 UK universities they found almost all universities having a HR strategy. Similarly they noted progress in the development of HRM policies and practices.

Third, Guest and Clinton (2007) and Archer (2005) reported improved support from top management in developing and applying HRM. However, the findings on line managers’ support and involvement were more equivocal. While some HR executives claimed [1] acceptance of HRM by line managers and their [2] lack of resistance to HRM initiatives, others voiced the difficulty of persuading line to accept their implementation responsibility (Archer, 2005; Guest & Clinton, 2007). This difficulty was arguably prevailing due to the [1] resilient anti-management culture and attitudes (as discussed earlier) and [2] line managers’ main loyalty towards their subject or teams (Archer, 2005). As all these findings reflected the viewpoints of HR executives, Guest and Clinton (2007, p. 38) argued that “it would be interesting to see how far line managers agree” with these findings. Moreover, stressing this line manager implementation issue, Guest and Clinton (2007) suggested the importance of communication, cautioning that “if the broader purposes of the policy has not been communicated, it may not even implement it at all” (p 42).

Despite these developments, some (e.g. Archer, 2005; Guest & Clinton, 2007) still believe that much needs to be done for modernising HRM in HE. In acknowledging these remarks, it is this researcher’s view that understanding the reality of HRM process in a HE setting will serve useful for any modernisation agenda. Thus, the

overall review of HRM – HE literature is fruitful as the researcher has been able to ascertain HE as a suitable context for this study.

2.5 Conceptual Framework

This section outlines the conceptual framework for this study which is based on the aforementioned extent literature. This is the essential “working tool” (Bloomberg & Volpe, 2012, p. 86), displaying the [1] “map of the territory being investigated” (Miles & Huberman, 1994, p. 33) and the [2] current working theory (which Maxwell (2005, p. 37) described as “a picture of what you think is going on”). This framework underpins the research questions and helps to determine the methodological order. It also provides a structure for organising and reporting the findings.

Figure 2.2 depicts the framework developed for this study. This framework is conceptual and descriptive in nature rather than being normative (i.e how HRM should work) or empirical (Gratton et al., 1999). It outlines how the process of HRM might work in a HE setting and does not seek to represent an “ideal type” (Truss & Gratton, 1994, p. 679). This type of model serves as a useful guide to subsequent empirical research (Gratton et al., 1999; Truss & Gratton, 1994) and this is seen beneficial as the field of HRM is in need of “theory-driven empirical research” (Wright & McMahan, 1999, p. 68). This version of the model was completed after an iterative process of revision and refinement; however, there remain expectations for modification in the light of this study’s findings.

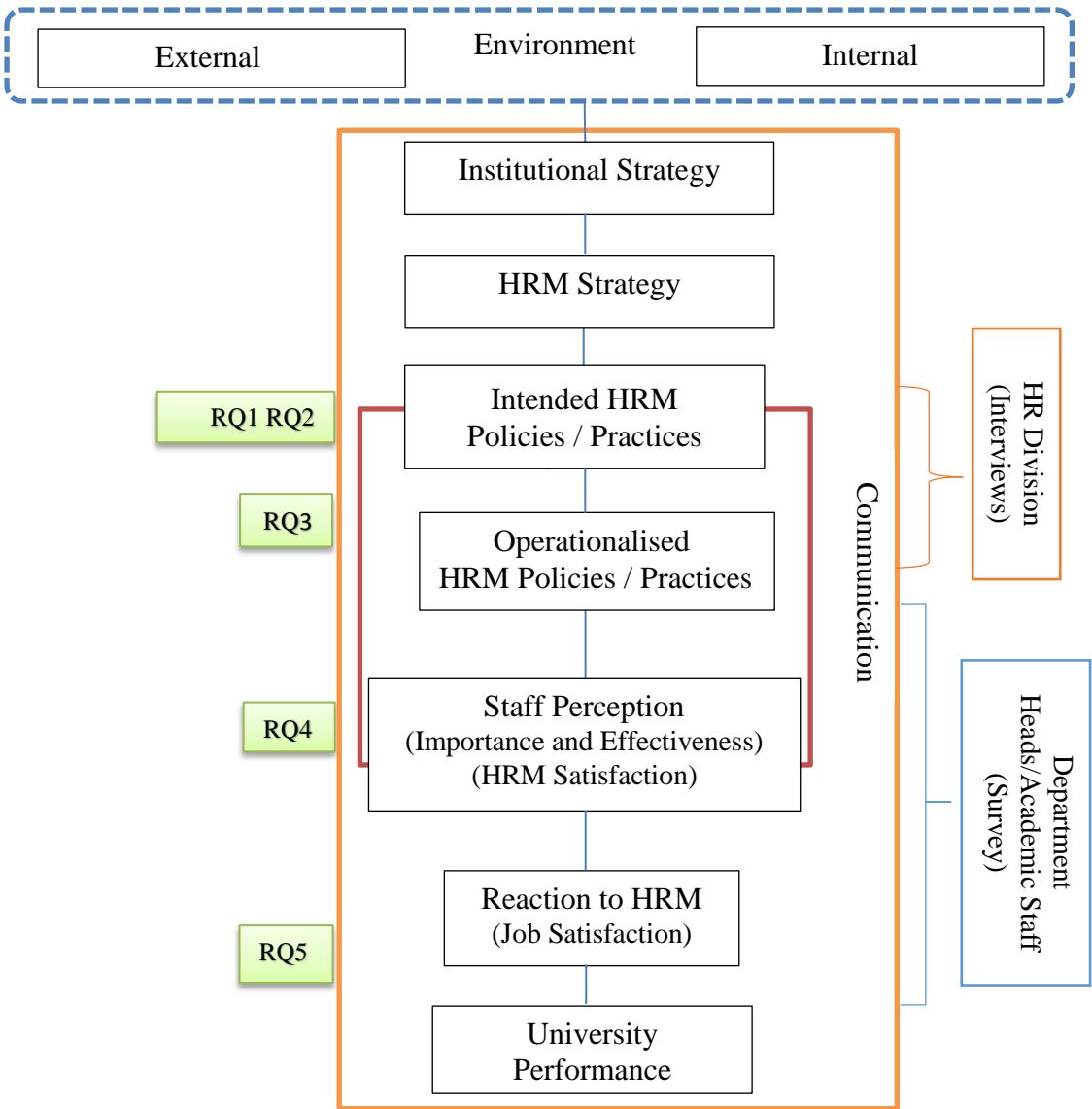


Figure 2.2: Conceptual Framework

To begin with, the proposed model reflects some of the key arguments from the reviewed literature. On the basis of the arguments a number of key concepts or variables have been incorporated into the framework. The proposed model by no means claims to cover all relevant variables. However, by covering a number of key variables it is likely that the model adequately reflects how the process of HRM works in a HE setting.

First, based on the review of *Different 'fits'* and *Changing HE Context and HRM* the impact of environment is acknowledged. The environment is represented as external and internal environment following the work of Truss and Gratton (1994) and Jackson and Schuler (1995). It is assumed that the environment influences institutional strategy

and this in return determines the HRM strategy. Notwithstanding, it is important to realise that HRM strategy may influence the institutional strategy, thus lines have been used in place of arrows to represent a two-way relationship. As the focus of this research is on HRM process, it is the development and alignment of the institutional and HRM strategy which is primarily examined. Consequently, and in order to avoid having a pre-determined set of strategic initiatives, the content of the strategy documents were considered to be of secondary importance to this research.

Second, following the work Brewster et al. (2013); Gratton et al. (1999); Khilji and Wang (2006); Nishii et al. (2008); Purcell and Hutchinson (2007); Purcell and Kinnie (2007); Truss and Gratton (1994); Wright and Nishii (2007); and Wright and Nishii (2012) the difference between [1] intended, [2] operationalised, [3] perceived HRM, and [4] reaction to HRM is recognised. The model expects intended HRM policies and practices to be derived from a developed HRM Strategy (Wright & Nishii, 2007; Wright & Nishii, 2012). The concept of intended HRM as defined earlier includes policies and practices formulated by the policy-makers (i.e. HR Divisions and senior management). From the variety of intended policies and practices meeting the needs of different employee groups only those policies and practices of the assumed core employee group (i.e. academics) were taken into account. This decision was based on the review of Barney and Wright (1997); Delery and Doty (1996); Lepak and Snell (1999); and Tsui et al. (1997) (refer to the discussion on *HRM System Architecture*). All intended policies and practices for academics are taken into account considering Barney and Wright (1998) argument that HRM practices are effective when they exist as a coherent system as opposed to single HRM practices.

Looking at intended HRM also acknowledges the role of HR function and HR executives. This was recognised as important in the work of Barney and Wright (1998); Green et al. (2006); Huselid et al. (1997); and Tichy et al. (1982) (refer *Contribution of HRM*). Consequently, following the advice of Arthur and Boyles (2007) and Wright and Nishii (2012) the HR Division or more precisely the senior HR team is selected as key informants for intended HRM.

Third, as intended HRM does not necessarily reflect implemented HRM, it became important to consider the concept of operationalised HRM. Operationalised HRM as defined earlier are those policies and practices enacted in organisations and experienced

by employees. As operationalisation of HRM does not fall entirely within the responsibility of the HR Division (Brewster et al., 2013; Purcell & Hutchinson, 2007; Sikora & Ferris, 2014; Wright & Nishii, 2012) it is presumed that intended HRM is operationalised by line managers or in the context of this research by Heads of Departments (HODs).

Fourth, the model assumes that the way in which the HODs operationalise HRM will shape employee (or academics) perception towards HRM. Employee perception of HRM reflects employee interpretation, experience and judgement of the operationalised policies and practices (Purcell & Kinnie, 2007; Wright & Nishii, 2007; Wright & Nishii, 2012). Referring to the work of Arthur and Boyles (2007) and Wright and Nishii (2012) it was assumed that an overall employee perception could be obtained by involving both HODs and academics. Thus, these two groups are accounted. Employee perception of HRM, as advocated by Ulrich (1997), can be captured by asking employees about their perceptions of the importance and/or effectiveness of a list of HR services. In addition, Khilji and Wang (2006) looked into HRM satisfaction (i.e. satisfaction with various HRM elements) as a measure of perception. Therefore, all these three measures (importance, effectiveness, HRM satisfaction) have been incorporated in the model.

Fifth, communication is embedded as an essential element considering Bowen and Ostroff (2004); Den Hartog et al. (2013); Guest and Clinton (2007); Rodwell et al. (1998); and Wright and Nishii (2012) (refer *Perceived HRM* and *Modernisation of HRM*). Communication is notably important for two reasons. First, due to its influence on effective operationalisation of HRM (Guest & Clinton, 2007), and second, due to its impact on line manager and employee perception of HRM. It is anticipated that communication quality of the HR division will affect line perception and the quality of line communication will shape employee perception (Den Hartog et al., 2013).

Sixth, how employees perceive HRM will likely determine their reaction to HRM (Purcell & Kinnie, 2007; Wright & Nishii, 2007; Wright & Nishii, 2012). Purcell and Kinnie (2007) divided employee reaction into attitudinal and behavioural outcomes. Attitudinal outcomes, as previously mentioned, include “attitudes employees hold toward their job and their employer and/or levels of morale or motivation”, while behavioural outcomes was seen as “learning new methods of working, engaging in

behaviour which is beyond that required...or levels of attendance and remaining in the job, or their opposites" (Purcell & Kinnie, 2007, pp. 541-542). This model focuses only on attitudinal outcomes, within the popularly explored attitudinal outcome of job satisfaction measured.

Finally, the model concludes with the assumption that employee reaction (both attitudinal and behavioural) will influence the overall performance of the institution. Though the model reflects this link, no attempt was made to study the influence of employee reaction on performance. This does not imply that this link is irrelevant or less important. In fact it could be argued that it is one of the most crucial links for a process model or HRM-performance research. Notwithstanding, studying this link falls outside the scope of this study. The researcher believes that any judgement on performance should be made by considering both attitudinal and behavioural outcomes.

In sum, this model recognises the influence of [1] environment on institutional strategy and [2] institutional strategy on HRM strategy. It acknowledges the difference between intended, operationalised, perceived HRM and employee reaction, and it incorporates the voice of three key stakeholders: HR Division, line managers (HODs), and employees (academics). Finally, the importance of communication in the HRM process is recognised. In this way, the model provides a comprehensive multi-level framework for empirical testing.

2.6 Chapter Summary

In summary, the first part of the chapter briefly explained how the literature review was conducted and the main sources accessed. The second part provided a critical review of [1] HRM literature and [2] HRM – HE literature, with a number of key themes were identified under each review. This review provided the foundation for determining the research methodology and research context for this study and explained the current role of HRM in HE context.

The third part of this chapter presented the conceptual framework designed for this study. This model depicted the HRM process of a HE institution. This model recognised the influence of [1] environment on institutional strategy and [2] institutional strategy on HRM strategy. It acknowledged the difference between intended, operationalised, perceived HRM and employee reaction. Equally it

incorporated the voice of three key stakeholder groups: HR Division, line managers (HODs), and employees (academics). Finally, it recognised the importance of communication in the HRM process. Overall, it provided a comprehensive multi-level framework for empirical testing.

CHAPTER 3: METHODOLOGY

3.1 Introduction to Chapter

The purpose of this study was to examine the devolution and enactment of HRM within a single HE institution in New Zealand. It is believed that developing an understanding of the HRM process will be beneficial for HRM practitioners working within HE settings because this type of exploration will enable discrepancies between intended and operationalised HRM policies and practices to be identified. In seeking to understand the HRM process, five research questions were set. To elicit the rich data necessary to answer the research questions a mixed methods research approach was adopted.

This chapter provides a detailed outline of the research methodology including [1] the rationale for a mixed methods research approach; [2] the rationale for sequential transformative design; [3] an overview of the research setting and data sources; [4] an overview of the research design; [5] the data collection process; [6] ethical considerations; and [7] limitations of the study design. The chapter ends with a brief concluding summary.

3.2 Rationale for the Mixed Method Research Approach

This study adopted a mixed methods research approach. Mixed methods research is grounded in the pragmatic research paradigm. The research paradigm refers to the “basic set of beliefs and assumptions that guide action” (Bloomberg & Volpe, 2012, p. 28). Pragmatism is a well-developed philosophy which “offers an epistemological justification and logic for mixing approaches and methods” (Johnson, Onwuegbuzie, & Turner, 2007, p. 125). Pragmatists emphasize the research problem over the research method and advocate that research questions should drive the method (Bloomberg & Volpe, 2012; Creswell, 2009; Onwuegbuzie & Leech, 2005). This makes them more open to different worldviews and the methods available to understand the problem. It was the pragmatic philosophical view of the researcher, along with the nature of the research problem that led to the adoption of mixed methods research approach in this study. This approach has many benefits. For example, it has allowed: [1] flexibility in mixing of research techniques with varying strengths and weaknesses, [2] using qualitative research to inform the quantitative portion of research studies or vice versa, and [3] combine micro descriptive precision with macro empirical precision

(Onwuegbuzie & Leech, 2005). Mixed methods research is an approach to inquiry which originated with the work of Campbell and Fisk in 1959 (Creswell, 2009). With a glossary of almost 300 associated terms (Teddlie & Tashakkori, 2009) mixed methods research often is variously called *quantitative and qualitative methods, multi-methods, multi-strategy, and mixed methodology* (Bryman, 2006; Creswell, 2009). Mixed methods research has been subject to rigorous intellectual scrutiny leading to more than 19 definitions (Johnson et al., 2007). Drawing on this work, Johnson et al. (2007, p. 123) defined mixed methods research as:

“the type of research in which a researcher or team of researchers combines elements of qualitative and quantitative research approaches (e.g., use of qualitative and quantitative viewpoints, data collection, analysis, inference techniques) for the broad purposes of breadth and depth of understanding and corroboration”.

A well designed mixed methods study allows researchers to effectively address their research objectives, purposes and questions (Leech & Onwuegbuzie, 2009; Morse & Niehaus, 2009) and to counter the strength and weaknesses of quantitative and qualitative methods in a single study (Onwuegbuzie & Leech, 2005). Due to the inherent strength of this research design these studies are now routinely published in internationally refereed journals (Leech & Onwuegbuzie, 2009) and this includes those in the area of HRM (see Cassell, Nadin, Gray, & Clegg, 2002; Jabbour, Santos, & Nagano, 2010; Okpara & Wynn, 2007). For instance, in Cassell et al. (2002), the researchers mixed telephone survey and in-depth face to face interviews while Jabbour et al. (2010) triangulated survey with case studies.

Notwithstanding the increasing acceptance and strength of mixed methods research, some still have reservations towards adopting this approach, especially those who exclusively use quantitative or qualitative research methods. It should also be recognised that mixed methods research can also be expensive, time consuming and requires the learning of multiple methods and approaches (Johnson & Onwuegbuzie, 2004; Morse & Niehaus, 2009).

Besides pragmatism, the rationale for adopting a mixed methods approach in this study is manifold and includes [1] development (using results from qualitative phase to develop the survey instrument for the quantitative phase); [2] expansion (expanding

breadth and range of inquiry); [3] completeness (to provide a comprehensive account of the HRM process); and [4] context (providing contextual understanding through qualitative phase while covering broad differences through quantitative phase). This makes a mixed method approach that combines quantitative and qualitative research ideal for the research questions set.

3.3 Rationale for Sequential Transformative Design

Within the framework of mixed methods approach, the study was most suited for a two-phase exploratory mixed method sequential transformative design. A sequential transformative design is a two-phase project with a [1] theoretical perspective overlaying the [2] sequential procedure (Creswell, 2009). The theoretical perspective (also known as theoretical lens or ideology) significant in this study is the conceptual framework (see Chapter 2). The conceptual framework of this study is of utmost importance in guiding the study design, more so than the use of the methods alone. The sequential procedure refers to two sequential phases, where an initial phase is followed by a second phase (Creswell, 2009). This study involves a first phase of qualitative data collection and analysis, followed by a second phase of quantitative data collection and analysis that builds on the results of the first qualitative phase. Using mixed methods design notation system this design could be represented as **QUAL → QUAN** (Leech & Onwuegbuzie, 2009). Here the symbol “→” indicates a sequential form of data collection, with one form (qualitative data) building on the other (quantitative data). **QUAL** and **QUAN** stand for qualitative and quantitative respectively. Capitalization designates weight, so capitalisation of **QUAL** and **QUAN** indicates equal status as both are imperative in answering the research questions. This design well served this exploratory study; it enabled a better understanding of the HRM process in a HE setting to be obtained. This was useful since very few studies have been conducted in this area.

As Creswell (2009) suggests, the sequential transformative design is an ideal design for serving the theoretical perspective of the researcher; to better understand a phenomenon or process; and to give voice to diverse perspectives. The present research fits well with Creswell’s criteria. Notwithstanding, a weaknesses of this design is that there is limited guidance available on how to use the transformative design to guide the methods. It can also be difficult to determine the movement between the first phase and the second phase (Creswell, 2009).

3.4 Overview of Research Setting and the Data Sources

Having laid out the rationale for the mixed methods sequential transformative research strategy, the focus now turns to the research setting and the data sources.

A single large University in New Zealand formed the context for the present study. Focus on a single university arguably limits the generalizability of this study to other academic institutions. However, a single setting is considered advantageous when studying the HRM process and micro-level HRM interventions (Alfes et al., 2013). Studying a single organisation is not uncommon. In fact, a number of recent studies are focused on single settings (e.g. Alfes et al., 2013; Den Hartog et al., 2013; Kehoe & Wright, 2013), and this coincides with HRM scholars' calling for research assessing micro-level HRM interventions. The use of a single setting is also justified on the basis that it has the advantage of reducing the complexity of the context (Allen & Wright, 2007) and it can retain the intended HRM system as a constant (Den Hartog et al., 2013).

The studied university can be characterised as an institution with a number of campuses and divisions. The divisions can be differentiated as general divisions and academic divisions. This study was conducted on the main campus and multilevel data was collected from the [1] HR division; and [2] two academic divisions, comprising multiple departments. The HR division (considered as a general division) in the main campus is the central division held responsible to develop university-wide intended HRM policies and practices. Within the university it was not uncommon to divide the employees into academic staff and general staff. This study focused on the intended HRM policies and practices offered to the academic staff group labelled as *Academics*. In this study, academics refer to all academic staff members holding the position of lecturer and above. The study excluded 'tutor', 'teaching fellow' and 'research assistant' jobs based on the applicability of the major HRM policies and practices. According to Arthur and Boyles (2007, p. 86) using smaller organisation units (for instance, two academic divisions) and focusing on specific core group (as in this case to Academics) "can help to improve informant reliability...by reducing ambiguity and as well information processing requirement for informants".

Common to most mixed methods research, multiple data sources were used to answer the research questions. The data sources comprise: [1] HR Managers from the HR

Division, [2] Heads of Departments (HODs) from the academic departments, and [3] faculty members from the academic departments. These multilevel data sources were selected using a mixed methods sequential (QUAL-QUAN) sampling procedure (Teddlie & Yu, 2007). Sequential (QUAL-QUAN) mixed methods sampling refers to the selection of units of analysis using a sequential purposive (qualitative) and probability (quantitative) sampling strategies. Like other mixed methods sampling, this technique allowed combining two different orientations (QUAL and QUAN) to generate complementary databases covering depth and breadth of information regarding the HRM process. Sequential sampling, using multilevel samples, is one of the most frequently used mixed methods sampling (Collins, Onwuegbuzie, & Jiao, 2007; Teddlie & Yu, 2007). Examples of this technique are available from other social and behavioural sciences studies (e.g. Nieto, Méndez, & Carrasquilla, 1999).

For the QUAL strand of the study, a purposeful sampling procedure was used to select the participants. Purposeful sampling is a non-probability sampling design typical for qualitative inquiries. Purposive sampling is confined to information rich cases with the objective of yielding the most information about the phenomenon under study (Bloomberg & Volpe, 2012; Sekaran & Bougie, 2010). According to Morse and Niehaus (2009), knowledge, information or experience is the first criterion required to make a qualitative sample appropriate. Using a purposive sampling strategy, that is criterion sampling, 12 senior members from the HR Division were selected for participation. The criterion sampling strategy, necessitate all participants to meet one or more criteria set by the researcher (Bloomberg & Volpe, 2012). The participants from the HR division had to meet the following criteria predetermined by the researcher of this study:

- All participants should belong to the senior HR team; and
- All HR managers should have a direct reporting relationship with the HR Director.

These criteria were seen important to address the first part of the conceptual framework. Senior HR members with direct contact with HR director were recognised as information rich cases with fair knowledge of the broader strategic environment and intended HRM strategies.

From the 12 senior HR leaders (identified from the HR Division webpage, found in the University website), 5 members self-selected to participate and of the 5 members, 3 were functional HR managers and 2 were divisional HR managers. Functional HR managers here refer to those HR managers responsible for different HRM functions such as recruitment, remuneration, and training etc. Whereas, divisional HR managers (DHRMs) refers to those HR managers assigned to academic divisions. Although all participants were members of the senior HR team, there were differences among them along the following parameters: gender; direct staff responsibility; length of time spent in present job, university, HR profession, public sector and private sector, refer Appendix 3A. The actual names and designation of the participants have been anonymised to protect the privacy of the participants. Participants will be referred to as HR Manager 1, 2, 3, 4, and 5 throughout this study.

Information from the first QUAL sample was used to design the QUAN strand. Based on the QUAL participation, only two academic divisions (Division A and Division B) were selected for the QUAN sample. These two divisions met the criteria of selection, i.e. the divisional HR manager should have participated in the QUAL strand of the study. This criterion was important as the study aimed to examine top-down devolution and enactment of HRM. The two divisions include multiple departments and employee groups of disproportionate number. The expected sample from the 2 divisions was 390. Initially the sample was framed using the university website but later it was supplemented by a list accessed through one of the divisional HR manager. The total accessible sample (after removing those departments and respondents who rejected to participation) equated to 322.

For the QUAN sample, a probability sampling procedure was employed. Unlike purposive sampling discussed above, probability sampling is primarily used for quantitative inquiry. Probability sampling involves selecting a relatively large number of units (referring to individuals or groups of individuals) from a population or specific subgroups (strata) of population with the aim of achieving representativeness (Teddlie & Yu, 2007). Accordingly, a stratified random sampling strategy was used with [1] Head of Departments (current or past) and [2] faculty members (without Head of Department experience) constituting the strata. As the name implies, stratified random sampling combines stratified sampling with random sampling, where stratification or segregation follows random selection of samples from each stratum (Sekaran &

Bougie, 2010). Stratifying the academics to two subgroups [1] Heads of Departments and [2] faculty members was important as the research questions (refer research question 4) demand making comparison among different stakeholders. Moreover, this strategy allowed: [1] obtaining more valuable and differentiated information, and [2] better representation of each group (Forza, 2002).

3.5 Overview of Research Design

The following diagram (Figure 3.1) summarizes the steps used to carry out this study. For each of these steps for data collection, an in-depth discussion under the heading *Data Collection Process* follows.

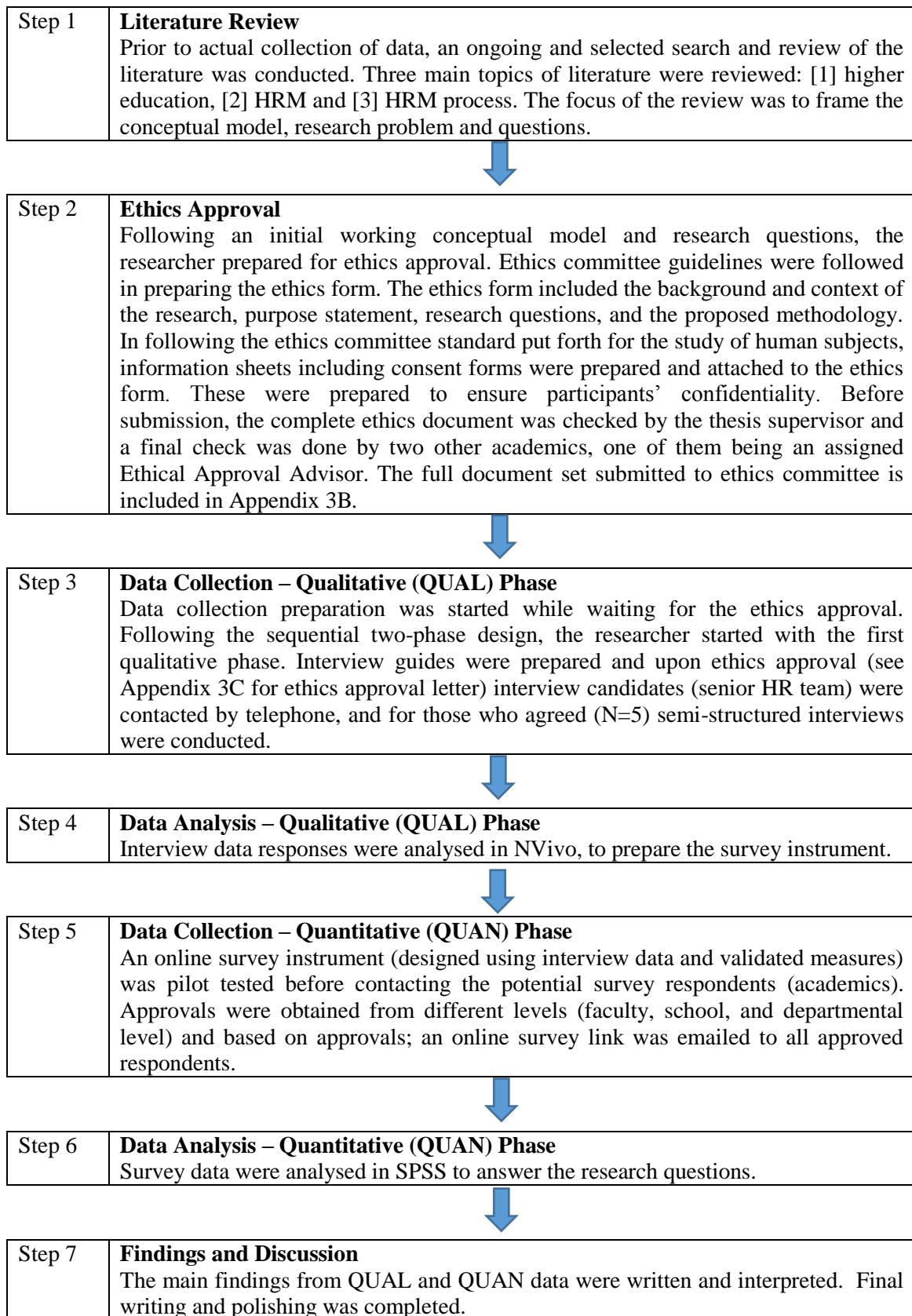


Figure 3.1: Steps used to carry out this Study

3.6 Data Collection Process

Figure 3.2 below provides an overview of the data collection process. This study combined qualitative and quantitative data collection methods to generate data of appropriate range and depth. It is recommended that qualitative and quantitative research should be used in concert to grasp complex concepts such as HRM (Kiessling & Harvey, 2005). The research interest led to the adoption of qualitative semi-structured interviews (with senior HR team) and quantitative online survey (with academics). In addition to interview and survey data, where appropriate, secondary data sources (such as policy documents) were also consulted. A comprehensive descriptive of the data collection process is provided below.

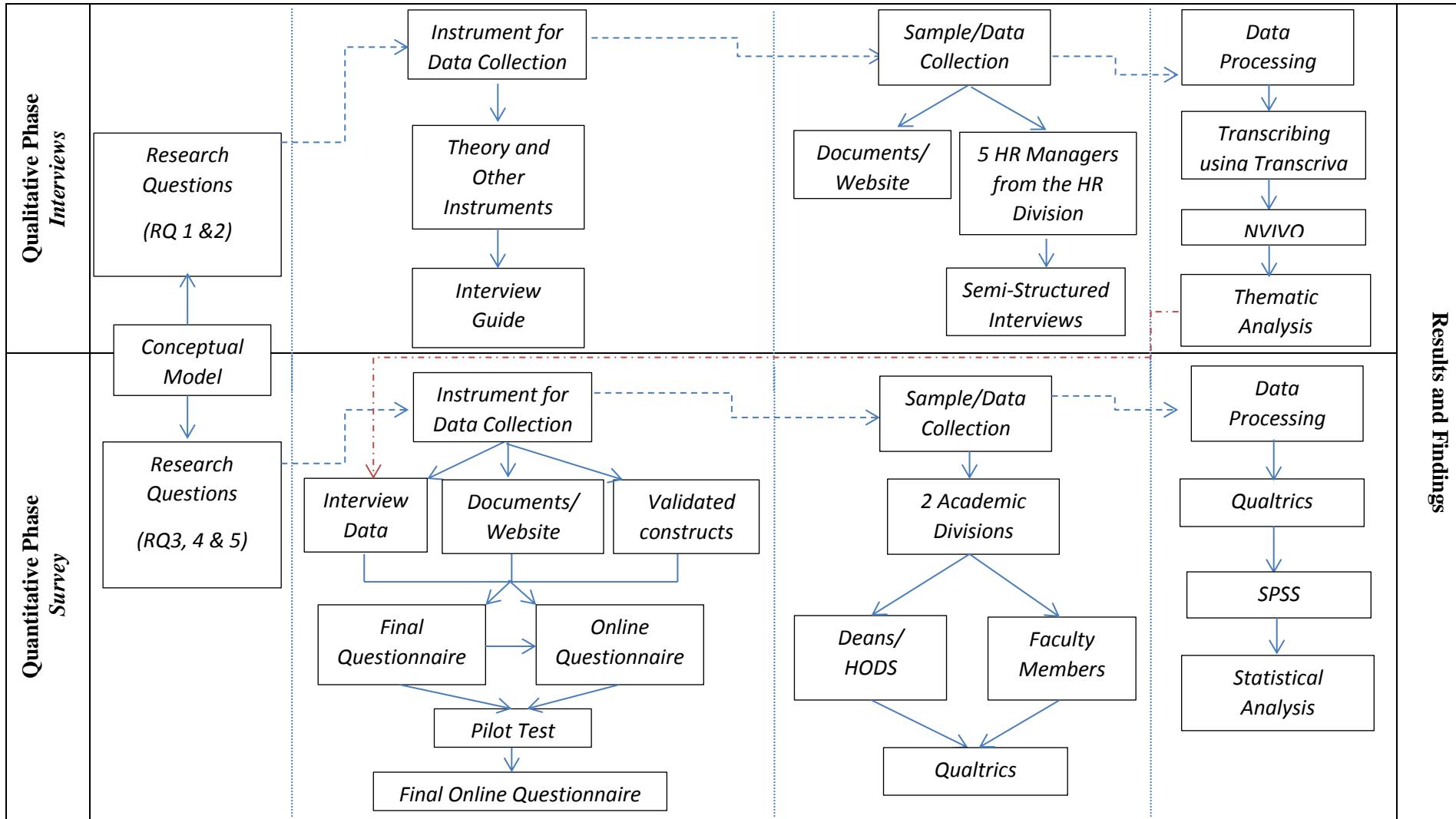


Figure 3.2: Data Collection Process

3.6.1 Qualitative Phase

The first part of the conceptual framework and research questions required a basic understanding of the institution and its existing context and processes. This requirement led to the selection of interview method. According to Seidman (2006, p. 10), interviewing is the “primary way a researcher can investigate an educational organisation, institution, or process” as it provides access to experience of people or others who make up the organisation or carry out the process. Specifically, interview method was felt to be of most use because it: [1] served as an exploratory tool (Sekaran & Bougie, 2010) to understand HRM context and strategies; [2] enabled eliciting in-depth data (Tharenou, Donohue, & Cooper, 2007) about the HRM policies and practices which precede to help with survey design (discussed under quantitative phase). Besides, interview method was preferred as Gratton et al. (1999) suggested that collecting in-depth qualitative data was preferable to questionnaire data when it comes to senior HR people.

Interview is a specific form of conversation and interaction between an interviewer and interviewee with a specific structure and a purpose (Kvale, 2007). Interviews could take different forms, for example tightly structured to unstructured interviews. The form adopted here falls in the middle of structured-unstructured continuum that is semi-structured form. Semi-structured interviews “comes close an everyday conversation” but “it is neither an open everyday conversation nor a closed questionnaire” (Kvale, 2007, p. 11). Semi-structured interviews can offer greater flexibility than structured interviews and better focus than the unstructured interviews (Tharenou et al., 2007). Benefit of flexibility and focus makes this approach more appropriate for this exploratory phase.

Although interviews have certain strengths there are various limitations and challenges associated with this method. First, interviews take a great deal of time. Second, it is always subject to interviewer bias. Third, it requires making contact with potential participants whom the researcher has never met and not all may be equally cooperative. Finally, difficulties in accessing participants and the time negotiation process in itself could be a challenge (Jabbour et al., 2010; Lillis, 1999; Seidman, 2006).

As there is no standard procedure for conducting an interview, the researcher (also the interviewer) tried following the seven stages of interview inquiry by Kvale (2007).

These comprise: thematising, designing, interviewing, transcribing, analysing, verifying and reporting

Stage 1: Thematising involves clarifying the [1] purpose and the [2] themes of the study. This clarification was important prior to designing the interview questions. The researcher used the conceptual framework and research questions as a guide to determine the interview themes. Theoretical literature was used extensively to structure the interview themes coherent with conceptual framework (Appendix 3D presents the themes explored in creating the interview questions). In addition to theory, other available documents (such as the vision statement) and information found in the university website (e.g. HRM policies) were analysed before the finalising the interview questions.

Stage 2: During the designing or planning stage, the researcher took consideration of the following: [1] interview guide, [2] clarity of the interview questions, [3] ethical issues [4] recruiting participants (interviewees), [5] conducting the interview.

Interview Guide

After thematising process, all the themes were compiled to create the interview guide. Using the themes, full questions were written in full to avoid any leading questions (King & Horrocks, 2010). The questions represented a mix of demographic, knowledge, and opinion/value questions. Complex opinion questions were designed to elicit scaled responses. Cue cards were prepared to present these complex questions. All the questions were then grouped by topic and all the simple, important questions were placed at the start of the guide whereas the demographic/background questions were listed last. This order was maintained as background questions arguably are less likely to be affected by interviewee fatigue (Frey, Oishi, & Oishi, 1995). In addition, transition statements were introduced to alert any change in topic plus all the instructions to participants were capitalised to assist the researcher. The order and phrasing of the questions were changed several times before the final version. The final interview guide is included in Appendix 3E.

Clarity of the interview questions

Clarity of the questions was of utmost importance, thus two academic supervisors (including the supervisor of this research) were asked to review and provide feedback. Based on their comments some of the questions were reworded and the interview guide

was shortened to prevent interviewee fatigue. After incorporation of all the comments and upon supervisor approval, a face-to-face pilot interview was conducted with a practicing HR fellow. The interview was expected to last for 40 to 60 minutes. It is not uncommon to obtain interviews of 60 to 90 minutes in length (Frey et al., 1995).

The pilot interview was useful as it facilitated: [1] identifying difficult and ambiguous questions; [2] recording the time taken to complete the interview (55 minutes); [3] obtaining an HR practitioners opinion about the content of the interview; and [4] obtaining advice on how to conduct interviews. The pilot interview also served as a practicing ground which helped in building researcher confidence (Edwin van & Hundley, 2002). The pilot interview was excluded from the main study.

Ethical Issues

Interview can be “saturated with moral and ethical issues” (Kvale, 2007, p. 23), hence ethical issues was of concern to the researcher from the beginning. Researcher took note of ethical concerns when preparing the participant information sheet and the consent form. Potential benefits of the study; use and access to interview data; confidentiality; anonymity of the participants; and the right to withdraw were particularly addressed. These were also articulated in the *interview briefing*. Interview briefing simply refers to introductory statements made at the start of the interview, where the interviewer defines the purpose and use of voice recorder and so on (Kvale, 2007).

Recruiting Participants

Gaining access to participants was a major concern at the near end of the planning stage, as the interviewees (being senior HR managers) were expected to be busy. Initially, the researcher attempted to gain access through a telephone invitation and this proved successful in accessing some of the participants. For those contacted via telephone, the researcher managed to brief thoroughly about the study and answer any questions raised. At the end of the telephone calls, information sheets (refer Appendix 3B for Information Sheet for Interview Participants) were emailed to these participants.

An Insider’s assistance was sought after the initial effort. The insider, a trusted colleague of the participants, assisted in circulating the invitation emails and the information sheets. The five members who agreed to participate were communicated by

email to set an appropriate date and time for the interview. Day, timing and venue were fixed according to participants' preference.

