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**Transfer Of Learning To The Workplace -**  
**A Study Of Middle Management Training In**  
**One Large Organisation In**  
**New Zealand**

**A Thesis presented in partial fulfilment of the**  
**requirements for the degree of Masters of Education**  
**with an endorsement in Guidance Studies**  
**at Massey University.**

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**2000**

## ABSTRACT

This study, of “*transfer of learning*”, examined the experiences of thirty-four Middle Managers/Team Leaders in one organisation. The Team Leaders, all enrolled in the Open Polytechnic, were studying five “*Management Unit Standards*”.

The study was conducted in two phases; **Phase 1** (quantitative) questionnaires and **Phase 2**, (qualitative) interviews. Questionnaires sent to thirty-four Team Leaders asked the Team Leaders ninety-one questions which related to: *communication within their organisation, senior management practices, their work area and their feelings about the job in general*. The qualitative phase comprised two interviews separated by five months. In **Interview 1**, consenting participants were asked to select three competencies, to implement on the job, out of the thirty they were studying. They hypothesised the strategies they would use to implement them on them on the job and the perceived outcomes. Five months later participants were asked if they believed they did or did not achieve their hypothesised objectives, and what helped and could have helped them. Thirteen themes emerged from analysis of the qualitative data and these were triangulated with the results from the quantitative data. These thirteen themes reflected the five main issues which were discussed in the *Literature Review*: **(1) The emotional climate** within the organisation and students’ psychological attitudes towards **(a)** management **(b)** the respondents working colleagues, **(c)** external customers and **(d)** the learning itself; **(2)** The concept that **mistakes are part of the learning process** as an accepted organisational philosophy; **(3)** Organisational attitudes on ***action learning procedures and practices***; **(4)** Respondents’ attitudes and **feelings of being valued** and rewarded by their managers and higher management; **(5) Change and restructuring** within an organisation and the effect that this can have on transfer of learning. The issues affected the participants’ ability to “transfer” their newly

acquired management competencies in as much as only two of the sixteen participants undertaking **Phase 2** of the study, believed they were able to implement on the job (*transfer*), all three competencies they selected. All participants believed that there were influencing factors, affecting their ability to achieve their hypothesised outcomes.

## **Acknowledgements**

I would like to acknowledge my husband Jack and my daughters Imelda and Nicole for encouraging me over many years in my passion for education. My mother, Margaret MacDougall, sister Annie MacDougall, mother-in-law Bea Lyons for being so patient and listen to my constant barrage of ideas, hunches and feelings which I voiced through my extroverted thinking personality. I would like to thank Massey Library for their energy and dedication in obtaining and supplying me with more reading material than at times I knew what to do with, also John O'Neill, my supervisor, for his guidance, assistance, tolerance and invaluable input. A big thank you to a very dear and close friend Helen Chipper for her unfailing support, and ability to endure such in-depth discussions late into the night. Finally I would like to acknowledge the participants and the organisation that they belong to, as without them, this study would not have been possible.

# Table of Contents

- **Table of Contents**
- **Figures, Tables and Summaries.**
  
- **(Chapter 1) Introduction** p. 1 - 7
  
- **(Chapter 2) Literature Review** p. 8
- Management Development p. 9 - 20
- Contemporary Trends in Training, Education and Human Resource Development. p. 20 - 28
- The Nature of Learning and Approaches to its Development. p. 28 - 35
- Transfer of Learning, Individual and Organisational p. 35 - 42
- Evaluation of Learning p. 42 - 54
- Barriers to Transfer of Learning within Management Development p. 54 - 63
- Summary p. 64 - 67
  
- **(Chapter 3) Methodology**
- Introduction p. 65 - 74
- Delimitations and limitations of the study p. 75 - 76
- Research questions p. 77 - 80
- Assumptions and Rational for Design p. 80 - 86
- The Role Of The Researcher p. 86 - 88
- Setting and selection of participants p. 88 - 89
- Ethical considerations p. 89 - 94
- Data Collection Procedures p. 94
  - Quantitative procedure p. 94 - 97
    - Instrument p. 97- 100

• Qualitative procedure	p. 100 - 106
• .Data Presentation and Analysis Procedures	
• Quantitative analysis	p. 107 - 108
• Qualitative analysis	p. 108 - 111
• Verification Process	p. 111 - 113
• Summary	p. 113
• <b>(Chapter 4) Results (Outcome Of The Study)</b>	
• Introduction	p. 114 - 117
(1a) Quantitative, <b>Phase 1</b> , demographics results	p. 117
(1b) Quantitative statistical data from questionnaires	p. 117 - 129
(2a) Qualitative, <b>Phase 2, Interview 1</b> (list of competencies and number of Team Leaders who selected each).	p. 130 - 133
(2b) Qualitative, results from <b>Interview 11</b> (number of Team Leaders who believed they did or did not achieve their competencies).	p. 133 - 134
(2c) Thirteen themes identified from <b>Interview 11</b>	p. 135
(3) Triangulation of results	p. 135 - 155
• Summary	p. 156 - 157
• <b>(Chapter 5) Discussion</b>	
• Introduction and Discussion	p. 158 - 169
• <b>(Chapter 6) Conclusion</b>	p. 170 - 174
• <b>References</b>	p. 174 - 199

## Appendices

1. Cameron's measures of organizational effectiveness.
2. Team Leader's questionnaire for quantitative methodology, Phase 1.
3. Team Member's questionnaire for quantitative methodology, Phase 1 (*data obtained was not used*).
4. Portion of a letter sent to supervisor re new study
5. Participant consent form.
6. Letter from National Training Manager. (*participant's organisation*)
7. Information letter to participants written by researcher.
8. Pre-interview letter
9. Follow up letter sent by independent intermediary.
10. Competencies sheet.
11. Key research question (*Interview One*)
- 11a Summary sheet outlining the research questions for *Interview One* (qualitative methodology)
12. Summary sheet outlining the research questions for *Interview Two* (qualitative methodology)
13. Thank you letter from the researcher.
14. Unit standard 1983
15. Unit standard 1984
16. Unit standard 1985
17. Unit standard 1987
18. Unit standard 1988
19. Year Study Time Planner for Units Standards
20. Newspaper Article
21. Summarised Results from *Interview One*
22. Summarised Results from *Interview Two*



## List of Maps/Tables and Boxes

Figure 1	Development techniques	p. 17
Figure 2	Hard and soft data	p. 51
Figure 3	Trainers' perceptions of barriers to on the job.	p. 74
Figure 4	Concept map	p. 69
Figure 5	Objectives outcomes model	p. 76
Box 1	Competences studied by Team Leaders	p. 106
Table 1	Process Road Map for Thesis	p. 116
Table 2	Question 10, Qualitative Analysis <i>Overall I am satisfied with my job</i>	p. 119
Table 3	Question 3 Qualitative Analysis <i>I have a clear idea of what I am expected to do in my job.</i>	p. 119
Table 4	Question 9 Qualitative Analysis <i>Most of the time I have too much work to do</i>	p. 119
Table 5	Question 5 Quantitative Analysis <i>There are too many unreasonable deadlines in my job.</i>	p. 120
Table 6	Question 15 Quantitative Analysis <i>The boss teams me with respect.</i>	p. 120
Table 7	Question 24 Quantitative Analysis <i>My immediate boss does a good job at motivating staff.</i>	p. 120
Table 8	Question 20 Quantitative Analysis <i>I have a good working relationship with my boss.</i>	p. 121
Table 9	Question 17 Quantitative Analysis <i>My immediate boss does his or her job well.</i>	p. 121

Table 10	Question 32 Quantitative Analysis <i>There is a us and them between management And other employees.</i>	p. 122
Table 11	Question 33 Quantitative Analysis <i>I believe senior management usually acts on the issues raised by staff.</i>	p. 122
Table 12	Question 39 Quantitative Analysis <i>People in my work area do a good job.</i>	p. 123
Table 13	Question 48 Quantitative Analysis <i>My work area provides excellent service to our external customer.</i>	p. 123
Table 14	Question 40 Quantitative Analysis <i>People in my work area work well as a team .</i>	p. 123
Table 15	Question 41 Quantitative Analysis <i>Moral in my work area is good.</i>	p. 124
Table 16	Question 51 Quantitative Analysis <i>I am kept fully informed about changes affected my job.</i>	p. 124
Table 17	Question 54 Quantitative Analysis <i>I often hear about things happening within the organization through the radio and newspaper first.</i>	p. 124
Table 18	Question 59 Quantitative Analysis <i>I get the opportunity to say what I want at team/staff meetings.</i>	p. 125
Table 19	Question 61 Quantitative Analysis <i>I am proud to say I work for our organization.</i>	p. 126
Table 20	Question 74 Quantitative Analysis <i>Our organization provides good customer service.</i>	p. 126
Table 21	Question 70 Quantitative Analysis <i>There is a lot of doubling up of work within the organization.</i>	p. 126
Table 22	Question 63 Quantitative Analysis <i>Overall our organization is a good employer.</i>	p. 127

Table 23	Question 78 Quantitative Analysis <i>I believe the organization is committed to developing its people with the appropriate training they need.</i>	p. 127
Table 24	Question 79 Quantitative Analysis <i>I believe the organization is committed to developing its people with the appropriate management training they need.</i>	p. 128
Box 2	Competencies selected by Team Leaders	p. 131
Box 3	Qualitative Methodology <i>Numbers of participants who believed they did or did not achieve their competencies</i>	p. 135
Table 25	Question 1 Quantitative Analysis <i>I really enjoy my job.</i>	p. 136
Table 26	Question 43 Quantitative Analysis <i>People in my work area are proud of what they do.</i>	p. 137
Table 27	Question 68 Quantitative Analysis <i>Change is being managed well within our organization.</i>	p. 138
Table 28	Question 31 Quantitative Analysis <i>Senior management genuinely listen tot he needs of employees.</i>	p. 140
Table 29	Question 16 Quantitative Analysis <i>My immediate boss gives me support when things go wrong.</i>	p. 140
Table 30	Question 36 Quantitative Analysis <i>Overall the management of our organization is good.</i>	p. 141
Table 31	Question 27 Quantitative Analysis <i>My immediate boss regularly tells me how I am doing.</i>	p. 143
Table 32	Question 29 Quantitative Analysis <i>My immediate boss has set me clearly defined goals.</i>	p. 143

Table 33	Question 30 Quantitative Analysis <i>My immediate boss has measured my performance against these goals.</i>	p. 144
Table 34	Question 56 Quantitative Analysis <i>I believe the communication within the organization is good.</i>	p. 144
Table 35	Question 69 Quantitative Analysis <i>Overall management is very supportive of employees.</i>	p. 146
Table 36	Question 73 Quantitative Analysis <i>There is good co-operation between work areas.</i>	p. 147
Table 37	Question 32 Quantitative Analysis <i>There is an "us and them" feeling between management and other employees.</i>	p. 148
Table 38	Question 37 Quantitative Analysis <i>Management can be trusted to keep their word.</i>	p. 150
Table 39	Question 76 Quantitative Analysis <i>The organization gives me the opportunity to obtain enough operation training to do my job effectively.</i>	p. 152
Table 40	Question 84 Quantitative Analysis <i>I am encouraged to learn new techniques and current trends in operational training.</i>	p. 153
Table 41	Question 85 Quantitative Analysis <i>I am encouraged to learn new techniques and current trends in management education training and development.</i>	p. 153
Table 42	Question 81 Quantitative Analysis <i>The organization is equitable in its allocation of resources for operational training? (i.e. everyone has equal opportunity and access)</i>	p. 153
Box 4	Barriers to transfer of learning	p. 156

# Chapter One

## Introduction

This thesis emerged because of my passion for training and education, particularly within the area of *management development*. If, as I fervently believe, *management development* is to enhance our way of being, then I want to be a part of that. I want to understand the *why*, the *how*, the *what* and the *when*. That is, *why* do organisations need to develop individuals? *How* do they do it? *What* do organisations do, and what can they do in the future to maintain it? And finally *when* and *how* does an individual or an organisation obtain the benefits of the development?

Management development and the transference of that development to the workplace is an area that I believe is vital to organisational growth and employee well-being. When training specialists speak of transfer of training they are usually concerned with whether the knowledge, skills or attitudes learned in the training situation will be available and utilised *back on the job*. This is, of course a critical issue in the evaluation of the utility of a training program. Sometimes transfer is easy, and sometimes it is difficult. Some theorists such as Goldstein (1986) suggest that the ease or difficulty of transfer depends to some extent on how the new behaviour differs from the old behaviour. Also the similarity between new and old concepts, and new and old environments will also affect transfer.

From the writer's point of view *management development* incorporates a tremendously diverse range of skills, for example:-

- general business management
- general supervision training
- performance management techniques
- principles of coaching
- human relations training

- training in problem solving and decision making.
- specialised programmes such as project management
- project planning, or strategic planning.

For each of these skills, transference can be observed by others, and interpreted by the individual in a variety of ways. For example, subjective opinion from the individual and observers, actual practical evidence of transference through a project or event, or hard data from Management Information Systems (M.I.S.).

### **Format**

This study explores *management development* within a large organisation. All the research literature that is reviewed relates to larger organisations, that is, upwards of one thousand employees. The use of the word 'organisation' throughout this study thus refers to large organisations.

This study was undertaken with a group of middle managers who all did the same job but in different geographical locations through New Zealand. The study looked at the ability of these managers to *transfer their learning* from a series of management courses to their job. The skills that the Managers/Team Leaders learnt were an eclectic mix of the ones mentioned above. The study was divided into two phases (**Phase 1**) quantitative (**Phase 2**) qualitative, and the results were written up using a triangulation of findings.

Consistent with accepted conventions of scholarly writing, the writer has tried to eliminate any words or examples that convey a sexist or racist orientation. Because this thesis will be read by people who may not usually read thesis type writing several features have been added to improve the readability, that is, bullets to emphasise key points, boldface type, italics, and numbers where steps are needed.

## Outline of Chapters

This thesis comprises five main chapters; most chapters contain several sub-sections or topics. For example, **Chapter Two**, is the *Literature Review* which has six sub-sections: (1) *Management Development*, which looks at the importance of training and development for organisational growth. (2) *Contemporary Trends in Training Education and Human Resource Development* discusses the various contemporary methods of development, and also the increasing financial investment in training that organisations are making in their employees. (3) *The Nature of Learning and Approaches to its Development* discusses some theorists' views on learning and various methods such as *Action Learning and Double Loop Learning* which are used to enhance development within the workplace. (4) *Transfer of Learning, Individual and Organisational* identifies what *transfer* is and some principles of a good learning environment, which ensure that *positive transfer* does occur. (5) *Evaluation of Learning* discusses why training practitioners and organisations need to evaluate training. Also discussed are various levels and measures of evaluation proposed by earlier theorists. (6) *The Main Issues Concerning Transfer of Learning* discusses some of the barriers to transfer, for example, social learning processes, personal psyche of the learners, peer pressure and discourses that the learner has previously been subjected to. These include learned values and beliefs or organisational norms, also the organisational climate for learning.

**Chapter Three, Methodology** consists of eight sub-sections or topics. (1) The *Introduction* gives a brief outline of the research topic and the size of the organisation the participants are from. It also includes a concept map showing the flow of the qualitative and quantitative processes. (2) *Delimitations and Limitations of the Study* identifies the potential weaknesses of the study. (3) *Research Questions* asks the grand tour question (Werner and Schoepfle, 1987) and five sub-questions (Miles and Huberman, 1984) that the researcher believes are the main contextual issues within transfer. The findings of the

study are used to answer these questions. (4) *Assumptions and Rationale for Design* discusses the initial intention of the study and explains why the particular methodology (i.e. combined quantitative and qualitative design) was used. (5) *The Role of the Researcher* looks at the setting and selection of the participants, and the ethical considerations, for example, the researcher's access to participants and obtaining their consent to participate in the study. This section also summarises the appointing of an independent intermediary and the role she undertook. (6) *Data Collection Procedures* describes the two data collection methods used, *quantitative* and *qualitative*, the instruments used and the steps and processes followed. (7) *Data Presentation and Analysis Procedures* summarises the steps taken for analysing the quantitative data and for interpreting the qualitative data. (8) Finally the *Verification Process* outlines the steps for verification, and summarises the triangulation and cross-referencing process.

**Chapter Four, Results** consists of an *Introduction* and five sub-sections. The *Introduction* describes the process used for presenting the results of the data. The researcher also includes a "road map" to pictorially show the process of the two phases and the triangulation of results. The demographic results, (i.e. participant's average age, and participant's average number of years in a management position) are presented in the first sub-section (**1a**). The statistical data obtained from the questionnaires is presented in (**1b**). The second sub-section shows the *results* from **Interviews One** and **Two** (*Phase 2*). It is divided into three sections, (**2a**) lists the thirty competencies and the number of Team Leaders who selected each, (**Interview One**); (**2b**) identifies the number of participants who believed they did or did not achieve their pre-selected competencies, (**Interview Two**); (**2c**) identifies the thirteen themes that emerged from **Interview Two**. The third sub-section (**3**) shows a *triangulation of results*, that is, data from the questionnaire are shown in table format and triangulated with the thirteen themes that emerged from the interviews to highlight consistencies in themes. Also wherever possible these themes are interspersed with dialogue from the interviews. The *Discussion*



section (**Chapter Five**) that follows discusses the findings in relation to the literature and theories that were discussed earlier in Chapter Two. The findings together with aspects of the *Literature Review* are used to answer the main research question and sub-questions. The final section is the conclusion (**Chapter Six**). Here the researcher summarises the study and draws some conclusions from what was found, identifies where these conclusions can apply and finally makes recommendations for further research.

Although the data collected were the subjective opinions of the participants, the consistencies across both data collection procedures highlighted **two** aspects. (1) The lack of transfer of competencies to the job, and (2) The similar, or in some cases identical, reasons participants had for their inability to transfer competencies.

According to Chawla and Renesch (1995)

*We have organisations that systematically take most of what is living, creative, natural, and vital in individuals and turn it off (p.1).*

Is it possible that organisations will never learn much until they can create an environment in which individuals are able to learn?

In order for organisations to achieve growth, develop a highly skilled workforce and remain competitive in a global marketplace, improving *transfer of training* must become an organisation's first priority. *Transfer of learning* refers to the learning or training that has taken place in one situation, which carries over or transfers to a second situation. According to Translearn Associates (Allie, 1998), effective learning and training are built on transfer skills. Translearn believe that *transfer* is fundamental to individual and organisational learning. Outlined below is a brief synopsis of four facets that Translearn believe are involved in the *transfer of training*:

1. How previous learning influences current and future learning.
2. How past or current learning is applied or adapted to similar or new situations.
3. How organisations can positively or negatively influence the transfer of learning.
4. How individuals unconsciously use cognitive blocks (preconceived ideas) which inhibit the transfer of learning. For example, a learner can transfer prejudices and biases about a particular group or generalise to other groups which are perceived to have similar characteristics. This negative transfer can affect learning and performance.

Although interrelated, each of these four facets has a marked influence within the realm of both individual and group learning and what some practitioners now call leveraged learning (Stuart, Deckent, McCutcheon and Kurst, 1998). Leveraged learning is where individuals, groups or companies openly learn and share each others' experiences, knowledge and skills. This can be done in a formal or an informal way. The researcher set out to explore and answer many questions within the domain of '*management development and the subsequent transfer of learning*'. However a lifetime of research and questioning would only scratch the surface of issues to be explored. Transfer of learning is not something that happens automatically as Thorndike reported over half a century ago in his studies of the improvement of one mental function upon the efficiency of another function ((Lefrancois, 1988, pp. 27-28)

*Transfer of learning* within the area of management development was chosen because research (Argyris, 1964,1994) suggests that excellent management and leadership skills are the corner stones of successful organisations. Closely inter-related with this is the concept that "*learning also means the motivation to change behaviour*" (Waterman, 1994, p.67). As the research in this study will demonstrate transfer is not something that automatically happens after learning. Mahesh (1993) argues that for transfer to take place

*Fear, authority and manipulation need to be eliminated. Corporations must create environmental conditions that are conducive to human development* (Mahesh, 1993, p.148).

Moreover as Reichheld fervently alleges in his book *The Loyalty Effect* employees need to feel valued, supported and safe for learning and transfer to occur. He goes on to state

*A layoff rarely exhilarates employees. What it does do is stifle creativity discourage risk-taking and destroy loyalty. The fear that goes with layoff or change soaks up energy and draws people's attention to their own safety and careers, away from the success of the enterprise* (Reichheld, 1996, p. 95).

It could be argued that fear ultimately affects the motivation to learn or transfer learning to the workplace (an issue that arose during the course of this study).

In short, the findings of this study will be useful to several audiences; educational practitioners, human resource managers, consultants, executives and career development specialists. Hopefully, the study will shed light on some of the many questions surrounding management development and the *transfer of learning* to the workplace. It may also influence the way organisations educate, train and develop their managers. The issues raised in this study seem to be a microcosm of what is happening in many organisations today, as far as management development is concerned.

## Chapter Two

### Literature Review

This chapter is divided into six sub-sections or themes, the first being (1) *Management Development* which explores the significance of training and development for organisational growth. What have been the historic philosophies and attitudes behind management training for organisations and what are the current philosophies? (2) *Contemporary Trends in Training Education and Human Resource Development* discusses methods of development and the growing financial investment in training that organisations are making in their employees. (3) *The Nature of Learning and Approaches to its Development* discusses about some theorists' views on learning and various methods such as *action learning* which are used to enhance development within the workplace. (4) *Transfer of Learning, Individual and Organisational* specifies what 'transfer' is and some characteristics of what makes a good learning environment to support *positive transfer*. (5) *Evaluation of Learning* discusses questions such as: Why evaluate? Why is it needed? What are the benefits? Finally (6) *Barriers to Transfer of Learning within Management Development* extracts, and reiterates, some of the most important issues discussed in the previous five sub-sections. It also highlights other barriers to transfer, many of which stem from our previously learnt *values* and *beliefs* or the previous *social learning processes* that we have either been brought up with, or are living with now. This section also discusses the *emotional climate* a learner may be working in, and the effects the climate can have on learning. Other issues which will be discussed in relation to 'transfer' are; creating the *ideal climate for learning*, the philosophy of mistakes *being accepted as part of the learning process*, employees feeling they add value and *are valued by management*, and finally a discussion on how change or *restructuring* can effect transfer.

These six themes were selected and discussed in the above order because the researcher believed they helped build a picture for the reader of what management development is and the importance of it in the current business environment. For the non-educationalist they also outline what learning is, by discussing some historical theories on learning and recent approaches to its development. For the non-educationalist this chapter clearly explains where 'transfer' fits into the theories on 'evaluation of learning'. These themes also help to illustrate the fundamental learning principles that are necessary for transfer to occur and how organisations can either encourage or inhibit employee growth.

## Management Development

In this section the writer explores the importance of management development and its significance for organisational growth. This study is designed to help organisations look at one of their most important resources - people. It is the writer's view that through training, organisations change employees' attitudes and increase their skills and knowledge. Some people no longer use the word training (particularly for management development) but advocate the idea of human resource development (HRD). However, as Nadler (1984) suggests:

*Some would argue that there is either no definition for this term (HRD) or disagree with definitions that have been provided (p. 2).*

Still others such as Peel (1992) believe that:

*Training is often used as if it were synonymous with development. The distinction between the two is inevitably blurred, as training is a frequent, but not essential, component of development. Training takes place at a defined time and place. Development occurs over a longer, often undefined, time-scale. It is a series of internal events helped by outside agencies and events. People develop as a result of their experience (p. 72).*

The writer agrees with the view of Camp, Blanchard and Huszczo (1986) who state that:

*HRD involves training employees (in some way) to increase their skills and knowledge (p. 75).*

The participants in this study were all full time permanently employed staff who were enrolled five management papers, one communication and one Occupational Safety and Health (OSH). All papers which were part of a one year Management Development Programme. Thus for the purpose of this study the writer will use the terms HRD, management development and training interchangeably throughout.

Organisations and the training of employees within them are changing at a rapid rate, and managers at all levels are expected to keep pace with that change. This puts pressure on organisations to develop managers so they are not only able to do their job effectively but take the organisation forward. Many organisations such as the six illustrated in an article by Fulmer and Wager (1999) are taking up this management development challenge. Fulmer and Wager (1999) report on a bench-marking exercise that identified the trends within leadership development based on six best-practice US-based firms: Arthur Anderson, General Electric, Hewlett-Packard, Johnson and Johnson, Shell International and the World Wide Bank. The report outlined eight main strategies that all six organisations were using as a basis for management development:-

1. Leadership development was aligned with and used to support corporate strategy.
2. Human resource development and experience were all part of leadership development
3. Leadership competencies matched each particular organisation.

4. Leaders were developed from within the organisations not recruited .
5. Leadership development programmes were all based on '*action learning*' activities
6. Learning and development programmes were all linked to succession planning.
7. Leadership development was a symbiotic tool.
8. It was seen to be imperative to assess the effectiveness of the leadership development process (p. 56).

Because management development takes time and costs money not all organisations are developing their managers/leaders internally. According to Hussey (1988) some organisations are opting to buy people in who already have the knowledge and skills they require. This is particularly obvious within the information technology (I.T), training and executive professions. In an article entitled '*Executives on a Short Lease*' Gray (1998) talks to several leading New Zealand recruitment consultants and New Zealand companies who advocate leasing managers and executives. In an interview with Gray (1998) Kevin Chappell Managing Director of Executive Task-force in Auckland states

*A contract resource cannot be compared with a salary, as the company doesn't pay overheads. If you have strong leadership at the top, a strong soul and direction, you can be staffed totally by contractors. When the economic shifts are coming faster and more furiously each year why would a company want to take on the risk? (p. 69)*

Jenny Corder senior consultant in executive leasing at KPMG in Auckland sees contracting as "allowing companies to bring expertise on board as and when required and as something that is quite skill specific" (Gray, 1998, p. 69).

So how many organisations are employing contractors in New Zealand? According to Richard Manthel, Manager of Robert Walters Associates:

*There are around 500 contractors employed through consultancies in Auckland alone, (disregarding IT contracts) private contractors would probably treble the numbers (Gray, 1998, p. 69).*

According to Law (1997) another advantage of a leased executive/manager is that companies often see this as the perfect way of completing a project or temporarily filling a position. Adrian Jim, Financial Controller of Cerebos Greggs New Zealand Ltd stated in an interview with Law (1997):

*Contractors may seem expensive on an hourly basis but they're cost effective compared to permanent staff. And they bring new ideas to a company and I think you can learn a lot from them: They can often see a solution that's staring you in the face, but you're too close to the company to see (p. 46).*

The advent of leasing contract managers/executives has meant a shift in training responsibilities. It appears recruitment consultancy companies are adopting the responsibility by offering free management training via the internet or intranet. According to Jeff Grout, Managing Director of Robert Half International, a \$1.8 billion company which employs 5,200 staff at 250 offices through North America, Europe, Australia and the Great Britain, "offering management training via the internet or intranet ensures that their contractors keep their skills up-to-date and is also an added incentive for contractor retention". He goes on to state:

*We offer around 500 computer-based courses covering the information technology, accountancy and management sectors. All courses help keep our contract employees skilled (Moody, 1999c, p.3).*

Recruitment consultants in New Zealand also offer *free* computer based training (CBT) courses to their contract employees. For example according to Lincoln Crawley, the General Manager Manpower Services (N.Z.) Ltd., "training is offered through their company via the internet and the Global Learning Centre". Accordingly contractors can select from hundreds of courses ranging from basic computer skills to management development.



While leasing or contracting managers and executives is on the increase, it is apparent that the most predominate method of employment for organisations within New Zealand is still that of permanent employees.

(www.stats.govt.nz/domino/external New Zealand Official Year Book).

Permanent Wage or Salary	Males 1993	Males 1998	Females 1993	Females 1998
	621.4	706.4	565.1	666.4
	6.4% increase		8.2% increase	
Self Employed / contract staff	122.7	140.7	53.2	62.6
	6.8% increase		8.1% increase	

Arguably talent can be bought, but according to Handfield-Jones (2000) a consultant at McKinsey's, "the best companies develop their own talent" (p. 116). Such organisations are opting to educate and develop their managers with modern management practices and also educate them in the cultural and philosophical orientations, expectations and values of the organisation (Rabey, 1997; Hoffman and Withers, 1995; Swieringa and Wierdsma; 1992). Many of these organisations use their own in-house training units, or set up their own company business schools. For example, some of the earliest companies to do this were the Disney Corporation, GE Company in USA and GEC in the United Kingdom. Magerison (1991) identifies another well-known company, the McDonalds Hamburger Chain that brought in its own business schools to facilitate the development of managers.

*They founded much to the amusement of many, Hamburger University. While it was regarded as a joke by some sceptics, the McDonald organisation was ahead of its time: They recognised that the way to improve their effectiveness was to invest in their people and help them learn about their own business by studying it in some depth, through real case studies relating to McDonald operations. (Magerison, 1991, p. 96)*

In an article in the journal 'Training Strategies for Tomorrow' (Moody, 1999a) the Chief Executive (C.E.O.) of McDonalds, Andrew Taylor describes a scheme that McDonalds has in place, a scheme where employees are asked

to apply for a scholarship of \$3,000 to help support their various educational activities. The C.E.O. states:

*We value our employees highly and hope that our scheme will help those with us to complete their studies without suffering too much financial hardship. We are all well aware that a well-educated workforce has benefits for not only our company but the workforce of the UK as a whole. Students who come and work for us while they complete their degrees are an important and vibrant part of our workforce and many stay with us and enrol in our management programme (Moody, 1999a, pp. 3-4).*

Fulmer and Gibbs (1998) outline how executive education and leadership development has changed in the USA. It has ceased to be regarded as a one-off event, instead being viewed as part of life-long learning. They point to the increasing number of firms who are setting up their own corporate universities to deliver customised training. For example Motorola, General Electric, Johnson and Johnson and Arthur D Little.

According to Moody (1999b) one of the largest banks in the United Kingdom, Lloyds TSB has recently set up the University for Lloyds TSB, making it one of the largest corporate Universities in Europe. Moody (1999b) states:

*It has been developed to improve personal and business performance by providing accessible career-long learning for all 77,000 employees in the UK banking group. The corporate university uses multimedia personal computers and internet-based training packages to ensure that staff have the chance to develop their skills alongside the specific needs of the business (1996 p. 6).*

Nancy Prendergast, a former College Professor was asked four years ago to create a Corporate University for MMI Companies Inco, an international health-care risk management company in Illinois. According to Prendergast, "MMI insights provides a wide and constantly changing curriculum" (Garger, 1999, p. 39).

*The challenge now explains Prendergast is to move from working with*

*knowledge to working with wisdom. To figure out how you can make a difference to keep employees thinking about big picture issues, the company University sponsors bimonthly teleconference call, conducted by a senior executive and open to any employee. During the call the Executive facilitates a discussion on an article or topic featured in a recent business magazine or journal. This approach says Prentergast gives everyone an opportunity to reflect on what's going on in the market place and discuss and impact those trends may have on their own business (Garger,1999, pp. 39-40).*

This form of management development is discussed below in both *Chapter Two, Section Two 'Contemporary Trends in Training Education and Human Resources Development'* and *Section Four, 'Transfer of Learning, Individual and Organisational'*.

Certainly corporate universities are becoming popular in the larger Western Countries, for example Britain, Europe and America. Meister (1998) states that in 1988 there were 400 corporate universities in the USA and now in 1999 there are 1600. Meister (1998) argues that by 2010 corporate universities in the USA could outnumber traditional Universities. She also suggests that this growing shift to a new way of developing people within organisations has two advantages:

1. *It can offer continuous learning to workers at a time when new products increasingly dominate the marketplace.*
2. *It also helps promote the organisation to its potential and existing employees and can help a company become employer of choice in a given field. In this way the organisation attracts the best people and works to ensure that they remain the best (Meister, 1998, p. 14).*

While evidence suggests corporate universities are on the increase, still other organisations use a combination of internal and external expertise, more commonly known as strategic insourcing alliance (van Adelsberg and Trolley, 1998). According to Elizabeth Valentine, WestpacTrust's New Zealand Strategic Human Resources Development Training Manager,

*WestpacTrust train their staff in technical knowledge internally using a combination of internal trainers and on the job training, coaching and mentoring. All management development is achieved on an as needs basis through external partnerships (outside providers) who are willing to work closely with the company incorporating the company philosophies and TOAST values (Trustworthiness, Ownership, Achievement Simplicity and Teamwork), into their management development training material.*  
(personal communication)

Another Company who believe strategic insourcing alliance is the solution for their training and development needs is Moore North America. According to Susan Christie, Vice President of Sales Operations for Moore “we have a partner we can collaborate with to create a great training solution in record time. This is real value” (van Adelsberg and Trolley 1999, p. 186).

The company that Moore have a training alliance with is Forum Corporation who offer global workplace learning solutions. According to van Adelsberg and Trolley (1999), chief executives of Forum and Senior Vice President, they believe that:

*Offering training that develops employees isn't good enough. The training you supply must also contribute – visibly and substantially to fulfilment of customers' business strategies* (van Adelsberg and Trolley, 1999, p. 21).

Similarly, this writer proposes that training philosophies such as this have greatly affected (a) not only what organisations spend their training dollars on, particularly within the *management development* area, but (b) how and when training is delivered.

What is evident within organisational management today is “different strokes for different folks” (Blanchard, 1996, p. 19). That is, some organisations are opting to contract their managers in, thereby relinquishing their responsibility of training, while other organisations are investing millions into their own corporate universities. Still others are taking advantage of external expertise

and outsourcing their management training to companies with whom they have formed strategic training alliances.

So in what other ways do companies conduct management development training. According to Albert Vicere and Virginia Freeman (1990, cited in Magerison, 1991, p.25) in a study they conducted on the ways in which 150 major companies conducted '*Executive Education and Development Programmes*', they found the most prominent development techniques were job rotation, external programmes and incoming development programmes (Figure 1).

**Figure 1 Development Techniques**

<b>Technique</b>	<b>Response</b>
	<b>Frequency %</b>
Job rotation	72
External executive programme	48
In-coming development programmes	47
Participation in task forces and projects	32
On-the-job training	28
Coaching/mentoring	26
Performance feedback	6
Teaching/consulting with other employees	1
Source Magerison, (1991, p. 25)	

Very little was done in teaching or consulting with other employees across the various disciplines within the organisations (only 1% ), yet this is a strategy that has long been accepted in the educational field as a very effective medium for *transference of learning*. Moreover, as Magerison (1991) points out from his own experience:

*Teaching and consulting with other employees is one of the most powerful development techniques. I have found accountants widening their understanding and tolerance of marketing issues and marketing people begin to understand accounting when they have to help each other understand their own area of specialism - particularly when it involves a joint project (p. 26).*

The question the researcher proposes here is: if teaching, consulting and coaching is believed to be an effective medium for transference, why is this medium not adopted by a larger percentage of organisations? This brings us to another topic within management development - 'trends'. What have the management development trends been over the past few decades. Other writers on management development such as Gutteridge, Leibowitz and Shore (1993) describe how the focus of management development has shifted radically over time, from the individual to the organisation. In the late 1960s the focus was on addressing individual employees' goals through career counselling and career planning workshops. By the 1980s the emphasis had changed. Organisational career development was seen as a tool for addressing business needs in a vastly changed corporate environment. According to Gutteridge et al (1993), this outlook construes organisational career development as a strategic process in which maximising an individual's career potential is a way of enhancing the success of the organisation as a whole. In the 1990s, the focus has been on a balance between the two; on individual and organisational alignment.

Training, education and development is acknowledged as a powerful tool to improve the knowledge and skills of managers, and for improving their managerial potential and ability so that the organisation as a whole may benefit from their increased effectiveness. Many organisations stress training as a way of increasing efficiency, effectiveness and performance. Ramsay (1993) emphasises how productivity, quality and service require increasingly higher levels of skill to deliver them. Moreover according to Bennett (1988) organisations believe training is a means of instilling the company's values into its employees. Analoui (1993) believes:

*This preoccupation with efficiency will continue to form the basis for managing organisations and will undoubtedly form the working norms for their managers (p. 2).*

Analoui goes on to point out that employee training provides the necessary bridge or, at least, the most popular means for filling the perceived gap between the actual and the desired level of performance from employees. The assumption here is that, as a consequence of the increased level of effectiveness on the part of the people who work for the organisation, efficiency and financial performance of the organisation will improve. According to Bassi and McMurrer (1998) a study of forty companies in a wide range of industries indicated that companies who invested more heavily in training were more successful and profitable. That is, companies who spent more on training per employee had higher net sales per employee. Also companies who spent more on training per employee averaged a higher profit per employee.

According to Peters (1987) General Motors (GM) was an organisation which used training as a strategy to turn itself around. Accordingly Pat Carrigan the CEO in the early eighties devised a strategy called "A partnership with the people." She cited three tactics:

1. *A two week pre-start-up training programme for everyone, following a long shutdown during the depths of the 81-83 recession.*
2. *An on-going programme that gave 3,000 people some 360,000 hours of training in 24 months.*
3. *Established 133 work groups, covering 90 percent of the work-force, the only tactic that did not involve training (p. 325).*

Overall the success indicators included an increase in outputs and a drop in absenteeism at the plant from twenty-five to five percent between 1981 and 1985.

Clearly training or development is accepted by large organisations as a way to increase outputs, profits, efficiency and effectiveness. This section identified how management development has become strategically important for some larger organisations so that they are developing their own in-house Universities or closely collaborating with external providers in strategic alliance partnerships. This section also discussed the new phenomenon of contractor development, here, the responsibility of training and personal development shifting to the contractee or the recruitment consultant company. The next section discusses some contemporary trends within the training environment. That is, competency based training (CBT), the shift of responsibilities for employee development to first level supervisors and managers, and finally the shift of employee development to a focus on business results.

### **Contemporary Trends In Training, Education and Human Resource Development.**

This section discusses the different contemporary methods of training and development, and the growing financial investment in training that organisations are making in their employees, an investment in training which is focused on specific organisational results. This section also discusses contemporary mediums for training, that is, CD Rom and internet training and the shift in responsibility of employee development to managers and supervisors.

Education seems to have two paths before it. One is the well-travelled path of traditional education and training, initially established within schools, universities and polytechnics. Commonalties are that the learning is often classroom based, and grades are awarded which define levels of achievement. But there is also the second path of Competency Based Education and



Training (CBE/T). With CBE/T learning outcomes or competencies are clearly identified. Training often pertains solely to the identified competencies. These competencies are at specific levels, and the student is required to demonstrate skill, knowledge and their application. Training is often on the job and assessment takes place when the learner is ready. Researchers (Harris, Barnes, Haines and Hobard, 1985; Barnes, Haines, Hobard and Candy 1987; Harris and Barnes, 1993; Harris, Guthrie, Hobard and Lundberg, 1995), believe many educational institutes such as Colleges of Education, Polytechnics and Industrial Training Organisations (ITOs) have adopted the path of CBE/T. Harris et al (1995) also suggests that organisations see CBE/T as:

*The means of obtaining better control of learning outcomes and in some cases allow for earlier benefits from the costs of education and training, and even reducing their costs (p. 7).*

This reduction in training costs refers to employers hiring individuals who have already been trained in some of the core generic competencies of an organisation's activities, thus reducing initial induction training. For example with the advent of Call Centres in New Zealand, a Call Centre Certificate has been developed in conjunction with the Electro Technology Industry Training Organisation (ETITO).

Many Polytechnics, for example, Whitirea, Open Polytechnic and Wairapa are offering units towards this Certificate. So too are many Call Centres within large organisations, for example, BNZ, Telecom 123, AXA NZ, NZ Post, Department of Internal Affairs and Hutt City Council. (Call Centre Association of New Zealand, 2000) (CCANZ), The positive consequences of this for employers are (1) a reduction in initial training time, (2) less staff churn (turnover) of new staff as new trainees have what is considered *call centre awareness* due to prior exposure to simulated call centre culture and (3) reduced absenteeism.

Whatever development path organisations take, there seems to be a global move for organisations to help produce a multi-skilled work force. This is evident in Gutteridge, Leibowitz and Shore's (1993) list of companies with successful career development systems, such as Amoco Production Company, 3M, NCR, Baxter Healthcare Pty. Ltd., Kodak, Boeing, Ford, Corning, Bechtel Group, Westpac Banking Corporation and Overseas Telecommunications Company Ltd. According to Gutteridge et al (1993), for all of these companies leadership and management development training has been at the forefront of their career development systems. Peters and Waterman (1982) suggest that organisations are leveraging their work force's talents and skills and this is the principal reason for organisations staying competitive and in business. Leveraging within organisations means fully utilising an employee's knowledge and skills for the benefit of the whole organisation. According to Peters (1987) training has been IBM's secret weapon for decades and at one point Thomas Watson (IBM's Initial director) had just "a one person staff - an education director". Peters states that years later training is still a critical strategy for IBM, for example:-

*Training immediately follows each promotion at IBM, everyone must spend at least 40 hours in the classroom each year. When IBM moved into alternative distribution channels, all of its employees received a basic course in retailing. And when it launched its quality program (C-2), it formed quality Institutes (special training schools) in the early 1980's and trained over 150,000 people within the first five years of the programme (Peters 1987, p. 325).*

Peters and Waterman (1982) also point out in their famous book 'In Search Of Excellence' that along with training, effective management plays a significant role in the contribution towards organisational effectiveness, and proficiency:

*In successful organisations there are enough signs of training intensity to state that training was highly related to organisational excellence (Peters and Waterman 1982, p. 142).*

It could be argued that training itself is not enough to create “excellence”. Given that we now know that only one-fifth of the original group Peters and Waterman (1982) cited as “excellent” still remain excellent. The remainder according to Reichheld (1996) fall on “a continuum from merely good to downright bad” (p. 189). The reasons according to Reichheld (1996) include (1) an “obsession with success rather than spending time studying failure” (p.189) and (2) the loyalty effect - this relates to both customers and staff, “treating people the way you would like to be treated” (p. 106).

