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Cross-Cultural Interfaces:
Hybridization of HRM Practices of MNCs in Developing
Countries and Emerging Economies

A Thesis Submitted to the Middlesex University
in Partial Fulfillment of the Requirements for the Degree of
Doctor of Philosophy

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June 2009

Declaration of Originality

I hereby declare that this project is entirely my own work and that any additional sources of information have been duly cited.

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Name of Supervisors *Prof. Terence Jackson & Dr. Nathalie van Meurs*

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ABSTRACT

The present study examines hybrid human resources management (HRM) practices of multinational companies (MNCs) operating in developing countries (DCEEs) and the outcomes of this hybridization in terms of local employees' perceptions of appropriate and effective HRM practices. With the increased investment of Western industrialized world to DCEEs, managing HR in MNCs becomes an issue of critical importance (Jackson, 2004a). However, to balance the incompatible demands of being locally responsive while preserving global integration is a challenging task for HRM managers in MNCs (Horwitz, Kamoche, & Chew, 2002) and this challenging task eventually leads to adoption of hybrid models. Not only the description of the process of the hybridization of HRM practices but also its outcomes are missing in the literature. According to Jackson (2004b), the effects of HRM hybridization must be examined with a specific focus on their effectiveness and appropriateness both at the organizational and individual levels. The objectives of this study are to a) contribute to the literature by examining perceived outcomes of so-called 'Western' cultural influences in the context of HRM in DCEEs, and b) contribute to practice by providing feedback to HRM practitioners, especially in MNCs, about how to implement HRM in particular cultural and institutional contexts to increase their appropriateness and effectiveness. In a concurrent mixed-method design with a pragmatic approach, both quantitative and qualitative data were triangulated. Quantitative data collected from snowball samples of employees working in MNCs in Turkey and Romania through a large scale survey revealed a significant relationship between socio-cultural values and preferred HRM practices. Values rather than institutional contextual variables revealed to be stronger predictors of understanding HRM in context. Results further revealed that as the discrepancy between preferred and actual HRM decreases, it was perceived more appropriate and effective, which, in turn, lead to higher organizational commitment (OC) and lower turnover intention through mediation of higher person-organization (PO) fit. Furthermore, not only did the structural equation modeling findings establish the validity of the constructs of HRM hybridity, appropriateness and effectiveness

(i.e., measurement model), they also supported the link between hybridity and positive employee attitudes, mediated by HRM appropriateness and effectiveness (i.e., structural model). Qualitative data collected through semi-structured interviews from employees in two case MNCs in Turkey and Romania also revealed the influence of various factors including cultural values and higher institutions on the implementation of HRM as well as its hybridization process. Findings complementing quantitative data as well as theoretical and practical contributions of the present research, its limitations, and future research avenues were also presented.

Keywords: Culture, organizations, hybrid HRM, appropriate HRM, effective HRM

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"Winning isn't always finishing first. Sometimes winning is just finishing." Manuel Diotte

As a former HR practitioner, in a MNC bank in Turkey, I also had an experience in a process of HRM structuring, which lasted quite long and was very challenging. After working three years both in the development of the system and its implementation, the system at the end was neither Turkish nor Western, but a hybrid one, which further shaped my interest in this topic while pursuing my academic career. At that point of my career, I think I am almost a winner, with the help of many prominent people in this long-lasting, illuminative and sometimes painful PhD journey, despite I had doubted many times during this journey that this PhD would finish me before I finish it. Hence, I guess I, myself, also deserve an acknowledgment for surrendering, and not giving up!

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ACRONYMS

AGFI	Adjusted Goodness-of-Fit Index
BSEC	Black Sea Economic Co-operation
BPR	Business Processes Restructuring
CCC	Chinese Culture Connection survey
CFA	Confirmatory Factor Analysis
CEO	Chief Executive Officer
CFO	Chief Finance Officer
CFI	Comparative Fit Index
DCEEs	Developing Countries and Emerging Economies
EFA	Exploratory Factor Analysis
EPQ	Ethics Position Questionnaire
EU	European Union
EV	Eigenvalue
EVS	European Value Survey
FDI	Foreign Direct Investment
GFI	Goodness-Of Fit Index
GLOBE	Global Leadership and Organizational Behavior Effectiveness
GNP	Gross National Product
HDI	Human Development Index
HR	Human Resources
HRM	Human Resource Management
HRMA	HRM Appropriateness
HRME	HRM Effectiveness
HRMH	HRM Hybridity
IFI	Incremental Fit Index
IMF	International Monetary Fund
ISI	International Statistical Institute

KMO	Kaiser–Meyer–Olkin
MCAR	Missing Completely at Random
MCF	Model of Culture Fit
MES	Multidimensional Ethics Scale
ML	Maximum Likelihood
MNCs	Multinational Companies
MT	Management Trainee
OC	Organizational Commitment
OE	Organizational Expectations
OECD	Organization for Economic Cooperation and Development
PCA	Principal Component Analyses
PO Fit	Person-Organization Fit
RMSEA	Root Mean Squared Error of Approximation
SEM	Structural Equation Modelling
SMC	Squared Multiple Correlation
TLI	Tucker-Lewis Index
WVS	World Values Survey

***PART 1: INTRODUCTION TO THE PRESENT
RESEARCH***

Chapter 1

INTRODUCTION

1.1 Research Justification

The present study aims at understanding the process as well as the outcomes of the hybridization of human resources management (HRM) practices (i.e., combining characteristics of both Western and non-Western management) of multinational companies (MNCs) operating in developing countries and emerging economies (DCEEs).

Globalization, which is characterized by the absence of borders, has led to an increase in the interconnections among countries (Thomas, 2008). In such a global economy, the importance of DCEEs in the world has also been increasing due to the roles they play, such as being home for the foreign direct investment (FDI) of most of MNCs (Budhwar & Debrah, 2001; Napier & Vu, 1998).

As one of the features of globalization, the interdependence among developed and developing countries has been increasing (Miah, Wakabayashi & Takeuchi 2003; Miah & Bird, 2007). The formation of various international trading blocs, growth triangles and the spread and expansion of MNCs are the reflection of this interdependence (Debrah, McGovern & Budhwar, 2000; Miah & Bird, 2007).

Despite this growing interactions between different parts of globe, in cross-cultural management literature, intra-cultural variations, the differences among individuals of a

culture, and cross-cultural interactions have been under-researched (Au, 1999), and the focus has mainly been on the cross-cultural differences, i.e., differences between two or more groups of people on one or more common features (Au, 1997). Furthermore, in the context of HRM, existing studies examined the cross-cultural differences in HRM practices across countries.

There is, however, a paucity of research examining the nature and the process of HRM practices at the cross cultural interfaces¹ (e.g., Farley, Hoenig, & Yang, 2004; Tayeb, 2005; Warner, 2004). In cross-cultural organizational behavior or management literature, in general, less attention has been paid to cross cultural interfaces, the dynamics of culture in intercultural encounters, than cross-cultural differences (Jackson & Aycan, 2006; Gelfand, Erez, & Aycan, 2006). This study investigates the cross-cultural interfaces, where individuals from different cultures meet and interact, in the context of HRM practices by examining the process of hybridization that occurs as a result of so-called 'Western' cultural influences in the area of management of human resources (HR) in DCEEs (Jackson, 2002, 2004a, 2009).

MNCs that have started to operate globally on an unprecedented scale (Thomas, 2008) are of particular importance in studying the dynamics of culture in intercultural encounters between developed vs. developing world (Jackson & Aycan, 2006; Gelfand, Erez, & Aycan, 2006). MNCs are defined as business firms that perform multinational

¹ Interfaces that occur at different levels mainly refer to the bilateral relationship between at least two cultures/organizations/individuals (Jackson, 2009). More specifically, in the present research, by cross cultural interfaces, I mean the intercultural encounters and interactions between Western developed and non-Western developing world in the context of multinational companies (MNCs). MNCs provide the points of inter-cultural interactions, where HRM hybridization takes place.

transactions and that operate in more than one country and involve international HRM (Dunning, 1971; Napier & Vu, 1998; Sundaram & Black, 1992). Generally, MNCs have their headquarters in one country and operate wholly or partially owned subsidiaries in one or more other countries (Napier & Vu, 1998; Thomas, 2008).

Due to the increasingly important role they play in the global economy, MNCs carry a specific importance in international management research (Liu, 2004; Rosenzweig & Singh, 1991). A MNC is a strong vehicle in the transfer of the capital as well as managerial and technical knowledge across nations (Liu, 2004; Tayeb, 1998). That is why DCEEs are critical for global firms since they are potential business sites for these MNCs (Budhwar & Debrah, 2001; Napier & Vu, 1998).

The effective and appropriate transfer of HRM practices, which might be difficult for competitors to imitate, is perceived as the key to success of MNCs in the 21st century (Liu, 2004). MNCs have a difficult job of operating in various countries with different sets of values, beliefs and expectations (Gupta & Hanges, 2004). Policies, practices, and procedures that work effectively in one culture may result in dramatic failure or counterproductive behavior in another one. Accordingly, ensuring fit between the cultural context and HRM practices is particularly important for MNCs, since employees are more likely to feel dissatisfied, distracted, uncomfortable, confused, and uncommitted when management practices are inconsistent with deeply held values and expectations which are already shaped by their cultural orientations. Eventually, these negative attitudes will result in ineffectiveness in terms of lowered ability and willingness to perform well (House, Wright, Aditya, 1997; Newman & Nollen, 1996; Aycan, 2005).

With the increased investment of Western industrialized world in emerging economies, managing HR and identifying the most effective HRM practices in subsidiaries of MNCs eventually become an issue of critical importance (Jackson, 2004a; Miah & Bird, 2007). The inappropriateness of the uncritical adoption of HRM practices developed in the context of Western values and dictated by foreign cultural as well as institutional factors has to be recognized. Understanding the process of hybridization of HRM and its possible outcomes will provide valuable information that facilitates the successful running of MNCs without relinquishing from (rather than at the expense of) well-being of local communities. However, despite numerous firms, mainly MNCs, having been operating in these countries for years, they have received little attention from the scholars (Napier & Vu, 1998)

Although the rapid increase in the globalization and the growing interest in DCEEs raise a need to develop an understanding of dynamics of managing HR in different parts of the world, there is a lack of information with regard to the dynamics of HRM in DCEEs, in contrast to plenty of information in the developed countries (Budhwar & Debrah, 2001). Recently, researchers have started to question the *appropriateness* of transferability of HRM practices evolved in the industrialized Western cultural context to the other socio-cultural contexts (e.g., Aycan et al., 2000; Hofstede, 1980, 1984; Kanungo & Jaeger, 1990). “The question of transferability of management practices still remains paramount in the minds of international managers, primarily because of a dearth of empirical evidence and inadequate conceptual frameworks that can provide more specific guidelines.” (Galang, 2004, p. 1207) The current study attempts to fill a void by providing data on two developing countries under-researched.

The challenges of management of HR are complex and highly demanding in the context of DCEEs (Budhwar & Debrah, 2001). The choice of what HRM practices to implement in the subsidiaries in DCEEs is a central concern of MNCs (Miah & Bird, 2007). Operating in a global environment requires HRM in MNCs to vary due to the incompatible demands that arise from the attempt of MNCs to be locally responsive, maximizing their ability to respond to the needs of the host country such as economic, social, political, and legal constraints, while preserving global integration, maintaining their corporate structure worldwide (Horwitz, Kamoche, & Chew, 2002). Hence, to balance these incompatible demands is a challenging task for international HRM managers in these firms and this eventually might lead to adoption of hybrid models. Crossvergence or 'hybridization' of HRM practices in MNCs is a balance of global and local influences through an admixture of different cultural influences (Edwards & Kuruvilla, 2005; Jackson, 2004a).

Global standardization, i.e., the demand for internal consistency with the rest of the company, and localization, i.e., demand for external consistency with the local environment, are two streams of the debate on management in MNCs (Quintanilla & Ferner, 2003; Rosenzweig & Nohria, 1994; Rosenzweig & Singh, 1991; Sparrow, Schuler, & Jackson, 1994). However, this debate has been perceived as unnecessarily polarized (Quintanilla & Ferner, 2003). "The 'divergence-convergence debate' is not (or should not be) about one or the other, but about the *interaction* between local, national, and international influences" (Sisson, 2001, p. 5, emphasis added). Moreover, crossvergence in the development and implementation of hybrid practices which is "developing of hybrid value systems as a result of cultural interactions" (Jackson, 2002, p. 469) appears to be neglected to a large extent in

the debate on the convergence-divergence framework (Horwitz, Kamoche, & Chew, 2002). Hence, these two main opposing approaches on the transfer of HRM have developed a room for a more eclectic approach.

Global 'pushing' forces and local 'pulling' factors interact and lead to the creation of hybrid practices by combining the best practices of each home and host country (see for review Farley, Hoenig, & Yang, 2004). "Systems cannot be transferred without being significantly reshaped... Hybridization... is inevitable." (Tolliday, Boyer, Charron, Jürgens, & Tolliday, 1998, p. 1, cited in Ferner, Almond, & Colling, 2005). If hybridization is the ultimate end, to understand its process as well as its outcomes is fundamental.

There is little doubt that effective management is a blend of universal processes and specific local issues. The question that remains open for debate is the relative preponderance of the universal and the local. (Smith, 2008, p. 319)

Not only the hybridization process of HRM practices but also its outcomes are missing in the literature. The effects of the hybridization are to be examined with a specific focus on the effectiveness and the appropriateness of the hybrid HRM practices both at the organizational and individual levels (Jackson, 2004b), because the implementation of a hybrid HRM system in an MNC, for example, may have a positive effect on its business outcomes, but may create resentment among local employees.

Eventually, the decision regarding which HRM practices will bring maximum benefit is the main problem faced by a MNC opening overseas subsidiaries (Farley, Hoenig, & Yang, 2004). Furthermore, analysis of effective and appropriate HRM practices in developing countries is also inadequate (Jain, Lawler, & Morishima, 1998) and should be tackled because of its controversial nature.

More importantly, although there is a growing interest in understanding the appropriateness of transferring managerial practices to other cultural context, there is no initiation taken to conceptualize this construct of 'appropriateness'. There is neither an operationalization of this construct nor a construct definition. The 'effectiveness' construct has been defined in the literature as a multidimensional construct with the multiple criteria addressed (e.g., Ferris et al., 1998). But, there is no literature on the effectiveness of HRM as an outcome of the hybridization process at cross cultural interfaces. Hence, with this study I aim to enhance the understanding of these constructs as well in the context of HRM.

1.1.1 The Unique Contributions

The unique contributions of this research could be summarized in two ways. Although the balance between global and local in HRM practices of MNCs is a topic that has received some research attention (e.g., Braun & Warner, 2002; Ferner, Quintanilla, & Varul, 2001), there are two key issues missing in this line of research. First, managing HR of MNCs in the context of 'developing countries and emerging economies' has received relatively little attention and there is a paucity of research in these countries (e.g., Morley & Collings, 2004). Secondly, almost no study in the literature has captured the process of hybridization in HRM practices. For instance, which steps are taken in the organization during the creation of a hybrid system? What are the forces behind this hybridization? How is the adjustment during the hybridization process carried out? A number of things during the process may happen. Change in top level management, economic conditions or labor law may lead the organization to swing from global and local, and to come back to a hybrid

system. Therefore, this study aims at capturing the process of hybridization as well as its outcomes in terms of appropriateness and effectiveness of hybrid HRM practices.

Moreover, the attempt to conceptualize and to operationalize these two constructs (i.e., appropriateness and effectiveness) empirically is expected to benefit researchers in further studies and contribute to the literature on the transfer of HRM across various cultures and institutional environments.

The overarching objectives of the present research have also certain practical implications. The purpose is to guide both researchers and practitioners, especially in MNCs operating in DCEEs, to find out how hybrid HRM practices evolve that best fit the cultural and institutional environment of the organizations and to understand the effects of this hybridization in terms of both their effectiveness and appropriateness that have been highly ignored in the literature. It is important, since managers in MNCs have to decide frequently on HR related issues such as how to distribute pay raises, how to allocate rewards, on what basis to evaluate and promote employees across different cultural contexts (Fischer, 2004a). Better understanding of effectiveness and appropriateness of HRM practices would guide organizations to manage HRM more effectively and ethically, by increasing organizational performance and contributing to the organizational bottom-line through creating positive employee attitudes. For example, a large body of research revealed that employees' perceptions of HRM practices have a strong influence on their organizational commitment (OC) and other attitudes about the organization through bringing about an altered attitudinal state within the employees, which in turn affects their performance (e.g., Park, Mitsuhashi, Fey, & Bjorkman, 2003). This has important implications for organizations, in that the

impact that HRM practices on employees' emotional attachment, identification with the organization as well as quitting behavior need to be the focus to increase organizational performance, since achievement of organizational objectives relies heavily upon employee attitudes and behaviors (Jackson & Schuler, 1995; Khilji & Wang, 2007).

This study will hopefully help to enhance our understanding of an underresearched area, hybridization process of HRM practices and its outcomes, in an underresearched context, DCEEs, and to develop a theoretical conceptualization through benefiting from the use of both qualitative and quantitative framework with a pragmatic research philosophy. In the next section, the research methodology will be presented briefly.

1.2 Research Methodology

In the literature, the use of combined research methods is promoted in order to gain from the type of information generated through qualitative and quantitative data collection methods (Meredith, 1998; Creswell, 2008; Creswell & Clark, 2007). With such an approach the problems of each individual method could be overcome. Applying both quantitative and qualitative data collection methods under a mixed methods study design aims at complementing data collected with each other approach in answering the research questions, providing breadth by quantitative and depth by qualitative analyses (Greene, Caracelli & Graham, 1989; Leech & Onwuegbuzie, 2009). The research philosophy behind the use of mixed method research is pragmatism (Creswell & Clark, 2007; Morgan, 2007), which will be discussed in the following chapters in detail.

Two phases of the present study adopted such a combined methodology (i.e., concurrent mixed method) to better understand the hybridization process and its outcomes by collecting different forms of data at the same time during the study over a period of time, as suggested by Creswell (2008).

The empirical work in this study, by employing *triangulation* design, was performed in two phases carried out *concurrently* and involved managers and employees of MNCs operating in DCEEs, namely Turkey and Romania. In the first phase, the focus is on the degree of hybridization and outcomes of implementation of hybrid HRM practices in MNCs. One of the main aims is to capture how people conceptualize the appropriateness as well as the effectiveness of HRM practices implemented in their organization while perceiving a certain degree of hybridization or not. That is, employees' perceptions of hybrid HRM practices were explored by using a crossvergence approach and asserting that multi level factors (i.e., cultural, institutional and individual) influence the perception of individuals regarding HRM practices implemented in their organizations. The fieldwork in this phase mainly consisted of questionnaire administration with local and expatriate people from different functional and business units, representing various hierarchical levels in the MNCs. Therefore multi-source approach (e.g., managers, employees, local and home country staff) were utilized. The proposed models were tested with the quantitative data collected.

Examining in detail the process of hybridization of HRM practices and its outcomes through a qualitative approach is the main objective of the second phase of the present research. This phase employed a grounded theory approach since the research objective is

mainly to identify the process of hybridization of HRM practices, which is an underresearched phenomenon. Researchers pursue qualitative research in certain areas where the existing theoretical and substantive literature does not adequately capture. (Frankel & Devers, 2000a, 2000b) This phase of the study, hence, involved gaining insights from field-based, case data, and collection of multiple forms of data to uncover this process. Since there is so little empirical evidence on the process of hybridization, mainly a qualitative research design was applied to investigate this process in detail (by an intensive examination of cases, through using mainly semi-structured interviews). Not only regular employees and managers, but also HRM staff were also interviewed with the aim of understanding the role they play in the hybridization process, (i.e., the actions taken by HRM which facilitate or suppress this process). Interviews consisted of questions about whether different HRM practices such as recruitment and selection, training are hybridized with different stages, and if so, how it takes place.

The open-ended questions in the interviews are also expected to allow the detection of new issues which would lead to the development of theoretical background. Interviews were governed by the interview guide that was developed by the present author. The feedback of the research supervisor on the interview questions also helped to achieve those questions' content validity. The semi-structured interviewing was also combined with documentary data collection of company reports and documents. Since what individuals say may not always reflect what they do, this additional source of information in the form of the written account should be consulted (Hall & Rist, 1999).

The process of hybridization and its outcomes were investigated in MNCs operating in Turkey and Romania, which were selected on the basis of both theoretical and convenience considerations, which will be discussed in detail in Chapter 2.

1.3 Research Questions

The present study addresses the following questions to address the gaps in the existing literature:

1. How do MNCs operating in DCEEs develop a hybrid HRM system?
 - a. What is the process? Which steps are taken by those organizations during the process of hybridization?
 - b. How do the cultural, institutional and individual factors interact?
 - c. How do these factors affect HRM hybridization? Which characteristics of those organizations lead to a hybridization in HRM practices?
2. What are the outcomes of adapting hybrid HRM practices in terms of effectiveness and appropriateness?
 - a. How can appropriateness and effectiveness be conceptualized? (e.g., What does appropriateness of HRM practices imply?)
 - b. What are the employee attitudes as a result of perceived hybridity of HRM and HRM appropriateness and effectiveness?

1.4 Outline of the Present Study

The current thesis is structured as follows. In Chapters 2, 3, 4 and 5, the theoretical approach is discussed, which starts with a review of developing countries and culture as the main construct, its definitions and dimensions. This follows with discussions on HRM in a cultural context and the crucial debate in the literature on convergence-divergence-crossvergence of HRM practices in MNCs. The theoretical models developed on the basis of the Model of Culture Fit (Aycan et al., 2000) are then proposed. This section continues with presenting the concepts of effectiveness and appropriateness, including comparing and contrasting effectiveness and appropriateness of HRM practices. It ends with a chapter on the research hypotheses. Chapters 6, 7 and 8 outline and discuss the research methodology and methods to examine the questions under study in detail. Chapters 9 and 10 cover both quantitative and qualitative data analyses and overall results on the basis of abduction. The last chapter, Chapter 11, encompasses the concluding remarks including research and practical implications, limitations of the present research and future directions.

PART 2: LITERATURE REVIEW

Chapter 2

CULTURAL CONTEXT

“Culture is a little like dropping an Alka-Seltzer into a glass- you don't see it, but somehow it does something.” Hans Magnus Enzensberger

2.1 Introduction: What's Culture Got to Do with It?

Globalization in the twentieth century has resulted in an increasing interdependency among developed and developing countries in the world. As a result of direct flow of FDI and the excessive numbers of affiliates of MNCs operated in these countries, a sudden research interest in management, especially in HRM, in developing countries has been grown out (Budhwar & Mellahi, 2006). With the increased investment of Western industrialized world to emerging economies, managing HR becomes an issue of critical importance (Jackson, 2004a) and these countries have started to emphasize the development of their HR. The need emerged to examine what HRM policies and practices are relevant in the developing country context, how HR is managed effectively and appropriately as well as the key factors that determine HRM in these countries (Budhwar & Mellahi, 2006). However, these DCEEs have taken little attention of the scholars, despite numerous MNCs having been operating in these countries for years (Napier & Vu, 1998).

Even though this international interaction between countries has led to the necessity of studying culture as a central variable, cross-cultural theory and research has started to

play a central role only in the past two decades (Gelfand, Erez & Aycan, 2006). With the increased demands of globalized and competitive business environment, both researchers and practitioners realized that the adaptation of HRM practices evolved in the highly developed Western cultural context may not be effective and appropriate in the other socio-cultural contexts (Aycan et al., 2000). Hence, they started taking the culture into consideration as an explanatory variable, rather than accepting culture-free, *one best way* of managing.

In the 1960s and 1970s, culture was a variable that was largely ignored in organizational studies, with a very limited number of few a-theoretical and descriptive culture studies carried out mostly in USA (Gelfand, Erez & Aycan, 2006). Both researchers and practitioners have long ignored or overlooked the societal and cultural context of theories and practices (Hofstede, 1980). Later, with the introduction of the first cultural framework (Hofstede 1980), national culture has started to draw the attention of researchers and it developed “a theoretical backbone” (Gelfand, Erez & Aycan, 2006, p. 20.3). It has really taken time to develop comparative analyses across cultures. The emerging field of HRM also has no choice, but to take into account the international dimension of the organizational world because of the current global context of international business (Anakwe, 2002).

With the expansion of MNCs as a result of globalization, both researchers and practitioners start to question the degree of adaptation of HRM practices to the national culture of the home or host country, since in forming HRM practices, the culture is argued to be a decisive factor (Sparrow, Schuler, & Jackson, 1994; Papalexandris &

Panayotopolou, 2004). The increase in the recognition of the significance of HRM as well as the understanding of the field has given rise to the some concerns regarding its relevance in the cross-cultural settings, since the conceptions behind the HRM functions mainly reflect related cultural values (Sparrow & Wu, 1998). According to this culturalist approach (culture-matters rather than culture-free approach), which is the adopted perspective in the present research, HRM, like other management practices, is culturally bound. Management practices, including HRM, are argued to be not universal but ‘socially constructed’ in each culture (Ramirez & Fornerine, 2007).

The next section, hence, is devoted to the construct of culture since a better understanding of this complex construct can provide the context to clarify the links between study variables, mainly HRM in context. To understand more specifically how culture influences the management practices requires a clear definition of culture (Thomas, 2008). This section, hence, starts with introducing the various definitions of culture, its brief historical development, and finally the different frameworks proposed to measure culture to help analysis and understanding of human acts.

2.2 Cultural Context: What is Culture?

... culture ... the notion of the subject as a jungle, in other words hard to find your way through and full of hazards for the unwary. (Redding & Stening, 2003, p. xviii)

The construct of culture, which is the originating point of this thesis, has created confusion because of the involvement and interest of multiple disciplines such as anthropology, sociology, and psychology in clarifying this topic (Schneider, 1988). These

different disciplines bring their specific paradigms and research methodologies. Eventually, this not only created difficulties and complexity in attainment of construct definitions, but also in its measurement and operationalization (Schneider, 1988). As a result of this, culture emerges as a highly complex concept with numerous definitions and conceptualizations (Lu, 2006). For example, more than 160 definitions of culture were identified by the anthropologists Kroeber and Kluckhohn (1952). A series of important attempts, then, have resulted in an overlap of general meaning, in spite of the different vocabularies of these different disciplines (Redding & Stening, 2003).

2.2.1 Definitions of Culture

"Culture" is an extremely difficult concept to define (Easterby-Smith, Thorpe & Holman, 1996; Sparrow & Wu, 1998). Like most abstract words, the conceptualization as well as the operationalization of culture remains problematic and challenging (Silverthorne, 2005; Thomas, 2008; Laungani, 2007). A broad definition of culture is that it is "the human-made part of the environment" (Triandis, 2002). In one of the earliest definition of culture, Tylor (1871) stresses the complex whole "which involves knowledge, beliefs, art, morals, law, customs and other capabilities and habits acquired by man a member of society". Culture is a way of "social conditioning" (Kluckhohn, 1962). Cultures can be learned and acquired, and transmitted mainly by symbols and artifacts (Kluckhohn, 1962; Kroeber & Kluckhohn, 1952). Cultures developed within countries are considered as a product of national patterns learned in early childhood, as well as education, language, religion and geography (Sparrow & Wu, 1998). This feature of culture also implies the possibility of

learning the cultural patterns of other societies (Thomas, 2008). Moreover, culture is “an abstraction from concrete behavior but is not behavior itself” (Chanchani & Theivanathampillai, 2001, p. 1).

One of the most important aspects of culture is that it is a “construct” that is not directly accessible to observation, but is inferable from verbal statements or other behaviors (Hofstede, 2007). It is public, not an occult entity (Geertz, 1973) and “lives in the collection of minds” (Redding & Stening, 2003, p.xiii). Culture is largely invisible and that is why it is difficult to detect the influence of culture on the practice of management (Thomas, 2008).

Culture consists of patterns, explicit and implicit, of and for behavior acquired and transmitted by symbols, constituting the distinctive achievement of human groups, including their embodiments in artifacts; the essential core of culture consists of traditional (i.e., historically derived and selected) ideas and especially their attached values; culture systems may, on the one hand, be considered as products of action, on the other as conditioning influences upon further action. (Kroeber & Kluckhohn, 1952, p. 357)

Berger and Luckmann (1967; cited in Redding & Stening, 2003) defines a society’s culture as a particular reality which itself is constructed by the members of that society. It is a set of rules and guides for the collective use of its members such as language and categories of meaning to accommodate individuals with the surrounding world. While one definition refers to “maps by which we steer” (Redding & Stening, 2003, p. xiii), another one denotes “the rules of the game perceived by an individuals as being shared by others” (p. xiii).

Culture is a construct created through a socialization process where it is shared and is transmitted through the interactions among its individual members (Smith & Bond, 1998;

Fischer, 2008). Hoebel (1960; cited in Sparrow & Wu, 1998) also defines culture as the integrated sum of learned behavioral traits which are shared by members of a society.

Schein (1992, p. 12) defines culture as a pattern of shared basic assumptions, invented by a given group, “as it learns to cope with its problems of external adaptation and internal integration that has worked well enough to be considered valid”. Therefore, it is to be taught to new members as the correct way to perceive, think, and feel in relation to those problems. For Schein (1992) culture has three levels: artifacts, values and basic assumptions. The artifacts are at the surface level and include whatever an individual sees, hears and feels when he or she encounters a new group with a different culture, and consists of visible and easily observable organizational structures and processes such as an organization’s physical environment, language, style of clothing, observable rituals and ceremonies. Espoused values include explicitly articulated beliefs and moral/ethical rules such as strategies, goals, philosophies that guide the members of the group. The core of the culture, basic underlying assumptions that are ultimate sources of values and action include unconscious, taken-for-granted beliefs, perceptions and thoughts (Schein, 1992).

However, for psychologists, sociologists and anthropologists, values lie at the core of culture (Schwartz, 1992), and the emphasis on values is a cultural assessment within the anthropological tradition. Values, which are manifested at the individual and collective levels (Parsons & Shils, 1951), are also emphasized as the building blocks of culture by authors in management area including Hofstede (1991). Social learning theory (Bandura, 1977) suggests that individuals learn in social settings which behaviors or opinions are rewarded or punished, and this socialization shapes their value systems. That is, the

individuals brought up in families that encourage close-knit relationships rather than independence such as in Turkey and China are more likely to show values that reflect an emphasis on the collective (Khilji, 2004)

Among the cultural classifications that have shown the linkage between cultural values and workplace behaviors, attitudes, and other organizational outcomes, that of Hofstede is the most influential (Kirkman, Lowe, & Gibson, 2006). He describes culture as “the collective programming of the mind which distinguishes the members of one organization from another” (Hofstede, 1991, p. 262). While recognizing a variety of ways in which collective programming is expressed, Hofstede mainly focused on the expression of collective programming in values (Peterson, 2007). Hofstede (1991) further distinguished between values and practices. While, practices (e.g., the way people dress and the use of same fashionable words) are the behavioral manifestations of culture, values *determine* the meaning for people of their practices and represent the deeper, underlying level of culture.

After presenting alternative definitions of culture, the following section focuses on the levels at culture are conceptualized with a concentration on a major measurement issue. This will be followed by a brief review of the history of development of major cultural frameworks that have been devised for comparing and categorizing cultures through identifying a variety of cultural value dimensions.

2.2.2 Measurement of Culture: Level of Analysis Issue

Culture is conceptualized at different levels. “Culture comes in layers like an onion. To understand it you have to unpeel it layer by layer.” (Trompenaars, 1998, p. 6) While

national/societal culture is at the highest level, corporate or organizational culture, which is embedded in and shaped by national culture, lies at the second level. Then the culture of particular functions within organizations, that people within certain function share, comes. National culture can be defined as the values, beliefs, assumptions learned in early childhood distinguishing one group of people from another, embedded deeply in everyday life and relatively resistant to change (Hofstede, 1991). It is expressed through rules, symbols, categories and frameworks and stabilizes and classifies the surrounding environment, assigning “rightness” to some ideas and “wrongness” to others (Nolan, 1994). National cultures are believed to be stronger than corporate cultures, since within the same MNC cultural differences among employees with different nationalities are magnified (Adler, 1983; Laurent, 1986; Schneider, 1988; Sparrow & Wu, 1998).

Culture is a group-level phenomenon, but it influences individuals’ perceptions, values and behavior as well (Maznevski, DiStefano, Gomez, Noorderhaven, & Wu, 2002). Choosing the appropriate level of analysis, however, is a major problem in studying culture (Hofstede, Bond, & Luk, 1993). The-level-of analysis problem, the “ecological fallacy” (Hofstede, 1980, p. 29), occurs when conclusions applying to one level have to be drawn from data that are only available at another level. That is, by using culture scores which are based on the data obtained from higher level social systems, individual level or organizational level explanations cannot be drawn, although cross-cultural research is often interested in assessing influence of culture on individuals (Fischer, 2008). Otherwise, individual or organizational level variability within each culture can be disregarded with a homogeneity perspective (Klein, Dansereau, & Hall, 1994; Thomas, 2008).

Chapter 2: Cultural Context

Cultures are not king size individuals. They are wholes, and their internal logic cannot be understood in the terms used for the personality dynamics of individuals. Eco-logic differs from individual psycho-logic. (Hofstede, 2001, p. 17)

However, most recently, Maznevski and colleagues (2002) analyzed dimensions, formerly measured at the cultural level, at the individual level and the scales they developed revealed consistent results with earlier studies (e.g., Hofstede). Similarly, in a recent study, Erez and Gati (2004) proposed a multi-level model of culture that represents the nested structure of culture from the most macro level, through national, organizational and team cultures, and down to the representation of culture at the individual level.

Fischer (2008) argues that “the link between the proposed theoretical level (culture) and the operationalization, sampling and data analysis (individual) is unclear” (p. 20). Fischer (2008) further suggests a necessity for developing multi-level theories that addresses the linkage between phenomena at different levels through either top-down (i.e., theories about contextual influence on lower level units) or bottom-up (i.e., creation of higher level constructs through interactions among individuals) processes. While addressing this level of issue problem in detail, it is vital for researchers to answer whether their interest is to describe a collection of individuals (i.e., average levels of individual attributes) or to describe collective phenomena (e.g., cultural or organizational values and practices) (Fischer, 2006, 2008). Only then, it is possible for researchers to measure and operationalize the construct of interest as well as its level.

Cross-cultural researchers routinely investigate the dimensionality of measures at various levels. Level issues have been generally treated as an issue for analysis; for example, when researchers are encouraged to aggregate individual level data when conducting culture-level research (e.g., Leung & Bond, 1989; Smith, 2002) or questioning whether individual-level structures can be replicated at a culture level (e.g., Hofstede, 2001; Schwartz, 1994; Van de Vijver & Poortinga, 2002). However, Chen et al. (2004) argued

that the ultimate guideline for determining the similarity or difference in structure across levels should be based on theory. (Fischer, 2008, p. 22)

2.2.3 Development of Cultural Frameworks and Value Dimensions

Treating culture as a highly complex, multidimensional construct rather than a simple categorical variable is perceived as the best way to ‘unpackage’ the concept of culture (Schwartz, 1994). Despite culture has been defined through the myriad of values, beliefs, assumptions of society, it has been the study of values in particular that has helped to enhance much of our understanding of cultural variation (Thomas, 2002). Even though there are numerous alternative definitions and theoretical perspectives that use culture as an underlying concept, much of our understanding of cultural variation is argued to be achieved by reducing our analysis to the study of values (Thomas, 2008). That is, the essence of culture is described by the basic mental representations members of a social group share. In management research, the major frameworks for comparing cultures study cultural variation by looking at value orientations.

Value theory, that has been important in mainly cross-cultural psychology studies since Rokeach’s (1973) seminal work, introduced values as “independent variables to understand attitudes and behavior and as dependent variables of basic differences among social groups and categories” (Spini, 2003, p. 4). This characteristic has also paved way to find out common dimensions of values with the aim of studying differences among cultures.

Kluckhohn and Strodtbeck (1961) were important contributors to the development of the construct of culture; their work still appears in organization studies. With a functional view of culture, they developed a framework based on studying values quantitatively and on

aggregating self reports of members of a society (Peterson, 2007). Their theory suggested five functions that societies fulfill. These orientations are with regard to the character of innate human nature (human nature orientation), the relation of man to nature (man–nature orientation), temporal focus of human life (time orientation), the modality of human activity (activity orientation) and the modality of man’s relationship to other men (relational orientation) (Kluckhohn & Strodtbeck, 1961). Each is argued to be potentially relevant to certain aspects of organizational design and behavior and is likely to influence the conduct of organizations located in a country. Research also revealed that significant within-culture similarities and between-cultures differences were found across these value orientations (Sparrow & Wu, 1998). This framework could also be viewed as the basis of analyzing culture with the psychological study of values, such as that of Rokeach (1973) and of Inkeles and Levinson (1969). The further study of Inkeles and Levinson in a way integrated the literatures on culture in psychology and anthropology (Peterson, 2007). Culture is, then, perceived as the properties of an average citizen or modal personality (Inkeles & Levinson, 1969).

At the beginning of 1980s, Hofstede (1980) entered the field and has dominated it since, by providing the first theoretical framework of culture (Peterson, 2007). Till the 1980s, culture is seen as a residual variable and the main focus was to discuss which contingencies matter the most (e.g., Child, 1981). With Hofstede (1980), it was a turning point of ‘culture matters’ argument. His project that was based on Inkeles and Levinson’s functional theory resulted in a set of scores for a large group of countries on national cultural value dimensions. Hofstede offered “the integrative theory that international

organization studies had lacked”, by “providing a taxonomy of dimensions for understanding culture and by linking that taxonomy to an established theory of social functions” (Peterson, 2007, p. 372). This opened way for further studies by encouraging either applying this taxonomy or offering alternatives.

In the next section, the major frameworks that have identified some various sets of cultural dimensions along which a society can be categorized will be introduced.

2.2.4 Dimension Paradigm: Cultural Dimensions

The literature is full of cultural typologies provided by the plethora of writers on culture. Due to the complex nature of culture and since there are too many different dimensions in order to reach at a coherent definition and measurement of the concept, studies in the literature employed multidimensional approaches (Schwartz, 1994).

Dimension paradigm is argued to be introduced by the study of Hofstede who provided the first theoretical framework in studying culture that provided outlet for using culture as a variable in management research (Hofstede, 2001).

When *Culture's Consequences* appeared in 1980, it represented a new paradigm in social science research: analysing survey-based values data at the national level and quantifying differences between national cultures by positions on these dimensions. Like other new paradigms, it initially met with rejection, criticism and ridicule next to enthusiasm (Kuhn, 1970). By the 1990s the paradigm had been taken over by many others, and discussions shifted to the content and number of dimensions. (Hofstede, 2006)

In this section, prominent studies that have introduced different societal value dimensions will be presented.

2.2.4.1 Inglehart

Among these studies, the World Values Survey (WVS) of Inglehart (1997) is one of the most extensive and the longitudinal study. Inglehart's WVS which grew out of European Value Survey (EVS) has been examining how societies differ in their social, political, economic and cultural attitudes.

The World Values Survey is a worldwide investigation of sociocultural and political change. It is conducted by a network of social scientist at leading universities all around world. Interviews have been carried out with nationally representative samples of the publics of more than 80 societies on all six inhabited continents. A total of four waves have been carried out since 1981 making it possible to carry out reliable global cross-cultural analyses and analysis of changes over time. (www.worldvaluessurvey.org)

The WVS data collected via face-to-face interviews from representative samples for each society under study consists of responses from almost 350 questions of human values (Inglehart, Basanez & Moreno, 1998). The WVS data were collected at four different times with the aim of exploring intergeneration differences in the social, economic and political values (Hanges & Dickson, 2004). These differences argued to be arising as a result of the processes of postindustrialism.

In its theoretical framework, WVS is argued to show that people in developed (i.e., rich) societies have systematically different values from the ones in low-income developing countries and categorized countries along two polarized dimensions: traditional vs. secular-rational orientations, and survival vs. self-expression values (Inglehart & Baker, 2000). Placing strong emphasis on religion, family and authority, emphasizing pre-industrial values such as male dominance in economic and political life, characterize the societies with *traditional* orientation. However, *secular-rational* side of this polarization has the opposite

characteristics. The second dimension involves the duality between materialist and postmaterialist values (ibid.). The countries with *survival* orientation put priority on economic and physical security over quality of life and self-expression, whereas *self-expression* represents opposite preferences. The survey results revealed that rich societies and low-income societies differed systematically across a wide range of social, political and religious norms and values, and have been polarized mainly on these two dimensions (Inglehart & Baker, 2000). While advanced, developed societies mainly represent the characteristics of *secular-rational* and *self-expression* orientations, developing countries tend to have the opposite characteristics, reflecting *traditional* and *survival* orientations. The results also revealed that although the values of societies have some shift over time, those shifts were not drastic (Inglehart & Baker, 2000). In sum, the empirical findings of WVS support the notion that cultural differences diminish and people become more similar with the gradual increase of wealth in a country (Thomas, 2008).

2.2.4.2 Hofstede

Even though culture has numerous definitions, Hofstede's definition and cultural dimensions are accepted as the most cited one (Lu, 2006). Hofstede (1980) classifies culture under four main dimensions: power distance, individualism-collectivism, uncertainty avoidance and masculinity/femininity. This classification is based on analyses of IBM employees' work values in more than fifty countries and analysis of country mean scores on values questions. Average scores for each of the countries are then used to develop national profiles with the aim of explaining differences as well as similarities in work values.

Power distance is the extent to which people believe that power and status are distributed unequally and an unequal distribution of power is accepted as the proper way (Hofstede, 1991). *Individualism-collectivism* is the extent to which personal choices and achievement or the groups to which individuals belong primarily shapes the identity of members of a given culture (Hofstede, 1980). *Uncertainty avoidance* is the degree to which the members of a society feel uncomfortable with respect to uncertainty and ambiguity and it indicates the amount of structure preferred in the society (Hofstede, 1980). *Masculinity-femininity* is the extent to which a society shows a preference for achievement, assertiveness and material success, or a preference for relationship, modesty, caring for the weak and the quality of life (Hofstede, 1980, 1984). High masculinity reflects assertiveness and aggressiveness in social relationships.

The fifth dimension, *long term orientation*, was developed based on the Chinese values survey (Hofstede & Bond, 1988). This Chinese Culture Connection (CCC) survey is accepted as an enhancement of Hofstede's dimensions through including and representing more universal as well as non-Western values. A list of Chinese values was tested in 23 countries and the CCC study revealed four dimensions correlated significantly with those of Hofstede. One dimension emerged and was added by Hofstede as the fifth dimension, *long term orientation*. While *long term orientation* concerns the future, reflecting the values of persistence and perseverance and thrift, *short term orientation* reflect an orientation towards past and present, emphasizing respect for tradition as well as living for today, and protecting one's face (Hofstede 2001; Hofstede & Bond, 1988).

Although Hofstede's work opens the way of studying the concept of culture, it is also highly criticized. First of all, Hofstede's cultural categorization is criticized because of using Aristotelian categorization of A or non-A, and because of being linear and mutually exclusive (Hampden-Turner & Trompenaars, 1997). That is, if a country is categorized as collectivist it cannot be individualist at the same time. However, recent literature revealed that a country could be both high on collectivism and individualism dimensions at the same time (Kagitcibasi, 1997). Although Hofstede's (1980) work has been criticized for "reducing culture to an overly simplistic four or five dimension conceptualization; limiting the sample to a single multinational corporation; failing to capture the malleability of culture over time; and ignoring within-country cultural heterogeneity" (Kirkman, Lowe, & Gibson, 2006, p. 286), this dimensional framework has been favored by the researchers because of its clarity and parsimony. Despite these criticisms, the four cultural dimensions have been validated in subsequent work against different kinds of measurements and dominate the field (Hofstede, 1998; Sondergaard, 1994; Thomas, 2008).

2.2.4.3 Schwartz

Although the study of Hofstede (1980) was vital to the development of a cross-cultural theory of values, that study is argued to be data driven without proposing an integrative and universal theory of values (Schwartz, 1999). Since Hofstede's (1980) study, several large scale surveys have been conducted with the aim of adding something new to our understanding of cultural variations (Thomas, 2008). Schwartz (1994) made an important step forward and developed an important alternative application of dimension

paradigm, and identified different value dimensions both at the individual as well as country level based on a theory describing the universal content and structure of values.

Schwartz (1999) investigated value priorities of individuals and their influences on behaviors as well as cross cultural differences in these priorities, if any. While examining universal aspects of individual value structures, Schwartz (1999) focused on three issues that confront all societies. These are the nature of the relationship between the individual and the group; the way to support responsible behavior to maintain the social fabric, and finally, the way to regulate the relationship between humankind and the social and natural world within which they exist. Based on each of these three issues, Schwartz (1994) identified a bipolar dimension corresponding to each: *conservatism (embeddedness)* versus *autonomy*, *hierarchy* versus *egalitarianism*, and *mastery* versus *harmony*. Each of these dimensions represents alternative resolutions of the attached issue found in different cultural groups. Furthermore, when a value type on one of these dimensions is deemed as important and accepted as a guiding principle by an individual, it is likely that the opposing value on that dimension cannot and will not be pursued.

The bipolar dimension of *conservatism (embeddedness)* versus *autonomy* represents the first issue regarding the relationship of individual and group. While one pole, *conservatism*, represents the cultural values of viewing other people as inherently part of collectives, person as being embedded in the collective, the other pole, *autonomy*, emphasizes the individual autonomy (Schwartz, 1994, 1999). Schwartz (1999) further identified two types of autonomy. While intellectual autonomy emphasizes such values like creativity, curiosity, and broadmindedness in the pursuit of individual's own ideas, affective

autonomy emphasizes values of pleasure, exciting life, and varied life in the pursuit of positive experiences. The second issue of maintenance of the social fabric that each society confronts is argued to be resolved with the bipolar dimension of *hierarchy* versus *egalitarianism*. While *hierarchy* emphasizes the legitimacy of the unequal distribution of powers within societies, *egalitarianism* emphasizes to promote welfare of others (e.g., equality, social justice) by employing voluntary commitment rather than selfish interests (Schwartz, 1999). The dimension of *mastery* versus *harmony* provides resolution to the issue of human in relation to nature. *Mastery* emphasizes such cultural values as ambition, competence and success, and encourages people to master, and furthermore to change, to exploit the outside world for personal or group interests, whereas *harmony* is the cultural emphasis on fitting harmoniously to the outside environment and accepting it as it is rather than trying to change it (Schwartz, 1999)

In sum, the results of Schwartz's (1999) study suggested the consistency of the value structures across cultures and have been accepted as a refinement Hofstede's earlier work (Smith & Bond, 1998; Thomas, 2008).

2.2.4.4 Trompenaars

Another recent taxonomy of culture is operationalized by Trompenaars (1998). Trompenaars (1998) has proposed seven cultural dimensions. While five of these dimensions (Universalism vs. Particularism, Individualism vs. Collectivism, Neutral vs. Emotional, Specific vs. Diffuse, and Achievement vs. Ascription) are based on how people relate to each other, the remaining two orientations are concerned with people's attitudes

toward time and the environment. These dimensions, which are derived from the data collecting over a 14-year period from more than 40 nations, represent how societies develop approaches to managing problems across cultures. The conceptual basis of Trompenaars' work and dimensions is mainly grounded on the formulations of Parsons and Shils (1951), and Kluckhohn and Strodtbeck (1961). Inclusion of East bloc countries in Trompenaars' data as well as a clear distinction between two main dimensions of power distance and individualism-collectivism, are accepted as enhancement to Hofstede's study (Smith & Bond, 1998).

The concept of universalism versus particularism distinguishes two value standards that may guide the individuals' behavior (Trompenaars, 1993, 1998; Smith, Dugan & Trompenaars, 1996). "The particularistic actor predominantly values interpersonal ties, while the universalistic actor values abstract societal expectations" (Trompenaars, 1985, p. 84; cited in Smith, Dugan & Trompenaars, 1996). While *universalism* is the extent to which a society strives for consistency and uniform procedures by treating all like cases in the same way, *particularism* emphasize standards not independent from specific social relationships (Trompenaars, 1998; Smith, Dugan & Trompenaars, 1996). The second dimension, *achievement* versus *ascription*, refers to the characteristics of people holding the status. It is about whether status is accorded on the basis of social class, family background, educational background, or titles, or merit, ability and achievement (Trompenaars, 1998). Dimension of *individualism* versus *collectivism* has the similar definition of that of Hofstede (1980). While *individualism* emphasizes on self, autonomy, personal freedom, *collectivism* focuses on group membership, cooperation and social relationships. The dimension of

neutrality versus *affectivity* includes the expression of feelings (Trompenaars, 1993).

Affectivity implies the display of emotions by the members of the society, while *neutrality* implies the transcendence of reason over emotions by keeping feelings and expressions under control (ibid.). The next dimension, specificity versus diffuseness, engages in the communication areas among individuals. *Specificity* is the degree to which private and work lives are kept distinct, and “clear, precise and detailed instructions are seen as assuring better compliance” (Trompenaars, 1993, p. 90). Whereas, *diffuseness* is “the degree to which private and business agendas are interpenetrated; ambiguous and vague instructions are seen as allowing subtle and responsive interpretations” (Trompenaars, 1993, p. 90).