Conducting the interview

Special forethought was given on how to start and finish the interviews. A set of documents (including [1] interviewer copy of the interview guide; [2] interviewee copy of the interview guide; [3] cue cards (see under the heading *Interview Guide*); [4] consent form, refer Appendix 3B for Consent Form for Interview Participants) was prepared for each participant. With the document files, two tested digital audio recorders and stationary for note-taking was set aside. Two recorders were utilised to provide for any unanticipated technical failures with the recorder, recording failure, poor recording quality, and for any incidental deletions during the file transferring. Note-taking was also seen essential for situations where participant(s) refuses recording.

Stage 3: The interviews took place in March 2014. All the interviews were administered by the researcher. A reminder email (attached with the Interview Guide) was sent to all participants one day prior to the interview.

Interviews could be tiring to both the interviewer and interviewees (King & Horrocks, 2010), thus no more than one interview was scheduled per day. The interview length varied from 48 minutes to 1 hour 59 minutes (see Appendix 3F). All the interviews were introduced by the briefing (mentioned earlier, see under Ethical Issues). This made sure that the participants' understanding matched the interviewer from the start. This also aided in building a good rapport with the participants.

Written consent was obtained before the actual interviewing. Based on consent, a copy of the interview guide was handed to the participants and the voice recorders were then switched on for recording. Throughout the interview, the researcher followed the interview guide as a facilitating tool. The readied cue cards were passed when discussing the complex opinion questions which required scaled responses. Scaled responses in the cue cards were mainly filled by the participants and all the cards were collected at the end of the interview. Probing was used when necessary as it helps adding "depth to interview data" (King & Horrocks, 2010, p. 53). As well, to obtain complete participation, the researcher listened attentively, made relevant notes, and checked on participant fatigue.

For questions about *academics* (refer to definition provided earlier), holding the interviewee focus towards this selected group was a major challenge during the interview. When answering, often the interviewee focus diverted to other employee groups, for instance general staff. The interviewer being cautious, reminded the interviewees whenever the discussion side-tracked to include other employee groups.

Demographic information were collected at the end and all interviews were concluded by a *debriefing* that is asking if the participants had anything more to say (King & Horrocks, 2010; Kvale, 2007). Interview notes and cue cards for each participant were labelled and filed for later reference. All the audio clips were named after it was downloaded to password-secured computer. Additionally, for the researcher's own reference an interview summary form and a control sheet for each participant was maintained (see Appendix 3G).

Stage 4: All the interviews were transcribed by the researcher using the transcription software *Transcriva* (see Appendix 3F for transcribed date). All transcriptions were consistently designed to show the [1] time span and the [2] content (showing the interviewer questions/statements and the interviewee responses). The transcriptions excluded the cue card responses (discussed earlier), they were treated separately and entered into an excel workbook, see Appendix 3H for the data summary tables.

Inaudible (or unclear names) and technical jargons together with participants' pace of response (talking too fast) became transcribing barriers. The researcher managed to resolve the issue of response pace by adjusting the audio speed function available in the Transcriva software. The inaudible content was identified but no tidying up attempt was done to prevent any threats to the quality of transcription.

Stage 5: All the transcribed transcripts were analysed to produce a list of themes. Themes refer "to patterns in the data that reveal something of interest regarding the research topic at hand" (King & Horrocks, 2010, p. 149). Thematic analysis approach was used to identify these themes. Braun and Clarke (2006) defined thematic analysis as a flexible method for "identifying, analysing and reporting patterns (themes) within data" (Braun & Clarke, 2006, p. 79).

For thematic analysis, [1] list of themes and the [2] procedures followed in developing that list becomes mutually important. A list of *semantic* themes was generated after analysis of the interview data. Semantic themes refers to themes "identified within the

explicit or surface meanings of the data”, and in developing these themes the researcher avoids going “beyond what a participant has said or what has been written” (Braun & Clarke, 2006, p. 84). To advance these themes a basic system proposed by King and Horrocks (2010) was adopted. Coding and categorisation was central to this system. According to Kvale (2007, p. 105) coding “involves attaching one or more keywords to a text segment in order to permit later identification of a statement, whereas categorisation entails a more systematic conceptualisation of a statement, opening for quantification’.

Following King and Horrock's (2010) work, descriptive codes were initially developed. Descriptive coding is identifying any data that is likely to be of help in addressing the conceptual framework and the research questions. Initially printed transcripts were coded manually using coloured highlighters, however, half-way through the process the researcher found it more convenient to use qualitative analysis package NVivo. NVivo allowed the researcher to code text while working at the computer and to retrieve the coded text. For NVivo coding is established through nodes (Bryman & Bell, 2007). Apart for creating codes (nodes), researcher used NVivo, for example to run *word queries* or to identify *coding stripes* (i.e. areas of text that was coded).

All the descriptive codes were labelled using single words and short phrases. Once the comprehensive list of descriptive codes was developed, *second* stage of interpretative coding was initiated. Interpretative codes were redefined and reapplied as the process of coding proceeded. *Third* and the last stage involved defining overarching themes reflecting the key concepts of the analysis. Full details of identified codes (descriptive, interpretative and overarching themes) are provided in Appendix 4C. Moreover, the three stages are summarised and illustrated in Figure 3.3 below. Here the stages are described separately, though it is important to note that in reality these stages were more interlocked and iterative.

Stage 1	Descriptive coding	This was the data familiarisation stage where initial (descriptive) codes were developed. All the codes were described using single words (e.g. budget) or short phrases (e.g. formulation of HRM Strategy).
Stage 2	Interpretive coding	Descriptive codes were clustered according to the common meaning they shared. For instance, two descriptive codes <i>Financial</i> and <i>Political/Legal</i> were clustered under interpretative code <i>External</i> .
Stage 3	Overarching themes	Building on theoretical and practical stance, interpretative codes were analysed to derive key themes. For example, the key theme <i>Environment</i> was derived from two interpretative themes <i>Internal</i> and <i>External</i> .

Figure 3.3: Stages of Thematic Analysis

Stage 6: The question of how to verify or ascertain the trustworthiness of the interview findings was significant throughout the qualitative phase. Trustworthiness is a qualitatively driven term referring to the more traditional quantitative issues of [1] validity (degree to which something measures what it purports to measure), [2] reliability (stability or consistency of measures) and [3] generalizability (Bloomberg & Volpe, 2012; Creswell, 2009; Kvale, 2007). Some qualitative researchers objecting to these quantitative terminologies prefer using the terms credibility, dependability, and transferability. The trustworthiness criteria and the provisions employed to meet these criteria during this phase of the study is discussed below.

Credibility (in preference to validity) determines whether the findings are accurate and credible from the standpoint of the researcher, the participants, and the reader (Creswell, 2009). To meet this criterion, special thought was given during the research design and interpretation stages. For instance, interview method was adopted as it is well established and successfully utilised in other comparable projects. To enhance credibility of the interview findings, the following strategies (suggested by Bloomberg & Volpe, 2012; Creswell, 2009; Shenton, 2004) were employed.

1. Before the interviews, an early familiarity with the university was developed. This was achieved by consulting appropriate documents and the university website.
2. Scrutiny of the project was welcomed at different stages of the study. Continuous feedback was sought (e.g. for the interview guide) from the supervisor of this research and other academics.
3. To ensure participant honesty, each participant was given the opportunity to refuse. Each participant was informed of their right to withdraw from the study. This was accomplished using the interview information sheet and the introductory briefing. This was seen important to ensure that the data collection involved only those who were genuinely interested to take part and willing to offer data freely.
4. Member checking was done to exclude the researcher biases and to determine the accuracy of the findings. Some checks relating to the accuracy took place during the second round of the interview (for HR Manager 4 and 5). Another check was done during the survey development stage (see under Quantitative Phase, *Measurement* and *Step 3*). A list of HRM policies and practices identified from the interviews, included in the questionnaire, was shown to an interviewee for confirmation on the accuracy of the policies and practices.

Dependability parallels the criterion of reliability in quantitative research. It is suggested that the reliability of qualitative findings should be assessed differently from that of quantitative findings (Sekaran & Bougie, 2010). For quantitative researchers reliability is all about replication of the findings whereas, for qualitative researchers the more important question becomes whether the findings are consistent and dependable. To address dependability it is vital to report the processes and procedures used to collect and interpret the data. Thus, it became incumbent on the researcher of this study to provide detailed and through explanation of the data collection and analysis process. The section on *Qualitative Phase* is devoted to describe the interview data collection and analysis process.

For the interview data (collected from a total of five participants) generalizability was never an intended goal. Instead the particularity and *transferability* was of interest. Transferability refers to the ‘fit or match between the research context and other

contexts as judged by the researcher' (Bloomberg & Volpe, 2012, p. 113). Towards this end, sufficient contextual information about the research setting and the fieldwork is provided. There is no agreement on the nature and extent of background information that should be offered (Shenton, 2004). This study, following the work of Shenton, provided the following information:

- a) number of organisations taking part in the study ($N=1$) and where it was based (New Zealand);
- b) any restrictions in the type of people who contributed data (see criteria set for the participants);
- c) who carried out the fieldwork (researcher);
- d) the data collection methods (i.e. interview and questionnaire survey) that were employed;
- e) the number and length of the data collection sessions; and
- f) the time period over which the data was collected.

Stage 7: Finally in the reporting stage, part of the interview findings were used to construct the survey questionnaire (discussed below) and all the relevant findings were written down in the results section (see Chapter 4).

3.6.2 Quantitative phase

At the start of this phase, there existed greater clarity of the research context and the research subjects (or data sources) from whom the quantitative data was to be collected. Two academic divisions (Division A and Division B) were selected for quantitative inquiry (discussed earlier, see *Overview of Research Setting and the Data Sources*). After considering the [1] conceptual framework and the research questions; [2] number and type of research subjects (i.e. large number of busy academics); [3] qualitative findings; and [4] time and cost available for the research, an online survey design was adopted.

A survey is a system for collecting data to describe, compare or explain knowledge, opinions, and behaviour (Easterby-Smith, Thorpe, & Jackson, 2008; Fink, 1995). A survey was considered ideal to collect opinions and behaviour of large number of busy academics. After considering several survey options the researcher opted to conduct an online survey. Online surveys have gained significant popularity over the years and one

of the reasons could be the ease of Internet access (Bryman & Bell, 2007; Fan & Yan, 2010; Fang, Wen, & Pavur, 2012). Online surveys can be categorised in to e-mail survey (survey administered by e-mail) and Web survey (survey administered via the Web) of which the latter was administered in this study. In a Web survey prospective respondents are invited to visit a webpage where a questionnaire can be found to be completed online (Bryman & Bell, 2007).

Preference was given to a Web survey due to the several advantages present in it (Bryman & Bell, 2007; Easterby-Smith et al., 2008; Fan & Yan, 2010; Forza, 2002). First, it enabled shorter transmitting time and low delivery cost. Second, it guaranteed respondents anonymity and permitted answering based on respondents' convenience. Third, the interactive Web design options offered several advantages (for example, [1] use radio buttons, drop-down boxes, and screen-by-screen survey layout, [2] personalize to different respondents (e.g. to HODs and faculty members) using skip-logic and conditional branching, and [3] set a force response validation). Fourth, it permitted logging all replies and later downloading the entire data directly into analysis programmes (Excel and SPSS). This not only saved the data entry time but also reduced chances of data processing errors.

Despite the advantages, researcher was aware of various limitations from using a Web survey. One major concern was the response rate. Response rate is defined as the number of completed units divided by the number of eligible units in the sample (Fan & Yan, 2010). According to Fan and Yan the average response rate for Web surveys is 11 percent lower than that of other survey methods. Further, several researchers have also noted a trend of declining response rates over the years (Anseel, Lievens, Schollaert, & Choragwicka, 2010; Fan & Yan, 2010).

When determining the factors affecting response rates, access to internet resources or computer literacy was not an issue of concern to the researcher. This is because the studied university provided modern communication technology to their academic staff and the academic staffs in their position were believed to have computer literacy. However, survey fatigue, motivation and divisional level reforms were observed to affect the response rate. High degree of survey fatigue was expected as the academic staffs receive surveys on a frequent basis, for example institutional feedback surveys or student surveys. Motivation to respond was anticipated to be low as the academic staffs

are busy professionals assigned with multiple responsibilities of teaching, research and service. Lower motivation was also presumed as the survey got released few weeks after a semester examination. Likewise, reforms introduced within divisions were expected to affect the response rate. Low response was particularly projected from Division A as the division was preparing for a number of reforms at the time of the survey. During this time multiple emails were exchanged between management and staff providing with feedback and suggestions.

Taking consideration of the different response factors, the survey process followed by the researcher is diagrammatically depicted below. A detailed discussion of each step follows the diagram, see Figure 3.4.

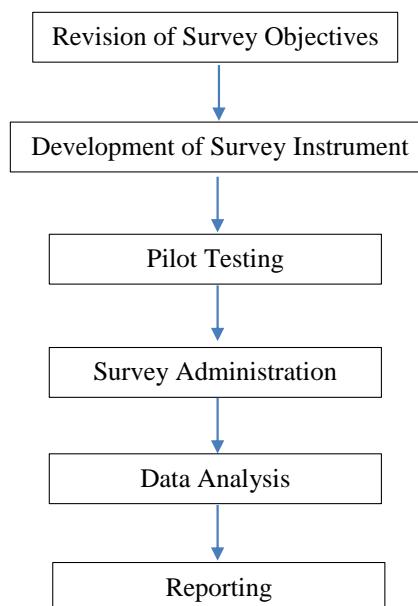


Figure 3.4: Survey Process

Step 1: The survey objective was revised by consulting the conceptual framework and the research questions. Similarly, the findings from the qualitative phase and policy documents were taken into account.

Step 2: Considerable time was spent on design and development of the survey. The key aspects considered during this phase include: [1] writing (implying to content; question type and format, wording; and sequencing of the survey questions); [2] measurement (here refers to response formats and assessment of reliability and validity); and [3] general appearance of the survey.

Writing

At the end of step 1, researcher was determined of the survey content and the kinds of questions to ask. A question bank was established and the purpose of each question was compared to the conceptual framework and the research questions. At the same time, a literature search was done to obtain validated measures/scales for some concepts of interest (e.g. visibility, relevance). These concepts were identified as important during the course of the qualitative phase. For these concepts, items validated and used by other researchers were adopted (Appendix 3I provides a list of previously validated measures used in this study, according to the concepts and studies used).

A survey instrument or the questionnaire (initially in paper format) was designed with a mix of questions representing interview data and validated measures, see Table 3.1 below.

Table 3.1: Interview Data and Validated Measures used in the Survey Instrument

Interview data	
Operationalised HRM	Operationalised HRM was measured using information gathered from interviews and partly from HRM policy documents available in the studied university website. A total of 18 practices identified were listed. For example, ‘Academic promotion and progression’ (See Appendix 3J for the full set of items). Using the same list two different questions were asked for the HODs and other for faculty members. The internal consistency of the HOD rated items (Cronbach’s alpha = 0.722) was acceptable and the faculty rated items (Cronbach’s alpha = 0.915) was high.
Perception of HRM	Perception towards HRM was again measured using the interview data. The same list of 18 items compiled for Operationalised HRM was used. Perception was examined using measures of importance, effectiveness, and HRM satisfaction. Importance and effectiveness measures were adopted following the work of Wright, McMahan, et al. (2001) and Ulrich (1997). HRM satisfaction measure is based on the work of Khilji and Wang (2006). The internal consistency of the importance (Cronbach’s alpha = 0.763), effectiveness (Cronbach’s alpha = 0.861) and HRM satisfaction (Cronbach’s alpha = 0.838) measure were high.
Validated Measures/Scales	
Communication quality	Communication quality was measured using a 4-item scale. The scale adopted three items from Den Hartog et al. (2013), see Appendix 3I. The scale was modified to fit the study and an additional fourth item was added during the pilot study phase. An example item is ‘My HOD provides me sufficient amount of information on HRM policies and practices’. Refer Appendix 3K, for full set of items. According to Den Hartog et al. (2013), communication quality scale has a good internal consistency, with a Cronbach alpha coefficient reported of 0.79. In this study the Cronbach alpha coefficient was 0.785. <i>Note:</i> the Cronbach alpha value excludes the additional item (fourth item). This item was removed due to low values (less than 0.3) indicating that the item was measuring something different from the scale as a whole.
Visibility	Visibility was measured with a 4-item scale adopted from Delmotte, De Winne, and Sels (2012), see Appendix 3I. Refer Appendix 3K for the modified set of items. The third item was negatively worded and it read ‘In my view the HR Division works too much behind the scenes’. In their work Delmotte et al. (2012), indicated a good internal consistency for the visibility scale, a Cronbach alpha coefficient of 0.71 was reported. In this study the Cronbach alpha coefficient was 0.781.
Relevance	Relevance was measured with a 3-item scale developed by Delmotte et al. (2012), see Appendix 3I, and Appendix 3K for the modified set of items. Last two items were reversed and it read [1] ‘In my view many of the HRM practices introduced by the HR Division are useless’ and [2] ‘I often wonder about the usefulness of specific HRM practices’. For relevance, Delmotte et al. (2012), reported a good internal consistency, with a Cronbach alpha coefficient of 0.75. In this study the alpha value was 0.861.
Job Satisfaction	Job satisfaction was measured with a 3-item scale adopted from Bowling and Hammond (2008). No modification was made to the items. The second negatively worded item read ‘In general, I don’t like my job’. For complete set of items refer Appendix 3I. According to Bowling & Hammond (2008), job satisfaction scale has good internal consistency, with a Cronbach alpha coefficient reported of 0.84. In this study the Cronbach alpha coefficient was 0.802.

All the questions, except for one (see Appendix 3J, question 14), were closed questions. Closed questions, asking the respondent to make a choice among a set of alternatives (Sekaran & Bougie, 2010) were used to [1] assist respondents to make quick decision and also for the [2] ease of coding and analysis for the researcher. From the closed-ended questions, a few items were negatively worded, refer Table 3.1 above. According to Sekaran and Bougie (2010) a good questionnaire should include both positively and negatively worded questions to remain the respondents involved and alert while answering the questions. The language and wording was revised several times between step 2 and step 3 to ensure its appropriateness to respondents. This was intended to minimise measurement errors. Fan and Yan (2010) claim poor wording leads to question misinterpretation, inaccurate answers, and reduced respondent motivation to complete the survey. Apart from wording, the sequence of questions was changed to help respondents to progress through the questionnaire with ease. All general questions (i.e. demographic questions such as gender, age) were placed first, followed by questions [1] specific to HODs, [2] specific to faculty members and [3] common to both HODs and faculty members.

The finalised questionnaire included two parts. The first part was designed to include [1] the explanatory statement (confidentiality statement and informed consent); [2] instructions for completion; [3] the information sheet for the participants (prepared during the ethics approval, refer Appendix 3B). The second part, the major content sections were divided as follows: [1] Demographics; [2] Department Level Implementation (HOD); [3] Department Level Implementation (faculty member); [4] Individual Perception and Satisfaction; [5] Overall Job Satisfaction (refer to final questionnaire in Appendix 3J).

Measurement

While writing the questions, comparable attention was given to response formats. Different kinds of measurement scales (consisting of category scales and continuous scales) were determined as appropriate for recording responses. These scales were selected for all questions excluding the open-ended question.

Nominal scales (a category scale) were used to classify the respondents to different categories or groups, for example male and female (refer Appendix 3J, question 3).

Nominal scale was also utilised with a dichotomous scale to elicit a Yes or No answer (for example, refer Appendix 3J, question 11 and 12).

Continuous *interval scales* were adopted for the majority of the questions. Interval scale with 5-point itemised rating scales and 5-point Likert scales were applied. Five-point scales were found appropriate as research indicates that the utility of points greater than five does not improve the reliability of the ratings (Elmore & Beggs, 1975; Lissitz & Green, 1975). *Itemised rating scale* provided the [1] flexibility to use many scale points and the [2] possibility to use different anchors (for example Not at All Important to Highly Important *OR* Not at All Satisfied to Highly Satisfied). *Likert scale*, with five-points was used to examine how strongly the respondents agree or disagree, the anchors read Strongly Disagree to Strongly Agree (refer Appendix 3J, question 17, 19, 21, 22).

The other important aspects considered throughout the survey measurement phase were the validity and reliability of the survey instrument. Testing validity was essential to confirm that the survey questions measured what it set out to measure (Litwin, 1995). In seeking to establish validity, first measures validated and used by other researchers were adopted. Second, the survey instrument was assessed for face validity and content validity during the pilot testing phase (discussed below).

Face Validity, a casual assessment of instrument appropriateness (Litwin, 1995) was obtained by showing the questionnaire to two PhD students. As some researchers do not treat face validity as a valid measure for validity (Litwin, 1995; Sekaran & Bougie, 2010), content validity was established. *Content validity* assessment involve reviewing of the instrument by someone with content knowledge (Litwin, 1995), thus three experts with HRM knowledge were consulted (refer to *Step 3* discussed below).

Reliability, which is equally important to validity, indicates the “stability and consistency with which the instrument measures the concept” (Sekaran & Bougie, 2010, p. 161). No survey instrument can be perfectly reliable; however, with the aim of demonstrating reliability the researcher selected previously validated measures with high internal consistency (i.e. are the items' responses consistent across constructs?). To determine internal consistency, a perfectly adequate index of inter-item consistency reliability, Cronbach's coefficient alpha (Sekaran & Bougie, 2010) was considered in selecting the measures. All measures carefully chosen to have Cronbach's coefficient alpha values greater than or equal to 0.70 (refer Appendix 3J and Table 3.1).

Cronbach's values more than or equal to 0.70 are generally accepted as representing good reliability (Litwin, 1995).

General Appearance of the Survey

After all issues related to writing and measurement was addressed, more focus was directed to make the survey attractive to the respondents. Complete survey was entered in to Qualtrics, an easy-to-use online survey tool. Qualtrics presented all Web design options deliberated under the advantages of Web Survey. Using the interactive design options, different item styles (e.g. Multiple Choice- Single Answer; Multiple Choice-Select Box; Matrix Table with scale points; Side by Side with Drop down Menu) were selected. Likewise for easy readability: [1] colour scheme was applied to the anchors; [2] section headings were capitalised; and [3] key words in the questions were underlined.

Step 3: Once the final survey questionnaire was ready in paper and online format, a pilot test was performed to validate the instrument. Work on pilot study was conducted between late May and early June 2014. Four main groups of people were approached for the study: [1] easily accessible graduate student colleagues (currently doing PhD); [2] content specialists with HRM knowledge; [3] design specialists with knowledge of survey instrument design and Qualtrics; [4] Respondents (Academics) for whom the survey was designed. A total of nine members contributed, they include:

- a. two PhD students;
- b. three content specialists: [1] Senior Lecturer with teaching and research experience plus appropriate publication in HRM; [2] practicing HRM fellow; and [3] an HR Manager (one of the interviewees);
- c. two survey design experts: [1] a Professor teaching survey design; and [2] a Senior Lecturer familiar with Qualtrics; and
- d. two respondents (academics) for whom the survey was designed. Please note, the Senior Lecturers and the Professor (mentioned in point b and c) could also be classified as respondents.

First, questionnaire (in the paper format) was forwarded to the second and third group for review. These members did not respond, rather judged it for readability, clarity, and pertinence of the items. Based on these members advice, few modifications were made and the major changes are listed below.

1. Length of the survey - referring to the number of questions, pages, screens and the time for completing the survey (Fan & Yan, 2010) was improved. Initial expected completion time of the pilot survey was 30 minutes. The reviewers found this too long for busy academics. As the length of the survey is found to have a negative influence on response rates (Roth & BeVier, 1998; Yammarino, Skinner, & Childers, 1991), based on the reviewers advice some of the survey questions were combined. For instance, three separate questions on perceived importance, effectiveness and HRM satisfaction were combined to form one question with different response categories. This was possible as all three questions shared the same list of items.
2. Previously validated scales were modified to fit this study, refer Appendix 3K. When doing this researcher knew that modification may not hold the original validity and reliability of the measures, thus validity and reliability should be re-established for the newly adapted measures. This was taken into consideration during the data analysis stage.

After the modifications, survey instrument was resubmitted (in online format) to the same group (excluding HR Manager). Again these members were encouraged to give suggestions for improvement. Minor changes were made before an online survey invitation was circulated to 7 members (not including HR Manager and Design specialist in Qualtrics). All seven members responded and some members attempted the survey twice. The completion time for the final survey (less than 15 minutes) was determined after consideration of the response time of these members. All recommendations were incorporated in the final version of the survey.

Step 4: As soon as the final version of the survey was developed and tested in Qualtrics, the focus shifted towards survey administration. The two major concerns of the researcher at that point were: [1] how to contact the respondents, and [2] how to obtain a high rate of return in the absence of incentives, as no incentive was offered. How the researcher approached these concerns is detailed below. The approach reflects the suggestions made by Schaefer and Dillman (1998); Fan and Yan (2010); and Anseel et al. (2010).

In order to make the initial contact, first a list of Deans/HODs in the two sample Divisions was drawn using the University website. The list comprised their contact

email address and numbers. Second, an email invitation letter was designed for these members (refer Appendix 3L). Note, in spite of the ethics approval, the invitation letter requested for Dean/HOD consent. For all Schools and Departments permission was attained (either from Dean, Head of Department or Departmental Manager) before approaching the respondents.

A separate email folder exclusively to be used for the study was created and the first round of contacts with the Deans/HODs was made on June 16, 2014. Each email was personalised (with personalised email address and personalised salutation) and this was done with the intent of higher response rate (Yammarino et al., 1991). For the first round few Deans/HODs responded and granted approval to access the other respondents. Some HODs requested for extra time considering the busy schedules faced at the end of examination period (refer to previous discussion on response rate). In circumstances where the researcher found it difficult to attain approval (for instance, Dean or HOD was on leave) then Departmental Manager was contacted. After four days, follow-up telephone calls were made, however, with numerous attempts this was found unsuccessful as most of the calls were unanswered or answered by a secretary who took note of the call. As the number of contacts is one of the ways to enhance response rates (Fan & Yan, 2010), researcher made a second round of contact via email. In total three emails were circulated (first invitation email plus two reminder emails) with a 7-10 days gap. The reminder emails encouraged the respondents to participate and at the same time thanked respondents who might have completed the survey prior to the reminder.

As soon as the permission was received from the Deans/HODs, contact was established with the faculty members. How they were contacted depended on the approval obtained. Some approvals permitted accessing the respondents directly while the rest had to be accessed through a gatekeeper (mostly Departmental Managers or Executive Secretaries). For direct contact approvals, researcher relied on an online list of contacts available from each department's staff directory. This list was crossed checked with the list accessed through the Divisional HR Manager (discussed previously). Similar to Deans/HODs, new email folders with department names were created for the direct contacts and tailored email invitations were sent. The invitation for the faculty members were similar to HODs except the statement requesting for approval to access was removed. For schools/departments where a gatekeeper was used, gatekeepers were

briefed about the purpose of the research and who the respondents should be. Regardless of the briefing, for ease of circulation some gatekeepers circulated the invitation using the common staff group email. This was problematic as members excluded from the sample (i.e. research assistants, teaching fellows) responded to the survey.

The survey administration was extended from 16 June till 1st of August, 2014. During this period, researcher:

1. Responded to all inquiries and clarifications made by the respondent/gatekeepers by email or telephone.
2. Kept track of the dates for reminder emails.
3. Followed on all error messages. When realising that the respondents email address resulted in error, the researcher used an alternative email address, identified from the staff directory or by contacting the relevant Department.
4. Kept record of the automatic reply messages. Often the researcher got automatic reply messages and these notified the researcher of respondents' absence, leaves etc. These messages were taken into account to determine the total accessible sample.
5. Acknowledged respondents and gatekeepers. Any respondent who provided with constructive feedback, criticism or emailed after completing the survey were thanked. Finally, gatekeepers were acknowledged after every email circulation.

By end of this phase, total of 132 questionnaires were answered within 46 days, totalling an observed rate of return of approximately 40%. This return rate can be considered satisfactory within the context of organisational research. Recent studies conducted at the organizational level (seeking responses from organizational representatives) suggest a benchmark of approximately 35-40 percent (Baruch & Holtom, 2008).

Step 5: Before initiating data analysis some initial reports (built within Qualtrics) were generated to get an overview of the data. After this the entire survey data set was downloaded into SPSS and this saved the data entry time. Prior to analysis data was screened and cleaned, this involved removing respondents outside the sample group, for instance Research Assistants or academics outside Division A or B. Once the data set

was checked for accuracy, the data set was analysed through various statistical procedures. This included [1] preparing descriptive statistics, [2] reversing the negatively worded items, [3] assessing normality; [4] checking the reliability of the measures/scales (see Table 3.1); and [5] exploring the differences between groups. Full details on analysis and outcomes of the analysis are provided in Chapter 4.

Step 6: Finally, all the analysed data were interpreted and this is reported in Discussion Chapter.

3.7 Ethical Consideration

The ethical considerations made by the researcher have been highlighted throughout the above discussions. The topic is readdressed here as ethical issues is of highest concern to any research study (Bloomberg & Volpe, 2012; Tharenou et al., 2007). Although no serious ethical issue was anticipated for this study the following safeguards were employed to protect the rights of the interview participants and survey respondents.

1. Ethical approval was obtained from the ethics committee prior to any data collection.
2. Information sheets and explanatory statements (included in interview guide and online questionnaire) were provided for both interview participants and survey respondents.
3. Written consent was obtained from interview participants whereas, for survey respondents informed consent was indicated before they selected to continue to the first page of the survey.
4. All collected data were managed and handled carefully to preserve confidentiality. All the interview transcripts and written consent forms were stored in locked drawers. Nobody other than the researcher and research advisor of this study had access to the collected data. Further to safeguard confidentiality all names and/or other significant characteristics of the studied organisation were anonymised.
5. Cautionary measures were taken prior to use of different survey and analysis tools (NVivo, SPSS, Qualtrics). Researcher attended training sessions and sought help from experts.
6. When writing the findings researcher avoided fabrication or falsification of data.

3.8 Limitations of the Study Design

One of the key limitations was that interviewees may have had difficulty concentrating on the HRM policies and practices intended for academics.

Another major limitation was the release of survey at a time when respondents were known to be busy. This decision was taken considering the available time to complete this study. To minimise any negative impact from this, the survey was extended from 1 month to 1½ months and the researcher also circulated reminder emails.

A related limitation was the weakness of the survey instrument itself. Although the instrument was validated, few respondents found the survey repetitive, boring or irrelevant for academics. Relevancy of the instrument also became an issue when department level approval was requested. Some disapproved as they perceived HRM unrelated to their job and work. Where possible, by acknowledging respondents honesty, the researcher explained the objectives of the study, motives for any repetition, and reasons why the researcher found the topic relevant to academics.

3.9 Chapter Summary

In summary, this chapter provided a detailed description of the research methodology adopted in this study. Mixed methods research approach was employed to examine the devolution and enactment of HRM within a higher education setting. A single large University in New Zealand formed the context for the study. Within the framework of mixed methods approach, the study was most suited for a two-phase exploratory mixed method sequential transformative design. The first phase sample constituted of senior HR Managers while the second phase sample was made up of academics from 2 academic divisions. Two data collection methods were used, including semi-structured interviews and an online survey. Semi-structured interviews was conducted in the first phase and the interview data were coded, analysed and assessed for trustworthiness before its use for survey instrument design. The online survey was administered after validation and data received was analysed using statistical procedures. Ethical issues were considered in every data collection phase and various safeguards were put in place to make the study ethically sound. Regardless of careful planning study presented several limitations. The limitations were accounted for and steps were taken to minimise their impact.

CHAPTER 4: RESULTS

4.1 Introduction

The purpose of this study was to examine the devolution and enactment of HRM within a single HE institution in New Zealand. It is believed that developing an understanding of the HRM process will be beneficial for HRM practitioners working within HE settings because this type of exploration will enable discrepancies between intended and operationalised HRM policies and practices to be identified. This chapter presents the key findings obtained from the semi-structured interviews conducted with senior HR Managers as well the results of the Web survey administered to academics. To ensure coherence with the study design, this chapter is divided into two sections: [1] qualitative analysis and findings, and [2] quantitative analysis and findings. Findings uncovered in each section are organised according to the conceptual framework and the research questions. The chapter concludes with an overall summary of the two sections.

4.2 Qualitative Analysis and Findings

4.2.1 Analysis

The aim of the qualitative analysis was to address the first part of the conceptual framework and thereby answer the research questions 1 and 2. First, the context or operational environment of the university; and second the influence of institutional strategy on HRM strategy was examined. With this understanding research questions 1 and 2 were addressed and this included examining: [1] the intended strategic aims of HRM policy and practices found within a university setting (RQ1); and [2] how intended HRM policies and practices were operationalised at divisional and department levels (RQ2).

Analysis was carried out using thematic analysis approach. The thematic approach and procedure followed for the analysis is detailed in Chapter 3. Here, the focus is on outlining the outcomes of this analysis.

A total of 94 semantic themes were generated after the initial analysis (see Appendix 4A). The semantic themes were merged and refined to develop a comprehensive list of descriptive codes. From these a total of 44 descriptive codes were identified. For better understanding of the descriptive codes, relevant quotes were tabulated under each

descriptive code and the frequency of the quotes was recorded. Revising the tabulations and referring to others, such as the Word Cloud and Connection Maps created from NVivo (see Appendix 4B), the descriptive codes were grouped into 17 interpretative codes. Giving consideration to the aim of the analysis (outlined above) and by taking a theoretical and practical stance, four overarching themes were identified. These were: [1] Environment, [2] Strategy, [3] Intended HRM Policies and Practices, and [4] Operationalization of HRM (Appendix 4C provides a list of all the [1] descriptive codes, [2] interpretative codes, and [3] overarching themes). From using the quotes classified under each of the overarching themes and by referring to the prepared interview survey responses (see Appendix 3H), the main qualitative findings were able to be derived. These are now reported.

4.2.2 Findings

This section presents the main findings developed from the four overarching themes: [1] Environment; [2] Strategy; [3] Intended HRM policies and practices; and [4] Operationalisation of HRM.

Environment

The first part of the conceptual framework required an understanding of the environment in which the university was operating. With regard to this the interviewees (HR Managers n = 5) were asked about the wider environment and the organisational context of the University. The data revealed a number of external and internal factors. The external factors represented the challenges and constraints affecting the wider university and the academics whereas the internal factors mainly highlighted internal challenges of concern to the HR team.

External Environment

Interviewees described four major external factors which were of concern to the university and the academics. The concerns were around [1] financial; [2] political/legal; [3] attracting and recruiting staff; and [4] student numbers. The frequency of reporting on each of these factors is presented in Table 4.1.

Table 4.1: Reports on External Environment

HR Managers	Frequency								
	Financial				Political/Legal	Attracting/Recruiting Staff			Student Numbers
	Grants	Budget	Funding	PBRF		Attracting	Location/ Geographical Challenges	Competition	
1	-	1	1	3	10	4	1	1	2
2	6	7	11	9	1	2	1	-	2
3	2	-	3	3	2	-	-	-	1
4	-	1	-	14	6	3	2	3	-
5	7	5	14	7	4	1	-	-	2
TOTAL	15	14	29	36	23	10	4	4	7

1. Financial

As evidenced from the Table 4.1, the primary and overriding concern is with finance, and in particular funding issues, such as the Performance Based Research Funding (PBRF). PBRF is a funding scheme of the New Zealand government under which tertiary institutions are allocated with funding after an assessment of research performance (Edgar & Geare, 2013). All interviewees commented on the funding challenges and concerns over funding were expressed in the following ways:

Table 4.2: Funding

HR Manager	Interviewee Comments
1	“...there is a lot of concern around... PBRF...People [are]...feeling a significant amount of pressure...to reach numbers and perform.”
2	“...PBRF... a significant source of external funding for the university...dollar figure came in quite significantly lower...that is having an impact...”
3	“...PBRF...provides uncertainty for academic staff.”
4	“...biggest change that affected the academics was around PBRF...”
5	“There is always the uncertainty of research funding...”

2. Political/Legal

All interviewees similarly spoke about the political/legal changes and its influences on the University. The most frequently cited discussions were around [1] change of legislation (Table 4.3, quote 1, 2); [2] change of government (Table 4.3, Quote 3); and [3] government initiated changes (Table 4.3, quote 4, 5).

Table 4.3: Political/legal Changes and Influences

Indicators	Quote	Interviewee Comments
Change of legislation	1	“...legislation [has] been reviewed...they proposed a change to legislationOne of the things they are driving is higher allocation of responsibilities...”
	2	“...an example would be...changes in the legislation...those changes haven't occurred yet they are still in consultation phase...”
Change of Government/	3	“...change of government with a different education focus could obviously have an impact and I think it's already having [an] impact ... with change to the governance of universities...they [are] recommending that the university council be smaller and have less representation...”
Government initiated changes	4	“...how could something that is so prescribed...a government process suddenly change...?”
	5	“...you know there is always a concern the government might turn around and change funding models for that school...”

3. Attracting/Recruiting Staff

The majority of the interviewees (with the exception of HR Manager 3) highlighted the challenge of attracting and recruiting staff from overseas. Some found attracting international staff as a problem due to the geographical location of New Zealand (Table 4.4, quote 1). In a similar vein, two interviewees (HR Manager 1 and 4) reflected competition as a barrier for attracting and recruiting staff (Table 4.4, quotes 2 and 3). One interviewee, acknowledging this challenge, stressed that attracting staff was crucial considering the aging workforce (Table 4.4, quote 4).

Table 4.4: Attracting and Recruiting Staff

Indicators	Quote	Interviewee Comments
Location/ Geographical Challenges	1	“I think we face a battle...to attract people to the other side of the world ...from North America and Europe it's difficult...to get them to come to...New Zealand...when people are coming [from] overseas...they might see every university while they are here...”
Competition	2	“There is [a] fairly tight competition between here and Australia...”
	3	“I mean Australian universities will pay a whole lot [more]...so you [are] completely battling against...[a] whole lot of stuff that matters to people.”
Aging Workforce	4	“...aging academic population to me is a big thing that's impacting and it is a risk but it's also a known risk...it's something like [within] the next 10-15 years just over 50% of the academics will [get] retired...we got an aging workforce...[and] aging academics...”

4. Student Numbers

All interviewees (except HR Manager 4) addressed fluctuations in student numbers as an area of concern, see Table 4.5 (quotes 1, 2 and 3).

Table 4.5: Student Numbers

Quote	Interviewee Comments
1	"I know there is a lot of concern around student numbers..."
2	"Student enrolment [is] reasonably consistent...there is some variance...in the enrolments...we recently saw [name of an incident] which scaled off some international students..."
3	"... [name of a school] is under pressure this year...its enrolments are down...and that has been falling for a few years..."