Studies suggest there is an ever increasing amount of money that organisations spend on training and developing their staff. For example, Gutteridge et al (1993) found that over thirteen to fourteen year period organisations were spending a larger percentage of their total overall budget on training. This research was based on one thousand randomly selected American corporations, ninety-six federal agencies in America, eight hundred and fifty companies in Australia, one thousand in Singapore and more than five hundred and fifty throughout various European countries. The companies were randomly selected to include a cross-section of organisations. They were larger corporations or industries. This was evident in the fact that all respondents employed between one thousand and five thousand people and thirty-five percent employed between five and twenty-five thousand. Interestingly, the number of respondents stating that the responsibility of career development for others was burdensome to supervisors rose from sixty-three percent in 1983 to seventy-four percent in 1992. Gutteridge et al (1993) believed this was due to new career development systems and a high expectation from organisations regarding the roles of supervisors in employees’ development. Seventy percent of the respondents surveyed in 1991 had career development systems in place. The results also showed that with downsizing and flattened structures (delaying), supervisors or managers were responsible for an increased number of employees. This possibly contributing to the increased percentage of supervisors who thought

the responsibility for development of others was burdensome. Gutteridge et al believe that this increase in supervisor/management responsibilities:

*Clearly points to the need for more (and better) training for managers and their multiple roles as coaches, information sources and so forth ( 1993, p. 32).*

From this research and similar studies on staff development. (Moulton and Fickel, 1993; Baston ,1989; Hussey, 1990, 1988, 1990; Peel 1991; Bertley, 1991; Margerison, 1991; and Moorby, 1996), we can infer that organisations do recognise the benefit of developing their staff. But, the question still remains of how many of these organisations examine the *transfer of that learning to the workplace*.

There is a growing body of research (Argyris, 1966, 1982, 1985, 1994; van Adelsberg and Trolly, 1999) which would suggest that organisations actually have no idea as to how much learning or knowledge is transferred after a course or, for that matter, what to do to encourage and cultivate the transference of learning to the workplace. This concept will be explored in more detail in the section *transference of learning*.

Another aspect within the realms of contemporary trends in training and education occurs as a result of more rapid organisation change. For example, CBT (computer based training) is proving itself to be an extremely cost effective and flexible-learning medium. Sue Browell (1998) describes how, when faced with training 800 staff members in the use of software for a new company-wide computer system, vehicle-makers Nissan installed a multimedia training system at its plant in Sunderland UK. Nissan believed the advantages of the CBT centred around time saved, efficiency and flexibility. Employees also learnt at their own pace. According to Marquardt and Kearsley (1999):

*It is anticipated that the world-wide technology training and education*

*market will surge to over \$30 billion by the year 2000. Today over 50% of all learning is done via multimedia based training, while another 35% is done through self-paced video and on-the-job training (p. 12).*

Moreover Marquardt and Kearsley (1999) cited a recent survey conducted by Georgia Tech, showing 34 percent of organisations in America are already using the intranet for training, and annual expenditures for software of the intranet had passed \$4 billion. The question is how does New Zealand intranet training compare to these percentages? According to Bociurkiw (1999), author of an article published in the Wall Street Journal, "New Zealand does not compare well" (p. 3). He states that this is because in New Zealand:

*About 95 percent of companies have 25 or fewer employees. While size makes it easier for the high-tech sector to change course it also means that there are few large firms with the financial resources to fund expansion or new global ambitions (Bociurkiw p. 3).*

In the previous section (*Management Development*) we discussed how organisations use partnering with outside providers, in what is currently termed *strategic insourcing alliance* to provide management training solutions. Closely aligned to this practice is another contemporary trend; that is, organisations are implementing innovative strategies to leverage training resources by partnering with other organisations. The web is proving successful in being used as the glue behind much of the learning technology. For example, Barron (1999) explains how Boeing Corporation has partnered with International Association of Machinists (IAM) in an effort to maximise their training dollar. Barron (1999) describes another partnership between the Institute for Career Development (ICD), the United Steelworkers of America and more than twelve steel manufacturers. Together the joint labour management partnership developed a multimedia CDROM that educates steelworkers in maths, problems solving, computer skills and basic management skills.

Combined with rapid organisational change and differing training mediums Moorby (1996) suggests greater responsibility is being imposed on managers and supervisors for employee development:

*We are also seeing an increased use of open learning and distance learning by organisations. (The participants in this study were all learning by distance) Rapid changes put a premium on skills and adaptability, which provides increasingly difficult challenges for development of staff. More expenditure and senior management time is now focused on staff development (p. 133).*

Lawson (1997) reiterates this suggestion by proposing that management is critical to the success of any structured on-the-job training programme.

*In addition to allocating time and the money for instructional resources and materials, rewards and recognition, managers must recognise and promote the importance of training as a means of developing employees, improving the bottom line, and beating the competition (Lawson, 1997, p. 4).*

From the discussion above, we see that there is a shift in the way organisations train their employees and the medium they use. As the writer discussed earlier in this section organisations require their supervisors and managers to take more responsibility for employee development keeping in mind business requirements and the strategic direction of the company. (Gutteridge et al 1993). It could be argued that these managers and supervisors are often technical experts not teachers, coaches or human resource people. The questions must be asked: What do managers and supervisors know about learning and the various approaches and methods to developing people? Have they been trained in this area? Do they know how to encourage others to “transfer” new information to the job? Do they know about theories in learning?. Diane Walter president of Human Performance Applications, believes problems arise because “organisations don’t train their experts on how to teach” (Walter, 1998, p. 32). Again it could be argued that experts are often in management or leadership roles because of their expertise, not

because of their excellent coaching management or leadership skills.

Waterman (1994) also maintains that:

*People who excel at a job don't necessarily make good bosses. When they're promoted, they're often unhappy, and the people who work for them are miserable (p. 105).*

The reality is, in organisations today managers and leaders need to have a “social cognitive approach” (Patterson, Grenny, McMillan and Switzler, 1996, p. 57) for *transfer of learning* to occur, that is, managers need to be coaches, teachers, shepherds and motivators. Motivating employees to learn is one aspect, motivating employees to transfer this learning to the job and build on it is another. Mahesh (1993) believes:

*Transfer is achieved through institutionalised systems that will encourage and support employee thrusts for achieving self-esteem in their work (p. 237).*

He goes on to point out that in Japan an instruction manual or a trainee course for a new machine is a mere starting point and he cites what happened at the Nagoya Steelworks at Nippon Steel as a typical example. Nippon Steel's hot strip mill commenced operation in 1963, with a life expectancy of twenty years, and production estimates of 30 million tonnes of steel. By 1986, the plan had produced 50 million tonnes and a further 50 million to come.

According to Mahesh (1993):

*This threefold increase in potential capacity of a mill was almost entirely due to innovative risk-taking by workmen assigned to the mill with active encouragement and support by their plan manager (p. 238).*

Hamesh maintains that the manager's role was crucial for not only approving or requesting finance for the “suggested modifications” but also in providing “coaching” (p. 238) in the technical areas whenever required. If managers fail to recognise innovation, support new ideas, or value employees'

contributions, Hamesh suggests employees will lose trust in their managers' leadership. Garratt (1997) reiterates this belief by maintaining that lack of employee support and recognition can block the ability to learn. Garratt states:

*Even in organisations that swallow up individuality the basic human need to be recognised as a personality will always show itself (p. 31).*

In fact he goes on to suggest that if people are never thanked, they will opt for negative recognition rather than have no recognition at all.

As this section and the next proposes, the concept of learning and transfer is not something that happens automatically. Theorists have been discussing and arguing its merits for decades. Arguably, it is time that much of the now commonly accepted thinking on "learning" (Miller, 1993; Alberto and Troutman, 1990; Landy, 1989; Lefrancois, 1988; David and Rimm, 1994) was *transferred* to human resource departments within organisations so that organisational strategies to encourage *transfer of learning* can be put into practice by managers at all levels.

## **The Nature Of Learning And Approaches To Its Development**

So far the discussion has focused on the challenge of training and developing managers and executives to enhance organisational growth, and the strategies used to achieve this, for example, corporate universities, strategic insourcing alliance or outside contractors. We have also discussed contemporary methods of training and the shift of responsibility for employee development. We now move on to discuss several theorists' views on learning and various methods such as *action learning* (van Adelsberg and Trolley, 1999, p. 80) which are used to enhance development in the workplace.



According to Lefrancois (1988) learning theory is a subdivision of general psychological theory. It deals with the question of how behaviour changes. Indeed learning can be defined as changes in behaviour resulting from an *experience*. That is why the expressions *learning theory* and *behaviour theory* are nearly synonymous (p. 11). The writer of this thesis believes that *learning* is one of the fundamental factors that underlie *development*. For example, a mother does not *give* walking or talking to a child. Walking and talking are not things, which she 'has' and of which she can give a portion of to a child. Rather, the mother helps the child learn to develop its own ability to walk and talk. According to Gagne (1977) for learning to occur firstly it is necessary to get the learner's attention and secondly to ensure that the 'showing' is done in the best possible way. Most importantly however, learners must be given opportunities to perform, must be provided with feedback and encouragement on their performance and must be helped to increase retention and transference of what they have learned. The writer of this thesis suggests that the learning and development sequence does not change as we get older. In fact she proposes that the same learning and retention process that were applied to us by our parents when we were young, still needs to be applied as adults. The only difference is our learning may be quicker given our accumulated knowledge and the probable transfer of that into the new learning situation. Inseparable from this big picture view on learning are several renowned theorists' views on '*how we learn*'. According to Camp et al. (1986) there are difficulties associated with defining and measuring an event (for example, *learning*) that is not directly observable.

The choice of definition has had a considerable impact on the types of explanatory *learning* theory that have developed. As Lefrancois (1988) explains:

*The history of learning theories shows a progression from simple (rather mechanistic) interpretations of human learning (behaviourism) to increasingly complex ones (cognitivism) (p. 11).*

Outlined below are brief explanations of these two empirical theories on learning, *cognitivism* and *behaviourism* plus two others, *social learning theory* and *humanist theory*.

The *cognitivist* school emphasises the inner processes and structure of the mind as the person learns. Learning is defined in terms of changes in cognitive processes that may or may not be reflected in behaviour. Learning is also defined in terms of concepts, and relationships that the learner establishes among concepts. In addition, the learner also uses strategies in abstracting concepts and organising them in long-term memory and labels such as *schema* or *script* are often used to describe ideas and their organisation in memory. (The main proponents have been Piaget (1955), Gagne (1965, 1977a), Ausubel (1963) and Bruner (1960)).

*Behaviourists* define learning as changes in behaviour. Behaviourists are concerned with stimulus-response events and with the effects of repetition, continuity and reinforcement. The original architect of behaviourism was Pavlov (1927) and later Skinner (1938, 1953, 1954, 1968) who proposed *operant conditioning* in which behaviour tended to be repeated when it was reinforced or rewarded. According to Lefrancois (1988):

*Thorndike is generally credited with introducing the idea that the consequences of behaviour are important variables in human and animal learning (p. 44).*

Another concept within the theory of *behaviourism* is a *contingent* relationship between response and reward. Relating this to a working environment Landy (1989) explains how a piece-rate method of payment would be considered contingent reward. The person receives money in direct proportion to the productive effort. For example a courier delivering parcels may be paid according to the number of parcels he or she delivers in a given day. Accordingly Landy (1989) states that:

*Behaviourists argue that contingent rewards yield higher levels of effort and production than non contingent rewards (p. 416).*

**Social learning theory** advanced by Albert Bandura and his associates, (Bandura and Walters, 1963; Bandura, 1977a, 1977b; and Kraut, 1976) refers to **(a)** learning that occurs in a social context - a process and **(b)** the learning of social rules and conventions of what is acceptable and what is not - a product. **Imitation** or *observational learning* are described by Bandura as:

*One of the fundamental means by which new modes of behaviour are acquired and existing patterns modified (Bandura, 1969, p. 118).*

Bandura also suggests that this is a theory of *reciprocal determinism* where the environment is instrumental in determining behaviour, but the individual is also instrumental in choosing and altering the environment.

Finally the **humanist** school (Rogers, 1951, 1983; Abraham Maslow, 1970) places emphasis on individual uniqueness. It allows for the considerable individual differences that characterise learners. Humanists deal with the affective (emotional) aspects of human behaviour. They are interested in explaining our relationship with the world or other people, and in learning how an individual feels about things. Perhaps this theory of learning is particularly pertinent in a working environment which is subject to change, work pressure, stress, personality differences, and group-think. According to Hunter, Bailey and Taylor (1997):

*Group think is the basis of all 'isms' - racism, sexism, ageism, homophobia (p. 73).*

The writer suggests that group-think is one of the main contributors to peer-pressure. This comes from wanting to be part of the group and conforming to group norms. Relating this concept to *transfer of learning* one could hypothesise that if new learning “did not fit into ways that keep us on-side with the group” (Hunter, Bailey and Taylor, 1997, p. 73), then perhaps we

may decide to suppress the new learning, or ignore it completely.

Undoubtedly each of these theories contributes in some way to the “nature of learning”. According to Landy (1989):

*Learning is something that takes place inside the person - a change of some sort. Whereas training is something that is done to the person - it is a planned experience that is expected to lead to learning. All training does not result in learning and all learning is not the result of training (p. 506).*

Landy’s thoughts are replicated in an interview with Mary Deanne Sorcinelli who is employed by the Indiana University as a learning advisor to advise faculty members in their teaching effectiveness. She states:

*What I’ve noticed is that learners bring a lot of experience to our sessions. Particularly adult learners who tend to be very pragmatically orientated. For example, if the material is directly related to their jobs, they are very attentive and generally demand more realism than younger students (Camp et al. 1986, p. 93).*

Sorcinelli also suggests that adult learners’ experiences carry a lot of weight for them. She believes these experiences create habits that add to the reluctance in considering new ways or new perspectives. Arguably the writer of this thesis suggests that these habits need to be addressed if *transfer of learning* is to be successful .

We have discussed four empirical theories on learning and development **behaviourism, cognitivism, social learning theory** and **humanism**. With these in mind let us now discuss some contemporary views on how people learn.

*Action learning* is a process which brings people together to find solutions to problems and in doing so develops both the individuals and the organisation. Van Adelsberg and Trolley (1999) describe how the Chief Executive Officer (C.E.O.) of General Electric, Jack Welch “Championed action learning

activities with their training unit by having managers solve real problems while working in teams at the centre” (p. 80).

According to Inglis (1994) the two aspects which are always present in *action learning* are the growth and development of people and the organisation, and the simultaneous finding of solutions to problems. The writer of this thesis maintains *action learning* replicates many aspects of the learning theories mentioned earlier. For example, the formula for action learning is **Learning = programmed knowledge** plus the ability to pose insightful **questions**. (**L = P + Q**). **Programmed knowledge** is dominated by our formative years in school with facts, figures, dates and formulae. It is also stored in books, in tapes and in files. It is accessible, although we may have to search to unearth it. **Q** is the ability to ask the right **questions** when everything is uncertain and nobody knows what to do next. This process of learning is similar to cognitive theories of learning, and incorporated within the process, the writer suggests, is a significant measure of social-learning theory. That is to say, action learning is a social process where participants work in groups learning from each other. Because the social process demands debate, discussion and agreement, a ‘reflector’ learning style is encouraged (Kolb, 1984). Reflectors like to stand back and ponder on experiences and observe them from different perspectives. They collect data and analyse it before coming to any conclusions or acting. John Dewey (1933) described action as an:

*Persistent and careful consideration of any belief or supposed form of knowledge in the light of the grounds that support it and the further conclusions to which it tends* (p. 107).

*Action learning* has high visibility, that is, employees can be seen moving between departments collecting information, canvassing opinion and participating in activities. Two individuals are credited as the principal founders of action research. John Collier (who served as a Commissioner of Indian Affairs in America from 1933 to 1945 and advocated action research as a process for attempting to resolve race relations) and Kurt Lewin, (a

mathematician turned social psychologist who had a profound impact on the behavioural science community) (French and Bell, 1995; Lewin, 1947, 1951). Lewin believed that the key elements of *action learning* were what he called '*reconnaissance*', a process of finding the facts, then implementing any changes that may be needed. These *changes* or *action* are directly driven from the new information obtained. Some organisations use *action learning* as a methodology for helping people to change their behaviour in their organisation (French, Bell, and Zawacki et al., 1983; Cunningham, 1993). In the Action Training Research method (AT & R) (Cunningham, 1993) the action is the effort by people in the organisation to change themselves in terms of their work-goals, behaviour, structure, and performance through learning processes supported by research of their own action. Research suggests (Magerison, 1991) that the best way to develop an individual is to (1) give the individual a challenging job, and (2) implement support systems that help the individual learn. Magerison (1991) describes the work done by the International Management Centre (IMC) directed by Gordon Wills (1986), on *action learning* within organisations such as ICI, Dupont, Seagrams and Grand Metropolitan. At the time IMC operated in eighteen countries and had one thousand associates. The studies the students were involved in were all based on real projects in subjects such as marketing, finance, operations, human behaviour. They worked on issues such as productivity cost reduction sales improvement, quality improvement and motivational issues such as absenteeism and staff turnover. Action by itself is not the complete answer to learning and development, moreover as Kolb (1984) and later Honey and Mumford (1986) maintain the action must be supported by other activities. For example they propose a continuous cycle for which they have developed measures involving the following activities:

- Experience
- Reviewing the experience
- Concluding from what has been learned
- Planning the next steps, which will involve further experience.

Research, (McClelland, 1973) has found that both the efficiency and effectiveness of learning are greatly improved when learners believe they can, will or should change. According to Minsk, (1986) cited in Nonaka, (1991) learning is advanced when a learning environment acts as a laboratory for experimenting with new ideas. People learn by reflecting on the outcomes of their experiments. Schon, (1986) and Senge, (1990) reiterate this process of 'reflecting on outcomes' but add that feedback from coaches is also a crucial ingredient.

Ultimately if organisations want employees to learn, and to transfer that learning to the workplace, they need to have an awareness and an understanding on how individuals and groups learn. This understanding needs to be incorporated into organisational strategies and human resource development (HRD) practices and policies. Research (Broad, 1982) indicates that leaving the responsibility of transfer solely to individual managers and supervisors, will not work. The writer of this thesis suggests that there needs to be a cognitive understanding on the part of managers and supervisors as to what behaviours they need to adopt to encourage *transfer of learning* of newly acquired skills and competencies. This leads us to the next section that discusses what *transfer* is and suggests strategies that organisations can apply in the work environment.

## **Transfer Of Learning, Individual And Organisational**

The last section gave a brief synopsis of some of the theories of learning. Knowing how we learn is important but knowing how we can transfer that learning is equally important. This section discusses what *transfer* is and then describes some of the strategies necessary to enhance it. *Transfer of learning refers to the learning or training that has taken place in one task, which carries*

over, or *transfers* to a second task (Analoui, 1993). Gage and Berliner (1984) also state:

*transfer is the process that enables us to make previously learned responses in new situations* (p. 352).

According to the various studies conducted (Thorndike, 1913 cited in Lefrancois, 1988; Hall, 1966; Analoui, 1993; Allie, 1998; Broad and Newstrom, 1992; Gage and Berliner, 1984) *transfer of learning* may take three different forms, **(1)** performance on one task may aid or facilitate performance on a second task. For example, One goes on a life-saving course, learns to do cardiac pulmonary resuscitation (C.P.R), and two weeks later saves someone from drowning at the beach. This represents *positive transfer*. **(2)** Performance on one task may inhibit or disrupt performance on a second task, even if only momentarily. For example, one travels to America to spend three months driving a camper-van across several States, (a) having never driven an automatic car before or (b) never driven on the right hand side of the road. One continually attempts to depress a non-existent clutch pedal and vacillate, between the right and left-hand side of the road. This represents *negative transfer*. **(3)** Finally *zero transfer* means there may be no effect of one task on another.

Allie (1998) of Translearn and Associates states that:

*Transfer is almost universally recognised as the most significant issue in education and business training. Conservative estimates are that only about 50% of business training is effectively applied. This represents a loss off billions of dollars by industry* (p. 11).

For organisations, *zero transfer of learning* is not only costly in financial terms, that is, wasted resources, but it can also have detrimental effects on potential organisational efficiencies, productivity and staff morale. (Bassi and Russ-Eft, 1997) According to Argyris (1994):



*Most companies not only have tremendous difficulty addressing this learning dilemma. They aren't even aware that it exists. The reason: They misunderstand what learning is and how to bring it about (p. 84).*

Moreover Phillips (1997) maintains that “low levels of transfer are common in the absence of conscious collaborative efforts by major stakeholders to support transfer” (p. 2). Brinkerhoff and Montesino (1995) refer to studies that indicate that no more than twenty percent of the investment in training pays off in transfer to the job. Tannerbaun and Yulk (1992) in a review of the literature, also found that transfer of learning generally was low with as few as five percent of learners indicating that they had applied their learning to the job. Finally Brinkerhoff and Gill (1994) found that the impact of common training practices is “*shockingly*” small with close to eighty percent of the effect of most training departments wasted. Argyris goes on to point out that companies *can learn* how to resolve the learning dilemma.

*What it takes is to make the ways managers and employees reason about their behaviour a focus of organisational learning and continuous improvement programs. Teaching people how to reason about their behaviour in new and more effective ways breaks down the defences that block learning (Argyris, 1994, p. 84).*

On the basis of research that has been conducted on the various theories of learning outlined in the sections above, certain guidelines, rules and principles have emerged with regard to efficient learning and the transfer of this learning. These principles can be found in many basic learning textbooks, (e.g. Vaill, 1996; Bower and Hilgard, 1981; Hall, 1982). Twenty-one of these learning principles are outlined below. The writer of this thesis has summarised these from Vaill (1996), Landy, (1989), Usher and Bryant (1989) and Hall (1966).

- (1) Provide as much experience as possible with the task being taught.
- (2) Provide a variety of examples when teaching concepts and skills.
- (3) Identify important features of a task.

- (4) Ensure learners understand the general principles.
- (5) Ensure learned behaviours and ideas are encouraged, reinforced or rewarded in the job situation.
- (6) Ensure learners see applicability of content (i.e. it meets individual needs and is relevant).
- (7) A non-judgmental climate exists in the learning environment.
- (8) Curiosity is encouraged and rewarded.
- (9) There is tolerance for mistakes within the learning environment and back on the job (mistakes are accepted as part of the learning process).
- (10) There is an acceptance of previous knowledge and abilities.
- (11) There is a tolerance of individual differences and learning styles.
- (12) Learners have time to reflect.
- (13) Learners have the opportunity to teach.
- (14) No one is made to feel stupid.
- (15) Individuals are stretched out of their comfort zone but feel safe.
- (16) A variety of learning sources are used.
- (17) Back on the job, learners are encouraged to share their learning with other employees. This can be done either formally or informally (e.g. delivering presentations and coaching other staff members).
- (18) Back on the job there is public recognition of transference and the benefits to the organisation (supportive organisational climate).
- (19) Learning and working climate fosters creativity.
- (20) Learners need to be motivated and open to new learning.
- (21) Learners need to believe they have the ability to learn.

It is argued that these learning principles will support transfer of learning along with what Broad (1982) identified as over seventy *actions* that *managers* need to implement *before, during* and *after* the training event.

Phillips and Broad (1997) reiterate this by stating that:

*One of the earliest thinkers about transfer pointed out almost forty years ago that it is top management, through organisational climate or the reward structures it creates that is really doing the training, regardless of*

*what the training staff does. The training administered by the training staff sticks only if it coincides with what top management is teaching every day* (Moel, 1957, cited in Phillips and Broad 1997, p. 8).

Thirty-five years later this same philosophy is repeated and built on by Broad and Newstrom (1992). They identified three major ‘*transfer partners*’ that influence *transfer*: (1) Managers (all levels); (2) the trainers, and (3) the trainees. They elaborated on Broad’s (1982) *manager actions* by identifying seventy-nine strategies that support *transfer before, during and after* training. Broad and Newstrom (1992) asked trainers what they believed were the most powerful influences to transfer of training. They called these influences “partner-time combinations”. The trainers identified three major areas of influence; (1) the *manager before*, (2) the *trainer-before*, and (3) the *manager after* a training session. Although *manager-before* was identified by trainers as having the most impact on positive transfer; when trainees were asked how often management support was given prior to a training session, only a small number of trainees reported its occurrence. Moreover, even less trainees reported post training support actions from their managers. Results such as these seem to arise despite the growing body of professional literature (Brinkerhoff and Gill 1994; Rummler and Brache 1995; and Broad and Newstrom 1992) and organisational experience emphasising that training alone will not result in long-lasting behavioural change on the job, unless there is significant visible or on going organisational support in the learning work environment, for example, through managers (all levels) publicising successes, emphasising the importance of learning through communication and recognising trainee participation, coaching, assisting in implementing on the job action plans and follow-up action plans, recognising and reinforcing new behaviours and modelling new behaviours. Kuczarski and Kuczarski write about rebuilding employee commitment performance and productivity in their book ‘Values-based leadership’, they believe that:

*Leaders need to establish a mind-set of serving employees rather than employees serving their own organisational leaders. They must develop employee advocacy. This is an important step for eliminating anomie from*

*an organisation. Leaders need to change their own mind-set to understand that their new role is to help and support employees in every way possible* ( Kuczmariski and Kuczmariski, 1995, p. 12).

*Anomie* means alienation, it results from individuals and groups not having shared values and norms. *Anomie* leaves individuals isolated, disillusioned and disjointed. According to Kuczmariski and Kuszmariski (1995) it leaves organisations dysfunctional, divided and disrupted. Moreover *anomie* occurs when individuals are in some way dis-connected as a group, therefore stifling individual and organisational learning.

According to Guns (1995, cited in Chawla and Renesch,1995) the criteria (mentioned above) necessary for individuals *to transfer learning* are similar to what is needed for faster organisational learning. Guns believes that organisational learning is accelerated using *three principles of transfer* (1) **bench-marking**, (2) **flying squads** and (3) **technology**.

**Bench-marking** is used “in surveying as a starting point or reference” (Colliers Dictionary, 1978, p. 217). In addition Guns believes learning is accelerated if the person or people doing the bench-marking exercise (with outside industry) are also responsible for the process back on the job. This is because their involvement in learning how to do the process differently or better builds a strong commitment to transfer their new learning back to their own workplace.

In the book *Liberation Management* Tom Peters (1992) cites FI Group’s **‘flying squads’** as a unique means of capturing and transferring learning. These people have one responsibility - to find out, in a widely dispersed organisation, the significant things people are learning that can be quickly transferred to other parts of the organisation who can benefit from it.

Gun’s third principle of transfer is **technology**. Gun concludes that technology can also be used as a quick transfer method through capturing and

communicating significant learning from one part to other parts of the organisation. This is never more evident than with the advent of intranet. Intranet is used widely across companies to transfer knowledge and information. According to Cohen (1998):

*An intranet is a powerful tool that when used correctly can enhance communication and collaboration, streamline procedures and provide just-in-time information to a globally dispersed workforce. It can also be used to develop a company's knowledge base and break down silos of information (p. 50).*

The question is, do supportive or non supportive behaviours affect organisational growth? Gunn (1995, cited in Chawla and Renesch, 1995) suggests that an organisation's ability to transfer information is essential if organisations are to *survive* in today's competitive environment. Accordingly Gunn maintains that because knowledge is the key to successful corporations often the feature differentiating successful organisations is which corporations can learn faster. Gunn states:

*The first step for organisations is to develop a strategy that creates a stimulating climate for faster learning. (Gunn, 1995, cited in Chawla and Renesch, 1995, p. 377).*

From this, it is argued that organisations play a enormous part in cultivating and nurturing *transference of learning* to the workplace.

As stated at the beginning of this section (Lefransois 1988), the traditional view was that *transfer* occurs when elements in a new task resemble elements in the original learning task or when principles or concepts learned in one task can be used in another task. According to Gage and Berliner (1984), although contemporary research accepts these findings it is also believed that there is a significant difference in the thought processes of people who demonstrate an ability to easily *transfer* learning. Moreover Gage and Berliner (1984) suggest that the research on *metacognition* and *expert-novice differences* in problem solving (p. 357) indicates that the skills shown in learners who

transfer easily are teachable. Apparently *metacognitive* thoughts during learning and transfer are of two kinds (1) thoughts about what one knows and (2) thoughts about regulating how one goes about learning. For example, the learner may ask themselves what do I know about this subject? How much time do I have? What is my plan? Can I predict or estimate the outcome? How can I spot a mistake? How can I review my plan or procedures? Studies that have been conducted on metacognition (Palincsar and Brown, 1981, cited in Gage and Berliner, 1984) showed that when students were taught cognitive strategies for learning, not only did their skills improve from fifteen to eighty percent on the comprehension questions, but in the classroom their performance improved from twenty to eighty percent on the comprehension questions. Also, evidence for “sustained improvement in learning and transfer was found months later” (p. 360).

In summarising, the main objective of any learning is to minimise negative transfer and maximise positive transfer. How can this be achieved? Earlier in this section we identified twenty principles of learning that when used appropriately will encourage transfer, plus some *trainer*, *trainee* and *manager actions* and *strategies* that if used *before during* and *after* a training event will also enhance transfer. Additionally we discussed three principles of transfer that Gunn (1995) believed would enhance organisational learning. Finally we discussed contemporary views on learning and transfer (i.e. *action learning*) and the concepts behind metacognitive thought. That is, students can learn to learn when generalised, cognitive strategies have been mastered. The next section will look at how learning is evaluated.

## **Evaluation of Learning**

Having identified the principles necessary for positive *transfer of learning*, this section will explore the reasons why *evaluation* plays such a vital role in confirming the *transference of learning*. It will also discuss some levels and

measures of evaluation, and where *transfer* fits into the process or cycle of evaluation.

Why bother to evaluate training? Is there a need? What are the benefits?

Who benefits? According to Newby (1992, cited in Spilsbury, 1995):

*The constructive, practical evaluation of training is available to anyone with a serious interest in training and education, and that the benefits of doing so substantially outweigh the costs* (1995, p.3).

Newby gives six very straight forward answers as to why trainers and organisations need to evaluate training. These are summarised below:

- *Quality control.* Successful, positive elements of training can be maintained and reinforced, while negative elements are/can be removed or revised.
- *Efficient training design.* This looks at proper definition of objectives and setting criteria on how these objectives are to be measured.
- *Enhanced professional esteem.* Being assessed on their contribution to the *bottom-line* of the business puts the Human Resources on the same footing as other functions.
- *Enhanced negotiating power.* When resources are to be allocated and new investment decisions to be made, then being able to show the outcomes of training could prove invaluable.
- *Appropriate criteria of assessment.* Individuals within an organisation make judgements about how effective a training function is. Given this, it is important that HR control the choice of appropriate criteria, which it can most safely do on the back of a formal evaluation process.
- *Intervention strategy.* Evaluation can be a tool for changing the way the training is integrated into the organisation (pp. 3-4).

Perhaps a second reason why trainers and organisations should evaluate training relates to the financial investment it demands. Spilsbury (1995) states

that in 1990 Britain spent \$99 billion on training. Spilsbury believes the questions that are now being asked by organisations are: Is this money being spent wisely? Are employers getting the best returns on their investments? Undoubtedly there is extensive literature on training evaluation (Kirkpatrick, 1994,1996; Basarab and Root, 1993; Morris, 1978; Borich, 1974; Warr, Bird and Rackham, 1970; Bassi and Russ-Eft, 1997; Bramley, 1991; Gordon, 1991; Hawthorn, 1987 and Phillips 1991a) ranging from practical and prescriptive texts to complex theoretical models. But, according to Spilsbury:

*What is clear, is that there is more being written (and said) about measuring training effectiveness than is actually taking place in the workplace. For training to become integral to the workplace, evaluation has to demonstrate that investment in training is linked to business success, able to contribute to business objectives and capable of making a return for the organisation ( 1995, p. 2).*

An Industrial Society publication 'Managing Best Practice', published in 1994, stated that in the business world there was complete consensus on the importance of training evaluation; furthermore, commitment to training evaluation had risen markedly in the preceding two years. Apparently those companies surveyed also expected it to rise sharply over the following two years. The three suggested factors behind this increase were:

*(1) Business efficiency consideration, as economic pressure make it increasingly vital for employers to tighten up on how the cash is being spent. (2) The impact of investors in people and (3) internal pressure from the organisation's own senior managers and trainers (Spilsbury, 1995, p. 2).*

Much has been written on evaluating the benefits of training to *business performance* ( Spilsbury, 1995; Druckman, and Bjork, 1994; Jackson, 1989; Hussey, 1988; Bolt, 1985; Katzell and Guzzo 1983; Lombardo, 1989; Phillips, 1991b,1994, 1996,1997; and Pine and Tingley 1993) but according to Kirkpatrick (1994) this is an insignificant proportion compared to the amount of training actually conducted. Considering these statistics below one would have to agree.



- *Over 90 percent of the private corporations in the United States have some form of systematic training program (Goldstein & Buxton, 1982)*
- *During the period 1971 to 1981, training and instruction were the most commonly cited interventions to improve productivity in a sample of productivity improvement studies (Katzel & Guzzo, 1983)*
- *One large corporation reported spending over \$75,000 million annually on the salaries of non management employee who were in training programs, and this did not include the actual cost of training programs or facilities (Holt, 1963)*
- *In 1971, the U.S. Civil Service Commission released a catalogue of training programs for the disadvantaged. There were 50 different training programs listed for reading along (Goldstein and Buxtom, 1982)*
- *In the 1967 fiscal year, the U.S. Office Of Education spent over \$800 million on instructional materials and media.*
- *In 1977 fiscal year the department of defence allocated over \$6 billion for military training efforts.*
- *In the 1977 fiscal year, 555,544 civilians in the federal government received 37, 469,999 hours of training at a reported cost of over \$2.5 billion. This cost did not include trainees' salaries (Office of Personnel Management. (OPM, 1979)*
- *In 1979, the cost of training an operator of an electronic switching system for the telephone company was \$25,000 for each trainee (Reilly and Manese, 1979, cited in Landy. 1989, p. 307).*

Given that organisations spend a considerable amount of money on training, and that organisations need to measure the *transference of training* to the workplace, the next question is, how do we measure or evaluate this transference? A well recognised model of evaluating training programmes was developed by Kirkpatrick (1975). He identified four levels at which training can be evaluated:

**Level One - Reaction (Did they like it?)**

Measures and evaluates the participant's impressions and perceptions of the training programme. Was the training valuable? Did they like the training? Did they enjoy the programme? (e.g. smile sheet evaluation)

**Level Two - Learning (Did they learn from it?)**

Measures and evaluates how much was learned of the course subject matter. For example, exam results, quizzes and observation. Did the student understand the information and score well on a test?

**Level Three - Behaviour (Did they use it?)**

Measures and evaluates participants' **use** of newly acquired job skills on the job. How much has behaviour changed back on the job? The extent to which transfer occurred from the training to the job (job improvement). Did the training help the individual/team do their job better (increase performance)?

**Level Four - Results (organisational improvement - Did it pay?)  
(Return On Investment ROI)**

Measures and evaluates input of training on the company's work-force. The pay-off in organisational terms. For example, the goal of Occupational Safety and Health (OSH) training may have been to reduce the number of a working accidents from eight percent to two percent. Did this reduction actually occur? Did the company increase profits, improve customer satisfaction and so forth as a result of the training?

Level	Issue	Question Answered	Tool
One	Reaction	How well did they like the course?	Rating sheets.
Two	Learning	How much did they learn?	Tests, simulation.
Three	Behaviour	How well did they apply it at work?	Performance Measures.
Four	Results	What return did the training investment yield?	Cost-benefit analysis.

According to Kirkpatrick (1994) *Levels One* and *Two* are the most frequently used methods of evaluation, while levels *Three* and *Four* are the least used. This may be because data are easiest to generate in the first two levels of the model and progressively harder to collect and to interpret (that is, attribute to training) in *Levels Three* and *Four*. This study focuses specifically on *Level Three*, the **USE** of the newly acquired skills. *Transference of learning*, Kirkpatrick believes, is an area within training and education that until recently has had minimal research or investigation. *Level One - reaction* is measured constantly. It is almost mandatory now for a course participant to fill out a “how did we go sheet” at the end of a session, or at the end of a course or give verbal feedback to the trainers. A training organisation’s survival depends on this measure of customer satisfaction. Based on customer comments, improvements or modifications are made to the course structure, content or presentation. Training companies need to *get it right* to stay in business. They need to attract new customers as well as get present customers to return to future programmes. In-house programmes also measure customer satisfaction. Information about what in-house participants (internal customers) say about courses to their bosses, often gets passed to higher-level managers, who make decisions about future training courses, so positive

reactions are just as important for trainers who run in-house programmes as they are for those who offer public programmes. As Kirkpatrick (1994) states:

*Positive reaction may not ensure learning, but negative reaction almost certainly reduces the possibility of its occurring (p.22).*

This statement has two implications. (1) If the training is perceived by the participants to be 'no good' then the chances of that training being repeated by the organisation are slim. (2) If an individual learner's reaction to the training is negative, the learner may consciously or unconsciously implement cognitive blocks that will inhibit or prevent learning, and ultimately *transference*

*Level Two - Learning*, Kirkpatrick (1994) describes as learning a skill or knowledge. This is typically measured by traditional examinations, internal assessment or more recently with the advent of unit standards, learners are assessed as competent or not competent in particular skills that they demonstrate. *Level Three, Behaviour*, (Hearn, 1985; Bramley, 1991) and *Level Four, Results* (Jackson, 1989; Kirkpatrick 1994) are reported to be the least used methods of evaluation. In fact as Parry (1997) suggests:

*Estimates indicate that over 85% of all training programmes are evaluated at Level 1. This number drops progressively as we descend, with fewer than 10% being measured at Level 4 (p. 5).*

This is not surprising, given that *Levels One and Two* are concerned with the learner's behaviour in class or upon completion of the training. Thus they can be measured by relatively simple exercises (that is, end of course evaluation sheets for *Level One* and mastery tests for *Level Two*). In contrast, *Levels Three and Four* are concerned with the learner's behaviour after the training is over, sometimes long after. Thus some trainers believe that failure to get satisfactory results when one evaluates *Level Three and Four* may be attributed to decay due to time lapse. Lefrancois (1988, p. 70) describes this

decay as the “FadingTheory”. This theory holds that material that is not brought to mind frequently enough (not used) tends to fade from memory.

There are reasons for this lack of evaluation at the higher levels, not least that this form of evaluation can be costly, time consuming and difficult to undertake. Also, results can be difficult to generalise when evaluating the effects of a training programme within an organisation (*Level Four - Results*). If, for example, out of one thousand employees only a handful undergo customer service or management training, it could be very hard to measure their improved performance and its effect on the overall organisation, particularly if training participants are from an eclectic range of business units within the organisation. A business unit’s improvements in productivity or an individual’s improved management skills could easily be attributed to other variables. For example, an increase in productivity could be attributed to new and improved equipment or technology. Improved management skills could be perceived to occur because staff numbers have dropped, an individual’s personal problems resolved or the manager’s health improved. It could be concluded therefore that for *Level Four* evaluation to be accurate other variables need to be either controlled, isolated or accounted for. Moreover, because as Cameron (1980) suggests often *Level Four results/evaluation* are looking at the improved performance of the whole organisation, this raises the question of what organisational effectiveness actually is.

In terms of evaluating the effect of training, Cameron (1980) classified various measures of organisational effectiveness. The use of all these types of measures may not necessarily be important or relevant in each organisation. For instance, *outputs directed* - focusing solely on outputs (here, a training session for ‘cutters’ within a clothing manufacturing company may concentrate on teaching employees how to produce the maximum number of garments out of a roll of fabric, thus increasing outputs and eliminating waste). The effectiveness of the training would be measured by the increased amount of ‘garments pieces’ obtained from a roll of fabric, and the reduction

in waste fabric. A second measure outlined by Cameron is *resource-acquiring* – focusing solely on acquiring needed resources (here, a training session for ‘community volunteers’ within a community group may concentrate on teaching volunteers how to apply for, justify and request resources and/or funding from local Government bodies or private companies who provide annual grants to community groups). The effectiveness of the training would be measured by the increased number of resources and/or funding acquired from the external environment. Two other measures of organisational effectiveness (*constituency-satisfying* and *internal process-directed*) classified by Cameron (1980) are outlined in Appendix 1.

Another method of evaluating organisational effectiveness is suggested by Phillips (1996) (Figure 2). Phillips believes that organisational effectiveness can be divided into both *hard* and *soft data*.

Figure 2 Hard and Soft Data

Hard Data	Soft Data	Soft Data
<p><b>Output</b></p> <ul style="list-style-type: none"> <li>• units produced</li> <li>• items assembled or sold</li> <li>• forms processed</li> <li>• tasks completed</li> </ul> <p><b>Quality</b></p> <ul style="list-style-type: none"> <li>• scrap</li> <li>• waste</li> <li>• rework</li> <li>• product defects or rejects</li> </ul> <p><b>Time</b></p> <ul style="list-style-type: none"> <li>• equipment down time</li> <li>• employee overtime</li> <li>• time to complete projects</li> <li>• training time</li> </ul> <p><b>Cost</b></p> <ul style="list-style-type: none"> <li>• overhead</li> <li>• variable costs</li> <li>• sales expenses</li> </ul>	<p><b>Work Habits</b></p> <ul style="list-style-type: none"> <li>• employee absenteeism</li> <li>• tardiness</li> <li>• visits to the dispensary</li> <li>• safety-rule violations</li> </ul> <p><b>Work Climate</b></p> <ul style="list-style-type: none"> <li>• employee grievances</li> <li>• employee turnover</li> <li>• discriminations charges</li> <li>• job satisfaction</li> </ul> <p><b>Attitudes</b></p> <ul style="list-style-type: none"> <li>• employee loyalty</li> <li>• employees' self-confidence</li> <li>• employees' perceptions of job responsibilities</li> <li>• perceived changes in performance</li> </ul>	<p><b>New Skills</b></p> <ul style="list-style-type: none"> <li>• decisions made</li> <li>• problems solved</li> <li>• conflicts avoided</li> <li>• frequency in using new skills</li> </ul> <p><b>Development and Advancement</b></p> <ul style="list-style-type: none"> <li>• Number of promotions or pay increases</li> <li>• number of training programs attended</li> <li>• requests for transfer</li> <li>• performance appraisal ratings</li> </ul> <p><b>Initiative</b></p> <ul style="list-style-type: none"> <li>• implementation of new ideas</li> <li>• successful completion of projects.</li> <li>• number of employee suggestions</li> </ul>
<p><b>Source</b> Phillips J. (1996) "How Much Is the Training Worth"? <i>Training &amp; Development, April</i></p>		

In practice, training evaluation often deals with the more basic issue of validity, that is to say, did the training accomplish what it purported to accomplish? Goldstein (1986) suggests that questions regarding the validity of the training can be placed in one of four categories. These are summarised below:

- (1) *Training validity*. Did the trainees match the criteria established for the training programme?
- (2) *Transfer validity*. Did the trainees match the criteria established for success when they were back on the job?
- (3) *Intra-organisational validity*. Is the training equally effective with different groups of learners within the same company?
- (4) *Inter-organisational validity*. Is the training equally effective with different trainees in companies other than the one that developed the training programme, or the programme was developed for?