Similar to Kluckhohn and Strodtbeck’s (1961) relation to nature value orientations, Trompenaars (1993) identified attitudes towards environment dimension, *inner-directed* versus *outer-directed*, as whether societies, by using their free will upon it, can control nature (inner-directed), or whether they believe the belongingness of man to nature and hence have to go along with its laws (outer-directed). Lastly, attitudes toward time dimension range from *sequential time* versus *synchronous time* orientations (Trompenaars, 1993). While the former is characterized by doing one thing at a time, generally sticking to the schedules, the latter is characterized by nonlinear series of passing events, doing several activities simultaneously.

After the initial conceptualization of Trompenaars along seven dimensions, Smith, Dugan and Trompenaars (1996) reanalyzed the data of Trompenaars, and reached two major value dimensions (conservatism vs. egalitarian commitment, and loyal involvement vs. utilitarian involvement) against which countries are plotted. The second dimension,

loyal involvement vs. utilitarian commitment, similar to individualism-collectivism, is concerned with people's obligation towards their groups

Similar to Schwartz's (1994) study, these two dimensions are seen as extensions and refinements of Hofstede's (1980) power distance and individualism/collectivism dimensions (Thomas, 2008). But the most recent study of cultural differences in value orientations, the Global Leadership and Organizational Behavior Effectiveness research project (GLOBE), has best been viewed as a complementary to Hofstede's (1980) study, and is going to be described in the next section.

2.2.4.5 GLOBE

The most recent conceptualization within dimension paradigm is of Global Leadership and Organizational Behavior Effectiveness research project (GLOBE), which is a large-scale project involving more than 160 researchers around the world (Javidan, House, Dorfman, Hanges & Sully de Luque, 2006). By collecting data in 64 countries, GLOBE is perceived as a helpful update to Hofstede's dimensions (Husted, 2000; Parboteeah, Bronson, & Cullen, 2005). Similar to Hofstede, the GLOBE project includes uncertainty avoidance, power distance and individualism-collectivism and distinguishes between gender egalitarianism and assertiveness. In addition, it also includes other dimensions such as future orientation, performance orientation and humane orientation (House et al., 1999, 2001, 2002, 2004).

The dimensions of *power distance* and *uncertainty avoidance* reflect the same construct as Hofstede defined (House et al, 2004). However, House and colleagues (1999,

2005) differentiated between societal collectivism and institutional collectivism. While *societal collectivism* reflects societal emphasis on and the encouragement and rewarding of collective action, and collective distribution of resources by societal as well as organizational practices, *in-group collectivism* encompasses the pride in and loyalty to a smaller collective such as families and organizations (House et al, 2005; Javidan et al., 2006). In lieu of Hofstede's dimension of masculinity-femininity, GLOBE is distinguished between gender egalitarianism and assertiveness in GLOBE. Similar to masculinity, *assertiveness* assesses the extent to which individuals of a society or an organization are aggressive, assertive and confrontational in their relationships, whereas *gender egalitarianism* the degree of society's effort in the elimination of gender role differences or gender discrimination (House et al, 2005). The dimension of *future orientation* was derived from time orientation dimension of Kluckhohn and Strodtbeck (1961), measuring the societal engagement in future-oriented behaviors such as planning, investing in future. Performance orientation, based on McClelland's (1985) need for achievement conceptualization, is "the extent to which, a human community encourages and rewards setting challenging goals, innovation and performance improvement" (Javidan, 2004, p. 276). Performance is the most important criterion in making every decision in such cultures. The last dimension, *humane orientation*, is based on Kluckhohn and Strodtbeck's (1961) basic human nature (good vs. bad) dimension, and measures "the degree to which individuals in organizations or societies encourages and rewards individuals for being fair, altruistic, generous, caring and kind to others (House et al, 2002, p. 6).

The GLOBE project also distinguished between cultural values and practices with the aim of verifying the onion metaphor of culture which is the relationship between culture, values and practices, and how values drive practices (Javidan et al., 2006). In contrast to the former studies exploring cultural values dimensions by asking what is desirable to them as individuals, GLOBE assessed respondents' views regarding what is desirable in their societies. In order to ensure ecological validity, rather than only taking mathematical averages of individual respondents as country scores, they treated "respondents as informants to report on the gestalt of their cultures, consisting of values and other elements." (Javidan et al., 2006, p. 900)

2.2.4.6 Summary of Dimension Paradigm

Table 2.1 and Figure 2.1 depict a summary of the various dimensions proposed under different frameworks by prominent figures in culture studies. As discussed, the findings of these major studies of cultural differences in value orientations reflect some remarkable similarity, even though they have been conducted at different times, used different methods with different samples (Thomas, 2008). Mainly, two dimensions individualism/collectivism and power distance appear in some forms in all the frameworks, and hence might be more important in understanding cultural variation (Thomas, 2008).

To sum up, these studies introduced various categorizations of values organized into different cultural dimensions, which support the notion of the values as the main measure of culture to explore cross cultural differences. Even though using value dimensions in the operationalization of culture is not without criticisms (e.g., the limited number of

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dimensions, the predictive validity of values with regard to behavior), this approach is still widespread and convenient, “because cultural dimensions show validity; they are at the right level between generality and detail; they establish a link among individual, organizational and societal level phenomena; and they are easy to communicate” (Aycan, 2005, p. 1085). Moreover, Hofstede (2006) argues that further studies that try to extend the number of dimensions, such as the GLOBE project, have to be cautious about the epistemological reason of why the number of meaningful cultural dimensions have to be small. Since culture is a construct existing in our minds that helps us to understand the complex reality of the social world and since in processing information human minds have a limited capacity, the dimensional model should not be too complex (Hofstede, 2006). Hofstede (2006) even asserts that useful classification models should not have more than seven dimensions.

Culture change basic enough to invalidate the country dimension index rankings, or even the relevance of the dimensional model, will need either a much longer period - say, 50 to 100 years - or extremely dramatic outside events. Many differences between national cultures at the end of the 20th century were already recognizable in the years 1900, 1800 and 1700 if not earlier. There is no reason why they should not play a role until 2100 or beyond... (Hofstede, 2006)

The cross cultural management area experiences a strong debate between researchers pro Hofstede or pro GLOBE project. Smith (2006) points out four basic and interwoven issues that debate goes over: “preferred ways of conceptualizing and measuring culture; the question of how many culture dimensions we can usefully study; the problem of levels of analysis; and the role of wealth.” (p. 916) Related to this argument, Kirkman and colleagues (2006) debated whether, in the 21st century, Hofstede’s (1980) cultural values

framework, which is based on data collected in the 1960s and early 1970s, should continue to be used for cross-cultural research. In general, there is an agreement with Smith and Bond's (1999, p. 56) conclusion that large-scale studies after Hofstede's (1980) work "have sustained and amplified [Hofstede's] conclusions rather than contradicted them." However, even though Hofstede's values overall are clearly relevant for additional cross-cultural research, we should be aware of the aforementioned warnings (Kirkman, Lowe, & Gibson, 2006).

Figure 2.1 Some examples of dimensions in prominent culture studies

Kluckhohn/ Strodbeck	Hofstede	Schwartz	Trompenaars	GLOBE
Activity Orientation	Long and Short Term Orientation	Tradition Security Conformity	Time	Performance Orientation
Time Orientation	Masculinity/Femininity	Benevolence Universalism	Individualism/Collectivism Universalism/Particularism	Future Orientation
Human Nature	Individualism/Collectivism	Power Achievement Self-Direction Stimulation	Status Achievement/ Status Ascription	Gender Egalitarianism
Relational Orientation	Power Distance	Spirituality	Emotional/Neutral	Assertiveness
Man Nature Orientation	Uncertainty Avoidance	Hedonism	Specific/Diffuse	Human Orientation
			Man Nature Orientation	Group Collectivism Institutional Collectivism
				Power Distance
				Uncertainty Avoidance
1961	1980	1992	1993	2004

Source: Numic, 2008

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Table 2.1 Cultural dimensions and their descriptions (Source: Aycan, 2005)

Cultural Dimension	Description
<i>Power distance (House et al., 1999, p.192)</i>	The degree to which members of an organization or society expect and agree that power should be unequally shared.
<i>Collectivism (House, et al., 1999, p.192; Hofstede, 1980, p.171)</i>	The degree to which organizational and societal institutional norms and practices encourage and reward collective distribution of resources and collective action. The extent to which people place importance to extended families or clans, which protect them in exchange for loyalty. The 'in-group' – 'out-group' difference is salient.
<i>Uncertainty avoidance (Hofstede, 1980, p.140)</i>	The extent to which people in an organization or society considered uncertainty inherent in life as a continuous threat that must be fought. There is high avoidance of deviant and different persons and ideas.
<i>Femininity (Hofstede, 1980, p.205)</i>	The degree to which people in an organization or society values interpersonal harmony more than money and achievement; gender roles are fluid.
<i>Future orientation (House, et al., 1999, p.192)</i>	The degree to which individuals in organizations or societies engage in future-oriented behaviors such as planning, investing in the future, and delaying gratification.
<i>Performance orientation (House, et al., 1999, p.192)</i>	The extent to which an organization or society encourages and rewards group members for performance improvement and excellence.
<i>Assertiveness (House, et al., 1999, p.192)</i>	The degree to which individuals are assertive, confrontational and aggressive in their relationships with others.
<i>Gender Egalitarianism (House, et al., 1999, p.192)</i>	The degree to which a collective minimizes gender inequality.
<i>Humane Orientation (House, et al., 1999, p.192)</i>	The degree to which a collective encourages and rewards individuals for being fair, altruistic, generous, caring and kind to others.
<i>Universalism (Trompenaars, 1993, p.46)</i>	The extent to which an organization or society strives for consistency and uniform procedures, institutes formal ways of changing the way business is conducted, seeks fairness by treating all like cases in the same way.
<i>Specificity (Trompenaars, 1993, p.90)</i>	The degree to which private and business agendas are kept separated; clear, precise and detailed instructions are seen as assuring better compliance.
<i>Ascription (Trompenaars, 1993, p.105)</i>	The degree to which status is accorded on the basis of social class, family background, educational background, or titles, rather than merit or achievement.

2.2.4.7 One Last Word on Dimension Paradigm

Mainly because of the influence of seminal work of Hofstede (1980), the current cross-cultural literature has been focusing on cultures as “a collection of cultural dimensions.” (Javidan et al., 2006, p. 729) Since culture is a very complex multidimensional phenomenon, various dimensions have been introduced by various researchers and no doubt newer ones are going to be introduced in future studies. However, one more important aspect of culture that has been given very little attention in the literature is “the gestalt of cultures” (Javidan et al., 2006, p. 729). Cultures “are not a set of independent self-standing dimensions, but instead are formed as a confluence of cultural attributes” (Javidan et al., 2006, p. 729). How these cultural dimensions interact is more difficult to study, but helps to answer more detailed questions about cultures and has significant managerial implications as well. For example, the current cross cultural literature is argued to be advising managers on what to do and not to do in high collectivist or power distant cultures. But, it does not advice what to do in both collectivist and power distant cultures. In short, “although the current literature informs us about different cultural strands, it fails to shed light on the cultural fabric” (Javidan et al., 2006, p. 729). Current research asserts that in a world of mass interaction of people from different cultures, we should understand cultures in plural and diverse terms and refrain from traditionally accepted representation of cultures in singular terms, and as unique and uniform such as “the British managerial style” or “ the Turkish organizational culture” (Yavas, Janda, & Morcoulides, 2004). Only by taking such a holistic perspective, our cross-cultural understanding can be enhanced.

2.2.5 Summing Up the Construct of Culture

Culture, which is a highly complex construct with various definitions and dimensions, plays an important role in management research and practice. Due to the increase in the intercultural contact in the organizational context as a result of globalization, the pervasive effect of culture on management has to be revealed to enhance our understanding of management practices. In order to achieve this aim, we first need a clear definition of culture which is challenging, as well as how to measure it to achieve its better understanding. Culture argued to be best expressed as “the interactions of values, attitudes and behavioral assumptions of a society” (Thomas, 2008, p. 47). Despite various definitions, reducing the analysis to the study of values has provided much of our understanding of cultural variation (Thomas, 2008). That is, culture can be described as a set of shared mental representations by particular social groups about the way things ought to be or one should behave (Hofstede, 2007). Different frameworks, each of which has its proponents or detractors, have been proposed to enhance our understanding of cultural differences and to systematically describe them. For sure, newer ones are going to be introduced in future studies as well.

As per the Model of Culture Fit (MCF), which is the theoretical model of the present research, the term *culture* is defined as “common patterns of beliefs, assumptions, values, and norms of behavior of human groups (represented by societies, institutions, and organizations)” (Aycaan et al., 2000, p. 194). Culture is conceptualized at the societal and the organizational levels. The underlying rationale is that while culture at societal level refers to “*shared values among people* with respect to how a society is structured and how it

functions” (p.194), culture at organizational level refers to “*shared managerial beliefs and assumptions* about employee nature and behavior” (p.194). The present research also employs the same definition of culture in line with the theoretical framework adopted.

2.3 The Context of Developing Countries and Emerging Economies: How is the Rest Different from the West?

... those nations (primarily in Africa, Asia, and Latin America) that have little or no industrial base. Characteristically, they have high rates of population growth, high infant mortality, short life expectancy, low levels of literacy, and poor distribution of wealth.

... Countries that often have abundant natural resources but lack the capital and entrepreneurial and technical skills required to develop them. The average income per head and the standard of living in these countries is therefore far below that of the industrial nations. The developing countries, in which nearly 80% of the world's population lives, are characterized by mainly agricultural economies from which poverty, hunger, and disease have not been eliminated. Many depend on a single product for their exports and are therefore vulnerable in world markets. Some have developed small low-technology companies, but market mechanisms (particularly distribution) do not exist. (www.encyclopedia.com)

The term “developing countries” is a generic term that is used broadly to represent all countries other than advanced industrialized, so called “developed countries” (Budhwar & Debrah, 2001). These countries, which contains the majority of the world’s population (around 80%), are usually characterized by low standard of living, a lack of advanced infrastructure, health, education and transportations facilities, an undeveloped industrial base (Aycan et al., 2007). In the literature, different terms by various authors have been used interchangeably for developing countries, such as less developed countries, emerging markets, transitional economies, third world countries and so on (Budhwar & Debrah, 2001). However, the term of “developing countries”, which is used mainly by the United

Nations, is argued to appear pejorative, because it assumes a desire to “develop” along with the traditional Western economic development model (Jackson, 2001). Rather, many DCEEs are argued to take actions to distinguish themselves from the West to ensure their cultural uniqueness (Thomas, 2008).

Not only are there different names, but also the different classifications of the countries have emerged due to the various criteria used in the categorization. This is why the clear distinction between developed and developing countries can not be achieved. While World Bank’s main criterion for country classification is gross national product (GNP) per capita, the United Nations has developed a human development index (HDI) to determine the development level of countries. For example, while Turkey is listed as developing countries by International Monetary Fund-IMF (<http://www.imf.org/external/index.htm>), it is not listed as one by International Statistical Institute-ISI (<http://isi.cbs.nl/developing.htm>). Nevertheless, although the classification is not clear-cut, these countries even under different classifications still occupy the largest part of the world.

80% of world’s population live and work in countries described as ‘developing’, which represents a large labor force market (Aycan, Al-Hamadi, Davis, & Budhwar, 2007). Although the majority of the world’s population lives in DCEEs and although these countries constitute more than three fourths of all countries, existing literature on management, and especially HRM, in these countries revealed a poor interest (Galang, 2004). For example, one of the extensive and longitudinal survey Cranfield Project (Brewster, 1993) surveyed HRM in none of the DCEEs so far (Galang, 2004).

DCEEs are defined as “countries that typically are in ‘early stages of development’ in terms of economic development, and have been growing rapidly than (often more than twice the rate of) ‘traditional’ developed country economies of Japan, North America and Europe” (Napier & Vu, 1998, p. 41). These countries are critical for global firms since they are potential business sites for these MNCs (Budhwar & Debrah, 2001; Napier & Vu, 1998). Western world derives benefits from this interaction with DCEEs, since not only do DCEEs provide raw materials and cheap production sites, they also become an export market for Western companies. On the other hand, DCEEs that are characterized by rapidly changing economic and social conditions and the unpredictability of political and social situations could make the interactions with these countries challenging (Napier & Vu, 1998).

Although not well-researched yet, these developing parts of the world attracted FDI over two decades. The different roles DCEEs play in the global economy, such as being suppliers of cheap resources, raw material sources of production sites, competitors for developed countries with lower labor costs, buyers, capital users, and home for the FDI of most of MNCs increase their importance and visibility in and around the world (Budhwar & Debrah, 2001; Napier & Vu, 1998). These emerging markets attract an enormous amount of FDI (Budhwar, 2005). For instance, according to 1990 IMF data, the globalization have made the amount of net FDI in DCEEs rise more than twelvefold, and FDI in the East Asia area including Taiwan, Hong Kong, China particularly has been active since 1990 (Warner, 2004). In particular, as an emerging economy, China, has been attracting investment, utilized US\$ 562 billion in FDI between 1980 and 2004 (Gamble, 2006). According to 1998

United Nations report, a total of 230,696 affiliates, of 53,000 MNCs with 450,000 affiliates operating around the world, are based on developing countries (Budhwar & Debrah, 2001). A recent UNCTAD survey (Economist, 2002; Aycan et al., 2007) revealed that a quarter of 829 Headquarters operations of MNCs were relocated to developing countries. This is important in the sense that FDI is expected to bring “not only updated products, equipment and technology, but also advanced management expertise and human resource management (HRM) systems and practices” to these DCEEs context (Gamble, 2006, p. 328).

What are these DCEEs then? Mainly, this definition covers almost all the countries in the world except the North American countries (i.e., USA, Canada) as well as the first group of countries that constituted the European Union. That is, these are the ones not in the “Western World” (Ergin, 2008, personal communication).

2.3.1 Characteristics of Developed Countries vs. DCEEs

Napier and Vu (1998) specifically summarize the contextual differences between developed Western world and DCEEs. The unstable economic conditions, political and legal issues, availability and/or sophistication of technology and infrastructure, and social and cultural differences make these countries different, and both act as influential factors on MNCs’ HRM policies and practices at the cross cultural interfaces.

Kanungo and Jaeger (1990) differentiated and characterized the environments of developed and developing countries, which might have an influence on both micro- and macro-organizational behavior, under three dimensions: the ones relating to (a) the economic and political environment, (b) the socio-cultural environment, and (c) the internal

work culture. How these dimensions manifest themselves in organizational practices will be discussed in the following sections.

Under the economic and political-legal environment dimension, two factors, the predictability of future environmental events and the difficulty in obtaining resources from the environment, are critical (Triandis, 1984; Kanungo & Jaeger, 1990). Developed countries are characterized as highly predictable environments where obtaining resources is not highly difficult, since what 'developed' means that the factors related to the facilitation of commerce such as the infrastructure, the trained labor supply, the capital markets and the business-government relations are all developed (Kanungo & Jaeger, 1990). However, the environment of developing countries, on their way to modernization and industrialization, is complex, mainly because of the non-availability of the resources and relative unpredictability. Widespread existence of underdeveloped norms and lawless corrupt practices might also hinder to obtain the required resources such as economic, technological as well as skilled human resources (Kanungo & Jaeger, 1990; Budhwar & Debrah, 2000).

Kanungo and Jaeger (1990) further argue that developing and developed countries comprise two distinct socio-cultural environments. While the prevalent culture in developing countries can be characterized as high on both power distance, collectivism, uncertainty avoidance and femininity, developed countries share the cultural characteristics of relatively low power distance, higher individualism, low levels of uncertainty avoidance (might be related to high predictability of the political and economical environment), higher performance rather than people orientation, higher level of masculinity. The differences in external environment as well as cultural context also influence the internal work culture of

the organizations, which are the taken-for-granted assumptions of organizational members (i.e., employees) (Kanungo & Jaeger, 1990; Aycan et al., 2000, 2007). However, as a result of a growing interdependency and interaction with Western values, traditional values in these DCEEs are also changing.

Developing and developed countries also differ in terms of the assumptions regarding the nature of control over outcomes (i.e., locus of control), and the beliefs about human nature and malleability (Aycan et al., 2000; Kanungo & Jaeger, 1990). In developed countries, organizations emphasize the unlimited malleability and creative potential of human resources and value a proactive stance of employees where people are responsible for the outcomes of their actions. However, within organizations in developing countries, individuals are viewed as having more or less fixed and limited human potential with no room for improvement, having no control over the outcomes (i.e., external locus of control) with a passive stance, indicating more fatalistic orientation in the internal work culture (Kanungo & Jaeger, 1990; Aycan et al., 2000).

Organizations are complex systems, and in order to manage them, an extensive understanding of both its internal environment and its interaction with the external environment has to be captured. Since the organizations in developing countries and in industrialized countries have different external environments, the transfer of management theories and practices from ones to others may have limited applicability (Kanungo & Jaeger, 1990). This is why, “uncritical transfer of management theories and techniques based on Western ideologies and value systems has in many ways contributed to

organizational inefficiency and ineffectiveness in the developing country context.”

(Kanungo & Jaeger, 1990, p. 1)

... it is important to recognize that the “state-of-the-art” management practices and techniques which are dictated by unique configurations of different cultural and institutional factors, developed in the context of Western cultural values, cannot be uncritically adopted in developing countries. (Budhwar & Debrah, 2000, p. 5)

Differences in the socio-cultural environment of developing and developed countries provide a barrier in front of the successful adaptation of management theories and practices to DCEEs. Because many organizations in the Western industrialized countries have benefited from the management theories and techniques that originated in the West, the adaptation of these management thought and practices, as a result, has been perceived as “a must” for an expeditious industrial development in the developing countries (Kanungo & Jaeger, 1990; Budhwar & Debrah, 2000). However, this intensive attempt resulted in “an uncritical emulation and extrapolation from the experiences of the economic growth model of Western countries, grossly disregarding the fundamental differences in socio-cultural constraints and local conditions and circumstances” (Sinha & Kao, 1988, p. 11; cited in Kanungo & Jaeger, 1990). That is why the context of DCEEs cannot be disregarded and further examined with the aim of enhancing our understanding of successful implementation of management practices.

After this section on introducing the context of DCEEs, in the next section, two DCEEs under investigation will be the focus and will be examined in detail.

2.3.2 Turkey and Romania: DCEEs under Investigation

Van de Vijver and Leung (1997) discern three procedures for sampling cultures in cross cultural research. While *random sampling* involves the sampling of a large number of cultures randomly, due to time and resource constraints, it is almost impossible and impractical to get a truly random sample of cultures (Van de Vijver & Leung, 1997). In the *systematic sampling* procedure, cultures are selected in a theory-driven way, mainly on the basis of their variation on the theoretical dimensions. And the last procedure, *convenience sampling*, a culture is simply selected due to considerations of convenience such as being a researcher from that culture or having collaborators in that culture, or staying there for a period of time (Van de Vijver & Leung, 1997). For the present research, samples were selected on the basis of both theoretical and convenience considerations.

The two under-researched countries, Turkey and Romania, were selected due to their strategic geopolitical and economic positions and the high degree of interest and importance they created for MNCs. The similarities and differences of these two countries as well as the interactions between them in terms of foreign investment in the form of MNCs are also going to highlight the context of the present research. Moreover, the considerations of convenience cannot be disregarded, since the present researcher is both from Turkey and also has stayed in Romania for a period of time. Moreover, since the aim of the study is mainly to understand cross-cultural interaction within a culture, the highest effort has been exerted to increase the variability of interactions between people from different cultures within each nation through snowball sampling, which will be discussed in detail in methodology chapter.

2.3.2.1 Turkey

Turkey, as a secular Muslim developing country eager to enter European Union, attracts enormous attention both strategically and geographically (Aycan, 2006; Aycan & Yavuz, 2008). Both modernity and traditionality simultaneously coexist in Turkey, characterized as cross-roads of civilizations and as a bridge connecting East and West.

Turkey occupies the area of 814,578 square kilometers, of which 790,200 are located in Asia and 24,378 are in Europe. Turkey is the third largest population in Europe, after Russia and Germany, with a population of 70.15 million. Turkey is among the world's most populous 20 countries (World Bank, 2003).

Although Turkey has predominantly Moslem population, the Turks lived in and around Europe and interacted with Europeans since the conquest of Constantinople by the Ottomans (Yavas, Janda, & Morcoulides, 2004). A secular republic in 1923 was established brought major changes, such as acceptance of European legal codes instead of Islamic ones, recognition of Western calendar, closing of religious schools. This presented a sole example among the Islamic countries (Yavas, Janda, & Morcoulides, 2004).

Although Turkey is one of the more developed Middle Eastern countries, industrialization is still in progress (Aycan & Yavuz, 2008). Turkey has been experiencing increasing exposure to the international competition. Starting from the mid-1980s, Turkey continues to be one of the fastest growing economies in the Organization for Economic Cooperation and Development (OECD) by adopting a free-market economy, an export-led growth strategy and liberal foreign investment policy (Yavas, Janda, & Morcoulides, 2004). Further support of government to improve the investment conditions in Turkey as well as

establishment of free-trade zones have strengthened Turkey's position as a link between Europe, the Middle East and Central Asia and made that emerging market as an attractive investment place for many MNCs. Moreover, Turkey has a young and educated population which is another attractiveness of Turkey as a place for investment (Aycan, 2001; Silverthorne, 2005).

In line with Turkey's outstanding growth prospects, the U.S. Commerce Department designated Turkey as one of the world's ten "Big Emerging Markets" and Turkey was included in the G-20 group along with other major dynamic emerging economies (Aycan & Yavuz, 2008). However, although Turkey has already been an "emerging" market for almost two decades, its development has been sporadic and there is lack of consistency in its economy (Nichols, Sugur & Demir, 2002).

Nonetheless, "strengthened macro-economic stability, positive effect of the EU membership negotiations on predictability and decisive work on improving the investment environment highlighted Turkey as an attractive investment location for foreign investors in the past two years" (IMF Report, 2006, p. 6). Turkey has raised its FDI inflows in 2006, after the impressive performance in 2005, and achieved a record level of USD 20,2 billion (IMF Report, 2007). This is worth of attention since these FDI inflows of Turkey, in terms of growth in the last two years surpassed both that of developing and of developed countries (IMF Report, 2007).

Moreover, similar to this accelerated growth in Turkey's FDI inflows, the number of establishment of foreign owned companies continued to increase in 2006 as well (IMF Report, 2007). The most important factor in this FDI growth has been the cross-border

mergers and acquisitions, especially in the finance and banking sector. Most of the home country of foreign-owned companies are European, with a share of 62.5 %. Istanbul has taken the largest share, as in the front rank, with 8.334 number of foreign-owned companies out of 14,955 companies, at the end of 2006.

Turkey's consistent 'lookedwestward' strategy strengthened its geographical, political and cultural close position to European countries (Yavas, Janda, & Morcoulides, 2004). The bond with Europe has been strengthened due to the attempts such as its joining to NATO in 1952 and its association agreement with the European Community in 1963. This resulted in recognition of Turkey as a candidate for European Union (EU) membership in 1999 (Stokes, 2004). The European Council started negotiations with Turkey regarding its full membership to the EU in 2004 (Yavas, Janda, & Morcoulides, 2004).

Turkey, henceforth, recently adopted numerous legislative changes, paving the way towards broader integration of the Turkish economy with the global economy and harmonizing its legislation and institutional framework to match EU standards and requirements in accordance with Western democratic forms (Aycan, 2006; Aycan & Yavuz, 2008). These integration and harmonization attempts appear to reflect its influence on the adoption of modern Western management techniques by the younger private sectors managers in Turkey (Yavas, Janda, & Morcoulides 2004). Not only are many private sector managers in Turkey graduates of American and European business schools, but also do major Turkish business schools typically use American texts in their English curriculum (Yavas, Janda, & Morcoulides 2004). In such a context, appropriate and effective transfer of

management practices to a “European-wannabe Turkey” gains more importance. The present research, hence, is expected to fill a void in this under-researched Turkish context.

2.3.2.2 Romania

It is a curious country: Balkan in geography, Orthodox in religion, Latin in language and (many say) in temperament, European in ambition, yet undeniably North African in its level of development (The Economist, 2001; cited in Chiaburu & Chiaburu, 2003, p. 102)

Romania, as one of the newest members of EU, went through a series of transitional periods (i.e., change from feudalism to capitalism, from capitalism to socialism) in its effort of modernization and European integration (Iacob & Gavrilovici, 2006). In terms of geopolitical position, it is similar to Turkey in that it is at a cross-roads of civilizations and may be considered as the bridge connecting East and West. “By any means, physically, biologically and historically, Romania is at the crossroads of Europe.” (Simionescu, 1937; cited in Iacob & Gavrilovici, 2006)

After more than four decades of communism, the 1989 Revolution initiated the last and ongoing period Romania went through, aiming at a change from socialism to capitalism (Chiaburu & Chiaburu, 2003; Iacob & Gavrilovici, 2006). However, due to the lack of appropriate political, economic and social institutions, resources and people, its further development and economic progress revealed inconsistency. The presence or absence of reforms, their direction and pace have been heavily influenced by the ruling political parties and coalitions in post-communist Romania (Chiaburu & Chiaburu, 2003). Chiaburu and Chiaburu (2003) argue that the focus of liberal parties is the rapid price and market

liberalization, while neglecting possible social effects of this approach. Meanwhile, the focus of the social democrat rulers is in the favor of a more gradual approach, combined with significant rent giving and favoring of older and inefficient firms. “In both situations, the lack of institutional support and the absence of political involvement by civil society undermined the emergence of sustainable results.” (Chiaburu & Chiaburu, 2003, p. 102)

After 1989, most of the Romanians hoped not only for a freer but also a better life; many of the Romanians believed Romania would reach Western standards in a few years. A decade later the facts show that apart from those who profited from the revolution (and from the years after), from those who could rapidly adapt to the market economy, a thin layer of a new Romanian middle class, the great majority of the population still waits to have their dream fulfilled in a real manifestation of their “social will.” (Iacob & Gavrilovici, 2006, p. 701)

After the fall of socialism, output and GDP in Romania fell by nearly half the levels of 1989 during the first half of the 1990s, as well as other economic indices such as real wages and productivity (Burnete, 2006). After suffering from instability and “dollarization”, the year 2000 brought some hope with a couple of signs of recovery such as the increase in industrial output and exports (Burnete, 2006). Production and exports increased, while unemployment level and inflation rate decreased. GDP grew 2% in 2000 and inflation decreased to 41 % (Chiaburu & Chiaburu, 2003). However, this growth, rather than a sound and sustainable one, is an immiserization growth that is a result of the distortions within the economy (Burnete, 2006). Negative social consequences included the doubling of the number of people living below the national poverty line as well as corruption (Chiaburu & Chiaburu, 2003).

Littrell and Valentin (2005) argue that some economic initiatives in Romania such as privatization or the entry of foreign MNCs into Romanian market create a pressure on

Romanian organizations to align their management techniques with Western standards. Littrell and Valentin (2005) also state that the management education in Romania is an uncritical adaptation of Western translations, disregarding the national culture characteristics and this might be the cause of that increased pressure.

2.3.2.3 Culture of Turkey and Romania: Similar or Different?

Table 2.2 summarized the country scores of Romania and Turkey on each Hofstede dimension. On the basis of Hofstede's results, the two countries are not dissimilar in an extreme way. Both countries are highly power distant, collectivist, uncertainty avoidant and feminine.

Table 2. 2 Country scores for Turkey and Romania on Hofstede's (1980) dimensions

	Turkey	Romania
Power Distance	66	90
Individualism	37	30
Uncertainty Avoidance	85	90
Masculinity	45	42

Turkey demonstrated strong power and status differences as well as strong tendency to avoid uncertainty with a collectivistic and feminine orientation where group membership as well as communal tendencies is important (Hofstede, 1980). However, according to the

recent research, Turkey has become less collectivist and hierarchical, although still very paternalist (Aycaan et al., 2000).

A study in Romania was conducted by Vană (1997; cited in Chiaburu & Chiaburu, 2003) using Hofstede's (1991) cultural dimensions and similarly found high power distance (74), low individualism (32), low masculine orientation (30), extremely high uncertainty avoidance (90) and low long-term orientation (38) scores. Romanians have a risk aversion tendency, "coupled with beliefs in religious explanations, recourse to the protective authority of the state and low civic participation" (Chiaburu & Chiaburu, 2003, p. 105). Chiaburu and Chiaburu (2003) also argue that a part of Romanian culture favors an approach that avoids uncertainty, abhors risk-taking, and requires a paternalistic authority intervention.

The Model of Culture Fit study (Aycaan et al., 2000) that constituted the theoretical framework of the present research described the socio-cultural environment of Turkey and Romania as well as eight other countries. Results of this study revealed that while Turkey scored among the highest countries on paternalism, power distance as well as loyalty towards community, as a subdimension of collectivism, Romania generally scored among the lowest countries on these dimensions. Aycaan and colleagues (2000) highlight Romania's unexpectedly low score on power distance and argue that this might be a reflection of the economic and social reforms that took place after the 1990s. Following socialist ruling under strict centralization till 1940s and oppressive regime of Causescu after the late 1960s were argued to create a societal disturbance among Romanian people against violation of equality. They further argue that after the fall of Causescu in 1989 and with the diminished

economic and cultural centralization, egalitarian values had gained popularity and acceptance among Romanians. Hence, low power distance score of Romania could be a reflection of “a quest for reduced status difference and equal distribution of power” (Aycañ et al., 2000, p. 215).

2.3.2.4 In Sum: Why Turkey and Romania?

Their strategic geopolitical and economic positions and the high degree of interest and importance they created for MNCs, and also the interrelationships between these two countries make them a good outlet to examine cross cultural interfaces. Above all, the obvious reason to select these two countries is to contribute to knowledge cumulation about under-researched countries. These two countries are among the ones that are under-represented in cross-cultural research literature (Aycañ et al., 2000).

In sum, in terms of similarities, both Turkey and Romania, due to their strategic geopolitical positions, create unique business opportunities and this makes them a destination for investment. Turkey lies at the intersect of three regions of the world, Europe, the former Soviet Union and the Middle East and at the center of an economic and political area known as “Eurasia” (DEIK report, 2008). Hence, while examining cross-cultural interfaces, by including a country with an advantage of Euroasian culture is interesting. The Turkish economy is increasingly attracting investments from MNCs as a quickly growing emerging market (Wang & Nayir, 2006) and is expected to be one of the big emerging markets that generate the majority of economic growth in the 21st century (Wang & Nayir,

2006). Although HRM is still a developing field, the business environment in Turkey is also under change in recent years (Aycan & Yavuz, 2008; Silverthorne, 2005).

Turkey, as a bridge between two continents, also has both Eastern and Western elements. Hence, both socio-cultural and economic reasons are present for selecting Turkey as a case in this study. Turkey, as an emerging economy, has become very attractive for many MNCs, due to its outstanding growth prospects among OECD countries. (Yavas, Janda, & Morcoulides, 2004)

Romania, on the other hand, is argued to be known by different names including “Balkan,” South-east Europe or Eastern Europe, Central Europe, Carpathian region and so on, and even as part of different maps (Giurescu, 1977; cited in Iacob & Gavrilovici, 2006). As a new European, Romania also attracts interest and investment in its attempt to integrate with Europe.

Hence, these torn countries (Huntington, 1993) can provide us with the best opportunity to study cross cultural interfaces in the context of MNCs. For example, the existence of more than 7000 foreign capital establishments, including over 100 of the Fortune Top 500 companies (DEIK report, 2008), confirms Turkey’s potential in investigating cross cultural interactions.

Furthermore, both Turkey and Romania represent the characteristics of DCEEs as “agrarian economies of dual character, large and rapidly growing populations, low per capita income, poor infrastructures, lack of capital, large territories and having economic policies aimed at rapid growth” (Wang & Nayir, 2006, p. 451). Finally, both Turkish and

Romanian cultures share the similar cultural value systems characterized as high power distant and collectivist in Hofstede's (1980) framework.

These two countries, on the other hand, are different on several aspects such as religion, politics. While Turkey is a Muslim country, Romania is an Orthodox one. Although in terms of value dimension they are not too different, they exist in different clusters. While Turkey is under the group of "Middle East", Romania is a "Eastern Europe" country (Gupta & Hanges, 2004). Politically, Romania is still experiencing an ongoing transitional period of moving toward democracy as a former communist country, whereas Turkey is a secular democratic country with no history of communism, but an empire root (i.e., Ottomans).

These differences in religion and political history, therefore, make them quite dissimilar in terms of business and management. One of the important aspects for the differences is also the labor market. After the accession to EU, most of the qualified workforce in Romania migrated to other EU countries to make money which is a very important asset for people who have experienced a socialist history. This is why Romania experiences the scarcity of qualified workforce, whereas in Turkey the highly educated but unemployed young workforce has been competing fiercely for the scarce jobs (Aycan, 2001; Silverthorne, 2005). This difference can interact with value systems and result in further differences between countries. For example, although both countries can be identified as collectivist, the importance of loyalty for Turkish and Romanian differ. While for Turkish employees loyalty to their organizations is an indispensable characteristic, this is not the case for Romanians. Because of the communist history of Romania, for the labor

force, the most important aspect of work life can be identified as earning money.

Romanians score very low on loyalty as well as organizational citizenship behavior (Tumipseed & Murkinson, 2000). Romanian employees can leave their organizations, in order to earn a little more money, no matter which HRM practice is implemented. This is not the case for Turkish employees for whom the loyalty to the organization lies in their values.

Lastly, Turkey is a leading party in the Black Sea Economic Co-operation (BSEC), the objective of which is to have a free trade zone between the member states with the aim of adopting a regional strategy for sustainable development (www.taik.org). BSEC enhances the investment among the member countries including Romania. Romania and Turkey have developed an active political and economic partnership (Constantinescu, 1999). Turkey represents a model to Romania in terms of the adoption of the policy of liberalization and the privatization process. The Turkish investments in Romania through MNCs or joint ventures are argued to go beyond the first stage of the dominance of small business. For example, in 1999s, about 5600 joint Romanian-Turkish companies were operating in Romania, with about 200 million dollars investment capital (Constantinescu, 1999). This is why in the second phase of the present study, Romania is included as the host country for MNCs.

2.4 Conclusion

This chapter introduced the various definitions and dimensions of highly complex construct of culture which plays a significant role in management research and practice. The

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discussion on the culture construct was followed by examining the characteristics of DCEEs and specifically of two DCEEs under study (i.e., Turkey and Romania). These countries due to their strategic geopolitical, economical and historical positions and due to their attractiveness for MNCs present a good outlet to examine cross cultural interfaces. After this chapter on cultural context and DCEEs, the next chapter is a review of how HRM is carried out in these DCEEs. The following chapter will introduce HRM in context, starting with the brief description of HRM.

Chapter 3

HRM IN CONTEXT

“When a best practice migrates, its quality and perceived usefulness and applicability changes. It becomes something different.” (Fink & Holden, 2005, p.5)

3.1 Introduction

The history of economic development, expansion and globalization leads HRM in organizations to make an important transition from an insignificant status to one of strategic importance over the years (Anakwe, 2002). In comparison to the relatively stable environment with distinct domestic markets up till the early 1970s, the environment in which the organizations have operated was later on characterized by an increasingly global economy, more agile competition, information technology advances and the rise of DCEEs in the arena (Schuler, Dowling, & De Cieri, 1993; Anakwe, 2002). In such an environment, the entire globe has become organizations’ potential marketplace (Sackmann, Phillips, Kleinberg, & Boyacigiller, 1997). Consequently, organizations facing with continuous challenges of the globalization realized that their survival may depend upon how effectively their HR are managed and how they implement HR practices on a world-wide scale (Anakwe, 2002; Erez, 1994; Ryan, McFarland, Baron, & Page, 1999; Triandis, 1994).

Practicing HRM in context is argued to have two fundamental aspects. While the first aspect has to do with the contrast between *prescription* (what should happen in an ideal

world) and *description* (what happened in the real world), the second one is about the contrast between *convergence* (organizations in different countries and their practices are similar or getting more alike) and *divergence* (organizations in different countries and their practices are different or getting more different with time) (McCourt & Eldridge, 2003).

The first aspect emphasizes whether what works in theory also works in practice. It is important in the sense that it warns both academicians and practitioners in the area “to look at the ‘good practice’ models that the prescriptive writers advocate in a real context, to see if they are going to work in a particular country or a particular organization” (McCourt & Eldridge, 2003, p. 10). The second argument on convergence and divergence is one of the main discussions of the present research with regard to hybridization process and is discussed under a specific section.

Both of these aspects are covered in the present study to better understand HRM in context. I will discuss which HRM practices are perceived by employees to be applied in the organizations (actual, descriptive HRM) and which HRM practices are preferred (prescriptive), and the discrepancy between the two are expected to increase our understanding of HRM at the cross cultural interfaces. Secondly, not only convergence and divergence but the crossvergence of HRM practices is examined in the present study through identifying both the factors and the process resulting in this hybridization (i.e., crossvergence). The following section starts with what HRM is and how it could be better understood by different perspectives asserted by different school of thoughts.

3.2 The Field of HRM

The concept of HRM is argued to be relatively new concept that might even be non-existent in some parts of the developing world (Budhwar & Mellahi, 2006). It is a field still in infancy with a room for growth and development (Laurent, 1986; Schuler, Dowling, & De Cieri, 1993). Tayeb (1995) states that HRM is a Western concept; a product of an Anglo-American culture, introduced to the other parts of the world. On the contrary, Zhu and colleagues (2007), who argue that the hybridity of HRM as the superior management, assert that the HRM concept is not a purely 'Western' notion, but a combination of both 'East' and 'West' conceptualizations. Zhu and colleagues (2007) further argued that this misunderstanding has led to some confusion among HRM scholars and practitioners. One of the confusions within this paradigm is with regard to the contradiction in conceptualizing and trying to balancing two extremes of individualistic-oriented dimensions such as individual performance evaluation and rewards versus collectivistic-oriented dimensions such as harmony and teamwork (Zhu, Warner, & Rowley, 2007).

Another confusion has to do with the problems arising from the adoption of universalistic model of "best practice" HRM dimensions across cultures outside of US, since these "best practices" may not be the best options in another country with different cultural as well as institutional systems (Aycan, 2005). Moreover, some of the dimensions that are believed to belong to Western HRM conceptions have already existed in non-Western parts of the world, for example, in Japan. "Therefore, there is a confusion among many researchers regarding which elements of HRM belong to the East Asian tradition and which elements are adopted from the West" (Zhu, Warner & Rowley, 2007, p. 746)

In management literature, while defining HRM, a distinction has been made between hard and soft HRM perspectives (Guest, 1987; Legge, 1995; Truss, 1999). The hard approach, which sees people as another resource to achieve the organizational objectives and maximum added value reflects a utilitarian instrumentalism. Hence, people in the organization are seen as a means to the ends. That is, there is little distinction between people and other resources utilized by the organizations (Simmons, 2006). However, the soft approach sees people in a more developmental view (Jackson, 2002; Simmons, 2006). It emphasizes the belief that for organizations to have competitive advantage, the best thing is to invest in people which eventually results in greater contribution and commitment (Simmons, 2006).

Further distinction lies between personnel management and HRM. Tayeb (1998) summarizes the differences between personnel management and HRM under three points:

First, personnel management focuses on the management and control of subordinates, HRM concentrates on the management team. Second, line managers play a key role in HRM in coordinating resources towards achieving profit, which is not the case under personnel management. Finally, the management of organizational culture is an important aspect of HRM, but plays no role in personnel management. (Tayeb, 1998)

Henceforth, as one of the defining characteristics of HRM, how people from different countries act, think and behave need to be understood in order to deal with these cultural differences that might act as an important obstacle in front of gaining competitive advantage. However, in the literature there are various, sometimes competing, theories proposed to understand the HRM in context. In the following sections, three main perspectives under two main competing theoretical stands (i.e., convergence and

divergence) will be presented to provide a basis for the interactionist perspective adopted in the present study.

3.3 Theories on the Variations in HRM Practices

In the literature, there are numerous theories, theoretical discussions on the congruency of effectiveness of HRM with the social and organizational context, which have been contributed to the literature by explaining the variations in HRM practices and policies (Aycan, 2005; Aycan et al, 2007). Theoretical perspectives based on various disciplines such as sociology, psychology, economics and management have focused on different aspects of the domain of HRM in context (Jackson & Schuler, 1995).

Even though many of these theories in management and industrial and organizational psychology explain the ways in which socio-cultural and organizational contexts have an effect on HRM practices, none of these theories *explicitly* discussed the role of the cultural context (Aycan, 2005; Aycan et al., 2007). While ‘general systems theory’ (Katz & Kahn, 1978; cited in Aycan, 2005) views HRM as a subsystem embedded in a larger organizational system, ‘societal effect theory’ (Maurice, 1979; cited in Aycan, 2005) takes into account the social context and focus on different cultural systems such as the education system, the system of industrial relations, the role of the state. ‘Human capital theory’ (Becker, 1964; cited in Jackson & Schuler, 1995) that stresses the importance of contextual factors such as market conditions, unions, technology in organizational use of HRM, deals with the productive capabilities of people such as skills, knowledge and experience of people that have economic value to organizations. While ‘strategic fit model’

(Chandler, 1962; cited in Aycan, 2005; Schuler & Jackson, 1987) stresses the influence of organizational strategies on HRM practices and processes, 'the logic of industrialization approach' stresses the effect of industrial development on organizational practices.

'Culture-free contingency theory' asserts that the contextual elements such as size of the organization, industry are the most important determinants of organizational structure and practices (Hickson, Hinnings, McMillan, & Schwitter 1974). The above opposing approaches were criticized because of their deterministic orientation undermining the role of culture (Aycan, 2005).

In the following section, three main theoretical perspectives, namely universalist, institutionalist, and cultural perspectives, under two opposing poles (convergence vs. divergence) will be discussed with the aim of enhancing our understanding of HRM in context. These perspectives are widely referred to HRM localization (divergence) or globalization (convergence) debate, in the context of HRM research. Furthermore, the theoretical framework of the present thesis, the Model of Culture Fit (Aycan et al., 2000), takes into account the interaction between both institutional and cultural factors and their effects on the hybridization (or crossvergence) process. A recent meta-analysis revealed that among the publications reviewed in comparative and international HRM, only 10.5 % used both cultural and institutional frameworks in explaining their findings (Myloni, Harzing, & Mirza, 2004). Rather than using only cultural or institutional approach, using both approaches can help us to capture as many influences as possible on the transfer of HRM practices with the aim of understanding and explaining cross cultural interfaces (Myloni, Harzing, & Mirza, 2004).

3.3.1 Convergence vs. Divergence: The Main Theoretical Stands

Identifying and comparing the unique characteristics of HRM across different nations, rather than just dealing with the problems of MNCs operating outside their home country, have recently become popular among scholars, with the aim of helping MNCs to adapt and fit their HRM systems across countries (Muller-Camen, 2000). This purpose requires two steps. While in the first stage differences and similarities of HRM practices across different countries have to be identified; in the second stage, the contextual factors that lead to these variations and similarities have to be grasped (Muller-Camen, 2000). Furthermore, what is missing in the literature is a demonstration “that differences and similarities in HRM may coexist across countries” (p. 68). Then, by doing this, both universal (the best practice) and cultural perspectives, which have for a long time been presented as opposites, argued to be combined successfully in cross cultural studies.

3.3.1.1 Convergence (Universalist) Theory

In the 1950s and 60s, the dominant belief, mainly in Europe and the U.S., is argued to be the universality of sound management, existing regardless of national environments (Hofstede, 1983). With time, this universality in the management practices was believed to lead to societies becoming more alike (Child, 2000; Inglehart & Baker, 2000). Hence, in line with this reasoning, even DCEEs would likely to become similar to the more economically developed countries. However, in order to achieve this, any national or local practice that deviates from these sound management principles has to be changed in

accordance (Hofstede, 1983). This way of thinking has been known as the “convergence hypothesis”.

Convergence has often been subsumed under the term of globalization, transcendence of national boundaries through increasing interactions and connections (Xue Cunningham & Rowley, 2007). The convergence approach, which concerns the global implementation of practices, argues against the over-emphasis of cultural effect and proposes that despite cultural differences, homogeneity exists among organizations, and moreover, managers around the world hold similar attitudes and behaviors (Ralston, 2008; Ralston, Gustafson, Cheung & Terpstra, 1993; Ralston, Holt, Terpstra, & Kai-Cheng, 2008; Khilji, 2002). It is based on the belief that the principles of management are held universally (Gooderham & Brewster, 2003; Myloni, Harzing, & Mirza, 2004). That is, one of the main implications of globalization is the acceptance of “universal truths”, including in the area of HRM, that can be applied everywhere of the world (Ralston et al., 1993; Xue Cunningham & Rowley, 2007). The basis of convergence, universalist, perspective, which assumes the existence of one best way and gradual convergence of nations, is the focus of the similarities across countries (Muller-Camen, 2000; Ralston et al., 1993). This theory argues that economic activities as well as management practices around the world are convergent towards best practice (Child, 2000; Whitley, 1999). Convergence assumption accepts the gradual development of a common set of the most effective management practices as a result of industrialization and globalization. Factors like the globalization of economic activities, government policy, as well as advances in technology have been identified as the main conditions that pave the way for convergence (Boyer, 1996; Suda, 2007). In the most

extreme form of the convergence thesis, even if it takes decades, centuries or generations, the convergence of management practices is accepted to be deterministic and inevitable (Dorfman & House, 2004).