Internal Environment

Discussions on the internal environment elicited a wide variety of responses and these have been broadly grouped into: [1] Devolved Structure and [2] Internal Challenges. Table 4.6 indicates frequency of reports on internal environment and under 'Internal Challenges' those items which were mentioned more frequently have been listed separately.

Table 4.6: Reports on Internal Environment

HR Managers	Frequency			
	Devolved Structure	Internal Challenges		
		Bureaucracy/ Administrative	University Size	Other Internal
1	3	3	-	1
2	16	11	10	1
3	-	9	1	6
4	-	7	1	13
5	6	10	-	2
TOTAL	25	40	12	23

1. Devolved Structure

Three interviewees (HR Manager 1, 2, 5) talked positively about the devolved nature of the university and the HR function (Table 4.7, quotes 1, 2 and 3). The devolved structure was seen as favourable because it facilitated involvement from the 'clients' or staff (Table 4.7, quote 4). Interestingly, these interviewees also acknowledged the associated challenges of operating within a devolved structure and that revolved around initiating or implementing changes (Table 4.7, quotes 5 and 6).

Table 4.7: Devolved Structure

Indicators	Quote	Interviewee Comments
Devolved – Positive	1	“...we have a devolved structure...compared to other universities and that's a key characteristic of our function.”
	2	“The structure comes centrally from HR but it all devolves down”
	3	“...it's really devolved when it comes to departments and divisions...we influence what they do and how they do it...”
	4	“That's...largely devolved...if they are involved in [it] it's because it [is] devolved.”
Devolved – Negative	5	“...this partly gets back to the devolved nature of the university...it's very hard...to put something out there [because] everybody sees why [it is] relevant...”
	6	“The biggest challenge for us [is] introducing new things or bringing about change[s] across the university [because] it is so diverse and devolved...we have to consult it a lot...”

2. Internal challenges

The interview data offered insight into a number of internal challenges faced by the HR team. First, as indicative from Table 4.8 the biggest challenge involved navigating bureaucracy and administrative load. All interviewees conceived managing and minimising bureaucracy as a major battle (Table 4.8, quotes 1 and 2). Some interviewees (HR Managers 2 and 4) described the positive efforts that were being made to address this issue and the expected improvements (Table 4.8, quotes 3, 4 and 5). This was also reflected in one of the interview survey questions. When the interviewees were asked about the effectiveness of HR Division in managing/minimizing bureaucracy from a scale of 1 (Not at All Effective) to 5 (Highly Effective) all interviewees rated the Division being effective either to some extent or to a fair extent, see Table 4.9.

Second, three interviewees (HR Managers 2, 3 and 4) described the size of the university as a challenge. According to these interviewees communicating or initiating change was difficult due to the ‘sheer size’ of the university (Table 4.8, quotes 6 and 7). With regard to this, one interviewee stressed that there was huge ‘opportunity for disconnect’ (Table 4.8, quote 8).

Third, academics reluctance or dislike to handle bureaucratic/administrative tasks and their perception of HR as being bureaucratic / administrative was a concern expressed

by all interviewees (Table 4.8, quotes 9, 10 and 11). Three interviewees (HR Managers 3, 4, 5) believed that this reluctance / dislike appeared to be persistent among academics due to their difference in interests. The three interviewees observed that academics interest and loyalty was more towards their discipline than to the university (Table 4.8, quotes 12, 13, and 14). Referring to academics perception of HR within the university, one interviewee noted that academics view of HR (being bureaucratic) may be associated to their past experience of HR. According to two interviewees, HR had a poor reputation in the past and was considered as ‘police’ acting for the university (Table 4.8, quotes 15, 16 and 17). One interviewee reflected that this thinking was still prevalent among some academics though most have become more receptive over the years with continuous efforts from HR to prove themselves as credible partners (Table 4.8, quotes 18 and 19).

Table 4.8: Internal Challenges

	Quote	Interviewee Comments
Bureaucratic/ Administrative	1	“...biggest issue for us...[is to] try and reduce the administrative load on Heads of Department...A lot of our processes generate tremendous amounts of paper [work]...”
	2	“...we have [a] huge amount of bureaucracy...try and improve that...”
	3	“...we have worked hard to...move [away] from...form filling, policing... [and to be a] business partner and I think it's helping...”
	4	“There will be pockets where it is highly administrative...that will become less administrative... [with] technology...”
	5	“What might be perceived by others as bureaucracy and [a] whole lot of red tape I seem...to navigate that ok...”
University Size	6	“Any organisation [of] this size you hear people, there ... is resistance to change.”
	7	“...communication is hard, just because of the sheer scale.”
	8	“... linking up the number of times where you know it just hasn't been possible for this HOD to truly understand the PVC vision or view and the same thing happens when you get into the central structure...the opportunity for disconnect is huge.”
	9	“Here academics complain about bureaucracy...”
Other Internal	10	“I think academic staffs feel they are too involved in administration...”
	11	“...lot of the work we do; to [support] the academic staff, they will call it bureaucracy...”
	12	“... their first allegiance...[is] to the discipline...second...to their department...[then to the] division and then the fourth...[is] the university...they often feel [they] are not...part of [the university] because they don't think that way...often [they are] collaborating with people from different parts of the country or the world on their subject and that's the exciting bit...often the wider [administrative] structure ...around divisions, departments and university gets in [their] way...”
	13	“...first, academics are often loyal to their discipline, to [their] research and then they are loyal to their department [and] then they are loyal to the division...then they are loyal to the university...that's a sign of their priorities...”
	14	“I don't know [they] are really good researchers but they seem to be quite independently focused...focused on their own stuff...I think that's what's missing...”
	15	“Probably the barrier in the early days was to prove ourselves as a credible partner and that we had something to offer because HR had a terrible reputation”
	16	“HR being like police they don't do anything to help us they tell us what we can't do not what we can do.”
	17	“HR has come a long way...used to be very much a compliance based unit...we used to be the policeman...we followed sort of [a] personnel ...type of philosophy as opposed to human resources type of philosophy”
	18	“we really turned it around...[more] like a business partner and probably the other key change [is]...it's gone from being...seen [HR] as acting for the University... [now] HR [is] being viewed as acting for the university and for [the] staff”
	19	“...on the whole, academic staffs have been quite receptive to a lot of things that have happened. I think some of them would probably still find HR bloody nuisance...”

Table 4.9: Effectiveness of HR Divisions in Managing/ Minimising Bureaucracy

HR Manager	Not at All Effective	Not Very Effective	Somewhat Effective	Fairly Effective	Highly Effective
1			X		
2			X		
3				X	
4			X		
5				X	
TOTAL			3 (60%)	2 (40%)	

Strategy

As part of the conceptual framework addressed institutional strategy and HRM strategy, interviewees' views on these two were explored. Interviewees' descriptions can be broadly divided into three main headings [1] Institutional Strategy, [2] HRM Strategy, and [3] Alignment/Integration. The frequency with which each area was mentioned is indicated in Table 4.10.

Table 4.10: Reports on Strategy

HR Manager	Frequency		
	Institutional Strategy	HRM Strategy	Alignment/integration
1	2	4	2
2	4	3	7
3	1	2	1
4	4	2	2
5	2	4	2
TOTAL	13	15	14

Institutional Strategy

When interviewees were asked about institutional strategy (or wider university strategy), the data revealed that interviewees were not involved in the high level institutional strategy development, though HR was represented through the HR Director (Table 4.11, quotes 1 and 2). Institutional strategy was positively regarded by one interviewee as a: [1] “*global plan*”, [2] “*good overview of the big picture*”, and [3] “*consistent message around*”. However, two other interviewees were less optimistic. One found it too broad, ambiguous, and academic-focused, while the other questioned its usability (Table 4.11, quotes 3 and 4).

HRM strategy

The interviewees were more enthusiastic about the HRM strategy or what they called the HR Business Plan. All interviewees belonging to the senior HR team were involved in the development of HRM strategy. Four interviewees described the HR Business planning exercise which was led by the HR Director. With the HR Director all members of the senior HR team and an external facilitator were involved. The HR Director and external facilitator's role was valued by the interviewees. The HR Director was recognised as a valuable source of top-down information and the external facilitator was seen important to keep the team on 'track' (Table 4.11, quotes 5 and 6).

When asked about the use and communication of HRM strategy there was greater agreement that it was intended for the use of the HR Division. It was evident that the HRM strategy was widely communicated and consulted within the HR Division (Table 4.11, quote 7 and 8). With regards the communication of HRM strategy to others (e.g., other Divisions or academics) the responses received were very vague (for example see, Table 4.11, quote 9). Two interviewees assumed that it was passed through the Divisional HR Managers (DHRMs) (Table 4.11, quote 10).

Alignment/Integration

All interviewees found aligning HRM strategy with institutional strategy important. Most agreed that it 'should' be aligned and the majority of interviewees spoke confidently of how HRM strategy was generally aligned with the institutional strategy of the university (Table 4.11, quotes 11 and 12). Interestingly, two interviewees stressed that HRM strategy alignment was not limited to the institutional strategy. They believed that it was more closely aligned to the operational needs of the university. One interviewee highlighted that alignment should be '*top down*' and '*bottom up*' (Table 4.11, quotes 13, 14 and 15).

In spite of this alignment, when interviewees were asked (using a survey-type question) to rate the extent to which HR Division was able to exert influence on areas like research and teaching, student outcomes (the main imperatives in the intuitional strategy document), all, except for one of the interviewees, saw their influence as being small (refer Table 4.12). The influence HR Division could exert on these areas was said to be more indirect, for instance through recruitment (Table 2.11, quote 16).

Table 4.11: Strategy

Indicators	Quote	Interviewee Comments
Institutional Strategy	1	"I don't get involved in the development of the strategy that high level strategy..."
	2	"For the university [name of the strategy document] there are working parties...formed with representation across the university...HR director is involved..."
	3	"It's very brief in the [name of the strategy document]...it does talk broadly about people but ... it's not explicit..."
	4	"I have some fundamental issues with this...strategic documents...I find they are not particularly usable by people at lower levels of the organisation..."
HRM Strategy	5	"...usually the senior team from HR get together...with an external facilitator and [that's] how we have done in the past. Obviously [name of HR Director] talking to the vice-chancellor and deputy vice-chancellor and all the executives...to find out their areas of concern..."
	6	"...we rely...on an external person, to make sure you know some of their expertise [get] us on track."
	7	"...all of the managers within HR meet...take a look at the strategic plan and...discuss with their team..."
	8	"...the minutes from the senior management team are circulated to...all HR staff and [then we] talk about [it within] our teams..."
	9	"Within the University it will probably go anywhere...it's not [a] plan for the University its [a] plan for [the] HR, how our division is going to support the University..."
	10	"In terms of getting that information out to the strategic staff,...Probably not a strength - I don't think. I mean I assume that Divisional HR staff are passing a lot of stuff on...It's not something we send out [to] them saying here is...these are our divisional initiatives...in a very formal way but hopefully that information is communicated."
	11	"...once we get the [Institutional Strategy] document...it needs to link ...I would expect that...we are reading that [document] really carefully and we are looking at the order in which things are being placed because typically that's an indicator... in terms of being linked back it absolutely has to be linked..."
	12	"We do look at the university strategic documents...we do align our business plan visions and objectives..."
	13	"I don't know...whether it is necessarily linked...[name of the institutional strategy]...probably more closely aligned to operational needs...[HRM] strategy is probably more aligned to operational needs but it has to align to [the institutional] strategies...there is no point us doing something that strategy doesn't even cover...[then] we are not adding value to the university..."
	14	"...that's still largely operational but it's trying to link in with the key strategy."
Alignment / Integration	15	"...I need to understand the issues here and here...we take some visionary stuff that comes from this end here. So for me its top down as well bottom up and we try and link it that way."
	16	"...see it depends; it gets tricky because we get involved in recruitment so we can influence it there".

Table 4.12: Perceived HR Influence

HR Manager	The quality of teaching				The quality of research				The quality of student outcomes						
	No influence	Small influence	Sizable influence	Quite large influence	Very large influence	No influence	Small influence	Sizable influence	Quite large influence	Very large influence	No influence	Small influence	Sizable influence	Quite large influence	Very large influence
1		X						X			X				
2	X					X					X				
3	X					X				X					
4	X					X					X				
5	X					X				X					
TOTAL	4 80%	1 20%				4 80%		1 20%		2 40%	3 60%				

Intended HRM Policies and Practices

This section informs the first research question as it identifies the intended HRM policies and practices. Analysis of information gathered through interviews revealed HRM policies and practices which were currently in place in the studied university and those which were planned.

Current HRM Policies and Practices

Existing HRM policies and practices mentioned or described were listed and grouped as follows: [1] Training and Development; [2] Recruitment; [3] Academic Performance Reviews; [4] Health and Safety; [5] Leaves; [6] Remuneration; [7] Promotion; [8] Probationary confirmation; [9] Induction; and [10] Relocation. The frequency of reports on these policies and practices varied considerably, two were more popularly highlighted: Academic Leadership Programme (note: name changed): and Recruitment, see Table 4.13. These two major ones are discussed below and for the other policies and practices, key highlights have been provided in Table 4.16.

Table 4.13: Reports on current Intended HRM Policies and Practices

HRM Policies and Practices		HR Manager					TOTAL
		1	2	3	4	5	
Training and Development	Academic Leadership Programme*	4	8	2	6	3	23
	Other Trainings	1	3	1	3	1	9
Recruitment		2	7	3	4	6	22
Academic Performance Reviews		-	2	-	2	7	11
Health and Safety		8	1	2	4	2	17
Leaves		-	1	-	4	4	9
Academic Promotions		1	2	3	1	11	18
Probationary confirmation*		2	3	4	3	5	17
Induction*		-	-	2	1	2	5
Relocation		1	-	-	1	-	2
Remuneration		2	4	1	3	2	12

*Name changed

Training and Development

A leadership development programme (referred to in this study as Academic Leadership Programme – ALP) was unequivocally referred and positively regarded by all the interviewees. One interviewee described it as the “*little jewel in the HR Division crown*”. ALP was offered across the University for all HODs and for others in leadership or management roles. According to the interviewees it initially started with academic leaders (HODs) but later was extended to include people from other leadership roles, for example Directors in a general staff role (Table 4. 14, quote 1).

Interviewees viewed ALP as an excellent support system for HODs which prepares them for their leadership role. The interviewees explained the purpose of the programme was to [1] train and educate the HODs and to [2] facilitate building strong linkages and networks across the university. The interviewees highlighted that the programme introduced HODs to: [1] the key players in the university and the divisions (for example, Deans, HR Director); [2] the services in the university; and [3] the HRM policies and practices. Largely ALP provided with: [1] an overall understanding of the university and [2] the skills to deal with people and leadership issues (Table 4. 14, quotes 2, 3, 4 and 5).

Additionally, ALP was seen beneficial for the HR Managers and holding the same view one interviewee commented about its success (Table 4. 14, quotes 6 and 7).

Apart from ALP, the HR Division did conduct some tailored training but much of the academic related training (e.g. teaching skills, research skills) were conducted by different centres (referred in this study as the training centres) in the university. Notwithstanding, some interviewees acknowledged the close connection between the training centres and how HR facilitated some of the training conducted within those centres (Table 4.14, quotes 8 and 9).

Recruitment

Recruitment was portrayed as an explicit ongoing priority by all the interviewees probably due to the challenges in attracting staff as discussed earlier (see discussion on external environment). Interviewees mainly identified two things: [1] recruitment policy, and [2] recruitment process.

A number of the interviewees highlighted the recruitment policy which was described by an interviewee as a “*generic overarching policy*”, which was applicable to both academics and general staff (Table 4.15, quote 1).

Much of the discussion around recruitment focused on the process. Interviewees highlighted significant changes made to the recruitment process. Interviewees addressed the former recruitment system as “*inadequate*”, “*poor*”, “*laborious*” and “*slow*” (Table 4.15, quotes 2, 3 and 4). The current recruitment system, especially the adopted online recruitment system was viewed positively by all the interviewees (Table 4.15, quotes 5 and 6). Notwithstanding, some interviewees acknowledged the criticisms faced by the current system (Table 4.15, quote 7) and addressing this one interviewee articulated, “*room for improvement probably in a variety of areas*”.

Table 4.14: Training and Development

Quote	Interviewee Comments
1	“this is for people in leadership roles ... it started off as HODs...because it was really successful...started to see a lot of directors wanting to come onto the programme.”
2	“...it’s about supporting your Heads of departments...to [their] new roles... recognizing that they [do] not always have the management experience... [or] academic experience to pick those jobs...”
3	“That is a programme...offered...across the University...it’s a fantastic opportunity for whole lot of linkages to be created...quite a supportive framework...”
4	“Once the HOD appointment has been confirmed...it might take...months for them to step into that role...we will make sure they come and meet with the HR Director and the Divisional HR Manager before they step into role or as soon as they have stepped into the role. They are meeting with the Dean, the HR...as part of their induction.”
5	“...large part of the programme [ALP] is actually developing those networks and introducing HODs to [other Heads of services]...The other key part is [a] very focused induction programme...[that] educates them in the way the university works... it’s a lot of education...there are training courses for specific subjects like how to manage and re-structure, how to deal with non-performance, how to write, how to manage a budget all that kind of stuff...[to]up skill themselves.”
6	“When one engages or interacts with that leadership programme it do get the opportunity to see just how different the needs of HOD over here are compared to a HOD over here”.
7	“I noticed a huge difference in the ability of people that I am partnering up to do HR stuff ...they have more knowledge, they have more confidence, they have more skills to actually deal with people issues...So that’s probably one of the key things that I have noticed”.
8	“...there is various [name of a training centre] ones as well... how to be a teacher,...how to write grants for funding. That’s the type of [programmes] that they deliver... Real very strong connections [with, name of a training centre]; ... it’s not a structural thing, but just because...we need to connect...”
9	“...[name of a training centre]...they work with academic staff with their teaching... that’s not a HR process but we...work closely with them. Then you have [name of another centre] they help academic staff with their research activities... they provide courses and training...we don’t get into...but facilitate some of these other things ...there is these but non-HR.”

Table 4.15: Recruitment

Quote	Interviewee Comments
1	“There will be components within recruitment policy aimed [for] academic staff. You know a particular section...The only specific one around recruitment and retention is HODs...simply because they are holding that HOD role...they do have other terms and conditions...so that is something specific to academic staff you might not see that for general staff.”
2	“...one of the key things that we identified is...a poor recruitment process we did have poor recruitment processes...some managers were doing really well, some managers were poor at it.”
3	“Previously we had [a] very inadequate system for recruitment, something which [was] not totally inadequate but the system we put in now stream lines that.”
4	“...you can't have...the very laborious processes [that] the university used to have because by the time you got...making the office somebody have decided [they] want them back...people take jobs in weekend now. So...you have to be quick...”
5	“The online recruitment system ... overall has been a good thing.”
6	“...that's been useful for us with online recruitment because...you can be anywhere in the world and apply online at the same time with someone just down the road. So I think that certainly helped with recruitment and getting people into our system quickly.”
7	“...the system we put in place is understandably criticized for being difficult to use but it's better than what we had.”

As stated earlier, only the key highlights have been provided for the other HRM policies and practices, see Table 4.16

Table 4.16: Key highlights for other HRM policies and practices

Academic Performance Reviews	Academic Performance Reviews refers to a number of performance assessments conducted for academics. The structure, policy and process for the reviews are provided by the HR Division but operationalisation responsibility is devolved. The reviews are considered significant for the academics as the outcomes of the reviews could determine progression within a salary scale. For relevant quotes refer to Appendix 4D.
Health and Safety	Interview data revealed a number of health and safety policies and practices, however, none of the policies and practices were consistently highlighted. For instance, one interviewee stressed about the chemical and diving policy while another interviewee mentioned about stress and mental health guidelines. Notwithstanding, there was greater agreement that health and safety policies were “ <i>university wide</i> ” (HR Manager 1) and its application was for “ <i>all staff not just the general staff</i> ” (HR Manager 2).
Leaves	Interviewees identified a number of leave polices: [1] Annual Leave; [2] Parental Leave; [3] Conference Leave; and [4] Research and Study leave. From these, Conference Leave and Research and Study Leave were identified as the main ones applicable to academic staff.
Academic Promotions	Academic promotions (applicable only to academic staff) were perceived as an area of substantial academic interest. It was found that academic promotions policy and processes were managed by the HR Division. The division had no decision making power over the academic promotions. The academic promotions decisions were made by different committees. One interviewee indicated “ <i>ongoing</i> ”, “ <i>incremental</i> ” changes made to the academic promotions processes. The interviewee believed that the changes adopted made the promotions processes more “ <i>robust</i> ”. However, the same interviewee expressed the interest to make additional improvements over promotions applications. For relevant quotes refer to Appendix 4D.
Probationary confirmation	Probationary confirmation (i.e. probationary period or tenure-track) was highlighted as a ‘key’ or ‘main’ thing for the academics (HR Manager 2 and 4). Academic staff members (holding Lecturer and above positions) were expected to go through the probationary phase where each gets provided with a set objectives, mainly around “ <i>teaching, research and service</i> ” (HR Manager 4 and 5). The probationary policy was described as a prescriptive, highly monitored policy. The probationary policy was viewed to serve dual interest that is the interest of the university and the interest of the academic staff member. Relevant quotes are provided in Appendix 4D.
Induction	Three interviewees reported on induction and it was found that induction was more than a simple orientation event; rather it was structured programme which took place over a period of three to six months. Two interviewees highlighted the changes made to the induction process to provide an improved induction experience. For interview quotes refer Appendix 4D.
Relocation	Only two interviewees commented about relocation or relocation policy. The key highlight was about the work done to strengthen relocation and another was around the sufficiency of the relocation pay. For relevant quote refer to Appendix 4D.
Remuneration	Three main things were highlighted: [1] remuneration policy, [2] pay scales, and [3] pay and payroll and much of the discussion were on pay and payroll. First, remuneration policy was described as a broad policy covering a range of issues (HR Manager 2). Second, a good pay scale was seen vital to make the university an “ <i>attractive place for people to come</i> ” (HR Manager 1). Third, three interviewees described payroll and payroll function as “ <i>administrative</i> ” except for one interviewee who viewed it as being operational. However all agreed on the importance of having a well monitored payroll system, as pay was related to staff sentiments. Relevant quotes provided in Appendix 4D.

During the analysis of the HRM policies and practices, attempt was made to identify policies and practices that were specific to academics. With this regard the following were identified: [1] ALP; [2] Performance Review; [3] Academic Promotions; [4] Probationary confirmation; and [5] Conference Leave and Research Study. It also became evident that a number of HRM policies were uniform to academic and general staff. Interviewees (HR Manager 1, 2, 3 and 5) described these HRM policies as “broad brushed”, “core bed”, “big bunch”, and “dual generic solutions”. However, these interviewees pointed that the procedures and practices around these policies could differ across divisions as delivery is often tailored based on divisional needs (Table 4.17, quotes 1, 2, 3, and 4).

In short, HRM policies may be consistent but HRM practices may vary across divisions. This finding was significant as one of the assumption of this study (refer Chapter 1, Assumption 1) was that all HRM policies and practices are consistently applied to academics but this may not be the case as highlighted by the interviewees.

Table 4.17: Uniformity of HRM Policies and Practices

Quote	Interviewee Comments
1	“We try to get the max of academic and general staff..I don’t really make that explicit academic-general...”
2	“we tend to focus on everyone unless it’s a particular academic issue, such as academic leadership”
3	“We tend to have a policy and then some guidelines or procedures...So the policy is the big bunch with X Y Z and there is [a] number of ways we can achieve that”
4	“...there will [be] certain things that can be done centrally...you can do a core bed that will apply across the university..but then..that can [be] in certain circumstances... limited...then you need to start really tailoring into that particular academic division...”

Planned Initiatives

In addition to the existing policies and practices, interviewees reported a number of planned HR initiatives. For instance, interviewees (HR Manager 1, 3, 4 and 5) referred to some preliminary work carried under: academic promotions, performance review processes, academic performance management, and health and safety. Some of the initiatives were in their initial stages of implementation. It was evident that most of the new initiatives were directed towards modernising HR processes using technology.

Operationalisation of HRM

With the aim of answering research question two, this analysis essentially involved developing an understanding of how intended HRM policies and practices were operationalised at divisional and departmental levels. The findings on internal environment (see under *Devolved Structure*) made it certain that operationalisation gets devolved to other divisions and departments. Though effort was made to identify the HRM policies and practices which got devolved, due to inconsistent responses from the interview participants it was not entirely clear which of them gets devolved. For instance, the ALP was a practice which was fully operationalised by the HR division. However, based on the interviewee descriptions the devolution of practices for other functional areas appeared to be somewhat inconsistent across Divisions. An initial summation suggests that some intended HRM policies and practices are operationalised centrally (by the HR Division) and some are delegated and operationalised within academic divisions and departments but the composition of these is not necessarily the same.

In this regard interview data suggested that operationalisation of HRM at divisional and departmental levels depended on: [1] the role played by a number of key players; and [2] the overall communication between HR division and the academic departments.

Role of the Key Players

From the interview data it became evident that the role played by [1] Divisional HR Managers (DHRMs) and HR Advisors; [2] Heads of Departments (HODs); and [3] Departmental Managers or Administrators were crucial for HRM operationalisation within academic divisions and departments. Remarkably these roles varied. Some had direct operational responsibility while others were in an indirect supportive role.

1. DHRMs and HR Advisors

As introduced in Chapter 3, DHRMs are senior HR Managers who are assigned to academic divisions. The DHRMs worked independently or with a team of HR Advisors based on the size of the academic division. The interviewees noted the significant role these DHRMs and HR Advisors played by joining or sitting in academic divisions. DHRMs and Advisors were seen to play an indirect but a vital role in HRM operationalisation. Many spoke of the support, help and advice provided by the DHRMs and Advisors to the academic divisions and departments (Table 4.18, quotes 1,

2, 3, and 4) and with regard to this one interviewee stressed “*we are not operating in isolation*”.

Two interviewees, in DHRM positions, found them actively involved at times of change management or when there were substantial problems, for instance around performance management or discipline (Table 4.18, quotes 5, 6 , 7 and 8). However, the DHRMs clearly expressed that their involvement was strictly restricted to a supportive role.

2. HODs

All interviewees were in complete agreement when they described the role of HODs. They recognised HODs as leaders of academic departments with devolved operational and decisional responsibility (Table 4.18, quotes 9 and 10). HODs were explicitly identified as the key for HRM implementation within academic departments (Table 4.18, quotes 11 and 12). Interviewees believed that HODs should be provided with appropriate support mechanisms (e.g. DHRM support, ALP) to fulfil their roles effectively. Additionally, support mechanism was seen crucial due to the rotational headship of HODs (Table 4.18, quote 13).

3. Departmental Managers or Administrators

Interview data uncovered the overlooked role of departmental managers/administrators. The findings indicated that departmental managers/administrators may share some of the HODs operational responsibility. According to two interviewees (HR Manager 3 and 5) the shared responsibilities were mostly administrative in nature (Table 4.18, quotes 14 and 15).

One interviewee (HR Manager 5) held the view that departmental managers/administrators should take greater administrative load to reduce HODs workload (Table 4.18, quote 16). On the other hand, one interviewee (HR Manager 4) flagged that departmental managers were taking greater operational responsibilities than HODs. The same interviewee reinforced that contacting both HODs and departmental managers were vital to ensure effective operationalisation of the HRM policies and practices (Table 4.18, quote 17).

Table 4.18: Role of Key Players

	Quote	Interviewee Comments
DHRMs	1	“...[our] job is to work alongside...divisions and be like business partners to do everything HR...”
	2	“We spend more time, more...time is dedicated [to]...walking people through process...risk management that type of things.”
	3	“...we are operational but we are supporting people to be operational...”
	4	“...deal it with together...it's more of a partnership in dealing with stuff.”
	5	“...[there are] times when we will be quite vocal you know...if it's a restructuring...”
	6	“...to go through disciplinary processes; to get people out of here...if things are really that bad; we go to mediation...we deal with all that stuff.”
	7	“...performance management, disciplinary investigation...that kind of; something's gone wrong, conflict. We need to change the structure because of the impact of external funding. So that sort of discrete, time consuming pieces of work that require good solid process...”
	8	“We support them...normally...I would get involved when things are going bad...when things are going well you never hear.”
HODs	9	“...don't have any operational responsibility...for instance...there is an issue... [we] don't have the authority to make any decisions...[HODs] they are managing [the] teams they should be seen by those teams as capable of managing them...we don't take over.”
	10	“...HR doesn't have any operational responsibility they [HODs] are the leaders of department...they need to lead...but generally speaking anything operational they need to be the leaders not us...The minute we take over as HR we cross the line”
	11	“...even if it's a short discrete relatively small structural change...the Head of Department is the key for us, so we are linking with the head of department.”
	12	“...whether its Finance policy, HR policy pretty much on anything...we keep on saying...Head of Department.”
	13	“...all three levels are important...because of this devolved model it's probably here, because [of] the HOD turnover. We give them a fixed term of appointment...[and] expect them to step up [and] lead a team of people. They [HODs] might be a fantastic academic researcher but suddenly when we are expecting them to manage a department they might not hold that skills set and then once they have completed that...we might be asking them to have another [X number] year term or they will step back...So that can be ... a difficult thing to manage...the HR Division has really focused quite [a] lot of energy here.”
Departmental Managers/Administrators	14	“...to make administrative process faster or smarter...They are...[often] lead off to the departmental managers...”
	15	“...if it's just an administrative issue or it's a process...then we would contact the Administrator...but if it's a policy change or a significant process change then we would contact the Heads of Departments....”
	16	“...part of that was to strengthen the departmental managers or departmental administrators so they could take more of that administrative load...if they [HOD] got a good departmental managers or...administrators then it makes life easy for the head of department.”
	17	“We would always talk to the HODs and to the departmental manager... departmental manager is usually the one who is operationally doing a lot more...then the Head of Departments. So we cover both ... that's generally how you get it done...covering those two bases [HODs and departmental managers] means it gets covered...”

Communication between HR Division and Academic Departments

Effective communication between the HR Division and academic departments was considered essential for HRM operationalisation. Acknowledging the difficulties in communication (Table 4.19, quote 1), interviewees stressed that it was essential to have proper lines of downward and upward communication. All interviewees hold the view that HRM policies and practices should be widely communicated with Divisional Heads, HODs and staff for its effective operationalisation. Interviewees exemplified how this was done within the university and identified the means and mediums used. For example email, road shows and information sessions (Table 4.19, quotes 2 and 3). Similarly obtaining HODs' and staff feedback was seen vital to identify any weaknesses or issues with the policies and practices (Table 4.19, quote 4).

Table 4.19: Communication of between HR Division and Academic Departments

Quote	Interviewee Comments
1	“...if there is...a strategic imperative...communicating...[and] getting some consistency across a division of this size can be really difficult...it takes a lot of time to communicate...”
2	“Any new policy or procedure or project for HR... lots of ways it get communicated...they'd be in the all-around university email...[we] run road shows, we have presentations, we run training programmes we've got an HR newsletter...We use people on my role [DHRMs] and in our networks. I go to administer meetings, I go to HOD meetings...that's something we do quite well...”
3	“...we did make a major change...to support our strategic framework...we spoke to Heads of Departments...We ran information sessions for staff where possible we met the departmental managers...”
4	“...we are relying on the HODs...to be representing the views, or feedback or barriers...”

On the basis of these data, operationalisation of HRM in the studied university could be understood as follows (see Figure 4.1). The figure shows how intended HRM policies and practices flow from HR Division and get operationalised within a single academic division and subsequently within the department. In the illustrated figure, the HR division in collaboration with the assigned DHRM feeds down the intended HRM policies and practices to divisional heads in an academic division. These policies and practices get mandated from the divisional heads to academic departments. At the departmental level, the intended policies and practices are operationalised by the HODs and Departmental Managers. The dotted lines indicate the support and facilitation

provided by DHRM to the academic division / department and the feedback from academic division /department to the DHRM.

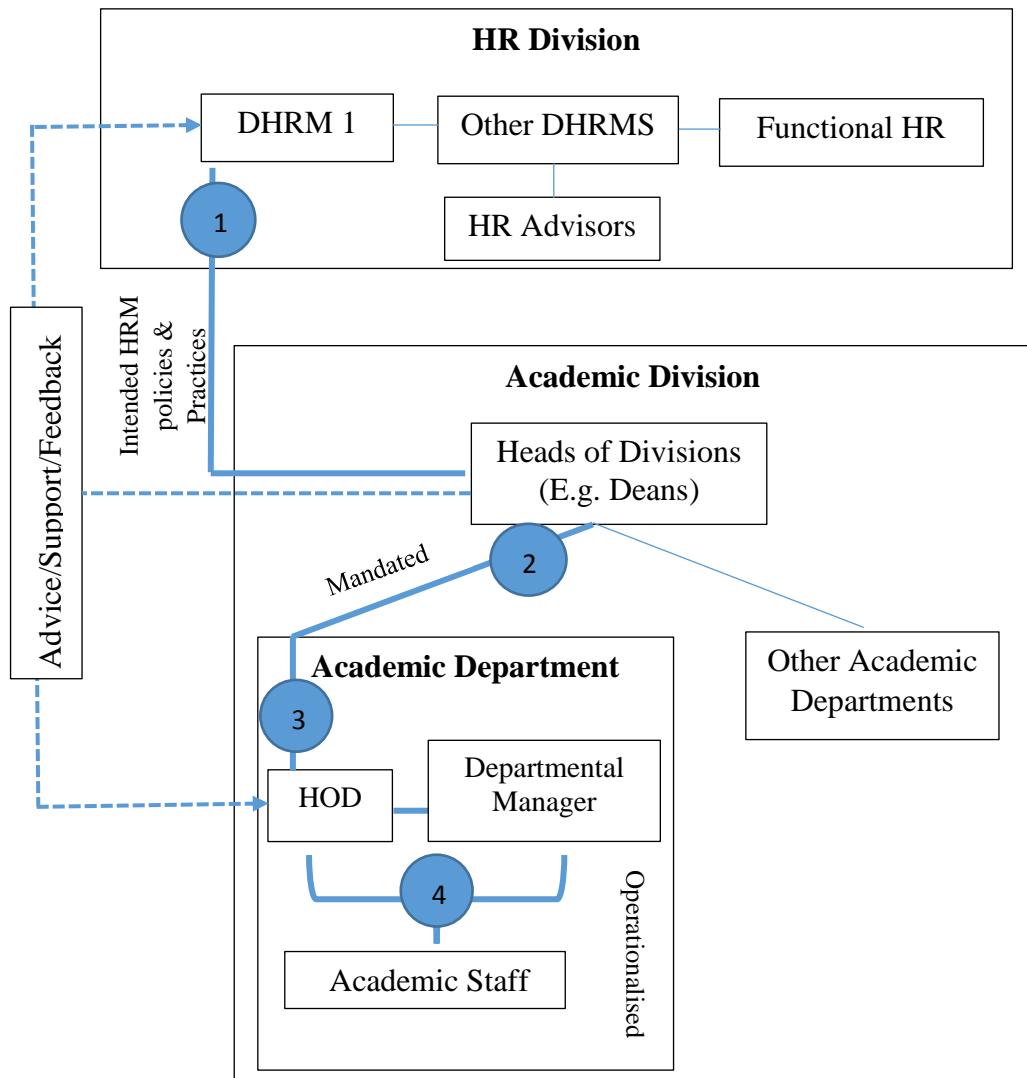


Figure 4.1: Operationalisation of HRM in Academic Divisions and Departments

In summary, the major findings to emerge from the qualitative analysis are as follows:

First, there are numerous external and internal environmental factors of concern to the university, HR division and academics. The main external factors are financial and political/legal changes. Important internal challenges mostly relate to structure, bureaucracy, and staff attitude and perception.

Second, HRM strategy is aligned with the institutional strategy, however the alignment is not restricted to the institutional strategy. HRM strategy is closely aligned with the operational needs of the university and the institutional strategy.

Third, there are number of intended HRM policies and practices from which some are specific to the academics and others are generic (applicable to academic and general staff). From the existing policies and practices in place, there is a strong focus around the areas of ALP and recruitment. Most of the planned HRM initiatives are directed towards modernising HR processes using technology.

Fourth, intended HRM policies and practices get operationalised at divisional and departmental level through support and facilitation from the DHRMs. The actual implementation within departments is devolved to HODs, though arguably the actual operational responsibility within departments may be shared with departmental managers. For effective operationalisation of HRM policies and practices strong open lines of downward (i.e. HR Division to academic divisions and departments) and upward (i.e. Divisional heads and HODs to HR division) communication is essential.

To conclude, there appears a high degree of consistency amongst interviewees with regards their views towards these aspects of the HRM function.

4.3 Quantitative Analysis and Findings

4.3.1 Analysis

Based on the conceptual framework and the research questions 3, 4 and 5 the aim of the quantitative analysis was to examine:

- a) Differences between the intended and the operationalised HRM policies and practices that occur at the divisional, departmental levels (RQ 3) ;
- b) HRM communication;
- c) Academics' perception of operationalized HRM and how it differed across HRM stakeholders, that is heads of departments and faculty (RQ 4); and
- d) Academics' reaction to HRM and to identify any difference between perceived HRM satisfaction and job satisfaction (RQ5).

The quantitative survey data underwent a number of analyses before the main results were derived. The approach to the analysis of the survey data was briefly outlined in Chapter 3, the details of which are now briefly summarised here.

1. Data screening and cleaning

At the start, the dataset were checked for errors and any cases outside the sample group (e.g. research assistants, academics outside Division A or B) were selected and removed.

2. Preliminary analysis

After data checks, first, descriptive statistics for all categorical and continuous variables were obtained. Descriptive statistics are useful to describe the characteristic of a sample and it provides a good overview of the research data (Pallant, 2007). The descriptive statistics for the categorical variables were tabulated to describe the survey sample demographics (see Table 4.20 and the accompanied description), and these, along with the continuous variables, are reported in the findings section below.

Table 4.20: Survey Sample Demographics (n = 91)

Demographics		Frequency	Percentages
Gender	Male	52	57
	Female	39	43
Age	31-40	17	18
	41-50	29	32
	51-60	29	32
	Over 60	16	18
Ethnicity	Maori	3	3
	Pakeha (New Zealand European)	37	41
	European	41	45
	Asian	4	4
	Other / Please specify	6	7
Position	Professor	21	23
	Research Professor	1	1
	Associate Professor	18	20
	Research Associate Professor	1	1
	Senior Lecturer	33	36
	Lecturer	17	19
Division	Division A	49	54
	Division B	42	46
Length of Employment in present University *	Less than 5 years	18	20
	5-10 years	20	23
	10 years plus	51	57
Head of Department	Currently in the role	12	14
	Previously fulfilled the role	13	17

*The n varies due to missing data.