Both Kirkpatrick (1975) and Goldstein (1986) identify *transfer* as one of their focuses for evaluating training effectiveness. It could be argued that *Level Three - behaviour* (Kirkpatrick) or *transfer validity* (Goldstein) is the most important factor within the area of evaluation and learning. Organisations want to know that what they spend on training is benefiting the organisation. They need to be assured that every learning dollar they spend on training is being transferred to the workplace in terms of efficiency, effective working relationships with work colleagues, new safety methods or innovative initiatives. Moreover, as Mayer (1992) states:

*It involves the ability to perform in a given context and the capacity to transfer knowledge and skills to new tasks and situations* (p. 35).

Without this *transfer* of knowledge and skills, workplace education would be a useless activity. Hence, questions that might be asked and explored in this thesis are: To what extent is the knowledge learnt in a management course able to be transferred to the workplace? What encouragement or help does the manager obtain from the organisation to *transfer* this information? Is communication good within the organisation? According to Recardo (2000)

*Leaders who communicate effectively, listen actively write and speak clearly and concisely to stakeholder groups within and outside the organisation, develop and maintain long-term business relationships uncover and resolve conflict, influence others and build cross-functional*



*collaboration and seek and use feedback to improve individual and organisation performance (p. 85).*

Other questions that may be explored are: Does the organisation encourage and resource back on-the-job action-learning projects? Are there any organisational blocks? If so, what are they? Are there any personal blocks that inhibit the transference of learning? Does the learner, for example think the training programme is relevant? What motivational factors may influence the application or non-application of the new skills? Does peer pressure influence transference? Does *resistance to new ways* influence learning? If so, how? Can one avoid this happening? Finally what can a learner or organisation do to ensure maximum transference of learning? For example, Wall and White, cited in Phillips and Broad (1997) suggest processes and worksheets to guide managers in supporting transfer to assess use of transfer strategies and to evaluate the extent of transfer. Are these strategies accepted and role-modelled by senior management and are these tools and frameworks shared with middle management?

In summarising, this section discussed several issues around the evaluation of learning. (1) The benefits of evaluation, these ranged from quality control to proving return on investment (ROI). (2) Kilpatrick's *Four Levels of evaluation*. (3) Goldstein's four *categories of training validity; transfer validity* being similar to Kilpatrick's *Level Three behaviour*. Finally this section raised several questions that the writer of this thesis believes are the main issues concerning transfer of learning. These issues are discussed in the next section.

## Barriers to Transfer Of Learning Within Management Development.

Over the last five sections questions and issues have been raised regarding the ability of individuals and teams to transfer learning to the workplace. This section discusses some of these issues in the context of *barriers to transfer*. This section also highlights some secondary barriers to learning that could be argued are something of a paradox; that is to say, they are *invisible barriers* but (in terms of their effects) *obvious barriers to transfer*.

Despite much theoretical writing about the evaluation of training (Sullivan Wircenski, Arnold, and Sarkees, 1990; Brinkerhoff, Brethower, Hluchyj and Howakowski, 1983; Morris et al, 1987 and Philips, 1991a) within the area of management development, in practice it is often rudimentary or even non-existent, because it is difficult to determine the causal links between training activity and subsequent organisational or individual behaviour. Undertaking the sophisticated data collection and analysis which may illuminate the real consequences of training programmes often requires a high level of resources in itself. Hence the evaluation of training can be both complicated and costly. We discussed earlier the types of evaluation and the reasons why *Level Three - behavioural or transference* is so crucial. This study also highlights some of the secondary issues within transference. Analoui (1993) describes these as '*social-technical issues*':

*One of the implications of adopting a predominantly technical approach to training and transfer is that, positive transfer is often expected to occur automatically, as an inevitable consequence of formal learning processes. In this way, the presence of social learning processes with the actual work organisation which are acting as determinant factors in the realisation of effective transfer, as well as ensuring the positive outcome of transfer are conveniently ignored. Why? Because, the social learning processes do not fit into the scheme which traditionalists use to explain an awkward phenomenon such as transfer (p.101).*

Social technical issues are aspects such as the **emotional climate** within an organisation, that is, a learner's attitude towards his or her colleagues, the learning itself, and whether they are perceived to be important by the learner. Employees' perception of management, and management's attitude to employees, all affect *transfer of learning*. What is the organisational culture? Is the organisational climate one of *TRUST*? Are management seen to *walk the talk*? What are the ethical behaviours of senior management? Recardo (2000) states:

*Business ethics is taught in most business schools, but the concepts are not always translated into day-to-day practice (p. 80).*

He believes senior management must act as role-models and mentors by motivating and empowering others and he believes that senior management behaviours play a large role in the emotional climate of an organisation. A study conducted on leadership by the *Centre for Study of Leadership* at Victoria University Wellington (Parry, 2000b) found that integrity in leadership helps not only the organisation but the bottom line. Parry (2000b) states:

*The New Zealand 'Leadership Survey 1999' provided the opportunity to test the perceptions of integrity that accompanied leadership from our managers... .. Researchers have identified trust within and between organisations as a core contributor to effective organisational practices. Moreover, **integrity** has been identified as a core determinant of **trust**. Also, because leader integrity aids the development of trust it also creates relationships of respect and increased reciprocity between leaders and follower (p. 38).*

Garratt (1997) also states:

*Boards have a crucial role in creating and maintaining the learning organisation. They wittingly or unwittingly create the emotional climate that determines whether or not it is acceptable to be seen to learn at work: This may sound simplistic. It is not. Staff watch Directors very closely to see if their words and their actions are in synchronisation, like doubting Thomases they will believe it only if they see it, in the Director's*

*behaviours. They will scan the board's edict and cross-check them across the organisation* (p. 24).

As Garratt (1997) points out, a problem for boards and top management is that behavioural inconsistencies do not have to be large ones to create a big impact on attitudes, learning or the emotional climate within the organisation. The leverage put on behavioural inconsistencies by the work force magnifies the problem, which is often amplified again by the organisation's rumour mill.

A study conducted by Rouiller and Goldstein (1993) conveyed how an organisation's emotional climate affects transfer. They hypothesised that the more positive the organisational climate the more the trainee will transfer new behaviour to the job. This study involved 102 manager trainees in a fast-food chain. After attending an assistant manager programme the trainees were assigned to one of the fast-food chain's 102 units. A critical incident instrument was developed by the researchers to measure transfer climate in the units, and as a consequence it measured organisational situations and consequences that inhibited or promoted transfer. A baseline measure was taken two weeks prior to the trainee being placed in the unit. The amount of learning obtained by learners while on the course was also measured, plus the previous performance level of the unit to which the trainee was assigned. Results supported the two hypotheses (1) together post organisational *transfer climate* and *learning* accounted for fifty-four percent of the variance and (2) *learning* by itself accounted for eight percent of the variance in transfer. Apparently previous performance of the unit was not a significant factor affecting transfer.

An integral part of the *emotional climate* is a student having the *right psychological attitude* to learning. A student having the *right psychological attitude* to learn is paramount in learning of any kind. The consequence of a learner not having the '*will to learn*' simply means '*they do not learn*'. They may attend the class, read the notes even do the assignments but they do not

learn. Daloz (1986) believes that one of the most compelling struggles within our adult lives is the extent to which adult learners are “richly enmeshed in a fabric of relationships which hold them as they are, and the resulting gap between the old given and new discoveries” (p. 154). Daloz (1988) also points out that there are strong reasons for adults to refuse to grow: “sometimes it is just plain simpler to stay right where you are, or at least appear that way” (p. 7).

Other reasons a learner may want to ‘*stay where they are*’; Daloz (1988) suggests, are a colleague’s non-acceptance of a learner’s development because of petty jealousies, a learner’s own insecurities, disliking change or feelings of being left behind.

Closely related to this concept of a *will to learn*, Knowles (1978, 1984) suggests that the *need to know* and the *readiness to learn* are also critical aspects in the success of adult learning programmes and transference. *Section Four (transfer of learning individual and organisational)* above outlined twenty-one principles that are regarded as essential to transfer. Two of the principles related to the concepts *need to know* and *readiness to learn*. That is, “*the learners need to be motivated and open to new learning*” (20) and “*learners need to believe they have the ability to learn*” (21). The *need to know* refers to the value of the knowledge to the learner. “*Readiness to learn*” refers to the amount of prerequisite knowledge the learner possesses and the learner’s subjective opinions of his or her ability to learn the material and the capacity to utilise it. According to Knowles both these aspects must be in alignment if learning is to be effective. For example, it will not matter how useful the training and development is perceived to be if the learner doesn’t feel capable of either learning it or utilising it. Likewise, it won’t matter how ready the learner is for learning if the learning isn’t seen as useful.

It could be argued that organisations can unwittingly support *barriers to transfer* through their policies and practices. Bruce and Wyman (1998)

propose that organisations need to look inwardly and establish what they are doing to actively promote and bolster *transfer*. Human Resources (HR) departments within organisations need to ask themselves questions such as do we actively promote and resource *action activities* for course participants? (Discussed in *Section Three 'the nature of learning and approaches to its development'*) Does our organisation have an infrastructure to enhance learning? (discussed in *Section Four 'transfer of learning individual and organisation'*). Kim (1995) suggests that in order for organisations to facilitate and accelerate learning from employees, organisations need to design in opportunities for *making mistakes*. That is, in addition to designing *fail-safe* systems to ensure smooth operations, organisations also need to create *safe-failing* space to enhance learning. Entwined with this concept is the philosophy that ***mistakes are part of the learning process***. Building infrastructures for learning requires a parallel process that takes us out of the day-to-day pressures into a different kind of space in which we can practice and learn. Accordingly Kim (1995) believes that:

*With learning infrastructures, we are able to step out of the system so that we can work **on** it and not just **in** it. (p. 353)*

A key part of learning is making mistakes. All too often the idea of one publicly admitting ones mistakes is seen as either corporate suicide or at best career limiting. Moreover Garratt (1997) suggests that one of the great lies of organisational folklore is:

*I'm from head office, I'm here to help you. Everyone knows that the person is really here to blame the innocent, promote the guilty and bayonet the wounded. - so people cover up (p. 27).*

Another issue within transfer of learning relates to the question: Does management development render itself to precise analysis? According to Argyris (1994), in the classification of skills, managerial training is rated as the most difficult one to evaluate. Since it involves changes in behaviour,

attitudes and values that are difficult to analyse, define and evaluate once the training is completed. Also as, Warr, Bird and Rackham (1971) point out,

*Finding the 'correct' ways of managing is left to each individual trainee to attempt some integration of what he/she has learnt, to decide what aspects are relevant to his or her own job and then to apply it as he or she thinks is appropriate (p. 22).*

Warr et al, (1971) believe that this is where management training can often fall down, due to cognitive differences in individuals and the differences in their values and belief structures, together with the effect that these differences can have on the individual's behaviour. Goffman (1977) refers to an individual's unique system of values, thoughts and beliefs as *frames of reference*. The individual uses his or her *frames of reference* to perceive, interpret and understand what goes on around him or her. Broadbent (1977) believes that these *frames of references* constitute the very foundation for the way in which the individual's cognitive map is assembled. This in turn provides a basis for the manner in which he or she conducts his or her social interactions (Neiss, 1977), a '*cognitive map*' (Knowles, 1984) based on an individual's experience. The older the learner the more detailed their map is likely to be. Therefore according to Camp et al, (1986):

*It would seem that adults only grudgingly recognise that new learning is desirable or necessary. Typically, adults try to force incoming information into their existing cognitive map. They react to it in the ways they have in the past. And, if that fails to produce a satisfactory outcome, they do the same things all over again only louder or faster or with more tenacity (p. 90).*

Camp et al. (1986) go on to suggest that if insights into the characteristics of adult learners are correct, then these new understandings contradict some of the stereotypes about intellectual capabilities and the ageing process. These insights may also help us understand some of the difficulties associated with *transference of learning*. That is, transference is not a *given* component within the process of learning. There are many variables (*barriers*) that can affect performance other than the training itself. Another view on values and

beliefs is from Argyris (1985) who suggests that through *critical self-reflection* an individual reviews old or develops new assumptions, beliefs and ways of seeing the world. Critical self-reflection is stimulated by perceived discrepancies between the learner's beliefs, values or assumptions and new knowledge, understanding, information and insights. These discrepancies can be encountered in a learning context through reading, talking to others, interactions or practical experiences. This principle of learning is not new to educationalists, however it is new to organisations. Argyris (1985, 1994) suggests that organisations need to encourage their employees in using critical reflection strategies to improve systems, procedures, policy decision making and management practices. Argyris believes that the principles of consistent organisational communication and critical self-reflection strategies are two large components of a "*learning organisation*". The technique of critical reflection is also known as *double loop learning*. Argyris (1977, cited in Stone 1982), used the terms *single* and *double loop learning* to distinguish between identifying and addressing the day to day operational problems in an organisation and identifying and addressing the more fundamental and strategic problems for which apparent operational problems are merely symptoms. For example, if we relate this concept to a decline in an organisation's emotional climate caused through front line conflict between units and individuals, what can occur, is that middle managers hesitate to confront top management with the facts. As a result, repeated attempts to apply corrective actions at the operational level merely waste resources and allow the problems to become steadily worse. A learner using *double loop learning* would be encouraged to look strategically at the problems and the fundamental causes before suggesting or implementing solutions. According to Schouborg a similar strategy was implemented in the City of San Jose in an effort to improve quality service in a city wide organisational development strategy. A network of problem solvers were selected along with intensive transfer support techniques. However, according to Schouborg (1997):



*The consultants far exceeded their estimates on which their contract was based; this underlines the fact that stakeholder support for transfer often requires a significant investment of time and other resources (p. 247).*

The final issue or concept, **organisational restructuring** or *downsizing*, is also seen as a *barrier to transfer of learning* (Reichheld, 1996). This is because according to Barger and Kirby (1995) and Knowdell, Bradstead and Moravec (1994) the word restructure is synonymous with the feelings and behaviours associated with *grief and fear*. According to Barger and Kirby (1995) employees feel stressed, and that they have no control over what is happening to them or around them. They feel a huge sense of loss (loss of clarity, direction, future influence and friends), and this sense of loss manifests itself in behaviours such as work apathy and learning apathy. Employees may even become internal saboteurs, finding ways of undermining new changes.

Within organisations going through change the researcher proposes there is a lot of **telling** going on. The question is how does this telling affect transfer of learning? Barger and Kirby (1995) suggest that employees going through change not only need information but need to feel listened to. They go on to say that employees going through change are:

*.....sceptical, suspicious, begin looking for hidden motives and agendas, feel in over their heads with new and increased responsibilities, they become cautious, avoid taking risks and making decisions. Some feel angry or bitter, become cynical developing an everyone for themselves attitude, and experience painful loss issues (pp. 57-58).*

All this leads to feelings of **immobilisation** and **dis-empowerment**, which could be argued is another major reason for a learner *not wanting to learn* or *transfer of learning* not occurring. Apart from *restructuring* causing feelings of *immobilisation* and *dis-empowerment*, Argyris (1985) maintains it can also cause feelings of 'them and us' between management and employees, particularly for those organisations that have a strong *chain of command*. Moreover according to McGregor (1960) and Argyris (1964, 1985) organisations that are based on hierarchical and directive leadership dis-

empower their employees more rapidly. As stated by Argyris (1964) often the employees are unaware of this and can see any *tension or control mechanism* as *natural*. Argyris explains the affect “directive leadership” has on employees:

*The initial impact of the directive leadership is to make the subordinates more tense and to increase their interpersonal rivalries. If they live in such a world long enough, it is possible for difficulties to become so much a part of “the facts of life” that they no longer perceived them as problems - for example, the tension and frustration experienced by subordinates tend to become accepted. As one subordinate put it, life is tension what else”. As a result of these constant rationalisations, an interesting development takes place. Since tension is “natural” one begins to expect it. As a supervisor builds up more and more expectation of tension, the existing tensions seem less. This tends to occur because his tolerance for tension is now higher. Thus if a supervisor senses as much tension as he is accustomed to, the existing tension has to increase (pp. 117-118).*

As Argyris goes on to point out, “it is easy to see why **tension** in an organisation can be less noticeable to the supervisors than to an outsider”. The questions, which need to be asked for this study are, does *tension* affect *transfer*? What effect does restructuring have on tension(s)? And, do both of these have a flow-on effect to *transfer of learning*? According to Hammer and Champy (1993) and Bridges (1994) tensions do have an effect - a negative one. They suggest that organisations need to involve the people affected by restructuring or changes with the planning, but according to Kanter, Stein and Jick (1992), these strategies are not always applied. Kanterstein and Jick, (1992) like Hammer and Champy (1993), and Bridges (1994) believe the best way to get buy-in is to involve people in the process of defining the future.

Newstrom’s (1986) identified “9 barriers to transfer” (Figure 3). According to Phillips and Broad (1997) the barriers were ranked in order from highest to lowest by thirty-four trainers from various organisations.

**Figure 3 Trainers' Perceptions of Barriers to Transfer of Training**

Ranked Highest To Lowest Organisational Barrier	
1	Lack of reinforcement on the job
2	Interference in the workplace
3	Non-supportive organisational culture
4	Trainee's view of the training as important
5	Trainee's view of the training as irrelevant
6	Training discomfort with change
7	Trainee's separation from trainer after training
8	Poor training design and or delivery
9	Peer pressure against change
Adapted from Broad and Newstrom, 1992, cited in Phillips and Broad, 1997, p. 9.	

This last Section and literature review looked at the *Barriers to Transfer*. It highlighted *social technical issues* which prevent *transfer of learning* from occurring. For example, (1) the *emotional climate* within the organisation, *the students attitude* to the learning and (2) the organisation's tolerance of the philosophy that *mistakes are part of the learning process*. (3) This section also discussed the effects that a learner's *frame of reference* can have on transfer. For example, as a learner do I think this learning is going to be valuable? Does it fit with my present beliefs? If not, I may decide to ignore it. Another variable within *positive transfer* is (4) critical self-reflection. Does the learner practice this? Does the organisation encourage it through *action learning* projects and *double loop learning* solutions to problems? Lastly this section discussed (5) the effects *organisational restructuring* have on *transfer of learning*, that is, how learners can feel *immobilised* or *dis-empowered* to learn.

## Summary

This literature review has explored what management development is, and its importance to organisations. We have examined how organisations are investing millions of dollars in corporate universities or strategically aligning themselves with external providers to ensure their staff have the skills they need to do the job well and take the company forward. We have seen also how recruitment consultant companies are taking up the development challenge by providing access to *intranet*, and *internet* training packages to encourage contractor loyalty. Second, we discussed contemporary trends in training, education and human resource development. What are organisations doing about training in the twenty-first Century? New mediums such as computer based training and internet training are being introduced. We also discussed the shift in responsibility for employee development, to a situation where managers and supervisors are expected to develop staff with a primary focus on business results. Studies indicate that (a) managers believe this is burdensome, and (b) managers are lacking the skills to be able to develop staff. *Section Three* outlined various theories on how individuals learn and an accepted method of learning (for example, *action learning*) which is used to *enhance transfer in the workplace*. One question left unanswered is: do managers understand or even know of these theories and basic learning principles so they can help their own staff develop? *Section Four* proposed twenty-one principles necessary for *positive transfer of learning* to occur, both individually and organisationally. If an organisation wants to become a learning organisation then its fundamental behaviours and policies need to be based around strategies which encourage and enhance transfer. In *Section Five* the writer explored the reasons why evaluation plays such a vital role in confirming the transference of learning. Specific methods for establishing that transfer occurs, are *evaluation* processes. These are vital if training departments, educationalists and Human Resource departments want to survive in the new millennium. Finally in *Section Six* the writer discussed

some of the main barriers surrounding *transference*. As this review has endeavoured to point out, there are many secondary factors that affect and influence the *transfer of learning*. Moreover, the fact that training has been undertaken and even learnt (*Level 2*) by the trainees does not mean that there will be automatic changes in behaviour or attitudes on the job. It is quite feasible that cognitive learning can take place that is intended to change or modify behaviours, but that transfer does not happen and as a consequence there are no modifications or shift to behaviours or attitudes. Why and how does this happen? As section six highlights, there are several *social-technical issues* which contribute to *non transfer*.

Summarised below are what the researcher believes are the main influences on *transfer of learning*. The issues and tensions which facilitate “*transfer*” or cause “*non transfer*” can be as simple as:

**(1) *The emotional climate* within the organisation and student’s attitude towards **(a) management****

- Is management perceived to have personal power or only positional power?
- Does the employee believe their contributions are valued by management?
- Does the employee trust management and believe the explanations management give on management decisions are honest?
- Is there a perception of “*them and us*” between staff and management?

**(b) learners’ working colleagues**

- Is the organisation based on hierarchical structures?
- Are there tensions between groups or disciplines within the organisation?
- Is there a perception of them and us between the disciplines?

**(c) the learners' external customers**

- Are the employees customer focused?
- If customers are valued, is the learning perceived to improve customer relations?

**(d) the learning itself**

- Does the learner perceive the learning to be difficult?
- Is the learning perceived as valuable, worthwhile, interesting or practical.

(2) Another issue discussed in *Section Six* and related to an organisation's *learning philosophy or values*, is that, ***mistakes need to be genuinely accepted as part of the learning process***. Hence the questions pertaining to this issue are: do organisations need to create *safe-failing* space to enhance learning? Do learners feel they can "try out" new learning on the job?

(3) A third issue discussed and possibly the most important is, does the organisation ***create a climate for learning***? Is each member of the organisation encouraged to learn from his or her daily work? Encouraged to openly discuss what went right? What went wrong? What can we do about it and who else needs to know? Are there organisational systems in place to capture the learning? If needed, are additional resources available or easily obtained so new learning can be readily transferred? Is there open communication within the organisation so that learning can be passed on easily? Do managers know how to coach? Does the organisation encourage *critical self-reflection*? Is the organisation a learning organisation that encourages transfer by its on the job practices? Garratt (1997) believes that by *continuously* asking these questions an organisation and its people strive to learn, and organisational effectiveness and efficiency improve as a consequence.

- (4) The fourth issue (discussed in section two) that aids *transfer* of learning is *recognition*. Do employees feel **supported, valued** and **rewarded** by their immediate boss and higher level management? Does the organisation recognise and reinforce new behaviours? Does senior management publicise successes, recognise learners' participation, help resolve learner concerns or allow time and give opportunity to share learnings?
- (5) The final issue discussed was **organisational restructuring**. Does working in an organisation which is going through restructuring affect transfer of learning? If so, how? The researcher suggests that restructuring causes feeling of *immobilisation* and *dis-empowerment*, and both lead to *zero transfer*. The questions are; do senior management have positive change management strategies? Do they encourage mutual two way communication, practice empathetic listening and encourage employee participation in the change process by extending invitations to communication and planning phases of the change process?

In short, all these issues affect *transfer*. The extent to which this occurred in the present study will be discussed in *Chapter Four*.. Certainly as Phillips and Broad (1997) state:

*Workforce performance requires more than skilled, competent workers. Those workers must be able to apply their knowledge and skills fully and effectively on the job with the necessary support and without major barriers* (p. 2).

## Chapter Three

### Methodology

#### Introduction

The previous chapter (literature Review) highlighted several issues which affect *transfer of learning*. For example *twenty-one principles and practices* that theorists (Vaill 1996; Landy 1989; Usher and Bryant 1989 and Hall 1966) believe should be an integral part of a learning environment. If they are not, they suggest transfer will be negatively affected. Also discussed were the social technical issues that affect transfer. These were highlighted as the *main barriers to positive transfer*. They related to both the individuals within the organisation and the organisation itself. Five main social-technical areas were identified as *potential negative impacts on transference*. These were:

- (1) *The emotional climate within the organisation and the students attitude*, for example, what is the emotional and mental attitude of the learners towards management, their colleagues or customers? What type of culture do the learners believe they work in, hierarchical or flat? Do the learners perceive top management as supportive or non-supportive, open, honest and trustworthy or closed, dishonest and untrustworthy? Do the learners perceive there is sufficient organisational communication, both vertically and horizontally? Do learners believe the learning is valuable and useful to transfer to their working environment?
- (2) *Are mistakes genuinely accepted as part of the learning process?* A lack of organisational tolerance for mistakes not only inhibits transfer but inhibits innovation and change. People feel afraid to try something new or step out of the box for fear it may affect their position within the organisation or future promotion.



- (3) Do the students believe they work in a *learning organisation*. Is there a culture or a climate of *progress* and *learning* where new information, innovative ideas and best practice is openly discussed and shared? Does the organisation have a culture of *aim* or *blame*? That is, when problems arise do managers *aim for solutions* first or do they *blame internal or external influences*? If additional resources are necessary for new learning to be transferred to the job, are these resources readily available or easily obtained?
- (4) How *supported* do students feel in their day to day working environment? Do they believe their work is *valued* by management? If, so, how do management show this acknowledgement? What behaviours do management display?
- (5) Does *organisational restructuring* influence transfer? If it does, how? What are the behaviours exhibited from staff, what is the student thinking and feeling? Do the students believe their organisation is a stable and safe place to work? Finally, is job security an issue for the students?

This chapter discusses the organisation used in the study, its size, location of participants, what the students were studying and why this was important for their management role. This chapter also outlines the *delimitations* and *limitations* of the study, the *main research question* and *sub-questions*, *assumptions* and *rationale for the design*. Moreover, the researcher explains the *setting* and *selection of participants*, the *processes involved* and the *ethical considerations* that were taken into consideration prior to the study, during the study and at the end of the study. The researcher outlines the *data collection procedures*, both quantitative and qualitative and the *data analysis procedures* both quantitative and qualitative. Finally the researcher discusses the *verification procedures*.

According to Mary Broad (Broad and Newstrom 1992) training programmes aspire, assume and often promise either implicitly, or explicitly transfer of their content. However few deliver their promise.

*It is well known in the Training and Development field that valid programme evaluation at Level Three is rare and when it does occur most evaluation of training finds little measurable change on the job (p. 23).*

Hence the overall purpose of this study was to explore Broad's argument. Were the skills learnt within a series of management courses transferred by the participants to the workplace in either behaviours or cognitive knowledge? Did the students believe they were able to transfer their newly acquired skills and competencies to the job? Or were there social-technical issues prohibiting this?

This study was undertaken in a large New Zealand Public Sector organisation, the central concept or idea being explored was the *transference of learning*. The participants were scattered throughout New Zealand, from the top end of the North Island to the bottom of the South Island. The organisation numbers approximately eight thousand in total and is made up of both volunteer and paid staff. The participants (thirty-four) in this study made up approximately ten percent of middle management within the organisation. However, they were on a different *management contract* to the other ninety percent of managers/officers who were on a *collective contract* negotiated many years earlier by their union. The thirty-four middle managers (paid staff) were enrolled for one year into several NZQA management Unit Standards. The organisation's national training college, which initiated the extramural study, recognised that the results of the extramural study would be of significant value because they would influence the organisation's future *management educational strategies* (The Training College, based in Wellington initiates, organises, project manages and conducts all management training for the organisation). Why would the results have such an influence? Because:

- (a) It was decided by an *Educational Advisory Group* that attaining these management competencies were necessary for the Team Leader role and future Team Leader progress.
- (b) This was the first time in the history of the organisation that an external provider (The Open Polytechnic) had been contracted to provide on-going formalised management training for such a large number of students.
- (c) Historically management progression within the organisation was achieved by employees sitting *internal examinations*. These examinations were *set and marked* by a board of internally appointed writers and assessors (*the Exam Board*). A decision had been made to disestablish the *Exam Board* and replace the internal progression process with an external process, using a combination of two NZQA providers. That is, the Industry Training Organisation (ITO) and a polytechnic.
- (d) It was believed that because the Unit Standard based management competencies were a recognised part of a Team Leader's internal progression, the Team Leaders would become both internally and externally qualified, thus making it a 'win/win' situation for both the employee and employer. The organisation would no longer need to *provide, fund and maintain* an Exam Board. Moreover the Team Leaders could obtain qualifications that would be recognised if they left the organisation.

The management Unit Standards were classified as first line management competencies. They were:

- (1) *Analyse work content and identify work group needs*. Unit 1983, Level Four, Credits, five. (*Appendix 14*)
- (2) *Develop the performance of teams and individuals*. Unit 1984, Level Four, Credits, five. (*Appendix 15*)
- (3) *Identify key organisational principles and apply them to workplace operations*. Unit 1985, Level 4, Credits, five. (*Appendix 16*)
- (4) *Supervise workplace operations*. Unit 1988, Level Five, Credits five. (*Appendix 17*)

- (5) *Create and maintain positive workplace relationships*. Unit 1987, (Appendix 18) Level Five, Credits five. (**Note** unit 1987 was later replaced with unit 7447 *develop, provide and report information for management decision making*)
- (6) *Health and safety in the workplace*. Unit 497, level One, Credits two.
- (7) *Give verbal instruction in the workplace*. Level Five, Credits, five. (**Note** Unit 497 and Unit ? were not used as part of the selection of management competencies for this study (Level three evaluation) only the management Unit Standards were used).

All learning was completed by correspondence: The courses were all self paced learning, that is, there were no specific time frames set for assignments to be handed in, however it was expected that all students finish the five management Unit Standards, one occupational safety and health (OSH) and one communication Unit Standard within a twelve month period. The students were asked by the polytechnic to complete a *one year study planner* (Appendix 23) outlining their study times and course completion dates. All Unit Standards selected were part of the Team Leader's internal progression criteria (that is, agreed organisational management competencies for progression and advancement through to senior management level). Knowledge and the ability to use each competency was believed to be essential for a Team Leader on the job. For example Unit 1988, (*Supervise workplace operations*), Element Three, *manage and measure workplace production* was perceived to be a fundamental Team Leader's competency. The "Educational Advisory Group" believed the performance criteria within this competency (stated below) were essential elements for a Team Leader position:

- 3.1 *The implementation of production plans to minimise disruption, eliminate waste, and maximise value of outputs in relation to cost of inputs.*
- 3.2 *Scheduling techniques are assessed for workplace operations and production is scheduled.*
- 3.3 *Workplace productivity is measured in terms of relationship of resources inputs to production outputs and recommendations for improvements to*

*workplace productivity are formulated and presented* (pp. 2-3) (*Appendix 18*).

Marking and assessment processes were conducted by the Open Polytechnic. Upon completion of the unit standards the organisation expected each student to transfer what they had learnt through their studies to the job, for example, in Unit 1984, Element 1.5, (*Principles of effective delegation are established and applied*), students were expected to effectively delegate. Students were required to identify how they would devolve responsibilities to work group members? How they would create a context setting for delegation? How they would establish clear objectives and standards for their team? Finally how they would create autonomy and formal authority for Team Members to act?

The qualitative questions asked by the researcher of each Team Member focused on 'transfer'. If they did achieve transfer, what were the indicators? What were the internal or external influences that helped? Finally if they did not achieve transfer, what would have helped? A concept map showing the flow of the qualitative and quantitative processes and ideas in this thesis is shown in Figure 2. Double lines encircle the major sections. From these major sections flow discussion, ideas or events. This concept map shows several stages in the design where both quantitative and qualitative approaches were used. It also graphically presents the verification and triangulation steps for both approaches (Triangulation is explained in Chapter Four, Results).

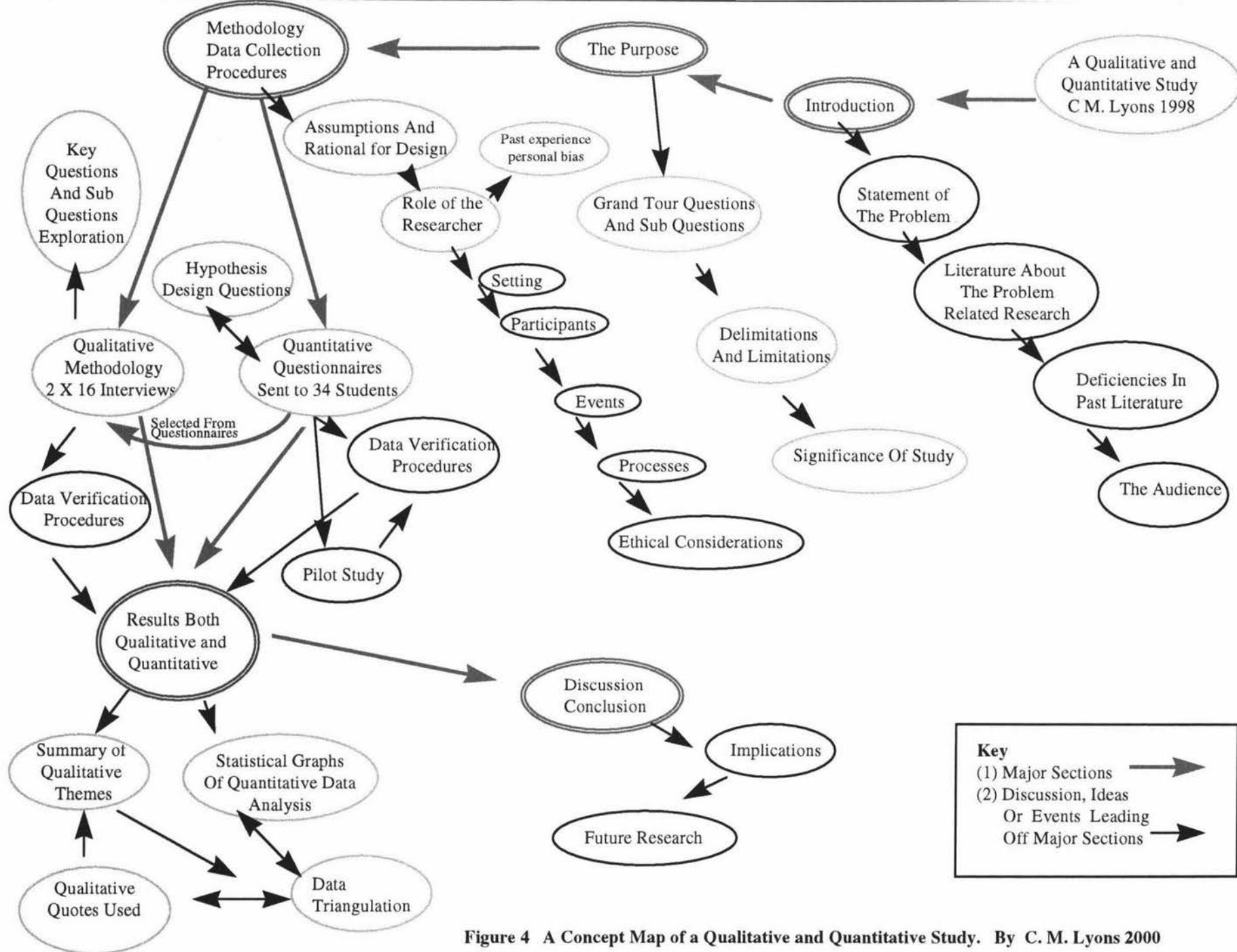


Figure 4 A Concept Map of a Qualitative and Quantitative Study. By C. M. Lyons 2000

## Limitations and Delimitations Of The Study

According to Creswell (1994), within every qualitative and quantitative study there are inherent boundaries, exceptions, reservations and qualifications that need to be explicitly considered. These issues are called *delimitations* and *limitations*. *Delimitations* address how the study will be narrowed in scope. *Limitations* identify any potential weaknesses of the study.

### Delimitations

There were several *delimitations* within this study, these are outlined below:-

- (1) The study was conducted within one organisation.
- (2) The study was confined to survey thirty four Team Leaders and their respective Team Members.
- (3) Of the thirty four Team Leaders only sixteen were selected for one to one interviews. Two interviews were conducted for each Team Leader, separated by a period of approximately five months, (thirty-two interviews in total).
- (4) The participants were all from the same middle management level within the organisation.
- (5) The participants were all male, because there were no female Team Leaders within the organisation.
- (6) Ninety percent of the participants were appointed at the same time and had only worked in the organisation for two years.

### Limitations

There were several limitations within the study. These are outlined below:-

- (1) In **Phase 1** (*questionnaire*) the purposive sampling procedure decreased the generalisability of any findings (*only those enrolled in the management courses were surveyed*).

- (2) In **Phase 1** only twenty of the thirty-four Team Leaders surveyed replied to the questionnaires (fifty-nine percent). The researcher suggests that the final numbers are insufficient for generalisability of findings.
- (3) In **Phase 2** (one to one interviews), because the sampling procedure was purposive, and only sixteen of the twenty participants who replied to the questionnaire were interviewed, the generalisability of the findings were decreased.
- (4) Because the study was two phase over a period of several months there was the potential for both environmental and personal influence to contaminate the data, for example, drop-outs due to participants leaving the organisation or, in the case of this study, all participants were given a termination of employment notice and had to reapply for their positions.
- (5) All participants were from one organisation, which was undergoing massive restructuring. The researcher perceived that the participants were in "*survivor syndrome*" (SS) (Knowdell, Branstead and Moravec, 1994). SS is a psychological state found in employees working in organisations that are undergoing restructuring or down-sizing. The characteristics of SS are, *lack of personal motivation, anger, resentment depression, anxiety, loss of confidence, feelings of, loss of control* and a *who cares attitude to work outputs and decision making*. Because of the perceived prevalence of SS within this organisation, the researcher believes that generalisation of results to other organisations is inappropriate.
- (6) Because the characteristics of the participants were all similar, that is, European, male and all at the same level of management within the organisation, any generalisation of results can only apply to the organisation studied. Equally, because of the purposive participant sampling process (i.e. *all participants were on a different contract to the majority of other Team Leader/Officers within the organisation*), any generalisation can only be to employees on the same contract.



## Research Questions

The issues identified by the literature review were:

- (1) According to Parry (1997), top management want to know what improved behaviours and learning results the organisation is getting from the hundreds and thousands of dollars spent annually on training. Also

*Instructors and course designers want to know what impact programmes are having on individuals and the organisation. Trainees and their supervisors want to know what kind of pay off they can expect from taking time away from production work to participate in a course. In short, the evaluation of training's impact is a hot topic (p. 1).*

- (2) Performance on the job as measured by *Level Three* (behaviour - how well did they apply it at work?) and *Level Four* (results – what return did the training investment yield) is influenced by many variables. According to Parry (1997):

*They operate in a contaminated environment, and no one can control the intervening variable (or even hold them constant or equate for them) so that we might attribute the learner's performance to training alone (p. 6).*

In Summary, some of the factors influencing transfer, identified earlier as *social-technical barriers to transfer*, are:

- (1) The *emotional climate within the organisation and the employees' attitude*. Is their work free of distractions, or emotional constraints? What is the culture, controlling and structured or self managing and flexible? Do the respondents believe that there is relevance of what is been taught to what is needed to perform?
- (2) Are *mistakes genuinely accepted as part of the learning process*? What is senior management's attitude to employee mistakes? Is the organisational culture one where employees are encouraged to learn from their mistakes

and teach others, or a culture where mistakes are hidden, and not owned up for fear of the potential negative consequences?

- (3) Do the respondents perceive the organisation they work in to be a *learning organisation*? Does the workplace have a culture where it celebrates and welcomes new learning? To what degree do peers practise what the learner is trying to apply? That is, is the new learning accepted as an improvement to current practices and behaviours?
- (4) How do senior management *support* and *value* their staff? Do the respondents believe that sufficient time, money and resources are available to support new behaviours or initiatives, strategies or procedures?
- (5) Finally, how does *change* or *organisational restructuring* affect transfer? If changes are happening within the organisation, do the respondents believe that the changes affect their ability to transfer new learning to the job?

It was from these issues that the research questions were developed. In developing the research questions, the researcher used the approach recommended by Creswell (1994), that is, the *grand tour question* (Werner and Schoepfle, 1987) “is posed as a general issue so as not to limit the inquiry” (Creswell, 1994, p. 70).

Hence the broad question was posed: **What organisational conditions and personal attitudes are necessary for managers to transfer the skills and knowledge they learn in management studies to their work environment?**

The *grand tour question* is followed by sub-questions. These sub-questions narrow the focus. The approach taken in this research study is well within the limits set by Miles and Huberman, (1984), who recommend that researchers write no more than twelve research questions in all. The sub-questions in this study were:-

(1)

- (a) What is the *emotional climate* within the organisation. For example, tense, controlling and rule-bound or relaxed, informal and self-managing? Is downward, upward and sideways organisational communication effective? That is, are staff informed on what is happening why, when and to whom?
- (b) How does the *emotional climate* affect the respondents' attitude to their work, to their studies, to senior management and to their colleagues?

(2)

- (a) Do respondents believe they, and the organisation, are allowed to *positively learn from mistakes*?
- (b) Is the organisation's culture such that mistakes are hidden, covered-up, ignored or not discussed for fear of reprisal?

(3)

- (a) Are the policies, processes, senior management behaviours and attitudes reflective of a *learning organisation*?
- (b) What do senior management do or not do to encourage long term *organisational learning* and skill transfer? For example are 'action learning' activities, or 'double loop learning' encouraged?