The underlying assumption, hence, is that these practices are universally applicable and successful in the globalized world. According to this thesis, the universal 'logic of industrialization' as well as the 'logic of the development of organizations and management' are argued to be shaped by the best practice of economically developed countries, which later result in a convergence of management systems through the adoption of similar organizational policies and practices by the least developed ones (Kerr, Dunlop, Harbison, & Myers, 1960; Pudelko & Harzing, 2007). Hence, this universalist, "best practice" approach argues that by adopting the same best HRM practices that generate profits and bring competitive advantage to the organization, all organizations will be better off (Pfeffer & Veiga, 1999; Khilji & Wang, 2007). Hence, some of the HRM practices are perceived as context generalizable, effective across countries.

Rosenzweig and Nohria (1994) also suggest that there are some factors that influence localization and the pace and amount of the transfer of HRM practices across cultures. For example, the extent to which the subsidiary embedded in the local environment due to its age, size also determines whether practices prevail locally. Secondly, the dependence of affiliate to the parent company and thirdly the difference between the cultures of the county of parent company vs. of subsidiary influence the extent to which a subsidiary's HRM practices conform to the local. Since an MNC subsidiary is most likely to hire people from the local market, it makes its HRM more dependent on local norms, hence

increasing the importance of labor market condition in setting MNC strategy to localize or standardize (Rosenzweig & Nohria, 1994). More importantly, their study revealed that different HRM practices are affected by different variables at different degrees: “HRM is not a monolithic function, but consists of practices which differ in their relative resemblance to local practices and parent practices” (Rosenzweig & Nohria, 1994, p. 248). In line with this, the study of Aycan and Eskitaşçıoğlu (2003) revealed that among the HRM areas, training is among the most localized practices in MNCs in Turkey. Hence, Rosenzweig and Nohria (1994) conclude that since management practices of MNCs are shaped by the interplay of opposing pressures for internal consistency and for local isomorphism, this complexity within MNC subsidiaries cannot be defined with Permuter’s (1969) 3-types of MNC typology (i.e., ethnocentric, polycentric and geocentric).

In sum, economic development is argued to generate a global convergence in the values, behaviors and practices from developed countries to developing ones, even though cultural patterns in DCEEs reflect non-universalistic, but idiosyncratic influences (Gupta & Hanges, 2004). The predominant belief was to contribute to the economic development of DCEEs through a diffusion of Western management models and through a facilitation of global culture (e.g., sponsored management workshops by IMF) (Gupta & Hanges, 2004). However, even though the advocates of the universalistic approach opened up the area of international HRM; the belief in the unavoidable convergence of management practices diminished during the 1970s. Universalism perspective has been mainly criticized for ignoring cultural and societal context of organizations, since management practices, and HRM, vary across cultures (Tayeb, 1998; Muller-Camen, 2000). For example, although

having similar levels of economic and industrial development, transfer of management by objectives from USA to France was not successful due to the difficulty in reconciling hierarchical system in the French culture with joint participation of subordinates and supervisors in reaching decisions with regard to subordinates' performance (Gupta & Hanges, 2004).

Recent research consistently showed that transferring HRM policies and practices across countries could be challenging due to the obstacles related to countries' cultural and institutional environment (Myloni, Harzing, & Mirza, 2004). For example, according to the convergence hypothesis, it is assumed that there would be a shift in all countries toward employment and industrial relation systems similar to those of the United States to survive in a globalized environment and to be competitive (Chen, Lawler, & Bae, 2005; Thomas, 2008). In accordance, organizations need to carry out universal practices, indeed global 'best practices', across different countries. However, research has hardly supported the effective transference of American-style HRM to Europe due to factors such as political and cultural constraints, stronger unions, the regulatory environment and so on (Chen, Lawler, & Bae, 2005). Eventually, the convergence hypothesis began to lose ground with the shift toward growing interest in national differences and the concept of culture (Myloni, Harzing, & Mirza, 2004). Since managerial values and behaviors differ across cultures and institutions, a single best way to manage organizations across different countries may not be applicable (Myloni, Harzing, & Mirza, 2004). Then, the divergence framework fills this void.

3.3.1.2 Divergence Theories: Institutional and Culturalist Approaches

Cultural theory and institutional theory are often cited as divergent theories (Suda, 2007). These theories are also assumed usually as being at the opposite pole from the universalistic perspective (Child, 2000; Whitley, 1999). Although these two theories emphasize the role of institutions vs. of culture on variation in HRM policies in practices across countries, one should bear in mind that “the culture and the institutions of society are inevitably linked as they have evolved together over time” (Thomas, 2002, p. 199).

The divergence view, localization, in general, points out the differences among societies resulting from culturally endorsed values held by individuals, despite the growing economic and social similarities between nations resulted from globalization (Khilji, 2002). Under the convergence point of view, effective HRM is equated with implementing the best practice, while ineffective one results from failing to implement this best practice. Whereas, contingency view as the main alternative to this convergence argument, suggests that there is no one best way or one ideal type of HRM, but range of choices that are *appropriate* across different situations (Gibb, 2001). Hence, the effectiveness or ineffectiveness of HRM is about matching or failing to match the appropriate contingencies and thus effective HRM systems can and should vary (Gibb, 2001).

3.3.1.2.1 Culturalist Perspective

When in Rome, do as the Romans do. (Anonymous)

The culturalist approach (e.g., Budhwar & Debrah, 2001; Child, 1981; Tayeb, 1988; Aycan et al., 2000) emphasizes the role of culture on the variation of HRM practices and focuses on the differences in values. According to this approach, the values and attitudes prevalent in a country shape the choices made by managers in determining employment practices (Almond et al., 2005). The existence of different cultural value systems necessitates the adaptation of HRM practices of MNCs to the cultural environment in which they operate (Newman & Nollen, 1996; Schneider, 1988). This school emphasizes the country-of-origin effect with the sensitivity to cultural differences among nations and stresses the difficulty of transferring management practices due to these major cultural differences (Yavas, Janda, & Morcoulides, 2004). Hence, the effectiveness of an organization's HRM practices will depend largely on a fit or match with societal values (Aycan et al., 2000; Auman & Ostroff, 2006), since they mean different things in different countries (Yavas, Janda, & Morcoulides, 2004). For example, Tayeb (1988, 1995, 1998) addresses the issue of culture more directly in her studies by testing for the impact of culture and work-related attitudes on organizational structures and systems of matched organizations. The studies revealed that differences between firms in the various societies are more likely to reflect the differences in socio-economic conditions and employees' cultural traits (Sparrow & Wu, 1998).

HRM practices are “cultural artifacts” built on underlying cultural assumptions (Schneider 1988; Thang, Rowley, Quang, & Warner, 2007). Due to the influence of national culture on human behavior, different HRM practices are formed according to cultural environments (Liu, 2004). For example, the incompatibility between implementing an individualistic HRM system in a collectivist culture or vice versa makes it difficult to transfer some practices between countries (Liu, 2004; Ramamorthy & Carroll, 1998). Similarly, Verburg and colleagues (1999) argued for lack of evidence of universally applicable HRM practices and supported empirically that cross-cultural differences in HRM practices of Chinese and Dutch organizations are consistent with the differences in national culture. This eventually creates problem in the transfer of HRM practices (Li, 2003; Horwitz, Kamoche, & Chew, 2002). With regard to HRM practices, Laurent (1986) also asserted that understanding organizational HRM practices, which are grounded in the national culture, is a very complex process and as a result of the complex processes and mutual interactions, certain preferred ways of managing people are likely to come out. Since HRM policies and practices reflect managers’ assumptions and values about how to manage people, correctly interpreting the meaning of these policies and practices gains prominence in the transfer of HRM.

As expected, the cultural perspective is criticized mainly because its disregard of the institutions and the role played by globalization in convergence, in the sense of management practices becoming more and more similar across organizations and countries (Almond et al., 2005). For example, Lunnan and colleagues (2005) in their case study concluded that in understanding transfer of HRM practices, considering only the national culture will not be

adequate, since it is only one factor among the others such as subsidiary's history, organizational culture and its link to headquarters that shape the transfer as well as the institutional environment.

3.3.1.2.2 Institutional Approach

Ferner and colleagues (2005) categorized the factors explaining patterns of cross-national transfer within MNCs as structural factors (e.g., the level of control and interdependency between subsidiaries and the overall MNC), transferability characteristics of practices (i.e., stickiness of the practice) and factors related to the nature of national business systems, and identified the last group of factors as critical for our understanding of cross-national transfer, due to its interaction with other groups of factors. This third set of factors is to do with the nature of differences in business organization and institutions between MNC's and subsidiary's countries. These cross national differences have been conceptualized by different approaches, mainly culturalist and institutionalist.

Ferner and colleagues (2005) criticized the dominant culturalist approach perspective, stemming from Hofstede' (1980) seminal work, as being simplistic, reductionist as well as ahistorical and static. That is, this approach seems to just focus on national variations in cultural values and fail to consider the differences in business institutions and organization in various national business systems (Ferner, Almond, & Colling, 2005). As an alternative to the culturalist approach, the institutionalist perspective has been taken attention recently. In order to understand the variation in the dissemination of practices of MNCs, this approach focuses on "the institutions governing the way product,

labor, and financial markets work, and the way market actors relate to each other” (Ferner, Almond, & Colling, 2005, p. 305).

Institutional Theory (DiMaggio & Powell, 1983), mainly discusses the role of the interaction between organizational and larger social, legal and political contexts. This approach, in general, emphasizes the important role of institutions, which can be political, legal, financial systems, as well as educational institutions, in determining a society (Child, 2000; Whitley, 1999; Ramirez & Fornerine, 2007). Although institutions such as family, religion has an influence on the behaviors of a nation, educational institutions are argued to be the most nationally bonding, by producing convergence of values, beliefs and eventually practices among its members (Ramirez & Fornerine, 2007). That is, organizations sharing the same institutional environment adopt similar practices (i.e., becoming ‘isomorphic’ to each other) due to the various pressures (i.e., coercive, mimetic or normative) from the environment to maintain their “legitimacy” in their operating environment (DiMaggio & Powell, 1983).

According to this approach, what makes countries different is their institutional characteristics that shape the institutional environment (Kostova, 1999). Furthermore, this institutional environment of each country shapes the organizational practices developed within that country. If these practices transferred across borders do not "fit" with the institutional environment of the recipient country, this negatively influences the transfer and its success (Kostova, 1999).

A study in four European countries (Germany, the United Kingdom, the Netherlands and France) revealed that the differences in HRM practices across these countries were

explained by country-related factors such as societal and economic policy, the labor market conditions and educational system (van der Klink & Mulder, 1995). Furthermore, training and development systems in various countries are influenced by different educational systems through shaping the knowledge and skills of the workforce which in turn provide input to the required training systems (Calori, Lubatkin, Very, & Veiga, 1997; Ramirez & Fornerine, 2007). This is due to the fact that the labor market in which various organizations operate and the skills available in that market determine the training and development practices (Tregaskis & Dany, 1996; Ramirez & Fornerine, 2007).

Among the transfer of MNCs policy and practices across different countries, the national business systems is one of the key perspectives under the umbrella of institutional approach (Ferner, Almond, & Colling, 2005). The “national business system” focuses on combining “the sets of interlocking structures and institutions in different spheres of economic activity... to produce a nationally distinct way of organizing economic activity” (Almond et al., 2005, p. 277). According to this perspective, HRM within MNCs should consider four different influences (i.e., country of origin, dominance effects, pressures for international integration, and host country effects) which operate differently across the same MNC over time, and nature and strength of which changes over time due to wider political, economic, and institutional change (Almond et al., 2005).

Kostova (1999) also proposes that transfer between different business systems are shaped by both the “institutional distance” (i.e., the difference between the ‘country institutional profile’ of the country of origin and the country of operation) as well as macro-level power relations (i.e., dominance effect) between countries (Ferner, Almond, &

Colling, 2005). With regard to the second aspect, firms from less powerful countries in the hierarchy ladder are more likely to adopt practices from more dominant countries that assume the superiority of their practices (Ferner, Almond, & Colling, 2005). Hence, the direct control of the headquarters from a Western developed country over the HRM issues in the subsidiaries operating in developing countries will be higher.

HRM practices in many countries are also influenced by regulations governing business (Silverthorne, 2005). For example, equal employment opportunities and minimum-wage regulations in USA, as well as some regulations in Europe regarding termination of employees, make an impact on the implementation of HRM. For organizations operating in countries with these kinds of regulations, it is either very expensive or difficult to fire employees.

Each of the above approaches has been criticized in the literature because of disregarding the factors proposed by each other. An eclectic approach capturing various factors in the transfer of HRM practices would be helpful in overcoming the problems of each individual approach.

3.3.2 Crossvergence: An Interactionist Approach

As the increase in the cultural encounters and the rise with MNCs, organizations start to host various groups of people interacting with each other who bring with them their own cultural understandings of their own as well as of others (Shimoni & Bergmann, 2006). When cultures interact with each other even though they might converge on some aspects (e.g., Boyacıgiller, Kleinberg, Phillips, & Sackmann, 1996), their idiosyncrasies will be

more likely to amplify (House et al., 2004). Cultural differences are neither disappearing nor diminishing with the increased cross cultural interactions due to the globalization.

HRM has distinguishing national and regional characteristics as well (Brewster, 1995; Chen & Wilson, 2003). Two basic organizational forms (i.e., a locally responsive firm and a globally integrated firm) are recognized as basic ideal types (Bartlett & Ghoshal, 1989; Perlmutter, 1969; Dickman & Muller-Camen, 2006). While, on the one hand, a MNC might maintain the uniformity of its international HRM (global-HRM) by adopting highly integrated HRM policies and practices, on the other hand it might shape its HRM by locally developing and implementing HRM. However, Harzing (2000) argues about a continuum of integration/globalization versus differentiation/localization of management practices. Hence, beyond these basic types, there might be other companies “that manage to be simultaneously integrated and differentiated” (Dickman & Muller-Camen, 2006, p. 582) reflecting hybridity, cross-vergence. Crossvergence reflects the transitional state and the outcomes “in between” the extremes of convergence and divergence (Ralston, 2008; Witt, 2008).

To recap, according to Rosenweig and Singh (1991), global integration strategy of an MNC, the consistency of management practices among subsidiaries, stem from two factors. While the first one, *organizational replication*, is MNC’s tendency to imitate, in new environments, existing procedures and practices that are proved to be effective; the second one, *imperative for control*, is MNC’s tendency to standardize policies with the aim of reducing the complexity and uncertainty derived from the control of international operations (Thomas, 2002). However, even though there is a continuous debate on

convergence vs. divergence, Bartlett and Ghoshal (1989) argue that MNCs need to do both. Furthermore, the dual pressures of the consistency within MNC and of the degree of conformity to the local demands may result in hybrid practices even within a single MNC, since the environmental influences on the MNCs is not uniform across its subsidiaries (Rosenzweig & Singh, 1991; Thomas, 2002). Kostova and Ross (2002; cited in Tempel, Edwards, Ferner, Muller-Camen, & Wächter, 2006) also argues that this duality poses challenges for MNCs and does not result in either an unquestioned adoption of parent company practices or a one-way, clear-cut dependence to the local context. This, further, illustrates the need for an interactionist perspective with emphasizing the cross-vergence.

However, both of these views are not flawless that leads to a need for a crossvergence approach.

On the one hand, adopting universalistic best practice can just lead to the promulgation of prescriptive and normative recipes for success. This may involve transplanting the experiences of multinationals to small firms, transplanting private sector practices to public sector contexts, or in transplanting practices across cultures with the examples often being of “Japanese” or “US” or “European” practices transplanted to other cultures. The problems and difficulties encountered with such transplants can be substantial.

On the other hand, contingency approaches are often seen as being too preoccupied with questions about which contingencies to be concerned with, and how to characterize the options available. For example, should ‘strategic fit’ or ‘environmental’ fit be the prime concern when determining the type of HRM systems and services to be adopted? That is, should different types of HRM be based primarily on matching with different organizational strategies, or on matching with different kinds of environment? The seemingly countless ways of characterizing many different approaches to HRM that can result, given the different mixes of contingencies that real organizations face, are then a problem to understand and to apply. (Gibb, 2001, p. 320)

As a summary of the above discussions Budhwar (2005) states that HRM practices are context-specific and are determined by both culture free and culture bound factors. That is, HRM practices employed in organizations in a particular country tend to be influenced

by both cultural and institutional arrangements (Leat & El-Kot, 2007). The authors holding interactionist position within 'the culturalist perspective' (e.g., Tayeb, 1998; Aycan et al., 2000; Budhwar & Debrah, 2001) especially propose that culture influences some aspects of organizational practices more than others. For example, Tayeb (1995) asserts that while institutional variables such as size, structure, technology influenced the 'formal' characteristics of the organizations (e.g., centralization, formalization, and specialization), cultural variables had an effect on the 'interpersonal' aspects of the organizations such as the communication patterns among people. "When it comes to HRM, it is the practices that are emic but the design philosophy behind such practices is etic" (Galang, 2004, p. 1231). While the 'what' question in HRM might be universal (e.g., employee recruitment and selection), the 'how' question might be culture-specific (e.g., relying on in-group networks, nepotism vs. standardized tests) (Tayeb, 1995), which might result in implementation of hybrid systems at the cross cultural interactions. Moreover, culture might be a moderator (Child, 1981), in the sense that, individuals' culturally driven preferences might influence the choice among alternative practices, although various contingent factors determine the prevalent organizational structure (Aycan, 2005).

Muller-Camen (2000) also summarizes the above approaches and distinguishes them as three 'cultural' approaches. The ideational approach (e. g. Hofstede, 1980; Trompenaars, 1993) emphasizes the impact of individual values and beliefs on the variation in management styles and HRM practices. The institutional approach, on the other hand, emphasizes the influence of different institutional arrangements on the nature and effectiveness of HRM practices and the best known example is societal effect (Marice et al,

1986; cited in Muller-Camen, 2000). The last approach, systematic approach, combines both of the former approaches and emphasizes the need to consider both institutional and ideational factors in cross-national HRM practices (Muller-Camen, 2000). For example, in Germany, HRM is highly dependent upon the work councils enforced by law. The prior consent of employee representatives play the key role in the introduction of selection tests, appraisal forms, pay and so on. Hence, by emphasizing the interaction between institutional and cultural variables the present study falls under the third category, the systematic approach (Muller-Camen, 2000).

In a recent study across three European countries (Austria, Germany, and Sweden), it is found that the factors such as law, the relationships influenced the practices and resulted in cross-national differences, supporting the culturalist hypothesis (Muller-Camen, 2000). However, it is also found that some practices such as decentralization of pay from the industry level to the company level, as well as implementation of more individual and performance-related pay are similar across three countries. This study empirically supported the simultaneous influence of both national specific factors such as managerial values and institutions (e.g., law, collective bargaining systems) as well as international best practice on managerial practices (ibid.). Due to different types of influences on managerial practices, this might imply a kind of hybridization of practices, by supporting both the convergence (universalistic) as well as divergence (cultural) hypotheses. However, we have to be cautious that as Muller-Camen (2000) stated in his study, these practices “mirror those observed in Europe” (p. 79), the countries included in the study are more culturally similar. That is why implementation of individual and performance-oriented pay might be found

universal in these countries and necessitates to study what is happening in the other parts of the world, specifically DCEEs.

Crossvergence, in brief, argues that both convergence and divergence are appropriate theoretical approaches to produce a unique set of values influenced by both national culture (East and West) and economic ideology (capitalism and socialism) (Ralston, 2008; Ralston et al., 2008; Silverthorne, 2005). It is a process of “developing of hybrid value systems as a result of cultural interaction” (Jackson, 2002, p. 469). Ralston and colleagues (2008) further asserts that crossvergence might be “a transitional state during which values move over time from divergence to convergence” (p. 21).

Often the process is seen as one of matching’ the expectations deriving from the institutions of the MNE’s parent country with those of the host country in which its affiliate is located. The outcome is sometimes described as leading to the ‘hybridization’ of the rules of local operational systems rather than to a convergence on a common ‘best practice’ throughout the MNE or across the different countries in which it operates. (Loveridge, 2002, p. X)

In the following chapter, the crossvergence approach will be explained in detail and the conceptual framework developed in the light of that approach to understand HRM hybridization will be presented.

3.3.2.1 Cross-cultural vs. Cross-national Research

In studying the interfaces between cultural and non-cultural factors, it is worth noting the difference between what cross-cultural and cross-national. One of the debates in the literature is about the distinction between cross-cultural and cross-national management

research, since national differences do not equate with cultural differences (Sparrow & Wu, 1998).

Sparrow and Wu (1998) summarize the differences between cross-cultural vs. cross-national management research as follows: While cross-cultural management research focuses on contrasting cultures (such as India or Confucian-orientated regions), cross-national ones confine themselves to within Western nations' studies. While the former looks for the differences across cultures such as applicability of a particular theory developed in one cultural environment to others, the latter looks for differences such as the extent to which the functioning of organizations is affected by their culture (Sparrow & Wu, 1998). It is worth noting that cross-national management researchers group many variables such as legislation, trade union influence, educational and vocational set-up and business structure under the umbrella of "culture".

Tayeb (1988) also suggests that rather than just focusing on the impact of culture on organizations and work attitudes, variables representing the organizational, political, economical and cultural contexts have to be incorporated in a model for a better understanding. For example, Sparrow and Hiltrop (1997) identified four sets of cross national management research variables (i.e., culture value systems, institutional factors, national business systems, structures and labor markets) that shape European HRM practices at the organizational level. Hence, the relationship between culture and HRM has to be considered more sophisticatedly. Sparrow and Wu (1998) assert that "it is possible to tease out cross-cultural factors from the broader pattern of cross-national differences. Once this is done it becomes possible to elucidate the linkages between culture per se and HRM."

(p. 27) That is, the impact of cross national versus cross cultural variables on HRM has to be separated out.

3.4 Conclusion

In this chapter, literature on the field of HRM and two main approaches to understanding HRM in context, namely convergence vs. divergence, were presented. Highlighting shortcomings of these two main opposing approaches on the transfer of HRM has developed a need for a more eclectic approach, covering different factors proposed by these viewpoints rather than lying on any side of this ongoing debate.

Chapter 4

HRM HYBRIDIZATION & ITS OUTCOMES

“A different point of view is simply the view from a place where you’re not” (HSBC Sign)

4.1 Introduction

... When complex organizational systems developed in one social context (...) are transferred to a different setting (...), they change, and the resulting system is neither a copy of the original model nor a replica of existing local patterns but something different... (Westney, 1999; cited in Becker-Ritterspach, 2009, p. 2)

This chapter introduces the theoretical framework of the present study, the Model of Culture Fit (Aycan et al., 2000) with a crossvergence approach. The chapter starts with the concept of hybridization. It will be followed by presenting the factors that play an important role in convergence or divergence debate and that are expected to have an influence on the HRM hybridization. This chapter ends with the detailed analysis of the expected outcomes of HRM hybridization in terms of their appropriateness and effectiveness.

4.2 What is Hybridization?

Hybridity is one of “the emblematic notions of our era” (Kraidy, 2005, p. 1), an era with a trend to blend (Weeks, 2002). Things are commingling, melting into one another, so are the cultures due to globalization and wide-ranging cross cultural encounters (Kraidy, 2005).

In its Latin roots, hybrid means 'of two origins' (Becker-Ritterspach, 2009, p. 5). Although employed in various fields including interdisciplinary venues, the terms of "hybrid" and "hybridity" originate from biology and botanic (Chew, 2008). A hybrid is defined as a 'mongrel or mule; an animal or plant, produced from a mixture of two species' (The Webster Dictionary, 1828). The term refers to the cross-breeding of two species to form a hybrid, third species (Ashcroft, Griffiths, & Tiffin, 1998). This biological and physiological metaphor has been adopted by the recent literature on organizational hybridity with the aim of portraying a variety of ways in which organizations transform into distinct new entities (Chew, 2008).

The concept of hybridization purports a not-given or fixed phenomenon and is firstly and mostly stressed in post-colonial cultural studies (Bhabba, 1994; Shimoni, 2008; Shimoni & Bergmann, 2006; Frenkel & Shenav, 2006). Hybridity, as one of the most widely employed as well as the most disputed terms in post-colonial theory, refers to 'the creation of new **transcultural** forms within the contact zone produced by colonization' (Ashcroft, Griffiths, & Tiffin, 1998, p. 118, the emphasis in original). In post-colonial discourse, hybridity has been used frequently to imply simply cross-cultural exchange, despite the criticisms of neglecting the power imbalance and inequality in this exchange.

Bhabba (1994) developed the hybridity concept and argued that new hybrid configurations come out of intertwining of cultural elements of the colonized and the colonizer as a result of this cross cultural exchange. Hybridization is an ongoing process in which the colonizer makes an effort to shape the identity of the colonized, but it then fails and produces something familiar but new (Shimoni, 2008; Shimoni & Bergmann, 2006).

Hence, cultural hybridization reflects shaping and reshaping cultures through interactions with other cultures which then result in new cultural hybrids.

...the importance of hybridity is not to be able to trace two original moments from which the third emerges, rather hybridity to me is the 'Third Space,' which enables other positions to emerge. (Bhabba, 1994, p. 211)

It is in this space that we will find those words with which we can speak of Ourselves and Others. And by exploring this hybridity, this 'Third Space', we may elude the politics of polarity and emerge as the others of our selves. (Bhabba, 1995, p. 309)

The phenomenon of hybridization is also not a new topic for researchers in international management and especially in technology transfer between states (Shimoni & Bergmann, 2006). The main argument of these researchers is that technological transfer to a new environment encompasses uprooting as well as replanting original constructs within a different environment with the aim of producing hybrid configuration between the new and the original (Shimoni & Bergmann, 2006; Shimoni, 2007) By adopting the same argument, the hybridization of management values and practices is started to be the focus of a new research stream.

Stories of local managers working for global corporations reveal that the standard multicultural approach no longer suffices to describe what is occurring at the borders of the global business system. Local managers retain local managerial culture even as they are indoctrinated into the culture of the corporations. The resulting hybrid forms of management should be studied by corporations. (Shimoni & Bergmann, 2006, p. 76)

In the context of MNCs, which operate across different cultures, the same process occurs in combining the local and the home-country management cultures by opening a 'third space' where the headquarters' management practices and values penetrate into the local managerial sphere (Shimoni & Bergmann, 2006; Shimoni, 2008). This blurs the existing distinction between the two. In today's globalizing system, with the process of

hybridization, hence, dichotomies such as Western versus non-Western management are argued to be replaced by new hybrid forms through the blurring of boundaries between them and are re-hybridized with the continuous interactions, negotiations between other cultures (Shimoni, 2008).

A recent qualitative study collecting the stories of the local managers working in MNCs operating in Israel, Thailand and Mexico exemplified this hybridization of managerial practices (Shimoni & Bergmann, 2006). The study revealed that not only did the local managers absorb the standard Western practices of headquarters, but also they actively open a “third space” in which they “use the local cultural understandings as a starting point in the production of new hybrid management cultural forms” (Shimoni & Bergmann, 2006, p. 77). For example, in decision making, both cultures (home and host) are used sequentially. A local manager accepts values such as equality and participation and collaboration between management and employees (i.e., Western management values), but s/he turns to local managerial values relying on hierarchy (i.e., non-Western ones), if s/he feels this kind of decision-making practice cannot assist him/her (Shimoni & Bergmann, 2006). The result is a hybrid decision-making process embodying both values such as equality and collaboration as well as hierarchic values.

One has to reclaim, in relation to globalist ideology, the notion of *hybridity*... We are in worlds that are not heading toward cultural globalization; one has to be intellectually dishonest to think that we are heading toward a global culture. (Mattelart, 1994; cited in Kraidy, 2005, p. 76, emphasis added)

Hybridization, hence, replaces the dichotomies of non-Western and Western management through mixing effective parts of different cultural management systems

(Jackson, 2009). In the next part, the acculturation theory (Berry, 1980) is presented to enhance our understanding of the *process* of hybridization.

4.2.1 The Process of HRM Hybridization: Acculturation Theory as an Analogy

In understanding the *process* of hybridization of HRM practices, acculturation theory might provide an analogy. While the study of acculturation in anthropology and cross-cultural psychology dates back to 1880s, currently it has been used in management, especially in the study of mergers and acquisitions (Adler & Graham, 1989; Nahavandi & Malekzadeh, 1988).

Acculturation is generally defined as “changes induced in (two cultural) systems as a result of the diffusion of cultural elements in both directions” (Berry, 1980, p. 215). Similarly it is defined as “those phenomena which result when groups of individuals having different cultures come into continuous first/hand contact, with subsequent changes in the original culture patterns of either or both groups” (Redfield, Linton, & Herskovits, 1936, p. 149). Both definitions emphasize “what” happens when cultures meet and interact (Adler & Graham, 1989). It is a process of bidirectional change that occurs when two ethnocultural groups interact with each other (Bourhis, Moise, Perreault, & Senecal, 1997). The outcome may involve both modification of existing phenomena and emergence of some novel phenomena that are generated by the process of cultural interaction (Sam & Oppedal, 2002).

Since hybridization is a blend and a result of cross cultural interfaces/interactions, understanding the acculturation process might be helpful in understanding the hybridization process. Although the acculturation concept was developed to explain events at the societal

level, it is argued to be applicable to organizations (Nahavandi & Malekzadeh, 1988), since organizations are mainly shaped by and reflect the societies they operate in.

Different factors at multiple levels such as cultural or organizational levels are expected to have an influence on the process of hybridization of HRM practices, which might eventually result in a different stage of hybridization. Hereby, Berry's acculturation model (1980) provides a basis for defining the stages of the process of HRM hybridization. Berry (1984) identified a four-stage acculturation process, occurring at the group and individual levels: contact, conflict, crisis and adaptation. In the first phase, *contact*, cultural groups experience physical or symbolic contact and begin to interact with each other. Different characteristics of this contact such as the nature, purpose, duration and permanence directly influence acculturation. The second phase, *conflict*, arises if one of the groups shows resistance to change that might take place as a result of the contact and interaction with the other group and that might require sacrificing from their culture. And as a result of this conflict, in the third phase, *crisis* occurs where individuals experience stress from acculturation. The final phase, *adaptation*, comes into play with the aim of minimizing or stabilizing conflict by adapting a particular mode of acculturation (Berry, 1980). As a result of this four-stage acculturation process, four modes of acculturation (see Figure 4.1) can emerge (Berry, 1984) and these modes identify the ways in which two groups with different cultural backgrounds adapt to each other and resolve growing conflict (Nahavandi & Malekzadeh, 1988).

Figure 4.1 The Berry's bidimensional model of immigrant acculturation orientations (Source: Berry, 1980, 1984)

		To maintain cultural identity and characteristics	
		YES	NO
To maintain relationship with other groups	YES	INTEGRATION	ASSIMILATION
	NO	SEPARATION	MARGINALIZATION

When people come to a new culture, they might have high or low intentions to maintain their original cultural values, and moreover, they also may want to identify themselves with this new culture (Berry, 1984; Berry & Sam, 1997). While in *assimilation*, the original cultural values and orientations are discarded and the new culture is adopted; in *separation* low identification with the new culture and high identification with the one's own cultural orientation result in separating themselves as an independent identity from the new culture. *Integration* which is argued to be the best acculturation strategy involves high identification with both cultures. This preservation of both cultural values and identities might create a totally new, *hybrid*, identity. Lastly, *marginalization*, denial of both cultural identities, is the least successful and most problematic acculturation mode and as a result individuals experience 'acculturation stress' involving alienation, confusion, loss of identity and so on (Berry, 1984).

An MNC opening a subsidiary in a DCEE is more likely to experience an acculturation process. Hence, these four cultural orientations could be adapted to the convergence vs. divergence debate about the implementation of HRM practices (see Figure 4.2). If this MNC asks for implementing global HRM practices across each subsidiary, it corresponds to the assimilation mode in which the identity and culture of the MNC as well as practices, that are consistent with these values, will discard the local ones in a unilateral process (Berry 1984; Berry & Sam, 1997). However, localization might emerge while the subsidiary functions as a separate unit under the parent MNC. Since, integration involves some degree of change in both groups' cultures and practices rather than the domination of one group (Nahavandi & Malekzadeh, 1988), hybridization as a blend of local and global practices might be characterized as this acculturation mode. Since hybridization as well as acculturation are dynamic processes that might change over time, the stages people or organizations go through might show variance and swing from one phase or mode to another. And acculturation process could be taken as an exemplar for the process of hybridization. Hence, this study, by using acculturation theory as an analogy, tries to understand the process of hybridization and to examine whether this process involves the similar stages of acculturation.

In the following sections, hybridization in the context of HRM will be investigated in detail. Before moving into the conceptual framework of HRM in the cultural context, it is important to define what HRM in DCEEs is.

Figure 4.2 Adaptation of Berry’s acculturation model to HRM hybridization context

		To maintain local HRM practices	
		YES	NO
To maintain global HRM orientation	YES	CROSSVERGENCE / HYBRIDIZATION	CONVERGENCE / GLOBAL
	NO	DIVERGENCE / LOCAL	MARGINALIZATION

(Source: Erez & Aycan, 2006)

4.3 Human Resource Management (HRM) Practices in DCEEs: Some Examples of Hybridity

Researchers and practitioners must stop seeing cultures solely through the multicultural approach, that is, as separated wholes of fixed belief and world view, and instead develop, or continue to import from social sciences research, perspectives that recognize that cultures flow into one another and hybridize as well. (Shimoni & Bergmann, 2006, p. 76)

Today’s precarious circumstances in a changing and unstable environment with the presence of fierce competition put pressure on organizations to consider HR as the most important factor for their continued survival and development in the long run (Analoui, 1998; Budhwar & Mellahi, 2007). “The mechanistic notions of managing people in a controlled context have rapidly become a thing of the past.” (Analoui, 1998, p. xi). HRM, with a holistic organization perspective, emphasizes the development of HR with a strategic view to meet organizations’ future needs and demands.

Chapter 4: HRM Hybridization

The transfer of HRM practice occurs mostly from developed nations to developing ones; however, multinational corporations and local organizations in developing countries face a serious challenge in implementing the Western (mainly US-based) HRM practices (e.g. Jaeger and Kanungo, 1990). Successful implementation of HRM practices is dependent in part on the extent to which the practices are perceived to be *appropriate* by managers and employees alike (e.g. Erez and Earley, 1993). Therefore, studying attitudes towards HRM practices and the cultural factors that influence these attitudes is important from both a scientific and a practical point of view. (Aycan et al., 2007, p. 11, *emphasize added*)

The major question researchers studying HRM on a comparative basis face is about the extent to which societal cultures influence the way HRM is implemented (Papalexandris & Panayotopolou, 2004). Although the field of HRM has been witnessed significant advancements during the past decades, the confinement of most of the research in Western developed countries has also characterized the field (Aycan et al., 2007). Different HRM models have been proposed that incorporate national culture as a major factor such as that of Hofstede (1980), and the GLOBE (House et al., 2004). This entails further research in the context of developing countries in order to “test the generalizability of theories and practices that originated in the Western cultural context and to identify appropriate alternative strategies for different contexts.” (Aycan et al., 2007, p. 12)

DCEEs which are characterized by high power distance, collectivism, fatalism and uncertainty avoidance reflect them in the prevalent HRM practices (e.g., Budhwar & Debrah, 2000; Aycan et al., 2000). In high power distant and collectivist cultures such as Korea and Turkey, where age-based hierarchy and status is prevalent, age is an important criterion in the selection to prevent potential conflicts between subordinates and superiors since it is assumed that it might be difficult to enforce the authority when the subordinates are older than supervisors (Aycan, 200; Lee, 1999). For example, in Turkey, selection is

mainly based on employee referrals, nepotism, personal networks, and unstructured interviews, and only some large companies and MNCs employ tests for selection (Myors et al., 2008). In high uncertainty cultures, internal recruitment is supported since it maintains the status-quo (Aycan, 2005). Since what constitutes 'good performance' is culture-bound (Aycan, 2005), then, the appropriateness and the effectiveness of the criteria used in performance evaluations might vary. For example, since subordinates are likely to continue accepting centralized power (i.e., dependent on superiors for directions and only implement policies dutifully) (Lim, 2001), participation of employees and personal initiative by subordinates are not valued in high power distant cultures. In turn, it may not be appropriate to include employees into the process of performance management, consult them during setting the objectives, or during the performance appraisal period, and to ask for their feedback about own performances. Hence multi-source feedback and performance management may be inappropriate.

While in collectivist cultures, loyalty to the in-group is valued more than productivity and social and relational criteria are weighted more in evaluating employees (Aycan, 2005), highly performance oriented societies are more likely to value those individuals and groups that accomplish their assignments and produce results, since they value tasks more than social relationships (Javidan, 2004). In individualist cultures individual merit pay is the most effective and appropriate reward system where the emphasis is on individual initiative and achievement, whereas in collectivist cultures the reward system is based on group performance (Hofstede 1984; Pizam, Pine, Mok, & Shin, 1997).

Recent research, however, revealed that cross cultural interactions or crossvergence in DCEEs such as Hong Kong have led to successful hybrid management practices in spite of the adoption of inappropriate solutions through some hegemonic influences from the Western developed countries (Jackson, 2002). There are a range of variables such as cultural values, the industrial development level, affecting the appropriateness of people management systems to the cultural context with which they interact. For example, Gamble (2006) based on a case study found that while a UK based company transferred its Western style HRM practices to China in an unmodified version, without any adaptation to local Chinese culture, “their relatively open and consultative practices, which included a comparatively flat hierarchy and mechanisms whereby managers actively sought workers’ opinions and were responsive to employee feedback, appeared antithetical to local norms” (Gamble, 2006, p. 328). Gamble (2006) further concluded that “Western training practices are regarded as potentially *inappropriate* in the Chinese context.” (p. 328, emphasis added)

Research also revealed that in China the value orientation of young well-educated Chinese has been shifted towards a more individualistic value system (Ralston, Egri, Stewart, Terpstra, & Yu, 1996; Gamble, 2006). In line with the change in the individual value orientations, a shift towards more Western individualistic value orientation of young Chinese people, some people choose MNCs rather than state-owned organizations, in order not to experience favoritism, *guanxhi*. Moreover, as opposed to the set of studies in the literature (e.g., Easterby-Smith, Malina, & Yuan, 1995) that suggests adapting Western management methods to better fit with Chinese culture, Gamble (2006) suggests that “it might be detrimental if firms too readily adopt ‘the Chinese way of doing things’. In the

process, they might squander valuable resources that differentiate them as employers in China's labour market." (p. 330)

In a very recent study, Budhwar and Mellahi (2007) discussed the reasons why Middle East countries cannot develop as much as other developing countries. The general trend in these countries encompasses the development of HR, and the development of 'locals' by reducing the number of foreigners from their workforce (Budhwar & Mellahi, 2007). However, these features provide a barrier for the assimilation into global economy which has also been recognized as a requirement by the countries in the region. On the other hand, Leat and El-Kot (2007) studied the implementation of HRM practices in Egyptian organizations and found that HRM practices within Egyptian organizations are shaped by a combination of both cultural and culture free factors.

In the literature, the superiority of hybrid management over Western or non-Western management has been implied.

By combining the predominate American-oriented, in other words, the individualistic elements of management practices with East Asian (particularly Japanese) management practices, the HRM paradigm was expected to improve the competitiveness of organizations and the well-being of both individuals and organizations. (Zhu, Warner, & Rowley, 2007, p. 746)

Providing employment security and seniority-based management (e.g., seniority based compensation system) have been the basic characteristics of traditional HRM in DCEEs such as Korea and China (Chang, 2006; Gamble, 2003). However, companies in these countries are required to change these practices due to the pressure of foreign investors such as the IMF, because these practices were criticized as "developing a very inflexible labor market and also adding unnecessary labor costs for companies" (Chang,

2006, p.368). Most organizations, with time, have started to modify their compensation methods such as implementing individual pay-for-performance (Chang, 2006; Gamble, 2003, 2006). However, even the implementation of so-called Western practice in the context of DCEEs shows some differences. For instance, Chang (2006) reports hybridity in the HRM practices as follow:

The U.S. merit system uses performance in determining the amount of a raise, while the Korean version tends to combine individual ability (such as evaluation of the potential capability of the individual) as well as performance. Moreover seniority and ability to cooperate with other members still remain important criteria of compensation in Korean companies. (Chang, 2006, p. 369)

Purcell and colleagues' study (1999) that investigated the Japanese MNCs in Australia revealed that while only 15 percent of participating organizations operated an unmodified local system, 85 percent of them were classified as hybrids that have been 'Japanized' to some extent. While they found an industry effect (e.g., manufacturing subsidiaries were much more likely to have been Westernized), they could not find any effect of size on HRM. On the other hand, Dedoussis (1995) asserts that smaller organizations tend to pursue Western-style management practices more than large firms. Purcell and colleagues (1999) further concluded that firms in manufacturing, where there are higher number of local employees, HRM practices tend to be much more 'hybrid' in appearance, characterized by "the adoption of Japanese-firm organizational practices on the one hand but accompanied by a more local (although still Japanised to some extent) set of labor market incentives, with seniority being substituted by merit, lifetime employment by secure employment and enterprise unions by single industrial unions and company-based representative bodies." (Purcell, Nicholas, Merrett, & Whitwell, 1999, p. 86)

The Eastern cultural values (e.g. Malaysian, Chinese, Thai) emphasize harmony and avoidance of conflict, face saving, deference to superiors and respect for elders, acceptance of hierarchy, group rather than individual interests, loyalty to the group, reliance on social networks and accordingly preferential treatment of this network members (Zhu, Warner, & Rowley, 2007). Mainly collectivism, paternalism and fatalism promote these characteristics. Accordingly, seniority is important in HRM areas such as reward and promotion. However, after Asian crisis, the majority of the organizations, especially the MNCs, have adopted both group-based and individual-based performance systems as well as individual oriented factors such as technical skills and performance for rewards in addition to the traditional seniority-based pay systems (Zhu, Warner, & Rowley, 2007).

In a recent study, the transfer of practices of a British MNC to a Chinese subsidiary was analyzed (Gamble, 2003). The results revealed the influence of the interplay of diverse factors and reflect hybrid elements in the transfer of practices. For example, the transfer of a flat hierarchy into the Chinese context was hybridized by the use of English names while calling the same supervisors (minimizing the hierarchies), but not by their Chinese first names. It would not be appropriate because they were managers, holding higher level positions (Gamble, 2003).

Recent research in Japan also asserts that Japanese HRM, as one of the leading economies in East Asia, experiences a transition stage and develops a hybrid model at this stage. Different factors influence both changes towards non-traditional HRM (e.g., changing attitudes of younger Japanese, shift towards meritocracy rather than seniority) as well as

some resistance towards changes (e.g., the legal framework protecting employees from dismissal) (Zhu, Warner, & Rowley, 2007).

Research on HRM revealed that the influence of diverse factors on the transfer of HRM practices and on their hybridization. Hence, a theoretical perspective that encompasses both cultural and non-cultural factors has to be adopted to better understand HRM in context.

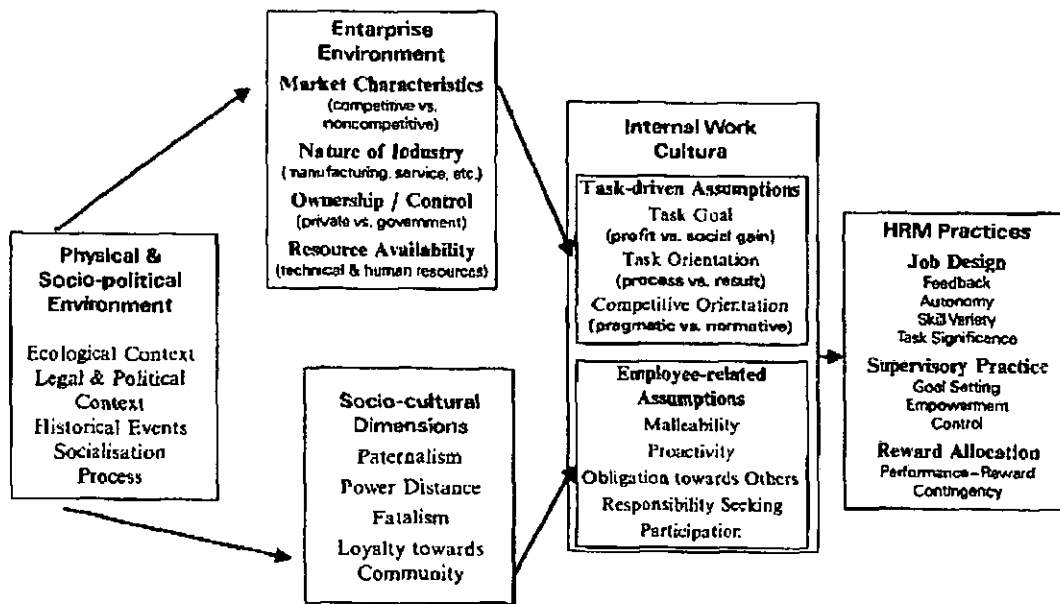
4.4 Theoretical Framework with a Crossvergence Approach: The Model of Culture Fit

Schuler and colleagues (Dowling & Schuler, 1990; Schuler and Jackson, 1987) suggest a contingency-based approach that tries to explain the variation in the HRM policies and practices theoretically. A variety of contingency factors, such as technology, industry sector, unionization, organizational structure and size, shapes HRM practices across countries. For them, "culture" should be considered as one of the contingencies in shaping process. Hence, in order to better understand the impact of cultural differences, we should control other organizational contingencies such as size, technology and industry (Sparrow & Wu, 1998). However, the impact of interaction between both institutional and cultural factors on HRM practices is still not explained in the literature. Therefore, the Model of Culture Fit, the theoretical model of the present study, gains importance here.

The Model of Culture Fit (MCF) proposed by Kanungo and his associates (Kanungo & Jaeger, 1990; Mendonca & Kanungo, 1994) is a theoretical model that explicates the role of culture in HRM practices (Ayca, 2005). This model that is expanded and tested in a 10-

country study explains why HRM practices show variance around the world (Aycan et al., 2000).

Figure 4.3 The Model of Culture Fit



The MCF (see Figure 4.3) takes into account the importance of understanding the impact of both the internal and external work environment in managing HR in organizations. The model asserts that both socio-cultural environment (e.g., values) and the enterprise environment (i.e., nature of industry, ownership status, market competitiveness) influence internal work culture (i.e., managerial assumptions constituting organizational culture) and implementation of HRM practices (Aycan et al., 2000; Aycan, Kanungo, & Sinha, 1999). Moreover, both of these environmental contexts are in turn affected by a

larger environmental context, the ecological and the socio-political environment (Aycan et al., 2000).

Aycan (2005) further proposed a typology of HRM by expanding the MCF which has also been empirically tested in a developing country context (Aycan et al., 2007).

According to this typology, HRM practices are specifically embedded in three cultural contexts (Aycan, 2005; Aycan et al., 2007). The impact of culture on HRM practices is grouped under three value orientations that represent three continua along and which cultures vary which encourage certain practices (see Tables 4.1, 4.2 and 4.3).

In the first continuum, societies as well as prevalent HRM practices within them vary according to their emphasis on group harmony and loyalty versus high performance. On this dimension, while on one side *maintaining good interpersonal relationship and in-group harmony* is emphasized, on the other side a strong value is placed upon *improving performance* (see Table 4.1). Being high on one of these two values usually denotes being low on the other, even though they do not necessarily contradict each other and can co-exist in various degrees. HRM practices emphasize in-group harmony and loyalty, and favor group-oriented performance management and rewarding in societies that place higher value on in-group harmony, good interpersonal relationships, and that are characterized by high collectivism, paternalism, femininity (Aycan, 2005; Aycan et al., 2007). On the other hand, HRM practices emphasize improvement of employee performance, recognition of individual differences and rewarding best performing employees in cultures that value high performance, and that are characterized by high performance-orientation and future-orientation.

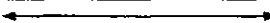
Table 4.1 Overarching values in societies or organizations and the corresponding HRM practices – Dimension 1 (Aycan, 2005).