In total, 132 respondents completed the online survey from which 91 surveys were usable. Of the respondents, 57 percent were male. The majority of the respondents (64 percent) were between the ages of 41 and 60 and most were Europeans (45 percent) or

Pakeha / New Zealand European (41 percent). Thirty six percent of the respondents were Senior Lecturers, 23 percent were Professors, 20 percent were Associate Professors, 19 percent were Lecturers and a minority 2 percent were Research Professors/ Research Associate Professors. The number of respondents from Division A and Division B were comparable (54 percent and 46 percent respectively). Some 57 percent of respondents had more than 10 years' tenure. Last, 14 percent of the respondents were Heads of Departments and 17 percent had previously fulfilled the role of Head of Department.

All the negatively worded items were reversed to test for reliability of the adopted/modified scales or measures. As highlighted in Chapter 3, a total of six measures were used: [1] operationalised HRM, [2] perceived HRM, [3] communication quality, [4] visibility, [5] relevance, and [6] Job Satisfaction. These six measures are now described below.

Operationalised HRM. This measure was developed using interview responses and information gathered from HRM policy documents available in the studied university website. A total of 18 HRM policies and practices were listed and two respondent groups [1] HODs (current and previous) and [2] faculty members were asked to rate on a five point Likert scale from 'Never' (1) to 'Always' (5). HODs (both present and previous) were asked to indicate whether they were responsible for offering the HRM policies and practices, whereas the faculty members were asked to indicate the extent to which the policies and practices were implemented within their departments.

Perceived HRM. The same list of 18 items compiled for Operationalised HRM was used. To examine perceived HRM, respondents (HODs and faculty members) were asked to rate the [1] importance, [2] effectiveness, and [3] HRM satisfaction with various HRM policies and practices. The response options for importance were on a five point scale from 'Not at All Important' (1) to 'Highly Important' (5). Similarly, the response options for effectiveness read 'Not at All Effective' (1) to 'Highly Effective' (5). Lastly, the HRM satisfaction was measured using the five point scale 'Not at All Satisfied' (1) to 'Highly Satisfied' (5).

Communication Quality. This was measured using an adapted scale from the work of Den Hartog et al. (2013). Respondents (only faculty members) were asked to rate three items about the communication quality of line managers (i.e. HODs) on a five point

Likert scale from ‘Strongly Disagree’ (1) to ‘Strongly Agree’ (5). Within this scale an additional item about Departmental Manager communication was included. This item was supplemented based on interview findings (see interview findings under Departmental Managers involvement in HRM operationalisation). However, due to low inter-item correlation this item was excluded from the scale and is treated separately.

Visibility and Relevance. These measures were used to provide a closer examination of communication quality. These two measures were viewed important based on the interview findings on internal environment (i.e. devolved structure, internal challenges,). It was assumed that strong communication (or quality communication) will result in higher HRM visibility and relevance. Visibility refer to the “the degree to which internal customers have a clear idea of HR practices, know which HR programmes are implemented, and what can and cannot be expected from the HR department” (Delmotte et al., 2012, p. 1486). Relevance refers to the “the degree to which HR initiatives and practices are perceived as useful, significant, and relevant (supporting achievement of organizational goals) and HR is capable of anticipating on daily problems and needs” (Delmotte et al., 2012, p. 1486). Scale for visibility and relevance was adopted from Delmotte et al. (2012) and modified to fit this study. Respondents (both HODs and faculty members) were asked to express their views on a number of items. The response options again were on a five point scale from ‘Strongly Disagree’ (1) to ‘Strongly Agree’ (5).

Job satisfaction. This was used to measure employee reaction to HRM. A three item scale from Bowling and Hammond (2008) was adopted. Respondents (HODs and faculty members) were asked to rate the three items on a five point scale from ‘Strongly Disagree’ (1) to ‘Strongly Agree’ (5).

All the measures were assessed for internal consistency and Cronbach Alpha coefficient values were obtained. These alpha values have been reported in Chapter 3, see Table 3.1.

Next, before deciding on statistical techniques data were assessed for normality though it was expected to be skewed with the use of five-point scale items. Normality was assessed by obtaining [1] skewness and kurtosis values, and [2] Kolmogorov-Smirnov and Shapiro-Wilk statistics. As expected, the rule of normality was violated.

3. Statistical tests

The decision on what statistical tests were appropriate was made after assessing normality. The use of parametric statistics was abandoned as the data did not meet the stringent assumptions of normality. Instead of transforming the variables to suit parametric statistical tests the researcher chose non-parametric alternatives. Non-parametric tests do not depend on assumptions on distribution (Nachar, 2008, p. 13).

As the research question required drawing comparisons among different [1] Divisions and Departments (RQ3), and [2] stakeholders (RQ4), the non-parametric Mann-Whitney U test (U-test) was selected. This technique allows for the testing of “differences between two independent groups on a continuous measure” (Pallant, 2007, p. 220). Unlike the parametric alternative, t-tests, which compares means the U-test compares medians. The U-test converts the continuous variable scores into ranks (i.e. Mean Rank) and these ranks are compared to identify any significant difference between the groups. Mann-Whitney U test is one of the most powerful non-parametric tests and it is also the most commonly used non-parametric test in behavioural sciences (Kasuya, 2001). Despite its strengths as a non-parametric test, the U-test is less powerful when compared to t-tests. Notwithstanding, Gibbons and Chakraborti (1991) argued that very little statistical power is lost. The outputs generated from the U-tests have been reported below.

4.3.2 Findings

This section reports the survey findings derived from the descriptive statistics and U-tests. In addition, and where appropriate, interview data have also been included to support findings. Reflecting on the aims of the quantitative analysis, this section has been divided into four parts: [1] operationalised HRM; [2] HRM communication; [3] perceived HRM, and [4] reaction to HRM.

Operationalised HRM

Operationalised HRM policies and practices were examined to answer research question three (QR3). The first part of the research question required identifying any differences between intended and the operationalised HRM policies and practices and the second part necessitated making a comparison at divisional and departmental level.

For the first part, to identify differences between intended and operationalised HRM, comparisons were made between the intended HRM policies and practices which were offered by the HODs (rated by HODs) and those which were implemented within departments (rated by faculty members), see Table 4.21 below.

Table 4.21: Operationalised HRM (HODs (n=20) versus Faculty Members (n=55)^{1,2}

Items	HODs (Current and Previous) Please indicate the extent to which you, as a Head of Department, are responsible for offering the following HRM policies/practices to the academics in your department:		Faculty Members Please indicate the extent to which the following HRM policies/ practices are implemented within your department:	
	Mean (M)	SD	Mean (M)	SD
a) General / Professional training and development	3.75	1.07	3.07	1.10
b) Academic leadership training and development	3.70	0.92	3.05	1.18
c) Probationary Confirmation	4.90	0.44	4.58	0.82
d) Performance and Salary Review Process	4.85	0.48	4.41	1.11
e) Flexible Working Arrangements	4.25	0.96	4.06	1.11
f) Up-to date HR information	3.95	0.99	3.49	1.02
g) Advice on Remuneration	3.53	1.26	2.93	1.24
h) Procedures for negotiating employment terms and conditions	3.33	1.37	2.51	1.28
i) Up-to-date and relevant information on salaries and pay	3.40	1.35	3.75	1.19
j) Leave (e.g. Conference Leave)	4.25	1.07	4.13	0.98
k) Managing diversity / equal employment opportunities	4.00	0.94	3.29	1.29
l) Academic Promotion and Progression	4.85	0.48	4.07	1.07
m) Retirement policy	3.37	1.11	3.00	1.41
n) General recruitment and appointment	4.60	0.50	3.87	1.03
o) Induction Programme for new staff	3.90	0.91	3.37	1.01
p) Relocation	2.88	1.26	3.31	1.25
q) Health and Safety	4.30	0.92	3.68	1.12
r) Workplace Wellbeing	4.20	0.89	2.62	1.16

Notes:

1. There is some missing data so the n for the HOD group range between 17 and 20 and the n for the faculty members range between 55 and 35. The n for relocation is very low (n = 29), this is because this policy / practice applies only to relocated staff.
2. Means above 4.00 are bolded.

As can be evidenced from Table 4.21, the responses for each practice varied within each group and also between the two groups. For some policies and practices, namely ‘Probationary Confirmation’; ‘Performance and Salary Review Process’; ‘Flexible working arrangements’; ‘Leave, e.g. Conference Leave’; and ‘Academic Promotion and Progression’, there seems to be higher consensus amongst HODs and faculty members. For these items both HODs and faculty members have average ratings above 4.00 (refer Table 4.21). A possible explanation for this convergence in views for these items is that these particular HRM policies and practices are specific to academics (refer to section 4.2.2).

On the other hand, there is significant difference in HODs and faculty members views about ‘Managing diversity/equal employment opportunities’; ‘General recruitment and appointment of staff’; ‘Health and Safety’; and ‘Workplace Wellbeing’. For these items HODs average ratings are above 4.00 while faculty members’ ratings are below 4.00. Specifically the difference between mean scores is striking for the last item ‘Workplace Wellbeing’, with this item scored relatively highly by HODs ($M = 4.20$, $SD = 0.89$) but not so by the faculty members ($M = 2.62$, $SD = 1.16$). This finding supports the assertion made by Den Hartog et al. (2013) and also Liao et al. (2009) that employee views of operationalised HRM (in this case the faculty members) will indicate any disconnect or misalignment from line managers (in this case HODs) reported HRM.

The response to ‘Relocation’ shows a similar difference. However, in contrast to other ratings the faculty members ($M = 3.31$, $SD = 1.25$) have rated higher than the HODs ($M = 2.88$, $SD = 1.26$). There are plausible explanations for this outcome. First, relocation applies only to relocated staff and not all departments may have relocated staff. Second, responsibilities related to relocation may be operationalised by the Departmental Managers, as they were found to share HRM operational responsibilities (refer section 4.2.2, under operationalisation of HRM). Support for this is found in the work of Brewster et al. (2013); Purcell and Hutchinson (2007); Sikora and Ferris (2014); and Wright and Nishii (2012) who have suggested that intended HRM practices are executed by multiple individuals.

To get an overall understanding of the extent to which HRM is operationalised, an overall or aggregate score was computed across all items for both groups (HODs = 73.10, faculty members = 57.24). This overall score was then divided by the number of

items ($n = 18$) to make the interpretation easier. The total score of HRM operationalised by HODs is 4.06 ($SD = 0.437$) on the scale of one to five, indicating ‘Most of the Time’. The relatively low standard deviation also suggests a small amount of variation in responses across the sample of HODs. The total score of HRM implemented within department(s) rated by faculty members is 3.18 ($SD = 0.784$). This result confirms the previous argument on disconnect/ misalignment of HOD and faculty reported HRM.

To address the second part of the question, divisional level comparison was made using the U-test (see Table 4.22). A department level comparison was not possible due to the limitations in sample size. U-test was used as it allowed differences between two independent groups (Division A and Division B) to be tested. To interpret the output from U-test, first, it is important to look at the Z value and the significance level. If the significance or probability value (p) is less than or equal to .05, then the result is significant. Second, if a statistically significant difference is found between the groups than it is essential to describe the direction of the difference (i.e. which group has higher Mean Rank). Equally it is important to report the median values, as U-test compares medians instead of means of the two groups (Pallant, 2007). Finally, it is vital to consider the size value of the difference or strength of this difference (effect size). As SPSS does not provide the effect size statistic, the value of r was calculated using the formula:

$$r = z / \text{square root of } N$$

For the aforementioned divisional comparison, U-test was performed to test whether Division A and Division B differed in terms of the HRM policies and practices [1] offered by HODs, and [2] implemented within their departments (see Table 4.22). The U-test revealed a statistically significant difference for only two items: ‘Up-to date HR information’ and ‘Advice on Remuneration’. The p value for both these items is less than or equal to .05 thus, the results are statistically significant. Looking at the Mean Rank of the two items ([1] ‘Up-to date HR information’; and [2] ‘Advice on Remuneration’) it is clear that the direction of the difference is higher for Division B than Division A. This difference is reflective from the median values for ‘Up-to date HR information’ (Division A = 4, Division B = 5) and ‘Advice on Remuneration’ (Division A= 3 and Division B = 4).

To determine the effect size, r values were calculated for ‘Up-to date HR information’ ($r = 0.45$) and ‘Advice on Remuneration’ ($r = 0.31$). Acknowledging that different authors suggest different interpretations, here the guidelines provided by Cohen (1988) are used. That is .10 to .29 = small effect, .30 to .49 = medium effect, and .50 to 1.0 = large effect. Thus, both the items have medium effect. In other words, there is a difference between Division A and B for ‘Up-to date HR information’ ($r = 0.45$) and ‘Advice on Remuneration’ ($r = 0.31$) and the strength of this difference is at a medium level. This difference is possibly attributable to the difference in division size and the number of HR Advisors assigned. Except for these two items, overall there is convergence in views about the operationalised HRM policies and practices in Division A and B.

Table 4.22: Operationalised HRM (Divisional Comparison)

Items	HODs (Current and Previous)				Faculty Members			
	N (Mean Rank)		Mann-Whitney U Test Z values	Sig. (p)	N (Mean Rank)		Mann-Whitney U Test Z values	Sig. (p)
	Division A	Division B			Division A	Division B		
a) General / Professional training and development	11 (9.41)	9 (11.83)	-1.003	.316	22 (20.41)	24 (26.33)	-1.555	.120
b) Academic leadership training and development	11 (8.41)	9 (13.06)	-1.899	.058	20 (17.80)	21 (24.05)	-1.729	.084
c) Probationary Confirmation	11 (11.00)	9 (9.89)	-1.106	.269	27 (28.41)	25 (24.44)	-1.212	.225
d) Performance and Salary Review Process	11 (10.55)	9 (10.44)	-.073	.942	27 (27.09)	24 (24.77)	-.709	.478
e) Flexible Working Arrangements	11 (10.50)	9 (10.50)	.000	1.000	22 (26.05)	25 (22.20)	-1.027	.305
f) Up-to date HR information	11 (8.23)	9 (13.28)	-1.994	.046	21 (20.10)	20 (21.95)	-.528	.598
g) Advice on Remuneration	10 (9.85)	9 (10.17)	-.126	.899	24 (17.67)	16 (24.75)	-1.930	.054
h) Procedures for negotiating employment terms and conditions	9 (8.83)	9 (10.17)	-.545	.586	22 (18.09)	19 (24.37)	-1.722	.085
i) Up-to-date and relevant information on salaries and pay	11 (9.64)	9 (11.56)	-.744	.457	25 (23.50)	23 (25.59)	-.538	.591
j) Leave (e.g. Conference Leave)	11 (10.05)	9 (11.06)	-.431	.667	27 (28.87)	28 (27.16)	-.425	.671
k) Managing diversity / equal employment opportunities	10 (9.60)	9 (10.44)	-.344	.731	17 (15.68)	18 (20.19)	-1.345	.179
l) Academic Promotion and Progression	11 (9.68)	9 (11.50)	-1.312	.189	26 (27.62)	28 (27.39)	-.056	.956
m) Retirement policy	10 (8.65)	9 (11.50)	-1.183	.237	20 (17.35)	16 (19.94)	-.750	.453
n) General recruitment and appointment	11 (10.86)	9 (10.06)	-.358	.721	23 (22.04)	22 (24.00)	-.526	.599
o) Induction Programme for new staff	11 (9.50)	9 (11.72)	-.878	.380	24 (21.98)	22 (25.16)	-.853	.394
p) Relocation	8 (9.00)	9 (9.00)	.000	1.000	18 (16.89)	11 (11.91)	-1.576	.115
q) Health and Safety	11 (10.09)	9 (11.00)	-.378	.705	22 (23.00)	25 (24.88)	-.487	.626
r) Workplace Wellbeing	11 (9.41)	9 (11.83)	-.993	.320	22 (19.18)	17 (21.06)	-.527	.598

Notes:

Bolded items are statistically significant.

HRM Communication

Communication was recognised as an important element in the conceptual framework and its prominence was further highlighted by interviewees (see section 4.2.2). Taking this into consideration part of the survey explored the area of communication with respect to HRM policies and practices.

First, respondents (only faculty members) were asked about the: [1] communication quality of line managers (HODs) and [2] Departmental Manager communication (see Table 4.23).

Table 4.23: Communication Quality of Managers (Faculty Members, n = 55)

Items	Mean	SD
a) My HOD provides me sufficient amount of information on HRM policies and practices	3.22	0.80
b) The information provided by my HOD about HRM policies and practices is useful.	3.33	0.77
c) I understand the information about HRM policies and practices communicated to me by my HOD.	3.53	0.71
d) My Department Manager, rather than my HOD, communicates most of the HRM policies and practices.	3.33	0.92

As evident from Table 4.23, the mean scores for all items are above 3.00. A total score was computed for the first three items to gain an understanding of the HODs communication quality. The combined score here was 3.36 (SD = 0.641). Communication quality of HODs ($M = 3.36$) viewed by the respondents is slightly higher than Departmental Manager communication ($M = 3.33$).

In addition to this analysis, U-test was performed to examine divisional level difference between HODs communication quality and Departmental Manager communication, however, no significant difference was found (refer Appendix 4E – Table 1).

Second, respondents' (HODs and faculty members) responses with regards [1] visibility and [2] relevance were explored. The mean and standard deviation of each item is presented in Table 4.24.

Table 4.24: Reports on Visibility and Relevance (HOD, n = 11; Faculty, n = 55)

Items	Mean	SD
Visibility		
a) The services available from the HR Division are a mystery to me.*	2.89	1.12
b) As an academic staff member, I am regularly informed about the initiatives taken by the HR Division.	2.73	0.88
c) In my view the HR Division works too much behind the scenes.*	2.64	0.93
d) In this university it is clear what's outside the responsibility of the HR Division.	2.35	0.59
Relevance		
e) I find the implemented HRM practices relevant.	3.50	0.82
f) In my view many of the HRM practices introduced by the HR Division are useless*	3.21	0.99
g) I often wonder about the usefulness of specific HRM practices.*	2.76	0.97

Note:

*Item score reversed.

A total scale score was computed for each scale, (i.e. Total Visibility and Total Relevance). Prior to total scale score calculation the negative items were reversed. For ease of interpretation, the total scale score was divided by the number of items in the scale. The total score on the visibility scale was 2.65 (SD = 0.704), indicating that overall respondents' visibility is low as it is below mid-point. This implies that respondents have low clarity of the HRM practices, which HRM programmes are implemented and what can and cannot be expected from the HR Division. The total score on the relevance scale was 3.16 (SD = 0.825), indicating a more positive results than the visibility scale. Looking at the results it appears that overall visibility is low and overall relevance is at a moderate level.

The analysis on visibility and relevance was extended to make a comparison between [1] divisions (Division A and B) and [2] groups (current HODs and faculty members). The U-test results have been provided in Table 4.25. This analysis showed a statistically significant difference for only one item, 'In my view the HR Division works too much behind the scenes' (see Table 4.25). The effect size was calculated ($r = 0.24$) and using Cohen's (1988) criteria this would be considered as a small effect. Again this difference is more likely to be attributable to factors like difference in size of the division or number of HR advisors assigned. However, U-test showed no significant difference for the total scale score (i.e. Total visibility and Total relevance). As 'scales give more accurate measurement than single items' (Guest & Clinton, 2007), this

implies that there is no significant difference between Division A and B with regard to HRM visibility and relevance.

On the other hand, group comparison revealed striking divergence amongst current HODs and faculty members (see Table 4.25). U-test found statistically significant difference between HODs and faculty members for individual items (a, b, e, & f) and the combined visibility and relevance scales. For these items/combined measures the probability values are less than or equal to .05, thus making the results significant. As evident from Table 4.25, for the significant items, the direction of the difference (mean rank and median values) is higher for the HODs. To determine the strength of these differences, r values were calculated. The effect sizes of the items/scales are: [1] Item a ($r = 0.42$), [2] Item b ($r = 0.31$), [3] Total visibility ($r = 0.39$), [4] Item e ($r = 0.32$), [5] Item f ($r = 0.33$), and [6] Total relevance ($r = 0.30$). Using Cohen's (1988) criteria all items/scales are showing a medium effect. Therefore, this indicates that HODs, arguably to a moderate level: [1] have better visibility of HRM compared to faculty members, and [2] perceive HRM initiatives and practices as more relevant than do faculty members. A plausible explanation for this outcome is that HODs in their position get better access to HRM policies and practices compared to faculty members. For instance, the interviewees mentioned about the ALP which introduced HODs to HRM policies and practices. Supporting this assertion is the quote:

“...I said before about the [ALP], part of that is...they [HODs] are made aware of all the [HRM] policies and procedures, they [are] made...aware of anything HR...”

Table 4.25: Visibility & Relevance (Divisional and Current HOD/ Faculty Member comparison)

VISIBILITY	Divisional Comparison				HODs Versus Faculty			
	Mean Rank (Median)*		Z values	Sig.	Mean Rank (Median)*		Z values	Sig.
	Division A n = 34	Division B n = 32			HODs n = 9	Faculty n = 57		
a) The services available from the HR Division are a mystery to me.	34.68	32.25	-.530	.596	53.11 (4)	30.40 (3)	-3.408	.001
b) As an academic staff member, I am regularly informed about the initiatives taken by the HR Division.	32.75	34.30	-.345	.730	47.78 (4)	31.25 (3)	-2.533	.011
c) In my view the HR Division works too much behind the scenes.	29.24 (2)	38.03 (3)	-1.970	.049	43.94	31.85	-1.860	.063
d) In this university it is clear what's outside the responsibility of the HR Division.	34.12	32.84	-.309	.757	43.17	31.97	-1.863	.062
Total Visibility	33.25	33.77	-.110	.912	51.94 (3.50)	30.59 (2.50)	-3.132	.002
RELEVANCE	Division A n = 32	Division B n = 30	Z values	Sig.	HODs n = 9	Faculty n = 53	Z values	Sig.
e) I find the implemented HRM practices relevant.	31.48	31.52	-.008	.994	44.06 (4)	29.37 (4)	-2.501	.012
f) In my view many of the HRM practices introduced by the HR Division are useless	32.38	30.57	-.421	.674	45.17 (4)	29.18 (3)	-2.623	.009
g) I often wonder about the usefulness of specific HRM practices.	30.52	32.55	-.465	.642	36.72	30.61	-.983	.325
Total Relevance	31.41	31.60	-.043	.966	44.39 (3.67)	29.31 (3.00)	-2.342	.019

Notes:

*Median values only indicated for statistically significant results.

Bolded items are statistically significant.

Perceived HRM

To answer research question four (RQ4) perceived HRM was examined. For the first part of the question, academics perception of HRM was analysed in terms of [1] importance, [2] effectiveness, and [3] HRM satisfaction. For the second part of the question, U-test was carried out to explore the differences in stakeholders' (i.e. HODs and faculty members) perceptions.

First, respondents' (i.e. HODs and faculty members) perceptions of HRM are reported in Table 4.26.

Table 4.26: Perceived HRM (Importance, Effectiveness and HRM Satisfaction¹)²

Items	IMPORTANCE		EFFECTIVENESS		HRM SATISFACTION	
	Mean	SD	Mean	SD	Mean	SD
a) General / Professional training and development	4.26	0.77	3.25	0.92	3.15	1.17
b) Academic leadership training and development	4.22	0.93	3.53	1.12	3.33	1.31
c) Probationary Confirmation	4.67	0.53	3.90	0.80	3.71	0.91
d) Performance and Salary Review Process	4.31	0.87	3.40	1.02	3.46	0.99
e) Flexible Working Arrangements	4.30	0.72	3.78	0.97	3.87	1.00
f) Up-to date HR information	3.83	0.86	3.33	0.88	3.35	0.89
g) Advice on Remuneration	4.00	0.99	3.21	0.95	3.22	0.93
h) Procedures for negotiating employment terms and conditions	4.26	0.79	2.82	0.97	2.76	1.08
i) Up-to-date and relevant information on salaries and pay	4.11	0.72	3.65	0.77	3.59	0.86
j) Leaves (e.g. Conference leave)	4.61	0.58	3.67	0.94	3.52	1.02
k) Managing diversity / equal opportunities	4.12	0.93	3.52	0.80	3.51	0.90
l) Academic Promotion and Progression	4.55	0.64	3.62	0.76	3.39	0.96
m) Retirement Planning	4.02	0.64	3.28	1.02	3.24	1.09
n) General recruitment and appointment	4.35	0.70	3.29	0.95	3.16	1.05
o) Induction	4.30	0.78	3.40	0.96	3.33	0.95
p) Relocation	3.78	0.87	3.55	1.02	3.63	0.96
q) Healthy & safety Policy	3.97	0.94	3.51	0.83	3.58	0.85
r) Workplace Wellbeing	4.27	0.91	2.86	1.09	2.84	1.05

Notes:

1. There is some missing data. The n range between 45 and 64. The n for relocation is very low (effectiveness = 29 and HRM satisfaction = 30), this is because this policy / practice applies only to relocated staff.
2. High mean values are bolded.

Table 4.26 shows that respondents perceive the majority of HRM policies and practices to be important. Means for these items range between 3.78 and 4.67, as the average ratings of the items (except for f, p and q) are equal to or above 4.00. The most highly rated are 'Probationary Confirmation' ($M = 4.67$, $SD = 0.53$), 'Leaves' ($M = 4.61$, $SD = 0.58$).

= 0.58) and ‘Academic Promotion and Progression’ ($M = 4.55$, $SD = 0.64$). However, it is interesting to note that perceived effectiveness of the policies/ practices’ and HRM satisfaction with the policies/practices’ are rated lower compared to the importance placed on them. In other words, what employees perceived as important is not equally met in terms of effectiveness and HRM satisfaction.

For most items (except ‘Procedures for negotiating employment terms and conditions’, ‘Relocation’, and ‘Workplace Wellbeing’ discussed below) the overall average ratings for effectiveness and HRM satisfaction are above 3.00. From these items, ‘Probationary confirmation’ ($M = 3.90$, $SD = 0.80$; $M = 3.71$, $SD = 0.91$) and ‘Flexible Working Arrangements’ ($M = 3.78$, $SD = 0.97$; $M = 3.87$, $SD = 1.00$) are the most highly rated, see Table 4.26. The positive response for probationary confirmation could be explained from the interviews. Describing the prescriptive nature of probationary confirmation policy, interviewees highlighted the benefit of it to the academics and the university. The following quote reflects this:

“probationary policy...very important for ensuring that we recruit and retain academics who are a suitable for academic life...they get over a...year chance to meet a minimum standard to make sure that...academic life suits them, an academic life in [name of the University] suits them.”

The effectiveness and HRM satisfaction of ‘Procedures for negotiating employment terms and conditions’ and ‘Relocation’ are noticeably low (below the mid-point). The effectiveness and satisfaction for ‘Procedures for negotiating employment terms and conditions’ was expected to be low as respondents had no direct involvement in the employment negotiations process. Though the respondents are made aware of the procedures, as reflected by the interviewees, the actual bargaining and negotiation of employment terms and conditions is dealt by the HR Division:

“Bargaining for employment agreements which we [HR Division] deal with, we administer, we don’t bargain but someone in this [Division] ... [name of the HR Director] does the negotiations...”

“You know so for example HR Director and I [DHRM] ...we do the collective bargaining on collective employment agreements.”

Equally low values were anticipated for relocation, as highlighted earlier it applies only to relocated staff.

The low effectiveness/ HRM satisfaction rating for ‘Workplace Wellbeing’ (Mean = 2.86, SD = 1.09; Mean = 2.84, SD = 1.05) is possibly explained by the poor rating this scored for Operationalised HRM (refer Table 4.21). In other words, weak implementation of ‘Workplace Wellbeing’ is reflected in perceived low effectiveness and HRM satisfaction.

Second, U-test was performed to explore the differences in stakeholders’ (HODs and faculty members) perception and striking results emerged from this comparison. Multiple items were found significant, mostly under effectiveness (see Table 4.27). The U-test results are described below, along with possible explanations for the differences.

First, for the item ‘Academic leadership training and development’ differences across all three perceived measures are found to be statistically significant. The direction of difference, as evident from Mean Rank and median values, is higher for HODs. To determine the strength of this difference the effect size or *r* values were calculated. The *r* values (Importance = 0.26; Effectiveness = 0.51; HRM Satisfaction = 0.51) using Cohen’s criteria indicate a small effect for importance, as the value is below 0.29. Whereas, the large effect for effectiveness and HRM Satisfaction, as the values are above 0.50. A possible explanation for this finding is that HODs in their position value the importance of leadership training more than the faculty members. Similarly, with their involvement in leadership training (i.e. ALP, refer section 4.2.2, under Training and Development) they are in the best position to determine its effectiveness and satisfaction for this particular facet of HRM practice. Alternatively, for faculty members in their roles, leadership training might not be seen as important. Also their involvement in such training might be limited, thus making it difficult to make an accurate judgement over its effectiveness and satisfaction.

For the five items assessing perceptions in relation to ‘Managing diversity/equal opportunities’, ‘General recruitment and appointment’, ‘Induction for new staff’, ‘Health and Safety Policy’, and ‘Workplace Wellbeing’, all were found to be statistically significant with regards effectiveness and HRM satisfaction. The direction of difference was again high for HODs. The *r* values for: ‘Managing diversity/equal opportunities’ (Effectiveness = 0.37; HRM Satisfaction = 0.34); ‘General recruitment

and appointment' (Effectiveness = 0.28; HRM Satisfaction = 0.36); 'Induction for new staff' (Effectiveness = 0.46; HRM Satisfaction = 0.31); 'Health and Safety Policy' (Effectiveness = 0.32; HRM Satisfaction = 0.28); and 'Workplace Wellbeing' (Effectiveness = 0.39; HRM Satisfaction = 0.31) were computed. Using Cohen's (1988) criteria the effect size range from small to medium.

At this point it is important (and also very interesting) to note that 'Workplace Wellbeing' is consistently being rated significantly lower by the faculty members. It has been rated poorly under operationalised HRM (see Table 4.21) and again it is endorsed here under perceived effectiveness and HRM satisfaction.

Third, 'General / Professional training and development', 'Performance and Salary Review Process', 'Advice on Remuneration', and 'Academic Promotion and Progression' are also found significant under perceived effectiveness. Similar to above stated items, the Mean Rank values are higher for HODs. The *r* values ('General / Professional training and development' = 0.33, 'Performance and Salary Review Process' = 0.31, 'Advice on Remuneration' = 0.29, and 'Academic Promotion and Progression' = 0.29) indicates a small to medium effect.

Additionally, importance, effectiveness and HRM satisfaction were explored at divisional level. At divisional level, the U-test results revealed few statistically significant items (a, b, p & r) (see Table 4.28). For importance, as apparent from the table, two items ('Academic leadership training and development'; and 'Workplace Wellbeing') are statistically significant. In both items, the Mean Ranks and the median values are higher for Division B (refer Table 4.28), indicating that importance was perceived significantly more highly by Division B compared to Division A. The effect size was computed ('Academic leadership training and development', *r* = 0.25; 'Workplace Wellbeing', *r* = 0.30) and using Cohen's (1988) criteria the first item shows a small effect and the second item shows a medium effect.

Perceived effectiveness and HRM satisfaction shows a significant difference for the same items: 'General/Professional training and development' and 'Relocation'. Looking at results, it appears that Division B stands out for the first item while Division A stands out for the second item. In other words, the effectiveness and satisfaction of 'General/Professional training and development' is perceived higher by Division B. On the other hand, effectiveness and satisfaction of 'Relocation' is perceived higher by

Division A. In reference to ‘General/Professional training and development’ it is important to note that minimal training is provided by the HR Division, however a number of training opportunities are provided outside the HR Division by training centres (refer section 4.2.2, under Training and Development). As for relocation, it is important to bear in mind that number of relocation staff may vary within and between departments and divisions.

Table 4.27: Perceived HRM – HODs/ Faculty Members Comparison

Items	Importance			Effectiveness			HRM Satisfaction				
	N (Mean Rank)		Z values	Sig.	N (Mean Rank)		Z values	Sig.	N (Mean Rank)	Z values	Sig.
	Median*				Median*				Median*		
	HOD	Faculty			HOD	Faculty			HOD	Faculty	
a) General / Professional training and development	9 (29.33)	52 (31.29)	-.330	.741	9 <u>(36.89)</u> 4	43 <u>(24.33)</u> 3	-2.396	.017	9 (35.78)	46 (26.48)	-1.668 .095
b) Academic leadership training and development	9 <u>(39.89)</u> 5	50 <u>(28.22)</u> 4	-2.034	.042	9 <u>(37.83)</u> 5	38 <u>(20.72)</u> 3	-3.476	.001	9 <u>(39.94)</u> 5	40 <u>(21.64)</u> 3	-3.561 .000
c) Academic Probationary* Confirmation	9 (31.33)	54 (32.11)	-.147	.883	9 (36.28)	50 (28.87)	-1.294	.196	9 (34.72)	50 (29.15)	-.979 .328
d) Performance and Salary Review Process	9 (36.33)	55 (31.87)	-.736	.462	9 <u>(42.06)</u> 4	51 <u>(28.46)</u> 4	-2.394	.017	9 (37.39)	52 (29.89)	-1.295 .195
e) Flexible Working Arrangements	8 (23.50)	52 (31.58)	-1.339	.180	8 (25.75)	47 (28.38)	-.460	.646	8 (22.50)	45 (27.80)	-.964 .335
f) Up-to date HR information	9 (36.78)	55 (31.80)	-.788	.431	9 (29.78)	46 (27.65)	-.392	.695	9 (29.56)	48 (28.90)	-.117 .907
g) Advice on Remuneration	8 (33.56)	52 (30.03)	-.567	.571	8 <u>(36.19)</u> 4	44 <u>(24.74)</u> 3	-2.104	.035	8 (36.81)	47 (26.50)	-1.784 .074
h) Procedures for negotiating employment terms and conditions	8 (31.81)	53 (30.88)	-.154	.878	8 (29.63)	41 (24.10)	-1.046	.295	8 (29.00)	43 (25.44)	-.644 .519
i) Up-to-date and relevant information on salaries & pay	9 (36.50)	54 (31.25)	-.896	.370	9 (34.78)	51 (29.75)	-.898	.369	9 (33.89)	52 (30.50)	-.588 .556
j) Leaves (e.g. conference leave)	9 (32.17)	53 (31.39)	-.145	.885	9 (38.56)	52 (29.69)	-1.532	.126	9 (32.56)	53 (31.32)	-.202 .840

k) Managing diversity / equal opportunities	8 (33.31)	50 (28.89)	-.739	.460	8 <u>(33.25)</u> 4	38 <u>(21.45)</u> 4	-2.533	.011	8 <u>(33.31)</u> 4	39 <u>(22.09)</u> 4	-2.338	.019
l) Academic Promotion and Progression	9 (33.67)	53 (31.13)	-.456	.649	9 <u>(40.17)</u> 4	49 <u>(27.54)</u> 4	-2.242	.025	9 (35.89)	50 (28.94)	-1.189	.235
m) Retirement policy	9 (27.28)	47 (28.73)	-.303	.762	8 (29.81)	38 (22.17)	-1.579	.114	8 (25.81)	38 (23.01)	-.578	.564
n) General recruitment and appointment	9 (34.56)	51 (29.78)	-.847	.397	9 <u>(37.78)</u> 4	46 <u>(26.09)</u> 3	-2.112	.035	9 <u>(41.11)</u> 4	47 <u>(26.09)</u> 3	-2.670	.008
o) Induction for new staff	9 (35.72)	52 30.18)	-.947	.344	9 <u>(41.83)</u> 4	44 <u>(23.97)</u> 3	-3.385	.001	9 <u>(37.83)</u> 4	45 <u>(25.43)</u> 3	-2.309	.021
p) Relocation	8 (20.81)	37 (23.47)	-.555	.579	7 (14.79)	22 (15.07)	-.084	.933	8 (14.50)	22 (15.86)	-.408	.683
q) Health and Safety Policy	9 (34.67)	52 (30.37)	-.723	.470	9 <u>(41.33)</u> 4	50 <u>(27.96)</u> 4	-2.444	.015	9 <u>(39.72)</u> 4	50 <u>(28.25)</u> 4	-2.138	.033
r) Workplace Wellbeing	9 (32.89)	51 (30.08)	-.487	.627	9 <u>(36.22)</u> 4	40 <u>(22.48)</u> 2	-2.743	.006	9 <u>(34.83)</u> 4	41 <u>(23.45)</u> 3	-2.216	.027

Notes:

*Median values are only shown for statistically significant items.

Bolded items are statistically significant.

Table 4.28: Perceived HRM – Divisional Comparison

Items	Importance				Effectiveness				HRM Satisfaction			
	N (Mean Rank)		Z values	Sig.	N (Mean Rank)		Z values	Sig.	N (Mean Rank)		Z values	Sig.
	Median*				Median*				Median*			
	Division A	Division B			Division A	Division B			Division A	Division B		
a) General / Professional training and development	32 (30.63)	29 (31.41)	-.187	.851	27 <u>(21.65)</u> 3	25 <u>(31.74)</u> 4	-2.542	.011	28 <u>(22.30)</u> 3	27 <u>(33.91)</u> 4	-2.813	.005
b) Academic leadership training and development	29 <u>(25.93)</u> 4	30 <u>(33.93)</u> 5	-1.939	.052	23 (20.83)	24 (27.04)	-1.604	.109	23 (21.09)	26 (28.46)	-1.849	.064
c) Academic Probationary* Confirmation	32 (30.72)	31 (33.32)	-.705	.481	30 (29.53)	29 (30.48)	-.231	.818	30 (27.37)	29 (32.72)	-1.308	.191
d) Performance and Salary Review Process	33 (31.97)	31 (33.06)	-.260	.795	32 (30.11)	28 (30.95)	-.206	.837	32 (30.78)	29 (31.24)	-.112	.911
e) Flexible Working Arrangements	31 (33.82)	29 (26.95)	-1.676	.094	29 30.47)	26 (25.25)	-1.290	.197	27 (28.96)	26 (24.96)	-1.016	.309
f) Up-to date HR information	33 (31.95)	31 (33.08)	-.256	.798	28 (27.21)	27 (28.81)	-.399	.690	29 (29.14)	28 (28.86)	-.068	.945
g) Advice on Remuneration	31 (29.97)	29 (31.07)	-.260	.795	26 (23.81)	26 (29.19)	-1.371	.170	28 (24.91)	27 (31.20)	-1.544	.123
h) Procedures for negotiating employment terms and conditions	32 (33.22)	29 (28.55)	-1.138	.255	24 (23.56)	25 (26.38)	-.721	.471	25 (28.00)	26 (24.08)	-.977	.329

i) Up-to-date and relevant information on salaries and pay	33 (31.33)	30 (32.73)	-.341	.733	31 (31.53)	29 (29.40)	-.533	.594	31 32.05)	30 (29.92)	-.522	.602
j) Leaves (e.g. conference leave)	32 (32.13)	30 (30.83)	-.340	.734	32 (29.13)	29 (33.07)	-.960	.337	32 (29.97)	30 (33.13)	-.736	.462
k) Managing diversity / equal opportunities	30 (28.17)	28 (30.93)	-.669	.503	23 (24.96)	23 (22.04)	-.825	.410	24 (24.92)	23 (23.04)	-.519	.604
l) Academic Promotion and Progression	32 (31.67)	30 (31.32)	-.091	.928	29 (29.26)	29 (29.74)	-.118	.906	30 (27.67)	29 (32.41)	-1.129	.259
m) Retirement policy	28 28.89)	28 (28.11)	-.223	.824	22 (20.39)	24 (26.35)	-1.625	.104	22 (20.91)	24 (25.88)	-1.350	.177
n) General recruitment and appointment	31 (31.08)	29 (29.88)	-.298	.765	29 (27.24)	26 (28.85)	-.391	.696	29 (29.45)	27 (27.48)	-.475	.634
o) Induction for new staff	32 (30.31)	29 (31.76)	-.348	.728	28 (25.57)	25 (28.60)	-.763	.446	28 (24.82)	26 (30.38)	-1.389	.165
p) Relocation	21 (22.81)	24 (23.17)	-.097	.923	16 <u>(17.72)</u> 4	13 <u>(11.65)</u> 3	-2.103	.035	15 <u>(19.30)</u> 4	15 <u>(11.70)</u> 3	-2.570	.010
q) Health and Safety Policy	31 (29.52)	30 (32.53)	-.715	.475	30 (26.78)	29 (33.33)	-.1663	.096	30 (28.83)	29 (31.21)	-.615	.539
r) Workplace Wellbeing	31 <u>(25.74)</u> 4	29 <u>(35.59)</u> 5	-2.386	.017	23 (23.93)	26 (25.94)	-.516	.606	23 (25.11)	27 (25.83)	-.183	.855

Notes:

*Median values are only shown for statistically significant items.