(4)

- (a) How do senior management show their *support* to staff for new learning and innovative on the job employee initiatives.
- (b) Do respondents believe their work is *valued* and *supported* by management and other working colleagues?

- (5)
- (a) What is the organisation's *attitude to change*, whether incremental or big-bang?
- (b) How does *restructuring* or *change* affect employees and management's attitude to each other, their work, customers and finally both internal and external learning?

As Creswell, (1994) recommends, these questions became topics that were specifically explored in the questionnaires and interviews.

### **Assumptions and Rationale for Research Design**

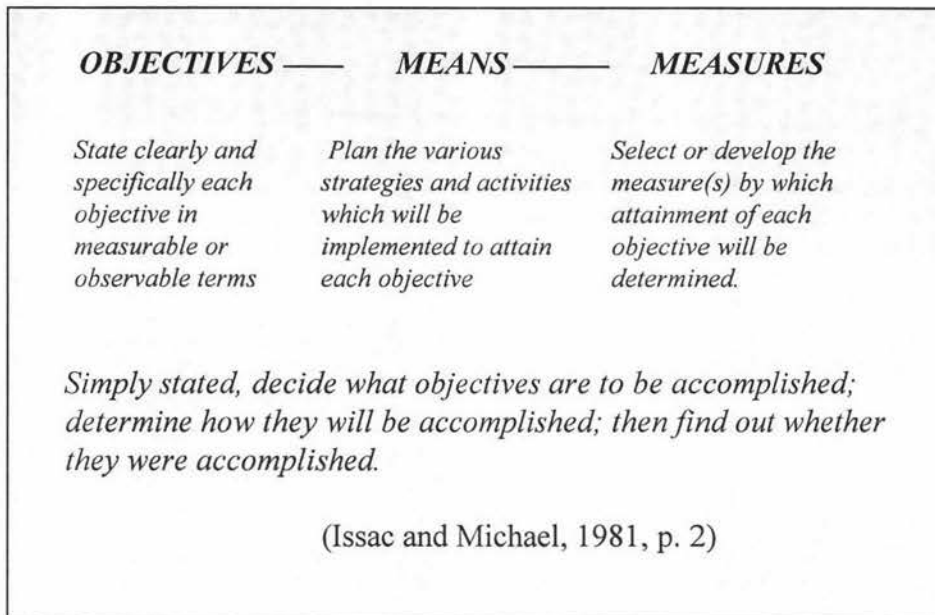
Two methods were adopted for the study. Over the next few pages *data collection, verification* and *analysis procedures* will be explained *separately* for each design. The *Results* section is a *combination* of the findings of both methods (quantitative and qualitative). For a graphic display of the concepts, procedures and processes followed from the start to the finish of the mixed design the reader should refer to the *Concept Map* Figure 4, (p.70).

According to Reichardt and Rallis (1994):

*Qualitative and quantitative paradigms have enough similarities in fundamental values, in spite of their other differences, to form an enduring partnership.....While we may disagree on the most useable forms in which to obtain and present knowledge, we agree that our goal is to package it so that it can be shared and used* (pp. 85 and 89).

Through subjective self evaluative reporting, student performance was compared with previously behaviourally stated objectives (Tyler 1979; cited in Worthen and Sanders, 1973). The theory of evaluation is a complex process involving many components and considerations. According to Isaac and Michael (1981), at its heart lies a simple three step sequence (Figure 5).

**Figure 5 Objectives Outcomes Model**



The reason the objectives/outcomes model was selected over other learning evaluation processes was because the researcher believed that this method was the most unobtrusive and non-threatening method to implement. Why was it necessary to implement an unobtrusive, non-threatening model? Because the thirty-four potential respondents were at the centre of a management union dispute over their existence. The union argued that the respondents (newly appointed Team Leaders/Officers also known as *new contract staff*) were insufficiently trained and experienced to lead a team in an emergency situation (a mandatory component within their job description). Management argued that this was a perception orchestrated by union propaganda to undermine the new organisational changes and initiatives.

The purpose of the study was to determine the extent to which learning activities were actually being realised on the job. Because *transference of learning* is a process that takes place in a “participation framework back on the job” (Lave and Wenger, 1991), the study had to be undertaken over a period of several months. Participation frame work back on the job, means the learner

and his or her colleagues actively implementing and practising (*on the job*) the new skills and competencies being taught. For example a learner (manager) may learn a process of how to establish training and development objectives with his/her team and or individuals within the team. Back on the job does the Team Leader:

- (a) Assess the current and potential competencies of each members in relation to work group demands?
- (b) Organise and implement a needs analysis for team members?
- (c) Establish and agree training and development objects with individuals and the team?
- (d) Identify any barriers and possible constraints to obtaining resources and then establish a training and development plan with the use of available resources?
- (e) Regularly review training objectives with individuals and team members, and ensure confirmation of achievement is included in review?

If the Team Leader implemented these strategies or similar strategies with his/her team, the Team Leader would be said to be transferring learning via a participation framework back on the job.

This study used a combined quantitative and qualitative design (Howe, 1988; Reichardt and Cook, 1979). The initial intention of the study was to conduct a quantitative study (via 360 degree feedback process) of a Team Leaders' ability to acquire and utilise management competencies. The reason the study was to initially include a 360 degree process was, because if the data obtained from Team Leader questionnaires were to have any validity (for level three evaluation) the study needed to incorporate a simple *verification process* (as described later in this chapter, because of respondent concerns, the data obtained in the 360 degree feedback process was not used). The sample size was thirty-four Team Leaders and their four respective Team Members.

(sample size = 34 Team Leaders x 4 Team Members = 136 + 34 Team Leaders = 170). As stated earlier the reason thirty-four Team Leaders and their Team Members were selected for the study was one of purposive sampling. That is, only those enrolled in the management courses were surveyed. From assessment of the Team Leaders' job description the researcher identified ten generic management competencies and skills as imperative in effective management behaviours. These were to be written up into question format for the Team Leaders to select the most appropriate answer. One such example was, "*I circulate information rapidly within my team*". The Team Leader would choose from a selection of responses ranging from *always* (4) to *rarely or never* (1) (questionnaire, Appendix 2, Section B). The response rating was designed using the *Likert Scale* and the reasons for its use in this study are discussed under *Quantitative Procedures, Instruments* (p. 90). For verification of answers, the same question was used but reworded in the Team Members' questionnaire. Hence the question became: "*He or she (your Supervisor, Team Leader or Manager) always circulates information rapidly within the team*" (questionnaire, Appendix 3). For consistency, Team Members were also required to choose from a selection of responses ranging from *always* (4) to *rarely or never* (1). The Team Leaders' questionnaire contained two sections, Section B (just discussed) related to generic management competencies. Section A contained ninety-one questions which related to communication within the organisation, senior management practices, their work area, and their feelings about the job in general (Appendix 2). The Team Members did not receive this section as the researcher only wanted to find out what the Team Leader perceived his/her working environment to be. That is, supportive or non-supportive, communicative or non-communicative, controlling or flat and self managing. The data obtained related to social technical issues that would be used in the *Results, Discussion* section.

The questionnaires were subsequently sent out to all Team Leaders and their respective Team Members. However, due to unforeseen circumstances, that is, massive restructuring within the participants' organisation, the researcher

decided that not only was the initial study inappropriate, but the methodological paradigm in which the research was to be conducted that is, using solely quantitative analysis (questionnaires) was also inappropriate. Feelings that were expressed in a telephone conversation by two of the participants to the assigned Independent Intermediary indicated that participants were feeling vulnerable and threatened with the 360 degree process. The union and management were already in conflict over the new Team Leaders' existence (*Appendix 20*). The Team Leaders therefore believed that independent questions (this study) surrounding their competence, would only exacerbate an already volatile situation. Also because the researcher had previously worked in this organisation as a Management Development Consultant and was well-known by the participants, the researcher was concerned that participants, even though they felt vulnerable, may take part in the study out of obligation. Consequently the researcher decided to modify the study by interviewing only Team Leaders, (who replied to the quantitative questionnaires) and study '*transference of learning*' using data obtained in Section A of the Team Leader questionnaires only, plus information obtained through individual Team Leader interviews. Both sources of data were used in the triangulation of results. Appendix 4 is an extract of a letter sent to the researcher's supervisor, explaining the reasons for the major change in the study. Fifty-three team member questionnaires were received back by the Independent Intermediary. However the data was not used because of the change in design methodology, that is, the deletion of the 360 degree process.

The design was thus a combined methodology, consisting of the quantitative data gathered through Team Leader questionnaires together with the qualitative data gathered via Team Leader interviews.

According to Green, Caracelli and Graham (1989, cited in Creswell, 1994, p. 175) there are five positive purposes for combining methods in a single study. These are:



- (1) *Triangulation, in the classic sense of seeking convergence of results.*
- (2) *Complimentary, in that overlapping and different facets of a phenomenon may emerge (peeling the layers of an onion)*
- (3) *Developmentally, when first method is used sequentially to help inform the second method.*
- (4) *Initiation, wherein contradictions and fresh perspectives emerge.*
- (5) *Expansion, wherein the mixed methods add scope and breadth to a study* (p.175).

Researchers use many assumptions in selecting particular research designs. For example Merriam (1988) mentions six assumptions about qualitative research, they are “*process, meaning, primary instrument, fieldwork, descriptive and inductive*”. Although this study is a mixed design and these assumptions are secondary factors, the researcher highlights (below) how each of these assumptions can be related to various activities within the qualitative section of this research study.

The qualitative methodology uses an **inductive process**. According to Colliers dictionary (1978) an inductive process means “*to bring about, bring on, produce or cause*” (p. 573). By questioning the Team Leaders, the researcher was able to discover, understand, develop and describe the events verbalised. In fact the researcher believed that this **inductive process** lent itself well to the difficult and challenging environment that the participants were working in. For example, the researcher was able to build abstractions, concepts and personal theories regarding some of the reasons for the results from the data collected. This was particularly relevant as the participants perceived their working environment and conditions had changed dramatically over the five month period between the two interviews. The researcher was interested in **meaning**, that is, how people made sense of what was happening around them. For example, this study was conducted over several months. At the first interview the participants were fully employed and reasonably happy. By the second interview the participants had been given *termination of employment notices* by their employer and asked to reapply for their positions. At the same time they were told that the organisation was downsizing staff by twenty percent (three hundred people). Morale and enthusiasm for the job was

extremely low. However, because the researcher was one of the *primary instruments* for data collection, she was able to adjust her questioning tone and empathy to suit the situation and the participant being interviewed. The answers were *descriptive* and “from the heart” and, the researcher believed, genuinely represented how participants felt at the time. All data gathered is called *field work*; within this study the interviews that were not carried out on-site (participants’ workplace) were carried out by telephone. Each participant (sixteen out of the twenty who completed and returned the questionnaire) was interviewed twice. The two interviews were separated by a time period of approximately five months.

### **The Role of the Researcher**

More than in any other research approach, within qualitative research the researcher is the primary data collection instrument. It is therefore essential that the researcher acknowledges any personal values, assumptions or biases that he or she may have which could have impacted on the study. As Locke, Spirduso and Silverman (1987), indicate the researcher’s contributions to the research can be useful and positive rather than detrimental. This writer’s perceptions of management development have been formulated and shaped from working and studying for many years within the domain. Until twenty-four months ago the writer taught and worked in the same organisation as the participants within this study. She believed that her understanding of the context (the culture of the organisation), the participants’ roles (recorded in job descriptions), and knowledge of the climate within the organisation (extensive restructuring over four or more years) enhanced her awareness. Moreover she believed this experience also heightened her understanding, knowledge, perceptions and sensitivity to many of the challenges, decisions and issues encountered in this unique environment. In fact this heightened sensitivity to and understanding of the participant’s situation was the major contributing factor to the change in focus of the study and selection process of who was interviewed, that is,

dispensing with the analysis of the Team Member questionnaires and only interviewing Team Leaders who consented to participate.

Although every effort was made to ensure objectivity in data collection, due to the researcher's previous working experience (knowledge of the organisational culture), she possibly brought certain biases to the study. Biases can be both negative and positive. For example, a negative bias could be: the writer's transference of her own preconceived ideas and opinions about the organisation. These opinions in turn could be positive or negative and could affect the interpretation of data, particularly in qualitative studies where because of subjective analysis of data, bias is more likely to occur without the researcher realising it. A positive bias may be that the researcher was able to avoid interviewer naiveté. For example, in this study the researcher did not return the *verbatim* transcripts of the interviews. The researcher believed that the return of the *verbatim* transcripts could have had unfavourable ramifications for the organisation or personal repercussions for the participants, if these transcripts were found and published. The researcher made this assumption based on the fact that on fifty-six separate occasions in the year of the study alone an article about either the restructuring of the organisation, the union or union member's views had appeared in either the Dominion, Evening Post or the Herald (e.g. *Appendix 20*). The previous year the Union very strongly and publicly voiced its disapproval of the new contract workers. These new contract workers were the participants in this study. Historical events had demonstrated to the researcher that confidential written information, sometimes completely unrelated to any current issue(s), were not only located but publicly printed, mentioned in Parliament or on television in a selected manner. The organisation was, and is still, going through extensive restructuring, and because jobs were going to be lost, tension was high and trust was at an all time low. Consequently, the writer believed that it was necessary for her to be mindful of the situation. A final research bias or preconceived theory could relate to the researcher's previous experience. Having worked in the management and training arena for several years, the researcher commenced the

study with the belief that *transference of learning* from a management course to the workplace relies heavily on organisational assistance and personal attitude. She viewed *organisational and personal blocks* as they are now more commonly known as a major contributing factor to any *lack of transfer of learning*.

### Setting and Selection Of Participants

The setting for the study was within one national public sector New Zealand organisation. The organisation of eight thousand was made up of approximately one thousand eight hundred paid personnel (this included management, administration and training staff) and six thousand two hundred volunteers. The participants within this study were all paid staff at the middle management level. They all did the same job throughout the country, and had identical job descriptions. The researcher's contacts with the participants occurred at two stages. During **Phase 1** a questionnaire was sent out. **Phase 2** involved two interviews, each interview separated by a period of approximately five months. The time period of five months was selected because the team Leaders were asked to *monitor* their ability to transfer their selected competencies. They therefore needed time to do this.

The focus of this study was to explore *transfer of learning* to the workplace. How was this achieved? All participants were enrolled into a one year management development course which included five management papers (unit standards). The elements or competencies studies (thirty in total) were written up onto a list from which the participants selected three only that they could personally monitor and report back on in *Interview Two*. The reason the participants were asked to select and report back on *only three* out of the thirty competencies studied was because this selection process involved keeping a record of transfer occurrences, indicators of this transfer, helpful or unhelpful environmental influences, both micro or macro and the support received or not

received, but needed. As this process and record keeping was time consuming the researcher did not want to put any unnecessary pressure or stress on the participants by selecting too many competencies to monitor, because that would only add to their already busy workload. The record keeping was used a memory aide only (However it became apparent to the interviewer at the interviews that only a small number of participants had used this method of data collection). Within the study two aspects in particular were considered (1) The *support and assistance* the manager received from the organisation to *transfer the learning* to the workplace. (2) The *personal motivation and enthusiasm* the manager possessed to transfer the learning.

The processes of the study involved paying particular attention to what new skills the managers believed they had learnt. Moreover, how would they implement these new skills on the job? What outcomes did they expect to achieve? And what were the indicators which verified that they had achieved the desired outcomes? (Figure 6)

**Figure 6 Process For Learner**

<b>Skill or competency learnt</b>	<b>How will you implement this on the job? (identify ways?)</b>	<b>Specific strategies undertaken (resources or help required?)</b>	<b>What outcome(s) do you expect to achieve? (hypothesis?)</b>	<b>How will you know when you have achieved your outcomes? (what will the indicators be?)</b>
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### **Ethical Considerations**

Within qualitative studies ethical considerations are extremely important (Lock et al, 1987). Qualitative researchers have become increasingly aware of the potential influence of preconceived ideas and have spent considerable energy

developing safeguards to ensure the integrity of the research (Kirk and Miller, 1986; Lincoln and Guba, 1986). As Creswell (1994) points out, this is to “respect the rights, needs, values and desires of the informant(s)” (p.165).

Creswell (1994) states that qualitative designs can be interpreted as *obtrusive*, *prying* or *intrusive* particularly those using one to one interview techniques such as this mixed design study. To counteract this, safeguards were put in place by the researcher to protect the participants’ rights. For example, permission to undertake the study was gained from Massey University Human Ethics Committee. The ethical guide-lines and principles for conduct of educational research are based on similar guidelines developed by the New Zealand Association for Research in Education and the Code Of Ethical Conduct developed by the Massey University Human Ethics Committee. The researcher outlined to the Ethics Committee the processes she had put in place and the responsibilities she had undertaken to maintain ethical practices while undertaking this Thesis. A description, including a brief synopsis of *justification*, *objectives*, and *access to participants*, was outlined, along with an explanation of the major principles in the conduct of research, that is, *informed consent*, (of the participants) *confidentiality*, (of the data and the individuals providing it) *minimising of harm*, (to all persons involved in or affected by the research) *truthfulness*, (the avoidance of unnecessary deception) and *social sensitivity* (to age gender culture, religion and social class of the subjects). Finally the researcher explained processes for informed consent and confidentiality, feedback and reporting. Massey University Human Ethics Committee approved the application to undertake the thesis, subject to the researcher appointing an Independent Intermediary. This was immediately done.

#### **1. Access to participants.**

Written permission to undertake the research was gained from an authorised person within the organisation (National Training Manager) who also provided the names and addresses of potential participants. However, only the researcher

was aware of who the information and questionnaire packages were actually sent to.

## 2. Study Objectives.

These were articulated to the participants in several ways, and at several stages throughout the study.

**(a) Phase 1** The objectives of the study were set out in two letters, one from the organisation's National Training Manager (*Appendix 6*), and a second letter from the researcher (*Appendix 7*).

**(b) Phase 2** A letter was sent to each interviewee prior to **Interview 1** (*Appendix 8*). The objectives were then verbally reiterated at the beginning of each interview.

All documentation for participants was written so that they would be clearly understood by each participant, including a description of how the data would be used.

## 3. Written Consent.

In accordance with the requirements of Massey University Human Ethics Committee written permission to proceed with the study as articulated was received from the participants via a consent form (*Appendix 5*).

## 4. Independent Intermediary.

The questionnaires (*Appendix 2* and *3*) and attached consent forms (*Appendix 5*) were collected by an Independent Intermediary appointed by the researcher. The Independent Intermediary separated the consent forms from the questionnaires so that complete anonymity was maintained.

## 5. Participants selected for interview.

The Independent Intermediary selected sixteen of the twenty returned consent forms for **Phase 2** (one-to-one interviews ) of the study. The selection of names was achieved by all twenty names being written on separate pieces of paper and put into a container. The first sixteen names drawn became the selected participants for **Phase 2**. These *names only* were given to the researcher to contact along with the twenty (unnamed questionnaires for quantitative analysis - **Phase 1**). The reason only sixteen names (from the twenty who replied) were drawn was to protect those fourteen Team Leaders who did not reply. That is, apart from the sixteen names selected to be interviewed, the researcher was unaware of who had replied. The Independent Intermediary advised the researcher that twenty out of thirty-four consent forms were received back and after discussions with the Independent Intermediary it was decided that the best way to achieve anonymity for the fourteen who did not reply was to select only sixteen of the twenty. Anonymity was possible because the Independent Intermediary not only *removed*, but *retained* the *consent forms* from all twenty returned questionnaires.

## 6. Participant Information.

All data collection devices and activities were explained to the participants. **Two** written documents were sent back to the participants. The **first** after **Interview One**, which contained a summary of what the participants intended to implement. The summary identified:

- The three skills or competencies chosen by the participant.
- How the participant intended implementing them? ( They were asked to identify actions and behaviours )
- What the participant would do and what they needed to implement their selected competencies? (that is, strategies undertaken, resources sourced, or help obtained).
- The hypothesised outcome(s) they expected to achieve?
- How the participant would know they had achieved the outcomes.



What the participants perceived the indicators would be?

(Appendix 11a)

The **second** written document was *sent* after **Interview Two**. (Appendix 12)

Again this summarised:

- The skill or competency chosen.
- Whether the participant believed they achieved their earlier hypothesised outcomes.
- If so - how did they know? (what were the indicators?).
- What influences were there, both positive and negative, both micro and macro? That is, *micro influences* could be:
  1. The participants' own team, peers, other teams or senior management.
  2. Organisational policy and guidelines, organisational change and strategic direction.
  3. Resources, staffing and technology.
  4. Internal communication, employee attitudes, organisational culture and expectations.

Macro influences could be:-

1. Government policy.
  2. External funding.
  3. Customer expectations.
  4. External contracts or Service Level Agreements.
- If the Team Leaders were unable to achieve their hypothesised outcomes what would have helped them achieve their outcomes?
  - What help, support or resources did they need?
  - What environmental influences (micro and macro) may have affected the outcomes both positive and negative?

Verbatim transcripts were not returned to the interviewee for verification. This was to protect the participants against potential repercussions from within the organisation. As explained under '*The Role of the Researcher*' the researcher wanted to avoid the possibility of a transcript being lost, copied or printed in either a union newsletter, newspaper or discussed in a parliamentary debate.

#### **7. The Participant's Rights.**

The participant's rights, interests and wishes were considered first when choices were made regarding the collecting and reporting of the data. That is, the participant chose the time and location for the interview and, as mentioned above, verbatim transcripts were not returned. Also the written documentation was sent to the participant's home, not workplace.

### **Data Collection Procedures**

This study used a combined quantitative and qualitative design. These designs were conducted in two distinct phases, **Phase 1**, consisted of a questionnaire of closed, Likert Scale items, **Phase 2**, of qualitative, one to one interviews. Outlined below is a brief synopsis and discussion of each phase of the research designs.

#### **Quantitative Procedure**

A survey design provides a quantitative or numeric description of some fraction of the population (Creswell, 1994). The survey method was used to identify possible interviewees because it was considered a more economical design in relation to both time and money. Surveys also offer a reasonably rapid turnaround of data collection, and as Fowler (1988) explains, a survey allows the researcher to identify attributes of population from a small group of

individuals. This study was undertaken within one public-sector organisation, which comprises both volunteer and paid staff. Following approval of the research design by Massey University Human Ethics Committee, access and a mailing list were obtained with permission of the organisation's National Training Manager. Because the participants were situated anywhere from Dunedin to Whangarei with approximately one thousand kilometres between and no more than three participants in each township, the questionnaires were mailed. This ensured both convenience and economies of time and money for the researcher and the participants.

The sampling design was a single stage (clustering) sampling design: which meant that the choice was made based on access to specific individuals within the organisation (Babbie, 1990; Fink and Kosecoff, 1985). The initial sample was purposive, (i.e. participants met certain criteria) and was chosen for several reasons. These are outlined below:-

- This was the first time such a large number of Team Leaders/Officers at the same level had been enrolled into the same series of courses at the same time (five management, one communication and one OSH Unit Standard, *Appendices 14-18*).
- This was also the first time that such a large number of Team Leaders/Officers were enrolled into an outside management course run by a Tertiary Education establishment (polytechnic). Historically management training at this level had been done internally.
- Moreover, it was also the first time the organisation had paid for *correspondence* management courses for such a large section of middle management.
- The elements and performance criteria within these courses (unit standards) were recognised as management skills that an effective Team/Leader/Officer needed and were therefore compulsory as part of their career progression.

As a consequence of this purposive selection the participants were all met certain criteria:

- All worked for the same organisation.
- All were at the same management level within the organisation.
- All were responsible for exactly the same number of Team Members (four).
- All worked to exactly the same or similar numbers and types of outputs.
- All participants were enrolled in the same number of correspondence management education and development papers (i.e. five management, one communication, one Occupational Safety and Health).

The researcher invited thirty-four Team Leaders to participate (*the number the organisation enrolled into the polytechnic management courses*) in the research study. These participant numbers have been identified as being a large enough pool for basic quantitative analyses (Bouma, 1996; Fowler, 1988; Babbie, 1990).

*The first basic rule about sample size states that about thirty individuals are required in order to provide a pool large enough for even simple kinds of analyses. The second basic rule is that you need a sample large enough to ensure that it is theoretically possible for each cell in your analytical table to have five cases full in it* (Bouma, 1996, p.128).

Because only twenty of the thirty-four Team Leaders replied (fifty-nine percent), the researcher does not believe there are sufficient numbers to generalise any findings.

Each consenting Team Leader distributed a questionnaire (*Appendix 3*) to their respective Team Members (four Team Members reported to each Team Leader) ( $20 \times 4 = 80$ ). Fifty-three Team Member questionnaires were returned. However due to the change in research design (discussed in '*Assumptions and Rationale for Research Design*'), the data obtained were not used. Instead only

the data obtained in *Section A* from the returned Team Leader questionnaires were utilised (*Appendix 2*).

### **Instrument used in quantitative phase**

The survey instrument was a questionnaire which when designed was sent to social research agency *Colmar Brunton* for suggested improvements. The reason an analyst from *Colmar Brunton* was hired to review the questionnaires was because this was the first time the researcher had conducted a survey assignment and she wanted to ensure the questions and scales used with the questions were appropriate to explore her original hypothesis. The Likert scale was used throughout to discover strength of feeling and attitude about selected aspects of the participant's job. The Likert scale asks respondents to indicate strength of agreement, or disagree with a given statement or series of statements on a five or seven point range: Answers are then scored, generally from *strongly disagree* to *strongly agree* and a measure of respondents feelings can be produced (Bell 1966, p 140-141).

The scales used for the various sections of the questionnaire are as follows:-

- (a) *Appendix 2*, Section A, numbers 1-85 inclusive used a Rating Scale 1-5 *Agree Strongly (5) to Disagree Strongly (1)*. On advice from *Colmar Brunton* the words '*don't know*', identified as '9' in the questionnaire were also added as a choice. '9' was selected because '0' did not register as a response on the computer programme. When the questionnaires were initially written it was intended that a computer programme would be used for data analysis. However due to software problems this was not possible consequently data analysis was conducted manually. On reflection the researcher believes that the inclusion of '*don't know*' was probably unnecessary given that; (a)

there was a choice of 'neither agree nor disagree' and (b) out of the eighty-five statements answered by the twenty respondents (85 x 20 = 1700), 'don't know' was chosen only five times out of a possible 1700.

Section A asks questions relating to the Team Leader's attitudes and opinions about his job, boss and organisation. It also asked participants for opinions about the organisation's commitment to education, training and personal development.

- (b) *Appendix 2*, Section A, questions 86-91 required more specific answers about how their training needs were identified. What type of training had they experienced while working in the organisation? What period of work and personal time was spent studying? What personal financial contribution they made towards their study, and an estimate of what the Team Leaders perceived the organisation's financial commitment was towards their development?
- (c) *Appendix 2*, Section B, used a frequency scale, 1-4 Always (4) Rarely or Never (1). This was a self assessment questionnaire where Team Leaders were asked to identify the number of times they believed they exhibited certain management behaviours. (*The data in this section were not used following the change in thesis focus*)
- (d) The questions were written in both positive and negative directions to avoid response bias. For example, Section A, Q2, *I am encouraged to develop my skills in my job* (positive), and Section A, Q14, *My manager makes decisions about my job that I am capable of making myself* (negative). Also as Tuckman (1978) states:

*By making the purpose of questions less obvious the indirect approach is more likely to engender frank and open responses, although it may take a greater number of indirect questions to collect information relevant to a single point* (p.198).

- (e) The questions within the questionnaire used the indirect approach so that the researcher could ask a person what he or she thought about

certain aspects of his or her job. The researcher then attempted to build inferences from patterns of responses. Building inferences from *perceived* patterns of responses can be problematic, so to help ensure objectivity, the researcher triangulated these patterns with data from the qualitative analysis.

A pilot version was conducted with eight managers within the same organisation (but not those actually involved in the research study). They were asked to review the questionnaires and check for understanding of questions. Their comments, criticisms and suggestions were taken into account in the final instrument revisions.

By conducting the initial pilot study the researcher attempted to determine whether questionnaire items possessed the desired qualities of measurement and discriminability (Borg, Gall and Gall, 1993, cited in Creswell, 1994, p. 121).

Questionnaires and covering letters were sent out to thirty-four Team Leaders. The potential respondents were scattered at different geographical locations throughout New Zealand. The questionnaire and consent form were completed, and posted back in a reply paid envelope to the pre-appointed Independent Intermediary. The Independent Intermediary separated the consent form from the questionnaire to ensure anonymity of participants. Of the thirty-four Team Leader questionnaires sent out, twenty were returned completed. Sixteen of those respondents were contacted for **Phase 2** one- to- one interviews. Only sixteen respondents were contacted and invited to participate in **Phase 2** because the researcher wanted to maintain as much anonymity as possible for the fourteen who did not reply. This was achieved because the Independent Intermediary kept the twenty consent forms.

The questionnaire contained ninety-one items. Because this was a mailed survey the first **2 phases** of Dillman's (1978), **3 phase** follow-up sequences were used: (a) Two weeks after the original mailing a reminder letter was sent; (b) Three weeks later, a letter and replacement questionnaire were sent. The Independent Intermediary sent both as only she was able to identify who replied and who did not. This follow-up procedure had only a minimal effect, that is, of the twenty replies, fifteen replied within the first two weeks, four replied after the reminder letter and one replied after the replacement questionnaire (*Appendices 2 and 9*).

## Qualitative Procedure

Outlined below, in **three steps**, is the qualitative approach used in this research study:

**(1) Setting the boundaries for the study.** The main idea of qualitative research is to **purposefully** select respondents (Creswell, 1994) who will best answer the research question(s). As was discussed in the quantitative section, these participants were chosen because all met certain criteria, and would enable the original questions raised about *transfer of learning* to be discussed.

**(2) Collecting the information through the one to one interviews.** The type of data to be collected were subjective opinions on whether or not respondents believed they had implemented in the workplace the competencies that they had learnt in their management course(s). The rationale for using one to one interviews for collecting the information was:

(a) Because some of the respondents were at geographically isolated locations, participants would not have been able to be directly observed utilising the skills. Lengthy observations on site, over a prolonged period would have



been difficult and time-consuming, hence the interviews gathered data on participants' reported experiences.

- (b) The participants were able to provide historical information, that was necessary for the second follow-up interview.
- (c) The interview technique allowed the researcher *control* over the line of questioning. Given the "dysfunctional climate" of the organisation, reported verbally by respondents at the time of the interviews, this was particularly helpful when interviewing some participants. For example, clarification on certain issues could be established with secondary questioning. Also the researcher was able to empathise with the respondents when answers to some questions raised issues and feelings of dis-empowerment. Sax (1979) states that the flexibility of the interview allows respondents the freedom to enlarge upon, retract or question items presented to them. Moreover in an interview the respondent has the opportunity to ask for further information.

One of the limitations of interviews is that the researcher's presence can bias responses. However, because the researcher was known by the participants and *trusted*, the researcher believed that the responses were in fact accurate and more factual than may normally have been obtained. Sax (1979) highlights this by stating:

*Almost all interviews attempt to develop rapport between the interviewer and the respondent. Once the respondent accepts the interview as a non-threatening situation, respondents are more likely to be open and frank. This adds to the validity of the interview (p. 233).*

According to Bogdan and Biklen (1992), another limitation of interviews is that information is provided indirectly and filtered through the views of interviewees. It could be argued that in this particular study this was of benefit to the results of the study as it helped identify "speculation, feelings, problems, ideas, hunches, impressions and prejudices" (Bogdon and Biklen 1992, p.121).

For example, one of the themes identified in the interviewing was ‘*lack of training opportunities, lack of money for training*’ (**theme 1, Box 1 p. 102**). By asking secondary questions and probing deeper into the statements made by the respondents, the researcher was able to unpack the statement. For instance, one respondent said “What training?” in response to the question about how he as a Team Leader was able to organise training and development activities for both the team and individuals within the team. (*Competency 10, skills and competencies list, selected by the Team Leader, Appendix 10, and Box 2*). The researcher was able to explore this further by asking the Team Leader to elaborate on what he meant by “what training?” The respondent then said “How can I as a Team Leader organise training and develop individuals within my team when I’m given no money, no encouragement from management and no resources to do it with?”. When the researcher asked a further secondary question: “What would you like to see happen?,” the respondent said, “I would like to see at least some of the resources readily available so that I can start to implement some of my team’s training plans. I’m frustrated with promises that never eventuate”.

Here the researcher was able to identify a possible reason why (i.e. lack of resources) the Team Leader had been **unable** to *transfer* one of his or her selected and learned competencies.

Two problems the researcher did become aware of through the qualitative phrase were: first, the way in which a question was asked, determined the response. This was particularly evident when words had different meanings for the researcher and the respondents. Second, at times, the researcher found it difficult to keep the respondent on the topic without influencing responses: Numerous responses were lengthy which made them difficult to record and summarise.

**(3) The third step** in the qualitative process was to **establish the protocol for recording the information** and giving feedback from the interviews. This is outlined below:-

Because the data collection was by interview the researcher verbally explained the process of the interview to the interviewee prior to the interview. At the end of the explanation, verbal consent to participate in the interview was again obtained from the interviewee. This gave the interviewee a second opportunity to decline to go ahead with the interview. The verbal explanation by the researcher outlined several points:-

1. What the study was about.
2. Why the researcher was doing it.
3. Who was involved.
4. How and why they were selected to participate.
5. What was involved (approximate time needed to undertake the interview).
6. The need for a second follow-up interview five to six months later.
7. Information on how feedback or verification of the interview would be given.
8. Verbal guarantee of complete confidentiality of not only interview details and transcripts but the name of the interviewee.
9. A written copy of the thirty competencies taught within the *management development courses* was given to the interviewee(s) so that they could select three competencies that they intended to implement in the workplace

(Appendix 10). The reason the Team Leaders were given a *written list* of the thirty competencies and asked to select only three was:

- (a) To ensure that the skills they wanted to transfer were being taught to them.
- (b) To jog their memory about what they were being taught. (the researcher believed that when individuals are ‘put on the spot’ some find it difficult to verbalise what they are actually learning)
- (c) To ensure the Team Leaders concentrated and recorded information on the three key competencies they had selected.

**Box 1**, p.101, is a list of the competencies the Team Leaders were learning.

**Box 2**, p. 127, Results Chapter shows the number of Team Leaders who selected each competency.

- 10. Permission was given for the participant to stop the interview at any time, or withdraw from the study at any time without the need for justification or explanation.
- 11. Participants were given a copy of the **key** research questions to be asked (*Appendix 11 and 11a*). These were explained in the *Methodology section* under *Research Questions*. A brief matrix (summary sheet) with the main questions asked is attached (*Appendix 11a, Interview One, Appendix 12 Interview Two*).
- 12. Two extra pages which accompanied these questions had (a) probes to follow the **key** research questions (b) space for recording the interviewer’s comments and (c) space in which the researcher recorded reflective notes.

13. Where the interview was taped, (three were recorded) permission was gained from the interviewee to do so. The first three interviews were taped because the researcher thought that this could ensure reliability in data recording. However this method of data collection was abandoned because the researcher believed (a) it caused the interviewees to be nervous, (b) the interviewees were concerned with what would happen to the tapes at the end of the study, and (c) The researcher came to the conclusion that it was an inappropriate method of data collection given the feelings of “distrust” that were evident in the early interviews.
14. Permission was also gained from the interviewees for the researcher to take notes. Where the interviews were on site the opportunity was given for the interviewee to read the notes (this offer was not taken up by any of the interviewees). The *raw data* (notes) collected were a summary of the respondents answers. When secondary questions were asked to tease out more information, the answers were bullet pointed to the initial summary. It was from these pages of summary data that the **thirteen themes** were extracted.

### Box 1 Competencies Studied by Team Leaders

<b>Skill And Competencies Taught Within Management Unit Standards</b>
1. Analyse work content and identify competence requirements in relation to work demands.
2. Help provide an environment within the workplace that encourages growth in others (team members)
3. Use job analysis information to identify workplace requirements for job descriptions and person specifications.
4. Produce selection criteria for recruitment to the work group.
5. Identify factors influencing the changing composition and operation of work groups and assess these factors for incorporation into work group plans.
6. Analyse team leadership and use team-building skills
7. Encourage team building and develop communication within the team.
8. Implement team-building exercises and activities and analyse their effectiveness
9. Establish training and development objectives with team and individuals.
10. Organise training and development activities for teams and individuals
11. Assess achievement of training and development objectives.
12. Develop and implement personal development plans.
13. Develop and implement strategies for managing change in the workplace.
14. Examine the relationship between organisational design and achievement of organisational goals.
15. Identify alternative organisational structures
16. Identify the impact of environmental factors on the management of organisations.
17. Identify the roles of managers within organisations
18. Apply principles of organisations to workplace operations
19. Effectively utilise physical resources
20. Supervise production of goods and or services.
21. Manage and measure workplace production.
22. Manage quality of products and services
23. Implement workplace control techniques.
24. Report on operations
25. Devise and apply strategies to establish productive working relationship with colleagues and managers.
26. Develop work groups plans to achieve equal opportunity and equity objective in the workplace.
27. Identify and minimise personal conflict in the workplace.
28. Implement and supervise employment conditions.
29. Meet legal requirements, cultural, social and equal employment responsibilities for workplace operations.
30. Organise and run a meeting

## Data Presentation and Analysis Procedures

### Quantitative Analysis

The quantitative data are presented as a series of steps.

- **Step 1** The number of questionnaire returns.
- **Step 2** Discussion on response bias.
- **Step 3** Comparing items and sections within the questionnaire.

#### Step 1

Thirty four Team Leader questionnaires were sent out along with one hundred and thirty six Team Member questionnaires. Although forty percent (fifty-three) of the Team Member questionnaires were returned, these were not used due to organisational restructuring, and the researcher's consequent decision to change the design of the study (*Appendix 4*), that is, the researcher deleted the 360 degree feedback process on the Team Leader's behaviours. This process was initially included because the researcher thought it would aid in the verification and validity process of Team Leader data (Section B of the questionnaire). Twenty of the thirty-four Team Leader questionnaires were returned. Sixteen of these twenty consenting participants were selected by the independent intermediary for one to one interviews

#### Step 2

Response bias is the effect of non-responses on survey estimates (Fowler, 1988). The procedure attempts to answer the question, *if non-respondents had responded, whether their responses would have substantially changed the overall results of the survey?* The procedure that was used was the *wave analysis* (Leslie, 1972). The researcher completed this on receipt of all the questionnaires. Upon receiving a questionnaire through the mail the Independent Intermediary detached the consent form and wrote the date she received it on the top of each questionnaire. The researcher having received all the questionnaires was then able to sort them according to the week

received, and compare the responses of selected items within each section. This was done for the first five weeks of receiving back the first questionnaire. With the change in thesis focus the procedure was abandoned with the Team Member's questionnaires, but completed with the Team Leader's questionnaires. The researcher did not find any patterns of responses differentiating the five weeks. The themes identified from the selected items were consistent across all five weeks. The researcher concluded that this could have been because the number who replied (twenty) was too small a sample to use for reliable pattern identification.

### Step 3

Raw data taken from the questionnaires was transferred to summary sheets. The summary sheets were added and frequencies were calculated for individual items (questions). The data obtained from these questionnaires was used when a triangulation of themes was conducted at a later stage in the analysis.

### Qualitative Analysis

According to Creswell (1994) there is no 'right way' for analysing data in a qualitative studies. In this study the data were collected, then simultaneously analysed, and written up. With data from thirty-two interviews, (sixteen participants interviewed twice each) the researcher had to break down the information into 'categories and themes' (Marshall and Rossman, 1989) so the researcher was then able to reinterpret them using suitable schema. Tesch (1990,1993) calls this process "de-contextualisation and re-contextualisation".

*While much work in the analysis process consists of taking apart (for instance, into small pieces), the final goal is the emergence of a larger consolidated picture (Tesch, 1990, p. 97).*

The researcher used many of the steps outlined in Tesch's (1990) "eight step process" when generating the categories and *coding the categories* (Bogdan and



Biklen, 1992) of transcripts from the interviews. A brief synopsis of the steps is given below.

1. Re-read transcripts or re-listen to the tapes, and take notes on recurrent themes.
2. Select one interview. Ask and answer pertinent questions about the information given and its meaning.
3. Repeat this exercise with four other interviews, this time selecting obvious and not so obvious topics and themes. Make a list of these topics and themes.
4. Code these topics and themes.
5. Re-read all other transcripts and relevant data and manually put the codes under the appropriate text passages.
6. Looked for interrelationships within the categories.
7. Identify the main themes and categories running through the data.
8. Complete preliminary analysis and codes, that is, number of participants verbalising similar thoughts, feelings or behaviours.

The researcher also highlighted relevant quotes throughout the transcripts or summarised notes which corresponded to the quantitative data already analysed. This helped not only in the verification process, but also the triangulation of ideas and themes, which was carried out later.

A data analysis procedure that was used and is specific to qualitative designs was that of Yin (1989):

1. When searching for 'patterns and themes' a comparison was made from the patterns with the hypothesis, that is, 'transference of learning occurs for students when the environment is right, both organisationally and personally'.
2. '*Explanation Building*': This was particularly useful within the second round of interviews. Here the researcher looked for links and explanations,

for example, the restructuring within the organisation. Was this having an effect on the behaviours, attitudes and opinions of the participants? What was the organisational climate? Did the behaviours communication and attitudes of senior management engender a culture or philosophy of valuing staff and valuing high performance? One casual link identified was the number of Team Leaders (five) who reported wanting to “*give up*” their studies as they believed it “*wasn't benefiting them*” and the “*organisation didn't value it anyway*”. These attitudes were identified at the same that time it was reported in the newspaper that the organisation intended reducing staffing levels.