Maintain good interpersonal relationships and in-group harmony (Femininity; high collectivism; paternalism; high context; diffuseness)	Improve performance (Performance-orientation; future-orientation; low-context; specificity)
<ul style="list-style-type: none"> • Criteria used in recruitment, selection, and performance appraisal emphasize ability to maintain good interpersonal relationships and work in harmony with others. • Subjective evaluations in recruitment, selection, and performance appraisal; indirect, subtle and non-confrontational feedback. • Preference for internal or network-based recruitment. • Criteria used in need assessment for training, career planning, and compensation and reward management emphasize loyalty and seniority. • Job descriptions, rewards, and performance feedback are team-based. • Strong emphasis on employee welfare programs and intrinsic rewards. 	<ul style="list-style-type: none"> • Criteria used in recruitment, selection, and performance appraisal emphasize job-related and technical competencies. • Objective and systematic evaluations in recruitment, selection, and performance appraisal; direct and explicit feedback. • Preference for formal, structured and widespread use of recruitment channels. • Criteria used in need assessment for training, career planning, and compensation and reward management emphasize performance outcomes and merit. • Strong emphasis on training and development. • Awards, recognition, and bonuses for good performance.

The second continuum in Aycan’s (2005) typology, *maintaining the status hierarchy* versus *promoting egalitarianism and participation*, deals with the degree of status hierarchy maintained by a society (see Table 4.2). HRM practices show variance with regard to their emphasis on status hierarchy versus egalitarianism. In cultures characterized mainly by power distance, hierarchy-oriented HRM practices that include centralized, top-down decision making in all areas, and that consider loyalty and seniority as the most important factor in personal decisions, are more prevalent. On the other hand, HRM practices are geared towards promoting uniform procedures and minimizing discriminatory ones

including differential treatment and favoritism, with the emphasis on participation of employees.

Table 4.2 Overarching values in societies or organizations and the corresponding HRM practices – Dimension 2 (Aycan, 2005).

Maintain status hierarchy (High power distance; particularism; orientation towards ascribed status)	 Promote egalitarianism & participation (Low power distance; universalism)
<ul style="list-style-type: none"> • Criteria used in recruitment, selection, performance appraisal, training and development need assessment, and compensation and reward management emphasize good interpersonal relationships with higher management, social class, seniority, and age. • Differential criteria and methods used in recruitment, selection and performance appraisal. • Top-down performance appraisal. • Non-participative decision making in training need assessment, job analysis, and human resource and career planning. • One-way lecturing; role-modeling of superiors. 	<ul style="list-style-type: none"> • Criteria used in recruitment, selection, performance appraisal, training and development need assessment, and compensation and reward management emphasize job-related competencies and merit. Equal employment opportunity is encouraged. • Uniform criteria and methods used in recruitment, selection and performance appraisal. • Multiple assessors and multiple criteria in performance appraisal. • Participative decision making in training need assessment, job analysis, and human resource and career planning. • Participative, interactive training.

The last value continuum deals with the level of flexibility and consists of HRM practices that are characterized as informal, loose and flexible, rather than formal and structured (Aycan, 2005; Aycan et al., 2007). In cultures that are inflexible and do not believe in change and development and that are characterized by high uncertainty avoidance and fatalism, HRM practices are geared towards promoting stability and status-quo in contrast to the ones that are designed to increase change, dynamism, and novelty. This

category describes informal and loose HRM practices that involve such practices as informal employee selection methodologies (e.g., unstructured interviews), unofficial and unsystematic performance appraisals, and short-term goal setting (Aycaan, 2005) (see Table 4.3).

Table 4.3 Overarching values in societies or organizations and the corresponding HRM practices – Dimension 3 (Aycaan, 2005).

Inflexibility; lack of belief in change and development (High uncertainty avoidance; high fatalism)	Flexibility; belief in change and development (Low uncertainty avoidance; low fatalism)
<ul style="list-style-type: none"> • Preference for internal or network-based recruitment. • Low performance-reward contingency. • Process-oriented performance evaluation (intention, effort, motivation to do the job). • One-way lecturing; hands-on-training. • Detailed, narrowly defined, fixed job descriptions. • Employee security plans. 	<ul style="list-style-type: none"> • Preference for external recruitment. • High performance-reward contingency. • Results-oriented performance evaluation. • Participative and interactive training. • Strong emphasis on training and development. • Broad, flexible, dynamic job descriptions. • Equity principle in compensation and reward management; individual bonuses / commissions.

In line with the conceptualization of the interfaces between cultural and institutional contingencies in forming HRM practices, Aycaan (2005) further argues that institutional factors such as size, industry and the organization ownership status are the most likely forces influencing the design and the implementation of HRM practices. In the organizations bigger in size and relied on more sophisticated technologies, HRM practices argued to be more formal, structured, and be influenced less by cultural differences

(DiMaggio & Powell, 1983; Harbison & Myers, 1959; Aycan, 2005). However, cross-cultural differences in the implementation of HRM practices are expected to be more evident in small organizations, operating in service industry and in private sector compared to the public ones.

The framework proposed by Aycan (2005) on the basis of the MCF (Aycan et al., 2000) has been adopted in the present study while developing models to test empirically.

4.4.1 Some Factors Influencing Crossvergence

Increased globalization has given birth to the debate about convergence and divergence in international management, bouncing from one extreme to the other (Khilji, 2002). MNCs have two options in the transfer of HRM practices in its subsidiaries: Localization, adopting locally designed HRM practices, or globalization, acceptance of HRM practices originating with the parent company (Liu, 2004).

The tension between localization and standardization in HRM has been studied extensively (Schuler, Dowling & deCieri, 1993). To recap, the rationale of standardization lies in the belief that by transferring HRM practices to subsidiaries operational consistency will be guaranteed and that will produce the best performance (Chen & Wilson, 2003). Chen and Wilson (2003) summarized the top managerial assumptions behind the standardization rationale on the basis of the theoretical and case study literature. For instance, the belief that the superiority of the current MNCs' HRM practices across all scenarios and generalizability as "best practice" drives MNCs' standardization of HRM practices. Furthermore, top management believes that the high transaction cost of adaptation

requires coherence among practices for operational effectiveness and efficiency (Chen & Wilson, 2003).

As an opposition, different drivers might favor localized practices or adaptation. For example, local managers might believe that due to the cultural or philosophical differences imposed MNC practices cannot work and only local practices might be plausible (Chen & Wilson, 2003). Moreover, “both local culture and political-legal systems make some aspects of MNC practices either *inappropriate* or illegal... Indeed, there is extensive evidence of “hybrid” HRM systems even in the subsidiary environment.” (Chen & Wilson, 2003, p. 399) Research tends to suggest that hybridized HRM as a balance between localization and standardization requirements is increasingly present in many international joint ventures (Bjorkman & Lu, 2001), since in the transfer of management practices, an original practice goes through dynamic modification, which, in effect, is the process of hybridization (Boyer, 1998).

As encompassed by the MCF, the review of the literature specifically demonstrates three important sets of variables in HRM across boundaries (Khilji, 2002): 1) *socio-cultural variables* such as work-related values or national cultures 2) *economic and contextual variables* such as the deregulation of economies and 3) *organizational variables* such as parent-company control and influences.

Thus, the literature would appear to highlight some country of origin variations in HRM practice but also points to the significance of adapting practice to account for local institutional constraints, thus illustrating the pertinence of management mantra of ‘think global act local’. (Morley & Collings, 2004, p. 491)

4.4.1.1 Socio-cultural Variables: National Culture

Numerous studies confirmed the differences between cultures on a variety of values, mainly between Western and non-Western countries (Silverthorne, 2005). While Western values include performance orientation and achievement, hardwork, individualism and competition, values in DCEEs include collectivism, fatalism and cooperation (Kanungo & Jaeger, 1990; Silverthorne, 2005; Aycan, 2005). These values then have a strong influence on the implementation of HRM practices (Aycan et al., 2000)

Culture influences multiple characteristics of recruitment and selection including its purpose, the criteria used, and the methods (Aycan, 2005). For example, because of the difficulty of coping with the resistance towards externally recruited candidates and of including them into the strong social networks, the external recruitment has limited use in collectivist as well as uncertainty avoidant cultures (Aycan, 2005; Bjorkman & Lu, 1999; Papalexandris & Panayotopolou, 2004). In high power distant and collectivist cultures, criteria like ascribed status, interpersonal relations rather than hard criteria like technical knowledge, skills and abilities are emphasized in recruitment and selection (Budhwar & Khatri, 2001; Aycan, 2005). Word-of-mouth is one of the mostly used recruitment method in collectivist cultures, because of the importance given to commitment and loyalty (Lee, 1999; Papalexandris & Panayotopolou, 2004). However, hard criteria and formal recruitment channels such as newspapers are more likely to be employed in high performance oriented, future oriented and uncertainty avoidant cultures (Aycan, 2005; Papalexandris & Panayotopolou, 2004).

Regarding the training and development, importance and purpose of training and development, need assessment, and training method are argued to be influenced by national culture (Aycan, 2005; Papalexandris & Panayotopolou, 2004). For example, training needs are more likely to be determined on the basis of the performance outcomes in individualistic and performance oriented cultures.

Performance management purpose, method and the criteria used vary across culture (Aycan, 2005). For example, Papalexandris and Panayotopolou (2004) found that the use of self appraisal and appraisal by subordinates are negatively correlated with high power distance. They found that the weakest relationship between culture and HRM is in the reward management practices, concluding as the least culture-sensitive area.

Since the nature of the job and the results achieved tend to be closely related to the compensation in Anglo-Saxon countries, especially in Britain, pay systems emphasizing individual and organizational performance such as merit pay and profit-sharing show an increase in their use in these countries (Ramirez & Fornerine, 2007). The main aspect of pay for performance favors the equity norm which is a distribution of rewards based on individual performance that is measured reliably, fairly and objectively (Bond, Leung, & Wan, 1982; Thang et al., 2007). Hence, people who value individual achievement and accept dissimilar, unequal share of rewards and, accordingly, competition for this reward, prefer equity norm in the allocation of rewards (Thang et al., 2007).

4.4.1.2 Contextual and Institutional Factors

Institutional Theory (DiMaggio & Powell, 1983; Jackson & Schuler, 1995; Meyer & Rowan, 1977) discusses the significance of the role of internal organizational factors as well as the larger social, legal and political context, and its relationship with the organizational practices. Hence, institutional factors such as organizational culture, strategy and structure, and whether organization is wholly owned or a joint venture shape the design, content and implementation of HRM practices of MNCs (Jain, Lawler, & Morrishima, 1998; Khilji, 2002; Saha, 1993; Tayeb, 1998). For example, the organizational strategy is related to the convergence, divergence or crossvergence of management practices.

Generally, MNCs choose from three strategic options: ethnocentric, polycentric, and geocentric (Perlmutter, 1969). An ethnocentric strategy is concerned with global integration of the firm through maximizing the control of parent company over subsidiaries by placing expatriates in key positions, while polycentric strategy, where local people manage the subsidiaries, allows for more local responsiveness and implementation of indigenous management style (Horwitz, Kamoche, & Chew, 2002; Perlmutter, 1969). Hybridization, crossvergence, is on the other hand associated with geocentric strategy, as an attempt to balance both global integration and local responsiveness through staffing positions worldwide with the best recruits regardless of nationality (Horwitz, Kamoche, & Chew, 2002). Not only the local culture but also the contextual variables such as size, industry, technology, status, and ownership could also shape the dominant strategy, including HRM.

Larger socio-political, economical and legal context not only influence the organizational variables and national culture (as proposed by the MCF), but also the HRM

practices of MNCs as well. Many economic factors such as reduction of governmental control, better communication infrastructure and freer market trading among countries might encourage MNCs to converge their management practices to develop efficient management practices (Deshpandé & Farley, 2000; Farley, Hoenig, & Yang, 2004).

Alternatively, the tight and rigid control of the state in setting the basic wage structure and level in China is expected to have a constraint on the HRM practices of MNCs that might create a tension with organizations that seek opportunities to generate bonuses and incomes, and might result in sectoral differences (Cooke, 2004; Warner, 2004). Moreover, if an MNC faces similar economic conditions as its subsidiaries, some HRM practices would be more likely to converge, due to the common need of achieving maximum financial return (Farley, Hoenig, & Yang, 2004).

Legislative framework also provided barriers to HRM practices, as organizations might have difficulty in firing unsatisfactory workers (Child & Markóczy, 1993; Tsang, 1994; Gamble, 2006). Similarly, for example, in Turkey there are no legislative regulations with regard to training area in the Turkish Labor Law in contrast to the regulations regarding firing an individual. Organizations have to justify the poor performance of employees to fire through having a strong and established performance management practices (Ayca & Yavuz, 2008) In Germany, where there is a very regulated work environment, employees can be dismissed only after the approval of a work council which also have an influence and control over working conditions and hours (Silverthorne, 2005). In some countries such as Italy, France, active trade unions regulate labor relations in such a way that it makes very difficult to fire employees and promotion tend to be internal

(Silverthorne, 2005). This indicates the influence of the legal context and the regulated work environment in HRM area.

4.4.1.2.1 Headquarters Control (Headquarters-to-Subsidiary Flow)

Power relations both at the international and even at lower levels such as intraorganizational level might play prominent role in the decision of convergence or divergence, which is the political nature of the global-local debate (Edwards & Kuruvilla, 2005). With the increased globalization, issues like power dynamics and power imbalances at the cross cultural interfaces of Western cultures and DCEEs draws attention, although concepts of power in terms of international power relations are not frequently addressed in cross-cultural management studies (Jackson & Aycan, 2006). For example, a Western MNC that opened a subsidiary in a DCEE might try to impose its hegemony through implementing its Western, global practices rather than indigenous, local ones, and more importantly, it might eventually lead to resentment of local employees towards increased Western practices that might denigrate indigenous knowledge (Jackson & Aycan, 2006). Within MNCs, the degree of control exercised by parent company, that is the use of power, authority and so on, is also critical determinant of HRM (Khilji, 2002). Different groups within MNCs as the varying sources of power (especially the ones that have control over resources) can influence the way HRM practices and policies are developed or implemented, and the degree of globalization or localization of practices (Edwards & Kuruvilla, 2005). Since a transferred practice can be implemented in subsidiaries in various forms, transfer is not an either-or-matter (Ferner, Almond, & Colling, 2005). As a result,

hybridization or transmutation of these practices occurs. In the transfer of practices, the importance of power relations seems to be neglected in the literature (Ferner, Almond, & Colling, 2005). The degree to which the subsidiaries engage in a political process and build up and deploy resources, can increase their negotiation power with the MNC. Hence, the practice is transferred in a modified version.

With regard to the control issue between a parent company and its subsidiaries, Perlmutter (1969), in a seminal article on the transfer of MNC practices, differentiated three types of MNCs as discussed before: ethnocentric, polycentric and geocentric. While an ethnocentric MNC usually has a tight control over its subsidiaries which result in the transfer of standard practices, a polycentric MNC employs management practices conforming more to the subsidiaries' local environment. Lastly, a geocentric company embraces a more global approach to use practices. Although classifications of Perlmutter (1969) are believed to be useful in separating types of MNCs as well as their use of standard practices, it has a shortcoming of disregarding the differentiated practices in MNCs. For example, HRM practices were found to be the least standard practices in contrast to the most centralized practices in the area of finance (Ferner, Almond, & Colling, 2005; Rosenzweig & Nohria, 1994). However, research has established that the more dependent a subsidiary is on the resources of parent company, the more likely the practices will reflect the standardization pushed by the parent company (Silverthorne, 2005)

4.5 Summing Up Crossvergence and Hybridization

Both of the above factors that play an important role in convergence or divergence debate might interact and have an influence on the process of HRM hybridization. While MNCs operating in DCEEs firstly try to transfer their 'best practices' to their subsidiaries, (i.e., a global HRM implementation), the continuous interactions with local people and the constraints brought by local environmental and cultural conditions may result in some modifications and may eventually result in a hybrid system. These variables and interactions among them not only affect the degree of hybridization, but also its process, i.e., the stages that MNCs go through. For example, an unexpected economic or political crisis might result at a different stage of HRM hybridization in a subsidiary, but not in the others. This crisis might extend or curtail the amount of time the practice is hybridized. However, it does not mean that hybridization would be the ultimate result or end product in these organizations. Since it is a process, it may later result in a totally localized practice, which should be considered and tested in further studies as well.

To sum up, this unsolved debate on convergence and divergence produces a need to focus on contingency approaches, 'crossvergence' or 'hybridization', and to focus on the importance of 'context'. "The preoccupation with cross-cultural analysis seems to neglect the importance of within culture diversity and the potential role this may have in the adoption and hybridization of HRM practices sourced from another country." (Horwitz, Kamoche, & Chew, 2002, p. 1023) Operating in a global environment requires HRM in MNCs to vary due to the incompatible demands that arises from MNCs attempt to be locally responsive, maximizing their ability to respond to the needs of the host country such

as economic, social, political and legal constraints, while preserving global integration, maintaining their corporate structure worldwide (Horwitz, Kamoche, & Chew, 2002). Hence, to balance is a challenging task for international HRM managers in these firms, and this eventually might lead to adoption of hybrid models. Since neither the convergence nor the divergence debate alone is adequate in explaining the dynamic nature of the cross cultural interactions at the organizational context, cultural, organizational and larger contextual, institutional variables should be incorporated into a conceptual model to examine the process of hybridization.

4.6 The Outcomes of Hybridization: Effective and Appropriate HRM

Over recent years, the role of the HRM has changed in a way that many organizational leaders now identify HRM as a crucial contributor to an organization's success (Buck & Watson, 2002). HRM is recognized as one of the most important instruments in attaining organizational effectiveness and competitiveness in current globalizing work environment where organizations willingly invest in the development of effective as well as appropriate HRM (Aycan, 2001).

HR managers in the home country of a MNC may want to apply consistent HRM practices across nations with the aim of ensuring fairness or promoting a single organizational culture. However, a certain HRM practice may convey an entirely different, and at the worst case an unintended meaning, in another culture (Khilji, 2002). This might result in a perception of HRM inappropriateness and ineffectiveness on the part of the local employees. For example, in individualist cultures individual merit pay is the most effective

and appropriate reward system where the emphasis is on individual initiative and achievement, whereas, in collectivist cultures the reward system is based on group performance (Hofstede 1984; Pizam et al., 1997). Using age as a criterion for selection may be appropriate in some context but inappropriate in another (Aycan, 2005). In high power distant and collectivist cultures such as Korea and Turkey, where age-based hierarchy and status is prevalent, age is an important criterion in the selection to prevent potential conflicts between subordinates and superiors, since it is assumed that it might be difficult to enforce the authority when the subordinates are older than supervisors (Aycan, 2005; Lee, 1999). *Guanxi* in China results in the implementation of performance evaluation where the results of the appraisal depend on the relationship with leaders and where the pay is not related to performance appraisals (Shen, 2004). Open appraisals lead to lower levels of satisfaction in countries like Taiwan, where confrontation and giving and receiving performance feedback is a real challenge (Aycan, 2006; Khilji, 2002). Since what constitutes 'good performance' is culture-bound (Aycan, 2005), then, the appropriateness and the effectiveness of the criteria used in performance evaluations might vary. Hence, what constitutes an ethical or appropriate management practice will vary in accordance.

While the congruence between national culture characteristics and management practices lead to better performance results, incongruence leads to dissatisfied, uncommitted, uncomfortable employees that would have low levels of performance (Newman & Nollen, 1996). Newman & Nollen (1996) found support that when management practices are congruent with national cultures, business performance improves. Therefore in order to be more effective, management practices should be adapted to national

culture to a certain extent. Moreover, since their subsidiaries have to hire employees from the local labor market in an attempt to attract the best talents, MNCs cannot ignore local practices to a large extent.

Even though one of the major functions of HR department is to act as a kingpin between employees and management (Kinicki, Carson, & Bohlander, 1992), differences in cultural values may reflect different assumptions regarding employees' experiences of what 'good' HRM practices are and how HR is managed effectively (Janssens, 2001). Hence, at the cross cultural interfaces, where individuals from different cultures meet and interact, perceptions about appropriate and effective HRM and its implementation will vary. Moreover, implementing a HRM practice that is ill-suited to the local or existing environment and culture is more likely to have a negative impact on employees' attitudes such as rejection or low morale. Hence, understanding the attitudes of employees regarding the implementation of HRM practices is also of critical importance. However, analysis of effective and appropriate HRM practices in developing countries is inadequate in the literature (Jain, Lawler, & Morishima, 1998) and should be tackled because of its controversial nature.

While some argue that MNCs provide much needed investment and employment for often weak economies such as China by introducing new technologies and management systems, opponents of this view often claim that MNCs are merely exploiting the weak and unprotected labour force in these less developed countries. They are often accused of driving down already poor labour standards in their search for even cheaper labour that is achieved at the cost of reduced labour protection... The ethical dimension of HRM practised by these firms operating in a 'boundaryless' world is therefore vigorously questioned by non-governmental organisations (NGOs), Western media and academics... (Cooke, 2004, p. 32)

4.6.1 Effectiveness and Appropriateness: Are they different sides of the same coin?

... In African societies, which tend to be more collective, the principles applied to family members apply to employees as well; nepotism is a natural outcome of this logic. One multinational, in an effort to improve the productivity of the work force by providing nutritious lunches, met with resistance and the demand that the cost of the meal be paid directly to the workers so that they could feed their families. The attitude was one of "how can we eat while our families go hungry?"... (Schneider, 1988, p. 238)

One of the overarching aims of the present study is to understand the outcomes of the process of HRM hybridization in terms of their effectiveness and appropriateness. However, the biggest dilemma is whether they are really two different constructs easily distinguishable or whether they are overlapping. As the above example shows, a practice thought to be effective in terms of increasing employees' productivity could be perceived as an inappropriate conduct by the employees, especially in the context of DCEEs. Hence, could one easily differentiate what is *effective* and what is *appropriate* HRM, and the relationship between the two? Whether a practice could be appropriate but at the same time ineffective or vice versa for different organizational actors is a question mark that seeks for an answer. This study also aims at answering such questions through the use of both quantitative and qualitative data reflecting the interpretations of individuals.

As an HRM practice, the use of graphology, astrology and numerology are still widely used in France in employee selection (Ryan et al., 1999; Bradley, 2005). It might be perceived as an effective tool of selection for the French organizations to select people on the basis of hand writings or of the positioning of the planets, since it is still applied; otherwise, organizations would stop using them. However, this is still perceived inappropriate/ unethical in other cultural contexts and also illegal (e.g., Turkey).

We could adapt the situation of the examples from the literature discussed in above sections to a MNC situation. An American (so-called “Western”) MNC operating in Turkey or in another DCEEs similarly would like to implement an individual based performance management system in which objective, quantifiable objectives and competencies of employees would be assessed in a standardized way with written reports. And the performance evaluation results would be used as input to employee related decisions such as compensation, promotion and training. Such a system still might be highly effective, since it can differentiate good performers from weak ones and may eventually contribute to organizational performance and bottom-line. Furthermore, top management who mainly focus on work and production might be happy with such a system, and perceive it as an effective system in which productivity of each employee could be easily tackled. However, from the part of the employees, it may not be an appropriate way of doing things, since collectivistic cultural orientation of Turkish employees may ask for being evaluated on the basis of criteria like interpersonal relationships, loyalty to their organizations or seniority (Ayca, 2005). Vice versa, using criteria to maintain interpersonal harmony rather than improving performance might be perceived as appropriate in this context, but as ineffective for the organization. Moreover, the legal system of Turkey might enforce organizations to assess and keep the record of workers’ performance in a formal way; however, this does not ensure the way it is carried out or the criteria used.

This is consistent with Tayeb’s (1995) suggestion of the universality of the ‘what’ question in HRM practices (e.g., requirement of performance appraisal) that could also be enforced by legal system, and the culture-specificness of the ‘how’ question (e.g., how to

give performance feedback or the criteria used in evaluation) that might influence the local people's perception of appropriateness. Moreover, performance management itself as a system may not be an appropriate term in a country like Turkey. Performance management by itself is an ongoing communication process that includes partnership of employees and supervisors, and the establishment of clear expectations and understanding about the job (Bacal, 1999). Eventually, in the Turkish cultural context, a country with high power distance, where the inequalities are expected and accepted, and with high context culture, where confrontation, giving and receiving feedback are real challenges, may not be proper place to implement. The misfit between the implementation of a practice with the individual' value orientations and expectations would result in perception of inappropriateness.

Let us suppose the use of nepotism in hiring individuals to an organization. What makes nepotism inappropriate? While in a highly performance oriented individualistic cultural context, hiring people on the basis of their relationships with the chief organizational figures rather than on the basis of their performance, skills, competencies through the use of structured procedures and objective tests may be perceived as unethical. On the other hand, while recruiting a relative in an organization, a form of nepotism, could be perceived as a totally inappropriate or unethical practice in a Western context, such a practice could be a way of showing the loyalty to the members of the in-group in a collectivist oriented Eastern culture and this could be something very 'normal', even desirable. In line with the above discussions, in the following subsections definitions of

HRM effectiveness and appropriateness as well as the expected outcomes of these in terms of positive employee attitudes will be discussed.

4.6.2 Effectiveness of HRM

Although the role and importance of both environmental and socio-cultural factors on the organizational effectiveness has been established in cross-cultural management, what these environmental and cultural variables are and how they can be managed for organizational effectiveness in the developing country context, have been questioned very recently (Sinha & Kao, 1988; Kanungo & Jaeger, 1990).

Competitive advantage of organizations emerges from how effective its HR is managed (Pfeffer, 1994). However, “effectiveness of HRM is a very broad construct that, conceptually, should reflect the diverse needs and desires” (Huselid, Jackson, & Schuler, 1997, p. 186). Hence, the broader social and economic system or different organizational actors such as individual employees could have diverse ideas about the effectiveness. Under this section, different operationalizations of effectiveness with regard to various actors will be discussed, since there is no literature on the effectiveness of HRM as an outcome of hybridization process at the cross cultural interfaces.

Effectiveness is a multidimensional construct; hence, multiple criteria should be addressed (Ferris et al., 1998). HR outcomes (such as absenteeism, job satisfaction), organizational outcomes (such as productivity, quality), financial accounting outcomes (such as return on assets, profitability) and capital market outcomes (such as stock price, growth) are included as potential effectiveness criteria (Ferris et al., 1998). Moreover,

different contextual factors are argued to be related to HRM effectiveness. For example, the level of the competition in the sector of organizations is argued to be related to HRM practices, making the effectiveness of HRM greater in the deep uncertainty context rather than under conditions of stability (Ordiz & Fernández, 2005). Under dynamic conditions the emphasis on HR has greater impact on business results, shown by higher return on investment, and strategic HRM is perceived as an advantage with respect to rival organizations (Ferris et al., 1998; Jackson & Schuler, 1995).

One way to measure HRM effectiveness in literature is to investigate its relation with the firm performance in terms of financial outputs. Sorensen (1995) asserts that in order to illustrate the value of HRM for the organization, the best way is to measure the cost and effectiveness of what is done in HR, which can only be achieved through putting that into the language that senior executives can recognize, which is in terms of 'financial results' (Ramlall, 2003) The relationship of effectiveness with the firms' performance is however an unsolved debate in the literature. For instance, while Wintermantel and Maltimore (1997) argue that the cost-effectiveness of investment to HR cannot be proven by the organizations, this does not a reflection of lack of any relationship between these two variables (Edwards & Wright, 2001). Indeed, it is the indirect effect of the HRM practices on performance and, moreover, neither performance nor effectiveness has an agreed measurement indicator which makes this relationship more blurred (Ordiz & Fernández, 2005). Similarly, because HR in organizations started to be recognized as a source of competitive advantage after 1990s, the impact of managing HR on organizational performance has been the focus of a large number of studies (Hitt, Bieman, Shimizu, &

Kochbar, 2001; Björkman & Xiucheng, 2002). However, the results of these studies revealed conflicting findings (Björkman & Xiucheng, 2002).

Huselid and colleagues (1997) define HRM effectiveness as ‘the delivery of high quality technical and strategic HRM activities’. They assessed the effectiveness of HRM and its relation to organization performance through differentiating between ‘technical’ (e.g., effectiveness of compensation, selection testing, assessing employee attitudes) and ‘strategic’ (e.g., employee and manager communication, workforce productivity and quality of output, workforce planning) HRM effectiveness. They further asserted that an effective HRM system is the one that enhances the organization’s ability to attract and retain qualified employees, and eventually to promote efficiency, hence decreasing problems like turnover, absenteeism and so on (Richard & Johnson, 2004). In a study, the scale developed by Huselid and colleagues (1997) used to measure HRM effectiveness, which included HRM activities that supports the long-term business needs of organization through human capital pool was used by asking HR managers’ satisfaction with the results being achieved with employee participation and empowerment, teamwork, succession and development planning, workforce productivity and quality of output, employee and manager communication and so on (Richard & Johnson, 2004). The findings revealed that HRM effectiveness is positively related to the perception about organization’s market performance.

“Effective people management is a balancing act.” (Brown, 2006, p. 1) That is, not only performance, but also motivation should be taken into account in its definition, since employee well-being and company performance are expected to be the different sides of the

same coin (Brown, 2006). In this case, the employee assessment of effectiveness gains importance. HRM could have an impact on employee attitudes and behaviors directly or indirectly, which eventually might have an influence on organizational performance (Ferris et al., 1998). The degree of HRM effectiveness has been usually measured through a questionnaire evaluated by subjective indicators or simple weighted indices such as turnover ratios, training and development expenditures and so on (Tsai, Chuang, & Hsieh, 2005). However, the subjective perception of the respondents might contaminate the results from this kind of approach and largely because the multidimensionality of the construct was not considered (Tsai, Chuang, & Hsieh, 2005). Hence, an attempt to understand the construct of effectiveness through using both quantitative and qualitative approach is expected to provide a clearer picture of this construct.

4.6.3 Appropriateness of HRM: Ethical HRM and Meeting Expectations

What constitutes right or wrong, just or unjust, fair and unfair and good or bad in a business environment corresponds to the construct of management ethics in the literature (Hosmer, 2006). To determine what conduct is ethical comprises what is considered to be *appropriate* or right conduct in organizations in accordance with general ethical standards (Christie, Kwon, Stoeberl, & Baumhart, 2003). While a specific practice, specifically an HRM practice in the context of the present study, which is consistent with people's values or their perceptions about both the cultural and institutional rules, and norms would be more likely to be perceived as an appropriate conduct; the inconsistent one would be perceived as

an inappropriate conduct. Hence, appropriateness of an HRM practice, in a way, represents the perception of its ethicality as well as whether it meets the individuals' expectations.

Understanding the perception of the ethicality is of prominence, since managers perceive ethics to be good and important for organizational bottom-line as well (Jose & Thibodeaux, 1999).

The HRM concept, by itself, produces a lot of debate in the ethics literature. The metaphor of human beings as resources, which implies the use of people as a means to attain certain goals, elicits the question whether human beings may ethically be treated as an instrument (i.e., a means to an end) (Dachler & Enderle, 1989). The concept of management in this context is assumed to be a euphemism for 'use' and it is further argued that only the nature and extent of this 'use' varied with regard to whether HRM is 'hard' or 'soft' (Greenwood, 2002). It is suggested that only HRM is ethical if it treats employees more than a means to an end. For example, many MNCs have a major concern for the training and development of their staff (Schneider, 1988). Ethical HRM expects organizations to offer training and development, not only for the development of skills required by the workplace (which might represent the effectiveness), but also for the enhancement of career path of employees (which might represent the appropriateness) (Greenwood, 2002).

Another way of conceptualizing appropriate HRM practices is related to whether these practices meet expectations of the employees in HRM context. If certain practices meet the employees' expectations, it means that these practices are appropriate (Peterson, 2007, personal communication). Expectations are defined as "beliefs about a future state of affairs. They are subjective probabilities linking the future with an outcome of some level of

probability from merely possible to virtually certain” (Olson et al., 1996, p. 211; cited in Bell, Ryan & Wiechmann, 2004, p. 25). Expectations have been defined as the individual beliefs about ‘what leads to what’ in the environment, which serve as an organizational visual map (Porter, Lawler & Hachman, 1975, cited in Hubbard & Purcell, 2001). The discrepancy between what a person expected to encounter and what he or she encounters on the job in terms of positive or negative experiences reflects the concept of met expectations (Wanous, Poland, Premack & Davis, 1992).

The theory of Met Expectations proposes that “the more congruent an individual’s expectations are with the individual’s reality once on the job, the greater the individual’s satisfaction and adjustment” (Caligiuri, Phillips, Lazarova, Tarique & Bürgi, 2001, p. 359). When there is a match between organizational values and employees’ own values and beliefs, employees tend to experience greater satisfaction (Khilji, 2004). For example, a recent study also demonstrated that younger generation of employees in Pakistan reflect more “modern” values such as autonomy, independence, which argued to be developed through reading management magazines, using the Internet or studying in Western schools, and this generational differences are reflected in their HR satisfaction and expectations (Khilji, 2004). That is, if younger employees working in organizations with traditional Pakistani value systems, or similarly older employees working in more Western organizations are more likely to exhibit less HR satisfaction, since there is a mismatch between organizational and individual value systems and expectations.

This theory in an organizational context has been first defined by Porter and Steers (1973). They asserted that only the expectations about the important aspects of the

organization or job have relevancy to the met expectation hypotheses (Caligiuri et al., 2001). Although this theory has mostly been applied in the context of understanding the effectiveness of new recruitment in the organization, it can be useful when employees experience new or ambiguous settings such as expatriate assignments or mergers and acquisitions.

Studies in the literature mainly examine the outcomes of expectation management during new hire recruitment, or through socialization process in the organizations (Wanous et al., 1992). When these expectations are unmet, it results in negative outcomes such as lower commitment, higher stress and turnover (Hubbard & Purcell, 2001). When employees' expectations of their organization are not met, employees are more likely to have reduced satisfaction with the organization and reduced commitment (Porter, Pearce, Tripoli, & Lewis, 1998; Green, Wu, Whitten & Medlin, 2006).

If actions of management are perceived positively by employees, they are more likely to reciprocate with attitudes and behaviors valued by the organization (i.e., higher commitment, lower turnover intention) (Gould-Williams & Davies, 2005). For example, previous research supported this link especially where HRM practices signal commitment to and trust of managers and of organization in employees (Guzzo & Noonan, 1994; Gould-Williams & Davies, 2005). Porter and Steers (1973) asserted that since employees have different expectations regarding organizational practices and context (e.g., expectations with respect to payoffs or rewards), these practices would not have a uniform impact on employee attitudes such as withdrawal decisions. When expectations of individuals are not

substantially met, this would increase their propensity to withdraw (Porter & Steers, 1973; Wanous et al., 1992).

In the following section, the discussion will focus on how employee attitudes are shaped by individuals' perceptions of HRM practices in terms of their appropriateness and effectiveness.

4.7 Results of Perceived Appropriateness and Effectiveness: PO Fit, Organizational Commitment & Turnover Intention

With the recognition of HRM as among the key factors for competitive and effective organizations, organizations have started to willingly invest in the development of HR (Ayca, 2001; Ercek, 2006). That is, organizations would invest in HRM and employee commitment only if HRM leads to superior performance outcomes (Kinicki, Carson & Bohlander, 1992). Benkhoff (1997) argued that since "HRM is a peculiar phenomenon" (p. 44), there has been a need for a theoretical model in this field to display its effectiveness. One component of organizational effectiveness is recognized as employee attitudes that play a key role in conceptualization of effectiveness (Kinicki, Carson & Bohlander, 1992) and because of this key role, organizations should attach importance to the HR department since it can have a positive influence on employee attitudes (Kinicki, Carson & Bohlander, 1992). However, to date, research on the influence of HRM on employee attitudes is limited (Gould-Williams & Davies, 2005).

Based on the social exchange model of Eisenberger and colleagues (1990; cited in Kinicki, Carson & Bohlander, 1992), Kinicki and colleagues (1992) argue that HR

activities represent one way in which organizations can display commitment to individuals that create positive work attitudes of employees. Ferris and colleagues (1998) who also argued the lack of any theoretical explanation about how HR systems affect organizational effectiveness proposed a social context model. This theoretical model states that the types of HR systems developed or adopted by an organization are influenced by cultural values and they, in turn, determine the organization's climate (Rogg, Schmidt, Schull & Schmitt, 2001). Organizational climate, in turn, affects employee attitudes and behaviors, and lastly organizational effectiveness. This link between HRM systems and employee attitudes is therefore related to the organizational effectiveness and should be taken into account by both academicians and practitioners. Employee attitudes should be considered in order to fully understand the relationship between HR practices and organizational performance (Rodwell, Kienzle & Shadur, 1998).

Gibb (2001) proposes an alternative approach to best practice and contingency analyses of HRM effectiveness, which is examining employees' views of the performance of HRM systems and practices. Studies on employee attitudes regarding HRM practices are argued to be underdeveloped despite the various benefits of using employees' view regarding HRM practices. For example, this approach not only theoretically counteracts the effects of "managerialism in evaluating HRM, but also counter the muting of the voices of "people", actual people in local realities as subjects of HRM" (Gibb, 2001, p. 324).

4.7.1 Perceived Person-Organization Fit

Person-organization fit (PO fit) which is an often-researched variable in the areas of psychology and management, edifies the way employees perceive their relationship with the organization they work (van Vuuren, 2006; van Vuuren, de Jong & Seydel, 2007; Judge & Cable, 1997; Schneider, 1998). PO fit is generally defined as the congruence between an organization's values and personal ones (Chatman, 1989). Different assessments of PO involve actual fit and perceived fit. While actual fit is an indirect measurement of fit based on the comparison of organizational and personal characteristics or values, perceived fit involves a direct measurement of employees' own estimations of their PO fit (van Vuuren, 2006). Most PO fit research has focused on objective fit while overlooking individuals' subjective impressions of fit (Judge & Cable, 1997). This is believed to be an important omission in the literature because subjective perceptions of individuals generally are more likely to predict their behaviors than some objective reality (Judge & Cable, 1997). Moreover, research also revealed that when PO fit is measured directly (i.e., perceived fit), it turned out to be relevant for organizational, especially for affective commitment (van Vuuren, 2006).

PO fit has important influence over attitudes and behavior of individuals in the workplace (Arthur, Bell, Villado & Doverspike, 2006; van Vuuren, de Jong & Seydel, 2007). There is empirical evidence that PO fit contributes to OC (Van Vianen, 2000; O'Reilly, Chatman & Caldwell, 1991; Silverthorne, 2005). Research has indicated that the quality of the fit between the individual and the organization is significantly related to both productivity of the employees and employee turnover (Silverthorne, 2005). People who

perceive a low fit with their organization tend to quit their job and look for more suitable places that provide higher PO fit which is quite costly to the organization (Schneider, Goldstein & Smith, 1995). Usually individuals feel angry or betrayed when they start to believe that the organization has failed to meet obligations that were expected of them, and in turn this leads to intention to quit (Silverthorne, 2005). Since costs related to turnover are quite important for the organization and cannot be disregarded or underestimated by the organizations, ensuring the high PO fit will help the organization to operate more efficiently (Silverthorne, 2005).

4.7.2 Organizational Commitment & Turnover Intention

Organizational commitment (OC) that has been defined as “the relative strength of an individual’s identification with and involvement in a particular organization” (Mowday, Porter & Steers, 1982; Riketta & Landerer, 2002), as the “psychological attachment” to the organization (Organ, 1990; Kuehn & Al-Busaidi, 2002), as the psychological bond that an employee has with an organization related to goal and value congruence, behavioral investments in the organization, and likelihood to stay with the organization (Mowday, Porter & Steers, 1982; Ensher, Grant-Vallone & Donaldson, 2001). Current literature distinguished three components of OC: namely, an affective, continuance, and normative commitment component (Allen & Meyer, 1990). Affective commitment is defined as an attitudinal process whereby people come to think their relationship in terms of value and goal congruence with the organization. Affective commitment is an “emotional attachment to the organization such that the strongly committed individual identifies with, is involved

in, and enjoys membership in, the organization” (Allen & Meyer, 1990, p. 2) Continuance commitment refers to the need to remain in the organization based on the costs associated with leaving such as no alternative job option or by changing jobs sacrificing the investments gained by tenure (Meyer & Allen, 1991). Normative commitment is on the other hand defined as a desire to remain in the organization based on a sense of loyalty, duty, moral obligation that can be influenced by the individual’s culture or work ethics (Allen & Meyer, 1990; Meyer & Allen, 1991). It is a kind of feeling of obligation to stay in the organization.

Early research revealed that organizational activities can significantly influence individual’s commitment to an organization (Hom & Griffeth, 1995; Lee & Mowday, 1987; cited in Buck & Watson, 2002). In particular, an employee’s level of commitment to the organization can be influenced by an organization’s management practices (Allen & Meyer, 1990; Saks & Ashforth, 1997; Buck & Watson, 2002). Therefore, perceptions of individuals regarding HRM activities prevalent in their organization have the potential to affect OC level and as a result influence turnover in the organization (Buck & Watson, 2002; ten Brink, 2004). Buck and Watson (2002) found that certain HRM systems and strategies can have an influence on OC and probably affect turnover. They argue that HRM policies and practices provide guidance for how employees should be treated and eventually may establish the delicate relationship between the employer and the employee. Some current empirical studies supported the important influences of HR practices on OC (Gaertner & Nollen, 1989; Ngo & Tsang, 1998). Moreover, committed workers are also less likely to want to leave their organization (Gould-Williams & Davies, 2005). Since costs related to

turnover and loss of qualified employees are important for organizations, this cannot be disregarded. Moreover, recent studies revealed that when individuals think that they have developed a close relationship with their organization, they also build an emotional bond with and attachment to their organization. Affective commitment, then, is argued to be a more meaningful outcome in collectivist DCEEs rather than in a Western country (Felfe et al., 2008). Then, HRM practices have to be tailored to individuals' expectations regarding their appropriateness and effectiveness at the cross cultural interfaces.

4.8 Conclusion

This chapter started with brief introduction of the construct of hybridization followed by presenting the theoretical model, the MCF, of the present study. The discussion focused on the outcomes of hybridization and how the perception of HRM practices is related to positive employee attitude. In the next chapter, I present the specific hypotheses of the present study.

Chapter 5

RESEARCH HYPOTHESES

5.1 Introduction

The literature review has revealed that HRM practices are not universal and vary due to the combinations of factors including cultural values and institutional variables (e.g., Aycan et al., 2000; Sparrow & Wu, 1998; Tayeb, 1995). Furthermore, how these practices are perceived in terms of effectiveness and appropriateness would vary in line with the expectations people hold, which in turn have an influence on certain employee attitudes. As an attempt to resolve the limitations presented different theoretical approaches; this study aims to explain the variation in HRM practices and policies, how they are hybridized and the effects of this perceived hybridization, in order to provide a better and clearer picture of the HRM.

In this chapter, the specific hypotheses on the basis of the extensive literature review will be stated under three sections. While in the first section the hypotheses predicting HRM preferences of employees (prescriptive HRM) as well as perception of actual HRM (descriptive HRM) will be presented, in the following sections two models will be presented. First model will be introduced to predict what happens if there is a discrepancy between what HRM practices people prefer and how they perceive the actual in their organizations. Following this, how hybrid employees perceive the actual implementation of

HRM as well as its outcomes in relation to their perceived appropriateness and effectiveness will be hypothesized in a second model. In the last section, hypotheses about perception of individuals regarding ethically controversial practices will be presented to enhance our understanding of the construct of appropriateness.

5.2 Understanding HRM Preferences

In the following part, the hypotheses pertaining to which particular values are related to which preferences for HRM practices are specified. The value orientations and their implications for HRM preferences are hypothesized as below.

Although within a single culture individuals share a common system of core values, significant and meaningful variations, at the individual level, exist (Aumann & Ostroff, 2006). In addition, these variations have to be taken into account when explaining the influences of culture on individual behavior. Individuals' value systems have an influence on how they cognitively process and interpret the organizational context as well as the HRM practices within this context (Erez & Earley, 1993; Aumann & Ostroff, 2006).

Values are values because they are preferred. The cultural values that people hold determine what is considered to be important or valuable by the employees (Huo & Steers, 2003), and the link between cultural value orientations at the individual level and preferences for HRM policies and practices have been established in the literature (e.g., Sparrow & Wu, 1998; Nyambegera, Sparrow & Daniels, 2000; Nyambegera, Daniels & Sparrow, 2001; Aycan et al., 2000; Kirkman, Lowe, & Gibson, 2006; Aycan et al., 2007). Even though societies differ on their cultural characteristics, members within one society

also show variance on their individual cultural value orientations (Triandis, 1995; Felfe, Yan & Six, 2008). In addition, these differences, at the organizational context, influence employees' preferences and further their attitudes toward their organizations including their commitment.

On the basis of Aycan's (2005) typology, to recap, employees' HRM preferences were categorized under three dimensions: group-oriented HRM, hierarchy-oriented HRM, and informal and loose HRM. As it is specified before, as the first dimension, HRM practices that emphasize in-group harmony and loyalty and that favor group-oriented performance management and rewarding are more likely to be prevalent in societies that place higher value on in-group harmony and good interpersonal relationships and that are characterized by high collectivism, paternalism, and femininity (Aycan, 2005; Aycan et al., 2007). On the other hand, HRM practices that emphasize improvement of employee performance, recognition of individual differences, and rewarding the best performing employees are more likely to exist in cultures that value high performance, and that are characterized by high performance-orientation, future-orientation, and individualism. For example, a recent meta-analysis revealed that in HRM related research, collectivism value orientation is negatively related to preferences for individual-based pay, the desire for promotions on the basis of merit, it is positively related to preference for equality-based rewards (Kirkman, Lowe, & Gibson, 2006).

Hypothesis 1: There will be a positive relationship between collectivism and preference for group-oriented HRM. That is, employees scoring high on collectivism are expected to prefer more group-oriented HRM.

Secondly, HRM practices argued to show variance with regard to their emphasis on status hierarchy versus egalitarianism. In cultures characterized mainly by power distance, hierarchy-oriented HRM practices that include centralized, top-down decision making in all areas are more likely to be prevalent. In organizations the amount of formal hierarchy, the degree of centralization, and the amount of participation in decision making are influenced by the degree of power distance (Newman & Nollen, 1996). Because participation is not consistent with the high power distant national culture, employees in these cultures have tendency to view participative management with fear, distrust, and disrespect. For instance, Aycan and colleagues (2000) revealed that in high power distant cultural contexts, managers were more likely to assume that employees expected close guidance and supervision, rather than autonomy and discretion, and as a result were more likely to implement lower job enrichment and empowerment in HRM practices.

Hypothesis 2: There will be a positive relationship between power distance and preference for hierarchy-oriented HRM. That is, employees scoring high on power distance are expected to prefer more hierarchy-oriented HRM.

Lastly, in fatalistic value orientation, where there is no belief in change and development, trying too hard to achieve something, making long-term plans, or taking preventive actions are worthless exercises (Guzman, Santiago-Rivera & Haase, 2005). Additionally, HRM practices in fatalistic cultures also reflect these beliefs. For instance, in performance management practices, since work outcomes are believed to be beyond the control of the employees, employees who exhibit effort and willingness but are not

performing at the expected level are tolerated (Tung, 1984; Aycan, 2005), hence reflecting more informal and loose HRM. Moreover, within organizations in developing countries characterized by a strong sense of fatalism, human capabilities are often perceived as more or less fixed with limited potential. As a result, career planning and progression with supporting training facilities are extremely limited. Hence, this may not require a reliance on highly structured and systematic process where the strengths as well as development areas of each individual can be easily tackled.

Hypothesis 3: There will be a positive relationship between fatalism and preference for informal and loose HRM. That is, employees scoring high on fatalism are expected to prefer more informal and loose HRM.

5.3 Understanding the Employee Perception of Actual HRM

In line with the conceptualization of the interfaces between cultural and institutional contingencies in forming HRM practices, Aycan (2005) argues that not only cultural value orientations but institutional factors such as size, industry, and the organization ownership status are among the most likely forces influencing the design and the implementation of HRM practices. The hypotheses related to the possible factors influencing the implementation of HRM are stated under the following section.

5.3.1 Organizational Factors: Size and Sector of MNC

Literature revealed, at the organizational level, institutional factors such as type of industry or job and sector, and size are important determining factors of organizational structure and practices (e.g., Aycan, 2005; Pugh, Hickson, Hinings, & Turner, 1968; Mumford, 2000). In the organizations that are bigger in size and/or which rely on more sophisticated technologies, HRM practices are argued to be more formal, structured, and less influenced by cultural differences (DiMaggio & Powell, 1983; Harbison & Myers, 1959; Aycan, 2005). Cross-cultural differences in the implementation of HRM practices, on the other hand, are expected to be more evident in small organizations, operating in service industry and in private sector compared to the public ones.

Size of organizations is one of the institutional contingencies that influence the implementation of HRM. For example, in small organizations recruitment and selection is more likely to rely on networks and informal channels to ensure the harmony of the company through finding best fitting new comers (Aycan, 2005; Barber & Wesson, 1999). Whereas, in large organizations more standardized and formal recruitment and selection methods are used due to their high public scrutiny (Aycan, 2005; Jackson & Schuler, 1995). In the area of performance management, small organizations rely more on informal methods of performance appraisal relative to large ones (Jackson & Schuler, 1995). Moreover, since small organizations, compared to larger ones, rely more on interpersonal cooperation (Aycan, 2005), soft criteria like loyalty, harmony, interpersonal relationship rather than hard criteria like productivity, attainment of objectives consist of the criteria used in employee-related HRM decisions.