Bolded items are statistically significant.

Reaction to HRM

To answer research question five (RQ5), reaction to HRM was measured using one work-related attitudinal outcome (i.e. job satisfaction). For the first part of the question, job satisfaction recognised as the “most focal employee attitude” (Saari & Judge, 2004, p. 395) was examined as the conceptual model presumed that employees perception of HRM (measured above) will determine their reaction to HRM. Second part of the question required making comparison between perceived HRM satisfaction and job satisfaction. This was based on the assumption that perceived HRM satisfaction “is not identical to job satisfaction” (Khilji & Wang, 2006, p. 1177) (see Chapter One).

Table 4.29 presents responses for job satisfaction. From the descriptive information, it is evident that respondents rated their job satisfaction highly, as the mean values for the items are above 4.00 ‘Agree’. A total scale score across the items was computed and the average level of job satisfaction was found to be 4.20 ($SD = 0.615$), on the scale of one to five, indicating that overall ratings were above ‘Agree’.

Table 4.29: Job Satisfaction (n = 61)

Items	Mean	SD
a) All in all, I am satisfied with my job.	4.15	0.60
b) In general, I don't like my job.*	4.36	0.75
c) In general, I like working here.	4.10	0.81

Note:

*Item score reversed.

To get a better insight of the data, the analysis of job satisfaction was repeated at divisional and group level. At divisional level a significant difference was found for one item, with Division B scoring high, however, the combined scale did not show a significant difference (refer Appendix 4E, Table 2). Looking at combined scale results, there is no difference between divisions in terms of job satisfaction. Similarly, for HODs and faculty members no statistically significant difference was found for individual items or the total scale (see Appendix 4E, Table 2). So overall there seems to be reasonably high levels of job satisfaction with results being consistent at divisional and group level.

Finally, the difference between perceived HRM satisfaction and job satisfaction was explored using aggregate scores. The total perceived HRM satisfaction score was computed ($M = 3.67$, $SD = 0.306$). Looking at the total score of perceived HRM

satisfaction ($M = 3.67$, $SD = 0.306$) and job satisfaction ($M = 4.2$, $SD = 0.615$) it is evident job satisfaction have been scored higher than HRM satisfaction. In other words, respondents are more satisfied with their jobs compared to HRM policies and practices. Khilji and Wang (2006) suggested that HRM satisfaction is not identical to job satisfaction, and this finding that job satisfaction of the respondents are higher compared to their overall satisfaction with various HRM elements, supports their assertion. However, caution must be warranted here because the number of missing data for HRM satisfaction is quite high.

In summing up, the major findings emerged from the quantitative analysis are:

First, the results of operationalised HRM signalled a misalignment (or disconnect) between HODs and faculty members reported operationalised HRM policies and practices, though this difference was not significant across divisions.

Second, HRM communication results indicated that overall managerial communication was at a moderate level. Within the same analysis it was evident that the overall HRM visibility was low, while HRM relevance was at a moderate level. This analysis, when extended at divisional level, found no significant difference. However, at group level (HODs and faculty members) the comparison indicated that [1] HODs had better visibility of HRM compared to faculty members, and [2] HODs perceived HRM initiatives and practices as more relevant than the faculty members.

Third, perceived HRM results showed that what employees perceived as important is not equally met in terms of effectiveness and HRM satisfaction, as the mean scores are higher for importance comparative to effectiveness and HRM satisfaction. There were few statistically significant items at divisional level. However, the results were striking at the group level.

Fourth, 'Workplace Wellbeing' was consistently rated significantly lower by the faculty members. It was rated poorly under operationalised HRM as well under perceived HRM.

Finally, for reaction to HRM (measured using job satisfaction) there was high convergence in views about overall job satisfaction within this scored reasonably high and the results were consistent at divisional and group level. Further, the comparison of perceived HRM satisfaction and job satisfaction showed higher scoring for job

satisfaction thus indicating to an extent that the respondents' job satisfaction was higher compared to their overall satisfaction with various HRM elements.

4.4 Chapter Summary

This chapter presented the qualitative and quantitative findings uncovered by this study. Data from the qualitative interviews and the quantitative survey revealed the interview participants and survey respondents' experiences and perception of the studied university's HRM process. Findings were organised according to the conceptual framework and the research questions.

The qualitative analysis addressed the first part of the conceptual framework and the research questions 1 and 2. Using extensive quotations from the interview participants, the key qualitative findings emanated from the study were presented under the headings: environment, strategy, intended HRM policies and practices, and operationalisation of HRM. Notably there was high degree of consistency amongst interviewees with regards the primary findings. The first finding indicated numerous external and internal environmental factors of concern to the university, HR division and academics. The second finding highlighted the alignment of HRM strategy to operational needs and institutional strategy of the university. The third finding identified a number of intended HRM policies and practices from which some were currently in place while others were planned. From the existing policies and practices in place, there was a strong focus around the areas of ALP and recruitment. Most of the planned HRM initiatives were directed towards modernising HR processes using technology. Finally, the fourth finding informed how HRM policies and practices got operationalised at divisional and departmental level. The DHRMs and HR advisors support and facilitation were seen key at the divisional level. The actual operationalisation was expressed as a responsibility of HODs, which arguably was shared with the departmental managers. For effective operationalization strong lines of downward and upward communication was viewed essential.

The quantitative analysis was conducted with the aim to answer the conceptual framework and the research questions 3, 4 and 5. Descriptive statistics and Mann-Whitney U-test results were used to derive the key findings and where appropriate these findings were corroborated with interview findings. First, the results on operationalised HRM signalled a misalignment (or disconnect) between HODs and faculty members

reported operationalised HRM policies and practices, though this difference was not significant across divisions. Second, HRM communication results indicated that overall managerial communication was at a moderate level. Within the same analysis it was evident that the overall HRM visibility was low, while HRM relevance was at a moderate level. This analysis, when extended at divisional level, found no significant difference. However, at group level (HODs and faculty members) the comparison indicated that [1] HODs had better visibility of HRM compared to faculty members, and [2] HODs perceived HRM initiatives and practices as more relevant than the faculty members. Third, perceived HRM results showed that what employees perceived as important is not equally met in terms of effectiveness and HRM satisfaction, as the mean scores are higher for importance comparative to effectiveness and HRM satisfaction. There were few statistically significant items at divisional level. However, the results were striking at the group level. Fourth, ‘Workplace Wellbeing’ was consistently rated significantly lower by the faculty members. It was rated poorly under operationalised HRM as well under perceived HRM. Finally, for reaction to HRM (measured using job satisfaction) there was high convergence in views about overall job satisfaction within this scored reasonably high and the results were consistent at divisional and group level. Further, the comparison of perceived HRM satisfaction and job satisfaction showed higher scoring for job satisfaction thus indicating to an extent that the respondents’ job satisfaction was higher compared to their overall satisfaction with various HRM elements.

CHAPTER 5: DISCUSSION

5.1 Introduction

The purpose of this study was to examine the devolution and enactment of HRM within a single HE institution in New Zealand. It is believed that developing an understanding of the HRM process will be beneficial for HRM practitioners working within HE settings because this type of exploration will enable discrepancies between intended and operationalised HRM policies and practices to be identified. This research used a two-phase exploratory mixed method sequential transformative design to collect qualitative data by conducting semi-structured interviews and quantitative data via an online survey. The first phase sample comprised senior HR Managers while the second phase sample was made up of academics from two academic divisions. The data obtained from both the groups were organised and analysed according to the categories in the conceptual framework and the research questions. Key findings are now discussed.

5.2 Discussion

This section discusses the findings presented in Chapter 4. The study addressed five research questions and the discussion is aligned to each of these questions.

The first research question sought to determine the intended aims of the HRM policy and practices within a university setting. First, an attempt was made to understand the university setting, thus a series of interview questions asked about the environment and the strategies in place. The interview findings indicated a number of external and internal environmental factors of concern to the university, HR division and the academics. These findings support to Jackson and Schuler (1995) and Truss & Gratton's (1994) assertion that there are number of external and internal factors in the environment which could impact an organisation and its strategies.

The external factors demonstrated from the interview findings are essentially financial and concerning political/legal changes, attracting / recruiting staff and student numbers. Indeed, some of these findings bear a striking resemblance to external challenges reported in the extant literature (Ginsburg, 1993; Glazer, 2002; Gordon & Whitchurch, 2007; Guest & Clinton, 2007; Holbeche, 2008; Waring, 2013). For instance, the challenge of funding and student numbers highlighted in this research is consistent with

Guest and Clinton (2007), who identified funding and student numbers as major concern for UK universities. A similar viewpoint is provided by Glazer (2002), who described [1] attainment and retention of funding and [2] students, as common concerns to all HE institutions.

The internal challenges identified in the findings relate to structure, bureaucracy, and staff attitude and perception. The internal concerns to surface from the interviews were regarding the academics reluctance or dislike to handle bureaucratic/administrative tasks and the perception of HR as being bureaucratic / administrative appear to be consistent with the literature reviewed. Scholars (Guest & Clinton, 2007; Smith & Ferris, 1990; Waring, 2013) have indicated the negative reaction of academics towards more managerial, bureaucratic and administrative HRM functions. Archer (2005) also referred to the resilient anti-management culture and attitudes of the academics. Both findings and literature give credence to this concern.

The question is then raised as to why academics dislike tasks which are bureaucratic and administrative in nature. Based on interviews, a possible reason expressed by the HR Managers is the difference in academic interest and loyalty. They observed that academics interest and loyalty lies more towards their discipline than to the university. This finding is supported by Archer (2005) who explicated similar opinion based on interviews with heads of institutions, and heads of HR and personnel at 44 UK universities. Archer (2005) reported that academic staff has an over-arching loyalty to their research, subject and discipline than to their university. Another possible reason for this dislike could be explained using Waring's (2013) argument about the conflict between managerial approaches and the traditional academic collegiality. Regardless of these plausible explanations, indeed, it would be interesting obtain academics viewpoint and to see how far they agree with these assessments.

The evidence on strategies confirms the existence of a written HRM strategy and there is evidence that HRM strategy is aligned with institutional strategy. This is in line with the claim that "almost all universities now have a clearly articulated HR strategy and that HR policies and practices are integrated into the wider university strategy" Guest and Clinton (2007, p. 17 and 38). Remarkably, this study found that HRM strategy alignment is not restricted to the institutional strategy, instead HRM strategy is closely aligned with the operational needs of the university and the institutional strategy. Based

on this, it could be surmised that this is a more realistic reflection of HRM strategy. Though HRM strategy may take its cues from institutional strategy but matching every element of the HRM strategy with the institutional strategy may not be possible unless in an ideal world.

Perhaps, an overriding operational focus could be a reason for the HR managers to rate them lower when they were questioned about the HR division's ability to influence on strategic imperatives like research, teaching and student outcomes. Alternatively, this could be attributable to the HR's low influence claims made by scholars. For instance, Glazer (2002) and Julius (2000) argued that HRM function fails to demonstrate any contribution towards institutions mission. This was also highlighted in Guest and Clinton (2007, pp. 30-31), who noted that HR directors rated the influence of their function on performance outcomes (such as research, teaching and student) "generally low" and "indirect". With regard to low influence claims, some (for example, Edgley-Pyshorn & Huisman, 2011, p. 610; Glazer, 2002; Waring, 2013) have called HR departments in HE institutions: [1] to "justify its position, worth and capability" in order to "gain the buy-in" of academics, and [2] to "completely reconceive and reconfigure the function—to overhaul it from one devoted to activities to one committed to outcomes" (Ulrich, 1998, p. 126). This probably is important for the studied university given the past reputation of HR and internal challenges, as described in Section 4.2.2.

After an understanding of the university setting, the intended HRM policies and practices within the university were determined. From the findings it is evident that a number intended HRM policies and practices are in place and well established. These cover training and development, recruitment, academic performance reviews, health and safety, academic leaves, academic promotions, probation, induction, relocation, and remuneration. From these policies and practices considerable attention was devoted on academic leadership training (i.e. ALP) and recruitment.

The evidence on application of the intended HRM policies and practices confirms that some of the policies and practices (i.e. ALP; Performance Review; Academic Promotions; Probationary confirmation; and Conference Leave and Research Study) are specific and applicable to academics while others are generic and uniform to both academic and general staff. It also became evident that the policies are consistently

applied across academic divisions but the delivery of these policies is often tailored to cater for individual divisional needs. In other words, the HRM policies may be consistent across divisions but the HRM procedures and practices may vary. In the light of these findings, some tentative assumptions made at the outset of this study may need revising.

One underlying assumption of this research was that different employment policies and practices (or HRM systems) exist for different groups of employees or stakeholders (demarcated in this study into academic and general staff). Based on Lepak and Snell (1999) it was assumed that each HRM system focuses on meeting the needs of a particular stakeholder group. This assumption turned out to be partially true. Though there are policies and practices which are specific to the academic group, alternatively, there are policies and practices which are common to both groups. Additionally, it was assumed that policies and practices are uniform and consistently applied within each group. However, this does not appear to be the case as the findings uncovered that delivery of these policies was often tailored to meet the needs of individual divisions.

In addition to existing HRM policies and practices, the findings disclosed some planned HRM initiatives which are in the process of being introduced. It is evident that most of the new initiatives are directed toward modernising HRM processes using technology. On the surface, with a range of new initiatives in line, the studied university showed signs of HRM modernisation efforts although they may not be under a stringent modernisation agenda as in the UK universities. It is interesting to note that modernisation efforts are visible in spite of the low influence of managerialism on New Zealand universities (Edgar & Geare, 2013). However more detailed research is needed to move beyond this emergent picture. In fact it will be useful to obtain academic voice regarding the new initiatives to see whether they perceive these as acts of managerialisim.

With an understanding of the intended HRM policies and practices, the second research question comprehends how these policies and practices get operationalised at the divisional and departmental levels. Evidence gained from the HR Managers indicates that operationalisation of the intended HRM policies and practices are devolved down to academic divisions and departments. This finding mirrors the current literature (Brewster et al., 2013; Purcell & Hutchinson, 2007; Sikora & Ferris, 2014; Wright &

Nishii, 2012), in which it is argued that the operationalisation of HRM does not fall entirely within the responsibility of the HR Division. However, as highlighted in the Findings section, it is not entirely clear which policies and practices get devolved.

The question then considered who, within the divisions / departments were held responsible for the operationalisation. The study identified three main players [1] DHRMs and HR Advisors, [2] HODs and the [3] departmental managers/administrators. The DHRMs and HR advisors notably play an important role at divisional level though the role is perceived to be indirect and supportive in nature. From the interviewed HR Managers perspective, the DHRMs / HR advisors' role is to support and advise heads of academic divisions and departments including staff. Archer (2005, p. 23) acknowledged this role and described HR advisors acting for different faculties, schools, departments and all line managers as "consulting and advisory client-facing HR teams". The DHRMs / HR advisors role is viewed important to assist the line managers or HODS in their everyday operationalisation of HRM. Alfes et al. (2013) advance this perspective, suggesting HRM practitioners collaborate with line managers to ensure that HRM practices are executed effectively on a daily basis.

In contrast to DHRMs / HR advisors, the HODs in line position are recognised as leaders of academic departments assigned with direct operational and decisional responsibility of HRM. In fact, many studies (e.g. Archer, 2005; Brewster et al., 2013; Guest & Clinton, 2007; Purcell & Hutchinson, 2007) echo this view that actual operationalisation of HRM is part of line managers' day-to-day responsibility. For instance, Renwick (2003, p. 262) highlighted line managers as a key player of HRM as more HRM "work has been devolved to them".

Discussion on HODs operational responsibility of HRM, uncovered an overlooked role of departmental managers and administrators. This study disregarded departmental managers / administrators considering they were general staff and their managerial and operational responsibility was assumed to be limited to other general staff working within academic departments. This notion seems to be inaccurate as majority of the interviewees (3 out of 5) find departmental manager's role significant in operationalisation of HRM. The findings indicate that HODs share their HRM operational responsibility with the departmental managers. Predominantly the administrative side of the HRM responsibility is managed by departmental managers.

This is lending support to Brewster et al. (2013) and Archer (2005), who observed that HRM policies and practices get executed by multiple individuals (e.g. line managers, supervisors). Adding to this Brewster et al. (2013) also noted that HRM operationalisation could differ across implementers. Consequently, how the HODs execute HRM may vary from their departmental managers. However, this study does not provide a clear picture of how this operational responsibility is shared between the HODs and departmental managers. Similarly more validation is required on the type of operational responsibility shared. An investigation of this by obtaining views of HODs and departmental managers would be interesting.

In addition to the aforementioned roles, interviewees pointed to effective communication between the HR Division and academic divisions / departments as essential for HRM operationalisation. Findings show that operationalisation of HRM policies and practices requires strong open lines of downward (i.e. HR Division to academic divisions and departments) and upward (i.e. Divisional heads and HODs to HR division) communication. This sentiment is expressed by Guest and Clinton (2007, p. 42), who suggested that “if the broader purposes of the policy has not been communicated”, it may not be implemented at all. The quantitative findings provided additional insight on this topic. Communication quality of HODs and departmental manager communication was examined based on the assertion that quality of managerial communication will shape employee perception of HRM (Den Hartog et al., 2013). From the findings it is evident that the communication quality of the HODs is viewed slightly more favourably by the faculty members than is the departmental manager communication. This result does indicate room for improvement in overall managerial communication (both HODs and departmental managers). In addition this shows that departmental managers are involved in communicating HRM policies and practices and thereby this finding strengthens the interview finding on departmental managers’ role in operationalisation of HRM.

Two additional aspects (visibility and relevance) were examined in line with communication quality. It was assumed that strong communication (or quality communication) will result in higher HRM visibility and relevance. The overall visibility (i.e. the degree to which academics had a clear idea of HRM practices, what is implemented or what can be expected from the HR division) rated by the HODs and faculty members is low. The overall relevance (i.e. the degree to which HRM policies

and practices are perceived as useful, relevant and supporting organisational goals) score is more positive in comparison to the visibility score. The low visibility score will possibly have implication on how HRM is perceived. Thus, it appears to the researcher that current communication approaches and mechanism in place needs to be reconsidered to enhance the overall visibility factor.

HRM visibility and relevance was tested at the divisional level (Division A versus Division B) and the group level (current HODs versus faculty members) within no significant difference identified at the divisional level. In contrast, a striking difference is evident amongst current HODs and faculty members. The findings revealed that HODs have better visibility of HRM compared to faculty members and equally they perceive HRM initiatives to be more relevant than the faculty members. A explanation for this is provided by Den Hartog et al. (2013), who reported that managers (in this case HODs) in their different roles have different access to information and consequently they get better insight of the HRM policies and practices than employees (in this case faculty members) who receive it after filtration. This difference in access to information is apparent from the interview findings.

Low HRM visibility and relevance amongst faculty members compared to HODs again reinforces the importance of improving quality of managerial communication, especially at departmental level. According to Den Hartog et al. (2013, p. 1656) “manager- rated HRM and employee-rated HRM are more aligned” when the quality of communication is high. Once more this raises the interesting question of whether the communication should be improved from the HODs’ side or from departmental managers’ side. Detail research on departmental level communication is necessary to put a light on this subject.

While research question 2 focused on ‘how’ HRM was operationalised, research question 3 looked into ‘what’ was operationalised. This question used survey data to identify any differences between intended policies and practices and what was operationalised at the divisional and the departmental level. The intended aims of HRM policy and practice (determined using the interview data (RQ1) and policy documents available in the website) was rated by HODs (current and previous) and faculty members. From their rating, HODs clearly indicated that all listed intended HRM policies and practices are operationalised ‘Most of the Time’. However, this claim, to a

large extent does not match with the views of the faculty members. With a few exceptions, there is disconnect between the HRM policies and practices which are purported to be offered and operationalised by HODs and what faculty members perceive as implemented. Exceptions include, namely are ‘Probationary Confirmation’; ‘Performance and Salary Review Process’; ‘Flexible working arrangements’; ‘Leave, e.g. Conference Leave’; and ‘Academic Promotion and Progression’. A possible explanation for this convergence in views, as noted earlier, is that these particular HRM policies and practices are specific to academics.

On the other hand, there is significant difference in HODs and faculty members views about ‘Managing diversity/equal employment opportunities’; ‘General recruitment and appointment of staff’; ‘Health and Safety’; and ‘Workplace Wellbeing’. Specifically the difference is striking for ‘Workplace Wellbeing’. This divergence in HODs and faculty members rated operationalised HRM policies and practices is highlighted by Den Hartog et al. (2013) and also Liao et al. (2009). They elucidated that employee views of operationalised HRM (in this case the faculty members) will indicate any disconnect or misalignment from line managers (in this case HODs) reported HRM. According to Guest (2011) the employees view is more valid as they are closer to the point of implementation. This ‘disconnect’ further advances the argument in the extant literature that in organisational reality intended or planned HRM does not necessarily reflect the actual, implemented or operationalised HRM (Khilji & Wang, 2006; Nishii et al., 2008; Purcell & Kinnie, 2007; Truss & Gratton, 1994; Wright & Nishii, 2012). To minimise such disconnect an area for improvement highly suggested by scholars is communication (Bowen & Ostroff, 2004; Den Hartog et al., 2013; Rodwell et al., 1998; Wright & Nishii, 2012). The findings of this study similarly highlight the importance of communication.

The question aimed to determine the difference at divisional and departmental level but since the survey data did not support a departmental level comparison only a divisional level comparison was made. The divisional comparison, between Division A and B revealed little difference. The difference found for ‘Up-to date HR information’ and ‘Advice on Remuneration’ is possibly attributable to the difference in division size and the number of HR Advisors assigned. Overall there is convergence in views about the operationalised HRM policies and practices in Division A and B.

Research question 4 aimed to find how academics perceived operationalised HRM policies and practices and how this perception differed across the different stakeholders (i.e. heads of departments and faculty). Perception measured in terms of importance, effectiveness, and HRM satisfaction show that academics (HODs and faculty members) perceived importance of HRM policies and practices is not equally met with perceived effectiveness and HRM satisfaction. Notably all HRM policies and practices are viewed positively as important from which the most highly rated are ‘Probationary Confirmation’, ‘Leaves’, and ‘Academic Promotion and Progression’.

In contrast to perceived importance, perceived effectiveness and HRM satisfaction obtained mixed reviews. Some policies and practices (‘Probationary Confirmation’ and ‘Flexible Working Arrangements’) are highly rated while others (‘Procedures for negotiating employment terms and conditions’, ‘Relocation’ and ‘Workplace Wellbeing’) received relatively low scores. As stated in the Findings Section, the low rating for ‘Procedures for negotiating employment terms and conditions’ and ‘Relocation’ was anticipated as respondents have no direct involvement in the employment negotiations process and relocation is only applicable to relocated staff. Inversely, low score for ‘Workplace Wellbeing’ was unexpected. The poor implementation of this policy / practice indicated by faculty members (see research question 3) is possibly the reason for perceived low effectiveness and HRM satisfaction.

Differences in stakeholder perception were identified using U-test results. The results are striking as there is a remarkable difference in HODs and faculty perception of HRM policies and practices, mainly in respect to effectiveness. Except for ‘Academic leadership training and development’ no difference is found for perceived importance. Perceived effectiveness show a significant difference for ten policies /practices (out of 18) and this number is limited to six concerning HRM Satisfaction. This difference once again reflects the aforementioned ‘disconnect’ between HOD and faculty rated HRM (Den Hartog et al., 2013; Liao et al., 2009).

HODs and faculty perception of ‘Academic leadership training and development’ differs significantly, with HODs rating it higher in terms of importance, effectiveness and HRM satisfaction. This difference can be attributed to the fact HODs are in leadership positions. They are likely to value the importance of leadership training

more than the faculty members. Similarly, with their involvement in leadership training (i.e. ALP) they are in the best position to determine its effectiveness and satisfaction compared to faculty members. On the contrary, for faculty members in their roles, leadership training might not be seen as important. Also their involvement in such training might be limited, thus making it difficult to make an accurate judgement over its effectiveness and satisfaction.

Although the forgoing difference is acceptable, the difference in HODs and faculty perceived effectiveness and HRM satisfaction of other policies and practices (e.g. ‘General recruitment and appointment’ or ‘Health and Safety Policy’) is puzzling. It is questionable why HODs perceived effectiveness and satisfaction is higher comparative to faculty members. Especially the results observed for ‘Workplace Wellbeing’ is worth mentioning, as it is consistently rated lower by the faculty members (under operationalised HRM as well under perceived effectiveness and HRM satisfaction). Given that HRM operationalisation is shared by HODs and departmental managers it would be interesting to find their views on this to: [1] identify who is responsible for this, and [2] understand the reasons for such poor rating. Similarly, it would be interesting to make a comparison of managerial views with non-managerial academics.

Notwithstanding, a possible reason for overall higher rating by HODs, using the previously raised argument of Den Hartog et al. (2013), is that HODs in their different roles have different access to information and they get better insight of the HRM policies and practices than employees. Thereby they may perceive it as more effective and satisfying. Alternatively, the HODs higher rating could be explained using attribution theory. The HODs are responsible for a number of these policies and practices and thus they may have a tendency to self-report more highly on their performance in these areas. In other words they may be exhibiting a self-serving bias to maintain and enhance their self-presentation.

Finally, the fifth research question sought to ascertain how academics react to HRM and this was measured using one work-related attitudinal outcome (i.e. job satisfaction). Equally the question strived to identify any difference between perceived HRM satisfaction and job satisfaction.

Survey findings show that respondents’ (HODs and faculty members) overall job satisfaction is high and this result is consistent at the divisional and the group level.

Based on this result it is possible to conclude that academics reaction to HRM is positive. However, when the overall job satisfaction is compared with respondents overall perceived HRM satisfaction there seems to be a mismatch. The level of job satisfaction is high compared to respondents satisfaction with various HRM policies and practices. This finding supports Khilji and Wang (2006, p. 1177) claim that HRM satisfaction “is not identical to job satisfaction”. Consequently, the assumption (Assumption 5) posited by the researcher, based on the assertion of Khilji and Wang (2006) is supported.

The high job satisfaction rating is intriguing. A possible reason is that academics allegiance to their profession is probably driven by intrinsic motivational factors such as job challenge, autonomy, task variety and responsibility (Shields, 2007). Credence to this perspective is found from the interview findings as well from the work of Archer (2005) which has been reported earlier (see Research Question 1).

In summary, the discussion of research questions shows the multifaceted and complex nature of the HRM process within an HE institution. This discussion has shed some light on the university setting by identifying the external and internal environmental factors affecting the university and its strategies. It offers an explanation on the alignment of HRM strategy to institutional strategy and the operational needs of the university. It also reports on the various intended policies and practices which are in place or planned. How HRM is operationalised at the divisional and the departmental levels is highlighted along with the importance of downward and upward communication. The discussion also reveals any discrepancies in operationalised HRM and perceived HRM respectively at divisional and group level. Finally, light is shed on the reaction to HRM and the difference between perceived HRM satisfaction and job satisfaction.

Reflecting on the holistic and integrated picture produced from the discussion, the conceptual framework of this study can now be modified as follows (refer Figure 5.1). Presenting the modified framework warrants some degree of caution as this framework reflects the HRM process of the studied institution, thus its generalisability to other academic contexts is questionable.

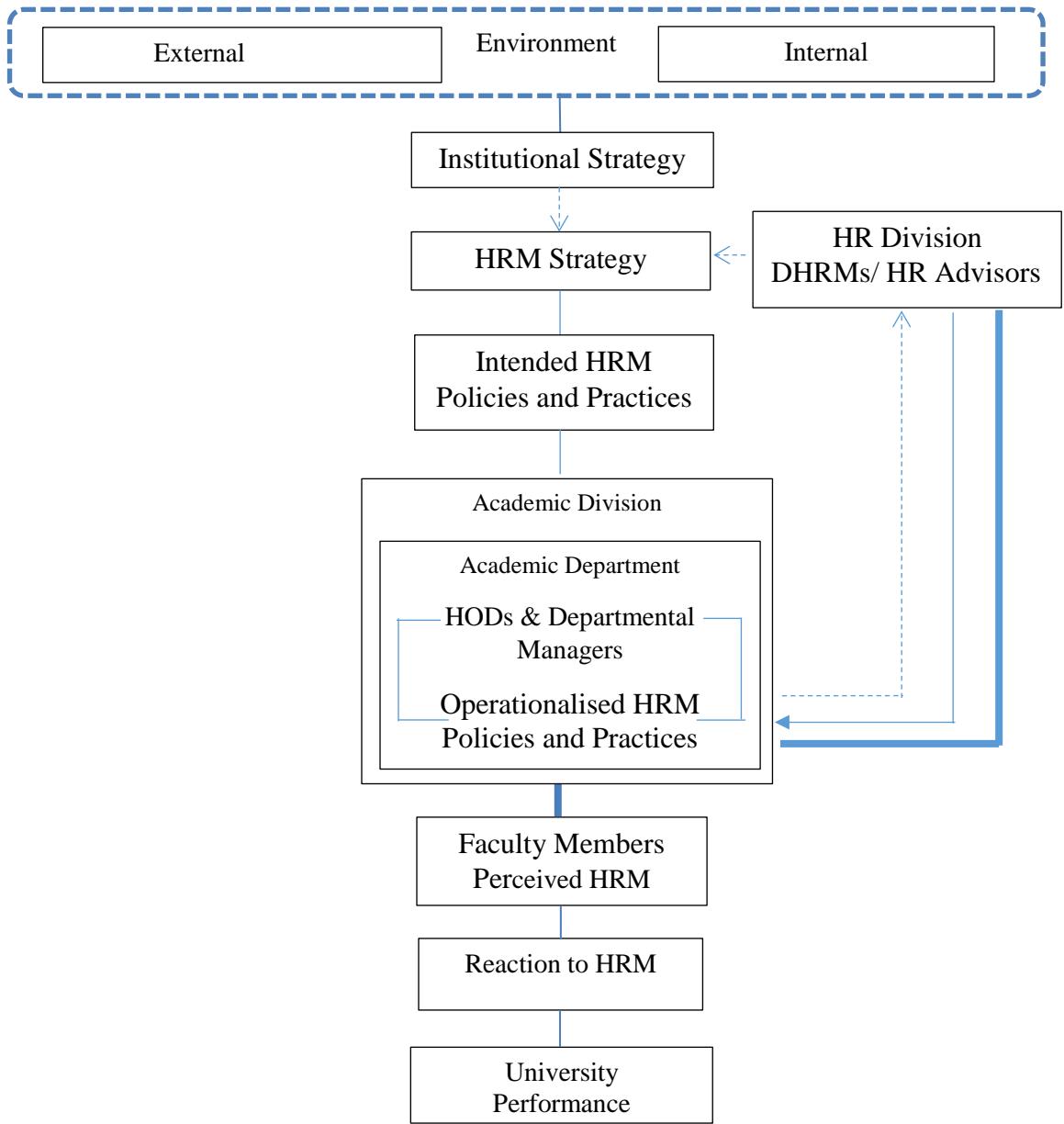


Figure 5.1: Modified Conceptual Framework

The impact of environment is acknowledged as in the original framework. There are several external and internal environmental factors influencing the university strategy. In contrast to the earlier framework the revised framework shows the influence of [1] institutional strategy and [2] operational needs on HRM strategy. This is represented using the dotted arrows. The HRM strategy formulated considering the operational needs and institutional strategy results in a number of intended HRM policies and practices. These intended policies and practices were initially assumed to be specific to academics. However, the current model presents some that may be specific to academic staff while others may be generic and applicable to both academic and general staff.

In concordance to the original model it shows that operationalisation of intended HRM policies and practices is not restricted to HR Division but rather it is devolved to academic divisions and departments. In the modified framework, operationalisation is a shared responsibility between HODs and departmental managers. This model does recognise the operational assistance and support provided by HR Division (i.e. by DHRMs). This is represented using the downward arrow from HR division to academic department. Though the original model noted the role of HR division and limits the role to intended HRM, the current model represents that this role is extended to an advisory and supportive role at the operational end.

The earlier model assumed that the way in which the HODs operationalise will shape academics perception towards HRM. In contrast, this model presents how HODs and departmental managers operationalise HRM will determine academics perception of HRM. Thus, the collective managerial effort will frame the overall academic perception of HRM.

In line with the original framework, the revised framework highlights the importance of communication between [1] HR division and line (in this case HODs and departmental managers) and [2] line and academic staff as this influences operationalisation of HRM and perceived HRM. This model stresses the importance of upward and downward communication using a bold line. Line is used instead of an arrow to represent two-way communication.

Finally, how academics perceive HRM will finally determine the overall reaction to HRM and then this will influence the overall performance of the institution.

CHAPTER 6: CONCLUSION AND RECOMMENDATIONS

6.1 Conclusion

The aim of this thesis was to look into the HRM process within a HE institution. Five questions were set. The first question, was concerned with the HRM process at a strategic level, and looked into intended HRM policies and practices within a university setting. To identify these, HR professionals' views with regards the university setting along with intended HRM policies and practices were examined. Initially it was thought that HRM strategy would be informed and aligned to institutional strategy. However, findings of this study revealed it is informed by both the operational needs as well as the institutional strategy. In particular a host of external and internal environmental factors were found to be very influential. This is consistent with prior work by Guest and Clinton (2007), Glazer (2002) and Waring (2013).

The second question explored how HRM is operationalised within divisions and within departments. Findings indicated that while it was assumed this enactment would be the sole remit of the HOD, the operationalisation of HRM appears to comprise more a shared responsibility between HODs and senior administrative staff working within the department. Thus it is a cooperative and combined effort which influences HRM operationalisation. The HR division influences HRM enactment by acting strictly in an advisory capacity. Integral to the efficacy of these roles was communication and this is a facet that has recently been identified within the literature (e.g. Den Hartog et al., 2013) as crucial to HRM operationalisation and perceived HRM.

While the second question explored 'how' HRM is operationalised, the third question had its focus on 'what' is operationalised. By comparing HOD and faculty data it was revealed that disconnect existed between what HODs' claimed they offered and what faculty perceived what was actually implemented.

Transcending the HRM process the fourth question examined perceptions of HRM. The main finding here was that although many HRM policies and practices were identified as important, correspondingly many also reported both a low rating of perceived effectiveness, alongside a low level of satisfaction for these same policies and practices.

Last, reactions to HRM were examined. Often job satisfaction is used as the proxy measure for HRM reaction. In this regard job satisfaction is thought to be an outcome

which reflects employee reaction to HRM. Some, however, argue that the use of job satisfaction in this capacity is flawed (Khilji and Wang, 2006). In this regard it is thought that job satisfaction is not the same as perceived HRM satisfaction. The findings of this study reveal this might be the case, with data suggesting levels of job satisfaction are not necessarily correspondent with perceived HRM satisfaction.

These findings contribute by shedding some much needed light on the HRM process within HE. Much of these data provide empirical support for current theorising. In addition some new insights are also gleaned and it is anticipated that HRM in HE might benefit from these valuable contributions.

6.2 Contributions and Limitations

This section highlights the contributions and limitations of this study.

6.2.1 Contributions

The main contributions from this study are that it sheds light on the devolution and enactment of HRM within a HE setting. To researcher's knowledge no established study to date have considered HRM process of a HE institution. Through this study, the researcher is able to contribute to the limited HRM research that exists for HR practitioners in HE. The research provides practitioners in HE with knowledge of the HRM process and equally highlights that discrepancies occur between [1] intended and operationalised HRM; [2] HODs and faculty perceived HRM; and difference [3] in employee reaction to job satisfaction and HRM satisfaction.

Notwithstanding, the study addressed multiple gaps in HRM– performance literature and contributed to the existing body of knowledge in the following ways. First, it studied the whole HRM process by incorporating a number of key variables (For instance, HRM strategy, intended HRM and communication). Second, the study was conducted in a new and unique setting (i.e. in a HE setting) with reduced complexity (i.e. two academic divisions). It also moves beyond accounts from strategic level HRM professionals and captured views from multiple informants (i.e. HR Managers, HODs, and faculty members). In addition, it gathered empirical data on university setting, HRM strategy, intended, operationalised, perceived HRM and reaction to HRM.

Finally, this study provides findings which are descriptively and quantitatively rich in detail.

6.2.2 Limitations of the Research

Despite the contributions mentioned it is important to note that this study has several limitations.

Based on the call for research in settings with reduced complexity, this study focused only on two academic divisions of a single HE institution. Though meaningful illustration of the HRM process is derived, this focus limits representation. Thus, the results cannot be generalised to other HE institutions that were not part of this study.

More significant results may also have been achieved with a larger sample. The departmental level comparison was not possible due to limitations in the sample size. Similarly, the HODs population was smaller than would potentially be considered ideal. Overall a larger sample possibly including other divisions may have helped to build more convincing picture of the HRM process.