3. *'Time-series'* analysis. The researcher noticed changes in thinking, behaviour and attitudes of participants from **Interview One** to **Interview Two**. The patterns corresponded with particular organisational communication for example, letters, faxes, and e-mails and also union correspondence and newspapers articles. Almost all participants duplicated these patterns of attitude and behaviour change, that is, in **Interview One** participants were positive and enthusiastic about their job, the organisation and their teams. By **Interview Two**, five to six months later, the participants were negative and angry at being informed about changes within their organisation via the newspaper rather than through internal communications. In **Interview One** the general attitude to colleagues on the union contract was ambivalence. But by **Interview Two** the general attitude was hostility. According to one Team Leader this was fuelled by “*union propaganda and senior management's apathy to our situation*”

The validity of the themes was also obtained via a cross reference to a scrapbook the researcher collected newspaper articles, from the Evening Post, Dominion and Herald. The dates and content of these articles corresponded with many of the themes within the study. For example, one participant told the researcher that the week he received his initial letter regarding termination of employment, he stopped all project work and advised his team to do the same. The researcher verified the week the termination notice was given by

the large number of newspaper articles written. Specific reference to or copies of the articles have not been included to protect the identity of the participants and the organisation studied.

### **Verification steps.**

The researcher has endeavoured to ensure that this study addressed not only the issue of internal validity but that the information matched the reality of what was happening for the participants (Merriam, 1988). Validity is concerned with “*how accurately a variable fits a concept*” ( Bouma 1996, p. 82). That is, does the variable selected adequately reflect what is important about the concept.

Outlined below are the main procedures that the researcher used.

1. To promote triangulation and cross referencing within the data collection procedures, several themes were identified within the qualitative analysis as being the major themes (*mentioned by the majority of participants*). These themes and categories were cross referenced with the results of the questionnaire Section A. For example, (a) ‘*communication within the organisation*’ was cross-referenced with **theme seven** ‘*lack of downward communication within the organisation except for work requests*’, (b) ‘*about senior management*’ was cross referenced with **theme six** ‘*no encouragement from senior management in the forms of praise, feedback or recognition*’.
2. Three of the major themes were fed-back to five of the sixteen participants to ensure that the researcher’s conclusions were accurate. Three themes rather than all thirteen, were fed back because the researcher concluded that some of the themes were sub-themes of a larger theme. For example, a larger **theme four**, ‘*lack of higher managerial support*’, had two sub-

themes: *theme five*, 'higher management lacking management and people skills', and *theme six* 'no encouragement from higher management in the forms of praise, feedback or recognition'. Also *theme seven* 'lack of downward communication within the organisation, except for work requests', had the sub-theme in *theme nine*, 'feelings of isolation, from management and other organisational employees'. At the time of data verification five participants (thirty-one percent) were considered a large enough pool for feedback to gauge whether the researcher's conclusions, hypotheses and speculations were sound or not. However in retrospect, given the observed changing emotions of the participants the researcher believes this number should have been ten (at least sixty percent).

3. The researcher discussed generalisability of findings with the five participants (mentioned above in 2). All believed that the findings could be generalised throughout the organisation. The researcher however, believed that although there was certainly consistency in themes across all participants and throughout the country, the sample may not have been a true reflection of the whole organisation; because
  - (i) No senior management were interviewed (for verification of particular claims)
  - (ii) No women were interviewed (all participants were male; because there were no women at this operational level of management with the organisation).
  - (iii) No middle management administration staff were interviewed (all participants were operational).
  - (iv) Only those on the new contract were interviewed. Those on the old
  - (v) collective contract were not interviewed because they were not enrolled into the management studies.

Consequently the researcher believes that if a generalisation was made it could only be through (a) this management level (b) this operational area of the organisation and (c) employees on the same management contract.

## Summary

**Chapter Three, (Methodology)** consisted of eight sub-sections: (1) *The Introduction*, which gave a brief synopsis of the research study *transfer of learning*. It outlined the size of the organisation, the number of participants and where they were from. (2) As with every quantitative and qualitative study there are inherent boundaries, exceptions, reservations and qualifications that need to be considered. These were identified in the *Delimitations and Limitations* section as potential weaknesses of the study. (3) *The Research Questions* recap the issues identified in the *Literature Review*, specifically, a very small percentage of training experiences are evaluated at either Level 3 or 4. Also, learning or competencies and transfer of behaviours to the workplace are influenced by many intervening variables. These variables are highlighted and the issues identified used to develop the research questions and sub-questions. (4) *Assumptions and Rationale for the Design* discusses the initial intention of the study and why the focus of the study changed. It also outlined the particular methodology that is, combined quantitative and qualitative design. (5) *The Role of the Researcher* section looked at the setting and selection of the participants and the ethical considerations adhered to, all which met the criteria set out by Massey University Human Ethics Committee. (6) *Data Collection Procedures* describes the two data collection instruments used, that is, quantitative and qualitative, the instruments used for the quantitative design and the steps and processes followed for the qualitative design. (7) *Data Analysis Procedures* summarises the steps taken for analysing the quantitative data and the method for interpreting the qualitative data. (8) Finally the *Verification Process* outlines the steps for verification, and summarises the triangulation and cross-referencing process.

## Chapter Four

### Results

#### Introduction

In this chapter the results of the study are presented. The results are presented under three separate sub-headings: -

- (1) **Phase 1 quantitative** (data)
  - (a) The demographic data
  - (b) Statistical data obtained from the questionnaires returned by twenty respondents, presented in table format.
  
- (2) **Phase 2 qualitative** (data)
  - (a) **Interview One**, list of competencies and numbers of Team Leaders who selected each.
  - (b) **Interview Two**, participants who believed they did or did not achieve their pre-selected competencies.
  - (c) Thirteen themes identified from **Interview Two**
  
- (3) **Triangulation of results**

The thirteen themes that emerged from the qualitative data (interviews) are triangulated with data obtained from the quantitative questionnaires.

The researcher proposed that the best way to explore the ‘*grand tour*’ question and sub-questions (Werner and Schoepfle, 1987) which arose out of the literature review was to use *mixed methodology*. Creswell (1994) points out that the original intent of a *mixed methodology* was to “*Link paradigms to methods*” (p. 174). The results of this study were triangulated (Denzin 1978) to (a) assist with the neutralisation of bias which may have been present in data, sources or subconscious investigator assumptions; (b) Demonstrate

convergence in results, that is, communicate concurrence of findings that may have emerged from both sets of data; and (c) illustrate overlapping of different themes. Creswell (1994) also states that:

*More recently authors have broadened the purposes for mixing methods, to include an examination of overlapping the different facets, to use the methods sequentially, to find contradictions and new perspectives, and to add scope and breadth to a study (p.189).*

The researcher used quotations from interviewees and tables as the vehicle for communicating the data and painting a holistic picture of the opinions of the participants (Team Leaders). The opinions or themes that emerged from the analysis of the interviews are triangulated with the results of the questionnaires.

A pictorial process road map is presented in Table 1.

**Table 1 Process Road Map**

Phase 1	Phase 2				
<p align="center"><b>Quantitative Process</b> (Questionnaires)</p>	<p align="center"><b>Qualitative Process</b> (One to one interviews)</p>				
<ul style="list-style-type: none"> <li>• 34 questionnaires sent</li> <li>• 20 returned</li> <li>• 20 analysed for results</li> </ul>	<ul style="list-style-type: none"> <li>• 16 of the 20 randomly selected for interviewing</li> </ul>				
	<table border="0" style="width: 100%;"> <tr> <td style="width: 50%; vertical-align: top;"> <p><b>Interview One</b></p> <p>3 competencies selected and strategies identified to achieve them.</p> <p align="center"><b>(16)</b></p> </td> <td style="width: 50%; vertical-align: top;"> <p><b>Interview Two</b></p> <p>Number of competencies believed to be achieved by each participant.</p> <p align="center"><b>(16)</b></p> </td> </tr> <tr> <td align="center" colspan="2"> <p>Interviews separated by 5 months</p> </td> </tr> </table>	<p><b>Interview One</b></p> <p>3 competencies selected and strategies identified to achieve them.</p> <p align="center"><b>(16)</b></p>	<p><b>Interview Two</b></p> <p>Number of competencies believed to be achieved by each participant.</p> <p align="center"><b>(16)</b></p>	<p>Interviews separated by 5 months</p>	
<p><b>Interview One</b></p> <p>3 competencies selected and strategies identified to achieve them.</p> <p align="center"><b>(16)</b></p>	<p><b>Interview Two</b></p> <p>Number of competencies believed to be achieved by each participant.</p> <p align="center"><b>(16)</b></p>				
<p>Interviews separated by 5 months</p>					
	<p align="center"><b>13 Themes identified</b></p>				
<p align="center"><b>Triangulation of Results</b></p>					

In *Chapter Five* the researcher *discusses* the findings in relation to the literature reviewed in *Chapter Two*. Particular emphasis is placed on the issues (concepts) identified in the final sub-section of *Chapter Two* “*main issues concerning transfer of learning*”. The final section is the *Conclusion* in



which the researcher recaps what was initially asked, draws some conclusions from what was found, and considers where these findings could be applied in similar organisational settings.

## **Phase 1**

### **Quantitative Data/Phase/Process**

#### **(1a) Demographic Data From Questionnaires (20 respondents)**

The average age of the respondents was thirty-seven years with a range from twenty to fifty. Respondents had an average of six and a half years experience in a management position, with a range from one to fifteen years. Nineteen of the respondents described their *ethnicity* as *European/Pakeha*, one participant described himself as *other* but did not specify. All twenty respondents were male. One respondent stated that his management training needs were identified by performance appraisal. Five Team Leaders had reportedly identified their own needs. Five Team Leaders used discussions with their line manager and eight did not know how their management needs had been identified.

#### **(1b) Statistical Data Obtained From the Questionnaires**

The questionnaire was divided into two sections. Section A consisted of ninety-one questions divided into eight sub-sections. These were: -

- About Your Job
- About Your Boss
- About Senior Management
- About Your Immediate Work Area
- Communication Within The Organisation
- About Your Organisation

- Education, Training And Personal Development Within The Organisation
- Demographics

Section B of the questionnaire comprised thirty-seven self-assessment questions and was titled '*Me As A Manager*'. Because of the change in focus at the early stages in the study, that is, no longer using the Team Member questionnaires (360 degree feedback process), the data obtained from this section was not used. This was because the data obtained would be useful only if substantiated by the data obtained from the Team Member questionnaires. However, given that this 360 degree competency feedback process was seen as threatening by the Team Leaders, (*reported to the Independent Intermediary*) and the environment the participants were working in was considered by the researcher to be unsupportive, the researcher discarded this 360 degree process. The hypothesis about the unsupportive environment was confirmed later in interviews by all sixteen Team Leaders (note, *Appendix 20* newspaper article).

The data obtained from Section A are an important link to the research questions (*Chapter Three*), namely, "***What organisational conditions and personal attitudes are necessary for managers to transfer the skills and knowledge they learn in management studies to their work environment?***", and "***Is it necessary for organisations to have optimal preconditions for learning so that transfer occurs?***"

The data obtained from Section A are reported under each of the sub sections. However, as there were ninety-one questions in this section not all data are presented. The researcher has selected what she believed to be the most pertinent questions that illustrate the findings in each subsection.

***About Your Job***

Data from this subsection indicated that the majority of respondents (fifteen out of the twenty) were satisfied with their jobs:

**Table 2 Question 10**  
***“Overall I am satisfied with my job”***

<b>Agree Strongly</b>	<b>Agree</b>	<b>Neither Agree Nor Disagree</b>	<b>Disagree</b>	<b>Disagree strongly</b>	<b>Don't Know</b>
<b>1</b>	<b>14</b>	<b>2</b>	<b>2</b>	<b>1</b>	<b>0</b>

The majority of respondents also understood what their job involved and what was expected of them.

**Table 3 Question 3**  
***“I have a clear idea of what I am expected to do in my job”***

<b>Agree Strongly</b>	<b>Agree</b>	<b>Neither Agree Nor Disagree</b>	<b>Disagree</b>	<b>Disagree strongly</b>	<b>Don't Know</b>
<b>4</b>	<b>9</b>	<b>4</b>	<b>2</b>	<b>1</b>	<b>0</b>

Similar number of respondents (seven out of twenty) believed that they were overworked (*Table 4*), and or believed they had too many unreasonable deadlines (*Table 5*). However responses to these questions were equivocal as respondents also disagreed with the statement in similar proportions.

**Table 4 Question 9**  
***“Most of the time I have too much work to do”***

<b>Agree Strongly</b>	<b>Agree</b>	<b>Neither Agree Nor Disagree</b>	<b>Disagree</b>	<b>Disagree strongly</b>	<b>Don't Know</b>
<b>1</b>	<b>6</b>	<b>6</b>	<b>6</b>	<b>1</b>	<b>0</b>

**Table 5 Question 5**  
***“There are too many unreasonable deadlines in my job”***

Agree Strongly	Agree	Neither Agree Nor Disagree	Disagree	Disagree strongly	Don't Know
1	5	5	7	2	0

***About Your Boss***

Approximately half of the respondents believed their boss respected them as individuals. A quarter were undecided while a quarter disagreed with the statement (*Table 6*).

**Table 6 Question 15**  
***“My boss treats me with respect”***

Agree Strongly	Agree	Neither Agree Nor Disagree	Disagree	Disagree strongly	Don't Know
3	7	5	2	3	0

However data showed that the respondents did not believe that their immediate manager was effective at motivating staff. Only three respondents agreed with the statement (*Table 7*). Seven had no opinion and one didn't know.

**Table 7 Question 24**  
***“My immediate boss does a good job at motivating staff”***

Agree Strongly	Agree	Neither Agree Nor Disagree	Disagree	Disagree strongly	Don't Know
1	2	7	3	6	1

In contrast the data showed that more than half of respondents (twelve out of twenty) believed they had a good working relationship with their boss (*Table 8*):

**Table 8 Question 20**  
***“I have a good working relationship with my boss”***

<b>Agree Strongly</b>	<b>Agree</b>	<b>Neither Agree Nor Disagree</b>	<b>Disagree</b>	<b>Disagree strongly</b>	<b>Don't Know</b>
<b>3</b>	<b>9</b>	<b>5</b>	<b>3</b>		<b>0</b>

However *Table 9* indicates that respondents were divided on whether or not their boss did his or her job well:

**Table 9 Question 17**  
***“My immediate boss does his or her job well”***

<b>Agree Strongly</b>	<b>Agree</b>	<b>Neither Agree Nor Disagree</b>	<b>Disagree</b>	<b>Disagree strongly</b>	<b>Don't Know</b>
<b>1</b>	<b>5</b>	<b>7</b>	<b>6</b>	<b>1</b>	<b>0</b>

### ***About Senior Management***

Data indicated a division between senior management and employees (*Table 10*). All but two respondents agreed with the statement “*there is a “us and them” between management and other employees*”:

**Table 10 Question 32**  
***“There is a “us and them” between management and other employees”***

Agree Strongly	Agree	Neither Agree Nor Disagree	Disagree	Disagree strongly	Don't Know
6	12	1	1		0

Respondents clearly felt that senior management **did not** “act on issues raised by staff” (Table 11).

**Table 11 Question 33**  
***“I believe senior management usually acts on the issues raised by staff”***

Agree Strongly	Agree	Neither Agree Nor Disagree	Disagree	Disagree strongly	Don't Know
0	0	11	7	2	0

### ***About Your Immediate Work Area***

The sub-section labelled “about your immediate work area” asked the respondents their thoughts in regard to people in their work area, staff morale and enthusiasm, teamwork, co-operation between work groups and customer service both internal and external. As the data in the tables indicate, the majority of respondents believed that their work colleagues *do a good job* (Table 12), *provide excellent customer service* (Table 13) and *work well as a team* (Table 14).

**Table 12 Question 39**  
***“People in my work area do a good job”***

Agree Strongly	Agree	Neither Agree Nor Disagree	Disagree	Disagree strongly	Don't Know
3	11	6	0	0	0

**Table 13 Question 48**  
***“My work area provides excellent service to our external customers (the public, the government)”***

Agree Strongly	Agree	Neither Agree Nor Disagree	Disagree	Disagree strongly	Don't Know
3	10	6	1	0	0

**Table 14 Question 40**  
***“People in my work area work well as a team”***

Agree Strongly	Agree	Neither Agree Nor Disagree	Disagree	Disagree strongly	Don't Know
5	8	7	0	0	0

However, the data (*Table 15*) also illustrated that staff morale was perceived to be poor by half the respondents and good by only a fifth.

**Table 15 Question 41**  
***“Morale in my work area is good”***

Agree Strongly	Agree	Neither Agree Nor Disagree	Disagree	Disagree strongly	Don't Know
1	3	5	7	4	0

### ***Communication Within The Organisation***

The sub-section called “*communication within the organisation*” looked at respondents’ opinions on general organisational communication. Did they believe that they were *kept fully informed about changes affecting their job?* (Table 16). How did they hear about things happening within the organisation? *Was communication heard via radio and newspaper first?* (Table 17), and did respondents believe they *were given the opportunity to say what they wanted in staff meetings?* (Table 18).

**Table 16 Question 51**  
***“I am kept fully informed about changes affecting my job”***

Agree Strongly	Agree	Neither Agree Nor Disagree	Disagree	Disagree strongly	Don't Know
0	3	7	9	1	0

**Table 17 Question 54**  
***“I often hear about things happening within the organisation through the radio and newspaper first”***

Agree Strongly	Agree	Neither Agree Nor Disagree	Disagree	Disagree strongly	Don't Know
5	11	3	1	0	0



**Table 18 Question 59**  
**“I get the opportunity to say what I want at team/staff meetings”**

Agree Strongly	Agree	Neither Agree Nor Disagree	Disagree	Disagree strongly	Don't Know
3	10	5	2	0	0

Although two thirds of respondents agreed that they were able to express their opinion at meetings (*Table 18*) few experienced good communication within the organisation. For example *Table 16*, shows that half of the respondents believed they “*were not kept fully informed about changes affecting their job.*” Under a quarter of the twenty respondents believed they *were* kept informed. *Table 17* supports these results with over three quarters of the respondents believing they first “*heard about events and happenings within their organisation via the media.*”

### ***About Your Organisation***

The sub-section entitled ‘*about your organisation*’ looked at respondents’ opinions in relation to the ‘*big picture*’, for example, whether or not respondents felt proud to work for the organisation (*Table 19*), and their belief in the organisation’s ability to provide good customer service (*Table 20*), their belief in organisational efficiency (*Table 21*), and finally whether their organisation, is a good employer (*Table 22*).

**Table 19 Question 61**  
***“I am proud to say I work for our organisation”***

<b>Agree Strongly</b>	<b>Agree</b>	<b>Neither Agree Nor Disagree</b>	<b>Disagree</b>	<b>Disagree strongly</b>	<b>Don't Know</b>
<b>8</b>	<b>7</b>	<b>5</b>	<b>0</b>	<b>0</b>	<b>0</b>

Three quarters of the respondents experienced pride in working for the organisation, none disagreed with the statement (Table 19).

**Table 20 Question 74**  
***“Our organisation provides good customer service”***

<b>Agree Strongly</b>	<b>Agree</b>	<b>Neither Agree Nor Disagree</b>	<b>Disagree</b>	<b>Disagree strongly</b>	<b>Don't Know</b>
<b>2</b>	<b>8</b>	<b>6</b>	<b>4</b>	<b>0</b>	<b>0</b>

Half of the twenty respondents believed the organisation provided good customer service, only a fifth of respondents disagreed with this (Table 20).

**Table 21 Question 70**  
***“There is a lot of doubling up of work within the organisation”***

<b>Agree Strongly</b>	<b>Agree</b>	<b>Neither Agree Nor Disagree</b>	<b>Disagree</b>	<b>Disagree strongly</b>	<b>Don't Know</b>
<b>4</b>	<b>10</b>	<b>4</b>	<b>2</b>	<b>0</b>	<b>0</b>

Nearly three quarters of the twenty respondents believed there was doubling up of work within the organisation (Table 21).

**Table 22 Question 6**  
***“Overall, the organisation is a good employer”***

<b>Agree Strongly</b>	<b>Agree</b>	<b>Neither Agree Nor Disagree</b>	<b>Disagree</b>	<b>Disagree strongly</b>	<b>Don't Know</b>
	7	5	3	5	0

Although three quarters had expressed pride in working for the organisation (Table 19) only seven out of twenty believed the organisation was a good employer. (Table 22).

***Education, Training And Personal Development Within The Organisation***

The final sub-section ***“education, training and personal development within the organisation”*** asked the respondents for their opinion on whether they thought the organisation was committed to developing their people in both the operational skills (Table 23) and the management skills they needed to do their job well (Table 24).

**Table 23 Question 78**  
***“I believe the organisation is committed to developing its people with the appropriate operational training they need.”***

<b>Agree Strongly</b>	<b>Agree</b>	<b>Neither Agree Nor Disagree</b>	<b>Disagree</b>	<b>Disagree strongly</b>	<b>Don't Know</b>
1	3	7	6	3	0

**Table 24 Question 79**  
**“I believe the organisation is committed to developing its people  
 with the appropriate management training they need ”**

Agree Strongly	Agree	Neither Agree Nor Disagree	Disagree	Disagree strongly	Don't Know
	3	7	7	3	0

Data showed that half the respondents believed the organisation was not committed to developing its people, whether through (addressing) operational skills (*Table 23*) or management skills (*Table 24*). Of the twenty respondents only one fifth (*Tables 23 and Table 24*) believed that the organisation was committed to people development.

To summarise, the findings of the **Phase 1**, questionnaires, revealed the following:

- (a) All twenty respondents were male and (reportedly) worked at the same management level within the organisation. Respondents had an average of six and a half years management experience, and nineteen stated they were European.
- (b) The respondents enjoyed their job and believed that they and their team worked well together to provide good customer service. Although they believed their efforts were valued by their customers, they did not believe that their work, or their team's work, were valued by senior management. The results indicated a strong perception of “*them and us*” between management and staff. The results indicated poor organisational communication with only three respondents believing they were kept informed of changes affecting their job. Moreover three quarters of the respondents indicated they found out about organisational “*happenings*” through the media. Although the respondents believed they were given the

opportunity to speak up about issues (*Table 18*), the results showed that none believed senior management acted on any of the issues raised (*Table 11*). Morale was low (*Table 15*). Indeed only one third of the respondents believed the organisation was a good employer, and only one fifth believed the organisation showed commitment to developing its people. The results also indicated that the doubling up of work was an issue (*Table 21*). The researcher hypothesised that management may have been aware of this issue, but given that the results indicated management did not act on issues raised, then organisational strategies such as “*double loop learning*” would not have been implemented.

The researcher concluded that the respondents believed they and their teams delivered very good customer service despite what were perceived as poor organisational conditions, poor senior management support and poor organisational communication. The questions that need to be asked here are: Were there optimal organisational preconditions for learning? If so, what were they? If not, what were the inhibitors? According to the literature review *transfer of learning* is encouraged through *senior management support, open communication, employees feeling listened to, acknowledged and respected* by senior management. The results here showed the opposite, that is, poor communication to employees, a perception of “them and us,” low staff morale and a belief from respondents that the organisation was not committed to developing them.

## Phase 2

### Qualitative Data/Phase/Process

#### (2a) Results from Interview One

In **Interview One** the Team Leaders (N=16) were asked to select three competencies out of the thirty they were studying, which they believed they could implement on the job. (**Box 2**).

The researcher hypothesised that the results obtained from this study would answer help the question, "*What organisational conditions and personal attitudes are necessary for managers to transfer the skills and knowledge they learn in management studies to their work environment*"?

Consequently in **Interview One**, the researcher asked each of the sixteen Team Leaders the following questions (1) Identify three competencies you believe you could implement (Box 2). (2) How would you implement these? (3) What strategies would you use? (4) What do you believe the perceived outcomes would be? (5) What indicators would you expect to see that would suggest that you had achieved your objectives? Appendix 21 provides a summary of data obtained from questions 2,3,4,and 5.

### Box 2 Competencies Selected by Team Leaders

Skills And Competencies Taught Within Management Unit Standards	No. of Team Leaders who Selected each Competency	No. of Team Leaders who achieved each competency
1. Analyse work content and identify competence requirements in relation to work demands.		
2. Help provide an environment within the workplace that encourages growth in others (team members)	1	
3. Use job analysis information to identify workplace requirements for job descriptions and person specifications.		
4. Produce selection criteria for recruitment to the work group.		
5. Identify factors influencing the changing composition and operation of work groups and assess these factors for incorporation into work group plans.		
6. Analyse team leadership and use team-building skills	1	
7. Encourage team building and develop communication within the team.		
8. Implement team-building exercises and activities and analyse their effectiveness		
9. Establish training and development objectives with team and individuals.	7	5
10. Organise training and development activities for teams and individuals	6	2
11. Assess achievement of training and development objectives.		
12. Develop and implement personal development plans.	5	3
13. Develop and implement strategies for managing change in the workplace.	5	1
14. Examine the relationship between organisational design and achievement of organisational goals.		
15. Identify alternative organisational structures	1	
16. Identify the impact of environmental factors on the management of organisations.	1	1
17. Identify the roles of managers within organisations		
18. Apply principles of organisations to workplace operations		
19. Effectively utilise physical resources	3	2
20. Supervise production of goods and or services.		
21. Manage and measure workplace production.	1	
22. Manage quality of products and services		
23. Implement workplace control techniques.		
24. Report on operations		
25. Devise and apply strategies to establish productive working relationships with colleagues and managers.	7	1
26. Develop work group plans to achieve equal opportunity and equity objectives in the workplace.		
27. Identify and minimise personal conflict in the workplace.	4	
28. Implement and supervise employment conditions.		
29. Meet legal requirements, cultural, social and equal employment responsibilities for workplace operations.	6	3
30. Organise and run a meeting.		
<b>TOTALS</b>	<b>48</b>	<b>18</b>

The competencies selected by the Team Leaders (Box 2) showed a clustering falling within three main areas. (a) *team and individual* (b) *communication and change management* (c) *management workplace responsibilities*.

(a) *team and individual development*

Competency		No. of Team Leaders who selected this competency	No. of Team Leaders who achieved this competency
2	Help provide an environment within the workplace that encourages growth in others (team members)	1	0
9	Establish training and development objectives with teams and individuals	7	5
10	Organise training and development activities for teams and individuals	6	2
12	Develop and implement personal development plans	5	3

(b) *communication and change management*

Competency		No. of Team Leaders who selected this competency	No. of Team Leaders who achieved this competency
25	Devise and apply strategies to establish productive working relationships with colleagues and managers	7	1
27	Identify and minimise personal conflict in the workplace	4	0
13	Develop and implement strategies for managing change in the workplace	5	1

(c) *management workplace responsibilities*

Competency		No. of Team Leaders who selected this competency	No. of Team Leaders who achieved this competency
16	Identify the impact of environmental factors on the management of organisations	1	1
19	Effectively utilise physical resources	3	2
21	Manage and measure work place production	1	0
29	Meet legal requirements, cultural, social and equal employment responsibilities for workplace operations	6	3

The researcher hypothesised that the Team Leaders selected competencies within these three main areas was because; (1) they were new Team Leaders full of enthusiasm and energy and wanted to develop their teams to be the best they could, (2) as stated by one Team Leader they believed they and their teams “*were being watched*”. Consequently, both his and the team’s communication and behaviours needed to reflect “*absolute professionalism*”.



One surprising omission that the researcher thought may have been selected, but was not, was “*team-building*”, for example,

Competency		No. of Team Leaders who selected this competency	No. of Team Leaders who achieved this competency
6	Analyse team leadership and use team-building skills	1	1
7	Encourage team-building and develop communication within the team.	0	0
8	Implement team-building exercises and activities and analyse their effectiveness	0	0

Only one Team Leader selected competency number six, yet given that the teams and Team Leaders were all new, the researcher had earlier hypothesised that the Team Leader strategy would be to pull the team together first, then simultaneously develop Team Members while dealing with any communication and conflict issues that may have occurred within the team and outside the team. It could be argued that a strong bonded team is easier to manage, develop and communicate with than one that is not united.

## **(2b) Results from Interview Two**

In **Interview Two**, conducted five months after interview one, each of the sixteen participants were asked the following questions: (1) What were the three competencies you chose? (2) Do you believe you achieved the hypothesised outcomes with each competency? (3) If so, what were the indicators of this? (4) What helped you achieve these outcomes? (5) What environmental influences were there, and what helped you? (6) If you **did not** achieve the hypothesised outcomes, what would have helped you? And finally, (7) Can you describe the environmental influences both micro and macro? (Appendix 22 contains a summary of the data obtained from **Interview Two**)

Of the *sixteen* participants only *two* believed they were able to achieve all *three* competencies, *six* believed they achieved *two* competencies and *eight* participants believed they achieved none of their pre-selected competencies. A pattern of achievement emerged (**Box 2**, p. 131), the most successful reported achievement areas were:

- (a) *Individual and team development*. Of the seven who chose number 9, five respondents believed they obtained this competency. Three of the five respondents believed they achieved competency number 12 and two of the six respondents believed they achieved competency number 10.
- (b) *Management workplace responsibilities*. Two of the three believed they achieved competency number 19, and three of the six respondents believed they achieved competency number 29.

Of the forty-eight competencies selected by the sixteen participants only eighteen were reported to have been achieved (**Box 2**, p. 131).

In addition, the participants cited and described many ‘influences’ that contributed to their ability or inability to achieve the pre-selected competencies. These influences ranged from “*lack of organisational support*” to “*low personal motivation and enthusiasm*”. **Box 3**, summarises the thirteen themes that the researcher identified from an analysis of data obtained from the participants’ interviews, together with the number of interviewees who discussed issues relating to the thirteen themes. Of these, themes three to thirteen were perceived to have a negative influence on the ability to transfer the selected competencies.

## (2c) Themes Identified from Interview Two

**Box 3 Themes Identified**

<b>Theme</b>	<b>Number of interviewees who discussed this theme.</b>
1. Love of the job itself (coupled with frustration about the dysfunctional organisation).	16
2. Team members supporting each other and sharing a collective pride.	7
3. An unstable working environment (organisational restructure).	16
4. Lack of senior managerial support.	16
5. A lack of management and people skills among senior management.	8
6. Lack of encouragement from higher management in the forms of praise, feedback or recognition.	11
7. Lack of downward communication within the organisation except for work-requests.	16
8. De-motivated and disgruntled team members.	16
9. Feelings of isolation, from management and other organisational employees (feelings of “ <i>them and us</i> ”).	16
10. Lack of trust for management (feelings of being let down and being used).	16
11. Lack of training opportunities.	10
12. Tight budgets constraints coupled with bureaucratic rules have stifled innovation and enthusiasm for new project development.	7
13. Lack of expenditure on needed resources.	9

## (3) Triangulation of Results

Below, interview extracts are used to substantiate each of the thirteen themes.

The themes are presented in order, one to thirteen, and each theme has been triangulated with a relevant question from the **Phase 1**, questionnaire analysis.

The results from the questionnaire are repeated here in table form.

## Theme One

### Love Of The Job Itself

**Table 25 Question 1**  
*“I really enjoy my job”*

Strongly Agree	Agree	Neither Agree Nor Disagree	Disagree	Disagree Strongly	Don't Know
4	14	0	1	1	0

Fourteen of the sixteen participants interviewed in **Phase 2** said they really enjoyed the job itself, but disliked “*working in an organisation which did nothing to discourage disharmony amongst its employees*”. Several participants described the infighting as behaviours associated with employees “*feeling threatened*”.

One of the issues identified in *Chapter Two* was of employees “*feeling disempowered through organisational restructure*”. Barger and Kirby (1995) talk about *disorientation, confusion* and *anxiety* for people going through change. Although people may love their job, they feel powerless to be able to influence or control the uncertainty around them. This is depicted in a statement made by one Team Leader:

*“Things were bad enough between us and the DI's! (Expired contract workers) Then the organisation had to sack us all, and that has really put the cat amongst the pigeons because we all now have to reapply for our jobs. Now not only do the DI's feel insecure but so do some of us. What really makes me sick is the fact we all really like what we do, that's why we chose this job!”*

## *Theme Two*

### *Collective Pride in Team Members and their Work*

**Table 26 Question 43**  
***“People in my work area are proud of what they do”***

<b>Strongly Agree</b>	<b>Agree</b>	<b>Neither Agree Nor Disagree</b>	<b>Disagree</b>	<b>Disagree Strongly</b>	<b>Don't Know</b>
<b>2</b>	<b>13</b>	<b>3</b>	<b>2</b>	<b>0</b>	<b>0</b>

Several such comments voiced were:

*“I love to see the smile on people’s faces when we do something for them that I know others within the organisation would not bother to do”*

*“As you know, I’ve been with the organisation a while, but I can honestly say that until I became a Community Safety Team Leader (CST), none of my crews were ever given any thing like as many goodies of gratitude from members of the public. Which tells me, we must be doing a good job. We get cakes and chocolates - you name it....”*

These comments support the results obtained from the quantitative data (Table 26), where three-quarters of the respondents believed that *“people in their work area were proud of what they did”*

### Theme Three

#### Unstable Working Environment (Organisational Restructure).

Table 27 Question 68  
 “Change is being managed well within our organisation?”

Strongly Agree	Agree	Neither Agree Nor Disagree	Disagree	Disagree Strongly	Don't Know
0	0	0	12	8	0

Restructuring or downsizing is a way of life, as Knowdell, et al (1994) point out:

*The downsizing epidemic is not limited to high-tech firms ... .. As the daily stories in the Business Press have been attesting for several years, no one's job is safe from the downsizing axe. Even competent skilled employees, of whatever age are vulnerable. (p. 2)*

According to the authors many employees who lose their job or feel affected by organisational restructuring go through predictable stages of emotion associated with career loss. The stages include *shock, immobilisation, disbelief, anger bargaining, frustration* and finally *grieving*. The researcher believed that all sixteen participants in this study were in various phases of the first four stages, *shock, immobilisation, disbelief* and *anger*. This assumption was made because of (a) the results in *Table 27*, where all twenty respondents believed “*change was not being managed well within the organisation*”, and (b) the researcher noted a rapid decline in the participants' enthusiasm for their management studies from **Interview One** to **Interview Two**. For example, in **Interview One**, several of the participants were making inquiries as to what extra papers they needed to do to complete the “*Certificate in*

*Supervisory Management*". Four of the participants reported getting programme costs and copies of the programme outline, which included the compulsory papers, and optional papers required to complete the Certificate. Motivational statements such as "*another eighteen months and I will have this Certificate finished*" or "*I'm going to ask the chief, if I spend the time at it, will the organisation pay?*" were made by several Team Leaders. By **Interview Two**, (*five months later*) the researcher believed that participant attitudes had changed dramatically. For example, four of the participants said they had "*dropped out*" of their management studies due to the "*way they were feeling*." Another Team Leader said "*Unfortunately I haven't been able to concentrate on my units (management training) because of the restructure. Once we all got the sack, I thought what the heck, why bother?*".

The researcher suggests that the feelings and behaviours (that is, Team Leaders withdrawing from their studies) were expressed as a direct consequence of the restructuring that was taking place within the organisation. As highlighted by Reichheld (1996), organisational restructuring or downsizing is one of the *barriers to transfer of learning* (p. 61 above).

## ***Theme Four***

### ***Lack of Senior Managerial Support***

The data presented in *Table 28* support **theme four** "*lack of senior management support*". Three-quarters of the respondents did not believe management "*genuinely listened to the needs of employees*". Only one of the twenty respondents believed they did. *Table 29* also supports **theme four**, with over half (eleven) respondents stating that "*their boss did not support them when things went wrong*".

**Table 28 Question 31**  
**“Senior management genuinely listens to the needs of employees”**

Strongly Agree	Agree	Neither Agree Nor Disagree	Disagree	Disagree Strongly	Don't Know
0	1	2	8	7	2

**Table 29 Question 16**  
**“My immediate boss gives me support when things go wrong”**

Strongly Agree	Agree	Neither Agree Nor Disagree	Disagree	Disagree Strongly	Don't Know
0	4	5	6	5	0

All sixteen Team Leaders interviewed discussed a *“lack of senior managerial support”* and ten identified this theme as having a *direct impact*, or a *negative influence*, in the achievement of their pre-selected competencies.

Six Team Leaders mentioned the *“obvious invisibility of higher management”*. One Team Leader stated that *“the only time higher management shows a face is for disciplinary matters”*. Two Team Leaders thought managerial support was *“minimal to non-existent”*. One Team Leader commented that *“management pays lip-service to our needs. They are not interested in us, they only want to win their fight with the union at any cost”*. Two Team Leaders believed their immediate boss was *“the meat in the sandwich”*.



Four Team Leaders believed their immediate bosses were trying to either “*keep a low profile*”, “*sitting on the fence*”, “*trying to please top management*” or “*ducking for cover*”.

These comments also highlight **Issue 2** ‘*mistakes are part of the learning process*’ (see also p. 61 above). Garratt (1997) suggested that employees do not admit mistakes for fear of no management support. The data presented in *Table 29* substantiate this theory. More than half of the twenty respondents did not believe they obtained support from their manager when things went wrong. Less than a quarter believed they obtained support.

### ***Theme Five***

#### ***Senior Management Lacking Management and People Skills***

*Table 30* shows over half of the respondents did not believe the “*management of the organisation was good.*” These data directly support **theme five** in which eight of the sixteen participants thought “*senior management lacked management and people skills*”

**Table 30 Question 36**  
**“Overall the management of our organisation is good”**

<b>Strongly Agree</b>	<b>Agree</b>	<b>Neither Agree Nor Disagree</b>	<b>Disagree</b>	<b>Disagree Strongly</b>	<b>Don't Know</b>
<b>0</b>	<b>1</b>	<b>6</b>	<b>9</b>	<b>3</b>	<b>1</b>

Comments from these eight participants indicated that top management had either “*dinosaur management skills*”, as in “*control orientated*”, or just “*poor people skills*”, as in “*uncommunicative*” and “*aloof.*”

Four of the sixteen participants interviewed perceived that their manager(s) were either “*trying hard*”, “*genuinely wanting to open up communication lines*”, “*Working hard at breaking down the barriers*”, were “*as helpful as they could be given their own constraints from above*”, or were “*openly admitting their own frustration*”.

The researcher gained the impression that the Team leaders sympathised with the “constraints” their managers were under, but felt frustrated and annoyed with the lack of direction and what was perceived as “*archaic management styles*”.

### ***Theme Six***

#### ***Lack of Encouragement from Higher Management in the Forms of Either Praise, Recognition Or Feedback.***

One of the concepts in *positive transfer of learning* (discussed in *Chapter Two*, p. 35) was *employees receiving feedback and believing they are supported by management*. In fact Broad and Newstrom (1992, p. 8) rated ‘*feedback from managers*’ as one of the top three influences on transfer. Results from *Question 2, Table 31* indicate that fourteen of the sixteen respondents **did not** believe they ‘*received regular feedback from their managers*’.

Triangulation of ***theme six*** with the qualitative data obtained reinforce this, that is to say, eleven of the sixteen participants expressed ‘*lack of encouragement from higher management in the forms of either praise feedback or recognition*’. Garratt (1997) maintains that lack of employee support or recognition can block the ability to learn.

**Table 31 Question 27**  
***“My immediate boss regularly tells me how I am doing”***

<b>Strongly Agree</b>	<b>Agree</b>	<b>Neither Agree Nor Disagree</b>	<b>Disagree</b>	<b>Disagree Strongly</b>	<b>Don't Know</b>
<b>0</b>	<b>2</b>	<b>4</b>	<b>11</b>	<b>3</b>	<b>0</b>

Again, triangulation of *theme six* with the quantitative data from *Question 29*, *Table 32 “My immediate boss has set me clearly defined goals”*, and *Question 30*, *Table 33, “My immediate boss has measured my performance against these goals”*, show consistency of response. The majority of respondents believed that they not only lacked clearly defined goals, but their manager gave them no feedback on “*how they were doing*”

**Table 32 Question 29**  
***“My immediate boss has set me clearly defined goals”***

<b>Strongly Agree</b>	<b>Agree</b>	<b>Neither Agree Nor Disagree</b>	<b>Disagree</b>	<b>Disagree Strongly</b>	<b>Don't Know</b>
<b>0</b>	<b>2</b>	<b>4</b>	<b>10</b>	<b>3</b>	<b>1</b>

**Table 33 Question 30**  
***“My immediate boss has measured my performance against these goals”***

<b>Strongly Agree</b>	<b>Agree</b>	<b>Neither Agree Nor Disagree</b>	<b>Disagree</b>	<b>Disagree Strongly</b>	<b>Don't Know</b>
<b>0</b>	<b>1</b>	<b>4</b>	<b>10</b>	<b>3</b>	<b>2</b>

Only two out of twenty respondents believed they had clearly defined goals (Table 32) and only one out of twenty reported believing their ‘*performance was measured against goals*’.

### ***Theme Seven***

#### ***Lack of downward communication within the organisation except for work-requests.***

How important is communication within an organisation? Research suggests that good communication creates a sense of employee purpose and personal motivation (Argyris, 1985,1994; Recardo, 2000).

**Table 34 Question 56**  
***“I believe the communication within the organisation is good”***

<b>Strongly Agree</b>	<b>Agree</b>	<b>Neither Agree Nor Disagree</b>	<b>Disagree</b>	<b>Disagree Strongly</b>	<b>Don't Know</b>
<b>0</b>	<b>2</b>	<b>4</b>	<b>4</b>	<b>10</b>	<b>0</b>

*Table 34* shows that nearly three-quarters of the twenty respondents believed communication was not good within the organisation. In **Interview Two**, all sixteen participants expressed a concern about the lack of communication within the organisation and the negative consequences of this, the effect it had on staff morale, and general work ethic. Seven of the participants cited *theme seven*, as having a direct influence on their inability to achieve their competencies, (*Appendix 21*), as evidenced in the following comments:

*“There is no downward communication whatsoever”.*

*“Nobody knows what’s going on, consequently only what has to be done is getting done”.*

*“In the absence of communication, stuff is made up - who knows what to believe and who cares”.*

*“Sorry but due to not knowing what’s happening with us, I’ve lost interest in this organisation and my studies”.*

These comments emphasise the need for organisations to create a climate for learning (Rouciller and Golstein,1993), As mentioned in the Literature Review (p. 48) one of the main ingredients for a learning climate is “*open communication*” (Recardo 2000).