Another institutional factor expected to have an influence on HRM structure and practices is the type of the industry/sector of organizations. For instance, while performance criteria in organizations using advanced manufacturing technologies are demonstrated to be narrow, directly job- or task-related, and result-oriented compared to those in the service sector (Heijltjen, 2000), private (rather than public) sector organizations implement more specific and outcome-based performance criteria (Boyne & Jenkins, 1999). Organizations that are in the service sector, recruitment and selection are based on soft criteria (i.e., social and interpersonal competence) (Remy & Kopel, 2002; Spell, 2001).

In sum, as Aycan (2005) asserted, with respect to the institutional environment, size and type of industry/sector are among the most likely forces influencing the design and the implementation of HRM. HRM practices become less standardized, less formal, less structured, and more people- rather than job-related in smaller organizations and in organizations from service sector rather than advanced manufacturing technologies (DiMaggio & Powell, 1983; Harbison & Myers, 1959; Aycan, 2005).

Hypothesis 4a: There will be a negative relationship between size of the organizations and implementation of informal and loose HRM. That is, employees working in smaller organizations are expected to perceive their organization as engaged in more informal and loose HRM.

Hypothesis 4b: There will be a negative relationship between size of the organizations and implementation of group-oriented HRM. That is, employees working in smaller organizations are expected to perceive their organization as engaged in more group-oriented HRM.

Hypothesis 5: Employees working in service sector organizations expected to perceive their organization as engaged in more informal and loose HRM.

5.3.2 National Culture of the MNC: Cultural Distance of the Home- and Host-Country of MNC

National cultural distance (Kogut & Singh, 1988), which is the degree to which different cultures are similar or different, is of prominence in the implementation of organizational practices. At the cross-cultural interfaces, the amount of national cultural distance could be expected to have an influence on the hybridization of HRM, making its flow easier or more difficult. For example, a recent study revealed that the transfer of HRM practices from the parent company to its overseas subsidiary is easier, as the national cultural distance is lesser (Liu, 2004). On the other hand, we could expect that as the national cultural distance increases, an MNC will be more likely to have a hybrid HRM, since it will be difficult either to localize or globalize the practice, but try to complement each other by finding a middle road.

Hypothesis 6: There will be a positive relationship between the hybridity of HRM practices and the cultural distance between home- and host- country of the organization employees are working. That is, as the cultural distance between the culture of the local employees and of the home country of MNCs increases, HRM practices will be perceived as more hybrid by those employees.

5.3.3 Headquarters Control: Headquarters-to-Subsidiary Flow

Within MNCs, practices in a subsidiary found to be influenced by such factors as the number of the expatriates, the communication frequency between headquarters and the subsidiary, the dependence on the local sources, and the dependence on headquarters, all of which constitute the headquarters-to-subsidiary flow (Rosenzweig & Nohria, 1994; Demir, 2005). The expatriates in the subsidiaries act as the carriers of the home country culture or management to the subsidiaries and are more likely to lead subsidiaries to apply the home-country HRM practices (Tayeb, 1998). Similarly, the higher reliance on the parent company in terms of managerial and technical know-how and low reliance on local resources will result in more convergent HRM practices (Demir, 2005). Existing literature also reveals that the more dependent a subsidiary on the resources of the parent company, the more likely it is that headquarters will push for standardization (Silverthorne, 2005). Hence it is proposed that as the headquarters-to-subsidiary flow is high, the practices will resemble to the home-country HRM practices.

Hypothesis 7: There will be a positive relationship between the convergence of HRM practices and the headquarters-to-subsidiary flow. That is, as the control of headquarters over the subsidiaries increases, HRM practices will be perceived more so-called Western rather than hybrid.

5.4 Model 1: The Outcomes of the Discrepancy between Preferred and Actual HRM

If the gap between the preferences of HRM choices by employees and actual HRM policies and practices currently used by the company can be minimised, then the company can raise commitment and job satisfaction levels for employees. (Sparrow & Wu, 1998, p.53)

The HRM practices that are perceived by employees to be applied in the organizations (actual, descriptive HRM) and the HRM practices that are preferred (prescriptive HRM), and the discrepancy between the two are expected to increase our understanding of HRM at the cross cultural interfaces. A model is proposed here in which it is asserted that the discrepancy between what HRM practices people prefer in their organization (i.e., preferred HRM) and what HRM practices they perceive implemented in their organization (i.e., actual HRM) will lead to negative employee attitudes. However, the link between these variables is also expected not to be direct, but through individuals' perception of the organizational practices, since the impact of HRM practices on certain individual or organizational level outcomes is argued to be indirect (Ferris et al., 1998; Ordiz & Fernández, 2005).

Firstly, the discrepancy between the employees' perceptions of what they would like to see in their organizations in contrast to what they actually saw with regard to the implementation of HRM policies and practices would have a direct relationship of the perceived appropriateness and effectiveness of HRM. It is hypothesized that as the discrepancy between the preferred and actual HRM increases, it is also going to be perceived less appropriate and effective. This, in turn, will lead to negative employee attitudes such as higher turnover intention and lower OC through the perceived PO Fit.

The perception of local employees with regard to the amount of change in the 'local' preferred HRM practices might have an effect on their perception about the appropriateness and effectiveness of these practices. Literature also shows that MNCs should tailor at least some aspects of their HRM practices to the needs and wants of their local employees to increase loyalty and decrease turnover of the employees (Gomez-Mejia, Balkin, & Cardy, 2001; Orlando & Johnson, 2004). If they perceive a greater change in the practice than they were used to or than they prefer, the compatibility of the practice with their values about what is a 'good' or 'right' practice might be at stake, and there will be misfit between values held by the individuals regarding a 'should' practice and the 'as is' practice.

HRM practices which are aligned with cultural values people hold can create an organizational environment with positive employee attitudes and responses (Aumann & Ostroff, 2006). That is, HRM practices have a strong impact on individuals' perceptions, attitudes and behaviors, and can also lead to productive, satisfied, motivated, and loyal employees. Moreover, HRM practices are also believed to influence PO Fit (Aumann & Ostroff, 2006). PO fit is also identified as the level at which the employees' needs and preferences are satisfied by the organization (Cable & Judge, 1994; Silverthorne, 2005). Hence, the discrepancy between employees' preferences and actual organizational practices will create certain perceptions about the organizational practices (i.e., their appropriateness and effectiveness), and, in turn, will determine the perceived PO fit. In turn, PO Fit usually leads to positive individual attitudes and outcomes (Schneider, Goldstein & Smith, 1995; Aumann & Ostroff, 2006). When HRM practices signal values that are consistent with those of individuals, it results in more favorable individual responses. A vast majority of research

revealed that a match between the characteristics of an individual and those of an organization result in more positive individual attitudes and behaviors than a mismatch (Erez & Earley, 1993; Aumann & Ostroff, 2006).

Overall, the model presented here asserts that when there is a mismatch between organizational and individual value systems and expectations with regard to HRM, employees are expected to perceive these practices less effective and appropriate. This, in turn, is expected to influence the value congruence between employees and organizations, PO Fit. If their perception of organizational policies and practices does not reflect what they prefer, then this will result in the perception of incongruence between individuals and their organization. Moreover, the emotional bond, link between an employee and the organization is called affective commitment. Since this linkage between the employee and the organization is characterized by the common values for the person and the organization, and fulfillment of the employee's needs and expectations by the organization (Felfe, Yan & Six, 2008), the fit between them (i.e., PO Fit) is expected to influence the relationship between the employee's commitment level after forming their perception of the organizational policies and practices (i.e., the appropriateness and effectiveness of HRM). Hence, it is expected that the lower discrepancy (match) between the actual (reflecting organizational values conveyed by implemented HRM practices) and the preferred HRM (reflecting individual's values) will lead to positive work attitudes and behaviors as well as perceptions of the fit between the organization and himself/herself.

Hypothesis 8a: There will be a negative relationship between the discrepant HRM practices and the appropriateness of HRM. That is, as the discrepancy between actual and preferred HRM increases, these practices tend to be perceived less appropriate.

Hypothesis 8b: There will be a negative relationship between the discrepant HRM practices and effectiveness of HRM. That is, as the discrepancy between actual and preferred HRM increases, these practices tend to be perceived less effective.

Hypothesis 9: The PO Fit will mediate the relationship between the perceived appropriateness and effectiveness of HRM and employee attitudes of OC and turnover intention.

Hypothesis 9a: There will be a positive relationship between the perceived appropriateness of HRM and PO Fit.

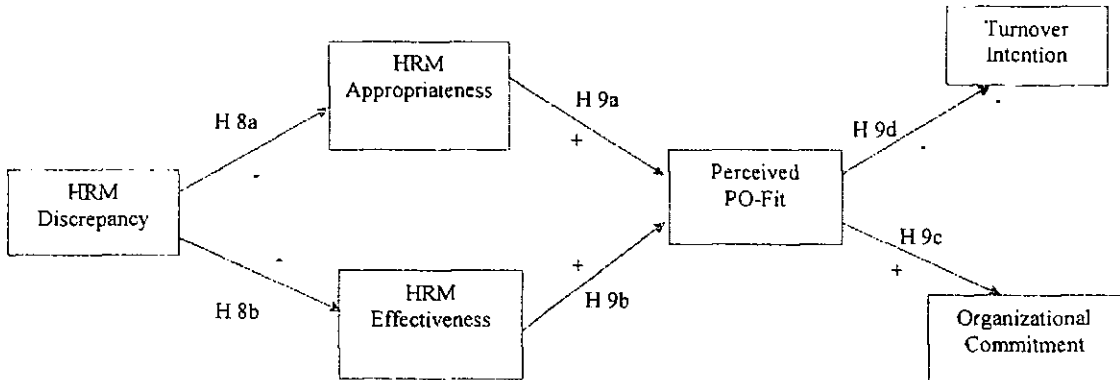
Hypothesis 9b: There will be a positive relationship between the perceived effectiveness of HRM and PO Fit.

Hypothesis 9c: There will be a positive relationship between PO Fit and OC.

Hypothesis 9d: There will be a negative relationship between PO Fit and turnover intention.

All the hypothesized relationships are incorporated into a model as below (see Figure 5.1).

Figure 5.1 Hypothesized relationships of discrepant HRM (Model 1)



5.5 Model 2: The Outcomes of Perceived HRM Hybridity

Understanding what happens at the end of the implementation of (hybrid) HRM practices is important. However, the biggest dilemma is whether appropriateness and effectiveness are really two different constructs easily distinguishable or whether they are overlapping. A practice thought to be effective in terms of increasing employees' productivity could be perceived as a totally inappropriate conduct by the employees, especially in the context of DCEEs. Hence, could we easily differentiate what is effective and what is appropriate HRM? Therefore, these concepts of appropriateness and effectiveness might be intertwined, overlapping and should be clarified. Hence not only does the second model show the relationship between HRM hybridity and its outcomes in terms of appropriateness, effectiveness, and further employee attitudes, but also it conceptualizes and further tests the constructs of appropriateness and effectiveness more thoroughly.

5.5.1 Conceptualization of Appropriateness and Effectiveness

What may be commonplace and quite legal in one country oftentimes is considered illegal or unethical in another (Blodgett, Lu, Rose, & Vitell, 2001, p. 190).

Human resource practices that are illegal in the United States may be the cultural norm in other cultures (Silverthorne, 2005, p. 254).

At this point in globalization, the core question is whether a practice could be appropriate for one, but ineffective for another organization. For example, as an HRM practice, the use of graphology, astrology, and numerology are still widely used in France in employee selection (Ryan et al., 1999; Bradley, 2005). Wide usage of this method of analyzing personality of potential recruits on the basis of their handwriting might indicate its effectiveness for the organization, but at the same time it arises the question of its appropriateness (i.e., a selection tool as an unethical and discriminatory practice). Or, promoting a relatively young high-performer employee as a supervisor rather than promoting a senior moderate performing staff may be an effective decision for the organization, but not an appropriate decision for the employee. This is why in this study, appropriateness and effectiveness, as two different latent variables, were conceptualized differently and further tested through using structural equation modeling (SEM) to confirm these conceptualizations empirically. To my best knowledge, no other researchers have conceptualized both the appropriateness and effectiveness of the transfer of HRM practices.

5.5.1.1 Appropriateness of HRM: Being Ethical and Meeting Expectations

...we should also consider the ethical aspect of the transfer of management practices to the developing countries- their appropriateness. (Aycan, 2008)

To recap, the construct of management ethics in the literature is about what is considered to be *appropriate* or right conduct in organizations in accordance with general ethical standards (Hosmer, 2006; Christie et al., 2003, emphasize added). In addition, a specific HRM practice consistent with people's values and expectations would be perceived as an appropriate conduct. Hence, it is vital to understand the way managers from different countries perceive decisions, or practices, appropriate and/or ethical or inappropriate and/or unethical (Jackson et al., 2000). For example, laying off considerable number of employees in a subsidiary of a MNC or assigning an expatriate as a supervisor rather than promoting a local staff within organization may be judged differently from culture to culture.

Furthermore, management practices that are inconsistent with the expectations of individuals might reflect inappropriateness perception of individuals. The theory of met expectations proposes that "the more congruent an individual's expectations are with the individual's reality once on the job, the greater the individual's satisfaction and adjustment" (Caligiuri et al., 2001, p. 359). This theory in an organizational context has been first defined by Porter and Steers (1973, cited in Caligiuri et al., 2001). They asserted that only the expectations about the important aspects of the organization or job have relevancy to the Met Expectation hypotheses. Although this theory has mostly been applied in the context of understanding the effectiveness of new recruitment in the organization, it can be useful

when employees experience new or ambiguous settings such as expatriate assignments or mergers and acquisitions (Caligiuri et al., 2001).

- Researchers who linked HRM to culture agree that HRM practices should reflect the cultural values embedded in a society (Chang, 2006). For example, some compensation practice studies assert that people are more concerned about interpersonal relationships, group harmony rather than the status or the individual reward in collectivistic societies such as Turkey and Korea (Chang, 2006; Aycan, 2006; Aycan et al., 2007). In accordance with this, people from collectivist countries prefer more pay allocations based on equality rule (vs. equity rule), which points to the individuals' desire to ensure interpersonal harmony in the organizations rather than differentiation in individual pay and reward (Bond, Leung, & Wan, 1982; Chang, 2006). Hence, the traditional compensation practice is characterized as seniority based reflecting these cultural values (Bae, 1997; Chang, 2006). In these societies, employees develop *expectations* that their compensation would be largely determined by seniority.

Consequently, if a MNC insists on individual performance pay, which is an inappropriate practice in that context, these expectations may lead to unmet expectations (Chang, 2006). For example, literature revealed that expected promotions are related to the employee commitment to the firm (Gaertner & Nollan 1989; Horgan, 2003). In that way employee feel that his efforts at work are appreciated. Horgan (2003) argues that the link between the OC and the HRM implementation in line with the employee expectation might be reinforced when employees perceive that the results (e.g., distribution of rewards) appear

fair and right. In other case, employee might develop certain doubts about the trustworthiness and fairness of the organization (Horgan, 2003).

Hypothesis 10a: The appropriateness of HRM practices is expected to be conceptualized as its perceived ethicality and whether they meet employees' expectations or not.

5.5.1.2 Effectiveness of HRM: Perceiving Effective and Feeling Satisfaction

To recap, effectiveness is a multidimensional construct, while addressing multiple criteria in its definition (Ferris et al., 1998). In this study, HRM effectiveness, operationally, is believed to be defined in two ways. Firstly, in the literature, asking individuals directly whether they perceive certain practices effective or ineffective (Ferris et al., 1998; Mahoney, 1967) is one of the most widespread measure of the effectiveness. Secondly, from the part of the employees, HRM effectiveness is defined as HRM satisfaction with various HR activities (Richard & Johnson, 2004; Chang, 2005). This is in line with the human relations approach in the literature that focuses on the people and that upholds the satisfaction of employees' needs as the most important end result (Argyris, 1964; cited in Ahmed, 1999).

Hypothesis 10b: The effectiveness of HRM practices is expected to be conceptualized as employee satisfaction with HRM and the perceived effectiveness.

5.5.2 The Model of Perceived HRM Hybridity and Its Outcomes

To attain organizational effectiveness and competitiveness, HRM is crucial. Hence, at the cross cultural interfaces, where individuals from different cultures with distinct values interact, better understanding of its implementation as well as its outcomes is of prominence.

Among the limited number of empirical studies about the hybrid HRM practices, Farley and colleagues (2004) examined the key HRM policies of US, Japanese, and German subsidiaries operating in China. Their study revealed that a clear mixture of HRM practices that form a hybrid HRM model appears to be emerging in these subsidiaries. While discussing about HRM practices of Western MNCs in China, Warner (2004) also concluded that “Whether the partners have been Western or East Asian, we can see that there have often been common problems in the people-management domain.” (p. 633). Hence, it would be the best way to find a way in between, which is hybridization, to combine the most effective and appropriate parts of Western and non-Western management styles and to relieve the weaknesses of each of them through combining the best parts.

Hypothesis 11a: There will be a positive relationship between the hybridity of HRM and its appropriateness. As HRM practices are perceived as hybrid, they will also be perceived as more appropriate.

Hypothesis 11b: There will be a positive relationship between the hybridity of HRM and its effectiveness. As HRM practices are perceived as hybrid, they will also be perceived as more effective.

Lastly, employees' positive attitudes towards their organization such as high OC and low turnover intention are more likely to be influenced by their perceptions of HRM practices, since these practices might signal organizational concern or lack of it (e.g., Fischer, 2006, 2008; Fischer et al., 2007; Iles, Mabey & Robertson, 1990). Hence, employees, who feel that their organization's HRM practices are not acceptable, right, or ineffective, may develop negative employee attitudes such as higher turnover intention, lower OC.

Hypothesis 12a: There will be a positive relationship between the appropriateness of HRM practices and OC.

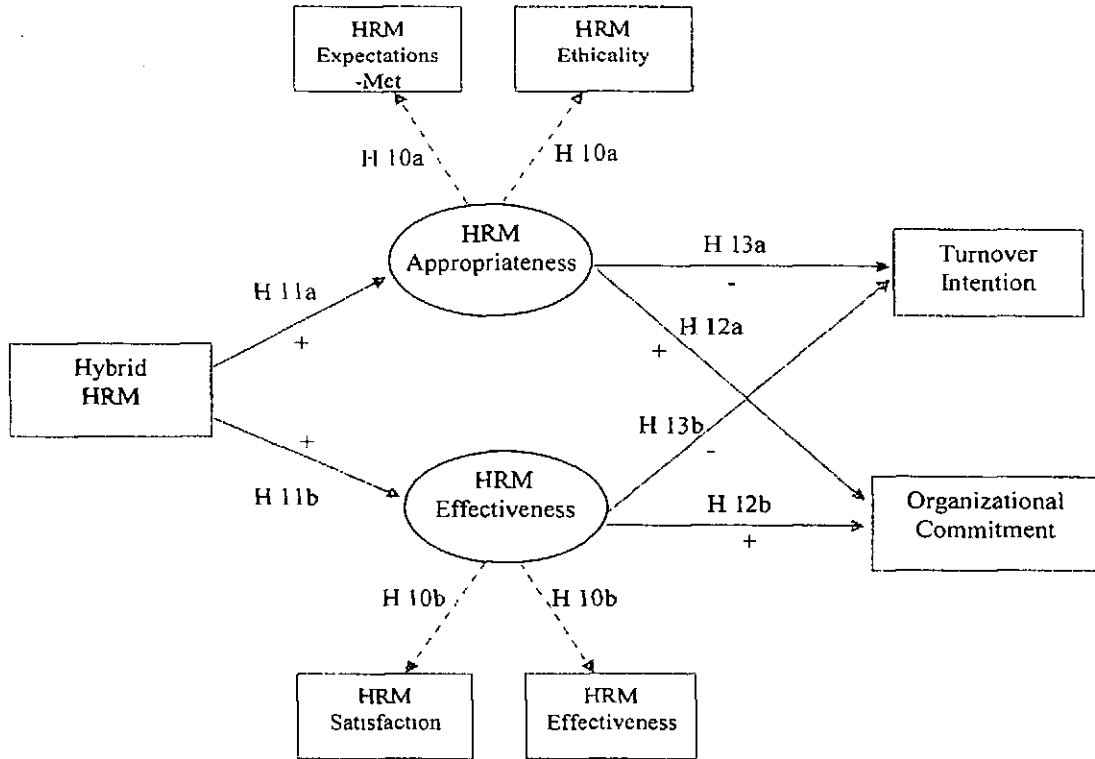
Hypothesis 12b: There will be a positive relationship between the effectiveness of HRM practices and OC.

Hypothesis 13a: There will be a negative relationship between the appropriateness of HRM practices and turnover intention.

Hypothesis 13b: There will be a negative relationship between the effectiveness of HRM practices and turnover intention.

All the hypothesized relationships described in this section are incorporated into a model as below (see Figure 5.2).

Figure 5.2 Hypothesized relationships of hybrid HRM (Model 2)



5.6 Understanding Individuals' Perception of Ethically Controversial Practices

Large global companies such as Enron, in the past several years, have experienced lots of apparent ethical violations of their workers such as fabricated statements of corporate profits, improper concealments of corporate debts, unauthorized payments to senior executives, and so on (Bartels, Harrick, Martell, & Strickland, 1998; Hosmer, 2006). Moral problems in business are complex and difficult to resolve, since these problems involve some individuals being hurt or harmed and/or having their rights ignored or denied, while others being benefited or helped and/or having their rights recognized and extended (Hosmer, 2006). Hence, it is very difficult to decide what is right, just or fair in a moral

problem. Right, just, and fair are moral terms expressing a judgment about morally correctness of our behaviors towards other people and forming our moral standards of our behaviors. The dilemma here is that moral standards are not objective, but subjective and personal. 'They vary by individuals, by groups, by religion, by culture, and by time.' (Hosmer, 2006, p. 5) Moral standards of people differ, since they depend on their beliefs, goals, values, and norms which in turn depend on their cultural, economic, and social background (Donaldson, 2001; Hosmer, 2006). People regard some practices as desirable, appropriate, or unacceptable as they fit or misfit with the values they hold (Donaldson, 2001).

Ethical duties, in general, refer to the one's obligations to other members of his/her society such as not to cheat each other, not to steal (Hosmer, 2006). However, it is very tricky and a real dilemma to define ethical behavior in a cross-cultural setting, since individuals even in the same cultural context interpret morality differently (Solomon, 1996).

Despite the existence of growing interest on cultural differences in management ethics, there is a lack of literature on national differences in ethical attitudes which may be attributed to the differences in underlying cultural values that people from various nations hold (Jackson, 2001). A current study assessing the ethical attitudes of managers across 10-nations supported that the ethical attitudes vary among national groups (Jackson, 2001). However, Jackson (2001) also argues that research exploring how ethical managers are, should move away from comparing countries, and move towards understanding the cultural differences in the ways the ethical content of a decision or a practice are perceived. Culture "affects numerous elements of the decision making process in situations involving ethical

issues – for example, whether or not an ethical problem is even perceived by a decision maker.” (Vitell & Hidalgo, 2006, p. 32)

Not only do cross-cultural differences exist in the content of ethical judgments but also the ways ethical judgments, the structure of ethical judgments, are made (Jackson et al., 2000). Jackson and colleagues (2000) found that managers not only showed variations in the content of ethicality, but also in its structure. For example, managers from Anglo countries, America, and Australia, while judging whether a decision is ethical, look more to the consequential criteria (e.g., whether the consequences of their decisions have a result good for themselves and/or for their organizations). Asiatic Russian managers look more to deontological considerations, taking into account the ‘universal’ explicit or implicit moral principles independent of the results of a decision. The differences found in decision criteria may indicate that managers are not influenced in their decision by the organizational codes of ethics (Jackson et al., 2000). Hence, which HRM practice is appropriate, ethical would be judged differently by individuals of different cultural heritage independent from the organizational impositions about an appropriate practice. However, empirical research examining the relationship between culture and ethical decision-making is sparse (Beekun, Stedham & Yamamura, 2003).

A number of factors that may have an influence on a manager’s decision when confronted with ethical dilemmas are suggested in the ethics literature (Wiley, 2000; McNett & Sondergaard, 2004). Not only the individuals’ own values but also the organizational level factors such as corporate policy and organizational climate affect the ethical decision making process of managers and professionals (Wiley, 2000). In a survey

of managers to determine the factors encouraging the unethical behavior among managers, factors like the individuals' own professional values, attitudes, or behaviors of senior management, and of immediate supervisor were found to be prominent (Wiley, 1993). This is consistent with the studies in the literature where the immediate supervisors are identified as the primary influence on ethical behavior (Wiley, 2000). Another finding of this survey also revealed that almost all of these managers indicated 'home' as the first and main place to learn about ethical values that help them in everyday ethical decision making process, while professional organization is ranked as the fourth place (Wiley, 2000).

The important point worth to mention is that even though all of the limited number of cross cultural studies on ethical attitudes and ethical behavior in the literature recognize the influence of national culture on one's ethical attitude and behavior, these studies are descriptive in nature rather than explaining how culture have an influence. Moreover, almost all of the studies in the literature examine the managers' ethical attitudes or decision making processes, but not of the employees. Employees might have totally different way of understanding of appropriate or ethical practice, because of their own backgrounds, relationships, values, and so on. Hence, this study is also expected to contribute to literature by understanding the employees' perceptions with regard to appropriate HRM as an outcome of hybridization process.

At the individual level, individuals make different moral judgments about an issue depending on their level of cognitive moral development, since people focus on different outcomes (e.g., external reward and punishment vs. the expectations of relevant others such as family) at the different levels (Kohlberg, 1969; Longenecker, Moore, Petty, Palich &

McKinney, 2006; Su, Sirgy & Littlefield, 2003). Alternatively, individuals' ethical ideologies of idealism and relativism could be important individual level variable, since the standards applied to ethical judgments depend on the ethical ideology of the individuals (Forsyth, 1980, Kleiser, Sivadas, Kellaris & Dahlstrom, 2003). Individual differences in ethical judgment are believed to operate through ethical ideologies (Kleiser et al., 2003). This describes variation in moral thoughts and ethical reasoning at the individual level and further influences the rating of ethically controversial practices, and how individuals respond to ethical dilemmas (O'Higgins & Kelleher, 2005). Forsyth (1980) suggested two factors to describe the differences in moral thought. While relativism assumes that individuals reject to rely on universal moral rules when drawing conclusions about ethically controversial questions, idealism stands for the belief in and the use of moral absolutes when making moral judgments (Forsyth, 1980; Davis, Johnson & Ohmer, 1998; Vitell & Hidalgo, 2006). Relativism asserts that there is no universal rule that applies to everyone and ethicality is a function of a culture or individual (Hansen, 1992; Reidenbach & Robin, 1990).

Hypothesis 14: Cultural values people hold will predict the perceived ethicality of ethically controversial HRM practices.

Hypothesis 14a: Employees high on power distance will perceive these practices more ethical.

Hypothesis 14b: Employees high on fatalism will perceive ethically controversial practices more ethical.

Hypothesis 14c: Employees high on collectivism will perceive ethically controversial practices more ethical.

Hypothesis 15: Ethical ideologies people hold will predict the perceived ethicality of ethically controversial HRM practices.

Hypothesis 15a: Employees high on idealism will perceive ethically controversial practices less ethical.

Hypothesis 15b: Employees high on relativism will perceive ethically controversial practices more ethical.

Table 5.1 summarizes all the hypotheses.

Chapter 5: Research Hypotheses

Table 5.1 Summary table for the hypotheses

Hypothesis #	Hypothesized Relationships
1	There will be a positive relationship between collectivism and preference for group-oriented HRM. That is, employees scoring high on collectivism are expected to prefer more group-oriented HRM.
2	There will be a positive relationship between power distance and preference for hierarchy-oriented HRM. That is, employees scoring high on power distance are expected to prefer more hierarchy-oriented HRM.
3	There will be a positive relationship between fatalism and preference for informal and loose HRM. That is, employees scoring high on fatalism are expected to prefer more informal and loose HRM.
4a	There will be a negative relationship between size of the organizations and implementation of informal and loose HRM. That is, employees working in smaller organizations are expected to perceive their organization as engaged in more informal and loose HRM.
4b	There will be a negative relationship between size of the organizations and implementation of group-oriented HRM. That is, employees working in smaller organizations are expected to perceive their organization as engaged in more group-oriented HRM.
5	Employees working in service sector organizations expected to perceive their organization as engaged in more informal and loose HRM.
6	There will be a positive relationship between the hybridity of HRM practices and the cultural distance between home- and host- country of the organization employees are working. That is, as the cultural distance between the culture of the local employees and of the home country of MNCs increases, HRM practices will be perceived as more hybrid by those employees.
7	There will be a positive relationship between the convergence of HRM practices and the headquarters-to-subsiary flow. That is, as the control of headquarters over the subsidiaries increases, HRM practices will be perceived more so-called Western rather than hybrid.
8a	There will be a negative relationship between the discrepant HRM practices and the appropriateness of HRM. That is, as the discrepancy between actual and preferred HRM increases, these practices tend to be perceived less appropriate.
8b	There will be a negative relationship between the discrepant HRM practices and effectiveness of HRM. That is, as the discrepancy between actual and preferred HRM increases, these practices tend to be perceived less effective.
9	<i>The PO Fit will mediate the relationship between the perceived appropriateness and effectiveness of HRM and employee attitudes of OC and turnover intention.</i>
9a	There will be a positive relationship between the perceived appropriateness of HRM and PO Fit.
9b	There will be a positive relationship between the perceived effectiveness of HRM and PO Fit.
9c	There will be a positive relationship between PO Fit and OC.
9d	There will be a negative relationship between PO Fit and turnover intention.

Chapter 5: Research Hypotheses

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- 10a The appropriateness of HRM practices is expected to be conceptualized as its perceived ethicality and whether they meet employees' expectations or not.
- 10b The effectiveness of HRM practices is expected to be conceptualized as employee satisfaction with HRM and the perceived effectiveness.
- 11a There will be a positive relationship between the hybridity of HRM and its appropriateness. As HRM practices are perceived as hybrid, they will also be perceived as more appropriate.
- 11b There will be a positive relationship between the hybridity of HRM and its effectiveness. As HRM practices are perceived as hybrid, they will also be perceived as more effective.
- 12a There will be a positive relationship between the appropriateness of HRM practices and OC.
- 12b There will be a positive relationship between the effectiveness of HRM practices and OC.
- 13a There will be a negative relationship between the appropriateness of HRM practices and turnover intention.
- 13b There will be a negative relationship between the effectiveness of HRM practices and turnover intention.
- 14 *Cultural values people hold will predict the perceived ethicality of ethically controversial HRM practices.*
- 14a Employees high on power distance will perceive these practices as more ethical.
- 14b Employees high on fatalism will perceive ethically controversial practices as more ethical.
- 14c Employees high on collectivism will perceive ethically controversial practices as more ethical.
- 15 *Ethical ideologies people hold will predict the perceived ethicality of ethically controversial HRM practices.*
- 15a Employees high on idealism will perceive ethically controversial practices less ethical.
- 15b Employees high on relativism will perceive ethically controversial practices more ethical.
-

PART 3: RESEARCH METHODOLOGY

Chapter 6

RESEARCH METHODOLOGY

6.1 Introduction

Weick (1979; cited in Shah & Korley, 2006) uses a simple framework for assessing theory along three dimensions, which results in some trade-offs. These dimensions that characterize a theory can be listed as:

- *simplicity*, that is the degree to which the understanding or application is easy
- *accuracy*, that is the level of conformity to the truth
- *generalizability*, that is the level of extension to the other domains

In theory building, while qualitative research is often accurate and potentially generalizable, but often very complex; large-scale quantitative studies are classified as often simple and generalizable, but inaccurate (Shah & Korley, 2006). Then, any data collection method either qualitative (e.g., observations) or quantitative (e.g., cross-sectional surveys) results in trade-offs in the theory's simplicity, accuracy and generalizability (Shah & Korley, 2006). Hence, the solution is "not to search for a method that combines all three elements (accuracy, generalizability, and simplicity) but to build theory by alternating among sets of data that provide one or more of these elements or by incorporating complementary research conducted by others". (p. 1831). Hence, a mixed research

combining qualitative and quantitative ones, that the present study adopts, is suggested as the solution to contribute to the development of theory.

The present study, by applying *concurrent mixed methods study*, aims at answering two different questions. First aim is to understand the “what” question. For example, what happens to HRM at the cross cultural interfaces? What is the perception of employees regarding the degree of HRM hybridization and what are the outcomes of this perceived hybridization in terms of their appropriateness (i.e., HRM ethicality, met expectations) and effectiveness (i.e., HRM satisfaction, perceived effectiveness)? In the literature, mainly on the basis of case studies and qualitative data, the hybridization of management practices has been found (e.g., Shimoni & Bergmann, 2006; Becker-Ritterspach, 2009). The separate effect of culture and institutional variables on the transfer of HRM practices were also established. However, this study applies an interactionist approach to a multicultural organizational setting by putting the relationships among these various variables into a model. This study investigates values, attitudes, and perceptions of individuals, the assessment of which is more likely to rely on a quantitative methodology (i.e., questionnaires). Hence, to answer the “what” question, a quantitative methodology is adopted.

This research also aims at answering “how” and “why” questions. For example, why does this HRM hybridization occur? How is the process? Qualitative methods are the most appropriate ones when the questions being asked “pose puzzles that are difficult, if not impossible, to address using conventional research approaches” (Frankel & Devers, 2000a, p. 253). Since one of the research objectives is to identify the *process* of hybridization of

HRM practices, which is an unexplored or under-researched phenomenon of which the theory did not suffice, a qualitative research is appropriate. Researchers pursue qualitative research in certain areas where the existing theoretical and substantive literature does not adequately capture (Frankel & Devers, 2000b).

...Cross-cultural study appears to be imprisoned by its own self-produced Plato's cave. Cross-cultural researchers are shackled to the walls of a psychic prison by their methodological, epistemological, and ontological assumptions. Their interpretation of the shadows on the wall of their cave dwelling reflects a Western philosophical inheritance of Enlightenment, rationalism and logical empiricism. They are trapped in this prison that is formed from a Western cultural and philosophical inheritance... (Lowe, 2002, p. 23)

The present study hence employs a mixed research approach due to the different nature of research questions tackled, with a pragmatic research philosophy. In the literature, the use of combined research methods, by holding *a mixed research paradigm*, is promoted to gain from both qualitative and quantitative data collection methods (Meredith, 1998) and especially avoid feeling trapped in such aforementioned caves. Such an approach allows that the problems of each individual method could be overcome and potential problems likely to arise from each method could be avoided. Without thinking in the limits of that psychic cave, the present study adopts such a combined methodology with the aim of better understanding the hybridization process of HRM in non-Western developing countries and its outcomes by collecting different forms of data at the same time during the study (Creswell, 2008).

In the following sections, the focus is specifically on the research methodology deployed in the present study. The chapter firstly discusses the research paradigms and broad research philosophies underlying these paradigms to increase our understanding of

the context of this study. This chapter continues with discussing the various research strategies, outlining the research design and data collection methods used in the present study.

6.2 Research Paradigm

Research paradigm is “a set of beliefs, values, and assumptions that a community of researchers has in common regarding the nature and conduct of research... a research paradigm refers to a research culture” (Johnson & Onwuegbuzie, 2004, p. 24). Paradigm is a central concept in social science research methodology and has various meanings and usages (Morgan, 2007). Morgan (2007) summarizes four common definitions of paradigms, from more general to specific ones: paradigms as worldviews, as epistemological stances, as shared beliefs in a research field, and as model examples. As the most general version, paradigms are characterized as the worldviews or all-embracing perspectives on the world, where what is included in that worldview gains importance (Morgan, 2007). This worldview shapes the researcher’s decisions regarding what to study and how to study. The second version of paradigms considers the best known epistemological stances such as positivism and interpretivism as “distinctive belief systems that influence how research questions are asked and answered, and takes a narrower approach by concentrating on one’s worldviews about issues within the philosophy of knowledge.” (Morgan, 2007, p. 52) In that approach, the nature of knowledge and knowing is assumed as the natural component of research. Third version of paradigms accepts paradigm as the shared of beliefs in a research community regarding the nature of the questions and their answers. The last, and

the least general, version of paradigms treats the paradigms “as model examples that serve as “exemplars” for how research is done in a given field. (p. 53). Morgan (2007) further argues that these different paradigm concepts are not mutually exclusive, but nested within each other, and none of these paradigm concepts is either right or wrong.

Johnson and Onwuegbuzie (2004) further argue that there is a trilogy of major research paradigms, which are qualitative, quantitative, and mixed methods research. In the following sections, these paradigms will be explained in detail, starting with the underlying research philosophies: positivism, interpretivism and pragmatism, respectively.

6.3 Research Philosophies: Positivism, Interpretivism and Pragmatism

The differences in ontological (i.e., about the nature of the social world) and epistemological (i.e., about the nature of warranted social knowledge) assumptions, explaining different perspectives, conflicting theories, and contradictory findings in social and organizational research have always been the concern of social scientists (Schultze & Leidner, 2002), since a social science methodology is based on these philosophical issues (Greene, 2006).

Positivism and interpretivism are arguably two main research philosophies (Burrell & Morgan, 1979; Johnson & Onwuegbuzie, 2004). Table 6.1 summarizes the main differences of these two research philosophies. These philosophies essentially differ on core ontological assumptions about the essence of the phenomena under study, their epistemology (i.e., the grounds of knowledge), and their methodology (Schultze & Leidner, 2002; Weber, 2004). Positivists, briefly, believe that human experience of the world reflects

an objective and independent reality providing the foundation for human knowledge (Schultze & Leidner, 2002; Weber, 2004) and the objects under research have qualities existing independent of the researcher (Johnson & Onwuegbuzie, 2004; Weber, 2004). Hence, the researcher has to eliminate his biases and remain “rhetorically neutral” while establishing and describing social laws (Johnson & Onwuegbuzie, 2004). Accepted approach in positivism is to start with a theory and to test, verify or refine it (Creswell, 2008). In accordance with that focus, as a research strategy, positivists tend to use quantitative research methods such as laboratory experiments, surveys through which they obtain large amounts of empirical data and analyze them statistically and the data collected are considered as valid since they are true measures of the reality (Weber, 2004).

On the other hand, interpretivists assert that the knowledge, that is built by themselves through social construction of the world, reflects their particular goals, culture, values, experience and so on (Schultze & Leidner, 2002; Weber, 2004). Since the research is value-bound, to differentiate fully the causes and effects is impossible, and, accordingly, generalizations, which are time- and context-free, cannot be produced (Johnson & Onwuegbuzie, 2004). For interpretivists, the knower and the known cannot be separated, and there is a mutual influence between the researcher and the objects they research, which makes them highly interdependent (Johnson & Onwuegbuzie, 2004; Weber, 2004). The accepted approach in interpretivism is inductive, creating meaning, explanations and generating theory on the basis of the data collected, logic flowing from specific to general (Creswell, 2008; Johnson & Onwuegbuzie, 2004). As a research strategy, hence, interpretivists tend to use qualitative research methods such as case studies, ethnographic

studies, since they are more concerned with the plausible and reasonable claims (Creswell, 2008).

Table 6.1 Comparison of positivism and interpretivism (Source: Jorgen Sandberg's class notes; cited in Weber, 2004)

Metatheoretical Assumptions About	Positivism	Interpretivism
<i>Ontology</i>	Person (researcher) and reality are separate	Person (researcher) and reality are inseparable (life-world)
<i>Epistemology</i>	Objective reality exists beyond the human mind	Knowledge of the world is intentionally constituted through a person's lived experience
<i>Research Object</i>	Research object has inherent qualities that exist independently of the researcher	Research object is interpreted in light of meaning structure of person's (researcher's) lived experience
<i>Method</i>	Statistics, content analysis	Hermeneutics, phenomenology, etc.
<i>Theory of Truth</i>	Correspondence theory of truth: on-to-one mapping between research statements and reality	Truth as intentional fulfillment: interpretations of research object match lived experience of object
<i>Validity</i>	Certainty: data truly measures reality	Defensible knowledge claims
<i>Reliability</i>	Replicability: research results can be reproduced	Interpretive awareness: researchers recognize and address implications of their subjectivity

There has been an ardent argument between the advocates of qualitative and quantitative research paradigms and this arguments lead to the emergence of purists on the both sides (Johnson & Onwuegbuzie, 2004). The link between epistemological assumptions and research strategy demonstrates that while quantitative research can be construed as a research strategy incorporating the practices and norms of positivism, qualitative research can be construed as a research strategy emphasizing the practices and norms of

interpretivism (Bryman & Bell, 2003). Hence, while a positivist philosophy dominates the assumptions of quantitative purists, an interpretivist one dominates qualitative purists (Johnson & Onwuegbuzie, 2004). Subsequently, while the positivistic methodology focuses on objective, quantifiable information based on experimentation and scientific findings, the interpretive methodology tries to understand a lived experience process with qualitative data (Schultze & Leidner, 2002).

The debates on both epistemology and ontology are argued to create an unavoidable choice between either an interpretivist or positivist philosophy (Saunders, Lewis & Thornhill, 2006). However, the pragmatic approach is more likely to be adopted when the prevalent thinking is that it is unrealistic to make a choice between one position or another. Pragmatism rejects this either-or choice between positivism and interpretivism, in order to capture “what it works” (Tashakkori & Teddlie, 1998; Creswell & Clark, 2007). Hence, “workability” is emphasized as the core tenant of pragmatism (Morgan, 2007).

The pragmatic model, firstly, introduced the idea that there is “no single homogenous body of scientific knowledge” and “that scientific knowledge is fragmented and contradictory” (Morgan, 2007, p. 608). This multi-paradigmatic view, hence, questioned the orthodoxy that represents the one true science.

Pragmatism is accepted as “the philosophical partner for mixed methods research” (Johnson & Onwuegbuzie, 2004, p. 16). Pragmatism asserts that “the most important determinant of the research philosophy adopted is the research question- one approach may be ‘better’ than the other for answering particular questions.” (Saunders, Lewis & Thornhill, 2006, p. 12) At the bottom-line, since the research question is highly important, pragmatism

further argues that for answering important research questions in the best way, research approaches should be mixed (Johnson & Onwuegbuzie, 2004). The meaning we attribute to an object or the judgment of ideas then depends on their empirical and practical consequences (Johnson & Onwuegbuzie, 2004). Examining these practical and empirical consequences, eventually, help to decide the next action taken to better understand the real world phenomena. Some philosophical arguments may not lead to practical consequences. For instance, if an ontological position about mind/body problem such as monism (i.e., mind and body are same entity and both subject to physical law) versus dualism (i.e., mind and body are separate) does not have an influence on the way we carry out our research, then for practical purposes this distinction is argued to be not meaningful (ibid.).

Pragmatism, then, frees the researcher from engaging in the futile arguments such as what the truth or reality is (Saunders, Lewis & Thornhill, 2006). Rather, it is asserted that you as a researcher should study “what interests you and is of value to you, study in the different ways in which you deem appropriate, and use the results in ways that can bring about positive consequences within your value system.” (Tashakkori & Teddlie, 1998, p. 30) In accordance, as opposed to treating knowledge and research results as either, specific and context-dependent (i.e., anti-positivist, interpretive), or universal and general (i.e., positivist), pragmatic approach emphasizes the *transferability* of research results and knowledge (Lincoln & Guba, 1985; Morgan, 2007). That is, the extent to which the knowledge gained in one research setting can be applied, transferred or appropriately used in another one.

...To summarize in metaphorical terms, positivism may be viewed as an orchestra. There is one common score, with clear-cut and well-defined roles and expectations for each musician. Anti-positivism might be likened to a solo performer, free to select and interpret a piece of music according to his or her own preferences. Pragmatism, then, is a jazz ensemble, with each performer having a certain amount of freedom within a general but loosely-defined framework... (Goles & Hirschheim, 2000, p. 262)

Since it is possible to work with both philosophies in the pragmatist's view, the use of mixed methods in a single study is argued to be both possible and highly appropriate (Saunders, Lewis & Thornhill, 2006). The following section will involve discussion on two main research strategies (i.e., qualitative and quantitative) and argues for the use for mixed research strategy.

6.4 Not a Qualitative or a Quantitative but a Mixed Research Strategy

...similar phenomena can legitimately be researched in different ways. In other words, there is no one best way to undertake social science research. What is important is what defines the research methodology, and this requires thinking through several fundamental issues with an open mind. (Connell, Lynch & Waring, 2001)

In alignment with the pragmatic paradigm, this research employs mixed methods research to provide a deeper understanding of hybridization process of HRM at the cross cultural interfaces and its perceived outcomes (Tashakkori & Teddlie, 1998).

The key differences between qualitative and quantitative research strategies are summarized under three dimensions. Firstly, while qualitative research is often inductive, in which the qualitative researcher often tries to describe and understand particular situations, experiences, and meanings before developing and/or testing more general theories and explanations; quantitative research, in contrast, tends to employ deductive logic, in which

quantitative researcher often draws heavily on existing theoretical and substantive prior knowledge (Frankel & Devers, 2000b). Secondly, qualitative research designs are often emergent, flexible and quite dynamic. The theory emerges from the data and everything, the researcher and research subjects, their relationship, and the research setting, is subject to development and change. However, this is something unusual and is typically considered undesirable in quantitative research due to its difficulty in predicting and controlling the context to observe variations. Lastly, the qualitative research process is often non-linear or non-sequential. Data collection and analysis often proceed simultaneously. “In light of early findings, subsequent data collection and analysis procedures may be modified to gather more specific information, or explore new and unanticipated areas of interest” (Frankel & Devers, 2000a, p. 254).

Both qualitative and quantitative purists assert that their paradigms are the ideal one for research and advocate that they are incompatible (Johnson & Onwuegbuzie, 2004). Burrell and Morgan (1979) specifically state that paradigms, which are the different ways of conceptualizing knowledge production, are incommensurable. That is, there cannot be a synthesis among the paradigms, since they are discrete and independent. Neither quantitative nor qualitative paradigm, as well as their associated research methods, cannot and should not be mixed (Johnson & Onwuegbuzie, 2004). Each paradigm “must, logically, develop separately, pursuing its own problematic and ignoring those of other paradigms as paradigmatically invalid...” (Jackson & Carter, 2001, p. 606) They are mutually exclusive.

Burrell and Morgan introduced the paradigmatic model and rejected the model accepted in the pre-pragmatic world that characterizes knowledge as either science or non-

science (Jackson & Carter, 2001). In this later model, knowledge could be produced by science that could be factual and objectively true leading to the law-like generalizations about the world. Hence, subjective, non-scientific, knowledge shaped by values, norms and so on, cannot be accepted. Moreover, as opposed to Kuhn's theory of contribution of different paradigms (functionalist vs. interpretive) to a unified body of science (convergence), Burrell and Morgan (1979) showed that "an apparent unity of (social) science is actually characterized by incommensurable diversity, leading not to one homogenous body of science, but to intrinsically different ones (divergence)." (Jackson & Carter, 2001, p. 612)

This argument of incommensurable paradigms, however, constraints the theory development process due to the polarized set of assumptions (such as the polarization of subjective versus objective approaches to social sciences) about science and society (Wilmott, 1993). For instance, the subjective-objective dualism was perceived as "an oversimplified classification of research into irreconcilable opposites such as qualitative versus quantitative research, hypothesis testing versus hypothesis developing, and a practical versus a theoretical focus" (Schultze & Leidner, 2002, p. 215).

Moreover, even though qualitative-quantitative dichotomy appears to represent a clear distinction between these two approaches, the distinction becomes blurred when we examine the criteria implicit in that dichotomy (Hayes, 1997). Several components of the qualitative-quantitative divide identified by Hammersley (1992) are revealed to refer to a range of values, not a simple either-or dichotomy. For instance, regarding qualitative vs. quantitative data, qualitative analysis is argued to be an analysis that does not involve

numbers or counting or any words such as fewer, more, etc., which are about quantifications (Strauss & Corbin, 1990). However, according to Hammersley (1992), since the real issue is not about numbers or words, but about establishing an appropriate level of precision for the data, what appears as a clear dichotomy is indeed a continuum involving the degree of precision that our data express.

Whether the investigation takes place in natural or artificial setting is another meaning of the qualitative-quantitative divide (Hayes, 1997). However, this issue is to do with the control which the researcher has on the data. Hence, research may take place in a natural setting but can be strictly controlled or other way around. So this distinction becomes another range of values, rather than dichotomy. Qualitative research has become related to less control of the researcher at least at the data collection phase, constraining the participants as little as possible. Researchers tend to listen, observe and analyze what research participants can tell them, visually or verbally.

With regard to the focus on meaning rather than behavior, again this dichotomy reveals itself as an indicator of a range of values on the continuum rather than dualism. There can be qualitative studies with the focus and emphasis on understanding behavior rather than meaning or quantitative ones directly concerned with meaning (Hayes, 1997).