Given the time constraints gaining in-depth understanding on each aspect of the conceptual framework was ambitious. Present study has acquired only a narrow insight into some elements of the conceptual framework and thorough research is needed to fully comprehend the process. For instance, the conceptual model reflected the link between employee reaction and performance. However, performance was placed outside of the purview of this research and no attempt was made to study the influence of employee reaction on performance. Similarly employee reaction was measured using a single attitudinal outcome (job satisfaction); other cognitive and subsequent behavioural outcomes were excluded.

Last, though careful thought was given during research design, the overall limitations of the research design discussed in Chapter 3 limits the study.

6.3 Implications of the Study

The present study offers important implications for HR managers, HODs and departmental managers working in a HE setting. These implications reflect issues for contemplation rather than pointing for certain policy directions.

Given there is disassociation between HODs and faculty rated HRM and these apply for operationalised HRM as well perceived HRM, HR managers should consider ways to minimise this disconnect as this could have subsequent implication on how academics

react to HRM. To minimise this disconnect, HR managers should find out appropriate support mechanisms, direction, and guidance they could rightfully put into place.

The recommendation put forth here for HODs and departmental managers is to consider how the shared HRM operational responsibility could be maximised. At the same time, it is important to consider ways to improve their communication with faculty members. Effective communication of HRM policies and practices could reduce the misalignment and enhance the overall perception, visibility and relevance of HRM. Thus, HODs and departmental managers can reconsider the current communication approaches and mechanism in place.

6.4 Suggestions for future research

Some areas for future research that would be worthwhile pursuing is included.

A more comprehensive examination of the elements in the conceptual framework that was not covered sufficiently in this study would be beneficial. This study briefly touched on employee reaction to HRM and it completely ignored the element of performance. Pertaining to employee reaction to HRM, cognitive and behavioural outcomes could be investigated. Additionally, by studying the relationship between the elements a more holistic view of the model could be obtained.

Also, a qualitative inquiry with HODs and departmental managers would be invaluable. This will provide an improved account of HRM operationalisation. Similarly this will enable a deeper understanding of how HRM operational responsibilities are shared within departments and how upward and downward communication occurs within the departments and between the departments and HR Division / DHRMs. Further investigation into disconnect between HOD and faculty rated HRM and how this affects workplace wellbeing is also a fruitful avenue for future research.

Finally, it would be useful to make a comparison with other university(s) within New Zealand and across other countries. This will illuminate similarities and differences in the HRM process of various HE institutions. Such knowledge will greatly benefit in building a comprehensive model of HRM process in HE and will enable similarities and differences at a national level and beyond to be ascertained.

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APPENDICES

APPENDIX 3A – Interview Participant Demographics

Gender	Range					
	Direct reports	Years in Present Job	Years in HR Profession	Percent of Career in University	Percent Career in Public	Percent of Career in Private
3 Female 2 Male						
TOTAL = 5	0 - 14	2.5 - 12	9 - 27	25 - 80	0 - 80	10 - 75

Range is presented to protect the identity of the Managers

APPENDIX 3B – Full Ethics Document



Form Updated: November 2013

UNIVERSITY OF OTAGO HUMAN ETHICS COMMITTEE APPLICATION FORM: CATEGORY B

(Departmental Approval)

1. University of Otago staff member responsible for project: Dr Fiona Edgar

2. Department/School: Management

3. Contact details of staff member responsible

Dr Fiona Edgar
fiona.edgar@otago.ac.nz
Phone: 03 479 8091
Fax: 03 479 8173

4. Title of project: Espoused and Enacted Human Resource Management in Higher Education

5. Indicate type of project and names of other investigators and students:

Staff Research	Names	<input type="text"/> <input type="text"/>
Student Research	Names	<input checked="" type="checkbox"/> <input type="text"/> Fathimath Shiraani
<i>Level of Study (e.g. PhD, Masters, Hons)</i>		<input type="text"/> Masters (MCom)
External Research/ Collaboration	Names	<input type="text"/> <input type="text"/>
<i>Institute/Company</i>		<input type="text"/>

6. When will recruitment and data collection commence? March 2014

When will data collection be completed? End of May 2014

7. Brief description in lay terms of the aim of the project, and outline of the research questions that will be answered (approx. 200 words):

The aim of this research is to examine Human Resource Management (HRM) in higher education institutions. Process models of HRM suggest there is a link between HRM and performance; however, they also acknowledge there is wide variation between how HRM is espoused within policy documents and how it is subsequently enacted by front-line managers. This study explores these links.

The following research questions are put forward:

Research Question 1: What are the espoused strategic aims of HRM policy and practices within a university setting?

Research Question 2: How are the espoused HRM policy aims and objectives operationalized at the divisional and departmental levels?

Research Question 3: Are there identifiable differences between the espoused aims and objectives of the HRM team for HRM policy and practice, and the operationalized practices that occur at the divisional/departmental levels? Is so, what are these differences?

Research Question 4a: How do faculty perceive and react to operationalized HRM practices? 4b: Are there any identifiable difference between HRM satisfaction and job satisfaction?

Research Question 5: Do perceptions of the importance and the effectiveness of HRM practices differ across different HRM stakeholders i.e. the HRM team, heads of departments and faculty?

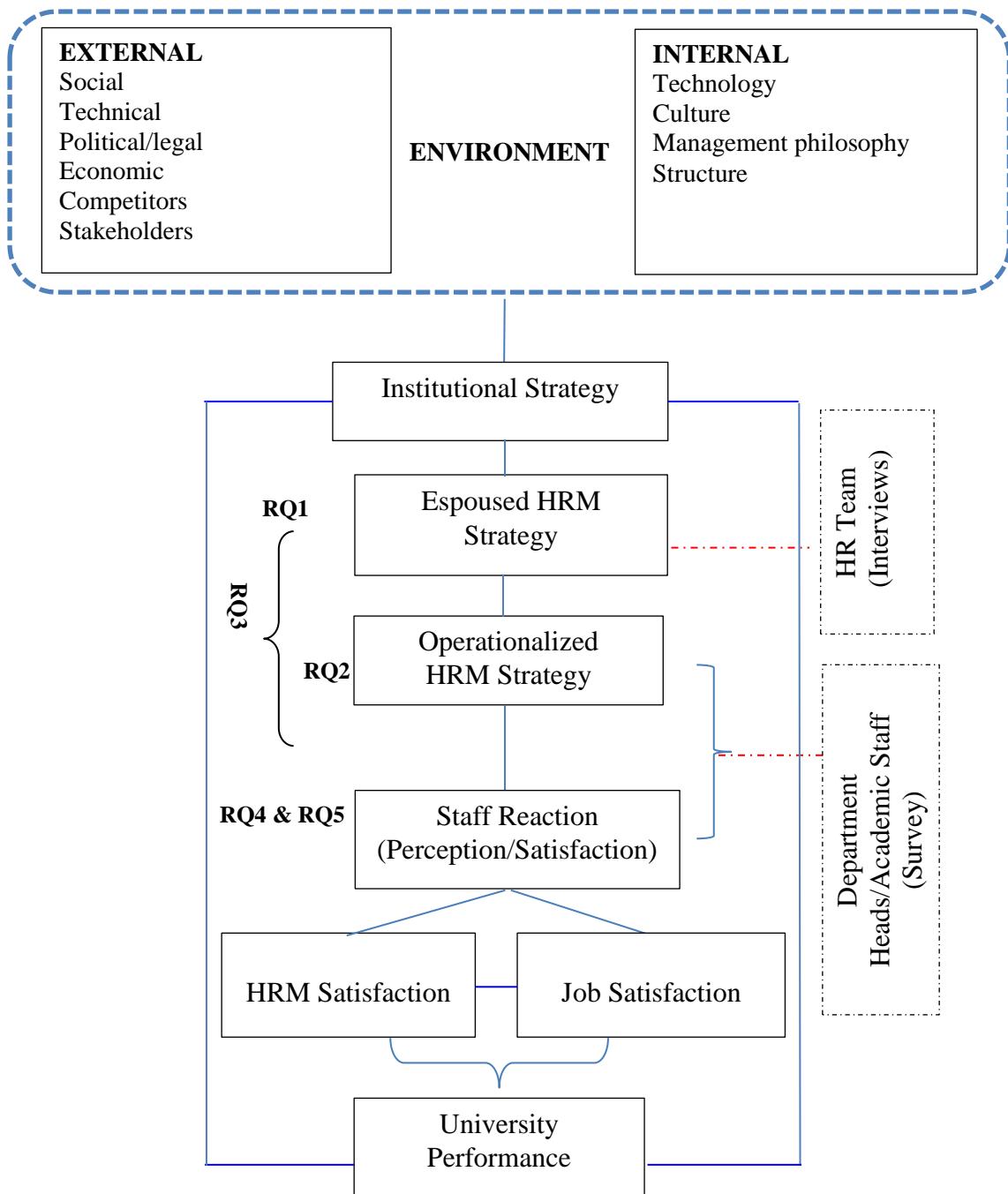
8. Brief description of the method. Include a description of who the participants are, how the participants will be recruited, and what they will be asked to do: -

This thesis is exploratory and uses a case study approach. This approach well suits this thesis as it is mainly exploratory in nature (Gratton et al., 1999). The case study will be based on a single university in New Zealand. The focus on a single setting is seen as a strength because it reduces the complexity of the context. The reduced complexity, according to Allen and Wright (2007), provides the opportunity to meaningfully test relationships identified in the research questions. Additionally, a single case can

produce multiple cases through replication and extension of insights (Eisenhardt, 1991). For instance, this study will rely on the insights gained from a variety of different stakeholders, representing a range of different levels within the institution. Both qualitative and quantitative data will be collected. This entails using two different approaches: interviews and survey (discussed below). It is anticipated the insights gleaned from this study will contribute to theory-building (Eisenhardt, 1991) in the HRM area.

The framework, which has been developed from the literature, used in this study has been developed using an approach called conceptual mapping. This technique assists in deriving our own model from the existing literature. Models constructed through this technique provide a good starting-point or conceptual ‘map’ to guide data collection. The conceptual maps are descriptive in nature rather than being normative (i.e. how HRM *should* work) or empirical (Gratton et al., 1999). It outlines how the process of HRM might work and does not seek to represent an ‘ideal type’ (Truss & Gratton, 1994, p. 679). Conceptual maps serve as a useful guide to subsequent empirical research (Truss & Gratton, 1994) and this of benefit as the field of HRM need ‘theory-based empirical research’ (Wright & McMahan, 1999, p. 68). Figure 1 is the conceptual map developed for this study. Its construction is designed to act as guide to this study.

Figure 1: Conceptual Map



The conceptual map has been informed from the extant literature on HRM process models (Archer, 2005; Guest & Clinton, 2007; Wright & Nishii, 2012) Wright & Niishi, 2012) comprise the following key assumptions:

1. There are a variety of HRM systems within a single organisation. Each has its focus on meeting the needs of a particular stakeholder group. Within a

- university setting the HRM system meet the needs of two different stakeholder groups: [1] general/administrative staff; and [2] academic/faculty staff;
2. While all people within the organisation are important, some provide a greater leverage for competitive advantage (Barney & Wright, 1997; Delery & Doty, 1996). Thus, it is important when assessing HRM practices, to always focus this assessment on positions which are core to the business needs of the organisation (Delery & Doty, 1996). In a university setting it is the faculty that are recognised as the core job group as these workers have the greatest potential to provide competitive advantage to the institution; and
 3. It is widely agreed that espoused (i.e. intended) HRM practices do not necessarily equate with operationalized HRM practices (Purcell & Hutchinson, 2007; Wright & Nishii, 2012).

Data collection for the case study, as noted earlier, involves interviews, surveys and some secondary data gathering. This research approach has been adopted from the work of other HRM researchers (e.g. Gratton et al., 1999; Khilji & Wang, 2006) and is summarized below:

	Procedure	Purpose	Answers
Phase 1	<p>Collection of secondary data</p> <p>Documents Review (Strategic plan of the university; policies of the HR division)</p> <p>HR Division: Interview with HR team at both the Senior/Central and Divisional levels</p>	<p>To develop the conceptual map and research questions.</p> <p>To identify the strategic HRM objectives.</p> <p>To explore [1] state of HRM; [2] espoused and operationalized HRM practices; [3] perception of the HRM practices.</p>	RQ1,3 & 5
		Develop the questionnaire.	
Phase 2	Review measure for performance (i.e. PBRF Assessment)	To determine the sample departments and staff members for the survey. PBRF will be used to classify the departments into high or low performing.	
Phase 3	<p>Academic Departments:</p> <p>Questionnaire Survey for Department Heads and academic staff</p>	To explore [1] operationalized HRM practices; [2] perception towards the HRM practices; and [3] staff reaction to the HRM practices and the overall job.	RQ2,3,4 &5

Interviews

Specifically the aim of the interview is to:

1. Determine the established state of HRM system for academics within a university;
 2. Identify espoused strategies, priorities and practices in place for academics;
- Determine the breadth, scope and reach (Archer, 2005) of HRM team
- a. Breadth - operational and the strategic dimensions of HRM
 - b. Scope - whether HRM responsibilities are shared with other support services
 - c. Reach - where HRM stops and managerial line responsibility starts; and
3. Understand the importance and effectiveness of the HRM practice and policies from the management point of view.

Semi-structured interviews will be conducted with the senior members in the HR Division. This group will initially comprise Human Resource Director, Human Resource Managers, and Divisional Human Resource Advisors.

Participants will be contacted via an email with an initial [1] letter of invitation, [2] information sheet for interview participants and [3] consent form for interview participants (see Appendix 1).

The participants will be asked to answer a mix of open-ended questions and descriptive statements. For descriptive statements (with Likert scales) the participants will be asked to make a selection and once the selection is made further elaborations may be requested. The interview guide (see Appendix 2) outlines the types of questions the participants will be requested to answer. These questions have been developed after completing an analysis of the existing literature.

The response of the participants will be audiotaped and transcribed with labels HR Manager 1, HR Manager 2 and so on.

The responses to the interviews will be designed to identify topics for inclusion or exclusion in the questionnaire survey.

Survey

The use of survey is two-fold:

1. to obtain departmental level information from the department heads; and
2. to obtain individual level information from the individual academic staff.

The survey (based on the interviews) will be designed so that it can be answered by both department heads and individual faculty members.

Participants for the survey will be recruited from academic departments. The departments will be contacted via an initial letter of invitation and information sheet (see Appendix 3). Once the departmental approval is obtained, the department heads and the individual faculty members will be approached using information sheet (see Appendix 4).

The comparative analysis undertaken in this study will involve looking at the espoused and operationalized HRM practices; as well as faculty perceptions and reactions to HRM.

Survey Instrument

The complete survey instrument will be finalised after the qualitative analysis of the interview transcriptions. Though, based on the research questions and research objectives it is possible to identify relevant sections. Fundamentally, it will seek information in the following areas: demographic details; HRM policies and practices; divisional and faculty perception towards HRM practices; faculty reactions to HRM practices; reactions to the job itself and to HRM initiatives (see Appendix 5- Draft Questionnaire). The measures for HRM policies and practices; faculty perception and faculty reaction (to HRM and overall job) are discussed below. Some statements and items about HRM practices will be developed upon the completion of the interviews.

Measures

HRM practices

Espoused and operationalized HRM practices will be measured using information from the interviews (Phase 1) and survey (Phase 3). The interviews will mostly ascertain information on the espoused HRM practices. The HRM practices can be identified by assessing the services offered by the HR team. While there are many list of best practices in HRM, no standard typology exists (Ulrich, 1997). Thus, the key areas of HRM identified within the Self-Assessment Tool (SAT) will be used. This includes: [1] remuneration and fair employment; [2] faculty recruitment and retention; [3] size and composition of the workforce; [4] faculty development and the skills needs; [5] leadership, involvement and change management; [6] occupational health, faculty welfare and health & safety; [7] performance management – linking people management to organisational performance.

The SAT is a tool developed by the Universities Personnel Association (UPA) and SCOP Personnel Network, with financial support from the Higher Education Funding Council for England (HEFCE). SAT is a relevant tool for this study, as it has been developed to measure the progress in people management in the higher education sector.

Once the espoused and operationalized HRM practices are identified (from the interviews), the identified (both espoused and operationalized) practices will be listed

in the survey and the survey participants will be asked to select the elements practiced by their departments. For instance, participants will be asked to rate the extent to which each element is practiced at their department (on a five-point Likert-type scale, starting from Not at all). This will highlight the flow of people management practices and any discrepancies across the espoused and operationalized HRM practices from the three key stakeholder groups participating in this study.

Faculty Perception

Faculty perception towards HRM practices will be measured using the scales: importance and effectiveness. This information will be obtained from three groups: [1] HRM team (interviews), [2] department heads (survey), and [3] faculty (survey). The perception from the three groups (comprising managerial, non-managerial and from different level of university faculty) is likely to provide a reliable picture of people management practices within the university.

Faculty reaction

Faculty reaction will be measured by looking into: [1] HRM satisfaction (reaction to HRM practices), and [2] job satisfaction (reaction to overall job). The HRM satisfaction is not identical to job satisfaction. HRM satisfaction implies to overall satisfaction with various HRM elements. Job satisfaction, on the other hand, results from the ‘appraisal of one’s job’ and ‘directly refers to affective, cognitive and behavioural components of the job in particular’ (Khilji & Wang, 2006, pp. 1177-1178). Looking in to HRM satisfaction is important as some suggest (e.g. Walton, 1985) that increased HRM satisfaction will lead to higher organisational performance. It is believed that comparison of HRM satisfaction and job satisfaction will enhance the overall understanding of HRM and performance.

The information on HRM practices (from the interviews) will be used to determine HRM satisfaction. From the identified HRM practices, survey participants will be asked to rate their level of satisfaction with specific practices using a five-point Likert scale (from strongly dissatisfied with its implementation to strongly satisfied with its implementation).

Job satisfaction will be measured by assessing the faculty attitude towards the overall job. Job satisfaction will be measured using the Job Satisfaction Survey (JSS), a nine-subscale measure of employee job satisfaction applicable specifically to human service, public, and non-profit sector organizations (Spector, 1985).

9. Disclose and discuss any potential problems: None

No issues are envisaged. Participants' anonymity and confidentiality will be preserved.

***Applicant's Signature:**

Name (please print): Fiona Edgar

Date:

**The signatory should be the staff member detailed at Question 1.*

ACTION TAKEN

Approved by HOD Approved by Departmental Ethics Committee

Referred to UO Human Ethics Committee

Signature of **Head of Department:

Name of HOD (please print): Ian McAndrew

Date:

***Where the Head of Department is also the Applicant, then an appropriate senior staff member must sign on behalf of the Department or School.*

Departmental approval: *I have read this application and believe it to be valid research and ethically sound. I approve the research design. The research proposed in this application is compatible with the University of Otago policies and I give my approval and consent for the application to be forwarded to the University of Otago Human Ethics Committee (to be reported to the next meeting).*

IMPORTANT NOTE: As soon as this proposal has been considered and approved at departmental level, the completed form, together with copies of any Information Sheet, Consent Form, recruitment advertisement for participants, and survey or questionnaire should be forwarded to the Manager, Academic Committees or the Academic Committees Administrator, Academic Committees, Rooms G22, G23 or G24, Ground Floor, Clocktower Building, or scanned and emailed to either gary.witte@otago.ac.nz or jane.hinkley@otago.ac.nz



Appendix 1 of Ethics Document

LETTER OF INVITATION FOR HR DIVISION

February 2014

Re: Research Study: Human Resource Management in Higher Education

Dear Sir/Madam

I am a Masters student in the Department of Management and I am writing to see if you would be interested in participating in a research project, which examines how Human Resource Management (HRM) is enacted in higher education settings.

The aim of this research is to better understand the espoused HRM aims, policies and practices of an academic institution and how these gets operationalized at the divisional and the departmental levels. It is expected that these findings will be of interest to you as an HRM leader. The benefits that may accrue from this study are wide reaching and may influence the way HRM is practiced in academic environments in the future.

The study involves a semi-structured interview (approximately 40-60 minutes duration), which will explore the espoused and operationalized HRM practices. These will be undertaken at the University of Otago. You have an assurance that confidentiality of all participants will be maintained.

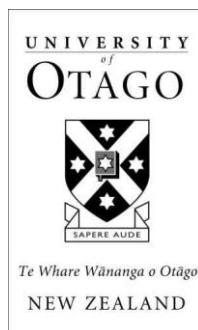
Please read the attached information sheet carefully before deciding whether or not to participate. Once you have done this, **would you please email your intention to fathimath.shiraani@otago.ac.nz**. Your decision to participate in this study is purely voluntary. If you decide to participate, we thank you. If you decide not to take part there will be no disadvantage to you of any kind and we thank you for considering our request. Please feel free to ask any questions you may have regarding this research.

Thank you for your time and consideration, and for your help with this research study.

Yours sincerely,
Fathimath Shiraani
Department of Management
University of Otago, Dunedin

Dr Fiona Edgar
Department of Management
University of Otago, Dunedin

February 2014



HUMAN RESOURCE MANAGEMENT IN HIGHER EDUCATION

INFORMATION SHEET FOR INTERVIEW PARTICIPANTS

Thank you for showing an interest in this project. Please read this information sheet carefully before deciding whether or not to participate. If you decide to participate we thank you. If you decide not to take part there will be no disadvantage to you and we thank you for considering our request.

This project is being undertaken as part of the requirements for a Master of Commerce degree. The aim of this research is to examine Human Resource Management (HRM) in higher education institutions. Process models of HRM suggest there is a link between HRM and performance however they also acknowledge there is wide variation between how HRM is espoused within policy documents and how it is subsequently enacted by front-line managers. This study explores these links.

A case study approach will be used to explore HRM processes across different divisions and departments within your university. Should you agree to take part in this project, you will be asked to participate in a semi-structured interview (a copy of the interview guide will be provided to you prior to the interview). This project also involves an open-questioning technique where the precise nature of the questions which will be asked have not been determined in advance, but will depend on the way in which the interview develops. Consequently, although the University of Otago Human Ethics Committee is aware of the general areas to be explored in the interview, the committee has not been able to review the precise questions to be used.

In the event that the line of questioning does develop in such a way that you feel hesitant or uncomfortable you are reminded of your right to decline to answer any particular question(s). Please be aware that you may decide not to take part in the project without any disadvantage to yourself of any kind and also that you may withdraw from the project at any stage without any disadvantage to yourself of any kind.

The interviews will be audio recorded and transcribed. The data collected will be securely stored in such a way that only those mentioned below will be able to gain access to it. At the end of the project any personal information will be destroyed immediately except that, as required by the University's research policy, any raw data

on which the results of the project depend will be retained in secure storage for five years, after which it will be destroyed.

The results of the project may be published and will be available in the University of Otago Library (Dunedin, New Zealand) but every attempt will be made to preserve your anonymity.

You are most welcome to request a copy of the results of the project should you wish.

If you have any questions about our project, either now or in the future, please free to contact either:-

Fathimath Shiraani
Department of Management
(03) 479 5094
fathimath.shiraani@otago.ac.nz

Dr Fiona Edgar
Department of Management
(03) 479 8091
fiona.edgar@otago.ac.nz

This study has been approved by the Department stated above. However, if you have any concerns about the ethical conduct of the research you may contact the University of Otago Human Ethics Committee Administrator (ph 03 479-8256). Any issues you will raise will be treated in confidence and investigated and you will be informed of the outcome.

HUMAN RESOURCE MANAGEMENT IN HIGHER EDUCATION

CONSENT FORM FOR INTERVIEW PARTICIPANTS

I have read the Information Sheet concerning this project and understand what it is about. All my questions have been answered to my satisfaction. I understand that I am free to request further information at any stage.

I know that:-

1. My participation in the project is entirely voluntary;
2. I am free to withdraw from the project at any time without any disadvantage;
3. This project involves an open-questioning technique where the precise nature of the questions which will be asked has not been determined in advance, but will depend on the way in which the interview develops and that in the event that the line of questioning develops in such a way that I feel hesitant or uncomfortable I may decline to answer any particular question(s) and/or may withdraw from the project without any disadvantage of any kind.
4. Personal identifying information will be destroyed at the conclusion of the project but any raw data on which the results of the project depend will be retained in secure storage for at least five years;
5. The results of the project may be published and will be available in the University of Otago Library (Dunedin, New Zealand) but every attempt will be made to preserve my anonymity.

I agree to take part in this project.

.....

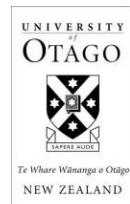
(Signature of participant)

.....

(Date)

.....

(Printed Name)



Appendix 2 of Ethics Document

HUMAN RESOURCE MANAGEMENT IN HIGHER EDUCATION INSTITUTION

Interview Guide

Title _____

Date _____

Time of Interview _____

INTRODUCTION

- a. IMPORTANT TO BEGIN: This interview will be recorded, and the interviewee must agree to be recorded to continue...
- b. Thank interviewee for participating in the interview and the research.
- c. Background information:
 - Completing Masters (Thesis): HRM in Higher Education
 - This is first part of the data collection phase; this will be followed by survey.
 - Purpose of the study: Explain how HRM contributes to performance in higher education institutions.
 - Confidentiality: Information from the interview will be kept strictly confidential. No elements will be personally identified with the interviewee in any way, and data will be available only to the researcher.
 - Permissions
 - Participation in interview is purely voluntary.
 - Permission to take notes, and remember the interview is being recorded.
 - Interview will be transcribed and checked for accuracy.
 - Interviewee may review transcription for accuracy and must do so 3 days of receiving the transcription and inform the researcher of any discrepancies.

BACKGROUND- YOU AND YOUR ORGANISATION (Q1-Q9)

First, I will ask few background questions about you and your university...

1. Confirm job Title:
2. Reporting to:
3. Are you a member of the top management team in the university?
NB: Top management team refers to those involved in the strategic decisions of the university.
4. How many people belong to this top team?
5. Confirm the total number of full-time equivalent (FTE) academic staff in the university. (2012= 748)
6. How long have you been in your present job? _____ Years
7. How long have you been employed at this university? _____ Years
8. How long have you been in the Human Resources Profession? _____ Years
9. What portion of your career to date has been spent in the following sectors?
University_____ %
Other Public_____ %
Private_____ %

HRM CONTEXT (Q10 onwards)

Now, I am going to talk about the external environment...

- I. OPERATIONAL ENVIRONMENT
10. How predictable is the external environment within which this university is operating?
11. How do you predict environmental changes that can have an impact on the university?
12. What are the main sources of uncertainty currently facing the university?
13. To what extent do these sources of uncertainty (answered to Q12) impact the academic staff?
14. How confident are you in the environment related actions that the university plans to take?
15. What is your view on the actions

II. HR DIVISION

That's all on external environment... Now, I am going to talk about HR Division...

16. Could you briefly describe how the HR Division is structured?
17. Does the HR Division share authority over HR functions with other groups?
 - 17a. What other groups in the university have the authority over some of the HRM functions?
18. How many professional HRM staff are employed as specialists in the whole university?
19. Please briefly explain the role of the:
 - 19a. HRM director;
 - 19b. HR Division as a whole.
20. Is the role of the HR Division essentially administrative?
21. How instrumental is your Division in bringing about change to the institution?
22. Is the change well received by the academic staff?
23. How instrumental are you in bringing about change in the HR Division?
24. Do you consider HR Division to be effective in carrying out its essential functions?
 - 24a. Why?

25. Could you please rate the effectiveness of the HR Division on the following criteria:

	Not at all effective	Not very effective	Somewhat effective	Fairly effective	Highly effective
a) Progressing HRM projects and initiatives	1	2	3	4	5
b) Managing/minimizing bureaucracy	1	2	3	4	5
c) Speed of response to requests from divisional and departmental heads	1	2	3	4	5
d) Maintaining up-to-date HRM information	1	2	3	4	5
e) Explaining personnel policies and procedures	1	2	3	4	5
f) Providing useful advice to head of divisions and departmental heads	1	2	3	4	5

	Not at all effective	Not very effective	Somewhat effective	Fairly effective	Highly effective
g) Providing advice and help to faculty	1	2	3	4	5
h) Contributing to the performance of the university	1	2	3	4	5
i) Initiating and pursuing new ideas	1	2	3	4	5
j) Managing flexible employment	1	2	3	4	5
k) Managing or fostering organizational change	1	2	3	4	5
l) Overcoming resistance to change	1	2	3	4	5
m) Developing creativity and innovation	1	2	3	4	5

26. How do you feel others would rate the performance of the HR Division?

	Not at all confident	Not very confident	Somewhat confident	Fairly confident	Very confident
a. How confident are you that the Division Heads would provide similar ratings?	1	2	3	4	5
b. What about the majority of the Department Heads?	1	2	3	4	5
c. What about the majority of the faculty members?	1	2	3	4	5

ESPOUSED HRM (Q27 onwards)

That is all on HR Division. Now I am going to talk about HRM priorities and then the HRM challenges...

I. HRM PRIORITIES AND CHALLENGES

27. What are some of the major HRM initiatives in place?
28. What HRM initiatives have had the most positive impact on the performance of the university?
29. What HRM initiatives have had the most positive impact on the performance of the academic staff?
30. What HRM initiatives you would most like to introduce because you believe they would have a major positive impact on the performance of the university?
31. What HRM initiatives you would most like to introduce because you believe they would have a major positive impact on the performance of the academic staff?
32. What are some of most difficult HRM challenges that you had to address in the past?
33. What are some of the major HRM problems that the university currently faces?

II. HRM STRATEGY AND STRATEGY CREATION

Now I am going to focus on the HRM strategy (i.e. the responses to priorities at strategic level)...

34. What is your university's HRM strategy?
35. How is this HRM strategy formulated and developed?
36. Does the universities top management team actively support this strategy?

37. What is the contribution of the following members in the development of the HRM strategy?

	Not at all effective	Not very effective	Somewhat effective	Fairly effective	Highly effective
a. Members of the top management team of the university	1	2	3	4	5
b. The majority of other senior management (Head of Divisions/Schools/Functions)	1	2	3	4	5
c. The majority of middle and junior management (Head of Departments/Sections)	1	2	3	4	5

38. Are the HRM strategy and policies deliberately integrated with the wider strategy of the university?

39. How do you ensure that the HRM strategy is integrated with and supports the wider strategy of the university?

40. How is HRM strategy formally communicated to, and discussed with those Divisional and Departmental Heads who have to implement related policy and practices on a day-to-day basis?

OPERATIONALISED HRM (Q41 onwards)

Now, I am going to talk about operationalized HRM (i.e. implemented HRM practices)

I. HRM PRACTICES

41. What are the current HRM policies and practices in place for **academic staff** relating to:

	IMPLEMENTATION		IMPORTANCE			EFFECTIVENESS						
	In the process of implementing	Fully implemented	Unimportant	Not very important	Neutral	Important	Extremely important	Not at all effective	Not very effective	Somewhat effective	Fairly effective	Highly effective
a. Remuneration and fair employment	1	2	1	2	3	4	5	1	2	3	4	5
Practice 1	1	2	1	2	3	4	5	1	2	3	4	5
Practice 2	1	2	1	2	3	4	5	1	2	3	4	5
Practice 3	1	2	1	2	3	4	5	1	2	3	4	5
Practice 4	1	2	1	2	3	4	5	1	2	3	4	5
Practice 5	1	2	1	2	3	4	5	1	2	3	4	5
b. Recruitment and retention	1	2	1	2	3	4	5	1	2	3	4	5
Practice 1	1	2	1	2	3	4	5	1	2	3	4	5
Practice 2	1	2	1	2	3	4	5	1	2	3	4	5
Practice 3	1	2	1	2	3	4	5	1	2	3	4	5
Practice 4	1	2	1	2	3	4	5	1	2	3	4	5
Practice 5	1	2	1	2	3	4	5	1	2	3	4	5

	IMPLEMENTATION		IMPORTANCE				EFFECTIVENESS					
	In the process of implementing	Fully implemented	1 Unimportant	2 Not very important	3 Neutral	4 Important	5 Extremely important	1 Not at all effective	2 Not very effective	3 Somewhat effective	4 Fairly effective	5 Highly effective
c. Size and composition of the workforce	1	2	1	2	3	4	5	1	2	3	4	5
Practice 1	1	2	1	2	3	4	5	1	2	3	4	5
Practice 2	1	2	1	2	3	4	5	1	2	3	4	5
Practice 3	1	2	1	2	3	4	5	1	2	3	4	5
Practice 4	1	2	1	2	3	4	5	1	2	3	4	5
Practice 5	1	2	1	2	3	4	5	1	2	3	4	5
d. Staff development and skills need	1	2	1	2	3	4	5	1	2	3	4	5
Practice 1	1	2	1	2	3	4	5	1	2	3	4	5
Practice 2	1	2	1	2	3	4	5	1	2	3	4	5
Practice 3	1	2	1	2	3	4	5	1	2	3	4	5
Practice 4	1	2	1	2	3	4	5	1	2	3	4	5
Practice 5	1	2	1	2	3	4	5	1	2	3	4	5
e. Leadership, involvement and change management	1	2	1	2	3	4	5	1	2	3	4	5
Practice 1	1	2	1	2	3	4	5	1	2	3	4	5
Practice 2	1	2	1	2	3	4	5	1	2	3	4	5
Practice 3	1	2	1	2	3	4	5	1	2	3	4	5
Practice 4	1	2	1	2	3	4	5	1	2	3	4	5
Practice 5	1	2	1	2	3	4	5	1	2	3	4	5

	IMPLEMENTATION		IMPORTANCE					EFFECTIVENESS				
	In the process of implementing	Fully implemented	Unimportant	Not very important	Neutral	Important	Extremely important	Not at all effective	Not very effective	Somewhat effective	Fairly effective	Highly effective
f. Occupational health, staff welfare and health and safety	1	2	1	2	3	4	5	1	2	3	4	5
<i>Practice 1</i>	1	2	1	2	3	4	5	1	2	3	4	5
<i>Practice 2</i>	1	2	1	2	3	4	5	1	2	3	4	5
<i>Practice 3</i>	1	2	1	2	3	4	5	1	2	3	4	5
<i>Practice 4</i>	1	2	1	2	3	4	5	1	2	3	4	5
<i>Practice 5</i>	1	2	1	2	3	4	5	1	2	3	4	5
g. Performance management	1	2	1	2	3	4	5	1	2	3	4	5
<i>Practice 1</i>	1	2	1	2	3	4	5	1	2	3	4	5
<i>Practice 2</i>	1	2	1	2	3	4	5	1	2	3	4	5
<i>Practice 3</i>	1	2	1	2	3	4	5	1	2	3	4	5
<i>Practice 4</i>	1	2	1	2	3	4	5	1	2	3	4	5
<i>Practice 5</i>	1	2	1	2	3	4	5	1	2	3	4	5

Remuneration and fair employment

Interviewer reference:

- Regular labor market reviews on pay and rewards
- Review of pay and grading structures
- Equal pay audits
- Recruitment, selection and promotion on fair transparent procedures
- Job evaluation
- Regular reviews of equal opportunities and diversity policies and practices

Recruitment and retention

Interviewer reference:

- Recruitment and selection policies and procedure
- Exit interviews
- Skills audits of future workforce needs
- Monitoring and evaluation of: the services provided on staff recruitment; staff turnover; staff views on employment

Size and composition of the workforce

Interviewer reference:

- Review/updates of workforce data
- Planning using workforce data
- Promotion of diverse workforce
- Recruitment, selection practice taking needs of diverse workforce
- Training staff in using workforce data

Staff development and skills need

Interviewer reference:

- Review of staff development needs
- Staff development Processes (induction, appraisal, mentoring, training, sabbaticals).
- Personal development
- Evaluation of staff development
- Job redesign and work reorganization

Leadership, involvement and change management

Interviewer reference:

- Reviews identifying where people management and leadership need to be developed and improved
- Training and development of managers on leadership
- Communication across the institution to support people management
- Effective communication to support change
- Programs for organizational development to support planned change

Occupational health, staff welfare and health and safety

Interviewer reference:

- Regular reviews and audits of occupational health, staff welfare and health and safety
- Training for staff in health and safety
- Monitoring arrangements for occupational health and safety

Performance management (linking people management to organizational performance)

Interviewer reference:

- Objectives and targets
- Procedure and skills
- Implementation
- Performance monitoring and evaluation
- Achievement

42. Is your Division thinking about introducing any new HRM policies and practices for the academic staff?

42a. Could you briefly describe those policies and practices?

43. How does your Division measure the success of the HRM practices implemented for academic staff?

44. How effective is the contribution of the following members in the *application/implementation* of the HRM policies and practices?

	Not at all effective	Not very effective	Somewhat effective	Fairly effective	Highly effective
a. Members of the top management team	1	2	3	4	5
b. The majority of other senior management (Head of Divisions/ Schools/Functions)	1	2	3	4	5
c. The majority of middle and junior management (Head of Departments/Sections)	1	2	3	4	5

ACADEMIC STAFF AND OUTCOME (Q45 onwards)

Next, set of questions will focus on the academic staff...

45. Please rate the academic staff on the following criteria:

	Very low	Fairly low	Medium	Fairly high	Very high
a. Their level of motivation	1	2	3	4	5
b. Their commitment to the university	1	2	3	4	5
c. Their willingness to respond to changes	1	2	3	4	5
d. The quality of their work performance	1	2	3	4	5
e. Their workload	1	2	3	4	5
f. Their quality and competence	1	2	3	4	5

46. Please indicate the extent which the HR Division is able to influence:

	No influence	Small influence	Sizable influence	Quite large influence	Very large influence
a. The quality of teaching	1	2	3	4	5
b. The quality of research	1	2	3	4	5
c. The quality of top management influence	1	2	3	4	5
d. The quality of student outcomes, such as grades, completion rates, employment rates etc.	1	2	3	4	5
e. Academic staff retention	1	2	3	4	5
f. The financial position of the university	1	2	3	4	5
g. The quality of the human resource function	1	2	3	4	5

CLOSING (Q47 onwards)

47. Do you have any further comments on any topic that was discussed?

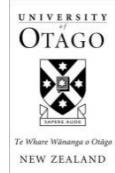
48. Are there any other issues that you would like to raise?

49. Are there any questions you would like to ask about this research or any other questions at all?

THANK YOU

Thank you for your participation

Appendix 3 of Ethics Document



LETTER OF INVITATION FOR SURVEY PARTICIPANTS

January 2014

Head of Department

Re: Research Study: Human Resource Management in Higher Education

Dear Sir/Madam

I am a Masters student in the Department of Management and I am writing to see if you would be interested in participating in a research project, which examines how Human Resource Management (HRM) is enacted in higher education institutions. The aim of this research is to better understand the espoused HRM aims, policies and practices of an academic institution and how these get operationalized at divisional and departmental levels. It is expected that these findings will be of interest to you as an academic department. The benefits that may accrue from this study are wide reaching and may influence the way HRM is practiced in academic environments in the future.