Comments such as the ones below indicate that communication, identified by researchers (Argyris1985, 1994; and Recardo 2000) as a pre-requisite for a learning climate, is not good within the participants’ organisation.

*“Anything I hear is only through the grape-vine, I am reluctant to pass this on to my team because I’m pretty sure most of what I hear isn’t true”*

*“The lack of communication and lack of knowing what’s happening to us all has caused even the most positive people to become disinterested now. They come to work get their money and go home”.*

Similarly, to Garratt (1997):

*A non-learning organisation's energy is diverted into hiding the truth rather than doing something about it. The non-learning organisation abuses the energies of its people. Downward communication is minimal to non-existent (p. 27).*

### ***Theme Eight***

#### ***De-motivated and disgruntled team-members.***

Many of the answers in the questionnaire (quantitative data) verify **theme eight, de-motivated and disgruntled Team Members**. For example, *Table 35, Question 69*, and *Table 36, Question 73* both show that over half of the respondents **did not** believe that "co-operation between work areas was good". All sixteen participants interviewed spoke about the difficulties of motivating their Team Members. They said Team Members were *de-motivated, disgruntled and frustrated* with lack of senior management support and political interference which one Team Manager reported was "stifling progression and resolution to internal differences."

**Table 35, Question 69**  
**"Overall Management is very supportive of employees"**

<b>Strongly Agree</b>	<b>Agree</b>	<b>Neither Agree Nor Disagree</b>	<b>Disagree</b>	<b>Disagree Strongly</b>	<b>Don't Know</b>
<b>0</b>	<b>1</b>	<b>4</b>	<b>10</b>	<b>5</b>	<b>0</b>

**Table 36 Question 73**  
***“There is good co-operation between work areas”***

<b>Strongly Agree</b>	<b>Agree</b>	<b>Neither Agree Nor Disagree</b>	<b>Disagree</b>	<b>Disagree Strongly</b>	<b>Don't Know</b>
<b>0</b>	<b>3</b>	<b>5</b>	<b>7</b>	<b>5</b>	<b>0</b>

All the Team Leaders stated they were finding it challenging to motivate their staff. They cited the organisational restructuring as the major negative influencing factor, coupled with long standing unresolved issues with other staff members (i.e. *employees on a separate collective contract*). Some Team Leaders discussed issues of *“other staff members refusing to work with them”*, being *“personally victimised”*, and even having their *“personal property damaged”*.

Some of the comments related to this theme made by Team Leaders were

- “Everything is on hold at the moment according to my chief. It's been like that for the last year. Whenever you want to do anything there is always a reason why you can't - great motivator - don't you think?”*
- “A very depressing organisation to work in, I can't wait for my shift to end, I know all my team and other teams feel the same”.*
- “No one is happy: They just turn up, do their job and go home. The spirit has gone out of us”.*
- “Since I last talked to you things have gone from bad to worse, I haven't been able to finish my management studies due to the fact that I'm so busy supporting the rest of the team”.*

This last statement was mentioned to the researcher several times, and she understands that all sixteen of the participants asked the Polytechnic for a one year extension of time to complete their studies. In this regard, Reichheld (1996) believes that organisational restructuring is one of the *barriers to transfer of learning*. Barger and Kirby (1994), and Knowdell Bradstead and Moravec (1994) suggest this is because employees feel a large sense of loss which manifests itself in behaviours such as work apathy and learning apathy.

### ***Theme Nine***

***Feelings of isolation, from management and other organisational employees (strong feeling of “them and us”).***

Table 37, Question 32 shows that almost all respondents (*eighteen out of twenty*) believed there was an “*us and them*” feeling between management and other employees.

**Table 37, Question 32**  
***“There is an “us and them” feeling between management and other employees”***

<b>Strongly Agree</b>	<b>Agree</b>	<b>Neither Agree Nor Disagree</b>	<b>Disagree</b>	<b>Disagree Strongly</b>	<b>Don't Know</b>
<b>6</b>	<b>12</b>	<b>1</b>	<b>1</b>	<b>0</b>	<b>0</b>

These data correspond with ***theme nine***. *“feelings of isolation, from management and other organisational employees” that is, strong feelings of*



*them and us*). The researcher noted that all sixteen interviewees talked about their feelings of isolation. Comments such as the ones below were common.

*“If you treat people badly, people behave badly”.*

*“The organisation’s a mess”.*

*“The DI’s are still going out of their way to be difficult at work – management just ignore it. It’s like we are invisible”.*

*“There’s not support and no communication at all”.*

*“We have really been hung out to dry.”*

*“Great motivator ah, when you kick the most enthusiastic hard working group of an organisation – what message does that send out?”*

*“No-one at the top seems to care about us”.*

The researcher observed that by the second round of interviews the respondents’ feelings of isolation had deepened. In *Interview One* only two or three participants discussed feelings of isolation, whereas by *Interview Two* all sixteen participants discussed this issue in some way (*theme nine*). The researcher concluded that this was because of: (a) the organisational restructuring; (b) a perception of “*poor management support*”; and (c) extensive union and management negotiations that produced feelings of uncertainty. For example, one team Leader believed “*part of the union’s agenda*” in the contract negotiations was to “*get rid of us*”.

Research has identified how organisational climate can impact the *transfer of learning* (Rouiller and Goldstein, 1993). Negative organisational climate creates feelings of “*them and us*” and according to Argyris (1985) so too do organisations that are based on hierarchy, with a strong chain of command. The organisation the participants were employed by had a strong hierarchical system, and within each managerial level, there were clearly defined roles and responsibilities. It could be argued from the data analysed, both quantitative and qualitative, that the participants work in an organisation with a “*negative organisational climate*”. The researcher suggests that both are contributing reasons for the “*us and them*” culture between employees and management.

## ***Theme Ten***

### ***Lack of trust for management***

The researcher concluded that over the time period of eight to ten months in which the questionnaires were filled in, returned, and the first and second interviews completed, attitudes of mistrust had heightened to a level where all sixteen interviewees indicated a definite and strong mistrust of management (**Box 3**, p. 134). A statement from one Team Leader correlates with the statistics from Table 38.

*“When we first came on station the DI’s kept saying don’t trust em, don’t trust em. We just thought, they’re bitter and twisted. But when they sacked us as well, and after they had already told us that we represented the new organisation..... Well most of us don’t trust them either now. The only difference is, most of us don’t say anything”*

**Table 38 Question 37**  
***“Management can be trusted to keep their word”***

<b>Strongly Agree</b>	<b>Agree</b>	<b>Neither Agree Nor Disagree</b>	<b>Disagree</b>	<b>Disagree Strongly</b>	<b>Don’t Know</b>
<b>0</b>	<b>0</b>	<b>4</b>	<b>7</b>	<b>9</b>	<b>0</b>

Table 38 shows that over three-quarters of the respondents ***did not*** believe management could be trusted to keep their word. Some secondary *barriers* to *transfer of learning* discussed in the Literature Review were the “*social technical issues*” (Analoui 1993). One of the components of this social-technical concept is the emotional climate within an organisation. Is the climate within the organisation one of ***trust***? (Garratt, 1997; Recardo, 2000).

The data in *Table 38* and **theme ten** would indicate that, the organisational climate **is not** one of **trust**. Recardo (2000) and Parry (2000b) believe *trust* is derived from *leadership integrity*, and ultimately both affect employee attitudes to work and senior management.

Parry (2000b) highlights another interesting point in relation to perceived management *integrity* and *trust*. He states:

*Perceived integrity is also about being seen to be doing something positive, active, pro-active, not necessarily doing ethical things. Passive / avoidance leadership involves being absent, uninvolved, not taking appropriate responsibility and not dealing with problems until they are too late. Under such conditions employees loose “trust” in their managers to fulfil key responsibilities. (p. 39).*

The writer believes that this theory is also confirmed by **theme four** (*lack of senior management support*) where participants described management as “*sitting on the fence*”, “*keeping a low profile*” or “*ducking for cover*” (p. 141 above). The writer suggests all of these are examples of passive avoidance behaviours.

## ***Theme Eleven***

### ***Lack of training opportunities***

Ten of the sixteen interviewees discussed lack of training opportunities. Two competencies that relate to this theme and which were chosen at the first interview by nearly half of the sixteen interviewees were:

1. *Establish training and development objectives with team and individuals*. Seven Team Leaders selected this competency (Box 2, No 9).
2. *Organise training and development activities with team and individuals*. Six Team Leaders selected this competency (Box 2, No 10).

All interviewees found these performance criteria difficult to achieve without the support and encouragement of the organisation. They needed resources, money and trainers competent in teaching the skills. They also needed assessors and moderators able to assess the competencies after team members had learnt the skills. All of these seemed to be in scarce supply because of the organisational restructuring. According to one Team Leader

*“Very little, if anything is being spent of training. We have to do the training ourselves, or find someone who is prepared to do it for nothing. The Team Members are desperate to achieve Level 2 (second progression step in organisational development path) because they think they don’t stand a chance of a job in the new structure without level 2. It also means a lot of money for them when they get it. The organisation wants them to have it too, but is not helping us or them achieve it. I’ve managed to be able to link with another station and do some training with them, but it’s meant I’ve had to put my own studies on the back-burner.”*

Other comments by Team Leaders were in a very similar vein, and reinforced the data from the questionnaire (Table 39, Table 40, Table 41 and Table 42).

**Table 39 Question 76**

***“The organisation gives me the opportunity to obtain enough operational training to do my job effectively”***

<b>Strongly Agree</b>	<b>Agree</b>	<b>Neither Agree Nor Disagree</b>	<b>Disagree</b>	<b>Disagree Strongly</b>	<b>Don’t Know</b>
<b>0</b>	<b>0</b>	<b>2</b>	<b>12</b>	<b>6</b>	<b>0</b>

**Table 40 Question 84**  
*“I am encouraged to learn new techniques and current trends in operation training”*

Strongly Agree	Agree	Neither Agree Nor Disagree	Disagree	Disagree Strongly	Don't Know
1	2	3	11	3	0

**Table `41 Question 85**  
*“I am encouraged to learn new techniques, and current trends in management, education, training and development”*

Strongly Agree	Agree	Neither Agree Nor Disagree	Disagree	Disagree Strongly	Don't Know
0	3	4	10	3	0

**Table 42 Question 81**  
*“The organisation is equitable in its allocation of resources for operation training”*  
*(i.e. everyone has equal opportunity and access)*

Strongly Agree	Agree	Neither Agree Nor Disagree	Disagree	Disagree Strongly	Don't Know
0	0	3	13	4	0

Tables 39, 40, 41 and 42 show consistency with *theme eleven “lack of training opportunities”*. Eighteen of the twenty respondents believed they *were not* given enough opportunity for operational training. Fourteen of the twenty respondents *did not* believe they were encouraged to learn new techniques or to keep ahead of current trends in operational training. Thirteen of the twenty respondents believed they *were not* encouraged to learn new management techniques, and seventeen of the twenty respondents believe that the distribution of training resources was not equitable for all employees.

Research suggests that organisations are spending ever increasing amounts of money on training and staff development (Walker and Gutteridge, 1979; Gutteridge and Otte, 1983, cited in Gutteridge et al, 1993). The perception of some participants and respondents in this study, however, was that the organisation had “*stopped spending money on training*”. The researcher can only hypothesise as to why the participants had this belief, the most obvious reasons being: (a) insufficient training budget allocated; (b) not enough trainers; (c) no long term organisational training strategy; (d) organisational restructure; and (e) misunderstanding of the definition of training and development. For example, some employees do not believe they have received training unless they have attended a course ( van Adelsberg and Trolley, 1999). Peer coaching, discussion groups, CD Rom training and the distribution of professional magazines and industry specific bulletins may not have been perceived by some respondents and participants as ‘training and development’

What ever the reason this does not detract from the reality that more than half of the participants perceived that the organisation was providing little in the way of training opportunities.

### *Theme Twelve*

*Tight budget constraints coupled with bureaucratic rules have stifled innovation and enthusiasm for new project development.*

and

### *Theme Thirteen*

*Lack of expenditure on needed resources”*

No specific questions were asked in the questionnaire that could be directly triangulated with *theme twelve* or *theme thirteen*. Nevertheless, the themes represent the beliefs and feelings of over half of the interviewees. (**Box 3**, p. 134, *themes twelve* and *thirteen*) Both themes were illustrated with examples about organisational practices, processes, rules and methods of operation. Team Leaders comments include the following:

*“It seems everything has to be in triplicate”.*

*“Our unit may earn the money, but we need to get permission to spend it on the project we raised it for”.*

*“Some of the standard operating procedures (SOP’s) are out of date and cumbersome”.*

*“By the time we get approval to go ahead, their motivation has gone”*

Due to earlier restructuring of administration staff, six of the interviewees also believed that there were insufficient staff left to cope adequately with the administration duties. Also, of those administration staff remaining, the interviewees believed that they only seemed to have vague perceptions of their roles, duties and responsibilities. Consequently, interviewees believed that bureaucracy and organisational inefficiency were high.

## Summary

The summary of findings from *Phase Two* (*Interviews One and Two*) and the *triangulation of results* are:-

### (a) Interview One

There was a clustering within the selection of competencies, with ‘*team and individual development*’ being the most frequently selected area, ‘*communication and change*’ the second, and ‘*management workplace responsibility*’ the third.

### (b) Results from Interview Two

*Two* participants out of sixteen believed they were able to achieve all three pre-selected competencies. *Six* believed they were able to achieve two competencies and *eight* believed they achieved none. (**Box 2**, p. 131)

The two greatest success areas appeared to be within ‘*team and individual development*’, where ten competencies out of nineteen were achieved, and ‘*management workplace responsibilities*’, where six competencies out of eleven were achieved. The least successful domain *communication and change management*, where only two out of sixteen competencies were achieved.

### (c) Interview Two

From the interviews, thirteen themes were identified. Team Leaders believed themes *three* to *thirteen* inclusive were the most influential in competency achievement or non achievement.



### **Triangulation of results**

The *thirteen themes* identified were supported by the quantitative data. Eight themes (numbers three to ten inclusive) are supported by previous research findings (*Chapter Two*).

In the next chapter these findings are discussed in relation to the research questions and the *Literature Review*.

## Chapter 5

### Discussion

#### Introduction

The data reported in the previous chapter showed that only two of the sixteen participants believed they were able to achieve all three competencies. Relating these results back to the writer's original research question (p. 78 above), "*what organisational conditions and personal attitudes are necessary for managers to transfer skills and knowledge they learn in management studies to their work environment*", the researcher concluded that many of the basic 'learning principles' were lacking in the organisation. The researcher developed several sub-questions (p. 78 above) that directly relate to these *learning principles*. For example, was the organisational climate conducive to *transfer of learning*? What was the character of the organisation - rule bound, relaxed, informal or self managing? Was the communication good within the organisation? What were the participants' attitudes to their work, studies, senior management and their colleagues? Are mistakes accepted as part of the learning process within the organisation? Are the policies and practices within the organisation reflective of a learning organisation? Do senior management support and value their staff? Finally, what is the organisation's attitude to change and if change or restructuring occurs, how does it affect employee attitudes to each other, their work, and learning?

The researcher believed the *organisational climate was not* conducive to *transfer of learning*. Moreover some of the *barriers to transfer* discussed earlier in the *Literature Review* pp. 54-63 appeared to be evident within the organisation. The researcher will discuss five of these barriers (**Box 4**) in relation to (1) the research questions (*Chapter Three*, pp. 78-79

above); and (2) the results obtained, both quantitative and qualitative (Chapter Four, pp. 114-155 above).

#### Box 4

##### Barriers To Transfer Of Learning

1	The emotional climate within the organisation.
2	Is there a learning philosophy within the organisation that ' <i>mistakes are part of the learning process</i> '.
3	Organisational attitudes and behaviours. Are these reflective of a learning organisation? For example, organisational attitudes to action learning practices and double loop strategies. (Argyris, 1985)
4	Employees feeling valued, rewarded and supported by management.
5	Employee attitudes to change and restructuring.

#### Emotional climate within the organisation.

According to Landy (1989) a basic learning principle for a learner to be able to '*transfer learning*' to the workplace is that the learner feels safe in his or her working environment and supported by those in a position to influence. When people are not feeling *safe, valued* or *supported* in their working environment, when employees are *sceptical, suspicious* and *distrust* management intentions, then new learning is almost impossible to achieve.

The first sub-questions proposed (Chapter Three p. 79) were "*what is the emotional climate within the organisation?*" and "*How does this emotional climate affect the respondents' attitudes to their work, studies,*

*senior management and their colleagues?”*. According to Parry (2000a), organisational culture (*emotional climate*) is related to “increased productivity, enhancement of goal alignment and increased motivation” (p. 37).

One of the themes that emerged from the qualitative data was “*lack of trust for management (feelings of being let down and used)*”. In fact, all sixteen interviewees indicated a mistrust of management. Equally, not one of the twenty respondents believed that management could be trusted to keep their word (Table 38). Many respondents expressed “*feelings of isolation, from management and other organisational employees*”, and only three of the twenty respondents believed that “*co-operation is good between work areas*” (Table 36). Several Team Leaders discussed issues around “*other staff members refusing to work with them*”, being “*personally victimised*” or having their “*personal property damaged*”. As discussed in *Chapter Two*, all of these issues (*mistrust of management, feelings of isolation, victimisation, suspicion and cynicism*) have an effect on the emotional climate of an organisation, the employees within it, and ultimately ‘*transfer of learning*’. Garratt (1997) states:

*We like to think of our organisations as calm, rational, logical places. They are not. They are prone to the full range of human emotions. Managers are there to install and maintain the systems which monitor and control the daily operations, and rightly so. The directors are there to ensure that at the centre of the enterprise, not the top, there is a heart and brain. This ‘heart’ of the business creates an emotional temperature appropriate to that specific organisation. This is the essence of the organisation’s climate or culture. It is the board that ultimately determines this culture, but few understand this, or accept it, or know what to do about it (p 26).*

From all the data obtained, both quantitative and qualitative, the researcher concluded that the emotional climate within the participants’ organisation was that of disarray and distrust. Negative comments about

management and other working units reinforced the researcher's belief that the organisation's negative emotional climate contributed to the participants' feelings of unhappiness and discontent. Moreover, the participant's subsequent pessimistic views, which manifested themselves in comments such as "*the organisation's a mess*", "*no-one at the top seems to care about us*" and "*I'm just here for the money now*", played a part in the failure of many of the participants to *transfer their learning* to the workplace. Embedded in the philosophy of *organisational emotional climate* are employee attitudes to each other (*colleagues*). The researcher concluded that internal employee relationships were extremely volatile. Participants reported not only '*them and us*' feelings between management and employees but '*them and us*' feelings between what were termed *old contract staff* (that is, those on the union negotiated contract) and the *new contract staff* (that is, the participants in this study) (*theme nine*). Participants cited examples of "*equipment sabotage*", personal "*victimisation*" and '*bully tactics*' from *old contract staff* to *new contract staff* (*Appendix 20*). The researcher concluded that not only were the *new contract staff* feeling *vulnerable* and *threatened* (*Chapter Three*, p. 80), but, according to several Team Leaders so too were the *old contract staff*. As one Team Leader reported, "*some of the old contract staffs' behaviours undermined new organisational changes*". Moreover, he said that the *old contract staff* were "*bad-mouthing*" *new contract staff* suggesting they were "*insufficiently trained or experienced to lead a team in an emergency situation*" (*Chapter Three*, p. 81). According to one Team Leader, this was because, the *new contract staff* were seen by the *old contract staff* as presenting a threat. Hence the researcher concluded that this negative internal emotional climate did nothing to enhance *transfer of learning* (Analoui, 1993) (*Literature Review*, p. 54).

**An organisational learning philosophy that ‘mistakes are part of the learning process’.**

Another issue within the *Literature Review* centred around the assertion that ‘mistakes need to be accepted as part of a learning process’, or additionally, organisations need to develop ‘safe failing environments’ (Kim, 1995) so that innovation and creativity can be encouraged. This is not only a basic *principle of learning* but it has been generally accepted for the last two to three decades as a fundamental principle of sound management practice. For example, Stoner (1982) highlighted several principles for establishing a climate for organisational creativity that included tolerate failure. Stoner (1982) stated:

*Many new ideas prove impractical or useless. Effective managers accept and allow for the fact that time and resources will be invested in experimenting with new ideas that may not work out (p. 430).*

Eighteen years later the philosophy of ‘learning from mistakes’ is still the accepted belief for creating a learning climate within organisations (Garratt, 1997). Therefore the second sub-question proposed in *Chapter Three* (p. 79) was, “did the organisation the participants work in allow their employees to ‘positively learn from their mistakes?’”. The data from this study showed that only four of the twenty respondents believed that ‘their immediate boss gave them support when things went wrong’ (Table 29). This indicated to the researcher that management practices within the participants’ organisation were not reflecting contemporary trends of *learning from mistakes*. This hypothesis was supported in both *theme five*, “higher management, lacking management and people skills”, and Table 30, where only one out of the twenty respondents believed that the management practices within the organisation were good. The researcher considers that collectively these issues contributed to the ‘lack of transfer’ of selected competencies by participants in this study.

## Organisational attitudes and behaviours reflective of a learning organisation

In *Chapter Two*, another of the main issues concerning *transfer of learning* was an *organisation's ability to create a climate for learning*, as distinct from supportive emotional climate. This can be achieved through several methods, for example: **(a)** '*action learning activities*' (French and Bell, 1995; Lewin, 1947,1951 and Cunningham, 1933) (*Chapter Two*, p. 30); **(b)** '*critical reflection techniques*' and '*double loop learning*' (Argyris, 1985); and **(c)** having systems in place to capture learning that will improve systems, procedures, policy decision making and management practices (Argyris, 1977, cited in Stone, 1982; Argyris,1985, 1994). *Sub-question three (Chapter Three p. 94)* asks how the organisation encourages skill transfer. Broad (1982) identified over seventy actions or *transfer partners* (Broad and Newstrom, 1992) that managers need to implement *before, during and after* a training event to enhance transfer. One of the main ingredients for creating a *climate for learning* where *action learning techniques, double-loop learning or transfer partners* can be implemented is *communication*. However, according to the participants in this study, communication within their organisation was very poor, except for work requests (*theme seven*). Comments such as "*there is no downward communication whatsoever*" and "*in the absence of communication, stuff is made up*" were common statements from the interviewees. Fourteen of the twenty respondents believed communication was not good within the organisation, four respondents had no opinion leaving only two of the twenty respondents believing communication was good (*Table 34*). *Theme seven, "lack of downward communication"* was mentioned by all sixteen participants who were interviewed in *Phase Two*. The researcher concluded that the lack of communication and the perceived *lack of management support* (*Table 38*) within the organisation had a significant impact on the work of the participants within this study, consequently affecting their ability to

*transfer their learning* to the workplace. Gunn (1995) reiterates this point by suggesting that *effective organisational communication* is “*essential if organisations are to survive in today’s competitive environment*” (*Literature Review*, p. 36).

### **Employees feeling valued and rewarded by management.**

According to one of the participants interviewed in this study “*feeling valued by the organisation*” is something he has “*never experienced since joining the organisation*”. Indeed, all sixteen participants interviewed mentioned the “*lack of senior managerial support*” (*theme four*). “*Lack of encouragement from higher management in the forms of praise feedback or recognition*” was expressed by eleven of the participants interviewed (*theme six*). Both *theme four* and *theme six* were developed from Team Leaders’ statements such as, “*management pays lip-service to our needs*”, and “*They are not interested in us, they only want to win their fight with the Union at any cost*”. Another Team Leader said “*I’m working in a vacuum I have to give my team praise to encourage them, but I never get any from my boss, I only get told when something is not going right*”. Again these thoughts were reiterated in the questionnaire where only two out of the twenty respondents believed that their ‘*boss regularly told them how they were doing*’ (*Table 31*).

In the *Literature Review*, a recognised method to encourage *transfer of learning* was for organisations to openly *value, appreciate, reward* and *support* employee behaviours and accomplishments. Two of the ‘*conditions*’ for learning, both individually and organisationally are mentioned by Garratt (1997):

- (1) *That there are systems in place to capture that learning, celebrate and reward it, and move it to where it is needed.*
- (2) *That such*



*learning is valued in the appraisal and reward systems, and in the asset base of the organisation* (p. 29).

From the comments made in the interviews, the researcher believes that the participants in this study did not feel *valued, encouraged* or *supported*, by senior management, their immediate manager or other work colleagues (*theme four, theme six, and theme nine*). The literature (Broad and Newstrom, 1992; Gunn, 1995; Garratt, 1997 and Argyris, 1994) suggests that this undoubtedly has an effect on '*transfer of learning*' and the results of this study would indicate the same. Of the sixteen participants interviewed, only *two* believed that they were able to transfer all three selected competencies to the workplace. When the remaining fourteen participants were asked which environmental factors, both macro and micro, would have helped them achieve their objectives, all fourteen cited the importance of needing "*higher management support*" (*theme four*) and eleven cited the importance of either "*recognition support, encouragement or feedback*" (*theme six*) for their role and the work they do. Some participants reported feelings of being "*undervalued*" and several stated that there was an "*inequality*" in the distribution of resources and training opportunities (*theme eleven*) between themselves (study participants) and other employees, citing, in particular, those employees on the union negotiated collective contract. Such feelings were also reflected in the quantitative data where seventeen of the twenty respondents believed the organisation did not allocate its resources equitably (*Table 42*).

### **Employee attitudes to change and restructuring.**

When employees are feeling *undervalued, cynical, suspicious* and *distrust* management intentions, then new learning is almost impossible to achieve. This is highlighted in a comment from one participant

*“I’ve dropped out of the course, because I think what’s the use? I might not have a job here soon. The chief says he will re-employ us, but you can’t believe anything management says. It’s not up to him anyway. I decided to spend the time doing something that will help me get another job somewhere else. It’s something quite different but I have to think ahead.”*

All sixteen Team Leaders believed their own “*Team Members were disgruntled and demotivated*” (theme eight). Similarly, all sixteen Team Leaders believed they were “*isolated from management and other organisational employees*” (theme nine), and that there were strong feelings of ‘*them and us*’ within the organisation. Both these themes were reflected in the quantitative data where none of the twenty respondents believed “*change was being managed well within the organisation*” (Table 29). Another of the issues discussed in the *Literature Review* was the effect “*change or restructuring*” could have on *transfer of learning*. Reichheld (1996) suggests *restructuring or downsizing is a barrier to transfer of learning* (Chapter Two, pp. 57-59). This same contextual issue was raised in the research sub-questions Chapter Three. (p. 75). The researcher concluded that the restructuring that was taking place within the organisation was having an impact on the participants’ ability to transfer their learning. Moreover as the literature asserts, change and *restructuring* can dis-empower employees (Knowdell, Bradstead and Moravec, 1994; Barger and Kirby, 1995). However, the writer believed it was hard to differentiate this particular concept (*restructuring*) from all the other issues that the participants faced daily, and it would be inappropriate to argue that this was a sole reason for non-transfer. In fact, many of the participants talked of their own or their Team Members’ *victimisation, intimidation, discrimination and bullying tactics* by other members of the organisation, related to the internal politics of contracts and work conditions. The researcher concluded that these factors and

many other variables that impacted the participants' ability and motivation, would have also had a substantial effect on transfer.

The results showed that the most challenging area for Team Leaders was their ability to transfer competencies in the area of *communication and change management*. Sixteen Team Leaders chose competencies in this area but only two believed they were able to transfer or apply what they had learnt. Several of the initial research questions (*Chapter Three*, p 78 - 79) related to what the researcher believes are two vitally important areas, *communication* and *change management*. Effective organisational and interpersonal communication underpins much of what is good in a learning organisation (Argyris, 1994). The researcher concluded that these two areas were highlighted in the data, both quantitative and qualitative, and also in each of the contextual issues or barriers to communication. However, the researcher also concluded that relevant and more specific data could have been obtained if the research sub-questions (*Chapter Three*, p. 79, contextual issues) had been used as additional participant questions in *Interview Two*. Why? Because, in the data analysis, the researcher matched the pertinent themes to the contextual issues (research sub-questions). The themes were derived from answers relating to competency achievement or non achievement only (*Appendix 22*). Although, the participants stated that *themes three to ten inclusive* had a direct influence on competency achievement, the researcher suggests that her matching could be perceived as subjective. This potential subjectivity could have been obviated if the participants had been asked five additional, but specific questions at the end of the interview. For example:

- (1) How did the *emotional climate* of the organisation affect your competency achievement?

- (2) From your experience, is the organisational attitude one of “*positively learning from one’s mistakes?*” Did this attitude affect competency achievement or non-achievement?
- (3) From your experience, what organisational behaviours and attitudes do you see that suggest you are or are not working in a *learning organisation?* Did this affect competency achievement? How?
- (4) How do *senior management show their support* for their staff? Did their behaviour affect competency achievement? How?
- (5) What do you believe are the *organisational attitudes to change?* Did this affect competency achievement? How?

If further research was conducted in the area of transference, the researcher suggests that the process just discussed could help minimise inappropriate researcher subjectivity. Nevertheless, the researcher also points out that although it may reduce subjective theme matching on the part of the researcher, a negative aspect may be that the questions are in turn seen to put these contextual thoughts into the interviewees’ minds, possibly biasing their replies.

In summarising, this chapter discussed the findings in relation to the literature and theories that were discussed in *Chapter Two* (pp. 8-67), and the five contextual issues relating to transfer that were raised in *Chapter Three* (p. 79). The researcher concluded that each of the contextual issues affected the participants’ ability to transfer their learning to the work environment.

The next chapter is the final chapter and presents a synopsis of the completed study. It outlines the various sub-sections of the Literature Review, the research method and instruments used. *Chapter Six* also

explains the three stages of data analysis (quantitative, qualitative, and triangulation of data), and draws some conclusions from the data analysed.

## Chapter Six

### Conclusion

This study looked at *transfer of learning*, and was conducted in one large organisation with thirty-four middle managers/Team Leaders. The Team Leaders were studying management unit standards by correspondence through a New Zealand polytechnic. The *Literature Review* explored six areas: (1) the importance of training and development for organisational growth, what organisations are currently doing in the area of people development (for example, the increase of corporate universities, the advent of organisations collaborating with external providers in strategic alliance partnerships and the rise in the employment of contract managers); (2) *Contemporary trends in training and development* were discussed, for example CD ROM, internet, intranet and competency based training. We also examined the shift in responsibility for employee development, to a situation where managers are expected to assume a greater role in employee development responsibilities. The researcher raised questions as to the middle manager's and senior manager's capability to do this; (3) *Transfer of learning* is not something that happens automatically and section three discussed transfer along with early theories of learning, and the various methods that are currently practised in the workplace to enhance learning; (4) Some '*principles of learning*' and methods to encourage transfer were discussed in *transfer of learning individual and organisational*; (5) This section discussed various theories on '*evaluation of learning*' and the importance of these theories to '*transfer*'. The writer also asked several questions that she believed related to the main *issues* and '*barriers to transfer*'; (6) Finally, *section six* considered some of these '*barriers*' in relation to research conducted in these areas.

The *Methodology* chapter outlined the process of the study as a whole, for example, the two phases (**Phase 1**, quantitative and **Phase 2**, qualitative), the *limitations, delimitations, the main research question, and sub-questions, assumptions and rationale for design*, together with the *setting and selection of participants, the processes involved and ethical considerations*. This section also outlined the *data collection, analysis and verification* procedures, both quantitative and qualitative.

The *Results* chapter presented the findings in order of ‘*sequence of research events*’:

**Phase 1** (quantitative), questionnaires were sent to thirty-four Team Leaders. Twenty of the thirty-four questionnaires were returned. Of these twenty respondents sixteen were randomly chosen for **Phase 2** (interviews).

**Phase 2** consisted of two interviews. In **Interview One** the participants were asked to select three (out of a possible thirty) competencies that the Team Leaders were studying that they believed they could implement on the job. They were asked to hypothesise the strategies they would use for implementation and the possible outcomes. Five months later **Interview Two** took place. The same Team Leaders were interviewed and asked whether or not they believed they were able to implement their strategies.

Data Analysis was in three stages:

(1) **Quantitative Phase 1**

- (a) The demographics
- (b) The statistical data obtained from the twenty returned questionnaires

(2) *Qualitative Phase 2*

- (a) Competencies chosen by the Team Leaders.
- (b) The results of Team Leaders *on the job implementation strategy*.
- (c) The thirteen themes that emerged from qualitative data analysis.

(3) These *thirteen themes* ( **Box 3**, p.134) were then triangulated with the results of *Phase 1* (questionnaires).

Finally the *results* from the *questionnaire, interviews* and the *themes* that emerged were triangulated and used to answer the initial research questions (*Chapter Three*, p. 78-79). A summary of findings were presented *Chapter Four*, followed by a discussion of what the researcher believed were the five main issues surrounding transfer.

In the discussion, the researcher identified several internal factors that could be argued can affect transfer of learning, for example, '*social technical issues*' (Analoui, 1993). Social technical issues relate to the *emotion climate* within an organisation, *employees' attitudes to management, their colleagues and their work*. The results indicated a *negative emotional climate* and the researcher concluded that this was a primary contributing factor to competency non-achievement. Participants discussed feelings of *distrust for management*, instances of *personal victimisation* from colleagues and a sense of *isolation* within the organisation. The *Literature Review* discussed alienation (*Anomie*) where individuals are not connected as a group. Kuczarski and Kuszarski (1995) suggests this leaves the organisation and the people *disillusioned and, disjointed*, and stifles individual and organisation learning (*Chapter Two* pp. 39-40). If organisations want to encourage *transference of learning*, leaders within organisations must learn to help employees ignite their potential, unfold and develop their intelligences, determine their most effective roles, make their jobs meaningful and self-satisfying and endorse agreed upon norms and values.



The results also indicted that the participants did not believe they obtained support from senior management when (a) things went wrong; or (b) they needed advice, help or resources for a project. Participants also stated that they believed senior management lacked management and people skills. To encourage employee success the researcher believes that leaders within organisations need to be able to identify employees' greatest strengths and match those responsibilities and tasks that draw upon their strengths. Moreover, leaders need to encourage the employee to peer tutor others, which will facilitate '*organisational learning*' (Principles of Learning *Chapter Two* p. 37). A key to this is for senior management to understand the theory of learning and performance, which the researcher proposes is a pre-requisite to be able to participate in implementing the motivational and organisational strategies that are necessary to ensure '*transference of learning*'.

The researcher concluded that neither the participants or their managers were aware of the role they had to play for *transfer of learning* to occur. For example, Broad and Newstrom (1992) highlighted the importance of applying strategies *before, during* and *after* a learning experience and emphasised how training alone would not result in long-lasting behavioural change on the job, unless there was significant visible or on going organisation support. (*Chapter Two* p. 39). These strategies were not evident in the data collected in this study.

The researcher concluded that another contributing factor to the participants' failure to achieve transference to the job, was the organisation's restructuring process. Although learning to survive in a world of permanent change and "white water" (Vaill 1996) is vital for both individual and organisational success, as Argyris (1995) points out, it can also lead to feelings of immobilisation and dis-empowerment for employees (*Chapter Two* p. 61). The researcher concluded that several of

the *themes* that emerged in the data came from the participants' attempts to cope with feelings of organisational ambiguity and chaos (**Box 3**, p. 134).

The researcher believes that the results obtained were a consequence of the organisation undergoing extensive restructuring. The effect, as described by one participant, was that the "*organisations [was] a mess*" (*Chapter Four*, p.149). How different would the results be if conducted in an organisation that perceived itself to have *high transference*? What would the characteristics of the organisation be? How would the organisational policies and human resource (HR) strategies differ from other organisations? What behaviours would one hypothesise that senior management exhibit? How would they be reinforced by the organisation and how would they be sustained? The researcher suggests, that these are all questions that would lend themselves to for further research.

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# **Appendices**

## Appendix 1

### Cameron's Measures of Organisational Effectiveness

Cameron, K. (1980, cited in Spilsbury, 1995)

Critical Questions in Assessing Organisational Effectiveness.

The process to measure change within an organisation is effectively the same as for individuals: identify the areas that are expected to change and measure them before and after the training action has taken place. However, this raises the issues of what organisational effectiveness actually is. Various types of measures have been classified by Cameron (1980) as being;

- **Outputs-directed.** Focusing solely on the outputs of the organisation.
- **Resource-acquiring.** Judging effectiveness by the success of the organisation in acquiring needed resources from the external environment.
- **Internal process-directed.** This relates directly to focusing attention within the company and how it operates. (processes and systems.)
- **Constituency-satisfying.** This is where effectiveness is judged on the organisation's ability to respond to the needs of its various constituency groups (p.43).

**Appendix 2 Team Leader's Questionnaire For Quantitative Methodology Phase 1.**

**Management Education And Development Phase One Questionnaire**

**How To Complete Section A of This Questionnaire**



*For each question, please circle the number which best fits the answer you want to give.*

*(Please note: 9 is used as a don't know because the computer programme reads 0 as a not answered question.)*

For example:

Agree Strongly  
Agree  
Neither Agree nor Disagree  
Disagree  
Disagree Strongly  
Don't Know

I really enjoy my job ..... 5 4 3 2 1 9

If you agree strongly with this, you would circle the number '5' like this:

..... (5) 4 3 2 1 9

If you don't really enjoy your job that much, you would circle '2' like this:

..... 5 4 3 (2) 1 9

If you don't enjoy your job at all, you would circle the '1' like this:

..... 5 4 3 2 (1) 9

\* If you make a mistake or want to change an answer, just put a cross through the number you have circled like this. ~~(5)~~ and circle the new number that best fits the answer you want to give.

## Section A About Your Job



*This questionnaire is divided into two sections. Section A is the largest section and the questions are about ORGANISATIONAL values, practices and behaviours. Section B, is about YOUR values, practices and behaviours as a manager or Team-leader.*

*In this first section, we would like to find out how you feel about the job you are doing.*

For each statement, please circle the number which best fits the answer you want to give.