The argument against incommensurability also reflects the *logical* necessity of the communication between alternative paradigms in the process of theory development (Wilmott, 1993). Hence in this study, this communication between different paradigms is wanted to be achieved through the use of the mixed methods research paradigm with a pragmatic viewpoint.

Johnson and Onwuegbuzie (2004) define mixed methods research as:

...the class of research where the researcher mixes or combines quantitative and qualitative research techniques, methods, approaches, concepts or language into a single study. Philosophically, it is the “third wave” or third research movement, a movement that moves past the paradigm wars by offering a logical and practical alternative. Philosophically, mixed research makes use of the pragmatic method and system of philosophy. Its logic of inquiry includes the use of induction (or discovery of patterns), deduction (testing theories and hypotheses), and abduction (uncovering and relying on the best of a set of explanations for understanding one’s results). (Johnson & Onwuegbuzie, 2004, p. 17)

The mixed methods research intends to minimize the weaknesses of both qualitative and quantitative research and draw from their strengths, rather than to replace either of them (Johnson & Onwuegbuzie, 2004; Johnson, Onwuegbuzie & Turner, 2007). As the third research paradigm, mixed methods research might help to bridge the schism between qualitative and quantitative paradigms (Onwuegbuzie & Leech, 2005). It is most suitable to study many research questions and combinations of the questions.

Mixed methods research is a research design with philosophical assumptions as well as methods of inquiry. As a methodology, it involves philosophical assumptions that guide the direction of the collection and analysis of data and the mixture of qualitative and quantitative approaches in many phases in the research process. As a method, it focuses on collecting, analyzing, and mixing both qualitative and quantitative data in a single study or series of studies. Its central premise is that the use of quantitative and qualitative approaches in combination provides a better understanding of research problems than either approach alone (Creswell & Clark, 2007, p. 5)

The mixed methods paradigm, however, is “still in its adolescence, and, thus, is still relatively unknown and confusing to many researchers” (Leech & Onwuegbuzie, 2009, p. 265). This further resulted in a plethora of mixed methods research designs. Mainly, there are different types of mixed-method design based on two important decisions. While firstly the researcher has to decide whether s/he wants a dominance of one paradigm or not, and

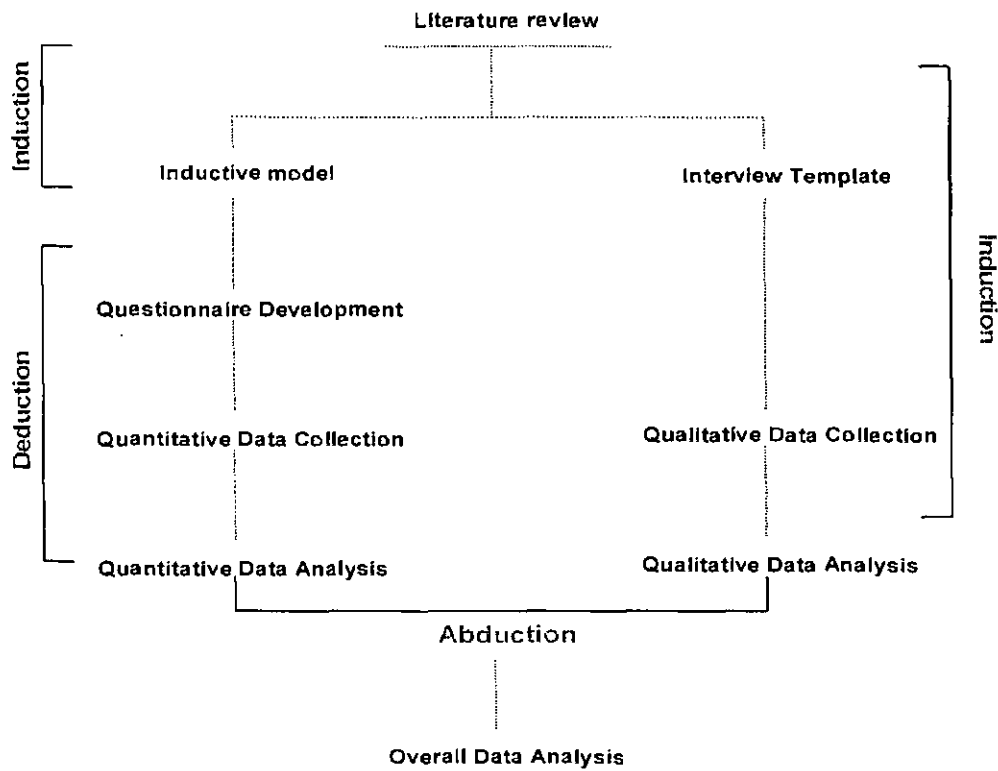
secondly whether s/he wants to conduct the research phases concurrently and sequentially (Creswell, Clark, Gutmann & Hanson, 2003).

Creswell and Clark (2007), further, defined four major types of mixed methods design. While in *triangulation design*, complementary quantitative and qualitative data with equal weights are obtained in order to best understanding of the research question under study, in *embedded design*, one of the methods, either quantitative or qualitative, is dominant, and one data set is collected concurrently with the dominant data set to support this primary and dominant data set (Creswell et al., 2003; Creswell & Clark, 2007). In the last two designs, *explanatory design* and *exploratory design*, either qualitative or quantitative data are obtained sequentially to support the one another. While in *explanatory design* after collecting quantitative data, qualitative data is gathered to explain the results; in *exploratory design*, quantitative method is used after the implementation of qualitative method to further develop the understanding of the question under study (Creswell & Clark, 2007).

As consistent with Johnson and Onwuegbuzie (2004), this study entails inductive (the development of the model and further understanding of the process, patterns), deductive (testing the model) and is aiming for abductive (uncovering the best set of explanations for our understanding) approaches. It is deductive in the sense that it firstly tests the proposed model empirically and the associations between the study variables based on and derived from the theories in the literature (Cooper & Emory, 1995). It is inductive because a conceptual and theoretical structure is developed through an extensive literature review. Finally it is abductive because the analysis is going to be carried out by re-

interpreting both qualitative and quantitative data to get the best understanding out of the data collected. Accordingly, the methodological stand in the present study represents a mixed research approach with a pragmatic philosophy rather than an hermeneutic (interpretive) approach or a positivistic one (see Figure 6.1).

Figure 6.1 The research design



6.5 Research Design

Research design is defined as the framework used as a guide in collecting and analyzing data in a study (Creswell, 2008). The present research's design involves two phases carried out concurrently and involve both qualitative and quantitative methodologies involving managers and employees of MNCs operating in DCEEs, namely Turkey and Romania.

As the initial step of the present research, an extensive literature review has been carried out (please see Chapters 2-5). Literature review is argued to be an initial and crucial step of a research project, since not only does this review help the refinement of concepts, but also to measure them accurately (Tabachnick & Fidell, 2007). In this literature review, the aims were to examine the concepts and their relationships as well as to review the existing instruments established in the former studies and more importantly to define the gaps in the area.

6.5.1 Quantitative Part: Questionnaire Construction

On the basis of thorough literature review, two theoretical models have been proposed (see Chapter 5). In order to test the proposed models that specify the hypothesized relationships among study variables, a questionnaire positioning each organization on the continuum of the level of hybridization has been constructed to facilitate to capture the perception of employees regarding the prescriptive and descriptive HRM, the degree of the hybridization of HRM practices of MNCs as well as their perception regarding the

outcomes of this hybridity. This part of the present research is descriptive in the sense that surveys allow the researchers to collect a large amount of data from a large sample to describe the persons, events or situations (Yin, 1994). As a research methodology, surveys allow the researchers to gain a general idea about the perceptions of a large group of respondents and confirm the expected relationships (Gill & Johnson, 1991). Moreover, data obtained via questionnaire are preferred because of ease of development, administering and analysis as well as cost-effectiveness (Aycan, 2000; Bryman & Bell, 2003). Survey based research, by using highly structured questionnaires to collect quantitatively analyzable data form, is accepted as easily replicable and hence reliable (Gill & Johnson, 1991).

The questionnaire mainly consisted of already established scales used in former studies except for a scale developed to measure met-expectations of the individuals (i.e., whether individuals' expectations regarding the implementation of HRM have been met) (see Chapter 7 for further details). The questionnaire has been revised for a number of times on the basis of the feedback of the professors in the area in a focus group. In this revision, both the clarity of items and instructions as well as the fluency among sections have been considered. Moreover, as another way of increasing the content validity, a focus group study with academics as well as with the practitioners in the area has been carried out to ensure the necessary changes before the start of the full-scale study (May, 1997). This pre-test is required to catch any unforeseen problems in the questionnaire administration including the (re)phrasing and sequence of items, the length of the questionnaire, the need for new, additional items as well as the elimination of some others (May, 1997).

Since data were collected from people with different cultural backgrounds and who speak different languages, the issues such as response bias or translation have to be taken into account (van de Vijver & Leung, 1997). In the context of the present research, the most commonly used method of translation-back translation was employed. The present researcher translated the questionnaire into Turkish and back translation was carried out by another Industrial/Organizational Psychology colleague from Koc University in Turkey to ensure language equivalence. The content of both English and Turkish versions of the questionnaire has later been reviewed by several academics at UK and Turkish institutions. The English questionnaire was also translated into Romanian by a professional translator. A Turkish business expert who speaks English and Romanian fluently also checked the Romanian translation for its equivalence.

Focus groups were used to pilot test the questionnaire. The groups consisted of seven academics and six practitioners. On the basis of the comments of the practitioners in this phase, some minor amendments such as spelling errors have been made. There is only one item in the first part of the questionnaire that was not understood by the respondents due to the difficulty of translating into Turkish. This item was removed (please see following Chapter 7). This item was problematic even in the translation, back-translation process. Except that aforementioned item, there were some minuscule changes carried out. Since most of the scales used in the present study and even their Turkish version were already established in the literature, construct validity was not a serious problem. The translation into Romanian was also carried out by a professional translator. The detailed

information on the questionnaire, and the validity and the reliability of the scales are presented in Chapters 7 and 9 for both samples.

However, surveys as a data collection method are not without its drawbacks, since survey method “rules out the possibility of understanding the process by which people come to adopt particular values or behaviors” (May, 1997, p. 104). This potential drawback is expected to be overcome by using qualitative data collection methods, as semi-structured interviews. Moreover, the validity issue, that is whether the study measures what it intends to measure, is expected to be ruled out by using triangulation in the present research to ensure the rigor of the research (Robson, 2002). By using multiple methods, triangulation, vulnerability of using a single method could be diminished through ensuring cross-data validity checks (Patton, 1990).

6.5.2 Qualitative Part: Case Studies

The second phase of the present study encompasses ‘interpretive case studies’, and aims at examining the hybridization *process* of HRM practices that cannot be tackled by a quantitative survey methodology. In some situations, a specific research strategy has a distinct advantage in answering specific questions (Creswell, 2008).

The first and most important condition for choosing the most appropriate research strategy is to identify the type of research question to be asked (Yin, 1994). Case research is useful in finding answers to “how” and “why” questions, since it serves explanatory and exploratory purposes. The extent of the investigator’s control over and access to actual behavioral events is another distinction for choosing research strategy. The case study is

preferred in examining contemporary events, but when the relevant behaviors cannot be manipulated. Therefore, to examine the one of the present research's main questions, case study is more appropriate since "a 'how' and 'why' question is being asked about a contemporary set of events over which the investigator has little or no control" (Yin, 1994, p. 9). Moreover, qualitative research methods, including case study method, help to describe the complex social settings from individuals' experiences (Flick, 2002).

Qualitative methods such as case studies are advocated as highlighting the richness of data, showing the big picture and explaining how processes, chronological facts and causal links occur, providing rich descriptions and explanations of processes (Taylor, 2000). Case study research is growingly becoming accepted as scientific tool in management research and its use is also becoming increasingly widespread (Gummesson, 2000). A wide-range of data collection methods can be employed in case studies. Although both quantitative and qualitative methods are valid, in the study of processes in which data collection and analysis often take place concurrently, the qualitative methods will generally predominate.

A case study provides an excellent opportunity for the intensive analysis of many specific details of hybridization process that could be overlooked by other research methods (Kumar, 2005). Moreover, case study is a useful strategy for studying processes in companies and aims at obtaining a deeper knowledge about the research object (Abjanbekov & Alvarez Padilla, 2004). If the research objective of the present study were only to understand the degree of the hybridization of HRM practices of MNCs rather than the dynamic hybridization process, a survey design positioning each organization on the

continuum of the level of hybridization would be enough. However, the present study also tries to capture the dynamism of the hybridization. The case study strategy is more appropriate if the researcher wishes “to gain a rich understanding of the context of the research and the processes being enacted” (Saunders, Lewis, & Thornhill, 2006). Moreover, the use of combination of the qualitative and quantitative data collection methods can be more advantageous as explained before, since while the quantitative methods can be used to analyze the degree and the effects of hybridization, the qualitative ones can be used to examine the dynamic HRM hybridization process at the same time under the scope of the case study.

The most common data collection methods in case studies are documentary analysis, interviews and observations. Since this study aims at understanding the hybridization process and employees’ experiences with regard to this continuous process, and aims at capturing the employees’ own interpretations of the outcomes rather than their observable behavior, observation will not be an appropriate data collection method. Hence open-ended semi-structured interviews and documents were chosen. For a research question that lends itself to a qualitative mode of inquiry, an semi-structured interview is also perceived as more appropriate method of data collection (Kumar, 2005). Data analysis in qualitative research encompasses a process of identifying themes and describing what have been found out during interviews (Kumar, 2005).

Individual in-depth interviews are described as “interviews that are conducted face to face with the respondent in which the subject matter of the interview is explored in detail” (Aaker et al., 1995, p. 176; cited in Hall & Rist, 1999). The theoretical roots of in-

depth interviewing are in the interpretive tradition, since it seeks to understand the respondents' perspectives on their lives, experiences, or situations expressed on their own words (Kumar, 2005). Individual interviewing is very useful because of its characteristics including amount of in-depth information obtained, the researcher's control of interview timing and related variables, and the elimination of the potential problem of group conformity (Hall & Rist, 1999). It is also beneficial for the researcher, since the researcher could take into account the contextual factors arising from face-to-face interaction such as observation of body language, tone of voice, reaction to the interview setting in analyzing the interview data. The interviews also allow the researcher to follow up and probe incomplete, vague, or ambiguous responses (Hall & Rist, 1999).

Qualitative analysis, in this case, the case study analysis, is however not without weaknesses, although it emphasizes the promise of quality, depth and richness in the findings (Marshall & Rossman, 1999). This method is criticized because of "lacking of a larger and more explicit set of procedures, privileging of intuition over reason, subjectivity over objectivity and an unsystematic selection of information from a massive amount of data, in ways that are irreducible or even incommunicable" (Mesquita, 2002, p. 4). Case studies are unable to prove causality because of little control over researched behaviors. With regard to internal validity, descriptive or explorative studies like case studies are not concerned with making causal statements. Case studies are also criticized for their lack of generalizability, often because of their sample sizes. However, the answer for this criticism is that case studies are not generalizable to populations or universes, but to theoretical propositions (Yin, 1994). Hence, the investigator's goal should not be to compute

frequencies (i.e., statistical generalization), but to expand and generalize theories (i.e., analytic generalization). The investigator strives to generalize particular results to some broader theory in analytical generalization. In case studies, the purpose is to define, explain, highlight, but not to predict, and hence sampling procedure in case studies does not need to follow sample size rules for its generalizability (Gummesson, 2000; Yin, 1994). Therefore, for the present case study, not sample size (i.e., number of companies), but the quality and depth of the investigation itself is relied upon. Moreover, the assumption behind the case study method is that “the case being studied is typical of cases of a certain type so that, through intensive analysis, generalizations may be made that will be applicable to other cases of the same type.” (Kumar, 2005, p. 113)

Four criteria, which are credibility, transferability, dependability and confirmability, are proposed in qualitative research in relation to internal validity, external validity, reliability and objectivity in quantitative research respectively (Bryman & Bell, 2003; Marshall & Rossman, 1989). For instance, in the present study, the establishment of the credibility of the findings will be achieved through submitting research findings to the respondents interviewed and getting their feedback and confirmation, using respondent validation technique. Moreover, since different methods will be used to examine the hybridization process and its outcomes as a triangulation technique, the credibility of the present research will further be achieved. Collecting data from different group of respondents will minimize the risk of respondent bias that might influence reliability of the findings. Triangulating multiple sources of data will also help to enhance a study’s transferability and generalizability (Marshall & Rossman, 1989). By designing a study in

which multiple informants (e.g., managers, employees, HRM staff) or more than one data gathering methods (i.e., interviews, documentary analysis, questionnaires) are used, the study's usefulness for other settings, its transferability to other settings, can be strengthened. Dependability and confirmability will also be achieved through ensuring complete records of the research process, providing a case research protocol. Although the confirmability construct captures the concept of objectivity, the qualitative research asserts that the research will be shaped by natural subjectivity of the researcher. However, the researcher has to control for bias in interpretation. For example, such controls, which were also adopted in this study, include checking and rechecking data and purposeful testing of possible rival interpretations, practicing value-free note taking, conducting an audit of the data collection and data analysis. Internal reliability of this qualitative research could also be achieved by ensuring the agreement among the members of the research team about what is seen and heard (Bryman & Bell, 2003).

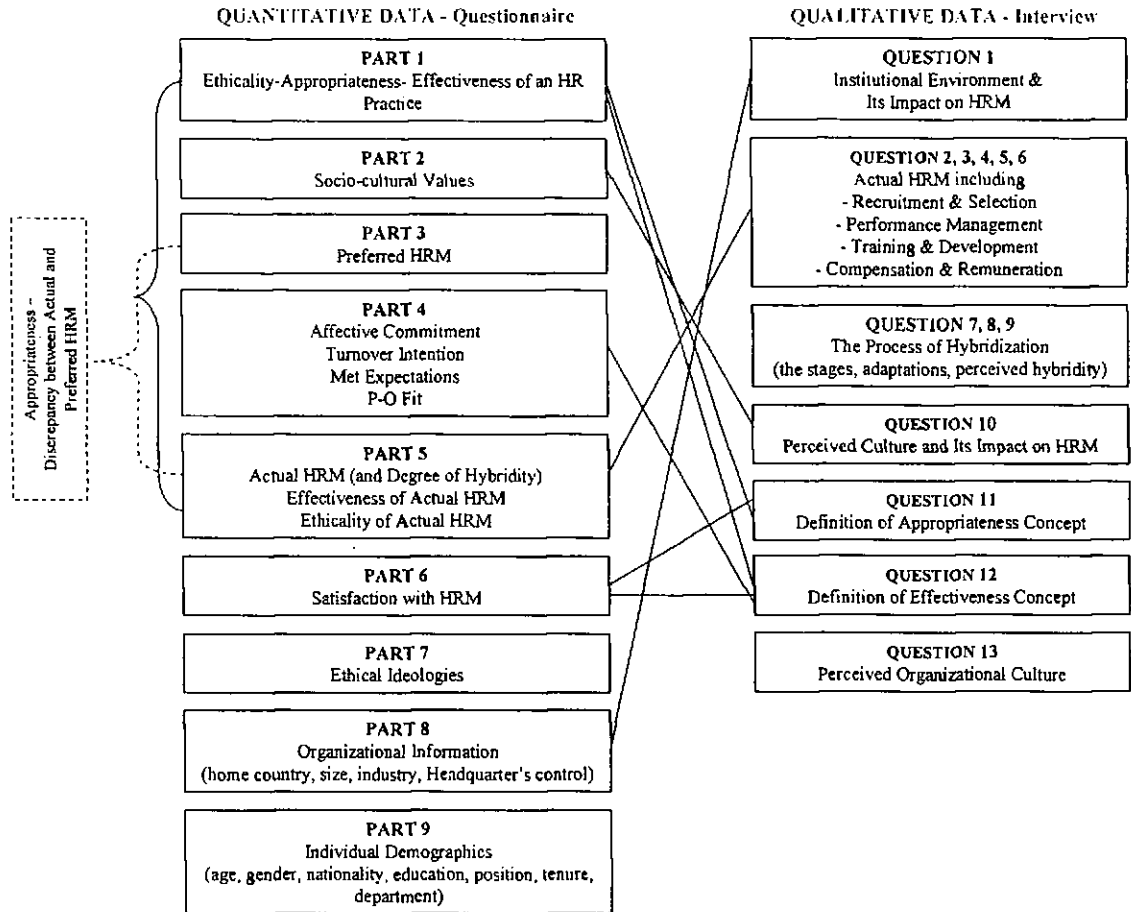
6.6 Conclusion

The chapter concentrated on the general discussion on the research paradigms and philosophies underlying these paradigms to enhance our understanding of the development of the research strategy. After presenting two main, almost competing, research methodologies, the rationale for choosing mixed-method research design was presented. The chapter ended with an examination of the research design, i.e., the framework used in collecting data. The use of combination of the qualitative and quantitative data collection methods and triangulating the results are expected to be more advantageous due to the

different research questions addressed in the present study: to analyze the degree and the effects of hybridization, as well as the dynamic HRM hybridization process. As a guide, Figure 6.2 displays the variables under study and how these variables are incorporated to measure with different research mediums.

In the following chapters, the quantitative and qualitative results will be presented. The sequence of reporting (i.e., quantitative as the first and qualitative as the second) of the results is set due to two main reasons. Firstly, in the present research, quantitative data provides general context and is used to measure the relationships hypothesized on the basis of the comprehensive literature review. At the same time, qualitative data is also collected to provide further examination of the *processes* and to develop “depth” for and to enhance the findings of the quantitative data (Bryman, 2006; Creswell, 2008). This, in turn, will be followed by discussion of overall findings through merging the two data sets into an overall interpretation (i.e., abduction). And secondly, this sequence of reporting (i.e., quantitative as the first and qualitative as the second) was also just because of the convenience for the present researcher.

Figure 6.2 The variables under investigation and the overlaps in two phases of the present research



Chapter 7

QUANTITATIVE DATA - METHOD

7.1. Introduction

In this chapter, the method of quantitative data collection in Turkey and Romania will be presented. This section describes the measures and procedure that were used in the quantitative data collection part of the present study. First, descriptive statistics regarding the sample characteristics will be presented. Following this, the measures' will be described briefly.

7.2 Participants

The overall sample is a convenience sample, which was drawn by using a process of snowball sampling both in Turkey and Romania. Fischer (2008) argues that sampling respondents from different organizations eliminate the risk of restricting the variance necessary to detect organizational effects. Similar techniques have frequently been used in organizational research to recruit various work populations (e.g., Hochwarter, Kacmar, Perrewe, & Johnson, 2003; Zickar, Gibby, & Jenny, 2004). Therefore, the use of snowball sampling is suggested to obtain greater variability (Fischer, 2004b).

Data were collected through collaboration with employees working in MNCs, who were asked to distribute surveys to other employees. Snowball sampling involves contacting a few potential respondents who are then asked to recruit other participants that fit the

criteria (de Vaus, 2002). Hence, it was not possible to calculate the exact response rate. The respondents recruited by other respondents were requested to send the questionnaires directly to the present researcher via regular mail or e-mail for anonymity and confidentiality issues. The cover letter explained the participants that the study would be voluntary and their responses would be kept confidential. Since e-mail addresses may contain participants' names, in order to provide anonymity and to encourage frank responses, the participants also were informed that they could send their responses in an unnamed envelope directly to the present researcher.

The total sample consisted of 290 employees working in MNCs. 141 of them were Turkish employees working in Turkey, 149 ones collected in Romania were composed of both Romanian as well as Turkish employees. 24 % of this group of participants were Turkish expatriates working in Turkish MNCs in Romania, while remaining 76% were Romanian employees working in Turkish MNCs.

The characteristics of the respondents, as shown in Tables 7.1, summarize the various attributes of the sample used for the analyses. The total sample consisted of 129 (44.50 %) female and 157 (54.10 %) male employees. The mean years of formal education completed by the participants was 15.55 years (SD= 2.48) for the overall sample. Average age of the overall sample was 31.33 years (SD= 6.66) and tenure was 4.10 years (SD= 4.20). People working in non-managerial position outnumbered the ones in managerial position, 59 % and 39 % respectively.

Table 7.1 Demographic characteristics of the participants

Demographic Characteristics of the Participants		Overall (N=290)	Turkey (N=141)	Romania (N=149)
Age	<i>M</i>	31.33	33.30	29.39
	<i>SD</i>	6.66	6.18	6.57
Gender (%)	Male	44.50	51.80	37.60
	Female	54.10	47.50	60.40
Education (years completed)	<i>M</i>	15.56	15.31	15.72
	<i>SD</i>	2.44	1.20	3.07
Position (%)	Managerial	38.60	51.80	26.20
	Non-managerial	59.00	47.50	69.80
Organizational Tenure (years)	<i>M</i>	4.10	5.57	2.61
	<i>SD</i>	4.20	4.64	3.07

For descriptive purpose, independent sample t-tests and Chi-Square analyses were used to test whether the two samples differ from each other. Independent sample t-tests revealed that the samples significantly differed with respect to age ($t = 5.151, p < .000$) and tenure ($t(236.18) = 6.219, p < .000$). Turkish sample consisted of older respondents as well as the ones with higher tenure. There was no significant difference in the education level of the participants in the sample ($t(157.65) = -1.66, p > .05$). On the other hand, Chi-square analyses indicated that the sample differed significantly with regard to the gender composition ($\chi^2(1) = 5.49, p < .05$) and the position held by the respondents ($\chi^2(1) = 18.30,$

$p < .000$). There were more female participants and there were more participants holding non-managerial position in Romanian sample.

Turkey

Data were obtained from a sample of 141 employees from various MNCs operating in Turkey. Organizations included in the current study presented a wide range of industry, sector, and size, to promote the investigation of the effect of various enterprise environmental characteristics on HRM hybridity as well.

Table 7.1 presents the demographic characteristics of the sample. Mean age of the respondents was 33.30 years ($SD = 6.18$). The total sample consisted of 67 (47.5 %) female and 73 (51.8 %) male respondents. Most of the respondents held a college degree (74.5 %) with an average of 15.31 years of formal education. Regarding the position in their organization, 51.8% of the employees were holding a managerial position and 47.5% of them holding a non-managerial position. The average tenure in their organizations was 5.57 years ($SD = 4.64$).

With regard to the demographic characteristics of the organizations, the number of employees in the participating organizations varied from 8 to 300,000, with a mean of 9,849 and a median of 550. While 57 % of the organizations were operating in service sector, 43 % were in manufacturing sector. Employees came from various departments including HR, sales, finance, internal control, retail and so on.

Romania

Data were obtained from a sample of 149 employees from Turkish MNCs operating in Romania. Almost 95 % of the organizations where the participants were employed were from the service sector, mainly banking industry, due to the fact that most of the Turkish companies in Romania have entered to this market to fill the void in the service sector (Constantinescu, 1999). This was reflected in the present sample as well.

Table 7.1 presents the demographic characteristics of the overall Romanian sample: Mean age of the respondents was 32 years ($SD= 6.18$). The total Romanian sample consisted of 90 (47.5 %) female and 56 (51.8 %) male respondents. The average year of the education respondents got was 15.80 years. Regarding the position in their organization, 26.20% of the employees were holding a managerial position and 69.80% of them holding a non-managerial position. The average tenure in their organizations was 2.61 years ($SD= 3.07$). Regarding the company characteristics, the number of the employees had a mean and a median of 2014 and 1800, respectively.

Further scrutinizing of the demographics for Turkish expatriates and Romanian locals revealed some differences. While 78 % of the Turkish expatriates were male, 73 % of Romanian respondents, in contrast, were female. Turkish expatriates had higher tenure, with an average of 3.95 years, in their organizations in comparison to Romanian locals, with an average of 2.15 years. The average age for Turkish expatriates was 34.74 years and that of Romanians was 27.64 years. One interesting demographic regarding Turkish expatriates was that 38.90% of this group was holding non-managerial positions, even though

expatriates are generally sent to overseas as a managerial position (Harzing, 2001; Thomas, 2008). Of the Romanian locals, 79.60 % was in a non-managerial position.

7.3 Procedure and Measures

The research instrument was a self-administered questionnaire comprising of 9 parts (see Appendix 1 for the English version, Appendix 2 for the Turkish version and Appendix 3 for the Romanian version). A cover letter explaining the objective of the study was enclosed with the questionnaire. Participants were informed that their participation was voluntary, their responses would be kept confidential and used only for the purposes of the study. They were also informed that the overall results of the study would be shared with them upon their request.

To recap, in developing this instrument, an extensive literature review was carried out and both business and academic experts were consulted. The questionnaire was pretested, results of which were used to refine the questionnaire in order to enhance its psychometric properties². In a focus group study, preliminary version of the scales in Turkish was tested via interviews conducted with six practitioners working in MNCs. While two of them were working as expatriates in Romania, the other four participants were working in MNCs operating in Turkey. Two out of six participants were also HR managers. These participants were asked to identify any ambiguities in the questionnaire and the

²The psychometric properties of the measures utilized in the present study will be discussed in the next chapter covering data analyses process.

questionnaire was modified and finalized on the basis of their feedback. They also reported that it took approximately 35 minutes to fill out the questionnaire.

7.3.1 Part 1: HRM Appropriateness and Ethicality

The first part of the questionnaire measures the ethical attitudes of respondents, with the aim of understanding whether the appropriateness of a practice represents the perception of ethicality of that practice. In order to test this aim, the Reidenbach-Robin (1988, 1990) scale, which is accepted as one of the most promising research instruments to measure complex ethical judgments across cultures (Jackson et al., 2000), is used. This scale measures the core dimensions that characterize different perspectives of ethical philosophy used by people in deciding what is ethical or not, since while making ethical judgments people use more than one rationale (Reidenbach & Robin, 1990).

...Further, the multidimensional nature of the scales can provide information as to why a particular business activity is judged unethical. Global measures cannot provide this information. Specifically, the use of the scales can give a manager insight as to whether the activity contemplated or undertaken is perceived as fair, just, or whether it violates certain cultural or traditional values. This latter information would be particularly beneficial in multinational business settings...which might vary significantly from country to country... (Reidenbach & Robin, 1990, p. 639)

Different scenarios that illustrate various HRM practices were presented to the respondents and the degree to which these practices perceived as ethical, fair, appropriate, effective, and so on were assessed to determine which responses are associated with others. In the literature, vignettes are argued to be one of the most effective data collection techniques for research on ethics (Christie et al., 2003). In the original study and later studies, Reidenbach and Robin's scale has been used with different vignettes and scenarios.

So far, none of these studies have developed scenarios specific to the implementation of HRM practices. Hence, this study is also expected to contribute to literature by specifically examining the basis of ethical decision making regarding HRM scenarios.

Four scenarios were newly developed on the basis of the conceptualization by Aycan (2005) to depict HRM related ethical dilemmas. The scenarios were further modified in the focus group to better reflect the differences in cultural implementation of these practices. While the first two scenarios were concerned with recruitment and selection practices, other two scenarios were pertaining to performance management and promotion. In this way, both perceptions of individuals within an HRM practice (recruitment and selection) as well as across practices (e.g., performance management, promotion) can be attained. The scenarios were written in a way that the decisions of a fictitious manager (rather than “you” subject) were presented, since respondents would be less likely to respond in a reliable way while rating their own decisions as unethical, inappropriate and so on. While evaluating ethically controversial decisions, high concern with the social appropriateness of one's action can contaminate his/her response (Snyder, 1974) (see self monitoring theory for further discussion).

In the first scenario, *internal recruitment*, the fictitious manager has decided to fill a job opening in his organization with an internal candidate rather than a new candidate although the external candidate is slightly stronger. In the second scenario, *nepotism*, the manager has decided to fill a job opening in his organization with the one who is the nephew of his friend rather than another more experienced applicant. In the third scenario, *performance bias*, the manager has decided to evaluate the performance of one of

employees higher than his actual performance on the basis of his personal opinion about the employee. In the last scenario, *seniority-based promotion*, the manager has decided to promote a senior employee rather than the one with better performance.

The scenarios were assessed by using short version of Reidenbach-Robin scale, which uses 5-point semantic differential scale (Reidenbach & Robin, 1990; McMahon & Harvey, 2007). The reliability and validity of the instrument has already been established in the literature (e.g., Reidenbach & Robin, 1988; 1990; McMahon & Harvey, 2007). Due to the limited resources and due to the consideration of the length of the questionnaire, the original 30-item scale was not used in the present study.

In a recent study, ten items were found to produce better measurement precision by using a whole range of scenarios and item response theory methods (McMahon & Harvey, 2007). To further test this proposed scale, items in the 8-item short version scale proposed by Reidenbach and Robin and items in 10-item newly proposed scale were used in the present study (see Table 7.2). Due to the overlapping items in two scales, this resulted in overall 11 items. However, one of these items (Under no moral obligation to act otherwise/Morally obligated to act otherwise) cannot be translated in English neither by the present researcher or other Turkish researchers into Turkish and this item was dropped. This might also be due to the fact that in Turkish there is only a single word that corresponds both to “moral” and “ethical”.

In addition to the one items assessing overall ethicality judgment as used in former studies (McMahon, 2007), respondents were also asked to evaluate the appropriateness as well as the effectiveness of the actions in the scenarios on a five point scale anchored with

“appropriate/ inappropriate” and “effective/ ineffective”. The aim was to determine which responses are associated with appropriateness and effectiveness decision (See Appendix 1).

Table 7.2 MES scale based on the 10-item version proposed by McMahon & Harvey (2007)

	<i>Justice Scales</i>
Just/Unjust	
Fair/Unfair	
	<i>Relativist Scales</i>
<i>Culturally acceptable/Unacceptable</i>	
Individually acceptable/Unacceptable	
Acceptable/Unacceptable to my family	
	<i>Egoism Scales</i>
Selfish/Not selfish	
Under no moral obligation/Morally obligate to act otherwise*	
	<i>Utilitarian Scales</i>
On balance, tends to be good/Bad	
Leads to the greatest/Least good for the greatest number	
	<i>Deontology Scales</i>
Violates/Does not violate my ideas of fairness	
Morally right/Not morally right	

Note: Italic item was added although not proposed by McMahon & Harvey (2007) in the revised scale to test whether it varies across countries under study. * This item cannot be translated into Turkish, and dropped.

7.3.2 Part 2: Socio-Cultural Values

Socio-cultural values of the employees were measured using three socio-cultural value dimensions. These dimensions were power distance, collectivism and fatalism. In assessing the managerial socio-cultural value dimensions, scales developed by Aycan and colleagues (2000) based on the Model of Culture Fit and further improved by Yavuz (2005) were used. The reliability and validity of the scales were tested in 10 countries by Aycan and colleagues (2000). All of the items assessing each of the value dimensions are presented in Appendix 1.

Power Distance. Power distance was assessed by seven questions. Sample items included “People having authority should be respected because of their position”, “There needs to be a hierarchy of authority in a society”. Items were rated on a 6-point Likert scale ranging from 1 (strongly disagree) to 6 (strongly agree). Higher scores indicated higher power distance.

Fatalism. Fatalism was assessed by six questions developed by Aycan and colleagues (2000). A sample item included “Planning only makes a person unhappy since plans hardly ever work out anyway”. Items were rated on a 6-point Likert scale ranging from 1 (strongly disagree) to 6 (strongly agree). Higher scores indicated fatalistic viewpoint.

Collectivism. In order to assess collectivism, four questions developed by Aycan and colleagues (2000) and eight questions developed by Triandis and Gelfand (1998) were used. Sample items included “Family members should stick together, no matter what sacrifices are required”, “One has to be loyal to his/her community if one seeks their support and protection”. Items were rated on a 6-point Likert scale ranging from 1 (strongly disagree) to 6 (strongly agree). Higher scores indicated higher collectivism.

7.3.3 Part 3: Preferred HRM Practices

The preferences of participants for different HRM policies and practices were assessed with 24 items in this section of the questionnaire. HRM areas included recruitment, performance evaluation, salaries and allowances, and training. The measure was based on Schuler and Jackson’s (1987) measure, as used by Sparrow and Wu (1998), Nyambegera and colleagues (2000), and Aycan and colleagues (2007). These HRM areas were selected,

since these four functions were identified as the ones creating considerable differences across countries (Aycan, 2005).

Items under each HRM area were presented as a pair of alternative HRM practices using a five-point, bipolar rating scale. The respondents were presented two almost opposing choices on the left and the right of the arrow. For example, the statement “Determine salaries and allowances by age and seniority of the employees” was placed on the right-hand side and the alternative statement “Determine salaries and allowances with no regards to age and seniority of employees” on the left hand side. Participants were asked to indicate their preferences for implementation of specific HRM policies and practices by circling a number (ranging from 1 to 5) between the pairs. The respondents were informed that where 1 indicated strong agreement with the practice on the left-hand side and 5 indicated strong agreement with the practice on the right-hand side; a score of 3 indicated an attitude towards the combination of the practices on both sides. On the basis of Aycan’s typology (2005), while one side is more likely to represent the practices in developing countries (e.g., Turkish practices), the other side represents Western practices. As the practice is indicated in between, it is more likely to represent hybridity as a combination of the practices.

Following Aycan’s (2005) typology, the items were grouped under three categories. Psychometric properties of the scale, reliability and factor analysis, will be presented in data analysis Chapter 9.

7.3.4 Part 4: Employee Attitudes

In this part, individuals' attitudes including organizational commitment (Allen & Meyer, 1996), turnover intention (Cammann, Fichman; Jenkins and Klesh, 1983), met expectations (Meyer, Bobocel & Allen, 1991, used by Irving & Meyer, 1995) and person-organization fit (Saks & Ashforth, 1997) were assessed with the aim of understanding mainly perceived organizational effectiveness, appropriateness and its further outcomes in terms of positive employee attitudes. Since the present study mainly focuses on the individual perceptions regarding the study variables, employee attitudes including satisfaction with HRM and perceived effectiveness rather than criteria like the firm performance in terms of financial outputs were included as effectiveness measure. Perceived effectiveness of implementation of each HRM area was also evaluated by the respondents in the fifth part of the questionnaire as well as met expectations and perceived PO fit.

7.3.4.1 Organizational Commitment.

The Turkish version of Allen and Meyer's (1996) instrument adapted by Wasti (2000) was used to measure OC. This instrument consists of three scales: affective, continuance, and normative commitment. The affective commitment scale consisting of six items were selected for use in this study. Recent studies shed some doubts on the convergent validity of continuance commitment (i.e., small or no correlation with important affective or attitudinal correlates, and important work-related outcome variables) and on the

discriminant validity of normative commitment (i.e., strong correlation with affective commitment) (Solinger, van Olffen, & Roe, 2008; ten Brink, 2004). Affective commitment is also argued to be the most reliable and strongly validated dimension of OC with the greatest content and face validity (Allen & Meyer, 1996; Meyer, Stanley, Herscovitch & Topolnysky, 2002; Solinger, van Olffen, & Roe, 2008). This is why affective commitment was selected for use in the present study.

Sample items included “I do not feel a strong sense of belonging to my organization” (reverse coded), “This organization has a great deal of personal meaning for me”. Employee responses were obtained on a 6-point Likert scale ranged from “strongly disagree” to “strongly agree”.

7.3.4.2 Turnover Intention.

Turnover intention was measured with a 3-item scale developed by Camman and colleagues (1983). A sample item included “I often think of leaving the organization”. Items were assessed on a 6-point Likert scale ranged from “strongly disagree” to “strongly agree”. Higher scores reflected stronger turnover intention.

7.3.4.3 Met Expectations: Another Indicator of Appropriateness

Met expectations were measured under two subsections: overall organizational expectations and HRM related expectations of employees. First, general met expectations (i.e., organizational expectations) were measured with two items (Irving & Meyer, 1995).

The two items are as follows: “At this point, my experiences in this organization have fallen short of my expectations” measuring the unmet expectations; and the second item, “At this point, my experiences in this organization have exceeded my expectations”, measuring exceeded expectations. These two items, after reverse coding the first one, were combined to form a single measure of met expectations due to a very high correlation between items (Irving & Meyer, 1995). The present study also used this combined scale to measure met expectations. Employee responses were obtained on a 6-point Likert scale ranged from “strongly disagree” to “strongly agree”. Higher scores reflected higher degree of met expectations.

In order to specifically measure met expectations of respondents with regard to HRM practices, five items were created and this scale was called as HRM expectations. The participants indicated the degree to which their expectations been met regarding the following HRM practices in their organization: performance evaluation, compensation practices, training and development opportunities, promotion opportunities, and overall HRM practices in their organization. Items were assessed by using a 5-point scale (ranging from 1= to a very little extent, to 5= to a very large extent). Higher scores reflected higher degree of met expectations in the implementation of HRM.

7.3.4.4 Person-Organization (PO) Fit

Perceived PO fit was assessed by a 5-item scale developed by Saks and Ashforth (1997). This scale was developed specifically to capture participants’ general perceptions of organization fit without restricting participants to specific orientations of fit such as values,

needs and so on. Sample items included "To what extent does your organization measure up to the kind of organization you were seeking", "To what extent are the values of the organization similar to your own values?". Participants' responses were obtained on a 5-point Likert-type scale (ranging from 1= to a very little extent, to 5= to a very large extent). Higher scores reflected higher degree of PO fit.

7.3.5 Part 5: Actual HRM Practices

To measure the actual HRM policies and practices, the same 24 items assessing HRM preferences of respondents under the third part of the questionnaire were used by rephrasing the instruction (see Section 7.2.3).

In the former studies (e.g., Aycan et al., 2007), both the actual and the preferred HRM practices have been measured consecutively. Respondents rated their preference and the actual HRM implementation in their organization in the same part, for each single practice. However, in order to prevent cross-over effect, the subsections of the questionnaire have been swapped. Similar to the GLOBE study (see House et al, 2004, for further discussion), people might inflate the discrepancy between the preferred and the actual, especially if they are not happy with the actual implementation of HRM policies and practices (Sondergaard, 2007, personal communication). Moreover, in this part, while measuring the perception of respondents about the actual HRM practices in their organization, an "I don't know" option was added since employees may sometimes not be well-informed about the practices in their organizations.

In this section, participants were also asked to evaluate the degree of “ethicality” and “effectiveness” of the implementation of actual HRM practices and policies in their organizations with the use of 5-point Likert scale ranging from “1= very unethical” to “5= very ethical”, and from “1= very ineffective” to “5= very effective”, respectively. Answers given to every HRM area were averaged to calculate overall perceived effectiveness of implementation of actual HRM practices as well as their ethicality/appropriateness.

7.3.6 Part 6: Satisfaction with HRM Practices as an Indicator of Effectiveness

This part asked the respondents whether they were satisfied with various HRM practices by using the scale developed by Khilji (2004). This satisfaction scale consisted of 12 items, measuring critical characteristics of HRM systems including performance appraisal, compensation, training, recruitment, promotion and job design. Items were rated on a 6-point Likert scale ranging from 1 (extremely dissatisfied) to 6 (extremely satisfied). Higher scores reflected greater satisfaction.

7.3.7 Part 7: Individuals' Ethical Ideologies

In this part, individuals' ethical ideologies of idealism and relativism were assessed by using the scale of Forsyth (1980), since the standards applied to ethical judgments depend on the ethical ideology of the individuals (Kleiser et al., 2003). This scale, called the Ethics Position Questionnaire (EPQ), describes variation in moral thoughts and ethical reasoning at the individual level. This influences the rating of ethically controversial

practices and how individuals respond to ethical dilemmas (O'Higgins & Kelleher, 2005). Forsyth (1980) presented evidence of the EPQ's validity and reliability of moral judgment.

EPQ comprised of 20 statements, ten representing Idealism, the acceptance of moral rules, and the remaining ten representing Relativism, rejection of universal moral principles (Rawwas, Swaidan & Oyman, 2005). The scale has been translated into Turkish by Rawwas and colleagues (2005). This adapted version was used in the present study for the Turkish sample. The extent to which respondents agree or disagree with each of these statements was measured by 6-point Likert scale, ranging from 1 (strongly disagree) to 6 (strongly agree).

7.3.8 Part 8: Organizational Characteristics

This part included questions about organizational characteristics, including the number of employees, the nationality of the parent company, industry and so on. In this part, the control of the parent company on the subsidiary, called "headquarters-to-subsidiary flow", in terms of dependence on local inputs, communication with the parent company and dependence on the parent company in terms of technical and managerial know-how, was also examined with three items, based on study of Demir (2005). A sample item included "The degree to which your organization is dependent upon the headquarters in terms of technical and management know-how". These items were rated on a 5-point Likert scale, ranging from 1 (to a very low extent) to 5 (to a very high extent). After reverse coding the item measuring the dependence on local inputs in order to be consistent with two other items in the data analysis (Demir, 2005), the mean score of three items was calculated to

examine overall headquarters-to-subsidary flow. Higher score means higher dependence to the parent company, while lower score low dependence.

7.3.9 Part 9: Demographics

In the last part of the questionnaire, participants provided information about themselves in terms of age, gender, nationality, education, their position (as managerial or non-managerial), and job tenure.

7.4 Conclusion

This chapter addressed the method of quantitative data collection phase that is a part of the triangulation mixed method designs employed in the present study. The participants, the procedure of data collection and the measures were presented briefly. In Chapter 9, data analyses with regard to psychometric properties (i.e., reliability analysis) of measures will be presented in detail.

Chapter 8

QUALITATIVE DATA - METHOD

8.1 Introduction

In this chapter, the method of qualitative data collection in Turkey and Romania will be presented. This section describes the cases under study and interview template utilized in the qualitative data collection. To recap, both the quantitative data in the first phase and the qualitative data in this second phase were collected concurrently.

8.2 Sampling

The second phase of the present study encompasses 'interpretive case studies' which examines the hybridization process of HRM practices and the outcomes of this process qualitatively. The cases were selected purposefully, since the idea behind qualitative research is to select participants or sites purposefully that help to understand the research question and to discover or generate a theory (Creswell, 2008). Purposive sampling enhances understandings of selected individuals or groups' experience(s) or for developing theories and concepts by selecting 'information rich' cases (Frankel & Devers, 2000b).

The hybridization process in practice and its perceived outcomes were qualitatively investigated in two companies in Turkey and Romania: a Turkish MNC operating in Romania and in an Italian MNC operating in Turkey. In this way, it will be possible to

examine what happens when a developing country interacts with another developing country (i.e., Romania and Turkey) as well as to examine the differences in the cross cultural interfaces of two developing countries in comparison to the interfaces between one developing country and another Western country (i.e., Turkey and Italy).

The cases are also selected since they represent one of the biggest banks in their host countries. The cases, hence, are from single sector, banking sector. The external validity problem, lack of generalizability of the study findings, has been a major barrier in doing case studies, since a few number of cases offer a poor basis for generalizing (Yin, 1994). However, the interpretation of results in multiple-organization samples might be contaminated, because of lack of control over contextual factors (Mahnke, Pedersen & Venzin, 2005). Using few cases and limiting the sector of these cases help enhancing our understanding of sector-specific knowledge as well. The banking sector is selected, since especially in Romania, banking is almost the only industry that has the educated, white collar workforce who are the only ones not migrating to other European countries to work after the accession of Romania to European Union (Olesia & Simona, 2006).

The present fieldwork mainly consisted of in-depth semi-structured interviews with local and expatriate people³ from different functional and business units, representing different hierarchical levels in these two companies. To recap, qualitative data collection through interviews is expected to provide rich descriptions and explanations of hybridization process, increasing our understanding of the complexity inherent in MNCs

³ In the Italian company, the expatriates hold the top executives positions and could not be accessed by the present researcher despite few attempts. Due to this, interviews were restricted to the local employees including middle level HR managers.

through specifying contextual aspects of functioning of MNCs (Numic, 2008). These diverse groups were interviewed since their different perceptions (e.g., cultural) might influence the understanding of the mechanisms of this process and since open-ended interviewing elicits “authentic accounts of subjective experience” (Miller & Glasner, 2004, p. 125). Therefore, a multi-source approach (e.g., managers, employees, local and home country staff) was utilized.

Each interview was conducted in Turkish⁴. On average, each interviews lasted for 45 minutes. At the beginning of each interview, permission to record the interview was sought from each participant. All interviews were conducted with the assurance of the preservation of anonymity and confidentiality for the data collected. The interviewees consisted of both upper level managers as well as non-managerial employees.

The first MNC, Company InT, was an Italian Bank, holding a leading position in Turkish Banking sector. Company InT is one of the most well-known and reputable bank, mainly known with being the first introducing different implementations in the Turkish banking sector. It is positioned as the fourth largest privately-owned commercial bank by asset size in Turkey. The Italian MNC is one of the largest banking and financial services organizations in Europe with a network of 9,000 branches and strong local roots in 23 countries. The headquarters of its Turkish subsidiary is in Istanbul. 7 interviews were conducted in this subsidiary.

The second company, Company TinR, which is a relatively new corporation founded in 1994, is a Turkish Bank operating in six countries with a total around of 7500

⁴ In the Turkish company, only the interview with Romanian head of HR department was carried out in English.

employees. This MNC, which recently went through a rebranding of its subsidiaries, has its Romanian subsidiary headquartered in Bucharest, with around 2200 employees. 9

interviews were conducted in this subsidiary.