The study for which we are requesting your participation requires completing an online survey, which will take around 30 minutes (NB: to be confirmed). As well as collecting data at a departmental level I am also seeking faculty participants for their views regarding HRM practices. Please give consideration to consenting to your department's participation in this facet of the project. This faculty level participation would involve the surveying of a representative sample of faculty within your department if they were agreeable. Please note the survey for your faculty will be identical to the one you complete. You have our absolute assurance that confidentiality will be maintained.

Please read the attached information sheet carefully before deciding whether or not to participate. Once you have done this, **would you please email your intention to fathimath.shiraani@otago.ac.nz**. Your decision to participate in this study is purely voluntary. If you decide to participate, we thank you. If you decide not to take part there will be no disadvantage to you of any kind and we thank you for considering our request. Please feel free to ask any questions you may have regarding this research.

Thank you for your time and consideration, and for your help with this research study.

Yours sincerely,

Fathimath Shiraani
Department of Management
University of Otago, Dunedin

Dr Fiona Edgar
Department of Management
University of Otago, Dunedin

January 2014



HUMAN RESOURCE MANAGEMENT IN HIGHER EDUCATION INFORMATION SHEET FOR SURVEY DEPARTMENTS

Thank you for showing an interest in this project. Please read this information sheet carefully before deciding whether or not to participate. If you decide to participate we thank you. If you decide not to take part there will be no disadvantage to you and we thank you for considering our request.

This project is being undertaken as part of the requirements for a Master of Commerce degree. The aim of this research is to examine Human Resource Management (HRM) in higher education institutions. Process models of HRM suggest there is a link between HRM and performance; however, they also acknowledge there is wide variation between how HRM is espoused within policy documents and how it is subsequently enacted by front-line managers. This study explores these process links.

A case study approach will be used to explore the HRM process across different divisions and departments within your University. Should you agree to take part in this project, you will be asked to complete an online survey which will take around 30 minutes (NB: to be confirmed). This survey examines your views in relation to a range of people management practices.

Please be aware that you may decide not to take part in the project without any disadvantage to yourself of any kind and also that you may withdraw from the project at any stage without any disadvantage to yourself of any kind.

At the end of the project any personal information will be destroyed immediately except that, as required by the University's research policy, any raw data on which the results of the project depend will be retained in secure storage for five years, after which it will be destroyed. The results of the project may be published and will be available in the University of Otago Library (Dunedin, New Zealand) but every attempt will be made to preserve your anonymity. You are most welcome to request a copy of the results of the project should you wish.

If you have any questions about our project, either now or in the future, please free to contact either:-

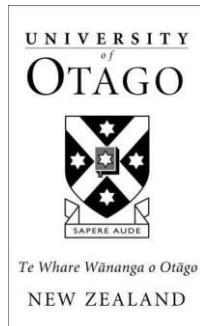
Fathimath Shiraani
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(03) 479 5094
fathimath.shiraani@otago.ac.nz

Dr Fiona Edgar
Department of Management
(03) 479 8091
fiona.edgar@otago.ac.nz

This study has been approved by the Department stated above. However, if you have any concerns about the ethical conduct of the research you may contact the University of Otago Human Ethics Committee Administrator (ph 03 479-8256). Any issues you will raise will be treated in confidence and investigated and you will be informed of the outcome.

Appendix 4 of Ethics Document

January 2014



Dear Faculty Member,

I am a Masters student in the Department of Management and I am writing to see if you would be prepared to fill a short survey, which examines Human Resource Management processes in higher education institutions. The details of which are outlined below.

HUMAN RESOURCE MANAGEMENT IN HIGHER EDUCATION

INFORMATION SHEET FOR SURVEY PARTICIPANTS

Your Department has agreed to be part of this research project, and as a faculty member I am seeking your participation also. Please read this information sheet carefully before deciding whether or not to participate. If you decide to participate, we thank you. If you decide not to take part there will be no disadvantage to you and we thank you for considering our request.

The aim of this research is to better understand the espoused HRM aims, policies and practices of an academic institution and how these get operationalized at the divisional and the departmental level. The benefits of this study are wide reaching and may influence the way HRM is practiced in academic environments in the future.

Should you agree to take part in this project, we would ask that you complete an online survey which will take around 30 minutes (NB: to be confirmed) to complete. The survey and initial interview data collected from a range of managerial and non-managerial faculty will be used, in line with the aim of this study, to examine the HRM process, the overall faculty perception and reaction towards people management practices.

Please be aware that you may decide not to take part in the project without any disadvantage to yourself of any kind and also that you may withdraw from the project at any stage without any disadvantage to yourself of any kind.

You are most welcome to request a copy of the results of the project should you wish. The data collected will be securely stored in such a way that only those mentioned below will be able to gain access to it. At the end of the project any personal

information will be destroyed immediately except that, as required by the University's research policy, any raw data on which the results of the project depend will be retained in secure storage for five years, after which it will be destroyed.

The results of the project may be published and will be available in the University of Otago Library (Dunedin, New Zealand) but every attempt will be made to preserve your anonymity.

If you have any questions about our project, either now or in the future, please free to contact either:-

Fathimath Shiraani
Department of Management
(03) 479 5094
fathimath.shiraani@otago.ac.nz

Dr Fiona Edgar
Department of Management
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This study has been approved by the Department stated above. However, if you have any concerns about the ethical conduct of the research you may contact the University of Otago Human Ethics Committee Administrator (ph 03 479-8256). Any issues you will raise will be treated in confidence and investigated and you will be informed of the outcome.

Appendix 5 of Ethics Document

HUMAN RESOURCE MANAGEMENT IN HIGHER EDUCATION

Draft Survey Questionnaire

By completing this survey, I give my consent to participate in this research.

This survey seeks your views across a range of Human Resource Management (HRM) related policies, practices and processes.

Thank you for taking the time to participate in this study.

It should take a maximum of 30 minutes (NB: to be confirmed) to complete and it has approval from the University of Otago Ethics Committee.

Section 1: Demographics

1. Gender: Male Female

2. Age: Under 30 31-40 41-50 51-60 Over 60

3. Ethnicity:

 - Maori
 - Pakeha
 - European
 - Asian
 - Pacific Islander
 - Other

4. Position:

 - Professor
 - Associate Professor/ Reader
 - Senior Lecturer or Senior Research Fellow
 - Lecturer or Research Fellow
 - Assistant Lecture

5. Length of Service:

 - Less than 5 years
 - 5-10 years
 - 10 years plus

6. Do you currently hold the position of Head of Department? Yes No

7. Have you recently been Head of Department? Yes No

Section 2: HRM Policies and Practices

8. Please indicate the extent to which you agree or disagree with the following statements:

8a. My department has a clearly articulated human resource strategy

Strongly disagree 1 2 3 4 5 Strongly agree

8b. The human resource strategy is formally communicated to all members of the department

Strongly disagree 1 2 3 4 5 Strongly agree

9. I contribute to the development of human resource strategy

Not at all 1 2 3 4 5 Completely

10. Please indicate, by selecting the most appropriate response: the extent to which each of the following Human Resource Management policies and practices are operationalized in your department.

Elements	OPERATIONALISED HRM POLICIES AND PRACTICES				
	Not at all	Thinking about introducing	In the process of implementing	Yes (fully implemented)	Not Sure
a. Remuneration and fair employment	1	2	3	4	5
<i>Practice 1</i>	1	2	3	4	5
<i>Practice 2</i>	1	2	3	4	5
<i>Practice 3</i>	1	2	3	4	5
<i>Practice 4</i>	1	2	3	4	5
b. Recruitment and retention	1	2	3	4	5
<i>Practice 5</i>	1	2	3	4	5
<i>Practice 6</i>	1	2	3	4	5
<i>Practice 7</i>	1	2	3	4	5
<i>Practice 8</i>	1	2	3	4	5
c. Size and composition of the workforce	1	2	3	4	5
<i>Practice 9</i>	1	2	3	4	5
<i>Practice 11</i>	1	2	3	4	5
<i>Practice 12</i>	1	2	3	4	5
<i>Practice 13</i>	1	2	3	4	5
d. Staff development and skills need	1	2	3	4	5
<i>Practice 14</i>	1	2	3	4	5
<i>Practice 15</i>	1	2	3	4	5
<i>Practice 16</i>	1	2	3	4	5

<i>Practice 17</i>	1	2	3	4	5
e. Leadership, involvement and change management	1	2	3	4	5
<i>Practice 18</i>	1	2	3	4	5
<i>Practice 19</i>	1	2	3	4	5
<i>Practice 20</i>	1	2	3	4	5
<i>Practice 21</i>	1	2	3	4	5
f. Occupational health, staff welfare and health and safety	1	2	3	4	5
<i>Practice 22</i>	1	2	3	4	5
<i>Practice 23</i>	1	2	3	4	5
<i>Practice 24</i>	1	2	3	4	5
<i>Practice 25</i>	1	2	3	4	5
g. Performance management	1	2	3	4	5
<i>Practice 26</i>	1	2	3	4	5
<i>Practice 27</i>	1	2	3	4	5
<i>Practice 28</i>	1	2	3	4	5
<i>Practice 29</i>	1	2	3	4	5

NB: The number of practices under each key area and the total number of practices will be determined from the interview data.

11. Please list any other current Human Resource Management policies and practices utilized by your Department that were not mentioned in the above list. Otherwise please proceed to the next section.

Section 3: Perception towards HRM

12. Please use the scale provided to rate the importance of the following practices to you as an academic.

Elements	IMPORTANCE				
	Unimportant	Not Very important	Neutral	Important	Extremely important
a. Remuneration and fair employment	1	2	3	4	5
<i>Practice 1</i>	1	2	3	4	5
<i>Practice 2</i>	1	2	3	4	5
<i>Practice 3</i>	1	2	3	4	5
b. Recruitment and retention	1	2	3	4	5
<i>Practice 4</i>	1	2	3	4	5
<i>Practice 5</i>	1	2	3	4	5
<i>Practice 6</i>	1	2	3	4	5
c. Size and composition of the workforce	1	2	3	4	5
<i>Practice 7</i>	1	2	3	4	5
<i>Practice 8</i>	1	2	3	4	5
<i>Practice 9</i>	1	2	3	4	5
d. Staff development and skills need	1	2	3	4	5
<i>Practice 10</i>	1	2	3	4	5
<i>Practice 11</i>	1	2	3	4	5
<i>Practice 12</i>	1	2	3	4	5
e. Leadership, involvement and change management	1	2	3	4	5
<i>Practice 13</i>	1	2	3	4	5
<i>Practice 14</i>	1	2	3	4	5
<i>Practice 15</i>	1	2	3	4	5
f. Occupational health, staff welfare and health and safety	1	2	3	4	5
<i>Practice 16</i>	1	2	3	4	5
<i>Practice 17</i>	1	2	3	4	5
<i>Practice 18</i>	1	2	3	4	5
g. Performance management	1	2	3	4	5
<i>Practice 19</i>	1	2	3	4	5
<i>Practice 20</i>	1	2	3	4	5
<i>Practice 21</i>	1	2	3	4	5

13. Please use the scale provided to rate the effectiveness of the following practices with respect to the way they are currently implemented in your department:

Elements	EFFECTIVENESS				
	Not at all effective	Not very effective	Somewhat effective	Fairly effective	Highly effective
a. Remuneration and fair employment	1	2	3	4	5
<i>Practice 1</i>	1	2	3	4	5
<i>Practice 2</i>	1	2	3	4	5
<i>Practice 3</i>	1	2	3	4	5
b. Recruitment and retention	1	2	3	4	5
<i>Practice 4</i>	1	2	3	4	5
<i>Practice 5</i>	1	2	3	4	5
<i>Practice 6</i>	1	2	3	4	5
c. Size and composition of the workforce	1	2	3	4	5
<i>Practice 7</i>	1	2	3	4	5
<i>Practice 8</i>	1	2	3	4	5
<i>Practice 9</i>	1	2	3	4	5
d. Staff development and skills need	1	2	3	4	5
<i>Practice 10</i>	1	2	3	4	5
<i>Practice 11</i>	1	2	3	4	5
<i>Practice 12</i>	1	2	3	4	5
e. Leadership, involvement and change management	1	2	3	4	5
<i>Practice 13</i>	1	2	3	4	5
<i>Practice 14</i>	1	2	3	4	5
<i>Practice 15</i>	1	2	3	4	5
f. Occupational health, staff welfare and health and safety	1	2	3	4	5
<i>Practice 16</i>	1	2	3	4	5
<i>Practice 17</i>	1	2	3	4	5
<i>Practice 18</i>	1	2	3	4	5
g. Performance management	1	2	3	4	5
<i>Practice 19</i>	1	2	3	4	5
<i>Practice 20</i>	1	2	3	4	5
<i>Practice 21</i>	1	2	3	4	5

14. Now please rate the effectiveness of the human resource division/department on the following criteria:

	Not at all effective	Not very effective	Somewhat effective	Fairly effective	Highly effective
a) Progressing HRM projects and initiatives	1	2	3	4	5
b) Managing/minimizing bureaucracy	1	2	3	4	5
c) Speed of response to requests from Divisional and Departmental Heads	1	2	3	4	5
d) Maintaining up-to-date HRM information	1	2	3	4	5
e) Explaining personnel policies and procedures	1	2	3	4	5
f) Providing useful advice to Head of Divisions and Departmental Heads	1	2	3	4	5
g) Providing advice and help to faculty	1	2	3	4	5
h) Contributing to the performance of the university	1	2	3	4	5
i) Initiating and pursuing new ideas	1	2	3	4	5
j) Managing flexible employment	1	2	3	4	5
k) Managing or fostering organizational change	1	2	3	4	5
l) Overcoming resistance to change	1	2	3	4	5
m) Developing creativity and innovation	1	2	3	4	5

Section 4: Reaction to HRM

15. Please use the scale provided to rate your level of satisfaction with the following HRM practices with respect to the way they are currently implemented in your department:

Elements	SATISFACTION				
	Strongly dissatisfied with the implementation	Somewhat dissatisfied	Partly satisfied Partly dissatisfied	Somewhat satisfied	Strongly satisfied with the implementation
a. Remuneration and fair employment	1	2	3	4	5
<i>Practice 1</i>	1	2	3	4	5
<i>Practice 2</i>	1	2	3	4	5
<i>Practice 3</i>	1	2	3	4	5
b. Recruitment and retention	1	2	3	4	5
<i>Practice 4</i>	1	2	3	4	5
<i>Practice 5</i>	1	2	3	4	5
<i>Practice 6</i>	1	2	3	4	5
c. Size and composition of the workforce	1	2	3	4	5
<i>Practice 7</i>	1	2	3	4	5
<i>Practice 8</i>	1	2	3	4	5
<i>Practice 9</i>	1	2	3	4	5
d. Staff development and skills need	1	2	3	4	5
<i>Practice 10</i>	1	2	3	4	5
<i>Practice 11</i>	1	2	3	4	5
<i>Practice 12</i>	1	2	3	4	5
e. Leadership, involvement and change management	1	2	3	4	5
<i>Practice 13</i>	1	2	3	4	5
<i>Practice 14</i>	1	2	3	4	5
<i>Practice 15</i>	1	2	3	4	5
f. Occupational health, staff welfare and health and safety	1	2	3	4	5
<i>Practice 16</i>	1	2	3	4	5
<i>Practice 17</i>	1	2	3	4	5
<i>Practice 18</i>	1	2	3	4	5
g. Performance management	1	2	3	4	5
<i>Practice 19</i>	1	2	3	4	5
<i>Practice 20</i>	1	2	3	4	5
<i>Practice 21</i>	1	2	3	4	5

Section 5: Reaction to overall Job

- I feel I am being paid a fair amount for the work I do.
- There is really too little chance for promotion on my job.
- My supervisor is quite competent in doing his/her job.
- I am not satisfied with the benefits I receive.
- When I do a good job, I receive the recognition for it that I should receive.
- Many of our rules and procedures make doing a good job difficult.
- I like the people I work with.
- I sometimes feel my job is meaningless.
- Communications seem good within this organization.
- Raises are too few and far between.
- Those who do well on the job stand a fair chance of being promoted.
- My supervisor is unfair to me.
- The benefits we receive are as good as most other organizations offer.
- I do not feel that the work I do is appreciated.
- My efforts to do a good job are seldom blocked by red tape.
- I find I have to work harder at my job than I should because of the incompetence of people I work with.
- I like doing the things I do at work.
- The goals of this organization are not clear to me.
- I feel unappreciated by the organization when I think about what they pay me.
- People get ahead as fast here as they do in other places.
- My supervisor shows too little interest in the feelings of subordinates.
- The benefit package we have is equitable.
- There are few rewards for those who work here.
- I have too much to do at work.
- I enjoy my co-workers.
- I often feel that I do not know what is going on with the organization.
- I feel a sense of pride in doing my job.
- I feel satisfied with my chances for salary increases.
- There are benefits we do not have which we should have.
- I like my supervisor.
- I have too much paperwork.
- I don't feel my efforts are rewarded the way they should be.
- I am satisfied with my chances for promotion.
- There is too much bickering and fighting at work.
- My job is enjoyable.
- Work assignments are often not fully explained.

Section 6: HRM and Performance

16. Please list three major HRM initiatives that have had the most positive impact on your performance in the past three years:

1_____

2_____

3_____

17. Please list three major HRM initiatives you would most like to introduce because you believe they would have a major positive impact on your performance:

1_____

2_____

3_____

18. Please indicate the extent to which HRM policies and practices is able to influence:

	No influence	Small influence	Sizable influence	Quite large influence	Very large influence
a) The quality of teaching					
b) The quality of research					
c) The quality of top/management leadership					
d) The quality of student outcomes such as grades, completion rates, employment rates etc.					
e) Staff retention					
f) The financial position					
g) The quality of the human resource function					

The aim of this study is to better understand the espoused HRM aims, policies and practices of an academic institution and how these get operationalized at the divisional and the departmental level. If you have any additional comments you believe might contribute to this study, please include them here.

APPENDIX 3C – Ethics Approval Letter



D14/071

Academic Services
Manager, Academic Committees, Mr Gary Witte

Dr F Edgar
Department of Management
Division of Commerce
School of Business

10 March 2014

Dear Dr Edgar,

I am writing to confirm for you the status of your proposal entitled "Espoused and enacted Human Resource Management in Higher Education", which was originally received on February 20, 2014. The Human Ethics Committee's reference number for this proposal is D14/071.

The above application was Category B and had therefore been considered within the Department or School. The outcome was subsequently reviewed by the University of Otago Human Ethics Committee. The outcome of that consideration was that the proposal was approved.

Approval is for up to three years from the date of HOD approval. If this project has not been completed within three years of this date, re-approval must be requested. If the nature, consent, location, procedures or personnel of your approved application change, please advise me in writing.

Yours sincerely,

Gary Witte

Mr Gary Witte
Manager, Academic Committees
Tel: 479 8256
Email: gary.witte@otago.ac.nz

APPENDIX 3D – Themes Explored for Interview Questions

<i>Main Themes</i>	<i>Sub-themes Explored</i>	<i>Sources of adaptation</i>
Environment	Predictability Uncertainty Changes	Chartered Institute of Personnel and Development (2008) Guest & Clinton (2007)
HRM Context	Role of HR function Characteristics of HR Department Knowledge and expertise of the HR team Participation of HR Director Perception of effectiveness of the HR department/HRM practices	Bodor (2011) Guest & Clinton (2007) Richardson & Thompson (1999) Gratton, Hope-Hailey, Stiles, & Truss (1999) Barney & Wright (1997)
Strategy	Institutional strategy Integration Intended HRM strategy <ul style="list-style-type: none"> • Priorities and Initiatives • Challenges • Formulation and Development Operational HRM strategy <ul style="list-style-type: none"> • Implementation • Importance • Effectiveness 	Wright & Nishi (2012) Bodor (2011) Schultz (2010) Shenstone (2009) Purcell & Hutchinson (2007) Khilji & Wang (2006) Buyens & De Vos,(2001) Gratton et al. (1999) Schuler (1992) Smith & Ferris (1990)
Communication	Communication challenges	Den Hartog, Boon, Verburg, & Croon (2013) Wright & Nishi (2012)
HRM Policies and Practices	Remuneration and fair employment Recruitment and retention Size and composition of the workforce Staff development and skills needs Leadership, involvement and change management Occupational health, staff welfare and health and safety Performance management	Shenstone, 2009 Higher Education Funding Council for England (2004) Universities Personnel Association (UPA) and Standing Conference of Principals (SCOP) Personnel Network (2005)

APPENDIX 3E – Final Interview Guide

HUMAN RESOURCE MANAGEMENT IN HIGHER EDUCATION INSTITUTION

Interview Guide

Title _____

Date _____

Time of Interview _____

INTRODUCTION

a. IMPORTANT TO BEGIN:

THANK YOU FOR PARTICIPATING IN THE INTERVIEW.

LET ME INTRODUCE MYSELF AND THE STUDY:

- I AM MASTERS (MCOM) STUDENT COMPLETING THESIS ONLY COMPONENT.
- MY MAIN AREA OF RESEARCH INTEREST LIES ON HRM AND HIGHER EDUCATION.
- THIS IS FIRST PART OF THE DATA COLLECTION. THIS WILL BE FOLLOWED BY A SURVEY.
- PURPOSE OF THE STUDY: BETTER UNDERSTAND HOW ESPOUSED (INTENDED) HRM POLICIES, AIMS AND PRACTICES GET OPERATIONALIZED AT HIGHER EDUCATION
- CONFIDENTIALITY: ALL INFORMATION FROM THE INTERVIEW WILL BE KEPT STRICTLY CONFIDENTIAL. NO ELEMENTS WILL BE PERSONALLY IDENTIFIED WITH THE INTERVIEWEE AND THE DATA WILL BE ONLY AVAILABLE TO THE RESEARCHER.

b. PERMISSIONS

- YOUR PARTICIPATION IS PURELY VOLUNTARY
- AS AN INTERVIEWER I WILL TAKE NOTES
- INTERVIEW WILL BE AUDIO RECORDED.
- THIS INTERVIEW SCRIPT WILL BE TRANSCRIBED AND CHECKED FOR ACCURACY.
- AS AN INTERVIEWEE YOU MAY REVIEW THE TRANSCRIPTION FOR ACCURACY. IN SUCH CASE YOU SHOULD INFORM THE RESEARCHER OF ANY DISCREPANCIES WITHIN 3 DAYS OF RECEIVING THE WRITTEN TRANSCRIPTIONS.

DO YOU HAVE ANY QUESTIONS BEFORE WE START?
CAN I START NOW?

HRM CONTEXT (Q1 onwards)

FIRST, I WILL BE ASKING SOME QUESTIONS ABOUT THE EXTERNAL ENVIRONMENT IN WHICH HRM OPERATES

I. EXTERNAL ENVIRONMENT

1. How predictable is the external environment within which this university is operating?

2. How do you predict environmental changes that can have an impact on the university?

3. What are the main sources of uncertainty currently facing the university?

4. To what extent do these sources of uncertainty (answered to Q3) impact the academic staff?

5. How confident are you in the actions the university plans to take in response to the changes in the environment?

6. What is your view on the actions?

II. HR DIVISION (Q7 onwards)

THAT'S ALL ON EXTERNAL ENVIRONMENT. NOW I WOULD LIKE TO QUESTION ABOUT THE HR DIVISION.

7. Could you briefly describe how the HR Division is structured?
8. Does the HR Division share authority over HR functions with other groups?
 - 8a. What other groups in the university have the authority over some of the HRM functions?
9. How many professional HRM staff are employed as specialists in the whole university?
10. Please briefly explain the role of the:
 - 10a. HRM director
 - 10b. HR Division as a whole.
11. Is the role of the HR Division essentially administrative?
12. How instrumental is your Division in bringing about change to the institution?
 - 12a. Is the change well received by the academic staff?
13. How instrumental are you in bringing about change in the HR Division?
14. Do you consider HR Division to be effective in carrying out its essential functions?
 - 14a. Why?

15. Could you please rate the effectiveness of the HR Division on the following criteria:

		Not at all effective	Not very effective	Somewhat effective	Fairly effective	Highly effective
15a.	Progressing HRM projects and initiatives	1	2	3	4	5
15b.	Managing/minimizing bureaucracy	1	2	3	4	5
15c.	Speed of response to requests from divisional and departmental heads	1	2	3	4	5
15d.	Maintaining up-to-date HRM information	1	2	3	4	5
15e.	Explaining personnel policies and procedures	1	2	3	4	5
15f.	Providing useful advice to head of divisions and departmental heads	1	2	3	4	5
15g.	Providing advice and help to faculty	1	2	3	4	5
15h.	Contributing to the performance of the university	1	2	3	4	5
15i.	Initiating and pursuing new ideas	1	2	3	4	5
15j.	Managing flexible employment	1	2	3	4	5
15k.	Managing or fostering organizational change	1	2	3	4	5
15l.	Overcoming resistance to change	1	2	3	4	5
15m.	Developing creativity and innovation	1	2	3	4	5

16. How do you feel others would rate the performance of the HR Division?

		Not at all confident	Not very confident	Somewhat confident	Fairly confident	Very confident
16a.	How confident are you that the Division Heads would provide similar ratings?	1	2	3	4	5
16b.	What about the majority of the Department Heads?	1	2	3	4	5
16c.	What about the majority of the faculty members?	1	2	3	4	5

INTENDED HRM (Q17 onwards)

THAT'S ALL ON HR DIVISION. NEXT I WOULD LIKE TO ASK QUESTIONS ABOUT HRM PRIORITIES AND CHALLENGES

NB: Priorities refer to priorities for both institution and wider sector in seeking improvements in all aspects of HRM. It will be closely related to desired outcomes.

I. HRM PRIORITIES AND CHALLENGES

17. What are some of the major HRM initiatives in place?

18. What HRM initiatives have had the most positive impact on the performance of the university?

19. What HRM initiatives have had the most positive impact on the performance of the **academic staff**?

20. What HRM initiatives you would most like to introduce because you believe they would have a major positive impact on the performance of the university?

21. What HRM initiatives you would most like to introduce because you believe they would have a major positive impact on the performance of the **academic staff**?

22. What are some of most difficult HRM challenges that you had to address in the past?

23. What are some of the major HRM problems that the university currently faces?

II. HRM STRATEGY AND STRATEGY CREATION (Q24 onwards)

NOW I AM GOING TO FOCUS ON THE HRM STRATEGY (*i.e. the responses to priorities at strategic level*)...

24. What is your university's HRM strategy?

25. How is this HRM strategy formulated and developed?

26. Does the universities top management team actively support this strategy?

27. What is the contribution of the following members in the development of the HRM strategy?

	Not at all effective	Not very effective	Somewhat effective	Fairly effective	Highly effective
27a. Members of the top management team of the university	1	2	3	4	5
27b. The majority of other senior management (Head of Divisions/Schools/Functions)	1	2	3	4	5
27c. The majority of middle and junior management (Head of Departments/Sections)	1	2	3	4	5

28. Are the HRM strategy and policies deliberately integrated with the wider strategy of the university?

29. How do you ensure that the HRM strategy is integrated with and supports the wider strategy of the university?

30. How is HRM strategy formally communicated to, and discussed with those Divisional and Departmental Heads who have to implement related policy and practices on a day-to-day basis?

OPERATIONALISED HRM (Q31 onwards)

NOW, I AM GOING TO TALK ABOUT OPERATIONALIZED HRM (*i.e. implemented HRM practices*)

I. HRM PRACTICES

31. What are the current HRM policies and practices in place for **academic staff** relating to:

WHAT ARE THE CURRENT HRM POLICIES AND PRACTICES IN PLACE FOR ACADEMIC STAFF RELATING TO:	IMPLEMENTATION		IMPORTANCE					EFFECTIVENESS				
	In the process of implementing	Fully implemented	Unimportant	Not very important	Neutral	Important	Extremely important	Not at all effective	Not very effective	Somewhat effective	Fairly effective	Highly effective
a. Remuneration and fair employment	1	2	1	2	3	4	5	1	2	3	4	5
<i>Practice 1</i>	1	2	1	2	3	4	5	1	2	3	4	5
<i>Practice 2</i>	1	2	1	2	3	4	5	1	2	3	4	5
<i>Practice 3</i>	1	2	1	2	3	4	5	1	2	3	4	5
<i>Practice 4</i>	1	2	1	2	3	4	5	1	2	3	4	5
<i>Practice 5</i>	1	2	1	2	3	4	5	1	2	3	4	5
b. Recruitment and retention	1	2	1	2	3	4	5	1	2	3	4	5
<i>Practice 1</i>	1	2	1	2	3	4	5	1	2	3	4	5
<i>Practice 2</i>	1	2	1	2	3	4	5	1	2	3	4	5

	IMPLEMENTATION	IMPORTANCE					EFFECTIVENESS					
		In the process of implementing	Fully implemented	Unimportant	Not very important	Neutral	Important	Extremely important	Not at all effective	Not very effective	Somewhat effective	Fairly effective
WHAT ARE THE CURRENT HRM POLICIES AND PRACTICES IN PLACE FOR ACADEMIC STAFF RELATING TO:												
<i>Practice 3</i>	1	2	1	2	3	4	5	1	2	3	4	5
<i>Practice 4</i>	1	2	1	2	3	4	5	1	2	3	4	5
<i>Practice 5</i>	1	2	1	2	3	4	5	1	2	3	4	5
c. Size and composition of the workforce	1	2	1	2	3	4	5	1	2	3	4	5
<i>Practice 1</i>	1	2	1	2	3	4	5	1	2	3	4	5
<i>Practice 2</i>	1	2	1	2	3	4	5	1	2	3	4	5
<i>Practice 3</i>	1	2	1	2	3	4	5	1	2	3	4	5
<i>Practice 4</i>	1	2	1	2	3	4	5	1	2	3	4	5
<i>Practice 5</i>	1	2	1	2	3	4	5	1	2	3	4	5
d. Staff development and skills need	1	2	1	2	3	4	5	1	2	3	4	5
<i>Practice 1</i>	1	2	1	2	3	4	5	1	2	3	4	5
<i>Practice 2</i>	1	2	1	2	3	4	5	1	2	3	4	5

	IMPLEMENTATION	IMPORTANCE					EFFECTIVENESS					
		In the process of implementing	Fully implemented	Unimportant	Not very important	Neutral	Important	Extremely important	Not at all effective	Not very effective	Somewhat effective	Fairly effective
WHAT ARE THE CURRENT HRM POLICIES AND PRACTICES IN PLACE FOR ACADEMIC STAFF RELATING TO:												
Practice 3	1	2	1	2	3	4	5	1	2	3	4	5
Practice 4	1	2	1	2	3	4	5	1	2	3	4	5
Practice 5	1	2	1	2	3	4	5	1	2	3	4	5
e. Leadership, involvement and change management	1	2	1	2	3	4	5	1	2	3	4	5
Practice 1	1	2	1	2	3	4	5	1	2	3	4	5
Practice 2	1	2	1	2	3	4	5	1	2	3	4	5
Practice 3	1	2	1	2	3	4	5	1	2	3	4	5
Practice 4	1	2	1	2	3	4	5	1	2	3	4	5
Practice 5	1	2	1	2	3	4	5	1	2	3	4	5
f. Occupational health, staff welfare and health and safety	1	2	1	2	3	4	5	1	2	3	4	5
Practice 1	1	2	1	2	3	4	5	1	2	3	4	5

	WHAT ARE THE CURRENT HRM POLICIES AND PRACTICES IN PLACE FOR ACADEMIC STAFF RELATING TO:	IMPLEMENTATION		IMPORTANCE				EFFECTIVENESS					
		In the process of implementing	Fully implemented	Unimportant	Not very important	Neutral	Important	Extremely important	Not at all effective	Not very effective	Somewhat effective	Fairly effective	Highly effective
	<i>Practice 2</i>	1	2	1	2	3	4	5	1	2	3	4	5
	<i>Practice 3</i>	1	2	1	2	3	4	5	1	2	3	4	5
	<i>Practice 4</i>	1	2	1	2	3	4	5	1	2	3	4	5
	<i>Practice 5</i>	1	2	1	2	3	4	5	1	2	3	4	5
	g. Performance management	1	2	1	2	3	4	5	1	2	3	4	5
	<i>Practice 1</i>	1	2	1	2	3	4	5	1	2	3	4	5
	<i>Practice 2</i>	1	2	1	2	3	4	5	1	2	3	4	5
	<i>Practice 3</i>	1	2	1	2	3	4	5	1	2	3	4	5
	<i>Practice 4</i>	1	2	1	2	3	4	5	1	2	3	4	5
	<i>Practice 5</i>	1	2	1	2	3	4	5	1	2	3	4	5

32. Is your Division thinking about introducing any new HRM policies and practices for the academic staff?

32a. Could you briefly describe those policies and practices?

33. How does your Division measure the success of the HRM practices implemented for academic staff?

34. How effective is contribution of the following members in the *application/implementation* of the HRM policies and practices?

	Not at all effective	Not very effective	Somewhat effective	Fairly effective	Highly effective
34a. Members of the top management team	1	2	3	4	5
34b. The majority of other senior management (Head of Divisions/ Schools/Functions)	1	2	3	4	5
34c. The majority of middle and junior management (Head of Departments/Sections)	1	2	3	4	5

ACADEMIC STAFF AND OUTCOME (Q35 onwards)

NOW I WOULD LIKE TO ASK FEW QUESTIONS ABOUT THE ACADEMIC STAFF OF THIS UNIVERSITY

35. Please rate the academic staff on the following criteria:

	Very low	Fairly low	Medium	Fairly high	Very high
35a. Their level of motivation	1	2	3	4	5
35b. Their commitment to the university	1	2	3	4	5
35c. Their willingness to respond to changes	1	2	3	4	5
35d. The quality of their work performance	1	2	3	4	5
35e. Their workload	1	2	3	4	5
35f. Their quality and competence	1	2	3	4	5

36. Please indicate the extent which the HR Division is able to influence:

	No influence	Small influence	Sizable influence	Quite large influence	Very large influence
36a. The quality of teaching	1	2	3	4	5
36b. The quality of research	1	2	3	4	5
36c. The quality of top management influence	1	2	3	4	5
36d. The quality of student outcomes, such as grades, completion rates, employment rates etc.	1	2	3	4	5
36e. Academic staff retention	1	2	3	4	5
36f. The financial position of the university	1	2	3	4	5
36g. The quality of the human resource function	1	2	3	4	5

BACKGROUND- YOU AND YOUR ORGANISATION (Q37 onwards)

WE ARE ALMOST FINISHED WITH THE INTERVIEW. I WOULD LIKE TO CONFIRM FEW DETAILS.

37. Confirm job Title:

38. Reporting to:

39. Are you a member of the top management team in the university?

NB: Top management team refers to those involved in the strategic decisions of the university.

40. How many people belong to this top team?

41. Confirm the total number of full-time equivalent (FTE) academic staff in the university. (2012= 1162)

42. How long have you been in your present job? _____ Years

43. How long have you been employed at this university? _____ Years

44. How long have you been in the Human Resources Profession? _____ Years

45. What portion of your career to date has been spent in the following sectors?

University_____ %

Other Public_____ %

Private_____ %

CLOSING (Q46 onwards)

46. Do you have any further comments on any topic that was discussed?

47. Are there any other issues that you would like to raise?

48. Are there any questions you would like to ask about this research or any other questions at all?

THIS COMPLETES OUR INTERVIEW. THANK YOU FOR TAKING THE TIME TO ANSWER THESE QUESTIONS.

APPENDIX 3F – Interview Dates, Timespan and Transcription

Interview Candidates	Date (Interview conducted)	Timespan	Date (Transcription completed)
HR Manager 1	10/03/14	00:48:11.14	26/03/14
HR Manager 2	12/03/14	01:59:44.84	15/04/14
HR Manager 3	14/03/14	01:33:42.25	20/04/14
HR Manager 4	(Part 1) 17/03/14	01:14:12.25	26/04/14
	(Part 2) 24/03/14	00:37:49.07	27/04/14
HR Manager 5	(Part 1) 19/03/14	00:34:25.68	29/04/14
	(Part 2) 21/03/14	01:20:31:60	02/05/14

APPENDIX 3G – Interview Summary Form and Control Sheet
HUMAN RESOURCE MANAGEMENT IN HIGHER EDUCATION
INSTITUTION

INTERVIEW SUMMARY FORM
(*ONLY for the interviewer*)

Interviewer_____

Date_____

Interview Start Time_____

Interview End Time_____

Overtime_____

Which of the following best describes the respondent's attitude?

- Very antagonistic/unfriendly.....1
- Somewhat antagonistic.....2
- Neutral3
- Somewhat helpful.....4
- Very helpful.....5

Describe the respondent's interest in the interview?

- Very uninterested.....1
- Somewhat uninterested.....2
- Neutral3
- Somewhat interested.....4
- Very interested.....

Did the respondents ask any questions about the survey?

- Yes.....1

- No.....2

Specify:

ANSWER THE FOLLOWING *ONLY* IF THERE WAS A REFUSAL OR PARTIAL COMPLETION.

When did the respondent end the interview?

(Specify exact place –i.e. question number)

WHERE

TERMINATED _____

Which best describes how the interview was terminated?

- | | |
|--|---|
| No warning or explanation..... | 1 |
| An explanation <i>without</i> a chance to respond..... | 2 |
| An explanation <i>with</i> a chance to respond..... | 3 |

The exact situation under which the interview was terminated:

Interviewer (signature):_____

**HUMAN RESOURCE MANAGEMENT IN HIGHER EDUCATION
INSTITUTION**

CONTROL SHEET
(ONLY for the interviewer)

STATUS	DATE	SIGNATURE
Interview Complete	_____	_____
Edit/Corrections Complete	_____	_____
Transcription Complete	_____	_____

APPENDIX 3H – Interview Response Card Summary Tables

DATA SUMMARY TABLE 1: COULD YOU PLEASE RATE THE EFFECTIVENESS OF THE HR DIVISION ON THE FOLLOWING CRITERIA?