	Agree Strongly	Agree	Neither Agree nor Disagree	Disagree	Disagree Strongly	Don't Know
1. I really enjoy my job.....5	4	3	2	1	9	
2. I am encouraged to develop skills in my job.....5	4	3	2	1	9	
3. I have a clear idea of what I am expected to do in my job. 5	4	3	2	1	9	
4. I have a say in decisions that affect my job.....5	4	3	2	1	9	
5. There are too many unreasonable deadlines in my job.....5	4	3	2	1	9	
6. My efforts are appreciated by those I work with..... 5	4	3	2	1	9	
7. I am encouraged to come up with new or better ways to do my job..... 5	4	3	2	1	9	
8. My job offers me enough opportunities to use my skills.....5	4	3	2	1	9	
9. Most of the time I have too much work to do..... 5	4	3	2	1	9	
10. Overall, I am satisfied with my job.....5	4	3	2	1	9	
11. I have enough opportunities for training and development for my future..... 5	4	3	2	1	9	
12. I have the equipment I need to do my job well..... 5	4	3	2	1	9	
13. I have been given sufficient authority to do my job well..... 5	4	3	2	1	9	
14. My manager makes decisions about my job that I am capable of making myself..... 5	4	3	2	1	9	

## SECTION A *About Your Boss*



*In this section, please answer in relation to your immediate boss. That is, the person who allocates your work, or who you report to. (i.e. District Chief, Area Chief, manager, supervisor).*

<b>Your Immediate Boss</b>	<i>Agree Strongly</i>	<i>Agree</i>	<i>Neither Agree nor Disagree</i>	<i>Disagree</i>	<i>Disagree Strongly</i>	<i>Don't Know</i>
15. My immediate boss treats me with respect.....	5	4	3	2	1	9
16. My immediate boss gives me support when things go wrong	5	4	3	2	1	9
17. My immediate boss does his/her job well.....	5	4	3	2	1	9
18. My immediate boss takes too much credit for work I've done.....	5	4	3	2	1	9
19. My immediate boss deals with all staff in a fair way.....	5	4	3	2	1	9
20. I have a good working relationship with my immediate boss.	5	4	3	2	1	9
21. I can talk to my immediate boss when I need to.....	5	4	3	2	1	9
22. My immediate boss listens to what I have to say.....	5	4	3	2	1	9
23. My immediate boss acts on problems or suggestions I raise....	5	4	3	2	1	9
24. My immediate boss does a good job in motivating staff.....	5	4	3	2	1	9
25. I trust my immediate boss.....	5	4	3	2	1	9
26. My immediate boss is good at solving conflicts.....	5	4	3	2	1	9
27. My immediate boss regularly tells me how I am doing.....	5	4	3	2	1	9
28. My immediate boss understands what my job involves.....	5	4	3	2	1	9
29. My immediate boss has set me clearly defined goals.....	5	4	3	2	1	9
30. My immediate boss has measured my performance against these goals.....	5	4	3	2	1	9

## SECTION A

### About Senior Management

*In giving your opinions about the next set of statements, please think about Senior Management throughout the organisation.*



*Whatch ya think*

#### Senior Management

	<i>Agree Strongly</i>	<i>Agree</i>	<i>Neither Agree nor Disagree</i>	<i>Disagree</i>	<i>Disagree Strongly</i>	<i>Don't Know</i>
31. Senior management genuinely listens to the needs of employees.....	5	4	3	2	1	9
32. There is an "us and them" feeling between management and other employees.....	5	4	3	2	1	9
33. I believe management usually acts on the issues raised by staff.....	5	4	3	2	1	9
34. The managers act to support the vision and goals of the organisation.....	5	4	3	2	1	9
35. Management recognise the good work of all employees.....	5	4	3	2	1	9
36. Overall the management of our organisation is good.....	5	4	3	2	1	9
37. Management can be trusted to keep their word.....	5	4	3	2	1	9



## SECTION A

### About Your Immediate Work Area



*In this next section, when a question refers to your work area, please answer in relation to the group of people you work with on a day-to-day basis. (i.e. your team, section or department).*

	5	4	3	2	1	9
	Agree Strongly	Agree	Neither Agree nor Disagree	Disagree	Disagree Strongly	Don't Know
38. People in my work area are enthusiastic about their work....	5	4	3	2	1	9
39.. People in my work area do a good job.....	5	4	3	2	1	9
40. People in my work area work well as a team.....	5	4	3	2	1	9
41. Morale in my work area is good.....	5	4	3	2	1	9
42.. People in my work area are happy to try new ways of doing things.....	5	4	3	2	1	9
43. People in my work area are proud of what they do.....	5	4	3	2	1	9
44.. In our work area we are always trying to improve the service we give.....	5	4	3	2	1	9
45. There is good co-operation between my work area and other areas in the organisation that we deal with regularly.....	5	4	3	2	1	9
46. My work area has a good understanding of what it is trying to achieve.....	5	4	3	2	1	9
47. Changes to the way we do our work in my work area are only made after we have discussed them fully.....	5	4	3	2	1	9
48. My work area provides excellent service to our external customers (the public, the government).....	5	4	3	2	1	9
49. My work area provides excellent service to our internal customers (other employees of the organisation).....	5	4	3	2	1	9
50. External customers receive better service from my work area than internal customers.....	5	4	3	2	1	9

## SECTION A

### *Communication Within The Organisation*



*I heard it through the grapevine*

		<i>Agree Strongly</i>	<i>Agree</i>	<i>Neither Agree nor Disagree</i>	<i>Disagree</i>	<i>Disagree Strongly</i>	<i>Don't Know</i>
51. I am kept fully informed about changes affecting my job....	5	4	3	2	1	9	
52. I usually have the information I need to do my job well.....	5	4	3	2	1	9	
53. I have a good understanding of the vision and goals of the organisation.....	5	4	3	2	1	9	
54. I often hear about things happening within the organisation through the radio and newspaper first.....	5	4	3	2	1	9	
55. The information I receive in team/staff meeting about issues in the organisation is useful.....	5	4	3	2	1	9	
56. I believe the communication within the organisation is good.....	5	4	3	2	1	9	
57. I am kept well informed as to how the organisation as a whole is performing (i.e. outputs being met).....	5	4	3	2	1	9	
58. We receive too much written information.....	5	4	3	2	1	9	
59. I get the opportunity to say what I want at team/staff meetings.....	5	4	3	2	1	9	
60. What I say in team/staff meetings is taken seriously by management.....	5	4	3	2	1	9	

## SECTION A

### *About Your Organisation*



*The big picture stuff*

		Agree Strongly	Agree	Neither Agree nor Disagree	Disagree	Disagree Strongly	Don't Know
61. I am proud to say I work for our organisation.....	5	4	3	2	1	9	
62. I support the vision and goals of the organisation.....	5	4	3	2	1	9	
63. Overall, the organisation is a good employer.....	5	4	3	2	1	9	
64. Overall, employees within the organisation receive Equal Employment Opportunities (E.E.O.).....	5	4	3	2	1	9	
65. Overall, there is a high standard of work with our organisation.....	5	4	3	2	1	9	
66. I would stick up for our organisation if it was being criticised.....	5	4	3	2	1	9	
67. My organisation treats me with respect.....	5	4	3	2	1	9	
68. Change is being managed well within our organisation.....	5	4	3	2	1	9	
69. Overall management is very supportive of employees.....	5	4	3	2	1	9	
70. There is a lot of doubling up of work within the organisation.....	5	4	3	2	1	9	
71. All employees within the organisation are treated fairly, whatever their personal background.....	5	4	3	2	1	9	
72. Overall, management are supportive of employees.....	5	4	3	2	1	9	
73. There is good co-operation between work areas.....	5	4	3	2	1	9	
74. Our organisation provides good service to customers.....	5	4	3	2	1	9	
75. Our good service to customers is because of employees from different personal backgrounds.....	5	4	3	2	1	9	

## SECTION A

### Education, Training And Personal Development Within The Organisation



*This section looks at the organisations commitment to education, training and personal development of its people. Please answer these questions based on your personal experience and beliefs. (Please note this section distinguishes between operational and management training)*

	Agree Strongly	Agree	Neither Agree nor Disagree	Disagree	Disagree Strongly	Don't Know
76. The organisation gives me the opportunity to obtain enough operational training to do my job effectively.....5	4	3	2	1	9	
77. The organisation gives me the opportunity to obtain enough management education, training and development to do my job effectively..... 5	4	3	2	1	9	
78. I believe the organization is committed to developing its people with the appropriate operational training they need... 5	4	3	2	1	9	
79. I believe the organization is committed to developing its people with the appropriate management training they need 5	4	3	2	1	9	
80. The organisation is equitable in its allocation of resources for operational training, (that is, everyone has equal opportunity and access)..... 5	4	3	2	1	9	
81. The organisation is equitable in its allocation of resources for management education and training, (that is, everyone has equal opportunity and access).....5	4	3	2	1	9	
82. The funding of all operational training and development should be the responsibility of the organisation..... 5	4	3	2	1	9	
83. The funding of all management education training and development should be the responsibility of the organisation....5	4	3	2	1	9	
84. I am encouraged to learn new techniques and current trends in operational training..... .5	4	3	2	1	9	
85. I am encouraged to learn new techniques and current trends in management education training and development..... .. 5	4	3	2	1	9	

***This section within education, training and personal development requires you to choose an answer or write your appropriate response in the space provided under 'other'.***

***(Please note these questions relate to management education and development only)***

86. What percentage of 'off job' management training do you receive compared to 'on the job'.

10-20%	20-40%	40-60%	60-80%	80-100%
1	2	3	4	5

86. My Management training needs are identified by:-

Performance appraisal	1
Discussions with me	2
Training needs analysis	3
Discussions with my boss	4
Don't know	5
Other.....	

87. What type of management education, training and development have you experienced in the organisation.. (Circle as many as are appropriate).

Classroom	1
Correspondence (external)	2
Correspondence (internal)	3
Audio - tapes	4
Satellite video	5
Computer packages	6
Other.....	

88. Approximately what period of your own time is spent on studying management development education per week.

- 1-5 hours per week 1
- 6-10 hours per week 2
- 11-15 hours per week 3
- 16-20 hours per week 4
- Other.....

89. Approximately what period of work time is spent on studying management development education per week.

- 1-5 hours per week 1
- 6-10 hours per week 2
- 11-15 hours per week 3
- 16-20 hours per week 4
- Other.....

90. Please indicate the approximate financial commitment (if any) your organisation has made towards your management education and development. *(Please note course fees only - exclude work time and staff replacement costs)*

- \$100-300 1
- \$300-600 2
- \$600-900 3
- \$900-1,200 4
- Dont know 5
- Other.....

91. What average annual financial commitment would you make towards your management education and development (*Please note course fees only - exclude work time and staff replacement costs*)

\$100-300	1
\$300-600	2
\$600-900	3
\$900-1,200	4
Other.....	

## SECTION B

### Management Education and Development Phase One Questionnaire



#### How To Complete Section B of the Questionnaire

For each question, please circle the number which best fits the answer you want to give.  
( Please note: all of these questions are based on your behaviour. That is, does your behaviour show.....)

For example:

	Always	Most of the time	Some of the time	Rarely or Never
My <i>behaviour</i> is such that I create a climate of mutual trust.....	4	3	2	1

If you do this always, you would circle the number '4' like this:

..... ④ 3 2 1

If you do this most of the time you would circle '3' like this:

..... 4 ③ 2 1

If you rarely or never do this, you would circle the '1' like this:

..... 4 3 2 ①

\* If you make a mistake or want to change an answer, just put a cross through the number you have circled like this ~~④~~ and circle the new number that best fits the answer you want to give.



## SECTION B

### Supervision and Management

#### *Me As A Manager?*

#### Self Assessment Questionnaire



	Always	Most of the time	Some of the time	Rarely or Never
1. I create a climate of mutual trust .....	4	3	2	1
2. I communicate information rapidly (with the exception of confidential information).....	4	3	2	1
3. I promote conditions which allow my team to perform effectively.....	4	3	2	1
4. I delegate according to each person's aptitudes and skills.....	4	3	2	1
5. I meet with my team to review their work.....	4	3	2	1
6. I try to develop professionalism, motivation and team spirit.....	4	3	2	1
7. I help my team overcome their difficulties.....	4	3	2	1
8. I acknowledge each person's contributions to the success of the team.....	4	3	2	1
9. I encourage initiative, innovation and the expression of new ideas.....	4	3	2	1
10. I adapt the work methods to social and technological change.....	4	3	2	1
11. I give the team the autonomy needed to carry out their work.....	4	3	2	1
12. I decide, in consultation with each person, what training is needed.....	4	3	2	1
13. I encourage the entire team to share our common goal: providing the best customer service.....	4	3	2	1
14. I circulate information rapidly within my team.....	4	3	2	1

	Always	Most of the time	Some of the time	Rarely or Never
15. I encourage direct communication between members of my team and people of other working teams.....	4	3	2	1
16. I share the organisations corporate values.....	4	3	2	1
17. When asked by my team I pass on their concerns to management....	4	3	2	1
18. I help staff members to improve their skills.....	4	3	2	1
19. I act in accordance with what I say.....	4	3	2	1
20. I recognise the right of each person to make mistakes when taking initiatives.....	4	3	2	1
21. I ensure that objectives are clear and well-understood.....	4	3	2	1
22. I challenge work processes in order to improve customer satisfaction. ....	4	3	2	1
23. I support decisions made by my management and by the organisation.....	4	3	2	1
24. I manage my time according to the priorities I have set.....	4	3	2	1
25. I make constructive suggestions to improve company operations.....	4	3	2	1
26. I ensure that the team keeps its commitments to our agreed operations.....	4	3	2	1
27. I ensure that the team keeps its commitments to our agreed decisions.....	4	3	2	1
28. I demand of others what I demand from myself.....	4	3	2	1
29. I promote a sense of responsibility among those I work with.....	4	3	2	1
30. I praise appropriately.....	4	3	2	1
31 I give appropriate feedback to team members on poor performance.....	4	3	2	1
32 I believe in a participate and consultative working style of management.....	4	3	2	1

	<b>Always</b>	<b>Most of the time</b>	<b>Some of the time</b>	<b>Rarely or Never</b>
33. I am recognised by my team for my managerial and leadership skills rather than for my position only.....	4	3	2	1
34. I develop team work.....	4	3	2	1
35. I help and encourage others to seek improvement.....	4	3	2	1
36. I continually try to improve my own skills.....	4	3	2	1
37. I want to improve my own skills.....	4	3	2	1

## Finally About You

*These details will help us to see whether particular groups of employees of our organisation share the same view. Your details are grouped with those of other employees and you will not be individually identified. Remember all your answers are completely confidential. For each question please circle the number which applies to you.*



Are you

Male ..... 1

Female..... 2

Your age is between

20-27..... 1

28-35..... 2

36-42..... 3

43-50..... 4

50-58..... 5

59-65..... 6

*Which of the following best describes your ethnicity?*

European/Pakeha..... 1

NZ Maori..... 2

Pacific Island..... 3

Asian..... 4

Other (specify)..... 5

*How long have you been in a management position?. (Please include your current position and previous full-time management positions).*

Less than 1 year..... 1

1 to 2 years..... 2

3 to 5 years..... 3

6 to 9 years..... 4

10 years or more..... 5

***Thank You For Completing***

***This Survey***



***If you are unsure about  
any aspect of this survey  
then please ring  
the Hot Line (04) 383-7699  
Chrissy Lyons***

**Appendix 3** Team Member's Questionnaire For Quantitative Methodology  
Phase 1 ( Data Not Used).

Management Education and Development Phase One  
Questionnaire

How To Complete This Questionnaire



For each question , please circle the number which best fits the answer you want to give.  
( Please note: all of these questions are based on your supervisor's behaviour. That is, does your supervisor's behaviour show.....)

For example:

His /Her behaviour is such that it creates a climate of mutual trust.....

Always	Most of the time	Some of the time	Rarely or Never
4	3	2	1

If you believe your supervisor always does this, you would circle the number '4' like this:

.....  4      3      2      1

If you believe your supervisor does this most of the time you would circle '3' like this:

..... 4       3      2      1

If you believe your supervisor rarely or never does this, you would circle the '1' like this:

..... 4      3      2       1

\* If you make a mistake or want to change an answer, just put a cross through the number you have circled like this ~~4~~ and circle the new number that best fits the answer you want to give.

# Supervision and Management



*How am I and my team managed?*

## Assessment Questionnaire

He, she (*Your supervisor, Team-leader or manager*)

	Always	Most of the time	Some of the time	Rarely or Never
1. Creates a climate of mutual trust .....	4	3	2	1
2. Communicates information rapidly (with the exception of confidential information).....	4	3	2	1
3. Promotes conditions which allows the team to perform effectively.....	4	3	2	1
4. Delegates according to each person's aptitudes and skills.....	4	3	2	1
5. Meets with his/her team to review their work.....	4	3	2	1
6. Tries to develop professionalism, motivation and team spirit.....	4	3	2	1
7. Helps the team overcome their difficulties.....	4	3	2	1
8. Acknowledges each person's contributions to the success of the team.....	4	3	2	1
9. Encourages initiative, innovation and the expression of new ideas.....	4	3	2	1
10. Adapts work methods to social and technological change.....	4	3	2	1
11. Gives the team the autonomy needed to carry out their work.....	4	3	2	1
12. Manager consults with me about my training needs.....	4	3	2	1
13. Encourages the entire team to share our common goal: providing the best customer service.....	4	3	2	1
14. Circulates information rapidly within the team.....	4	3	2	1
15. Encourages direct communication between members of his/her team and people of other working teams.....	4	3	2	1
16. Promotes the organisations corporate values.....	4	3	2	1
17. When asked by the team passes on concerns to management.....	4	3	2	1
18. Helps staff members to improve their skills.....	4	3	2	1

	Always	Most of the time	Some of the time	Rarely or Never
19. Acts in accordance with what he/she says.....	4	3	2	1
20. Recognises the right of each person to make mistakes when taking initiatives.....	4	3	2	1
21. Ensures that objectives are clear and well-understood.....	4	3	2	1
22. Challenges work processes in order to improve customer satisfaction. ....	4	3	2	1
23. Supports decisions made by my management and by the organisation.....	4	3	2	1
24. Manages his/her time according to the priorities he/she has set.....	4	3	2	1
25. Makes constructive suggestions to improve company operations.....	4	3	2	1
26. Ensures that the team keeps its commitments to our agreed operations.....	4	3	2	1
27. Ensures that the team keeps its commitments to our agreed decisions.....	4	3	2	1
28. Demands of others what he/she demands from himself/herself.....	4	3	2	1
29. Promotes a sense of responsibility among those he/she works with....	4	3	2	1
30. Praises appropriately.....	4	3	2	1
31. Gives appropriate feedback to team members on poor performance.	4	3	2	1
32. Develops a participative an consultative working style of management.....	4	3	2	1
33. Is recognised for his/her managerial and leaderships skills rather than for his/her position only.....	4	3	2	1
34. Develops team work.....	4	3	2	1
35. Encourages others to seek improvement.....	4	3	2	1



## Finally About You



*These details will help us to see whether particular groups of employees of our organisation share the same view. Your details are grouped with those of other employees and you will not be individually identified. Remember all your answers are completely confidential. For each question please circle the number which applies to you.*

Are you

Male ..... 1

Female..... 2

Your age is between

20-27.....1

28-35.....2

36-42.....3

43-50.....4

50-58.....5

59-65.....6

*Which of the following best describes your ethnicity?*

European/Pakeha.....1

NZ Maori.....2

Pacific Island.....3

Asian.....4

Other (specify).....5

*How long have you been in this position or a similar full-time position?. (Please include your current position and previous positions.*

Less than 1 year.....1

1 to 2 years.....2

3 to 5 years.....3

6 to 9 years.....4

10 years or more.....5

*Thank You For Completing*

*This Survey*



*If you are unsure about  
any aspect of this survey  
then please ring  
the Hot Line (04)  
Chrissy Lyons*

## Appendix 4

### Portion Of A letter Sent to Massey Supervisor Regarding New Study.

*Extract from a letter to the researcher's supervisor explaining the reason for a slightly different slant on the study. (The name of the organisation and the participants titles has been omitted to protect the participants)*

Education Department  
Massey University  
Private Bag 11504  
Palmerston North

11<sup>th</sup> April 1998

John as I explained to you on the phone, having had a long discussion with my Independent Intermediary collecting the questionnaires, I have decided to put a different slant on my study. The main reason for this is because of a phone call that Helen (Independent Intermediary) received from one of the participants. The participant expressed concerns about his involvement in the study. A feeling I understand which is common to other Team Leaders. As you know the organisation that these participants belong to is going through some rather large incremental changes. This is not new, but since I left six months ago, the internal environment has deteriorated quite dramatically. Tension is high and people feel threatened. Because of the union stance on (.....Team Leaders) (i.e. encouraging all union members to refuse to work alongside these .....), these particular employees are feeling vulnerable and isolated. I do not want to add to the pressure that some individuals are already feeling. My belief is that given the extremely fragile environment, and fragmented organisational culture that these individuals are working in at present; Interviewing Team Members about their Team Leader's management skills, will only add to the sense of insecurity that some Team Leaders are already feeling.

I know these people very well, and was extremely supportive of them while in my position of *Management Development Consultant* at the *Training College*. Because of the Colleges' openly non-political stance (i.e. *we were there to educate, encourage and develop everyone within the organisation, old contract and new contract employees*), occasionally we got caught in the cross-fire of criticism from life-long union members (old contract employees).

Hence I believe, even if Team Leaders felt threatened, they would still participate. Moreover as the anonymous caller stated to Helen (Independent Intermediary) “I do not want to let Chrissy down”. It is for this reason that I do not want to put these people into a position where they feel in any way threatened or insecure, and doing such an in-depth study on Team Leader’s management skills could leave some of them feeling very threatened.

As stated earlier I have therefore decided to change the slant of the study slightly to ensure:

1. Participants in **no way** feel threatened by participating in the study.
2. The emphasis will be on the **positive possibilities of using these newly acquired management skills within the framework of the individual’s working environment.**

This will mean:-

- Only Team Leaders are now interviewed.
- A much larger sample of Team Leaders will need to be interviewed. Possibly 15 or 16.
- The research is regarding “*transference of learning*”.

The process is similar to the original in that there will be two interviews. The first during their studies and the second some time after the studies have finished.

In the first interview (**Interview 1**) the participants will be asked to identify three new management skills that they are currently learning. As a memory jog, a list of 30 competencies that they are currently studying will be presented to them. (*These skills will have been extracted from the curriculum of the management unit standards the students are studying*)

Various questions will be asked for example

- What is a management skill you have learnt from your studies that you would like to implement? (each Team Leader will be asked to select three)
- How would you implement this on the job? (identify ways)
- What would you do? (strategies)

- What outcome(s) would you expect to achieve? (hypothesis?)
- How will you know you have achieved these outcomes(s)? ( what will the indicators be)

In the second interview (**Interview 11**) the participants will be asked to refer to their original skill selection, some of the follow-up questions will be asked.

- Having implemented or attempted your **three** new management skills, do you believe you have achieved your originally hypothesised outcomes?
- **If yes**, how do you know? What were the indicators? What helped you?
- **If no**, then given, that we are living in an ideal environment and you are working in the ideal organisational environment, what would have helped you.
- **What help, support, resources** did you need that you did not get?
- **What environmental influences** (both macro and micro) were there, that may have affected the outcome(s), either positively or negatively?

John can you please read over this and advise what you think?

Thanks

Kindest Regards  
Chrissy Lyons

**Appendix 5**

**Management Education and Development**

***CONSENT FORM***

I have read the Information Sheet and have had the details of the study explained to me. My questions have been answered to my satisfaction, and I understand that I may ask further questions at any time.

I understand the right to withdraw from the study at any time and to decline to answer any particular questions.

I agree to provide information to the researcher on the understanding that my name will not be used. *(The information will be used only for this research and publications arising from this research project).*

I agree to participate in this study under the conditions set out in the Information Sheet.

**Signed:** .....

**Name** .....

**Date** .....

## **Appendix 6**

### **Letter From The Participant's National Training Manager**

20th March 1998

#### **TO WHOM IT MAY CONCERN**

##### **Re Management Education Training and Development Research Study.**

As a Team Leader enrolled in studying 5 management unit standards, you and your team are invited to take part in a research study. The researcher is Chrissy Lyons, Chrissy now works as the Training Manager at Westpac Trust Tele-Service Centre.

The research study is for partial completion of Chrissy's Masters in Education with an endorsement in (Guidance Studies). Chrissy is completing this Masters Degree through Massey University and is under the supervision of John O'Neill, Department of Education Massey University (Tel. 06-356-9099).

This research study is a comparative longitudinal study and will be conducted in three parts.

1. The first is a questionnaire (to be filled out anonymously) for both Team Leaders and Team Members to gather background data using quantitative analysis.
2. The second part uses qualitative analysis, that is 1 to 1 interviews. These will be taken from a small random sample midway through the Management Studies.
3. The third and final part is a follow up interview with the same random sample two to three months after completion of the Unit Standards.

Because Chrissy wanted part one of the study (the questionnaires) to be completed anonymously, she has appointed an Independent Intermediary to give out and receive back the questionnaires and consent forms. The Independent Intermediary is Helen Chipper, she is the Deputy Principal of Taita College. (Wk. Tel No. (04) 567-8728).

Below are some points relating to questions you may have.

- Participation in this study is voluntary and anonymous.

- Participation is totally independent from any evaluation within your own training programme.
- All information obtained by Chrissy will be kept totally confidential.
- You have the right to pull out at any stage.
- You have the right to ask as many questions as you like either through the Independent Intermediary or Chrissy herself.
- The information obtained from the study will be used only for Chrissy's Thesis.

I believe that this is a very worthwhile study and for this reason would ask that you take the time to fill out the questionnaires and return them to the Independent Intermediary as soon as possible.

Manager, Training and Development  
National Office



## Appendix 7

Letter of explanation from the researcher to the potential participants of the study.

10 Cluny Road  
Plimmerton  
Wellington

21st March 1988

### TO TEAM LEADERS AND TEAM MEMBERS

**Re: Management Education Training and Development Research Study.**

Hi, to one and all. This is just a quick note to explain the why, what, how and who of the research study.

#### **Why**

As explained to you this study is for a Thesis I am doing in partial completion of my Masters in Education.

#### **What**

My Thesis is on 'Management Development' and the reasons I have chosen to study Team Leader/Officer over any other level of Management within the Fire Service are because I believe that your development is crucial to the philosophy of a learning organisation. I also believe that your level of Management has the most influence within the organisation as it controls the "*critical mass*" of people.

#### **How**

How am I going to conduct this research? Hopefully with your help and with the help of an Independent Intermediary, Helen Chipper. (Wk. Tel. No. (04) 567-8728.) The research is divided into three parts:-

1. There is an initial questionnaire for both Team Leaders and Team Members. You are invited to fill out the consent form along with the questionnaire and send them back to the Independent Intermediary in the enclosed stamped addressed envelopes provided. The questionnaires take approximately 10 minutes for the Team members to fill in, and 20 minutes for the Team Leaders to fill in. The Independent Intermediary will detach the consent forms from the questionnaires and collect them (separately) for me. Once all the questionnaires are back in, I can then begin my background data collation.

2. Part two uses qualitative analysis, which means interviews. The interviews will be conducted using a *small sample* of those participants who consented to undertake the study. This small group of Team Leaders and Team Members will be selected from the collection of consent forms that the Independent Intermediary had previously *detached from the questionnaires*. The selection method within this group will be random sampling.
3. The third and final part is a follow up interview with the previously selected interviewees. This interview will be approximately two to three months after completion of the Unit Standards.

In bullet point form below I have tried to pre-empt any questions or concerns you may have, by answering some myself .

- By using an Independent Intermediary for the initial distribution and collection of consent forms and questionnaires, anonymity is guaranteed.
- All information that I receive from the study will be kept strictly confidential.
- Generalised statistics will be used in the final qualitative analysis.
- Any information or statistics gathered will be used for my Thesis work only.
- If for any reason, after consenting to undertake the study, and invited to participate in part 2 (the interview), you change your mind , you can pull out with no questions asked.
- If you happen to be selected for the 1 to 1 interview. I will again ask your permission through the Independent Intermediary. The interview will be arranged for a pre-elected time and place that suits you.
- If you have any questions, concerns, comments or suggestions I would welcome them, feel free to contact me. My home telephone number is (04) 233-9648. My cell phone number is (025) 284-0461. Or if you would rather talk to the Independent Intermediary, her work number is (04) 567-8728
- Once my Thesis has been accepted and passed by the University you are more than welcome to read it. (I am obviously looking on the positive side here, in that, the Thesis meets the required standards and is accepted).

I hope this covers all the potential questions that you may or may not have.

**I understand that your time is precious, however I would very much appreciate you taking the time to fill out these questionnaires and return them plus the consent form in the enclosed stamped addressed envelope, as soon as possible.**

**Once again many thanks for your help and co-operation it is much appreciated.**

Kindest regards



**Chrissy Lyons**

## Appendix 8

Letter to participant Regarding Interview One

P.O. Box 54-155

Mana

Wellington

Interviewees address

Attention Team Leader/Officer

Dear

Thank you for agreeing to take part in this study. Interview one will take place on ..... Please find enclosed:-

- (1) A copy of the key question surrounding this study
- (2) A copy of the interview questions you will be asked in *interview one*
- (3) A list of competencies you are studying. You will be invited to select three of these competencies, hypothesise how you will implement them on the job and then monitor the implementation process over the following five months.
- (4) A copy of the management unit standards that you are presently studying.

Thank you again for participating in this study. If you need to contact me prior to *interview one* my home telephone number is (04) 233-9648. My work number is (04) 494-7502.

Regards



Chrissy Lyons

**Appendix 9** Letter to participants from Independent Intermediary

46 Grays Road  
Plimmerton  
Wellington

21 April 1998

Dear Team Leaders & Members

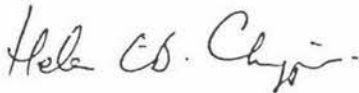
**Ref: Management Training & Development Research Study for  
Chrissy Lyons**

Thank you very much to all those of you who have taken the time and trouble to complete the questionnaires sent to you at the end of March. I have not yet given the assorted forms to Chrissy as I would like to give them to her in one complete pile, well assorted, to ensure and guarantee total confidentiality and anonymity.

I would therefore be most grateful for the return of any forms which are still sitting in your in-trays! I have had a steady stream but more would be tremendous. Obviously the bigger the sample the better.

I would like to give my personal assurance of anonymity in the process but if you do have any concerns please do not hesitate to contact me on -  
04 233 9495(H) or 04 567 8728(W)

Yours sincerely



Helen C.B. Chipper  
Independent Intermediary  
Assistant Principal  
Taita College

## Appendix 10

### Competencies Studied by Team Leaders

<b>Skill And Competencies Taught Within Management Unit Standards</b>
1. Analyse work content and identify competence requirements in relation to work demands.
2. Help provide an environment within the workplace that encourages growth in others (team members)
3. Use job analysis information to identify workplace requirements for job descriptions and person specifications.
4. Produce selection criteria for recruitment to the work group.
5. Identify factors influencing the changing composition and operation of work groups and assess these factors for incorporation into work group plans.
6. Analyse team leadership and use team-building skills
7. Encourage team building and develop communication within the team.
8. Implement team-building exercises and activities and analyse their effectiveness
9. Establish training and development objectives with team and individuals.
10. Organise training and development activities for teams and individuals
11. Assess achievement of training and development objectives.
12. Develop and implement personal development plans.
13. Develop and implement strategies for managing change in the workplace.
14. Examine the relationship between organisational design and achievement of organisational goals.
15. Identify alternative organisational structures
16. Identify the impact of environmental factors on the management of organisations.
17. Identify the roles of managers within organisations
18. Apply principles of organisations to workplace operations
19. Effectively utilise physical resources
20. Supervise production of goods and or services.
21. Manage and measure workplace production.
22. Manage quality of products and services
23. Implement workplace control techniques.
24. Report on operations
25. Devise and apply strategies to establish productive working relationship with colleagues and managers.
26. Develop work groups plans to achieve equal opportunity and equity objective in the workplace.
27. Identify and minimise personal conflict in the workplace.
28. Implement and supervise employment conditions.
29. Meet legal requirements, cultural, social and equal employment responsibilities for workplace operations.
30. Organise and run a meeting

## **Appendix 11**

### **Key Research Question to the Participant**

This study is about transfer of learning. The researcher will explore the questions around what organisational conditions and personal attitudes are necessary for you as a manager *to transfer the skill* and knowledge you have learnt in your management studies to the work environment.

## Appendix 11a

Summary sheet of selected competencies and hypothesised strategies and outcomes.

<b>(1)Skill or competencies selected</b>	<b>(2)How will you implement this on the job? (identify behaviours or actions)</b>	<b>(3)What will you do? (specific strategies to be undertaken, resources sources help needed or obtained)</b>	<b>(4)What outcome(s) would you expect to achieve</b>	<b>(5)How will you know when you have achieved your outcomes? (What will the indicators be)</b>
(1)				
(2)				
(3)				

## Appendix 12

Summary sheet of Team leader feedback: *retransfer of selected competencies to the workplace.*

<p><b>(1) Skill or competencies selected</b></p>	<p><b>(2) Do you believe you achieved your hypothesised outcomes (If Yes how many?)</b>   <b>(3) What were the indicators of transfer.</b></p>	<p><b>(1) What helped you achieve the outcomes?</b>   <b>(5) What environmental influences where there?</b></p>	<p><b>(6) If NO, (how many?) What, would have helped you achieve your hypothesised outcomes? What help, support resources did you need?</b></p>	<p><b>(7) What environmental influence(s) micro and macro may have affected the outcomes? (both positive and negative) (E.g. micro: peers, resources policy macro: external constraints i.e. govt. policy, external funding etc).</b></p>
(1)				
(2)				
(3)				



## Appendix 13

Thank you letter from Researcher

Address

P.O. Box 54-155  
Mana  
Wellington

1<sup>st</sup> February 2000

Good Morning,

The end of the year came and went, and my thesis is all but complete. I would like to thank you very much for participating in this study. I appreciated the time you spent filling in the questionnaire and participating in the interviews.

I have enclosed an article I thought may be of interest to you. This article relates very to the management subjects that you have been studying over the past year. You may find some of the content useful in your studies particularly the discussion on the new X generation.

I can't finish this letter without a quote. So today's quote is from a great book by Susan Jeffers, called 'End the Struggle and Dance with Life'.

*"In stead of seeing the rug being pulled from under us,  
we can learn to dance on a shifting carpet".*

*quote by Thomas F Crum.*

I hope that 2000 brings your organisation synthesis and unity.

Kindest Regards



Chrissy Lyons

## Appendix 14

### Unit 1983 FIRST LINE MANAGEMENT Analyse work content and identify work group needs

<b>level:</b>	4
<b>credit:</b>	5
<b>final date for comment:</b>	September 1995
<b>expiry date:</b>	December 1996
<b>sub-field:</b>	Management
<b>purpose:</b>	<p>This unit is for people who manage or seek to manage or supervise work groups and contribute to the recruitment of staff.</p> <p>People credited with this unit are able to analyse work content and identify competence requirements in relation to work demands; use job analysis information to define workplace requirements for job descriptions and person specifications; produce selection criteria for recruitment to the work group; identify factors influencing the changing composition and operation of work groups and assess these factors for incorporation into work group plans.</p>
<b>entry information:</b>	Open.
<b>accreditation option:</b>	Evaluation of documentation and visit by NZQA, industry and teaching professional in the same field from another provider.
<b>moderation option:</b>	A centrally established and directed national moderation system has been established by NZQA on behalf of the Business and Administration Advisory Group.
<b>special notes:</b>	None.

#### Elements and Performance Criteria

##### element 1

Analyse work content and identify competence requirements in relation to work demands.

##### performance criteria

- 1.1 Performance goals and objectives of the work group are clarified in relation to overall organisational mission statement and strategic plan.

- 1.2 Regard is shown for cultural needs and sensitivities of the work group and for Equal Employment Opportunities.
- 1.3 Skills and competence of existing staff are evaluated against goals and objectives and gaps in capability to achieve objectives are identified.
- 1.4 Job analysis tools are evaluated and selected to collect information.  
Range: direct observation, structured interview, questionnaire, soliciting information from people with previous experience in performing or supervising the job.
- 1.5 Job analysis information is produced for specific activities performed.  
Range: critical physical and mental tasks; work methods and equipment used; physical, environmental and psychological work conditions

## **element 2**

Use job analysis information to define workplace requirements for job descriptions and person specifications.

### **performance criteria**

- 2.1 The job description is defined in terms of job purpose, tasks, duties, responsibilities, accountability.
- 2.2 Key result areas and individual performance standards are written for workplace activities.
- 2.3 The person specification is defined in terms of skills, knowledge, abilities and attributes that a person needs in order to perform the job competently in the workplace.

## **element 3**

Produce selection criteria for recruitment to the work group.

### **performance criteria**

- 3.1 Criteria produced meets legal, Equal Employment Opportunity and organisational requirements
- 3.2 Criteria produced targets immediate and projected competence requirements of the work group.
- 3.3 Criteria produced accurately reflects the demands and conditions of the position.
- 3.4 Criteria produced reflects the level of training and development available to the work group.

#### **element 4**

Identify factors influencing the changing composition and operation of work groups and assess these factors for incorporation into work group plans.

#### **performance criteria**

- 4.1 Employment expectations of work group members are assessed and incorporated into work group plans.
- 4.2 Changes in the composition of the labour force in relation to age, sex, ethnicity, disability and family status are identified and incorporated into workgroup plans for future work group composition.
- 4.3 The impact of technology on work group operations is assessed and incorporated into work group plans.
- 4.4 Options for work group employment are identified and incorporated into work group plans.  
  
Range: contract, temporary, full time.
- 4.5 The use of self managing teams is assessed as an option for work group operations and advantages and disadvantages identified.

#### **Comments to:**

Business and Administration (Small Business Management)  
Unit Revision  
PO Box 160  
WELLINGTON

by September 1995.

**Please Note:** Providers must be accredited by the Qualifications Authority before they can offer programmes of education and training assessed against unit standards. The Qualifications Authority has published a booklet, *Guidelines and Criteria for Accreditation to offer National Certificates and National Diplomas*, which is available for \$15 from the Sales Officer, New Zealand Qualifications Authority, PO Box 160, Wellington.  
Telephone: (04) 802-3000; Fax: (04) 802-3110.

**Unit 1984**  
**FIRST LINE MANAGEMENT Develop the performance of teams and individuals**

<b>level:</b>	4
<b>credit:</b>	5
<b>final date for comment:</b>	September 1995
<b>expiry date:</b>	December 1996
<b>sub-field:</b>	Management
<b>purpose:</b>	<p>This unit is for people who manage or seek to manage or supervise work teams and have responsibility for facilitating training and developing team members.</p> <p>People credited with this unit are able to analyse team leadership roles and use team building skills; establish training and development objectives with team and individuals; organise training and development activities for teams and individuals; assess achievement of training and development objectives; develop and implement personal development plan/s; develop and implement strategies for managing change in the workplace.</p>
<b>entry information:</b>	Open.
<b>accreditation option:</b>	Evaluation of documentation and visit by NZQA, industry and teaching professional in the same field from another provider.
<b>moderation option:</b>	A centrally established and directed national moderation system has been established by NZQA on behalf of the Business and Administration Advisory Group.
<b>special notes:</b>	None.

### Elements and Performance Criteria

#### element 1

Analyse team leadership roles and use team building skills.

#### performance criteria

- 1.1 The organisational environment and culture is examined to determine the feasibility of team building and development.

- 1.2 Autocratic, consultative and participative leadership styles are contrasted and evaluated for effectiveness in achieving work group objectives.  
Range: consideration is given to the Managerial Grid assessment technique, contingency models, situational leadership model.
- 1.3 Team leadership roles are analysed and evaluated for effectiveness in motivating team members.  
Range: building up trust and respect of group members, encouraging initiative aimed at improving work group operations, listening to concerns of work group members, valuing contributions of group members, identifying needs of work group members, recognising ethnicity of work group members, recognising gender and cultural diversity of work group members.
- 1.4 Leadership style is varied to meet workplace situations.  
Range: level of task, level of relationship.
- 1.5 Principles of effective delegation are established and applied.  
Range: devolvement of responsibility to work group members; setting context for delegation; establishing clear objectives and standards; granting autonomy and formal authority to act.
- 1.6 Team building skills are applied.  
Range: contributing and sharing job-related and personal information; increasing understanding about individual jobs and responsibilities, developing team objectives, considering problems and formulating joint decisions

## **element 2**

Establish training and development objectives with teams and individuals.

### **performance criteria**

- 2.1 Assessments are made of current and potential competence of team members in relation to work group demands.
- 2.2 Evaluations of individual training and development needs are completed.
- 2.3 Training and development objectives are agreed with teams and individuals.
- 2.4 Available resources and given constraints, including Equal Employment Opportunity barriers, are identified and training and development plans produced for use of resources.
- 2.5 Training and development objectives for teams and individuals include provisions for regular review and confirmation of achievement, recognise ethnicity of work

group members and Equal Employment Opportunities.

**element 3**

Organise training and development activities for teams and individuals.

**performance criteria**

- 3.1 Options for on the job training, coaching and mentoring are assessed and incorporated into training and development plans.
- 3.2 Internal and external training and development resources are assessed and activities selected that meet team, individual, organisational and Equal Employment Opportunity requirements.
- 3.3 Training and development activities implemented are evaluated against training and development plans and Equal Employment Opportunity provisions.

**element 4**

Assess achievement of training and development objectives.

**performance criteria**

- 4.1 Work performance of teams and individuals is observed and assessed for achievement of training and development objectives.
- 4.2 Methods of assessment meet organisational and Equal Employment Opportunity guidelines.
- 4.3 Feedback is provided to teams and individuals on results of assessments.
- 4.4 Support and assistance is provided to teams and individuals as agreed through the training and development process.
- 4.5 Training and development activities are reviewed and amended in accordance with progress made by participants and extent of achievement of training and development objectives.

**element 5**

Develop and implement personal development plan/s.

**performance criteria**

- 5.1 Personal career goals and development objectives are established.
- 5.2 Self assessment is completed and key performance strengths and key development areas identified.
- 5.3 Performance is reviewed with peers and manager/s in a manner responsive to

diverse needs.

- 5.4 Strategies are formulated to overcome potential obstacles to development.
- 5.5 Development objectives and plan/s are agreed with manager/s.
- 5.6 Personal performance skills developed are applied in the workplace.

#### **element 6**

Develop and implement strategies for managing change in the workplace.

#### **performance criteria**

- 6.1 Strategies developed and implemented encourage participation by work group members in planning for change; clarify reasons for change; share full information about planned changes.
- 6.2 Strategies developed and implemented give adequate lead-in time for change; break planned changes down into manageable components; give clear guidelines as to standards, requirements and expectations of change.
- 6.3 Strategies developed recognise competence to change and foster commitment to change.
- 6.4 Strategies developed and implemented incorporate provisions for compensation and support.
- 6.5 Strategies developed show cultural consideration in both development and implementation stages and recognise Equal Employment Opportunity issues.

#### **Comments to:**

Business and Administration (Small Business Management)  
Unit Revision  
PO Box 160  
WELLINGTON

by September 1995.

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Telephone: (04) 802-3000; Fax: (04) 802-3110.



**Unit 1985**  
**FIRST LINE MANAGEMENT Identify key organisational principles and apply them to workplace operations**

<b>level:</b>	4
<b>credit:</b>	5
<b>final date for comment:</b>	September 1995
<b>expiry date:</b>	December 1996
<b>sub-field:</b>	Management
<b>purpose:</b>	<p>This unit is for people who have or seek management or supervision responsibilities within organisations.</p> <p>People credited with this unit are able to examine the relationship between organisational design and achievement of organisational goals; identify alternative organisational structures; identify the impact of environmental factors on the management of organisations; identify the roles of managers within organisations; apply principles of organisation to workplace operations.</p>
<b>entry information:</b>	Open.
<b>accreditation option:</b>	Evaluation of documentation and visit by NZQA, industry and teaching professional in the same field from another provider.
<b>moderation option:</b>	A centrally established and directed national moderation system has been established by NZQA on behalf of the Business and Administration Advisory Group.
<b>special notes:</b>	The elements and criteria specified in this unit will be related to the operation/s of specific organisation/s.

### Elements and Performance Criteria

#### element 1

Examine the relationship between organisational design and achievement of organisational goals.

#### performance criteria

- 1.1 The key elements of organisational design are identified. Range: structure, people, tasks, decision and reward systems, informal organisation and culture.

- 1.2 The purpose of organisational design is considered.  
Range: integration of diverse functions and characteristics of organisations.
- 1.3 The use of organisational design to achieve organisational goals is analysed.  
Range: finding a match between key elements, strategy and structure.

## **element 2**

Identify alternative organisational structures.

### **performance criteria**

- 2.1 Alternatives for structuring organisations are identified.  
Range: simple structure, functional structure, divisional structure, strategic business units, matrix structure.
- 2.2 Advantages and disadvantages of alternative structures are assessed.
- 2.3 The structure of an organisation is analysed and charted.

## **element 3**

Examine the impact of environmental factors on the management of organisations.

### **performance criteria**

- 3.1 External environmental factors are identified.  
Range: economic climate, government policy, social and ethical considerations, competition.
- 3.2 Internal environmental factors are analysed.  
Range: organisational culture, technological change, innovation, nature of business activities.
- 3.3 The extent of stability and of change in the environment is assessed as a factor in the design of structures.
- 3.4 Characteristics of mechanistic and organic designs are analysed in terms of suitability for stable or changing environments.
- 3.5 The relationship of organisational size, organisational design and organisational life cycle is examined.
- 3.6 Environmental factors are analysed for a specified organisation.  
Range: external factors, internal factors, stability, change, size, the ethnic

mix of the workforce, demographic trends in labour market and population.

**element 4**

Identify the roles of managers within organisations.