In total, 16 interviews were conducted in these two companies under study. The present researcher looked for the common themes among the responses to support the development of the conceptual framework and to check (as well as fill the void of) the quantitative data collected concurrently.

Interview data were also supplemented by company documents including the development reports on the implementation of HRM practices in the organizations to triangulate the data with the aim of improving the reliability and the validity of the data collected (Yin, 1994).

8.3 Interview Template

Understanding the processes and the dynamic activity of individuals and organizations can be achieved through semi-structured or unstructured interviewing, by asking participants to reflect on the processes leading up to or following in the event or activity under question (Bryman & Bell, 2003). The qualitative interviews were conducted to get a comprehensive overview on the perceptions of the interviewees and to draw a richer picture of what is occurring in these companies in the context of HRM hybridization.

Personal semi-structured interviews are the most important source of information, since personal interpretations and recollections could help to reveal how hybridization process takes place. In examining individuals' lived experiences, one cannot understand

human behaviors without understanding the meaning attributed to these behaviors (e.g., their thought, feelings, beliefs, values). Hence, the researcher needs to identify the deeper perspectives that are captured by face-to-face interaction (Marshall & Rossman, 1999).

On the basis of the literature review, an interview template was developed. These interviews focused on understanding organization members' meaningful experiences with hybrid HRM practices mainly through 13 questions (see Table 8.1). A focus group consisting of academics and practitioners evaluated the validity of the template. These people were purposefully selected as 'informants' to strategically test the indicators developed, by talking to these key people and asking their ideas and comments on the questions (De Vaus, 2002).

The first question in the interview focused on understanding the context as well as larger institutional environment of the organization that might have an impact on the implementation of HRM practices. The following five questions aimed at capturing the detailed information about the HRM practices implemented in the case organizations. These questions try to understand the perception of interviewees in detail regarding the HRM areas including recruitment and selection, performance management, compensation and remuneration, training and development, and motivation. Data gathered here is expected to show general overlap with the quantitative data collected described in the first phase of the present study regarding the perceived actual implementation of HRM, their perceived hybridity as well as outcomes of the perceived hybridity in terms of their appropriateness and effectiveness.

Table 8.1 Interview template

1. What do you feel influences on HRM policies and practices in the organization (e.g., state/government controls, Western management, law)?
 - a. What are the main operating constraints and opportunities in the country today that affect HRM implementation in your organization?
 2. Which methods does your company use regarding recruitment and selection?
 - a. What is the extent of external recruitment? Importance of relationships, network, references?
 3. How does your company evaluate its employees in the form of Performance Management?
 - a. Upward appraisal? Multi-source? Is reward related to performance? (Please explain about any performance management system if this exists).
 4. How much focus does your company put on training and development of local employees?
 - a. What is the mostly used training method?
 - b. What are the main development needs for employees in the organization?
 5. How have your company adjusted policies and practices to the local market concerning compensation and remuneration?
 - a. Which reward system do you consider most suitable to match the needs of the local employees in Turkey/Romania?
 6. Which methods do you use to motivate your staff at different levels of the organization?
 7. What has happened in the implementation of these practices? Which stages has your company gone through?
 8. What HR policies and practices does your company employ and adapt to the local culture of Turkey/Romania?
 - a. What is the process of implementation of HRM? (e. g. they developed unilaterally or in consultation with the subsidiaries?)
 9. When you look at each of these HRM practices how do you define them? Mainly Turkish or Italian/Romanian (home country of this MNC)?
 10. How do you define Turkish/Romanian culture? What impact do you believe national culture has upon HRM?
 11. What is an appropriate HRM practice? How do you define it? An example.
 12. Do you think HRM practices in your organization are effective? Why? Why not?
 13. How would you describe your organization's culture?
-

The following two questions (question 7 and 8) aim at understanding the *process* that HRM passed through in these organizations as a result of cross cultural interactions. The focus is on catching the employees' retrospective accounts of subjective experience regarding how company passed through while ending up with these practices. The question ten targeted employees' definition of the culture of both home and host countries. With this question, not only were the perceived characteristics of the interacting cultures expected to be captured, but also the perceived cultural distance or similarities. The two following questions specifically focused on employees' understanding of *appropriateness* and *effectiveness* of an HRM practice. These questions were included to obtain a deeper knowledge about how people develop these constructs.

The last question was set to explore the prevalent organizational culture, since a strong organizational culture might be an influential factor during the process of HRM hybridization.

8.4 Conclusion

This chapter addressed the method of qualitative data collection phase another part of the triangulation mixed method designs employed in the present study. The sampling cases and the interview guide were presented briefly. The themes emerged on the basis of semi-structured interviewing will be introduced in Chapter 10. In the following two chapters, data analyses of both quantitative and qualitative data will be presented in detail.

PART 4: RESEARCH RESULTS

Chapter 9

QUANTITATIVE DATA ANALYSIS & RESULTS

“Facts are facts and will not disappear on account of your likes.” Jawaharlal Nehru

9.1 Introduction: Quantitative Data Analysis of Measures

This chapter consists of three main parts. In the first part, initial data analyses, and data screening are presented. In the second part, data analyses with regard to psychometric properties (i.e., reliability analysis) of measures utilized in the present study, including scale validation and measurement models, are discussed. The last phase of this section consists of model testing (i.e., test of hypothesized relationships) via structural equation modeling (SEM), a statistical analysis that presents a more parsimonious picture of the relationships among the variables.

9.2 Initial Data Analysis: Exploring data and Violations of Assumptions

Data exploring is the first step in data analysis with the aim of ensuring the appropriateness and readiness of the data for further multivariate data analysis techniques (Field, 2005; Hair, Anderson, Tatham, & Black, 1998; Tabachnick & Fidell, 2007). In this section, following the recommendations of Field (2005) and Tabachnick and Fidell (2007), data screening, including analyses of outliers and missing data, checking of basic assumptions about the data and descriptive statistics will be presented.

9.2.1 Data Screening

To assure the promising reliability in the data entry by checking whether there are any values outside the value range for each of the variables, the frequency tables were tabulated for the entire data set. There was no indication of wrong coding (i.e., a value entry outside the value range of each variable). Then, histograms were plotted to look at the distribution of data for assumptions checking and relevant statistics were produced to check the outliers, in addition to missing data analyses.

Missing value analysis was carried out to check whether the missing data is completely random or whether there was a specific pattern, since any pattern in the missing data may threaten the generalizability of the findings by biasing the estimates of correlations and covariances (Hair et al., 1998). In line with this, Little's MCAR (missing completely at random) test, which compares the observed missing data pattern with the expected one, was run for the overall test of randomness of missing data. A non-significant chi-square statistic of the MCAR test indicates that no identifiable pattern exists in the missing data (Field, 2005). The Little's MCAR test resulted in a chi-square = 27145.68 (df = 30257; $p < .1.000$), which indicates that the data is indeed missing at random. Further missing data analysis revealed that participants are more likely to refrain from answering delicate topics such as the appropriateness and effectiveness of the actual practice in their organization. People tend to use their right not to answer on delicate research topics (Field, 2005). However, since there was no case with missing answers for more than 25% of the items, none of the cases were removed.

After checking for data entry accuracy, the data was tested for the distribution of scores (i.e., the shape of the distributions in terms of normality) as well as the existence of outliers. While outliers were checked by looking at the z-scores of each scale, the distribution of the scores for each scale was described by looking at the measures of its shape (i.e., skewness and kurtosis), to explore whether the distribution of the variables are normal or not.

Outliers are any values that are unusual and not consistent with most observations. (Tabachnik & Fidell, 2007) To detect the outliers through data screening is important since the presence of outliers biases the mean as well as inflates the standard deviation (Field, 2005; Field & Hole, 2003), hence putting conclusions into doubt. In line with this, outliers were checked by standardizing the data set, through computing z-scores. In a normal distribution, it is expected that 5 % of the absolute values should be greater than 1.96, 1 % of the absolute values should be greater than 2.58 and none have to be greater than 3.29 (Field, 2005). Outlier analysis revealed that all the values fall within certain limits except for one case. This outlier case with a z-score of -3.42 on the idealism scale was deleted.

With regard to the shape of the distribution of the scores, both skewness and kurtosis statistics are informative to see whether distribution deviates from normality (Field, 2005). While skewness reflects the lack of symmetry where the most frequent scores are clustered at one end of the scale with a tailing off scores towards to the other hand; kurtosis reflects pointyness, which is the degree to which scores cluster in the tails of the distribution or not (i.e., flat or pointy) (Field, 2005). Normal distribution has zero skew and kurtosis values, where the distribution is perfectly symmetrical, i.e., neither too pointy or flat.

To check the distribution of the scores, skewness and kurtosis are converted to z-scores for each variable, because actual scores of skewness and kurtosis are assumed to be non-informative (Field, 2005). Any z-value higher than 1.96 indicates significant skewness and kurtosis as it is evident on some of the study variables such as positive skewness for idealism score (4.34, $p < .05$). However, Field (2005) also argues that for large samples (200 or more) as in the case of the present study, it is more important to look at the value of skewness and kurtosis statistics (which have to be close to zero) rather than calculating their significance. On the basis of skewness and kurtosis measures, it was found that some variables deviate from the normality consistent with the nature of the topics in social sciences. However, in structural equation modeling, it is argued that even in data not normally distributed, normal theory maximum likelihood (ML) estimators are found to be always acceptable (Bentler & Chou, 1987). This problem is argued to be overcome if the model fit indices show reliable results (Karaosmanoglu, 2006).

When the distribution of scores deviates from normality, the use of data transformation was advocated. Moreover, in order to minimize or eliminate unwanted cross-cultural differences that are due to response bias and methodological artefacts rather than real cultural differences (Van de Vijver & Leung, 1997), double standardization procedure is advocated in cross-cultural studies. Within-individual standardization is first conducted by standardizing raw scores against the mean for all of an individual's scores for all items of the questionnaire to counter the effects of response bias (i.e., individuals responding more highly or lowly on the 1-5 scale than other individuals).

Within-culture standardization is then employed with the aim of minimizing the effect of differential distribution of country scores. The rationale for adjusting raw data is about an expectation of an acquiescent bias (Fischer, 2004c). The mean differences should be adjusted if the mean of one cultural group across all items is consistently higher or lower compared with those of another group (Hofstede, 1980). However, the use of ipsative scores gained through standardization has some constraints. The sum of ipsative scores is a constant for each individual, being dependent on his own scores on other variables, and independent from the scores of other individuals, making it non comparable (Fischer, 2004c). This creates problems for factor analysis and ipsatized scores are argued not to be suitable for factor analytical techniques, since “the zero sum of variances and covariances in every row and column of the covariance matrix results in a singular matrix with no regular inverse.” (Fischer, 2004c) The reliabilities are generally affected, inflated or deflated.

Consequently, in line with the above discussions, in the present study, due to the constraints of the use of ipsative scores and because of the risk of eliminating cultural variance (Fischer, 2008), as well as superiority of SEM in overcoming the problem of non-normal data, unstandardized and nontransformed data have been used in further data analysis.

9.3 Data Analysis: Validity and Reliability Analyses

After the initial data screening, examining missing data, outliers and violations of assumptions, if any, further data analyses were carried out with regard to scales' validity and reliability. These analyses included exploratory factor analysis (EFA), confirmatory

factor analysis (CFA) and reliability analyses before testing the structural models (the relationships between constructs). After the factors were derived from both by EFA and CFA, reliability analyses by computing Cronbach's alpha were carried out with the aim of ensuring whether each subset of items were internally consistent (Hair et al., 1998, Field, 2005). Indeed this process was iterative in the sense that after the factor structures of some constructs were confirmed, further examination was carried out if the reliability analyses required further refinement.

While EFA and reliability analyses were performed using SPSS 13, CFA as well as model testing were performed using AMOS 4.

Since in social sciences researchers mostly try to measure *latent variables* that cannot be measured directly, different aspect of the same latent variable under study are measured to come up with measures reflecting that single variable (Field, 2005). In the search of that underlying variable, *factor analysis*, which is the technique for identifying groups and cluster of variables and understanding their structure, is mainly used. However, there are various methods for revealing factors in a data set depending on the main aim of the data analysis: to explore the data (i.e., EFA) or to test a specific hypothesis (about the structures of the latent variables) (i.e., CFA) (Field, 2005; Hair et al., 1998). While the EFA is advised to be selected to determine the factor structure, CFA is to verify the factor structure.

Since all the scales used in the present study, except HRM expectation scale for which EFA gains more importance, have already been established in the literature and their

construct validity have been achieved, CFA is adequate to test whether the same structure of the latent variables can be confirmed in the present study. EFA, on the other hand, is useful and necessary, when there is little known about the constructs under investigation and when there is a new scale that has to be validated (e.g., Field, 2005; Tabachnick & Fidell, 2007). EFA was also carried out for each scale used in the present study, but mainly the results of CFA were relied upon, if there is any inconsistency between the two analyses.

9.3.1 Exploratory Factor Analysis (EFA)

Exploratory factor analysis (EFA) is a statistical procedure used to identify “the number and nature of the latent factors that are responsible for covariation in the data set” (Hatcher, 1994, p. 69). In EFA, factors are extracted to explain the common variance, communality, which is the “the proportion of the total variance in the variable that is account for by the common factors” (p. 70). The overarching goal of EFA is:

to summarize patterns of correlations among observed variables, to reduce a large number of observed variables to a smaller number of factors, to provide an operational definition (regression equation) for an underlying process by using observed variables, or to test a theory about the nature of underlying process. (Tabachnick & Fidell, 1996, p. 636)

In the present study, to determine the number of underlying dimensions (i.e., factors), Kaiser’s criterion which defines the number of factors on the basis of the eigenvalue >1.00 was used. That is, at least the variance of a single variable should be explained by any factor extracted, since eigenvalues indicate a substantive influence of that factor and since factors with large eigenvalues should be retained (Field, 2005). Moreover, since in factor analysis, the main interest is to find the common variance explained by the

underlying dimensions, the communality of each variable also has to be estimated. The communality is “a measure of the proportion of variance explained by the extracted factors” (Field, 2005, p. 630). The variables with communalities more than 0.60 are considered to contribute to the variance explained (de Vaus, 2002).

Once a factor structure has been established, the decision regarding which variables make up which factors gains importance. (Field, 2005) In that case, factor loadings which show the importance of a given variable to a given factor should be examined. Even though a loading of an absolute value of more than .30 is considered to be important, its significance also depends on the sample size (Field, 2005). For example, while a loading of .722 can be considered significant for a sample size of 50, a value of greater than .298 and .364 for a sample size of 300 and 200, respectively. In the present research, since the sample size is close to 300, a factor loading of .30 was considered to be significantly aligned with the recommendation of Field (2005). However, Field (2005) further argues that not the significance of a loading but the squared factor loading which is the estimate of the amount of variance in a factor explained by a variable indicates clearly the substantive importance of a variable to a factor. In this respect, only factor loadings with a value of .40 which accounts for 16 % of the variance in the variable are recommended to be interpreted (ibid.)

Only variables with a factor loading of at least 0.30 (sharing at least 10% of the variance with a factor) were used for interpretation. The number of eigenvalues greater than 1.0 determined the number of factors. The Kaiser–Meyer–Olkin (KMO) statistic was used as a measure of sampling adequacy and the Bartlett test of sphericity was used as a measure of the value of performing a factor analysis.

9.3.2 Reliability Analysis

Survey research using questionnaires for gathering large amount of data is usually regarded as easily replicable and hence reliable (Gill & Johnson, 1991; Field, 2005). After carrying out the EFA to validate a scale in a questionnaire, the next step is to check the reliability of that scale to see whether it consistently reflects the construct it is to measure (Field, 2005). The reliability of a measure which refers to its consistency and whether the items making up that measure are internally consistent is particularly important in creating multiple item scales prior to investigations of the relationships among main research variables (Bryman & Cramer, 2005). Cronbach's alpha, which is the most common and the most widely used measure of scale reliability in social sciences, basically calculates the average of all possible split-half reliability coefficients (Field, 2005).

The acceptable level of reliability can be ensured with the alpha values equal to or above 0.70 (de Vaus, 1996; Nunnally, 1978) or above 0.60 (Bagozzi & Yi, 1988). However, Cortina (1993) warns the researchers to be cautious while using these general guidelines since the number of the items in a scale determines the value of Cronbach's alpha. That is, as the number of items in a scale increases, it makes it easier to reach the acceptable level of .60 or above (Field, 2005). Hence, the adequacy of a broader range of alpha value ranging from 0.44 to 0.81 is advocated, due to the fact that the alpha value is more likely to result in a conservative estimate of the scale reliability (Field, 2005). In order to overcome any problem with reliabilities lower than this acceptable level, one way is to report mean-inter item correlations through which more useful and less biased information is achieved with the diminished effect of the number of items. Mean-inter item reliabilities should be above

.20 (Tabachnick & Fidell, 2007). In line with this, both Cronbach's alpha and Inter Item Correlations will be presented for each scale in section 9.4, together with EFA and CFA analyses.

9.3.3 Confirmatory Factor Analysis (CFA) and Model Testing through SEM

The statistical procedure used to assess whether indicator variables really measure the underlying constructs they intend to measure is called confirmatory factor analysis (CFA). It is the test of the validity of the constructs under investigation (Field, 2005). That is a strict assessment of the construct validity and is vital in establishing valid constructs before testing the casual relationships among themselves (i.e., testing the structural model with the path analysis). This statistical procedure assesses whether measurement model, which is the model that describes the relationship between latent factors (i.e., construct that is not observable) and their indicator variables, demonstrates fit to the data collected (Hatcher, 1994; Field, 2005; Bagozzi, Yi & Philips, 1991).

SEM, on the other hand, aims at determining the degree to which the theoretical model hypothesized by a researcher is supported by sample data (Schumacker & Lomax, 2004; Hair et al., 1998; Loehlin, 2004). That is, the aim is to establish and confirm the structural pre-specified links between the endogenous and exogenous variables under study, and to obtain a theoretically consistent model that fits data well with statistically significant parameter estimates as a result of running simultaneous multiple regression analyses (Hair et al., 1998). Structural relationships among the studied variables were assessed after the

measurement model was established through CFA, as consistent with the arguments of many SEM researchers (e.g., Loehlin, 2004; Schumacker & Lomax, 2004).

The *fit* of the model, in both CFA and SEM, means the degree to which the statistical model we build represents the data collected (Field, 2005). If the model developed shows a good fit to data, it means that it is a very good replica of reality and its predictions about the relationships among study variables will be very accurate. There are various criteria to judge the model fit and these goodness-of-fit indices test and confirm the overall validity of the measurement model. The establishment of the hypothesized relationships between constructs (i.e., latent variables) and their indicators through acceptable goodness-of-fit indices is called as the nomological validity (Lages, 2000; cited in Karaosmanoglu, 2006).

Due to the sensitivity of the chi square statistic, other criteria have been proposed to test the model fit. The main criteria used to judge the model fit include the ratios of the chi-square to the degrees of freedom (χ^2/df), comparative fit index (CFI), incremental fit index (IFI), Tucker-Lewis index (TLI), goodness-of fit index (GFI), adjusted GFI (AGFI) and root mean squared error of approximation (RMSEA). For a good fit of the model to data, CFI, IFI, TLI, GFI and AGFI are expected to be greater than .90, RMSEA to be less than .05 and χ^2/df to be less than 2 (Hu & Bentler, 1999). One of the statistics used to test the overall model fit is the maximum likelihood chi-square statistic, significant value of which indicates that the model is accepted and smaller value of which indicates a better fit (Bagozzi, Yi & Philips, 1991). Moreover, the significance of individual estimates in the model can be tested by examining t-values to establish convergent validity (Hair et al.,

1998). Convergent validity assesses whether two measures of the same construct are associated (Hair et al. 1998). T-values which are parameter estimates divided by the standard errors have to be greater than $|1.96|$ in order to be considered significant at the .05 level to determine the significance of loading of each item on assigned construct factor (Bagozzi, Yi & Philips, 1991).

In order to improve model fit and to obtain a better-fitting model, model re-specifications are sometimes required and can be carried out based on the suggested modification, since it is not very common to specify a model that fits the data well at first (Hair et al., 1998). The model can be refined by adding new relationships or items or eliminating others. Only modifications that are consistent with the theory have to be considered in re-specifying the model.

Lastly, multiple group CFA is performed to test measurement invariance, since further test of the structural relationships in different contexts (e.g., cultures) can be meaningful only when we can establish that the items measure the same thing (i.e., construct) in each context (Byrne, 2001). That is, to check whether the items used are equivalent across contexts a priori.

... if substantial measurement inequivalence exists across groups, it is inappropriate to compare mean group differences on nonequivalent measures. Comparisons of apples to apples are meaningful. Comparisons of sandwiches to sand wedges are not. (Vandenberg & Lance, 2000, p. 40)

As a summary, there are a couple of reasons that ensure the necessity of choosing SEM over other statistical techniques. First of all the main constructs (i.e., appropriateness, effectiveness) are rich in nature and can better be captured with multiple indicators. In

SEM, in theory development and model testing, the most important thing is the interplay between constructs and their measures (Karaosmanoglu, 2006). Moreover, SEM makes it possible to compare the hypothesized relationships between latent variables across multiple groups and contexts (Blunch, 2008; Loehlin, 2004; Schumacker & Lomax, 2004)

9.4 Results of Validity and Reliability Analyses

In the following subsections, the psychometric properties (i.e., reliability and validity) of each measure were reported before testing the structural relationships among variables through SEM.

9.4.1 Appropriateness and Ethicality: MES Scale

In order to test the dimensionality of the Multidimensional Ethics Scale (MES) for the Turkish and Romanian sample, both EFA and CFA were conducted.

While the 10-items of MES scale used in the present study are the indicator variables, they aim to measure five different factors of ethical judgment, each of which is a latent variable. For example, in their original study, Reidenbach and Robin (1988, 1990) claimed that Moral Equity (the latent variable) is measured with the four items (just, fair, morally right, and acceptable to my family), while the Relativism construct is measured with the two items (culturally acceptable and traditionally acceptable). Further, McMahon and Harvey (2007) verify the dimensionality of the MES scale in a more parsimonious way with 10 items after examining both the 8-item short form and the original 30-item scale. In the present research, to examine the dimensionality of the revised scale as theorized and

empirically established in the literature, a CFA of the MES was conducted using AMOS 4 software on aggregated data for the 4 scenario to show how well the model fits to data on nine items (see section 7.3.1).

Initially an EFA was performed on all nine items using Principal Component Analyses (PCA) with Varimax rotation. This EFA, which preserved the factors which have eigenvalues greater than 1.00, demonstrated that the nine items of the MES loaded on one factor rather than three factors as posited by Reidenbach and Robin (1990) or five factors posited by McMahon and Harvey (2007). Factor loadings of the items for the 1-factor solution are presented in Table 9.1. This result indicates that items loaded on one factor seem to measure the same construct.

Coefficient alphas (α), the internal consistency measure of reliability for overall sample as well as for the Turkish and Romanian samples, had a range of .943 to .966 and are reported in Table 9.2. Mean Inter-Item correlation (Mean R_{ij}) for overall sample as well as for Turkey and Romania samples ranged from .660 to .767 which were acceptable and quite above the recommended .20. These high alphas and mean R_{ij} indicate a high degree of homogeneity between the items and suggest that the items measure the same phenomenon.

Table 9.1 Exploratory factor analysis for ethicality scale (for overall sample, and for Turkish and Romanian samples separately)

Factor	Overall	Turkey	Romania
	1	1	1
Fair/Unfair	.898	.797	.807
Just/Unjust	.904	.877	.744
Acceptable to me/Not	.895	.837	.742
Acceptable to family/Not	.716	.556	.432
Not Selfish/Selfish	.870	.782	.712
Tends to be good/bad	.901	.859	.755
Leads to greatest good for greatest no./least	.811	.786	.543
Morally right/Not	.902	.824	.789
Does not violate my idea of fairness/Does	.909	.840	.803
<i>Eigenvalues</i>	<i>6.801</i>	<i>7.158</i>	<i>6.329</i>
<i>Variance extracted</i>	<i>75.62%</i>	<i>79.53%</i>	<i>70.32%</i>
<i>KMO measure</i>	<i>.891</i>	<i>.912</i>	<i>.891</i>

Table 9.2 Alpha reliabilities and mean inter-item correlations for 9-Item MES

	Overall Sample		Turkey		Romania	
	Alpha (α)	M Rij	Alpha (α)	M Rij	Alpha (α)	M Rij
Ethicality	.957	.722	.966	.767	.943	.660

After performing EFA and reliability analyses, CFA was conducted with AMOS 4 for the overall sample to test validity of the construct in the base model (Arbuckle & Wothke, 1999). The initial ML estimation test of the 5-factor model posited by McMahon and Harvey (2007) did not produce acceptable fit indices. The model was consequently refined by taking into account the modification indices. The Egoism scale did not work, likely because a single item was used to test this dimension. After eliminating this factor, 4

factor model based on these 9 items, produced reasonable fit indices. However, since EFA revealed a one-factor structure, one factor model was also tested to assess which model better fits to data.

The fit indices confirmed that the one-factor model better fits to data than 4-factor model that generated more acceptable fit indices. Based on this, the one factor model that provides more parsimonious picture and better fit indices was used in the further analyses. Since all the fit indices showed a good model fit (Hu & Bentler, 1999) both for the overall sample as well as for multi-group analysis, the measurement model was confirmed as nomologically valid (see Tables 9.3, 9.4 and 9.5). The significant ($p < .001$) and high factor loadings satisfied the criteria for convergent validity, since each item's significant estimated ML loading on the construct determines the convergent validity (Hair et al., 1998). All of the t-scores were significantly greater than the critical value of 1.96 at the 0.95 confidence level (Bagozzi, Yi & Philips, 1991). All of the scores also have higher individual reliabilities (SMC).

Table 9.3 Measurement model for ethicality scale for the overall sample

Model Fit Indicators	χ^2 / Df	RMSEA	GFI	TLI	IFI	CFI	AGFI
1-factor model	1.120	0.020	0.988	0.998	0.999	0.999	0.963
Variable: Ethicality (1-factor)						SMC	t- value
Fair/Unfair						.783	
Just/Unjust						.744	23.251
Acceptable to me/Not						.789	23.818
Acceptable to family/Not						.398	12.163
Not Selfish/Selfish						.695	19.134
Tends to be good/bad						.797	21.960
Leads to greatest good for greatest no./least						.555	15.564
Morally right/Not						.734	19.235
Does not violate my idea of fairness/Does						.782	21.454

* χ^2/df : CMIN/df, CFI: Comparative fit index, IFI: Incremental fit index, TLI: Tucker-Lewis index; GFI: Goodness-of-fit index; AGFI: Adjusted goodness-of-fit index, RMSEA: Root mean square error of approximation, SMC: Squared multiple correlation (an item's own individual reliability)

Nomological validity: Satisfied. $\chi^2/df < 2.00$; RMSEA < 0.08 ; CFI, IFI, TLI, GFI and AGFI $\Rightarrow 0.90$
 Convergent validity: Satisfied. All t-values $\Rightarrow 1.96$ (significant at 0.95 confidence level); All SMC $\Rightarrow 0.05$

Table 9.4 Measurement model for ethicality scale – multigroup analysis

Model Fit Indicators*	χ^2/df	CFI	IFI	TLI	GFI	AGFI	RMSEA
	1.261	0.998	0.998	0.993	0.978	0.916	0.030
Variable: Ethicality				Turkey		Romania	
				SMC	t- value	SMC	t- value
Fair/Unfair				.804		.779	
Just/Unjust				.850	17.205	.620	14.896
Acceptable to me/Not				.809	19.822	.717	13.527
Acceptable to family/Not				.441	9.301	.306	7.252
Not Selfish/Selfish				.713	14.092	.649	12.427
Tends to be good/bad				.857	17.307	.747	14.408
Leads to greatest good for greatest no./least				.698	13.627	.450	9.386
Morally right/Not				.748	12.915	.686	13.149
Does not violate my idea of fairness/Does				.719	14.093	.786	14.732

* χ^2/df : CMIN/df, CFI: Comparative fit index, IFI: Incremental fit index, TLI: Tucker-Lewis index; GFI: Goodness-of-fit index; AGFI: Adjusted goodness-of-fit index, RMSEA: Root mean square error of approximation, SMC: Squared multiple correlation (an item's own individual reliability)

Nomological validity: Satisfied. $\chi^2/df < 2.00$; RMSEA < 0.08 ; CFI, IFI, TLI, GFI and AGFI $\Rightarrow 0.90$
 Convergent validity: Satisfied. All t-values $\Rightarrow 1.96$ (significant at 0.95 confidence level); All SMC $\Rightarrow 0.05$

Table 9.5 Standardized coefficients for the ethicality scale

	Overall Sample	Turkey	Romania
Variable: Ethicality (R²= .423/ .442/ .358)	β	B	β
Fair/Unfair	.885	.897	.883
Just/Unjust	.863	.922	.788
Acceptable to me/Not	.888	.899	.847
Acceptable to family/Not	.631	.664	.553
Not Selfish/Selfish	.834	.844	.806
Tends to be good/bad	.893	.926	.864
Leads to greatest good for greatest no./least	.745	.836	.671
Morally right/Not	.857	.865	.828
Does not violate my idea of fairness/Does	.884	.848	.886

Note: β = Standardized coefficients, all coefficients were significant at p<.000. R2= Explained variance in the construct for overall sample/Turkey/Romania, respectively

Overall, the above analyses demonstrated the evidence for construct validity as well as reliability of the 1-factor MES scale for both samples. All of the fit indices met the acceptable criteria confirming the measurement model with significant factor loadings and construct reliabilities.

9.4.2 Cultural Values

To recap, three socio-cultural value dimensions based on the MCF were assessed in the present study⁵. The scales for socio-cultural values were checked for retention of the intended structure. EFA resulted in 7 factors with eigenvalues greater than 1.00. A further factor analysis whereby the number of factors was restricted at three factors showed a

⁵ In order to assess the psychometric properties of socio-cultural values, pooled data were used. By pooling the data more variation exists within each cultural context could be achieved since variation provides more robust estimates of the constructs (Hair et al., 1998).

relatively clear factor structure. Results for KMO and Bartlett's Test were adequate.

However, some of the items for collectivism and power distance loaded on same dimension, although other components were relatively independent. Hence, there was not exactly clear-cut separation of the scales for collectivism and power distance.

To further examine the dimensionality of the scales in light of the theoretical background, a CFA was conducted to show how well the model fits to data and confirm the factor structures. Again, CFA is superior to EFA, because it also allows the measurement errors to covary. When all the fit indices are considered, a three-factor model structure exhibits a very good fit overall. Tables 9.6 and 9.7 provide an overview of fit indices for value dimensions as well as the beta coefficients of items loaded on each value.

Table 9.6 Measurement model for socio-cultural values for the overall sample (N= 290)

Model Fit Indicators	χ^2 / Df	RMSEA	GFI	TLI	IFI	CFI	AGFI		
3-factor model	1.101	0.019	0.938	0.977	0.984	0.983	0.908		
Variables: Socio-cultural Values								SMC	t- value
Fatalism									
Most of the time, it doesn't pay to try hard because things never turn out right anyway.								.140	
When bad things are going to happen they just are going to happen no matter what you do to stop them.								.587	4.985
Planning only makes a person unhappy since plans hardly ever work out anyway.								.161	4.876
The wise person should live for today since planning tomorrow is futile.								.098	4.319
Whatever happens must happen.								.413	5.240
When one is born, the success or failure one is going to have is already in one's destiny, so one might as well.								.542	4.928
Power Distance									
There needs to be a hierarchy of authority in a society.								.151	
Parents should teach their children obedience.								.534	5.536
People having authority should be respected because of their position.								.142	4.184
People having authority and status should have privileges.								.039	2.600
Students should not disagree with their teachers.								.252	4.940
One should obey the person in the authority.								.277	5.003
Collectivism									
Even when the demands of one's in-group (family, relatives, close friends) are costly, one has to stay with it.								.424	
If a coworker gets a prize, individuals should feel proud.								.048	3.034
Family members should stick together, no matter what sacrifices are required.								.257	5.976
The well-being of coworkers should be important to individuals.								.215	5.356
One is expected to be loyal to his or her community even if one is inconvenienced by the demands of the community.								.280	6.272
It is one's duty to take care of his or her family, even when one has to sacrifice what he or she wants.								.200	5.638
One has to be loyal to his/her community if one seeks their support and protection.								.210	5.123
Pleasure is spending time with others.								.078	3.778
Group interests should take precedence over personal interests.								.036	2.415
Individuals should feel good when they cooperate with others.								.176	5.159
Parents and children must stay together as much as possible.								.081	3.823
Individuals should respect the decisions made by their groups.								.151	5.104
<p>*χ^2/df: CMIN/df, CFI: Comparative fit index, IFI: Incremental fit index, TLI: Tucker-Lewis index; GFI: Goodness-of-fit index; AGFI: Adjusted goodness-of-fit index, RMSEA: Root mean square error of approximation, SMC: Squared multiple correlation (an item's own individual reliability)</p> <p>Nomological validity: Satisfied. $\chi^2/df < 2.00$; RMSEA < 0.08; CFI, IFI, TLI, GFI and AGFI $\Rightarrow 0.90$ Convergent validity: Satisfied. All t-values $\Rightarrow 1.96$ (significant at 0.95 confidence level); All SMC $\Rightarrow 0.05$ (except for one item)</p>									

Table 9.7 Standardized coefficients for the socio-cultural values (N= 290)

Variables: Socio-cultural Values	β
Fatalism (R²= .236)	
Most of the time, it doesn't pay to try hard because things never turn out right anyway.	.374
When bad things are going to happen they just are going to happen no matter what you do to stop them.	.766
Planning only makes a person unhappy since plans hardly ever work out anyway.	.401
The wise person should live for today since planning tomorrow is futile.	.313
Whatever happens must happen.	.643
When one is born, the success or failure one is going to have is already in one's destiny, so one might as well.	.736
Power Distance (R²= .147)	
There needs to be a hierarchy of authority in a society.	.389
Parents should teach their children obedience.	.731
People having authority should be respected because of their position.	.376
People having authority and status should have privileges.	.199
Students should not disagree with their teachers.	.502
One should obey the person in the authority.	.526
Collectivism (R²= .750)	
Even when the demands of one's in-group (family, relatives, close friends) are costly, one has to stay with it.	.651
If a coworker gets a prize, individuals should feel proud.	.218
Family members should stick together, no matter what sacrifices are required.	.507
The well-being of coworkers should be important to individuals.	.464
One is expected to be loyal to his or her community even if one is inconvenienced by the demands of the community.	.529
It is one's duty to take care of his or her family, even when one has to sacrifice what he or she wants.	.447
One has to be loyal to his/her community if one seeks their support and protection.	.458
Pleasure is spending time with others.	.280
Group interests should take precedence over personal interests.	.190
Individuals should feel good when they cooperate with others.	.419
Parents and children must stay together as much as possible.	.284
Individuals should respect the decisions made by their groups.	.389

Note: β = Standardized coefficients, all coefficients were significant at p<.000. R²= Explained variance in the construct for overall sample

Reliability analysis for value dimensions showed that reliabilities ranged from Cronbach's alphas .677 to .716, with valid mean inter-item correlation scores⁶. Table 9.8 summarizes reliabilities for value dimensions for the overall sample as well as for the Turkish and the Romanian samples separately.

Table 9.8 Alpha reliabilities and mean inter-item correlations for socio-cultural values

	Overall Sample		Turkey		Romania	
	Alpha (α)	M Rij	Alpha (α)	M Rij	Alpha (α)	M Rij
Fatalism	.716	.450	.706	.440	.711	.444
Collectivism	.692	.333	.680	.320	.722	.363
Power Distance	.677	.408	.597	.319	.720	.437

An Independent sample t-tests revealed that the samples significantly differed with respect to fatalism ($t(288) = -3.272, p < .001$) and power distance ($t(288) = -6.578, p < .000$) values. The Romanian sample could be described as more power distant and fatalistic than Turkish one. There was no significant difference in the collectivism value ($t(288) = -.928, p > .05$).

9.4.3 HRM Practices

In this section CFA were conducted using AMOS 4, with the aim of testing the dimensionality of HRM measure that assessed HRM policies and practices in areas

⁶ With regard to the internal consistency results of the scales assessing values, it is important to note that because of the breadth and depth of these constructs, socio-cultural values are difficult to measure and the literature is full of evidence of moderate reliabilities (Aycaan et al., 2000; Maznevski et al., 2002; Hui & Triandis, 1989). Moreover, these complex constructs were assessed with a small number of items. Hence, lower reliabilities are accepted as adequate in the sense that they are comparable with the reliability estimates of similar constructs in the literature (Aycaan et al., 2000; Maznevski et al., 2002; Hui & Triandis, 1989).

including recruitment, performance evaluation, salaries and allowances, and training. This measure was used to assess participants' HRM preferences as well as their perceptions regarding the actual implementation of HRM (see Chapter 7). The items were grouped under three categories on the basis of Aycan's (2005) typology and empirically tested in a recent study in Oman context (Aycan et al., 2007). These items are the indicator variables aiming to measure the following three factors (i.e., latent variables): group-oriented HRM, hierarchy-oriented HRM, and informal and loose HRM.

In line with the theory of Aycan (2005), this three-factor structure was tested with a CFA. In order to improve the model, re-specifications were carried out (e.g., removing items). Then, the model with 12 items under three factors showed a very good fit to data. Two absolute fit indices, RMSEA= 0.0433 and GFI= 0.997, as well as all the incremental fit indices, NFI= 0.994, IFI= 0.999, CFI= 0.999, TLI= 0.989 and AGFI= 0.968, showed a very good model fit (Hu & Bentler, 1999). Tables 9.9 and 9.10 show the final measurement model. All of the fit indices that demonstrated a very good fit confirmed the nomological validity of the model (Hu & Bentler, 1999).

Coefficient alphas (α), the internal consistency measure of reliability for overall sample as well as Turkey and Romania samples were displayed on Table 9.11. Mean Inter-Item correlation (Mean R_{ij}) for overall sample as well as for the Turkish and Romanian samples ranged from .307 to .415 which were acceptable and above the recommended .20. These high alphas and mean R_{ij} indicate a high degree of homogeneity between the items and suggest that the items measure the same phenomenon.

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Table 9.9 Measurement model for the HRM practices scale – multigroup analysis

Model Fit Indicators*	χ^2/df	CFI	IFI	TLI	GFI	AGFI	RMSEA	
	1.002	1.000	1.000	0.999	0.957	0.916	0.003	
				Turkey			Romania	
Variables: HRM Practices				SMC	t- value	SMC	t- value	
Group-oriented HRM								
P5 - Focus on personal achievement				1.176		.130		
SA1 – Pay by personal performance				.095	.669	.891	1.392	
Hierarchy-oriented HRM								
P2 - Joint problem solving				.532		.252		
T2 - Requested by employees				.060	1.874	.222	3.123	
T5- Employees have a lot of say				.655	4.649	.612	3.767	
Informal and loose HRM								
S1 - Make criteria very clear				.125		.146		
S3 - Use sophisticated selection				.035	1.838	.131		
P3 - Create official evaluation				.152	3.112	.028	3.707	
T1 - More than 1 week on training				.367	3.376	.523	1.862	
T3 - Skills for present job				.084	2.618	.170	4.102	
T4 - Formal systematic training				.524	3.569	.450	3.365	
T6 - Provide continuous training				.281	3.522	.592	4.002	

* χ^2/df : CMIN/df, CFI: Comparative fit index, IFI: Incremental fit index, TLI: Tucker-Lewis index; GFI: Goodness-of-fit index; AGFI: Adjusted goodness-of-fit index, RMSEA: Root mean square error of approximation, SMC: Squared multiple correlation (an item's own individual reliability)

Table 9.10 Standardized coefficients for the HRM practices scale

Variables: HRM Practices	Turkey	Romania
Group-oriented HRM (R²= 1.138/ .145)	β	B
P5 - Focus on personal achievement	1.084	.360
SA1 – Pay by personal performance	.308	.944
Hierarchy-oriented HRM (R²= .699/ .336)		
P2 - Joint problem solving	.729	.502
T2 - Requested by employees	.245	.471
T5- Employees have a lot of say	.809	.782
Informal and loose HRM (R²= .146/ .335)		
S1 - Make criteria very clear	.354	.383
S3 - Use sophisticated selection	.186	.361
P3 - Create official evaluation	.390	.166
T1 - More than 1 week on training	.606	.723
T3 - Skills for present job	.289	.412
T4 - Formal systematic training	.724	.671
T6 - Provide continuous training	.530	.769

Note: β = Standardized coefficients, not all coefficients were significant at $p < .000$. R²= Explained variance in the construct for Turkey/Romania, respectively

Table 9.11 Alpha reliabilities and mean inter-item correlations for 3-factor HRM Practices

	Overall Sample		Turkey		Romania	
	Alpha (α)	M Rij	Alpha (α)	M Rij	Alpha (α)	M Rij
Group-oriented HRM	.369*	-	.352	-	.355	-
Hierarchy-oriented HRM	.518	.318	.588	.405	.589	.307
Informal-loose HRM	.701	.415	.597	.319	.720	.437

* Correlation-coefficient between 2 items
(significant at $p < .000$)

9.4.4 HRM Satisfaction

To recap, the degree to which employees were satisfied with HRM practices was assessed by using 12-item scale measuring critical characteristics of HRM systems (Khilji, 2004). After the items were entered into principal component analysis with Varimax rotation, two factors were identified, explaining a total of 63.28 % of the total amount of variance. The sampling adequacy of this model was very good (KMO=0.89) and the Bartlett test of sphericity was 2068.88, $p < 0.000$, indicating very good model acceptability. To test whether all variables would load on one factor, since single dimensionality of the scale was proposed by the author in the original scale development (Khilji, 2004), the analysis was re-run restricting the number of factors into one. The one factor model explained 53.26 % of the variance in the data set.

The reliability analysis for the HRM satisfaction scale revealed a strong inter-item consistency. The overall alpha for the scale was .919. Results also revealed that the corrected item-total correlations (i.e., the correlation between each item and the total scale

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score) for each item were above .300 and deletion of an item would not improve the scale reliability dramatically.

Table 9.12 Measurement model for the HRM satisfaction scale for the overall sample

Model Fit	χ^2/df	CFI	IFI	TLI	GFI	AGFI	RMSEA
Indicators*	1.393	0.996	0.996	0.987	0.983	0.939	0.037

Variable: HRM Satisfaction	SMC	t- value
Performance evaluation	.520	
Compensation practices	.626	11.612
Training opportunities offered by the organization	.560	8.573
Promotion opportunities available in the organization	.470	11.718
The support you get from the management	.380	11.673
Communication with the management	.148	9.835
Communication with others in the organization	.541	5.711
Level of autonomy to perform your day-to-day jobs	.714	9.132
Opportunities for higher learning	.586	10.024
Recognition if you perform a good job	.294	10.848
Involvement in making decisions relating to you and your job	.371	10.631
Involvement regarding drafting and implementing various management policies in this organization	.460	9.980

* χ^2/df : CMIN/df, CFI: Comparative fit index, IFI: Incremental fit index, TLI: Tucker-Lewis index; GFI: Goodness-of-fit index; AGFI: Adjusted goodness-of-fit index, RMSEA: Root mean square error of approximation, SMC: Squared multiple correlation (an item's own individual reliability)

Nomological validity: Satisfied. $\chi^2/df < 2.00$; RMSEA < 0.08 ; CFI, IFI, TLI, GFI and AGFI $\Rightarrow 0.90$
 Convergent validity: Satisfied. All t-values $\Rightarrow 1.96$ (significant at 0.95 confidence level); All SMC $\Rightarrow 0.05$

The above results indicated that the one HRM satisfaction factor can be considered as the basis for the CFA. All of the goodness-of-fit indices within the proposed ranges supported that the measurement model was valid, confirming nomological validity (see Tables 9.12-9.14). The factor loadings were high and significant ($p < 0.001$) in each sample, as well as the statistically significant t-values corresponding to these factor loadings satisfied the criteria for convergent validity (Hair et al., 1998).

Table 9.13 Measurement model for the HRM satisfaction scale – multigroup analysis

Model Fit Indicators*	χ^2/df	CFI	IFI	TLI	GFI	AGFI	RMSEA
	1.280	0.990	0.990	0.980	0.970	0.900	0.030
Variable: HRM Satisfaction	Turkey		Romania				
	SMC	t- value	SMC	t- value			
Performance evaluation	.534		.375				
Compensation practices	.420	9.216	.321	7.438			
Training opportunities offered by the organization	.436	7.632	.210	5.149			
Promotion opportunities available in the organization	.653	9.423	.526	7.310			
The support you get from the management	.745	9.731	.681	7.059			
Communication with the management	.670	8.381	.402	5.793			
Communication with others in the organization	.152	4.320	.141	3.806			
Level of autonomy to perform your day-to-day jobs	.455	7.500	.295	5.479			
Opportunities for higher learning	.527	8.140	.543	6.744			
Recognition if you perform a good job	.580	8.565	.538	6.868			
Involvement in making decisions relating to you and your job	.642	8.199	.584	6.811			
Involvement regarding drafting and implementing various management policies in this organization	.558	8.035	.512	6.315			

* χ^2/df : CMIN/df, CFI: Comparative fit index, IFI: Incremental fit index, TLI: Tucker-Lewis index; GFI: Goodness-of-fit index; AGFI: Adjusted goodness-of-fit index, RMSEA: Root mean square error of approximation, SMC: Squared multiple correlation (an item's own individual reliability)

Nomological validity: Satisfied. $\chi^2/df < 2.00$; RMSEA < 0.08 ; CFI, IFI, TLI, GFI and AGFI $\Rightarrow 0.90$
 Convergent validity: Satisfied. All t-values $\Rightarrow 1.96$ (significant at 0.95 confidence level); All SMC $\Rightarrow 0.05$

Table 9.14 Standardized coefficients for the HRM satisfaction scale

Variable: HRM Satisfaction ($R^2 = .735 / .884 / .576$)	Overall Sample	Turkey	Romania
	β	B	β
Performance evaluation	.678	.731	.612
Compensation practices	.609	.648	.566
Training opportunities offered by the organization	.542	.660	.458
Promotion opportunities available in the organization	.765	.808	.726
The support you get from the management	.845	.863	.825
Communication with the management	.735	.819	.634
Communication with others in the organization	.384	.389	.376
Level of autonomy to perform your day-to-day jobs	.616	.675	.543
Opportunities for higher learning	.685	.726	.737
Recognition if you perform a good job	.748	.762	.733
Involvement in making decisions relating to you and your job	.791	.801	.764
Involvement regarding drafting and implementing various management policies in this organization	.721	.747	.716

Note: β = Standardized coefficients, all coefficients were significant at $p < .000$. R^2 = Explained variance in the construct for overall sample/Turkey/Romania, respectively

9.4.5 Organizational Commitment

For testing the psychometric properties of the OC measure, the six items were submitted to a Principal Components factor analysis using Varimax rotation. The sampling adequacy of this model was high (KMO=0.73) and the Bartlett test of sphericity was 452.27, $p < 0.000$, indicating very good model acceptability. Two factors emerged explaining the 64.29 % of the variance in the data set. However, for two reasons, a further factor analysis in which the items were forced to one factor was carried out. Conceptually these six items measure single factor and the scale has already been established in the literature (Allen & Meyer, 1999). Moreover, in factor extraction, Kaiser's (1960) the-eigenvalue-greater-than-one-rule ($EV > 1$) is among the most commonly employed ones in deciding how many factors to extract. However, the overestimation of the number of reliable factors with that $EV > 1$ rule sheds some doubts on making use of this rule problematic (Zwick & Velicker, 1986; Henson, Capraro & Capraro, 2008)

A further EFA whereby the number of factors was restricted at one was run to test whether all six items would load on one factor in line with the literature. This single factor explained the 47.84 % of the variance in the data set. The alpha reliability coefficient of the scale with single factor in the present study was $\alpha = .768$. Higher scores reflected greater commitment. Consistent with the use of this scale in the literature, the scale score based on one factor model was used in further analyses.

In line with the theory, this one factor structure was tested with a CFA and the model showed a very good fit to the data. Two absolute fit indices, RMSEA= 0.0433 and GFI= 0.997, as well as all the incremental fit indices, NFI= 0.994, IFI= 0.999, CFI= 0.999,

TLI= 0.989 and AGFI= 0.968, showed a very good model fit (Hu & Bentler, 1999). The measurement model structure demonstrated a valid one factor solution for the affective commitment variable without any need for improving the model even in the first run of the CFA. Tables 9.15-9.17 show the final measurement model as well as standardized beta loadings. All of the fit indices demonstrated a very good fit confirming nomological validity of the model (Hu & Bentler, 1999). Since all the t-values of the items were significantly greater than the critical value of 1.96 at the 0.95 confidence level (Bagozzi, Yi & Philips, 1991), it can be concluded that the convergent validity was also achieved at 0.95 confidence level (Bagozzi, Yi & Philips, 1991).