	<i>Interview Candidate</i>	<i>Progressing HRM projects and initiatives</i>			<i>Managing/minimizing bureaucracy</i>			<i>Speed of response to requests from Divisional and Departmental Heads</i>		
1	HR Manager 1		<i>Not at all effective</i>							
2	HR Manager 2			<i>Not very effective</i>						
3	HR Manager 3				<i>Somewhat effective</i>					
4	HR Manager 4					<i>Fairly effective</i>				
5	HR Manager 5		X			X				
TOTAL	5		1 (20%)	3 (60%)	1 (20%)		3 (60%)	2 (40%)		4 (80%) 1 (20%)

	<i>Interview Candidate</i>	<i>Managing flexible employment</i>			<i>Managing or fostering organizational change</i>			<i>Overcoming resistance to change</i>			<i>Developing creativity and innovation</i>			
1	HR Manager 1		<i>Not at all effective</i>											
2	HR Manager 2			<i>Not very effective</i>										
3	HR Manager 3				<i>Somewhat effective</i>									
4	HR Manager 4					<i>Fairly effective</i>								
5	HR Manager 5		X			X								
TOTAL	5		3 (60%)	2 (40%)	1 (20%)	4 (80%)		1 (20%)	1 (20%)	2 (40%) 1 (20%)		3 (60%) 2 (40%)		

	<i>Interview Candidate</i>	<i>Providing advice and help to faculty</i>			<i>Contributing to the performance of the university</i>			<i>Initiating and pursuing new ideas</i>			
		<i>Not at all effective</i>	<i>Not very effective</i>	<i>Somewhat effective</i>	<i>Fairly effective</i>	<i>Highly effective</i>	<i>Not at all effective</i>	<i>Not very effective</i>	<i>Somewhat effective</i>	<i>Fairly effective</i>	<i>Highly effective</i>
1	HR Manager 1				X						
2	HR Manager 2				X						
3	HR Manager 3					X					
4	HR Manager 4					X					
5	HR Manager 5					X					
TOTAL	5			2 (40%)	3 (60%)			1 (20%)	4 (80%)		
	<i>Interview Candidate</i>	<i>Maintaining up-to-date HRM information</i>			<i>Explaining personnel policies and procedures</i>			<i>Providing useful advice to Head of Divisions and Departmental Heads</i>			
		<i>Not at all effective</i>	<i>Not very effective</i>	<i>Somewhat effective</i>	<i>Fairly effective</i>	<i>Highly effective</i>	<i>Not at all effective</i>	<i>Not very effective</i>	<i>Somewhat effective</i>	<i>Fairly effective</i>	<i>Highly effective</i>
1	HR Manager 1				X						
2	HR Manager 2				X						
3	HR Manager 3				X						
4	HR Manager 4					X					
5	HR Manager 5					X					
TOTAL	5			3 (60%)	1 (20%)	1 (20%)		1 (20%)	4 (80%)		
										2 (40%)	3 (60%)

DATA SUMMARY TABLE 2: HOW DO YOU FEEL OTHERS WOULD RATE THE PERFORMANCE OF THE HR DIVISION?

	<i>Interview Candidate</i>	<i>How confident are you that the Division Heads would provide similar ratings?</i>					<i>What about the majority of the Department Heads?</i>			<i>What about the majority of the faculty members?</i>						
		<i>Not at all confident</i>	<i>Not very confident</i>	<i>Somewhat confident</i>	<i>Fairly confident</i>	<i>Very confident</i>	<i>Not at all confident</i>	<i>Not very confident</i>	<i>Somewhat confident</i>	<i>Fairly confident</i>	<i>Very confident</i>	<i>Not at all confident</i>	<i>Not very confident</i>	<i>Somewhat confident</i>	<i>Fairly confident</i>	<i>Very confident</i>
1	HR Manager 1			X						X				X		
2	HR Manager 2				X				X				X			
3	HR Manager 3				X			X					X			
4	HR Manager 4			X						X					X	
5	HR Manager 5					X				X					X	
TOTAL	5			2 (40%)	2 (40%)	1 (20%)		1 (20%)	1 (20%)	3 (60%)			2 (40%)	1 (20%)	2 (40%)	

DATA SUMMARY TABLE 3: WHAT IS THE CONTRIBUTION OF THE FOLLOWING MEMBERS IN THE DEVELOPMENT OF THE HRM STRATEGY?

	<i>Interview Candidate</i>	<i>Members of the top management team</i>			<i>The majority of other senior management (Head of Divisions/Schools/Functions)</i>			<i>The majority of middle and junior management (Head of Departments/Sections)</i>			
		<i>Not at all effective</i>	<i>Not very effective</i>	<i>Somewhat effective</i>	<i>Fairly effective</i>	<i>Highly effective</i>	<i>Not at all effective</i>	<i>Not very effective</i>	<i>Somewhat effective</i>	<i>Fairly effective</i>	<i>Highly effective</i>
1	HR Manager 1			X			X				
2	HR Manager 2				X			X		X	
3	HR Manager 3		X				X			X	
4	HR Manager 4				X		X				X
5	HR Manager 5		X				X				X
TOTAL	5		2 (40%)	1 (20%)	2 (40%)		4 (80%)	1 (20%)		1 (20%)	1 (20%)
										2 (40%)	

DATA SUMMARY TABLE 4:

HOW EFFECTIVE IS THE CONTRIBUTION OF THE FOLLOWING MEMBERS IN THE *APPLICATION/IMPLEMENTATION* OF THE HRM POLICIES AND PRACTICES?

	Interview Candidate	Members of the top management team				The majority of other senior management (Head of Divisions/Schools/Functions)				The majority of middle and junior management (Head of Departments/Sections)					
		Not at all effective	Not very effective	Somewhat effective	Fairly effective	Highly effective	Not at all effective	Not very effective	Somewhat effective	Fairly effective	Highly effective	Not at all effective	Not very effective	Somewhat effective	Fairly effective
1	HR Manager 1			X					X					X	
2	HR Manager 2			-										X	
3	HR Manager 3			X					X					X	
4	HR Manager 4			X				X						X	
5	HR Manager 5			X				X							X
TOTAL	5			4 (80%)				2 (40%)	2 (40%)				2 (40%)	2 (40%)	1 (20%)

DATA SUMMARY TABLE 5: PLEASE RATE THE ACADEMIC STAFF ON THE FOLLOWING CRITERIA:

	<i>Interview Candidate</i>	<i>The quality of their work performance</i>				<i>Their workload</i>				<i>Their quality and competence</i>						
		<i>Very low</i>	<i>Fairly low</i>	<i>Medium</i>	<i>Fairly high</i>	<i>Very high</i>	<i>Very low</i>	<i>Fairly low</i>	<i>Medium</i>	<i>Fairly high</i>	<i>Very high</i>	<i>Very low</i>	<i>Fairly low</i>	<i>Medium</i>	<i>Fairly high</i>	<i>Very high</i>
1	HR Manager 1			X						X					X	
2	HR Manager 2			X						X					X	
3	HR Manager 3			X											X	
4	HR Manager 4				X-	-X					X					
5	HR Manager 5			X					X-	-X				X-	-X	
TOTAL	5			2 40%	2.5 50%	.5 10%		.5 10%	.5 10%	2 40%	1 20%			.5 10%	3.5 70%	

	<i>Interview Candidate</i>	<i>Their level of motivation</i>				<i>Their commitment to the university</i>				<i>Their willingness to respond to changes</i>						
		<i>Very low</i>	<i>Fairly low</i>	<i>Medium</i>	<i>Fairly high</i>	<i>Very high</i>	<i>Very low</i>	<i>Fairly low</i>	<i>Medium</i>	<i>Fairly high</i>	<i>Very high</i>	<i>Very low</i>	<i>Fairly low</i>	<i>Medium</i>	<i>Fairly high</i>	<i>Very high</i>
1	HR Manager 1			X						X					X	
2	HR Manager 2			X						X					X	
3	HR Manager 3			X				X							X	
4	HR Manager 4				X-	-X				X					X	
5	HR Manager 5			X					X					X-	-X	
TOTAL	5			1 (20%)	1.5 (30%)	2.5 (50%)		1 (20%)	1 (20%)	3 (60%)				.5 (10%)	4.5 (90%)	

DATA SUMMARY TABLE 6: PLEASE INDICATE THE EXTENT WHICH THE HR DIVISION IS ABLE TO INFLUENCE:

	<i>Interview Candidate</i>	<i>The quality of teaching</i>					<i>The quality of research</i>			<i>The quality of top management influence</i>			
		<i>No influence</i>	<i>Small influence</i>	<i>Sizable influence</i>	<i>Quite large influence</i>	<i>Very large influence</i>	<i>No influence</i>	<i>Small influence</i>	<i>Sizable influence</i>	<i>Quite large influence</i>	<i>No influence</i>	<i>Small influence</i>	<i>Sizable influence</i>
1	HR Manager 1				X								
2	HR Manager 2		X					X					
3	HR Manager 3		X					X					
4	HR Manager 4		X					X					
5	HR Manager 5		X					X					
TOTAL	5		4 80%	1 20%				4 80%		1 20%		.5 10%	.5 10%
											X-	-X	

	<i>Interview Candidate</i>	<i>The quality of student outcomes, such as grades, completion rates, employment rates etc.</i>					<i>Academic staff retention</i>			<i>The financial position of the university</i>			<i>The quality of the human resource function</i>		
		<i>No influence</i>	<i>Small influence</i>	<i>Sizable influence</i>	<i>Quite large influence</i>	<i>Very large influence</i>	<i>No influence</i>	<i>Small influence</i>	<i>Sizable influence</i>	<i>Quite large influence</i>	<i>No influence</i>	<i>Small influence</i>	<i>Sizable influence</i>		
1	HR Manager 1	X								X					
2	HR Manager 2	X					X			X					
3	HR Manager 3	X				X			X						
4	HR Manager 4	X				X				X					
5	HR Manager 5	X				X			X						
TOTAL	5	2 40%	3 60%				2 40%	2 40%	1 20%		1 20%	2 40%	2 40%		

APPENDIX 3I – Previously Validated Items, according to the Concepts and Studies used

<i>Items</i>	<i>Originating concepts</i>	<i>Source of adaptation</i>
<p>Item 1- ‘My managers provide a sufficient amount of information to me’.</p> <p>Item 2- ‘The information provided by my managers is useful’.</p> <p>Item 3- ‘I understand the information communicated by my managers.’</p> <p>Cronbach’s $\alpha = 0.79$</p>	<p>Communication Quality – ‘is conceptualised in terms of whether managers provide a sufficient amount of information about the work and organization to employees, whether employees understand the information they receive from their managers, and whether employees find the information communicated by managers useful’ (Den Hartog et al., 2013, p. 1643).</p>	(Den Hartog et al., 2013)
<p>Item 1- ‘The actual functioning of the HR department is a mystery to a large part of the employees.’</p> <p>Item 2- ‘Employees are regularly informed about the initiatives taken by the HR department.’</p> <p>Item 3- ‘The HR department works too much behind the scenes.’ (R)</p> <p>Item 4- ‘In this organization, it is clear what belongs to the tasks and what’s outside the field of the HR department.’</p> <p>Cronbach’s $\alpha = 0.71$</p>	<p>Visibility – ‘The degree to which internal customers have a clear idea of HR practices, know which HR programs are implemented, and what can and cannot be expected from the HR department’(Delmotte et al., 2012, p. 1486).</p>	(Delmotte et al., 2012)
<p>Item 1- ‘In this organization, employees experience implemented HR practices as relevant’.</p> <p>Item 2- ‘Many of the practices introduced by the HR department</p>	<p>Relevance – ‘The degree to which HR initiatives and practices are perceived as useful, significant, and relevant (supporting achievement of organizational goals) and</p>	(Delmotte et al., 2012)

<p>are useless'. (R)</p> <p>Item 3- 'Employees in this organization often wonder about the usefulness of specific HR practices'. (R)</p>	<p>HR is capable of anticipating on daily problems and needs' (Delmotte et al., 2012, p. 1486)</p>	
<p>Cronbach's $\alpha = 0.75$</p> <p>Item 1: 'All in all I am satisfied with my job'.</p> <p>Item 2: 'In general, I don't like my job'. (R)</p> <p>Item 3: 'In general I like working here'.</p> <p>Cronbach's $\alpha = 0.84$</p>	<p>Job Satisfaction –'is the pleasurable emotional state resulting from the appraisal of one's job as achieving or facilitating the achievement of one's job values' (Locke, 1969, p. 316).</p>	<p>(Bowling & Hammond, 2008; Lu, Samaratunge, & Härtel, 2012)</p>

Note: (R), reverse coding.

APPENDIX 3J – Final Online Questionnaire

HRM and Higher Education

Welcome

This survey seeks your views across a range of Human Resource Management (HRM) related policies, practices and processes.

Thank you for taking the time to participate in this study. It should take a maximum of 15 minutes to complete and it has approval from the University of Otago Ethics Committee (D14/071).

Statement of Confidentiality

Please be assured that this survey is confidential and completely voluntary. If you have any questions about the research, please feel free to email fathimath.shiraani@otago.ac.nz.

By completing this survey, I give my consent to participate in this research.

To go directly to the survey please click on the ' >>' button at the bottom of the page

You can use the '<<' button to go back and change your answers.

If you lose your connection to the Internet or this survey at any point, please click the link provided in the email you received and it will take you back to the point where you left off.

HUMAN RESOURCE MANAGEMENT IN HIGHER EDUCATION

INFORMATION SHEET FOR PARTICIPANTS

Thank you for showing an interest in this research. Please read this information sheet carefully before deciding whether or not to participate. If you decide to participate, I thank you. If you decide not to take part there will be no disadvantage to you and I thank you for considering my request.

Aim of the Research

The aim of this research is to better understand how the espoused Human Resource Management (HRM) aims, policies and practices of an academic institution get implemented at the divisional and the departmental levels. The benefits of this study are wide reaching and may influence the way HRM is practiced in academic environments in the future.

The survey and initial interview data collected from a range of managerial and non-managerial academic staff will be used, in line with the aim of this study, to examine the HRM process, the overall faculty perception and reaction towards people management practices.

Participation

Please be aware that you may decide not to take part in the project without any disadvantage to yourself of any kind and also that you may withdraw from the project at any stage without any disadvantage to yourself of any kind.

Data Collection and Use

You are most welcome to request a copy of the results of the project should you wish. The data collected will be securely stored in such a way that only those researchers mentioned below will be able to gain access to it. At the end of the project any personal information will be destroyed immediately except that, as required by the University's research policy, any raw data on which the results of the project depend will be retained in secure storage for five years, after which it will be destroyed.

The results of the project may be published and will be available in the University of Otago Library (Dunedin, New Zealand) but every attempt will be made to preserve your anonymity. If you have any questions about the research, either now or in the future, please free to contact either:-

Fathimath Shiraani
Department of Management
(03)
479 5094
fathimath.shiraani@otago.ac.nz

OR if unavailable
Dr Fiona Edgar
Department of Management
(03) 479 8091
fiona.edgar@otago.ac.nz

This study has been approved by the Department stated above. However, if you have any concerns about the ethical conduct of the research you may contact the University of Otago Human Ethics Committee Administrator (Phone 03 479-8256). Any issues you will raise will be treated in confidence and investigated and you will be informed of the outcome.

SECTION 1: DEMOGRAPHICS

Q3Gender

- Male
- Female

Q4 Age

- Under 30
- 31-40
- 41-50
- 51-60
- Over 60

Q5 Ethnicity

- Maori
- Pakeha
- European
- Asian
- Pacific Islander
- Other / Please specify _____

Q6 Position

- Professor
- Research Professor
- Associate Professor
- Research Associate Professor
- Senior Lecturer
- Lecturer
- Other / Please specify _____

Q7 Division

- Name of Division A
- Name of Division B
- Name of Division C
- Name of Division D

Answer If Division A Is Selected

Q8 Department / Unit

- Department Name

- Department Name
 - Other _____

Answer If Division B Is Selected

Q9 Department / Unit

Q10 Length of employment at...University

- Less than 5 years
- 5-10 years
- 10 years plus

Q11 Do you currently hold the position of Head of Department?

- Yes
- No

Q12 Have you been Head of Department at...University in the past?

- Yes
- No

SECTION 2: DEPARTMENT LEVEL IMPLEMENTATION

Q13 Please indicate if these HRM policies and practices are IMPLEMENTED IN YOUR DEPARTMENT with respect to ACADEMICS.

	No	Yes	Don't Know
a) Training for all newly appointed Heads of Departments	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
b) Academic leadership training and development	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
c) Academic Confirmation for new academic staff	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
d) Performance and Salary Review Process (e.g. Annual / Biannual Reviews)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
e) Flexible Working Arrangements (e.g. Parental Leave Policy)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
f) High-quality up-to date HR information from the university HR webpage / HR Newsletter	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
g) Systematic communication with Divisional HR Managers	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
h) Remuneration Policy	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
i) Procedures for negotiating employment terms and conditions	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
j) Up-to-date and relevant information on salaries and pay	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
k) Leave (e.g. Conference Leave, Parental Leave, Research and Study Leave, etc.)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
l) Managing diversity / equal employment opportunities	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
m) Academic Promotion and Progression	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
n) Retirement Policy (e.g. Retirement Planning)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
o) General Recruitment and Selection	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
p) Induction...Programme for new staff	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
q) Relocation Policy	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
r) Change management process support provided by HR Division	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
s) Health and Safety Policy	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
t) Workplace Wellbeing	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Q14 Please list any other current HRM policies and practices utilized by your Department that were not mentioned in the previous question.

Q15 Please indicate the extent to which you, AS A HEAD OF DEPARTMENT, are RESPONSIBLE for offering the following HRM policies and practices to the ACADEMICS in your department:

	Never	Rarely	Sometimes	Most of the Time	Always	Don't Know
a) General / Professional training and development	<input type="radio"/>					
b) Academic leadership training and development	<input type="radio"/>					
c) Academic Confirmation for new academic staff	<input type="radio"/>					
d) Performance and Salary Review Process (e.g. Annual / Biannual Reviews)	<input type="radio"/>					
e) Managing flexible working arrangements (e.g. Parental Leave)	<input type="radio"/>					
f) Communicating new HR policies / initiatives	<input type="radio"/>					
g) Advice on Remuneration	<input type="radio"/>					
h) Procedures for negotiating employment terms and conditions	<input type="radio"/>					
i) Up-to-date and relevant information on salaries and pay	<input type="radio"/>					
j) Monitoring staff leave (e.g. Conference Leave, Research and Study leave, etc.)	<input type="radio"/>					
k) Managing diversity / equal employment opportunities	<input type="radio"/>					
l) Academic Promotion and Progression	<input type="radio"/>					
m) Retirement Planning	<input type="radio"/>					
n) General recruitment and appointment of staff	<input type="radio"/>					
o) Induction Programme for new staff	<input type="radio"/>					
p) Relocation	<input type="radio"/>					
q) Maintaining a healthy / safe work environment	<input type="radio"/>					
r) Workplace Wellbeing	<input type="radio"/>					

SECTION 3: DEPARTMENT LEVEL IMPLEMENTATION

Q16 Please indicate the extent to which the following HRM policies and practices are IMPLEMENTED WITHIN YOUR DEPARTMENT:

	Never	Rarely	Sometimes	Most of the Time	Always	Don't Know
a) General / Professional training and development	<input type="radio"/>					
b) Academic leadership training and development	<input type="radio"/>					
c) Academic Confirmation for new academic staff	<input type="radio"/>					
d) Performance and Salary Review Process (e.g. Annual / Biannual Reviews)	<input type="radio"/>					
e) Flexible Working Arrangements (e.g. Parental Leave)	<input type="radio"/>					
f) Up-to date HR information	<input type="radio"/>					
g) Advice on Remuneration	<input type="radio"/>					
h) Procedures for negotiating employment terms and conditions	<input type="radio"/>					
i) Up-to-date and relevant information on salaries and pay	<input type="radio"/>					
j) Leave (e.g. Conference Leave policy, Research and Study Leave, etc.)	<input type="radio"/>					
k) Managing diversity / equal employment opportunities	<input type="radio"/>					
l) Academic Promotion and Progression	<input type="radio"/>					
m) Retirement policy (e.g. retirement planning and)	<input type="radio"/>					
n) General recruitment and appointment	<input type="radio"/>					
o) Induction Programme for new staff	<input type="radio"/>					
p) Relocation	<input type="radio"/>					
q) Health and Safety Policy	<input type="radio"/>					
r) Workplace Wellbeing	<input type="radio"/>					

Q17 To what extent do you agree with the following statements?

	Strongly Disagree	Disagree	Neither Agree nor Disagree	Agree	Strongly Agree
a) My HOD provides me sufficient amount of information on HRM policies and practices.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
b) The information provided by my HOD about HRM policies and practices is useful.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
c) I understand the information about HRM policies and practices communicated to me by my HOD.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
d) My Department Manager, rather than my HOD, communicates most of the HRM policies and practices.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

SECTION 4: INDIVIDUAL PERCEPTION AND SATISFACTION

Q18 Please rate the (a) importance, (b) effectiveness, and (c) your level of satisfaction with the following HRM policies and practices as to the way they are CURRENTLY IMPLEMENTED IN YOUR DEPARTMENT, with respect to ACADEMIC STAFF. Please use the drop down box to indicate your response.

	(a) Please rate the importance of the following HRM policies and practices IMPORTANCE	(b) Please rate the effectiveness of the following HRM policies and practices EFFECTIVENESS	(c) Please rate your level of satisfaction with the following HRM policies and practices SATISFACTION
a)	General / Professional training and development	<input type="radio"/> Highly Important	<input type="radio"/> Don't Know
b)	Academic leadership training and development	<input type="radio"/> Important	<input type="radio"/> Not Applicable
c)	Academic Confirmation for new academic staff	<input type="radio"/> Somewhat Important	<input type="radio"/> Highly Satisfied
d)	Performance and Salary Review Process (e.g. Annual / Biannual Reviews)	<input type="radio"/> Not Very Important	<input type="radio"/> Satisfied
e)	Flexible Working Arrangements (e.g. Parental Leave)	<input type="radio"/> Not at All Important	<input type="radio"/> Somewhat Satisfied
f)	Up-to date HR information	<input type="radio"/> Not at All Effective	<input type="radio"/> Not Very Satisfied
g)	Advice on Remuneration	<input type="radio"/> Don't Know	<input type="radio"/> Not at All Satisfied
h)	Procedures for negotiating employment terms and conditions	<input type="radio"/> Not Applicable	<input type="radio"/> Satisfied
i)	Up-to-date and relevant information on salaries and pay	<input type="radio"/> Highly Effective	<input type="radio"/> Highly Satisfied

Q19 To what extent do you agree with the following statements?

	Strongly Disagree	Disagree	Neither Agree nor Disagree	Agree	Strongly Agree
a) The services available from the HR Division are a mystery to me.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
b) As an academic staff member, I am regularly informed about the initiatives taken by the HR Division.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
c) In my view the HR Division works too much behind the scenes.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
d) In this university it is clear what's outside the responsibility of the HR Division.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Q20 Please rate the (a) importance, (b) effectiveness, and (c) your level of satisfaction with the following HRM policies and practices as to the way they are CURRENTLY IMPLEMENTED IN YOUR DEPARTMENT, with respect to ACADEMIC STAFF. Please use the drop down box to indicate your response.

		(a) Please rate the importance of the following HRM policies and practices	(b) Please rate the effectiveness of the following HRM Policies and practices	(c) Please rate your level of satisfaction with the following HRM policies and practices
		IMPORTANCE	EFFECTIVENESS	SATISFACTION
a) Leaves (e.g. conference leave, research and study leave policy, etc.)		<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
b) Managing diversity / equal opportunities		<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
c) Academic Promotion and Progression		<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
d) Retirement policy (e.g. retirement planning)		<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
e) General recruitment and appointment		<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
f) Induction for new staff		<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
g) Relocation		<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
h) Health and Safety Policy		<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
i) Workplace Wellbeing		<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
				Don't Know <input type="radio"/>
				Not Applicable <input type="radio"/>
				Highly Satisfied <input type="radio"/>
				Satisfied <input type="radio"/>
				Not Very Satisfied <input type="radio"/>
				Not at All Satisfied <input type="radio"/>
				Not Know <input type="radio"/>

Q21 To what extent do you agree with the following statements?

	Strongly Disagree	Disagree	Neither Agree nor Disagree	Agree	Strongly Agree
a) I find the implemented HRM practices relevant.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
b) In my view many of the HRM practices introduced by the HR Division are useless.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
c) I often wonder about the usefulness of specific HRM practices.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

SECTION 5: OVERALL JOB SATISFACTION

Q22 To what extent do you agree with the following statements?

	Strongly Disagree	Disagree	Neither Agree nor Disagree	Agree	Strongly Agree
a) All in all, I am satisfied with my job.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
b) In general, I don't like my job.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
c) In general, I like working here.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

APPENDIX 3K – Modified Items according to the Concepts and Studies used

<i>Items</i>	<i>Originating concepts</i>	<i>Source of adaptation</i>
<p>Item 1-My HOD provides me sufficient amount of information on HRM policies and practices.</p> <p>Item 2- The information provided by my HOD about HRM policies and practices is useful.</p> <p>Item 3- I understand the information about HRM policies and practices communicated to me by my HOD.</p> <p>Item 4*- My Department Manager, rather than my HOD, communicates most of the HRM policies and practices.</p>	Communication Quality	(Den Hartog et al., 2013)
<p>Item 4- The services available from the HR Division are a mystery to me.</p> <p>Item 5- As an academic staff member, I am regularly informed about the initiatives taken by the HR Division.</p> <p>Item 6- In my view the HR Division works too much behind the scenes. (R)</p> <p>Item 7- In this university it is clear what's outside the responsibility of the HR Division.</p>	Visibility	(Delmotte et al., 2012)
<p>Item 8- I find the implemented HRM practices relevant.</p> <p>Item 9- In my view many of the HRM practices introduced by the HR Division are useless. (R)</p> <p>Item 10- I often wonder about the usefulness of specific HRM practices. (R)</p>	Relevance	(Delmotte et al., 2012)

Note: (R), reverse coding; * added during the pilot testing

APPENDIX 3L – Email Invitation Letter

D14/071

Dear XX,

I am a Masters student in the Department of Management and I am writing to see if you would be willing to participate in a research project, which examines how Human Resource Management (HRM) is enacted in higher education institutions. The aim of this research is to better understand how the espoused HRM aims, policies and practices of an academic institution get operationalized at divisional and departmental levels. It is expected that these findings will be of interest to you as an academic department. The benefits that may accrue from this study may be wide reaching, influencing the way HRM is practiced in academic environments in the future.

Your Head of Department has agreed to be part of this research project, and as an academic staff member I am seeking your participation also. Minimal personal data is collected and you have my absolute assurance that confidentiality will be maintained.

Involvement in this study requires your completing an online survey, which will take **no more than 15 minutes**. Should you agree to take part in this research, I thank you. To take part in the survey, please click the following link:

https://businessotago.asia.qualtrics.com/SE/?SID=SV_816Rza2u06NWmP3

Your decision to participate in this study is purely voluntary. If you decide not to take part there will be no disadvantage to you of any kind and I thank you for considering my request.

Thank you for your time and consideration, and for your help with this research study.

Fathimath Shiraani

Dr Fiona Edgar

Department of Management

Department of Management

(03) 479 5094

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This study has been approved by the Department stated above. However, if you have any concerns about the ethical conduct of the research you may contact the University of Otago Human Ethics Committee Administrator (Phone 03 479-8256). Any issues you will raise will be treated in confidence and investigated and you will be informed of the outcome.

APPENDIX 4A – Semantic Codes

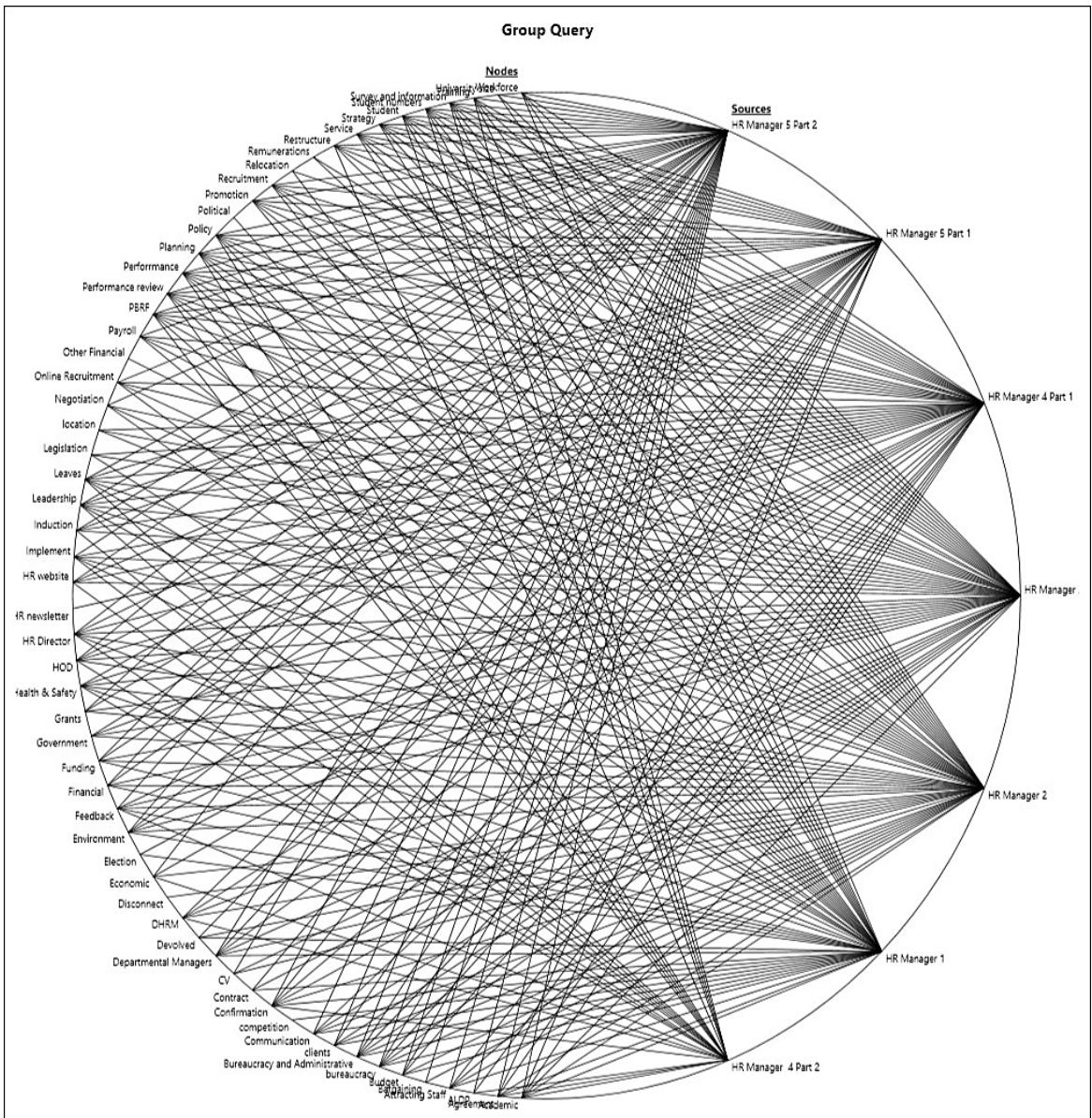
1. Academic versus General Staff	25. Election	49. Management of change	73. Reputation
2. Academic Leadership	26. Environment	50. Measuring HRM	74. Research and Study leave
3. Academic Workforce Planning	27. Ethical Behaviour	51. Performance	75. Responsibility of HR Managers
4. Academic staff	28. Policy	52. Negotiation	76. Restructure
5. Partnership program*	29. Fault reporting system*	53. Parental Leave	77. Review (annual/biannual)
6. Aging Workforce	30. Feedback	54. Pay Scales	78. Scale
7. Agreement	31. Fieldwork	55. Pay	79. Senior Management Support
8. Animal ethics	32. Financial	56. Payroll	80. Service
9. Annual leave	33. Funding	57. PBRF	81. Size
10. Attract people	34. Government	58. Perception of how HR can influence management	82. Strategic versus Administrative
11. Work Program*	35. Grants	59. Performance	83. Strategy
12. Bargaining	36. Health and safety	60. Performance	84. Stress and Mental Health Guidelines
13. Budget	37. HOD	61. Performance Review	85. Student
14. Bureaucracy	38. HR Director	62. Planning	86. Student numbers
15. Challenges	39. HR Division	63. Political	87. Study resources available
16. Changes	40. Review	64. Predictability	88. Survey and information
17. Clients	41. HR Voice	65. Predicting environmental change	89. Taking staff perception
18. Competition	42. HR Website	66. Pressure of change on employees	90. Training
19. Conference leave	43. HR Newsletter	67. Proactive	91. Uncertainty
20. CV	44. HRM Strategy	68. Probationary Confirmation*	92. Uniformity
21. Devolved	45. Implementation	69. Promotion	93. University wide policy
22. DHRM	46. Importance of academic staff	70. Recruitment	94. Visibility
23. Disconnect	47. Importance of leadership	71. Relocation	
24. Economic	48. Induction*	72. Remuneration	

APPENDIX 4B – Word Cloud and Connection Map

Word Cloud



Connection Map



APPENDIX 4C – List of Codes and Overarching Themes

Overarching Themes	Interpretative Codes	Descriptive Codes
Environment	External	Financial <ul style="list-style-type: none"> • Grants • Funding • Budget • PBRF
		Political/legal <ul style="list-style-type: none"> • Legislation • Government • Political • Election
		Attracting staff <ul style="list-style-type: none"> • Aging workforce • Location/Geographical Challenge • Competition
		Student Numbers
	Internal	Devolved Structure
		Internal Challenges <ul style="list-style-type: none"> • Bureaucracy/Administrative • University size • Reluctance/ Resistance • Lack of acceptance/recognition/interest • Lack of loyalty to University • Negativity • Poor HR Reputation • Disconnect
Strategy	Institutional Strategy	About Institutional Strategy
		Formulation of Institutional Strategy
	HRM Strategy	About HRM Strategy
		Formulation of HRM Strategy
		Communication of HRM Strategy
	Alignment/Integration	Aligning Institutional and HRM Strategy
	Health and Safety	Stress and Mental Guidelines
		Work Program*
		Partnership program*
		Animal Ethics
		Field work
		Fault reporting system*
	Recruitment	Online recruitment
		Recruitment
		CV
	Academic	Bi Annual, Annual Reviews

Intended HRM Policies and Practices	Performance Reviews	Performance reviews
		Annual leave
		Parental leave
		Research and Study leave
		Conference leave
		Training and Development
		Other Training
		Promotions
		Probationary Confirmation
		Induction
Operationalisation of HRM	Communication	Relocation
		Pay
		Payroll
		Pay scales
		Remuneration
		HR role <ul style="list-style-type: none"> • Client/ Service • DHRM
		HODs role
		Departmental Managers/Administrators role
		Electronic <ul style="list-style-type: none"> • Web/Website • Email • Newsletter/Bulletin
		Upward <ul style="list-style-type: none"> • Feedback
		Lateral
		Downward

APPENDIX 4D – Other HRM Policies and Practices (Relevant Quotes)

HRM Policies and Practices	Quote	Interviewee Comments
Academic Performance Reviews	1 2	<p>“...we will provide the methodology the tools that they need to do [the reviews] or train people how to do it well, but they have to do it”</p> <p>“...all of these impact on salaries so depending what the outcome of your assessment is, the review...may mean you do or don't get a salary increase.”</p>
Academic Promotions	3 4 5 6	<p>“I think academic staff...They'll go to meetings of their best interest, something around promotions for example...”</p> <p>“...we talk about promotions we have a committee setup at divisional level...committee which is chaired...it makes decisions about the Associates Professors and then there is another committee chaired by...So it's not so much they are out there but we bring them into committees to make academic decisions”</p> <p>“HR has no decision making responsibilities on those committees because they are left to academics...they decide who gets promoted...”</p> <p>“academic promotions application you can see the size of that and those are read by the heads of departments...so depending on the size of the department it's quite a lot...So we are looking at ways...[to] produce better services”</p>
Probationary confirmation*	7 8	<p>“It's so prescriptive...policy is really prescriptive...in terms of monitoring that one is highly monitored.”</p> <p>“probationary policy... very important for ensuring that we recruit and retain... academics who are a suitable for academic life ...they get over a [X number of] year chance to meet a minimum standard to make sure that...academic life suits them, an academic life in [name of the university] suits them.”</p>
Induction*	9 10	<p>“We also have a thing called...which is also online...when people actually anywhere in the world say that they accept the job offer, they immediately get an email from us that says welcome to the university you can now start your...or induction in other words...it has videos about the university, it has clips around the campus and it talks about settling in [city name] and schools and housing and all that... We are starting that...immediately rather than waiting...[for] someone [to] actually get here. We are starting that connection a lot earlier.”</p> <p>“...to get a more consistent [induction] experience because it directly translates to people staying working in here.”</p>

Relocation	11	"Relocation [is] very important...we have done a lot of work with relocation...trying to improve communication around it...We have implemented a few things [to] try and help out but I do wonder sometimes whether the amount of relocation we pay [is helpful]..."
Remuneration	12	"I wouldn't describe it...as an administrative department...[I] got a different view point from a lot of people. A lot of people working in payroll...they would say we are hugely administrative cause that's all they see I see [it] as more operational."
	13	"Payrolls is administrative you got [to] pay people on time, they tend to get upset if you don't, so that's quite important"
	14	"...we have the payroll system right...is a very process, manual, administrative oriented task..."
	15	"so big aspect for that...would be making sure that we are paying people the right amount of money...so there will be high levels of checking, monitoring...making sure there is no fraud occurring for example."

APPENDIX 4E – Survey Findings

Table 1: Communication (Divisional Difference)

Variable	Mean Rank		Mann-Whitney U Test Z values	Sig.
	Division A n = 27	Division B n = 28		
a) My HOD provides me sufficient amount of information on HRM policies and practices	27.67	28.32	-.165	.869
b) The information provided by my HOD about HRM policies and practices is useful.	27.96	28.04	-.018	.985
c) I understand the information about HRM policies and practices communicated to me by my HOD.	27.24	28.73	-.406	.685
d) My Department Manager, rather than my HOD, communicates most of the HRM policies and practices.	28.02	27.98	-.009	.993
Total Communication Quality *	27.46	28.52	-.249	.803

*Excludes Item d

Table 2: Job Satisfaction (Divisional and Group Comparison)

Variable	Division Comparison				HODs Versus Faculty Members			
	(Mean Rank)		Z values	Sig.	(Mean Rank)		Z values	Sig.
	Division A n = 31	Division B n = 30			HODs n = 9	Faculty n = 52		
a) All in all, I am satisfied with my job.	28.44	33.65	-1.389	.165	35.33	30.25	-.961	.337
b) In general, I don't like my job.	26.32	35.83	-2.321	.020	31.22	30.96	-.045	.964
c) In general, I like working here.	30.50	31.52	-.246	.805	35.61	30.20	-.930	.352
Total Job Satisfaction	28.21	33.88	-1.280	.200	35.39	30.24	-.824	.410

Bolded items are statistically significant