Range: management roles are examined on the basis of the expectation that organisational resources will be optimised to achieve organisational objectives

**performance criteria**

- 4.1 A general classification of management levels is analysed.  
Range: op level, middle level, first-line/supervisory level.
- 4.3 Current trends for management levels are examined and conclusions determined.
- 4.4 Management roles are examined and responsibilities for production activities and responsibilities for support services are identified.
- 4.5 Management roles are analysed and management functions performed and managerial skills required are identified.
- 4.6 Roles of managers within an organisation are identified.  
Range: levels, functions, skills, responsibilities.
- 4.7 Managers' roles reflect the need for cultural appreciation and for recognition and implementation of Equal Employment Opportunity policies and practices.

**element 5**

Apply principles of organisation to workplace operations.

**performance criteria**

- 5.1 Work assignments are determined for essential tasks.
- 5.2 Composition of work groups and coordination responsibilities are established and monitored for effective completion of essential tasks.
- 5.3 Responsibility is delegated, authority and accountability established for management of work group activities.
- 5.4 Opportunities for consideration of cultural and Equal Employment Opportunity approaches to work group activities are identified.
- 5.5 Work group performance is focused on and monitored for achievement of workplace objectives.

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**Unit 1987**  
**FIRST LINE MANAGEMENT Create and maintain positive workplace relationships**

<b>level:</b>	5
<b>credit:</b>	5
<b>final date for comment:</b>	September 1995
<b>expiry date:</b>	December 1996
<b>sub-field:</b>	Management
<b>purpose:</b>	<p>This unit is for people who manage or seek to manage or supervise work teams and have responsibility for the creation and maintenance of a productive working environment.</p> <p>People credited with this unit are able to devise and apply strategies to establish productive working relationships with colleagues and managers; develop work group plans to achieve equal opportunity and equity objectives in the workplace; identify and minimise personal conflict in the workplace; implement and supervise employment conditions; meet legal requirements, cultural and social responsibilities for workplace operations.</p>
<b>entry information:</b>	Open.
<b>accreditation option:</b>	Evaluation of documentation and visit by NZQA, industry and teaching professional in the same field from another provider.
<b>moderation option:</b>	A centrally established and directed national moderation system has been established by NZQA on behalf of the Business and Administration Advisory Group.
<b>special notes:</b>	Access is required to current employment, industrial relations and labour relations agreements and associated legislation; current health and safety legislation; current consumer and environmental legislation; central and local government regulations governing workplace operations.

### Elements and Performance Criteria

#### element 1

Devise and apply strategies to establish productive working relationships with colleagues.

**performance criteria**

- 1.1 Strategies involve workplace colleagues in the development of goals and objectives.
- 1.2 Strategies incorporate opportunities for colleagues to discuss work related matters and personal issues.
- 1.3 Strategies encourage individuals to be innovative, tolerant and give due recognition for ideas and views offered.
- 1.4 Strategies require that feedback and advice is offered to colleagues in a positive manner and undertakings to colleagues are met.
- 1.5 Strategies ensure that colleagues are informed about changes in policy and work place operations which may affect them.
- 1.6 Strategies provide for concerns over quality of work to be raised directly and discussed with the people concerned.
- 1.7 Strategies take account of varied ethnic needs and Equal Employment Opportunities.

**element 2**

Devise and apply strategies to establish productive working relationships with manager/s.

**performance criteria**

- 2.1 Strategies ensure that immediate manager/s is kept informed of activities, progress and results of work group and information presented is clear, accurate and timely.
- 2.2 Strategies are devised to seek and exchange information and advice on matters within area of responsibility with manager/s.
- 2.3 Strategies provide for clear proposals for action to be communicated to manager/s that are detailed and timely.

**element 3**

Develop work group plans to achieve Equal Employment Opportunity and equity objectives in the workplace.

**performance criteria**

- 3.1 Organisational mission statement and strategic plan are analysed and expectations clarified for achievement of Equal Employment Opportunity and equity objectives in the workplace, including accountabilities, time frames and monitoring.
- 3.2 Plans prepared for work group recruitment and work group operations meet

organisational Equal Employment Opportunity and equity objectives.

- 3.3 Plans prepared for work group recruitment and work group operations meet legal requirements for Equal Employment Opportunities and human rights.

#### **element 4**

Identify and minimise personal conflict in the workplace.

##### **performance criteria**

- 4.1 Work group members are informed of expected standards of work and behaviour and of evaluation/appraisal provisions.
- 4.2 Opportunities to discuss work matters, \*including ethnic considerations, and Equal Employment Opportunities are regularly provided.
- 4.3 Potential and actual conflicts are identified and actions taken promptly to deal with them.
- 4.4 Conflict situations are referred to appropriate people according to organisational policy.
- 4.5 Actions taken to identify and minimise personal conflict satisfy legal and organisational requirements.
- 4.6 Records of conflict and outcomes are completed accurately to organisational requirements and confidentiality is maintained.

#### **element 5**

Implement and supervise employment conditions.

##### **performance criteria**

- 5.1 Employment conditions are identified for work place operations that meet the requirements of employment relations, labour relations, industrial relations, human rights and equal employment legislation.
- 5.2 Provisions of current Employment Contracts legislation are examined for application to workplace operations.
- 5.3 Provisions of specific employment agreements that affect workplace operations are analysed and procedures developed for their implementation.
- 5.4 Policies are established to identify and remedy personal grievances.
- 5.5 Policies are established to implement discipline procedures.
- 5.6 Work place supervision requirements take account of the maintenance of agreed and legislated employment conditions.

## **element 6**

Meet legal requirements, cultural, social and equal employment responsibilities for workplace operations.

### **performance criteria**

- 6.1 Provisions of current health and safety legislation are examined and procedures for workplace implementation are established.
- 6.2 Workplace operations are assessed for potential health and safety risks and methods of risk reduction and management are identified.  
Range: safety inspections, safety procedures, safety committee, safety officer, reporting procedures, staff training.
- 6.3 Central and local government requirements for workplace operations are examined and guidelines established to meet these requirements.
- 6.4 Provisions of consumer and environmental legislation are examined and relevance to workplace activities identified and implemented.
- 6.5 Ethical considerations for workplace activities are identified in relation to organisational policy. Range: moral obligations and principles.
- 6.6 Ethnic considerations and equal employment responsibilities for workplace activities are identified in relation to organisational policy.
- 6.7 Discretionary social and community responsibilities are identified in relation to workplace activities and organisational policy.  
Range: civic, public relations, community, corporate responsibilities.

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**Unit 1988**  
**FIRST LINE MANAGEMENT Supervise workplace operations**

<b>level:</b>	5
<b>credit:</b>	5
<b>final date for comment:</b>	September 1995
<b>expiry date:</b>	December 1996
<b>sub-field:</b>	Management
<b>purpose:</b>	This unit is for people who have or seek management or supervision responsibilities for workplace operations.  People credited with this unit are able to effectively utilise physical resources; supervise production of goods and/or services; manage and measure workplace production; manage quality of products and services; implement workplace control techniques; report on operations.
<b>entry information:</b>	Open.
<b>accreditation option:</b>	Evaluation of documentation and visit by NZQA, industry and teaching professional in the same field from another provider.
<b>moderation option:</b>	A centrally established and directed national moderation system has been established by NZQA on behalf of the Business and Administration Advisory Group.
<b>special notes:</b>	Access is required to current Resource Management and Safety legislation.

### Elements and Performance Criteria

#### element 1

Identify considerations for the effective utilisation of physical resources.

#### performance criteria

- 1.1 Analysis is produced of fixed costs, labour costs, required utilities and transportation costs for inputs and outputs produced.
- 1.2 Analysis of proposed location/s is produced that incorporates population demographics; availability of labour and transportation; extent of local, regional or central government support for establishment of business operations; access to

customers.

- 1.3 Physical layout of facilities is determined by process flow and flexibility; production sequence and volumes; methods of handling materials; extent and form of production technology.
- 1.4 Layout and operation of plant and equipment meets ergonomic considerations and provisions of current resource management and safety legislation.
- 1.5 Plans are produced for plant maintenance and for projected plant replacement.

## **element 2**

Supervise production of goods and/or services.

### **performance criteria**

- 2.1 Workplace objectives are established for the production of goods and/or services.
- 2.2 Production targets, production resources, plant capacity, financial resources and constraints, personnel requirements are identified in relation to workplace objectives.
- 2.3 Work is prioritised, allocated and supervised.
- 2.4 Systems are established to manage the flow of materials and supplies and minimise waste and delays. Consideration is given to Materials Requirements Planning and Just-in-Time systems.
- 2.5 Communication aids to monitor and maintain production are identified and used.
- 2.6 Production of goods and/or services meets targeted objectives.
- 2.7 Intrapreneurship is fostered in the workplace through the implementation of production policies that encourage articulation of new ideas, innovation and experimentation.

## **element 3**

Manage and measure workplace production.

### **performance criteria**

- 3.1 Production plans are implemented to minimise disruption, eliminate waste, maximise value of outputs in relation to costs of inputs.
- 3.2 Scheduling techniques are assessed for workplace operations and production is scheduled.

Range: Gantt Charts, Programme Evaluation and Review Technique - PERT method, Critical Path Method - CPM, work distribution charts, computer aided production scheduling.

- 3.3 Workplace productivity is measured in terms of the relationship of resource inputs to production outputs and recommendations for improvements to workplace productivity are formulated and presented.
- 3.4 Work measurement, work sampling and value analysis techniques are examined and applied to improve productivity methods.
- 3.5 Production processes are reviewed regularly and options for automation are identified.

**element 4**

Manage quality of products and services.

**performance criteria**

- 4.1 Organisational philosophy and commitment to product and service quality is examined and quality objectives are established.
- 4.2 Quality planning is completed and decisions made and communicated about quality requirements.
- 4.3 Workgroup responsibilities and processes for ensuring quality of products and services are agreed and implemented.
- 4.4 Quality inspection points and methods of quality measurement are determined and implemented.
- 4.5 The degree and method of inspection is determined and implemented.
- 4.6 Methods of Statistical Quality Control are examined for application to workgroup operations.

**element 5**

Implement workplace control techniques.

**performance criteria**

- 5.1 The nature of control and the control link between planning and achieving workplace objectives is examined.
- 5.2 Types of control and their uses are assessed for workplace operations.  
Range: feedforward, concurrent, feedback.
- 5.3 The focus of control for workplace operations is identified.  
Range: physical, financial, human and information resources.
- 5.4 Control processes are assessed and selected for workplace operations.

Range: quality, time, materials, cost, inventory management, production, performance, scheduling and deadline, control by exception, computerised control systems, financial and budgetary controls.

5.5 Key phases in the control process are identified and applied.

Range: creation of standards, monitoring performance against standards, comparison of outcomes with established standards, identifying needs for corrective action or adjustments.

5.6 Barriers to control are identified and trends towards excessive controls; aversion to accountability; loss of flexibility; inaccurate or arbitrary controls are minimised.

## **element 6**

Report on Operations.

### **performance criteria**

6.1 Reports address the extent to which operational goals and objectives have been achieved and make recommendations regarding changes in procedures or personnel.

6.2 Reports are accurate, timely, relevant, and consistent with organisational policy.

6.3 Information presented is organised, summarised and clarified to meet recipient's expectations.

6.4 Methods of presentation are analysed and methods appropriate to the nature of the reports are selected and used. Range: written, verbal, graphic, formal, informal, group, individual

6.5 Workplace operations are documented and comply with organisational requirements.

#### **Comments to:**

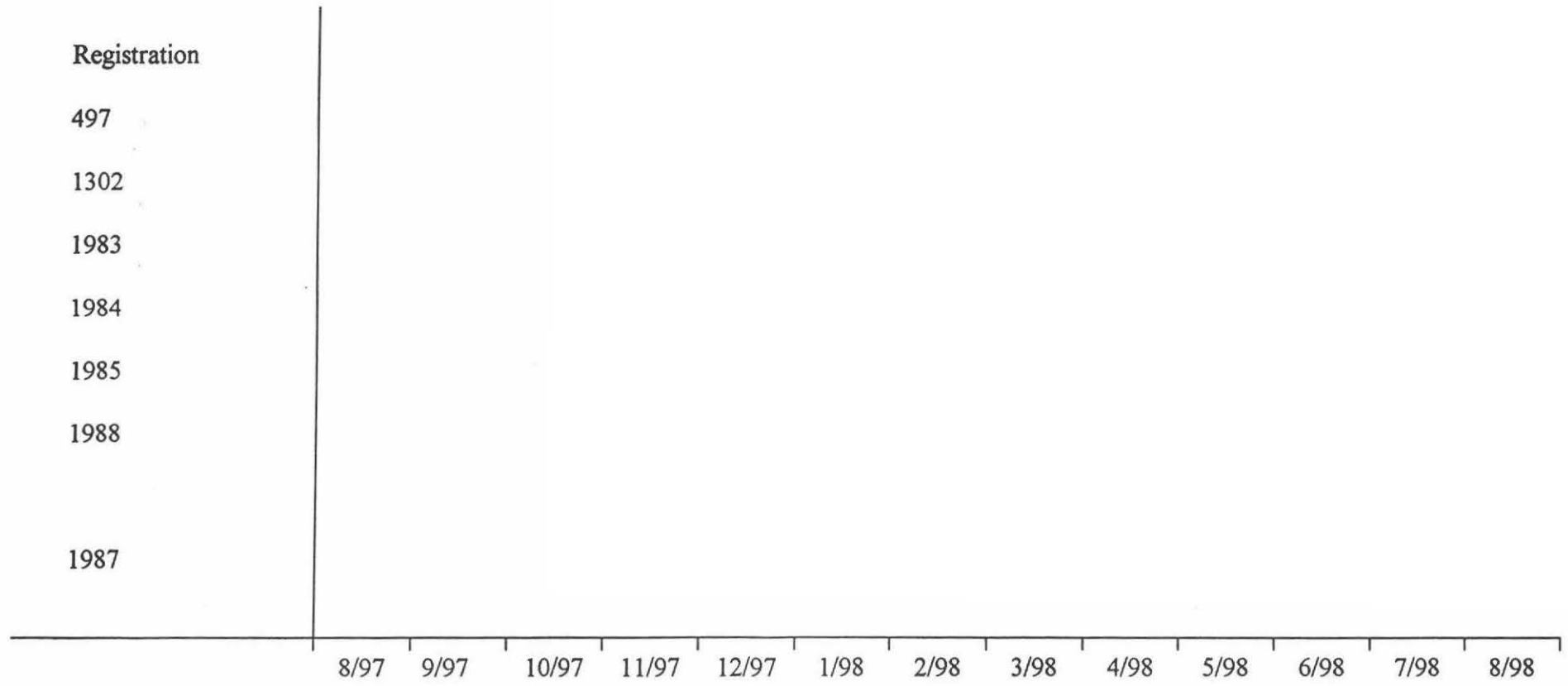
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**- time plan for units**



**Note:** If at the end of this time period units are incomplete, it will be necessary to re-register and reschedule in August 1998.

# Suicide call in doctored

**A doctored internal memo urging a mass suicide has highlighted the growing friction between [redacted] and [redacted]**

By MARK STEVENS

An internal memo on the crewing of [redacted] was doctored to read that the writer was a suicidal [redacted] calling for colleagues to join in a Jonestown cult-style mass suicide.

The memo was among documents obtained by The Post under the Official Information Act. They reveal conflict not only between [redacted] and [redacted] but among [redacted] on differing employment contracts.

The memo, initially penned by a [redacted] member to a [redacted], was later changed to include claims that the writer had been reduced to tears over internal friction at a North Island [redacted].

The [redacted] human resources corporate manager [redacted] said the original memo

related to the crewing of a [redacted] and went through the normal process for memos. However, someone gained access to the computer file and changed it to indicate that the writer was feeling suicidal and other details. It was then reprinted and pinned to a notice board.

It was revealed last month that conflict between [redacted] had reached a level of threats and intimidation.

[redacted] with an average three years of service, were largely recruited in 1996 as a new workforce to

They progress through

New Zealand Qualifications Authority assessments. All other [redacted] are known in the service as DIs, coming under the DI employment contract. They have an average length of service of 16 to 20 years, and progress through traditional internal examinations.

The doctored memo acknowledged the experience of [redacted] and labelled [redacted] as a "bunch of enthusiastic f... wits".

It said [redacted] were "so useless" they couldn't make up the numbers to

"You need to know that as a result of my frustration, I'm con-

templating suicide. Would anyone of my [redacted] mates care to join me? We could become famous, like Jonestown, only this would become '...town'. At the very least we would at last become popular with the

Also in the documents obtained by The Post was a letter to [redacted] chairwoman [redacted] reporting the "continual harassment that the [redacted] are receiving at ...

The author, who remained anonymous for fear of repercussions, said [redacted] had been harassed for the past three years, with senior management acknow-

# memo

ledging and, in some instances, encouraging it.

Another letter from a [redacted] in charge of a [redacted] outlined a colleague's incompetence, misuse of equipment and lack of knowledge.

New Zealand Union secretary [redacted] said there had always been conflict between [redacted] and [redacted] but there was less now than ever before.

Mr [redacted] said he believed [redacted] were employed to break the union and weaken the [redacted] employment contract. He blamed sour workplace relations on a lack of management experience and care



**Appendix 21**  
**Summarised Results from Interview One (16 Team Leaders)**

<b>Competencies Selected And Team Leader's Hypothesised On The Job Implementation Proposal</b>										
(1) No	Competency description	No. of T/L	(2) How will you implement this on the job? (Identify behaviour actions?)	No. of T/L	(3) What will you do? (Specific strategies to be undertaken?)	No. of T/L	(4) What outcomes do you expect to achieve? (hypothesis)	No. of T/L	(5) How will you know you have achieved your outcomes? (What will the indicators be?)	No. of T/L
2	Help provide an environment within the workplace that encourages growth in others (team members)	1	<ul style="list-style-type: none"> <li>• Create an atmosphere of competition between team members</li> </ul>	1	<ul style="list-style-type: none"> <li>• Explain benefits for individual achievement</li> </ul>	1	<ul style="list-style-type: none"> <li>• More motivated staff</li> </ul>	1	<ul style="list-style-type: none"> <li>• Increased motivation in comparison to other groups</li> <li>• Individuals have personal satisfaction within their daily work.</li> </ul>	1  1
6	Analysis team leadership and use team-building skills	1	<ul style="list-style-type: none"> <li>• Plan with the team</li> <li>• Delegate responsibilities</li> </ul>	1	<ul style="list-style-type: none"> <li>• Establish clear objectives</li> <li>• Use practical activities</li> <li>• Ensure objectives are achievable</li> <li>• Ensure team is on-board with plan methodology</li> <li>• Put in place quality control checks</li> </ul>	1 1 1 1 1	<ul style="list-style-type: none"> <li>• Team will be happy</li> <li>• Team will be working well together</li> <li>• Personal and team safety improved.</li> <li>• Team kept busy</li> <li>• Team would be learning</li> </ul>	1 1 1 1 1	<ul style="list-style-type: none"> <li>• The synergy will be obvious; everyone's ideas are acknowledged and listed too.</li> <li>• Team goals are achieved together.</li> <li>• No one hurt or injured</li> <li>• Objectives achieved if not exceeded.</li> <li>•</li> </ul>	1  1 1 1

9	Establish training and development objectives with team and individuals	7	<ul style="list-style-type: none"> <li>• Discussion with individual and teams.</li> <li>• Identify needs from skills matrix.</li> </ul>	7 5	<ul style="list-style-type: none"> <li>• Give team members a copy of the unit standards they need to cover for their progression.</li> <li>• Identify existing knowledge base by verbal needs analysis</li> <li>• Identify any gaps</li> <li>• Establish priorities for both groups and individuals</li> </ul>	3 7 4 7	<ul style="list-style-type: none"> <li>• Increased awareness of T/Ms knowledge base and skill or areas to improve in.</li> <li>• Staff motivated to improve their own skill level</li> <li>• Staff aware of assessment criteria and process</li> </ul>	7 4 1	<ul style="list-style-type: none"> <li>• T/Ms actively seek development or training in areas earlier identified as not yet being competent.</li> <li>• Increased number of requests for training.</li> <li>• T/Ms have a good knowledge of assessment criteria when asked</li> </ul>	7 7 1
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10	Organise training and development activities for teams and individuals	6	<ul style="list-style-type: none"> <li>• With the help of my team and other teams.</li> <li>• In discussion with specific individuals</li> </ul>	6	<ul style="list-style-type: none"> <li>• Select competencies (on the matrix) that the team or individuals need development in.</li> <li>• .Organise activities with outside organisations (obtain finances etc first)</li> <li>• Organise internal training sessions (combining with other teams).</li> <li>• Get team to conduct lecture in areas of expertise</li> <li>• Plan a program with logical sequence of actives (i.e. some training can be grouped together to maximum use of resources)</li> </ul>	6	<ul style="list-style-type: none"> <li>• Team more unskilled.</li> <li>• The job they do is seen as professional because they are more efficient on the job.</li> <li>• The team or individuals are happier and more motivated as their skill level increases</li> <li>• Personal safety increased as knowledge base is increased</li> </ul>	6	<ul style="list-style-type: none"> <li>• Number of operating audits drop as proficiency and efficiency increases</li> <li>• Individuals express a sense of team and personal achievement.</li> <li>• Less time needed to carry out tasks than before</li> <li>• Synergy of the team increased</li> <li>• Increases abilities demonstrated from all T/Ms</li> <li>• Less accidents as awareness and ability to avoid them increases</li> </ul>	4
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12	Develop and implement personal development plans	5	<ul style="list-style-type: none"> <li>Identify personal career objectives by person appraisal</li> </ul>	5	<ul style="list-style-type: none"> <li>Decide on area to study based on greatest need.</li> <li>Make a plan and then set about to achieve what I want</li> <li>Schedule time for study based on dates for assignment</li> <li>Identify and use support systems (strategies to achieve overall goals)</li> </ul>	5 3 2 5	<ul style="list-style-type: none"> <li>More focused on career objectives.</li> <li>Ability to implement what was learnt.</li> <li>More personally motivated.</li> <li>More knowledge.</li> <li>Higher self-esteem.</li> <li>Competency good and status as a T/L justified.</li> </ul>	5 5 2 5 2	<ul style="list-style-type: none"> <li>Career opportunity is enhance.</li> <li>I will feel more personally satisfied with overall skill level</li> <li>Observed to have higher professionalism.</li> <li>Hope to develop an impartial objective analysis of situations</li> <li>Pay increase</li> <li>Happier in work</li> <li>Feedback from colleagues and T/Ms</li> <li>More confident in communication with others.</li> </ul>	3 5 4 1 3 4 3 2
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13	Develop and implement strategies for managing change in the workplace	5	<ul style="list-style-type: none"> <li>• Get the team to discuss issues they are feeling strongly about</li> <li>• Discuss changes with the team</li> </ul>	5	<ul style="list-style-type: none"> <li>• Find out what the changes are and how they will affect the team.</li> <li>• Obtain additional information from senior management share with team</li> <li>• Discuss them, adapt to incorporate the changes</li> <li>• Try to protect individual interests where possible by seeking representation.</li> <li>• Teach stress strategies</li> <li>• Seek information not rumour</li> <li>• Encourage team to air their views feeling about the changes)</li> <li>• Discuss team's views with management</li> </ul>	5	<ul style="list-style-type: none"> <li>• Staff is informed of organisational direction if known.</li> <li>• Staff understand and accept changes</li> <li>• Staff believes their views have been taken into account with amendment to change.</li> <li>• Enthusiasm for work increases</li> </ul>	5	<ul style="list-style-type: none"> <li>• Staff knows and can verbalise new direction.</li> <li>• Changes are implemented and staff are happy and accept this as a progression</li> <li>• Staff believes their voice has been heard and feels valued. (workplace tensions are relieved)</li> <li>• Moral is positive</li> <li>• Outputs increase</li> <li>• Increased comradeship</li> </ul>	5
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15	Identify alternative organisational structures	1	<ul style="list-style-type: none"> <li>Teach Team Members organisational identification techniques</li> </ul>	1	<ul style="list-style-type: none"> <li>Teach Team Members various organisational rankings and their markings e.g. number of stripes so that officers can be easily identified at an incident</li> </ul>	1	<ul style="list-style-type: none"> <li>Team Members will be able to identify all rankings in other organisations who they may work with at an emergency incident.</li> </ul>	1	<ul style="list-style-type: none"> <li>Team members immediately identify and correctly address officers within another organisation. For example the army, ambulance, police etc. If asked by the Team Leader they will give the correct answer.</li> </ul>	1
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16	Identify the impact of environmental factors on the management of organisations	1	<ul style="list-style-type: none"> <li>Look at and identify the external influences and their impact</li> </ul>	1	<ul style="list-style-type: none"> <li>Information received in workplace – affects?</li> <li>Changes in work priorities?</li> <li>Explore the affects of public opinion, political pressure, media and information flow-down from senior management.</li> <li>Recognise similar environments and their changes e.g. police etc. new political philosophies</li> </ul>	1 1 1 1	<ul style="list-style-type: none"> <li>Awareness of environment (a) working in now (b) expected to work in.</li> <li>Awareness of further dimensions of the job with may or may not be good e.g. tick in boxes just to X no of out-puts have been done.</li> <li>Through times of change peoples express their feelings – this may not always be what management want to hear.</li> </ul>	<ul style="list-style-type: none"> <li>Change in degree of job satisfaction whether negative or positive.</li> <li>There will be resistance or acceptance of the change.</li> <li>Individual's feelings and emotions become strong. Insecurity and vulnerability is heightened</li> </ul>	1 1 1
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19	Effectively utilise physical resources	3	<ul style="list-style-type: none"> <li>At incidences (i.e. on the job and back at the station)</li> <li>With the help of the team</li> </ul>	3 2	<ul style="list-style-type: none"> <li>Plan – while following procedures</li> <li>Get buy-in from team</li> <li>Allocate tasks</li> <li>Objectively set goals</li> <li>Establish Time-frames</li> <li>Do the work</li> <li>Monitor</li> </ul>	3 2 3 3 2 3 2	<ul style="list-style-type: none"> <li>Less accidents with the team and public</li> <li>Tasks done quickly and effectively</li> <li>Tasks are distributed equitably</li> <li>Teams members can be up skilled in new tasks, creates job variety and more opportunity for job rotation.</li> <li>Due to effective use costs will reduce, and efficiently will increase</li> </ul>	1 3 2 2 3	<ul style="list-style-type: none"> <li>Outputs achieved</li> <li>Team believe their skills are valued and therefore pass these skills to others</li> <li>Staff feel empowered</li> <li>Staffs feel satisfied and say so.</li> <li>Safer buildings - no accidents</li> </ul>	3 2 2 3 1
21	Manage and measure workplace production	1	<ul style="list-style-type: none"> <li>Write standard timetable to effectively implement systems, implement quality assurance checks and measures</li> </ul>	1	<ul style="list-style-type: none"> <li>Plan, develop, and minimise waste, disruption but maximise value of outputs and efficiency.</li> <li>Check sheets to ensure tasks are shared.</li> <li>Timetable and implemented</li> </ul>	1 1 1	<ul style="list-style-type: none"> <li>Equity of work allocation</li> <li>Maximum value of outputs in relation to costs of inputs</li> <li>Quality of work will be better</li> </ul>	1 1 1	<ul style="list-style-type: none"> <li>Staff will be happy with work allocation.</li> <li>Productivity is measurable against costs</li> <li>Completed work is signed off</li> </ul>	1 1 1



25	Devise and apply strategies to establish productive working relationship with colleagues and managers	7	<ul style="list-style-type: none"> <li>• On day one of the first watch meeting is organised with all team members</li> <li>• With the chief</li> <li>• Open and honest communication on behalf of myself – I would expect the same from my manager</li> </ul>	5  4 6	<ul style="list-style-type: none"> <li>• Identify work to be done</li> <li>• Discuss any issues</li> <li>• Follow-up earlier issues</li> <li>• In discussion with team, rosters are organised in relation to target set for the month</li> <li>• Work allocation distributed equally.</li> <li>• Pass on to management what is set up, get approval</li> <li>• Obtain needed resources from management.</li> <li>• Put in place and review as we go along.</li> <li>• Pass on all relevant information</li> <li>• Open door polity</li> <li>• Regular informal meetings</li> </ul>	7 5  7 4 3 7 5 4 5	<ul style="list-style-type: none"> <li>• Team members feel they have input to allocation of work</li> <li>• Team communicate well</li> <li>• Any issues are resolved after discussion</li> <li>• Individuals work as a team.</li> <li>• Direction identified and strategies to get there acknowledged</li> <li>• Resources made available to get us there.</li> <li>• Staff happier – working relationships better.</li> <li>• Staff is happy with a sense of direction and purpose.</li> </ul>	7 5 4 5 3 7 7 6	<ul style="list-style-type: none"> <li>• I am happy</li> <li>• The team is happy Management is happy, feel informed and says so.</li> <li>• Outputs achieved.</li> <li>• Public relations improved.</li> <li>• Staff attitude is improved</li> <li>• Staff are more motivated ask for more work once completing their own.</li> <li>• Staff feel informed and say so</li> <li>• Staff is knowledgeable about organisational issues.</li> <li>• Staff feels proud to work for the organisation and believe management is doing a good job in communicating direction.</li> </ul>	3 7 4  4 2 5 4 5 3 2
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27	Identify and minimise personal conflict in the workplace	4	<ul style="list-style-type: none"> <li>• Open communication. (talk to the person(s) concerned</li> <li>• If a dispute between two people occurs talk to both parties.</li> </ul>	4	<ul style="list-style-type: none"> <li>• Interview individuals separately and then together.</li> <li>• Act as a mediator be impartial and objective</li> <li>• Try to sort out the problem with the individual so that they are able to work together</li> <li>• Assure person(s) confidentiality will be maintained.</li> <li>• Clarify issues, ensure focus is on behaviours not personalities</li> <li>• Identify resolution(s)</li> <li>• Get commitment from parties concerned to resolve issues</li> </ul>	4	<ul style="list-style-type: none"> <li>• Cohesive team, i.e. team working well together with not tension or undercurrents.</li> <li>• Person(s) involved makes an effort to resolve issues</li> <li>• A resolution is put in place</li> <li>• A pledge to have effective working relationships in the future</li> <li>• A clear focus and understanding of what is wanted and needed.</li> <li>• Difficult situations diffused wherever possible</li> <li>• Goals achieved with the team easily</li> </ul>	4	<ul style="list-style-type: none"> <li>• Happier team and work environment – staff helpful to each other.</li> <li>• As a T/L I won't have to say so much to get a job done or people motivated</li> <li>• Morale and individual attitudes improved (staff will joke not moan)</li> <li>• Staff interactions are good – communication is open and pleasant – no snide comments</li> </ul>	4
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29	Meet legal requirements, cultural, social and equal employment responsibilities for workplace operations	6	<ul style="list-style-type: none"> <li>• With formal meetings once a month and adhoc informal meetings (10minutes)</li> <li>• Set regular OSH meeting with all team members</li> </ul>	6  6	<ul style="list-style-type: none"> <li>• Discuss recent OSH issues and findings</li> <li>• Discuss possible affects on team.</li> <li>• Once a month meeting- obtain guest speaker or ask someone to talk on a random topic e.g. dangerous chemicals</li> </ul>	6  3	<ul style="list-style-type: none"> <li>• Team skilled and more knowledge on OSH issues, their legal obligations, rights new organisation requirements or polity and guidelines changes.</li> <li>• Potential workplace risks minimised as awareness is improved</li> <li>• Possible career development</li> </ul>	6  6	<ul style="list-style-type: none"> <li>• If questioned on any OSH issued staff will know the answer.</li> <li>• Staff are easily able to implement this knowledge both on station and at an incident</li> <li>• None or minimal number of accidents on the job.</li> <li>• Ultimately decreasing our ACC levy.</li> <li>• When dealing with the public can give advice and answer questions. (e.g. District Councils)</li> <li>• Possible career change to fire safety</li> </ul>	6  6  6  1  1  1
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**Appendix 22**  
**Summarised Results from Interview Two (16 Team Leaders)**

<b>Team Leader's Self Assessment On Competencies Achieved On The Job</b>										
(1) No	Competency description	No. of T/L	(2) Do you believe you achieved your hypothesised outcomes?	No. of T/L	(3) If YES what where the indicators?	No. of T/L	(4) What helped you achieve the outcomes? (5) What environmental influences were there?	No. of T/L	(6) If you DID NOT achieve you hypothesised outcomes what could have helped you? (7) What environmental influences were there?	No. of T/L
2	Help provide an environment within the workplace that encourages growth in others (team members)	1	<ul style="list-style-type: none"> <li>• No</li> </ul>	1					<ul style="list-style-type: none"> <li>• (6) Management backing</li> <li>• (6) Management visibility</li> <li>• (6) Better organisational communication</li> <li>• A non threatening stable environment</li> <li>• (7) On going political interference (i.e. the commission) creating feelings of insecurity and tension.</li> <li>• (7) Organisational restructure</li> <li>• (7) Too many bureaucratic rules</li> </ul>	1 1 1 1 1 1 1

6	Analysis team leadership and use team-building skills	1	<ul style="list-style-type: none"> <li>No</li> </ul>	1					<ul style="list-style-type: none"> <li>(6) Less internal interference (i.e. union propaganda). Team felt threatened.</li> <li>(6) More senior management acknowledgement.</li> </ul>	1
9	Establish training and development objectives with team and individuals	7	<ul style="list-style-type: none"> <li>Yes</li> <li>No</li> </ul>	5 2	<ul style="list-style-type: none"> <li>The team seemed motivated to improve their skills</li> <li>I (T/L) became aware of the teams individual skill levels – these were confirmed by individual Team Members</li> <li>Team Members knew what they had to achieve</li> </ul>	4 5 5	<ul style="list-style-type: none"> <li>(4) A motivated team</li> <li>(4) Team involvement</li> <li>(4) Good team communication</li> <li>(4) Team participation</li> <li>(5) Pressure from senior management to ensure the team were competent</li> </ul>	4 5 5	<ul style="list-style-type: none"> <li>(6) Senior management’s help with a structured process.</li> <li>(6) A motivated team.</li> <li>(6) More OTJ assessors and trainers</li> <li>(6) Senior management support</li> <li>(7) No internal communication on organisational direction.</li> <li>(7) Lack of training opportunities</li> </ul>	1 2 2 2 2 2

10	Organise training and development activities for teams and individuals	6	<ul style="list-style-type: none"> <li>• Yes</li> <li>• No</li> </ul>	2 4	<ul style="list-style-type: none"> <li>• Training was organised time-table and carried out.</li> <li>• Teams Members skills improved as a consequence</li> <li>• Some Team Members went to the next level</li> <li>• Positive feedback from their colleagues.</li> </ul>	2 2 2	<ul style="list-style-type: none"> <li>• (4) Management buy-in to obtaining the necessary training resources</li> <li>• (4) Team commitment and motivation to have a go! And want to improve.</li> <li>• (5) Pressure from management and longer standing staff members</li> </ul>	2 2 2	<ul style="list-style-type: none"> <li>• (6) Motivated staff</li> <li>• (6) Assistance from senior management</li> <li>• (6) Enhanced organisational culture (i.e. more supportive), improved communication and working environment</li> <li>• (6) Competent trainers willing to train</li> <li>• (6) Improved organisation communication</li> <li>• (6) More assessors needed for OTJ assessment</li> <li>• (6) Encouragement from senior management</li> <li>• (7) Disgruntled and de-motivated Team members</li> <li>• (7) Sabotage from other staff</li> <li>• (7) No money for training activities</li> <li>• (7) Restructure</li> </ul>	4 4 4 4 4 4 3 4 4 4 4
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12	Develop and implement personal development plans	5	<ul style="list-style-type: none"> <li>• Yes</li> <li>• No</li> </ul>	3 2	<ul style="list-style-type: none"> <li>• Plans written and areas of study/interest started.</li> </ul>	3	<ul style="list-style-type: none"> <li>• (4) Consistent personal motivation.</li> <li>• (4) Assistance from a good friend and advisor</li> <li>• (4) Approval from management</li> <li>• (5) Limited senior management support caused uncertainty of position, this also enhanced my (T/L) motivation</li> </ul>	3  1  2  2	<ul style="list-style-type: none"> <li>• (6) Improved personal motivation</li> <li>• (6) Assistance from the organisation</li> <li>• (6) Encouragement or support from my manager</li> <li>• (6) Additional educational funding assistance</li> <li>• (7) Tight budget constraints</li> <li>• (7) Lack of direction from the organisation</li> <li>• (7) Management disagreements with the union</li> <li>• (7) No training at all</li> <li>• (7) Restructure</li> </ul>	2 2 2 1 2 2 2 2
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13	Develop and implement strategies for managing change in the workplace	5	<ul style="list-style-type: none"> <li>• Yes</li> <li>• No</li> </ul>	1 4	<ul style="list-style-type: none"> <li>• Team believed they were informed and expressed this.</li> <li>• Moral of the Team improved slightly and outputs increased in certain areas which had been discussed as an organisational issue or new strategy (e.g. community educational programmes)</li> </ul>	1	<ul style="list-style-type: none"> <li>• (4) Consistent communication from my manager</li> <li>• (5) Challenging environment made obtaining information difficult</li> </ul>	1 1	<ul style="list-style-type: none"> <li>• (6) Senior management support.</li> <li>• (6) Regular meetings with management.</li> <li>• (6) Being informed</li> <li>• (6) Having an opportunity for input.</li> <li>• (6) Administration help.</li> <li>• (7) The difficult environment made obtaining any up-to-date information almost impossible.</li> </ul>	4 3 4 4 3 4
15	Identify alternative organisational structures	1	<ul style="list-style-type: none"> <li>• Yes</li> </ul>	1	<ul style="list-style-type: none"> <li>• Team Members when asked were able to identify officer rankings in other organisations who they work with.</li> </ul>	1	<ul style="list-style-type: none"> <li>• (4) Peer coaching and an organised training session to the whole team from a Team Member who has extensive knowledge in this area.</li> </ul>	1		



16	Identify the impact of environmental factors on the management of organisations	1	<ul style="list-style-type: none"> <li>No</li> </ul>	1					<ul style="list-style-type: none"> <li>(6) Another job</li> <li>(6) Receiving notification of organisational changes from management rather than the media.</li> <li>(7) Political factors and confidential management meetings with the union seemed to prevent any communication through the organisation.</li> <li>(7) Restructure restricting progress.</li> </ul>	1 1 1 1
19	Effectively utilise physical resources	3	<ul style="list-style-type: none"> <li>Yes</li> <li>No</li> </ul>	2 1	<ul style="list-style-type: none"> <li>Tasks done quickly with minimum resources</li> <li>Outputs increased slightly but staff did not increase</li> <li>Staff learned new skills</li> </ul>	2 2	<ul style="list-style-type: none"> <li>(4) motivated and willing team members</li> <li>(5) Pressure from management to increase outputs but no help to do this.</li> </ul>	2 2	<ul style="list-style-type: none"> <li>(6) Less absenteeism</li> <li>(7) Constant staff changes made changes challenging and stressful</li> </ul>	1 1

21	Manage and measure workplace production	1	<ul style="list-style-type: none"> <li>• No</li> </ul>	1			1	<ul style="list-style-type: none"> <li>• (6) Motivated Team Members</li> <li>• (6) Encouragement from management.</li> <li>• (6) Time to set up a system of measurement</li> <li>• (7) Low staff morale made any form of workplace measurement difficult.</li> </ul>	<p>1</p> <p>1</p> <p>1</p> <p>1</p>
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25	Devise and apply strategies to establish productive working relationship with colleagues and managers	7	<ul style="list-style-type: none"> <li>• Yes</li> <li>• No</li> </ul>	1 6	<ul style="list-style-type: none"> <li>• At our regular informal meetings staff expressed themselves freely.</li> <li>• Concerns were discussed with management and management had the opportunity to talk to the team as a whole.</li> </ul>	1  1	<ul style="list-style-type: none"> <li>• (4) Team Members were willing to work together at creating a better climate to work in.</li> <li>• (4) A manager who was willing to take the time and talk to staff.</li> <li>• (5) Low morale in other teams was difficult to ignore</li> <li>• (5) Rumour and hear-say was difficult to ignore</li> </ul>	1  1	<ul style="list-style-type: none"> <li>• (6) Senior management buy-in to principles of good communication (i.e. regular meetings, regular feedback and support</li> <li>• (6) No union involvement</li> <li>• (7) Political interference.</li> <li>• (7) Union interference</li> <li>• (7) In house fighting between old contract staff and new contract staff</li> <li>• (7) Organisational structure</li> </ul>	6  5 4 5 6 6
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27	Identify and minimise personal conflict in the workplace	4	<ul style="list-style-type: none"> <li>• No.</li> </ul>	4			<ul style="list-style-type: none"> <li>• (6) Stable organisation 4</li> <li>• (6) Team Members believing their jobs were secure. 2</li> <li>• (6) No criticism from other teams or union representatives 3</li> <li>• (6) Management being openly supportive (<i>would have squashed unfounded criticisms instantly</i>) 4</li> <li>• (6) Less bureaucratic 4</li> <li>• (7) Political propaganda published by the media 3</li> </ul>	
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29	Meet legal requirements, cultural, social and equal employment responsibilities for workplace operations	6	<ul style="list-style-type: none"> <li>• Yes</li> <li>• No</li> </ul>	3 3	<ul style="list-style-type: none"> <li>• Younger Team Members understand OSH issues and the organisational requirements around these. Also their legal rights and the necessary organisational policy, rules and regulations.</li> </ul>	3	<ul style="list-style-type: none"> <li>• (4) Training sessions were conducted to up-skill Team Members.</li> <li>• (5) Management paid for two sessions from an outside training provider</li> </ul>	3  1	<ul style="list-style-type: none"> <li>• (6) Team Members only have knowledge I am able to pass on – no money for external or specialised training</li> <li>• (6) Training from a National Office representative on EEO policy and responsibilities would have added to existing, but probably out-of-date knowledge.</li> <li>• (6) Help with administration</li> <li>• (6) Less paper work less bureaucratic</li> <li>• (7) new OSH and EEO regulations</li> </ul>	2  3  2 2 1
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