Table 9.15 Measurement model for the OC scale for the overall sample

Model Fit Indicators*	χ^2/df	CFI	IFI	TLI	GFI	AGFI	RMSEA
	1.316	0.999	0.999	0.989	0.997	0.968	0.033
Variable: Organizational Commitment						SMC	t- value
I really feel as if this organization's problems are my own.						.216	
I do not feel a strong sense of belonging to my organization (r)						.415	4.366
I do not feel "emotionally attached" to this organization. (r)						.703	5.152
This organization has a great deal of personal meaning for me.						.370	4.841
I do not feel like "part of the family" at my organization. (r)						.233	5.163
I would be very happy to spend the rest of my career with this organization.						.110	5.158
* χ^2/df : CMIN/df, CFI: Comparative fit index, IFI: Incremental fit index, TLI: Tucker-Lewis index; GFI: Goodness-of-fit index; AGFI: Adjusted goodness-of-fit index, RMSEA: Root mean square error of approximation, SMC: Squared multiple correlation (an item's own individual reliability)							
Nomological validity: Satisfied. $\chi^2/df < 2.00$; RMSEA < 0.08; CFI, IFI, TLI, GFI and AGFI => 0.90							
Convergent validity: Satisfied. All t-values => 1.96 (significant at 0.95 confidence level); All SMC => 0.05							

Chapter 9: Quantitative Data Analysis & Results

Table 9.16 Measurement model for the OC scale – multigroup analysis

Model Fit Indicators*	χ^2/df	CFI	IFI	TLI	GFI	AGFI	RMSEA
	1.580	0.990	0.990	0.961	0.985	0.923	0.045
Variables: Organizational Commitment				Turkey		Romania	
				SMC	t- value	SMC	t- value
I really feel as if this organization's problems are my own.				.417		.125	
I do not feel a strong sense of belonging to my organization (r)				.541	4.017	.335	3.343
I do not feel "emotionally attached" to this organization. (r)				.794	4.300	.646	3.430
This organization has a great deal of personal meaning for me.				.368	4.189	.339	3.298
I do not feel like "part of the family" at my organization. (r)				.213	4.514	.253	3.354
I would be very happy to spend the rest of my career with this organization.				.141	4.017	.110	2.945

* χ^2/df : CMIN/df, CFI: Comparative fit index, IFI: Incremental fit index, TLI: Tucker-Lewis index, GFI: Goodness-of-fit index, AGFI: Adjusted goodness-of-fit index, RMSEA: Root mean square error of approximation, SMC: Squared multiple correlation (an item's own individual reliability)

Nomological validity: Satisfied. $\chi^2/df < 2.00$; RMSEA < 0.08 ; CFI, IFI, TLI, GFI and AGFI $\Rightarrow 0.90$
 Convergent validity: Satisfied. All t-values $\Rightarrow 1.96$ (significant at 0.95 confidence level); All SMC $\Rightarrow 0.05$

Table 9.17 Standardized coefficients for the OC scale

Variable: Organizational Commitment (R ² = .184 / .195 / .166)	Overall Sample	Turkey	Romania
	β	β	β
I really feel as if this organization's problems are my own.	.332	.375	.332
I do not feel a strong sense of belonging to my organization (r)	.483	.461	.503
I do not feel "emotionally attached" to this organization. (r)	.608	.607	.582
This organization has a great deal of personal meaning for me.	.838	.891	.804
I do not feel like "part of the family" at my organization. (r)	.644	.735	.579
I would be very happy to spend the rest of my career with this organization.	.464	.646	.353

Note: β = Standardized coefficients, all coefficients were significant at $p < .000$. R² = Explained variance in the construct for overall sample/Turkey/Romania, respectively

9.4.6 Met Expectations.

Met expectations were measured under two subsections. First of all, general met expectations were measured with two items (Meyer, Bobocel & Allen, 1991, Irving & Meyer, 1995). In the study by Irvin and Meyer (1995), one item, “At this point, my experiences in this organization have fallen short of my expectations”, was expected to measure the unmet expectations and the second item, “At this point, my experiences in this organization have exceeded my expectations”, was expected to measure exceeded expectations. These two items, after reverse coding the first one, were combined to form a single measure of met expectations due to a very high correlation between the items. The present study also used this combined scale to measure met expectations. Employee responses were obtained on a 6-point Likert scale ranged from “strongly disagree” to “strongly agree”. The correlation coefficient for two items in the scale for the overall sample as well as for the Turkish and Romanian samples were $r = .258$, $.272$ and $.242$, respectively. Higher scores reflected higher degree of met expectations.

In order to measure met expectations of respondents with regard to HRM practices, five items were created. Since this measure was newly developed, reliability analysis and factor structure were of particular importance. The participants indicated the degree to which their expectations have been met regarding the following HRM practices in their organization through 5 items: performance evaluation, compensation practices, training and development opportunities, promotion opportunities, and overall HRM practices in their organization. Items were assessed by using a 5-point scale (ranging from 1= to a very little extent, to 5= to a very large extent). The factor structure showed a single factor that

explained 64.26 % of the variance in the data set (Table 9.18). The sampling adequacy of this model was very good (KMO=0.85) and the Bartlett test of sphericity was 606.35, $p < 0.000$, indicating very good model acceptability.

Table 9.18 Exploratory factor analysis for the HRM expectation scale (for overall sample, and for Turkish and Romanian samples separately)

Factor: HRM Expectation	Overall Sample	Turkey	Romania
	1	1	1
Performance evaluation	.898	.812	.763
Compensation practices	.904	.826	.816
Training and development opportunities	.895	.798	.730
Promotion opportunities	.716	.820	.783
Overall HRM practices in your organization	.870	.914	.750
<i>Eigenvalues</i>	3.205	3.486	2.956
<i>Variance extracted</i>	64.10%	69.73%	59.11%
<i>KMO measure</i>	.849	.863	.809

Table 9.19 Alpha reliabilities and mean inter-item correlations for the HRM expectation scale

	Overall Sample		Turkey		Romania	
	Alpha (α)	M Rij	Alpha (α)	M Rij	Alpha (α)	M Rij
HRM Expectation	.857	.675	.887	.732	.826	.623

Cronbach's alphas and mean inter-item correlations for this scale showed that the items correlated well supporting the reliability of the scale (Table 9.19). The alpha

reliability coefficient of the scale in the present study was $\alpha = .857$ for the overall sample and results revealed that removal of any item would not improve the reliability.

Further CFA for the HRM Expectations variable demonstrated a valid one-factor solution in line with the model fit measures (see Tables 9.20-9.22). Two absolute fit indices, RMSEA= 0.032 and GFI= 0.993, as well as all the incremental fit indices, IFI= 0.998, CFI= 0.998, TLI= 0.995 and AGFI= 0.974, showed a very good model fit (Hu & Bentler, 1999). All of the fit indices were within the proposed ranges with significant factor loadings and t-scores, confirming nomological and convergent validity. The scale score computed on the basis of these five items. Higher scores reflected higher degree of met expectations.

Table 9.20 Measurement model for the HRM expectation scale for the overall sample

Model Fit Indicators*	χ^2/df	CFI	IFI	TLI	GFI	AGFI	RMSEA
	1.294	0.998	0.998	0.995	0.993	0.974	0.032
Variables: HRM Expectation						SMC	t- value
Performance evaluation						.439	
Compensation practices						.508	13.077
Training and development opportunities						.484	12.070
Promotion opportunities						.559	12.239
Overall HRM practices in your organization						.710	11.206
* χ^2/df : CMIN/df, CFI: Comparative fit index, IFI: Incremental fit index, TLI: Tucker-Lewis index; GFI: Goodness-of-fit index; AGFI: Adjusted goodness-of-fit index, RMSEA: Root mean square error of approximation, SMC: Squared multiple correlation (an item's own individual reliability)							
Nomological validity: Satisfied. $\chi^2/df < 2.00$; RMSEA < 0.08 ; CFI, IFI, TLI, GFI and AGFI $\Rightarrow 0.90$ Convergent validity: Satisfied. All t-values $\Rightarrow 1.96$ (significant at 0.95 confidence level); All SMC $\Rightarrow 0.05$							

Table 9.21 Measurement model for the HRM Expectation scale – multigroup analysis

Model Fit Indicators*	χ^2/df	CFI	IFI	TLI	GFI	AGFI	RMSEA
	1.122	0.998	0.999	0.996	0.987	0.952	0.021
Variables: HRM Expectation				Turkey		Romania	
				SMC	t- value	SMC	t- value
Performance evaluation				.540		.353	
Compensation practices				.558	1.601	.458	6.113
Training and development opportunities				.577	1.892	.425	6.896
Promotion opportunities				.559	11.350	.582	6.739
Overall HRM practices in your organization				.875	11.062	.512	7.506

* χ^2/df : CMIN/df, CFI: Comparative fit index, IFI: Incremental fit index, TLI: Tucker-Lewis index; GFI: Goodness-of-fit index; AGFI: Adjusted goodness-of-fit index, RMSEA: Root mean square error of approximation, SMC: Squared multiple correlation (an item's own individual reliability)

Nomological validity: Satisfied. $\chi^2/df < 2.00$; RMSEA < 0.08 ; CFI, IFI, TLI, GFI and AGFI $\Rightarrow 0.90$
 Convergent validity: Partially satisfied. t-values $\Rightarrow 1.96$ (significant at 0.95 confidence level); All SMC $\Rightarrow 0.05$

Table 9.22 Standardized coefficients for the HRM Expectation scale

Variable: HRM Expectation	Overall Sample	Turkey	Romania
($R^2 = .771 / .992 / .512$)	β	β	β
Performance evaluation	.663	.735	.594
Compensation practices	.713	.747	.676
Training and development opportunities	.696	.760	.652
Promotion opportunities	.748	.748	.763
Overall HRM practices in your organization	.842	.935	.716

Note: β = Standardized coefficients, all coefficients were significant at $p < .000$. R^2 = Explained variance in the construct for overall sample/Turkey/Romania, respectively

9.4.7 Person-Organization (PO) Fit

Perceived PO Fit was assessed by a 5-item scale developed by Saks and Ashforth (1997). The factor structure confirmed a single factor that explained 66.27 % of the variance in the data set. The sampling adequacy of this model was also very good (KMO=0.83) and

the Bartlett test of sphericity was 666.64, $p < 0.000$, indicating very good model acceptability. This model fit was also strongly confirmed with the CFA analysis. The model demonstrated a valid one-factor solution in line with all of the model fit measures. Tables 9.23 and 9.24 summarize all the fit indices. The alpha reliability coefficient of the scale in the present study was $\alpha = .87$ and results revealed that removal of any item would not improve the reliability.

Table 9.23 Measurement model for the PO Fit scale – multigroup analysis

Model Fit Indicators*	χ^2/df 1.177	CFI 0.996	IFI 0.996	TLI 0.978	GFI 0.990	AGFI 0.928	RMSEA 0.052
Variable: PO Fit				Turkey		Romania	
				SMC	t- value	SMC	t- value
Does your organization measure up to the kind of organization you were seeking?				.386		.284	
Is the organization a good match for you?				.518	7.796	.438	11.141
Does the organization fulfill your needs?				.607	6.606	.529	8.063
Does your personality match the personality or image of the organization?				.835	6.373	.745	7.449
Are the values of the organization similar to your own values?				.424	5.705	.864	6.148

* χ^2/df : CMIN/df, CFI: Comparative fit index, IFI: Incremental fit index, TLI: Tucker-Lewis index; GFI: Goodness-of-fit index; AGFI: Adjusted goodness-of-fit index, RMSEA: Root mean square error of approximation, SMC: Squared multiple correlation (an item's own individual reliability)

Nomological validity: Satisfied. $\chi^2/df < 2.00$; RMSEA < 0.08 ; CFI, IFI, TLI, GFI and AGFI $\Rightarrow 0.90$
 Convergent validity: Satisfied. All t-values $\Rightarrow 1.96$ (significant at 0.95 confidence level); All SMC $\Rightarrow 0.05$

Table 9.24 Standardized coefficients for the PO Fit scale

Variable: PO Fit ($R^2 = .590 / .965$)	Turkey	Romania
	β	β
Does your organization measure up to the kind of organization you were seeking?	.621	.533
Is the organization a good match for you?	.720	.662
Does the organization fulfill your needs?	.779	.727
Does your personality match the personality or image of the organization?	.914	.863
Are the values of the organization similar to your own values?	.651	.930

Note: β = Standardized coefficients, all coefficients were significant at $p < .000$. R^2 = Explained variance in the construct for overall sample/Turkey/Romania, respectively

9.4.8 Turnover Intention

Turnover intention was measured with a 3-item scale developed by Camman and colleagues (1983). One-factor emerged as a result of an EFA using the principal component analysis. The sampling adequacy of this model was sufficient ($KMO=0.66$) and the Bartlett test of sphericity was 535.17, $p < 0.000$, indicating good model acceptability (see Table 9.25)⁷. This single factor explained the 78.82 % of the variance in the data set. The alpha reliability coefficient of the scale in the present study was $\alpha = .863, .914$ and $.788$, for the overall, Turkish, and Romanian sample, respectively. Table 9.26 presents Cronbach's alphas and mean inter item correlations.

⁷ The measurement model for turnover intention revealed the overidentification of the model due to the limited number of the items. This is why CFA model by using AMOS cannot be run.

Table 9.25 Exploratory factor analysis for the turnover intention scale (for overall sample, and for Turkish and Romanian samples separately)

Factor	Overall Sample	Turkey	Romania
	1	1	1
I rarely think about quitting.	.790	.855	.699
I will actively look for a job outside my organization in the next year.	.936	.957	.910
I will probably look for a new job outside my present organization in the next year.	.932	.956	.905
<i>Eigenvalues</i>	2.367	2.561	2.137
<i>Variance extracted</i>	78.91%	85.37%	71.22%
<i>KMO measure</i>	.662	.690	.622

Table 9.26 Alpha reliabilities and mean inter-item correlations for the turnover intention scale

	Overall Sample		Turkey		Romania	
	Alpha (α)	M Rij	Alpha (α)	M Rij	Alpha (α)	M Rij
Turnover Intention	.863	.745	.914	.830	.788	.637

9.4.9 Individuals' Ethical Ideologies

Individuals' ethical ideologies of idealism and relativism were assessed by using the Ethics Position Questionnaire (EPQ) scale of Forsyth (1980). Items were first entered to principal component analysis, five factors were extracted, explaining a total of 63.06 % of the total amount of variance. The sampling adequacy of this model was very good (KMO=0.83) and the Bartlett test of sphericity was 2156.81, $p < 0.000$, indicating very good model acceptability. To test whether all variables would load on two factors consistent with theoretical structure, the analysis was re-run restricting the number of factors into two. In

that case, all of the items were loaded onto the factor that has been theoretically established. This two-factor model was used in the computation of scales scores and explained 43.92 % of the variance in the data set. Cronbach's alpha for the overall sample was 0.78 for idealism and 0.87 for relativism scale. The internal consistencies for idealism and relativism both for the Turkish and the Romanian sample were also above the expected .70 level (Nunnally, 1978).

Further CFA for the EPQ scale demonstrated a valid two-factor solution in line with the model fit measures (see Tables 9.27 and 9.28). Two absolute fit indices, RMSEA= 0.006 and GFI= 0.930, as well as all the incremental fit indices, IFI= 0.999, CFI= 0.999, TLI= 0.998 showed a very good model fit (Hu & Bentler, 1999). All of the fit indices were within the proposed ranges with significant factor loadings except for AGFI= 0.872 and t-scores, confirming nomological and convergent validity.

Table 9.27 Measurement model for the EPQ scale – multigroup analysis

Model Fit Indicators*	χ^2 / Df 1.009	RMSEA 0.006	GFI 0.930	TLI 0.998	IFI 0.999	CFI 0.998	AGFI 0.872
Variables: EPQ				Turkey		Romania	
Idealism				SMC	t- value	SMC	t- value
A person should make certain that their actions never intentionally harm another even to a small degree.				.519		.284	
Risks to another should never be tolerated, irrespective of how small the risks might be.				.593	8.447	.420	5.196
The existence of potential harm to others is always wrong, irrespective of the benefits to be gained.				.697	9.164	.420	5.707
One should never psychologically or physically harm another person.				.451	1.104	.346	5.999
One should not perform an action which might in any way threaten the dignity and welfare of another individual.				.429	7.074	.210	5.335
If an action could harm an innocent other, then it should not be done.				.575	7.218	.385	5.652
Deciding whether or not to perform an act by balancing the positive consequences of the act against the negative consequences of the act is immoral.				.199	5.135	.069	2.656
The dignity and welfare of people should be the most important concern in any society.				.213	5.362	.421	5.312
It is never necessary to sacrifice the welfare of others.				.009	1.155	.038	2.203
Moral actions are those which closely match ideals of the most "perfect" action.				.162	4.966	.155	4.123
Relativism							
There are no ethical principles that are so important that they should be a part of any code of ethics.				.099		.122	
What is ethical varies from one situation and society to another.				.407	3.728	.140	
Moral standards should be seen as being individualistic; what one person considers to be moral may be judged to be immoral by another person.				.593	3.735	.377	3.579
Different types of moralities cannot be compared as to "rightness."				.556	3.705	.577	3.837
Questions of what is ethical for everyone can never be resolved since what is moral or immoral is up to the individual.				.776	3.802	.657	4.075
Moral standards are simply personal rules which indicate how a person should behave, and are not to be applied in making judgments of others.				.676	3.782	.517	4.077
Ethical considerations in interpersonal relations are so complex that individuals should be allowed to formulate their own individual codes.				.581	3.946	.585	4.022
Rigidly codifying an ethical position that prevents certain types of actions could stand in the way of better human relations and adjustment.				.377	3.593	.22	4.295
No rule concerning lying can be formulated; whether a lie is permissible or not permissible totally depends upon the situation.				.147	3.523	.129	3.517
Whether a lie is judged to be moral or immoral depends upon the circumstances surrounding the action.				.146	3.433	.043	3.299
* χ^2/df : CMIN/df, CFI: Comparative fit index, IFI: Incremental fit index, TLI: Tucker-Lewis index; GFI: Goodness-of-fit index; AGFI: Adjusted goodness-of-fit index, RMSEA: Root mean square error of approximation, SMC: Squared multiple correlation (an item's own individual reliability)							
Nomological validity: Satisfied. $\chi^2/df < 2.00$; RMSEA < 0.08 ; CFI, IFI, TLI, GFI and AGFI $\Rightarrow 0.90$							
Convergent validity: Satisfied. All t-values $\Rightarrow 1.96$ (significant at 0.95 confidence level); All SMC $\Rightarrow 0.05$ except one item for each Turkish and Romanian sample							

Table 9.28 Standardized coefficients for the EPQ scale

Variables: EPQ	Turkey	Romania
Idealism (R²= .326/ . 231)	β	β
A person should make certain that their actions never intentionally harm another even to a small degree.	.721	.533
Risks to another should never be tolerated, irrespective of how small the risks might be.	.770	.648
The existence of potential harm to others is always wrong, irrespective of the benefits to be gained.	.835	.648
One should never psychologically or physically harm another person.	.672	.588
One should not perform an action which might in any way threaten the dignity and welfare of another individual.	.655	.459
If an action could harm an innocent other, then it should not be done.	.759	.620
Deciding whether or not to perform an act by balancing the positive consequences of the act against the negative consequences of the act is immoral.	.446	.262
The dignity and welfare of people should be the most important concern in any society.	.462	.649
It is never necessary to sacrifice the welfare of others.	.096	.195
Moral actions are those which closely match ideals of the most "perfect" action.	.403	.394
Relativism (R²= .163/ . 181)		
There are no ethical principles that are so important that they should be a part of any code of ethics.	.314	.349
What is ethical varies from one situation and society to another.	.638	.375
Moral standards should be seen as being individualistic; what one person considers to be moral may be judged to be immoral by another person.	.770	.614
Different types of moralities cannot be compared as to "rightness."	.746	.759
Questions of what is ethical for everyone can never be resolved since what is moral or immoral is up to the individual.	.881	.810
Moral standards are simply personal rules which indicate how a person should behave, and are not to be applied in making judgments of others.	.822	.719
Ethical considerations in interpersonal relations are so complex that individuals should be allowed to formulate their own individual codes.	.762	.765
Rigidly codifying an ethical position that prevents certain types of actions could stand in the way of better human relations and adjustment.	.614	.469
No rule concerning lying can be formulated; whether a lie is permissible or not permissible totally depends upon the situation.	.383	.359
Whether a lie is judged to be moral or immoral depends upon the circumstances surrounding the action.	.383	.206
<p>Note: β = Standardized coefficients, all coefficients were significant at p<.000. R2= Explained variance in the construct for Turkey/Romania, respectively</p>		

9.5 Testing the Hypotheses

In this section, following the measurement model estimation which is the confirmation of factor structure of each variable, the relationships between the (exogenous) and dependent (endogenous) variables were examined through multivariate analyses and through the use of SEM to test the proposed models, as discussed in Section 9.3.

9.5.1 Appropriateness: Its Relation to Ethical Ideology

To recap, a CFA of the Multidimensional Ethics Scale (MES) is the instrument designed to measure ethical judgment and the utility of which in predicting overall ethicality has been established (McMahon & Harvey, 2006). The results of the present study did not support either the 3-factor (moral equity, relativism, and contractualism) structure or the 5-factor structure (deontology, utilitarian, justice, relativist, egoistic) posited by Reidenbach and Robin (1988, 1990) and further revised by McMahon & Harvey (2006). Both the EFA and CFA revealed one-factor structure in contrast to the theoretical foundation upon which Reidenbach & Robin (1988, 1990) developed the MES. Consequently, in the further analyses one-factor MES scale was utilized.

Prior to the testing of the hypothesized relationships regarding the conceptualization of the appropriateness, the descriptive findings were examined. Table 9.29 presents the descriptive statistics for ethical judgment and ethical ideology variables, both for overall sample (pooled data) as well as separately for Turkish and Romanian samples.

Findings revealed that across the scenarios, for the overall sample, participants scored the highest with respect to the first scenario regarding internal recruitment (M= 3.65, SD= 0.94) and the lowest with respect to the second scenario of nepotism (M= 2.11, SD= 0.96). That is, participants judged the decision regarding 1ST scenario as the most ethical and the decision regarding 2nd scenario as the least ethical one. Managers scored in between with respect to the 4th scenario regarding seniority-based promotion (M= 2.85, SD= 1.03) as slightly below average, and the 3rd scenario about performance bias (M= 3.14, SD= 1.15), as slightly above the average. The most variability was observed on the ethical judgment with regard to the 4th scenario, but the least on the first scenario. That is, participating employees mostly differed and showed diversity on the judgment regarding the appropriateness of implementing seniority-based promotion, however, they judged using internal recruitment almost in a similar degree. Similar patterns were observed for Turkish and Romanian samples.

Table 9.29 Descriptive statistics for the ethical judgments across scenarios

	Overall Sample		Turkey		Romania	
	Mean	SD	Mean	SD	Mean	SD
Scenario 1	3.65	.94	3.75	.94	3.57	.94
Scenario 2	2.11	.96	2.24	.98	2.00	.93
Scenario 3	3.14	1.15	3.36	1.12	2.93	1.14
Scenario 4	2.85	1.03	2.91	1.11	2.80	.94
OVERALL	2.94	.61	3.07	.65	2.82	.55

The measures of ethical judgment for each scenario significantly correlated with each other with few exceptions. For the overall sample, the highest positive correlation was observed between the decision regarding scenarios 1 and 3 ($r = .224, p < .000$). That is, people who think that implementing internal recruitment rather than an external one is an ethical practice are more likely to report that implementing a biased performance management is ethical as well. Further analyses revealed different findings for Turkish and Romanian samples. While for Turkish participants the ethicality of decision regarding scenarios 1 and 4 showed the highest positive correlation ($r = .348, p < .000$), for the Romanian sample, interestingly, the ethicality decision regarding scenarios 2 and 4 reflected a negative association. That is, Romanian employees, who think that nepotism is an ethical decision, are less likely to think that decision regarding seniority-based promotion is ethical.

The independent sample t-tests revealed significant differences between Turkish and Romanian samples with regard to the degree of the ethicality of the decisions in scenarios 2 and 3 ($t(282) = 2.18, p < .05$, and $t(285) = 3.21, p < .001$, respectively). In each scenario, employees from Turkey were more likely to judge the managerial decision in the respective scenario as more ethical than Romanian employees.

To assess the utility of MES as a measure of ethical judgment, in former studies participants were also asked to evaluate the controversial decisions' overall ethicality, as measured by one item "ethical" (e.g., McMahon & Harvey, 2007). Apart from assessing MES scale as being a better predictor of overall ethicality, in the present study the appropriateness (and the effectiveness) of the decisions were also tested to see the degree to which the appropriateness concept overlaps with the ethicality of the practices under

investigation. Interestingly, the instrument for assessing ethical judgment better predicted the appropriateness decision than ethicality of the decision when “*ethical*” and “*appropriate*” were regressed on the MES scale separately. The MES factor for overall scenarios were a better predictor of “appropriate” than of “ethical”, accounting for 79% of the variance versus 73%. This instrument, however, could only explain 67% of the variance of “effectiveness”. Similar pattern was observed for Turkish and Romanian samples separately, always explaining the higher variance for the Turkish sample. The only discrepant pattern for the similar analyses for each scenario was observed for Romanian sample on the first scenario. For the Romanian sample, the MES scale could explain only 50% of variance of “ethical” compared to 77% and 61% of variance of “appropriate” and “effective”, respectively. Despite this discrepancy, in all cases the MES scale, initially constructed to measure ethical judgment, better predicted “appropriateness” of the judgment than that of “ethicality”. Hence, it can be asserted that since the scale already established and empirically validated as measuring ethicality could better predict appropriateness of controversial practices in HRM context, these concepts overlap to a great extent.

9.5.1.1 Understanding Individuals' Perception of Ethically Controversial Practices

One of the purposes of the present study is to better understand how individuals' ethical reasoning as well as the values they hold predict the rating of ethically controversial practices and how individuals respond to ethical dilemmas (O'Higgins & Kelleher, 2005). This is expected to enhance our understanding of individuals' perception of appropriateness of HRM practices.

With this aim, a series of multiple regression analyses were performed for the overall sample as well as for Turkish and Romanian samples separately. When both the values (i.e., collectivism, power distance and fatalism) and the ethical ideologies of relativism and idealism were entered to regression as predictor variables and with the ethicality of the overall HRM scenarios as the dependent variable, the overall model was significant for the overall sample ($F(5, 253) = 2.399, p < .05$), the Turkish ($F(5, 116) = 2.340, p < .05$), and the Romanian ($F(5, 126) = 4.173, p < .01$) sample (see Table 9.30). Results showed that for overall sample only collectivism value predicted the ethicality of overall HRM scenarios. Meanwhile, while for the Turkish sample power distance predicted the ethicality of overall HRM scenarios, for the Romanian sample both collectivism and relativism had significant contribution to the explained variance.

Table 9.30 Multiple regression analyses testing the effect of socio-cultural values and ethical ideologies on the ethicality of HRM scenarios

	Overall			Turkish			Romanian		
	St. β	R ²	F	St. β	R ²	F	St. β	R ²	F
Power Distance	.042	.05	2.399*	.185 [†]	.09	2.340**	.073	.14	4.173**
Fatalism	.062			.118			-.014		
Collectivism	.166*			.039			.278**		
Idealism	-.043			-.109			.058		
Relativism	-.089			.041			-.180*		

Note: [†] $p < .07$; * $p < .05$; ** $p < .01$; *** $p < .001$

9.5.2 Descriptive Statistics for Employee Attitudes

Table 9.31 displays the means and standard deviations for satisfaction with HRM practices, OC, turnover intention, employees' met expectations (i.e., overall organizational

expectation and specific HRM-related expectation) and perceived PO fit for each country sample. Among these variables, both the Turkish and Romanian sample scored the highest with respect to their OC ($M= 4.01$, $SD= 0.92$, and $M= 3.67$, $SD= 0.81$, respectively) and the lowest with respect to whether their HRM-related expectations were met or not ($M= 2.66$, $SD= 0.99$, and $M= 2.38$, $SD= 0.85$, respectively).

Table 9.31 Means and standard deviations for the employee attitudes

	Overall		Turkey		Romania	
	<i>M</i>	<i>SD</i>	<i>M</i>	<i>SD</i>	<i>M</i>	<i>SD</i>
HRM Satisfaction	3.460	.930	3.501	1.004	3.414	.854
Organizational Commitment	3.836	.879	4.014	.915	3.666	.809
Turnover Intention	3.139	1.308	3.220	1.458	3.061	1.145
Org Expectation	3.446	.999	3.04	1.027	3.390	.971
HRM Expectation	2.517	.933	2.662	.996	2.379	.849
PO Fit	3.171	.904	3.320	.945	3.030	.843

Independent sample T-tests revealed that Turkish employees working in Turkey were more likely to feel committed to their organization ($t(285) = 3.42$, $p < .001$), to perceive higher PO fit ($t(282) = 2.73$, $p < .01$) and to feel their HRM related expectations are met ($t(287) = 2.61$, $p < .01$) more than those working in Romania. However, T-tests revealed no difference with respect to HRM satisfaction ($t(284) = .86$, $p > .05$), turnover intention ($t(286) = 1.03$, $p > .05$) and organizational expectations ($t(283) = .96$, $p > .05$).

Intercorrelations among these study variables for both samples revealed strong positive relationships, except for turnover intention. That is, if employees feel satisfied with

the HRM practices in their organizations, they are more likely to feel committed to their organization, to perceive higher PO fit, to think that both organizational or HRM related expectations are met, and less likely to leave their organization.

Table 9.32 Intercorrelations among the employee attitudes for each group

TURKEY						
	HRM Satisfaction	Organizational Commitment	Turnover Intention	Organizational Expectation	HRM Expectation	PO Fit
HRM Satisfaction	1.000	.486***	-.528***	.492***	.711***	.659***
Organizational Commitment		1.000	-.592***	.498***	.435***	.614***
Turnover Intention			1.000	-.429***	-.421***	-.559***
Organizational Expectation				1.000	.399***	.416***
HRM Expectation					1.000	.597***
PO Fit						1.000
ROMANIA						
	HRM Satisfaction	Organizational Commitment	Turnover Intention	Organizational Expectation	HRM Expectation	PO Fit
HRM Satisfaction	1.000	.460***	-.460***	.557***	.685***	.643***
Organizational Commitment		1.000	-.352***	.507***	.447***	.608***
Turnover Intention			1.000	-.408***	-.323***	-.465***
Organizational Expectation				1.000	.425***	.557***
HRM Expectation					1.000	.697***
PO Fit						1.000

Note: N= 290 * p < .05; ** p < .01; *** p < .001

9.5.3 Descriptive Statistics for Actual and Preferred HRM

Tables 9.33-9.36 present means, standard deviations, and percentage agreement for both the preferences and the perceived implementation of HRM practices.

With regard to staffing practices, participants reported the least preference (only 8%) for making loyalty and seniority the top priority for important promotion rather than current performance and competence. However, almost a quarter of participants (21.6 %) reported

that in actuality this is the case. Even though both internal recruitment as well as finding the best suitable person within or outside of the organization were preferred, the actual practice revealed a widespread use of internal recruitment (41.7 %). Another discrepancy was observed regarding the use of sophisticated (e.g., interview, psychological test, task simulation, etc.) vs. simple selection tools for jobs. In actuality, reliance on simple selection process (41.9 %) was in contradiction with the preference (15.8 %).

Table 9.33 Staffing: Preference and Actual Practice

<i>Preference</i>						
Items	Left hand score choices	%	Right hand score choices	%	Mean	SD
STF1	Make criteria very clear	68.8	Not reveal all criteria	18.9	2.04	1.39
STF2	Fill vacancies with insiders	30.3	Fill vacancies with best people	35.9	3.13	1.30
STF3	Use sophisticated selection.	55.1	Use simple selection process	15.8	2.40	1.18
STF4	Performance top priority	61.3	Emphasis loyalty and seniority	.8	2.18	.99
STF5	Emphasis on social activities	67.7	Separate social activities	9.5	2.06	1.09
STF6	Announce all promotions	77.1	Only announce important ones	11.9	1.76	1.18
<i>Actual</i>						
Items	Left hand score choices	%	Right hand score choices	%	Mean	SD
STF1	Make criteria very clear	48.9	Not reveal all criteria	31.9	2.72	1.44
STF2	Fill vacancies with insiders	41.7	Fill vacancies with best people	22.7	2.76	1.18
STF3	Use sophisticated selection.	37.9	Use simple selection process	41.9	3.08	1.42
STF4	Performance top priority	39.3	Emphasis loyalty and seniority	21.6	2.74	1.14
STF5	Emphasis on social activities	38.8	Separate social activities	36.2	2.97	1.29
STF6	Announce all promotions	48.9	Only announce important ones	35.8	2.73	1.60

Table 9.34 Performance Evaluation: Preference and Actual Practice

<i>Preference</i>						
Items	Left hand score choices	%	Right hand score choices	%	Mean	SD
PE1	Focus evaluation on how	24.0	Focus evaluation on what	29.3	3.07	1.09
PE2	Joint problem solving	52.7	Managers not negotiate	17.1	2.43	1.17
PE3	Create official evaluation	56.3	Create unofficial evaluation	13.4	2.32	1.17
PE4	Evaluated by superior	54.8	Evaluated by subordinates	11.3	2.31	1.09
PE5	Focus on personal achievement	42.9	Focus on group achievement	15.2	2.59	1.09
PE6	Evaluations once in a while	32.5	Frequent evaluations	34.3	3.00	1.23
<i>Actual</i>						
Items	Left hand score choices	%	Right hand score choices	%	Mean	SD
PE1	Focus evaluation on how	23.2	Focus evaluation on what	47.8	3.34	1.25
PE2	Joint problem solving	26.6	Managers not negotiate	39.9	3.21	1.20
PE3	Create official evaluation	58.0	Create unofficial evaluation	15.5	2.33	1.17
PE4	Evaluated by superior	72.6	Evaluated by subordinates	7.0	1.85	1.05
PE5	Focus on personal achievement	53.2	Focus on group achievement	19.1	2.43	1.22
PE6	Evaluations once in a while	58.5	Frequent evaluations	17.4	2.24	1.28

Regarding performance evaluation practice, participants reported a preference for a focus on both how the job is being done as well as what was achieved (e.g., results), a preference for both Eastern and Western way of practices. Although participants reported less participative performance evaluation practices (e.g., 72.6 % agreement with performance evaluation by superiors as well as 39.9 % agreement non-joint nature of performance evaluation process), the interesting point was that more than half of the participants (54.8 %) also showed a preference for non-participative style, where only

superiors evaluate the performance. This finding is consistent with high power distance in Turkey and Romania (Hofstede 1980; GLOBE, House et al., 2004).

Preferences and perceived actual practices in the compensation area of HRM did not show a high discrepancy, mainly showing a tendency to be on the same side. In determining pay increases, participants reported a preference for a decision on the basis of both the group's and individual's work performance, hence reflecting the preference for hybridity. In the actual practice, more than half of the participants reported the use of individual's job performance in determining pay increases. Although more participants (44.4%) preferred compensation system with no regard for age and seniority, still one fourth of them (23.9%) would ask for taking age and seniority into account in determining salaries and allowances. More than a quarter of the participants also reported the use of age and seniority in pay related decisions in the actual practice.

The only discrepancy between actual and preference in the compensation area was with regard to taking specific qualification and skills of the employees into consideration when deciding rewards level or just considering sole performance. Even though 41.5 % of the participants asked for taking qualification and skills when deciding rewards as a preference, in the actual implementation the focus only on performance revealed higher percentage.

Table 9.35 Salaries and Allowances: Preference and Actual Practice

<i>Preference</i>						
Items	Left hand score choices	%	Right hand score choices	%	Mean	SD
SA1	Pay by personal performance	44.4	Pay by group performance	25.0	2.67	1.18
SA2	Keep pay levels secret	78.6	Allow pay level as public	11.1	1.76	1.11
SA3	Ensure individual's needs	31.8	Ensure organization's needs	18.3	2.78	.98
SA4	Reward by financial incentive	50.7	Reward by non financial	11.0	2.41	1.02
SA5	Salaries allowances by age	23.9	No regards to age seniority.	44.4	3.35	1.13
SA6	Consider qualifications, skills	41.5	Focus only on performance	19.4	2.69	1.07
<i>Actual</i>						
Items	Left hand score choices	%	Right hand score choices	%	Mean	SD
SA1	Pay by personal performance	51.8	Pay by group performance	22.7	2.58	1.24
SA2	Keep pay levels secret	77.9	Allow pay level as public	37.5	1.70	1.10
SA3	Ensure individual's needs	34.8	Ensure organization's needs	8.1	3.46	1.17
SA4	Reward by financial incentive	37.3	Reward by non financial	31.0	2.95	1.26
SA5	Salaries allowances by age	28.1	No regards to age seniority.	37.9	3.13	1.21
SA6	Consider qualifications, skills	24.0	Focus only on performance	37.8	3.22	1.18

The training area of HRM did not show a high discrepancy, there were few discrepancies between what people prefer and what they perceive in their organization. Although more than 70 % of participants were more likely to prefer a more Western type of training where there is a formal training policy, and continuous training opportunities with

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more participative training need analysis where employees themselves have a say, the actual did not reflect these preferences, but reflected more hybridity.

Table 9.36 Training: Preference and Actual Practice

<i>Preference</i>						
Items	Left hand score choices	%	Right hand score choices	%	Mean	SD
TR1	More than 1 week on training	72.8	Do not require training	11.6	1.92	1.12
TR2	Requested by employees	21.8	Requested by organization	28.9	3.10	1.03
TR3	Skills for present job	47.7	Skills relevant for other jobs	13.1	2.48	1.03
TR4	Formal systematic training	70.8	Ad hoc basis	6.4	1.89	1.00
TR5	Employees have a lot of say	76.1	Employees have a minor say	6.7	1.89	.98
TR6	Provide continuous training	70.3	Training for organization's need	12.7	2.06	1.11

<i>Actual</i>						
Items	Left hand score choices	%	Right hand score choices	%	Mean	SD
TR1	More than 1 week on training	36.1	Do not require training	45.2	3.21	1.51
TR2	Requested by employees	17.4	Requested by organization	55.6	3.63	1.20
TR3	Skills for present job	39.8	Skills relevant for other jobs	28.0	2.81	1.24
TR4	Formal systematic training	41.2	Ad hoc basis	35.0	2.91	1.36
TR5	Employees have a lot of say	32.0	Employees have a minor say	43.1	3.18	1.29
TR6	Provide continuous training	32.9	Training for organization's need	26.6	3.18	1.36

9.5.4 Testing the Overall Links and Models

To recap, in the present study, two comprehensive models have been proposed regarding the outcomes of the implementation of HRM in addition to the goal of understanding the factors predicting the HRM preferences. The first model asserted that the discrepancy between what HRM practices people prefer in their organization (i.e., preferred HRM) and what HRM practices they perceive implemented in their organization (i.e., actual HRM) can be linked to employee attitudes of OC and turnover intention through the mediation of the perceived appropriateness and effectiveness of HRM. Firstly, the discrepancy between the employees' perceptions of what they would like to see in their organizations in contrast to what they actually saw with regard to the implementation of HRM policies and practices would have a direct relationship of the perceived appropriateness and effectiveness of HRM. It is hypothesized that as the discrepancy between the preferred vs. actual HRM increases, it is also going to be perceived less appropriate and effective. This, in turn, will lead to negative employee attitudes such as higher TI and lower OC through the perceived PO Fit.

The second model, on the other hand, is about the implementation of HRM and reflecting the outcomes of the actual practices. The model asserted that as the perceived hybridity of HRM practices increase, it is going to be perceived as more appropriate (i.e., perceived HRM ethicality, met expectations) and effective (i.e., HRM satisfaction, perceived HRM effectiveness), because the hybridity has been assumed to be combining the best parts of different systems. This perception of appropriate and effective HRM will similarly lead to positive employee attitudes (i.e., lower turnover intention, higher OC).

In order to test the proposed models and the hypothesized relationships between the constructs, SEM is applied. SEM, which simultaneously tests a series of regression equations, confirms whether the specified model based on the theory is consistent with the estimated model based on the data collected (whether the data collected fits the model developed) (Blunch, 2008; Hair et al., 1998; Schumacker & Lomax, 2004).

The overall fit of a model can be tested through the goodness of fit measures (see section on CFA). To recap, commonly reported fit statistics are: chi-square (χ^2), root mean square error of approximation (RMSEA), goodness-of-fit index (GFI), Comparative Fit Index (CFI), Tucker-Lewis Index (TLI) and adjusted goodness-of-fit index (AGFI). Because the chi-square test of absolute model fit is sensitive to sample size and non-normality in the data, these other descriptive fit statistics are relied upon to assess the overall fit of the model to the data (Blunch, 2008; Schumacker & Lomax, 2004).

The overall fit of the models to the observed data was examined through using AMOS to assess the validity of the model. While testing the models, each cultural group (Turkish and Romanian) is entered as grouping variables to test the model equivalence in each culture (testing the same structural model for two samples simultaneously). Data analyses comparing similarities of proposed models across different samples (e.g., different cultures) are referred as tests of model invariance in the methodology literature (Yavas, Janda, & Morcoulides, 2004). The test of model invariance based on CFA examines the model subsequently with the aim of determining whether the model and the individual parameter estimates such as the items constituting each factor are the same across the various samples. Similar to SEM it tests whether the model fits the data through computing

fit indices. Then, comparable construct validity for each of the separate cultural groups can be established.

In sum, in the following four sections, the results of data analyses involving factors predicting individuals' HRM preferences and their perception of actual HRM implementation, the outcomes of the discrepancy between the preferred and the actual HRM (i.e., model 1) as well as the outcomes of the perceived hybridity of (actual) HRM in relation to their perceived appropriateness and effectiveness (model 2) will be presented.

9.5.4.1 Understanding preferred HRM

One of the main purposes of the study was to examine the link between cultural orientations of the participants and how they related to the preferences for HRM policies and practices.

Prior to the test of hypothesized relationships, descriptive findings were examined. Findings revealed that among the managerial values, participants scored the highest with respect to collectivism ($M= 4.23$, $SD= 0.52$) and the lowest with respect to fatalism ($M= 2.58$, $SD= 0.81$). Employees scored in between with respect to power distance ($M= 3.41$, $SD= 0.75$). Therefore, participants could be described as highly collectivist, moderately power distant and less fatalistic. The most variability was observed on fatalism value of participating individuals, but the least on collectivism. That is to say, respondents mostly differed and show diversity on their fatalistic beliefs, however, they valued collectivism almost in a similar degree.

Table 9.37 presents the correlations between all the value dimensions with the preference for each of HRM practice. Results revealed that while the staffing is more likely to be related to the socio-cultural value orientations of the participants, compensation is the least likely HRM area.

In order to test the first set of hypotheses (hypotheses 1-3) that were concerned with the relationships between the cultural values and preferences for HRM, bivariate correlations were run. Table 9.38 presents intercorrelations among the cultural values and the preferences for HRM. As Hypothesis 1 suggested, the preference for group-oriented HRM practices was significantly related to collectivism value ($r = 0.12, p < .05$). Hypothesis 2 predicted that hierarchy-oriented HRM practices would be positively related to power distance value dimension. Preference for hierarchy-oriented HRM was significantly correlated with both power distance ($r = 0.29, p < .001$) and fatalism values ($r = 0.13, p < .01$). As hypothesized, the preference for loose and informal HRM practices was positively related to fatalism value ($r = 0.18, p < .01$). Although not hypothesized, the preference for loose and informal HRM practices was also positively related to power distance value ($r = 0.29, p < .01$) Overall, results provide support for Hypotheses 1, 2 and 3.

Table 9.37 Correlations between the socio-cultural values and HRM preferences

Recruitment	Cultural Values		
	PD	C	F
STF1: Make criteria very clear	.257***	.046	.185**
STF2: Fill vacancies with insiders	-.050	.006	-.137*
STF3: Use sophisticated selection.	.099	.006	.088
STF4: Performance top priority	.190**	.046	.212***
STF5: Emphasis on social activities	.158**	-.010	.154**
STF6: Announce all promotions	.192***	-.001	.310***
Performance Evaluation	Cultural Values		
	PD	C	F
PE1: Focus evaluation on how	-.042	-.003	.014
PE2: Joint problem solving	.228***	.075	.091
PE3: Create official evaluation	.086	-.064	.040
PE4: Evaluated by superior	-.181**	-.008	-.030
PE5: Focus on personal achievement	-.049	.074	-.105
PE6: Evaluations once in a while.	-.144*	-.034	-.076
Salaries/Allowances	Cultural Values		
	PD	C	F
SA1: Pay by personal performance	.032	.111	-.054
SA2: Keep pay levels secret	-.060	-.018	.019
SA3: Ensure individual's needs	-.018	.048	-.108
SA4: Reward by financial incentive	.027	-.007	.004
SA5 Salaries allowances by age	-.127*	-.074	-.113
SA6: Consider qualifications, skills	.043	.044	-.008
Training	Cultural Values		
	PD	C	F
TR1: More than 1 week on training	.240***	.015	.169**
TR2: Requested by employees	.123*	.095	.007
TR3: Skills for present job	.125*	.098	.132*
TR4: Formal systematic training	.169**	.125*	.100
TR5: Employees have a lot of say	.255***	.018	.197***
TR6: Provide continuous training	.189***	.007	.052

Note: N=290 * p < .05; ** p < .01; *** p < .001
 PD: Power Distance, C: Collectivism, F: Fatalism

Table 9.38 Intercorrelations among the socio-cultural values and HRM preferences

	1	2	3	4	5	6
Managerial Values						
1. Power Distance	-	0.299***	0.352***	0.288***	0.287***	-0.006
2. Fatalism		-	0.102	0.175***	0.130*	-0.098
3. Collectivism			-	0.088	0.097	0.117*
HRM Preferences						
4. Informal and loose HRM				-	0.503***	0.014
5. Hierarchy-oriented HRM					-	0.088
6. Group-oriented HRM						-

Note: N= 290 * $p < .05$; ** $p < .01$; *** $p < .001$

Subsequently, demographic variables were included to control the influence of the ones that revealed significant relationships with employees' HRM preferences. Among the demographic variables (i.e., age, gender, education, organizational tenure, and current position as managerial or non-managerial), while age ($r = -0.165, p < .01$), position ($r = 0.190, p < .01$) and tenure ($r = -0.121, p < .05$) were significantly correlated with individuals' informal and loose HRM preferences, hierarchy-oriented HRM did not significantly correlate with any demographic variables. Lastly, group-oriented HRM preference was significantly related to age ($r = 0.157, p < .001$), gender ($r = 0.182, p < .01$) and position ($r = -0.147, p < .05$). Female employees were more likely to prefer group-oriented HRM than male ones. Moreover, older employees prefer more formal and group-oriented HRM practices. On the other hand, employees in non-managerial position tend to prefer more informal and loose, but less group-oriented HRM. As a result, the influences of these demographic variables on participants' HRM practices, if relevant, were controlled for in further analyses.

Table 9.39 presents the partial correlations after controlling the influence of the demographic variables that revealed significant relationship with HRM preferences. Results revealed similar findings, supporting the relevant hypotheses.

Table 9.39 Partial correlations of the socio-cultural values and HRM preferences

HRM Preferences	Managerial Values		
	Power Distance	Fatalism	Collectivism
Informal and loose HRM	0.260 ^{***}	0.120 [*]	0.080
Hierarchy-oriented HRM	0.288 ^{***}	0.287 ^{***}	-0.006
Group-oriented HRM	0.026	-0.029	0.116 [*]

Note: N= 290 * p < .05; ** p < .01; *** p < .001

9.5.4.2 Understanding the Employee Perception of Actual HRM

To recap, a set of hypotheses related to the possible factors influencing the implementation of HRM was proposed to enhance our understanding of the employee perception of actual HRM in DCEEs.

Hypotheses 4a and 4b suggested a negative relationship between the size of the organization and implementation of informal and loose and group-oriented HRM. That is, employees working in larger organizations expected to perceive more formal, but less group-oriented HRM practices in their organization. However, size of the organization did not have a significant relationship with any dimension of actual HRM practices. Hence, Hypotheses 4a and 4b were not confirmed.

Employees from service sector organizations and manufacturing sector ones were also compared regarding the perceived implementation of HRM practices. Independent

sample t-tests revealed a significant difference with respect to the informal and loose HRM ($t(231) = -2.877, p < .01$). As suggested in Hypothesis 5, employees from service sector perceived more informal and loose HRM in their organizations. Although not hypothesized, t-tests revealed a significant difference with respect to the hierarchy-oriented HRM as well ($t(231) = -2.874, p < .01$). Employees from manufacturing sector perceived less hierarchy-oriented HRM in their organizations.

Hypothesis 6 suggested a positive relationship between the perceived hybridity of HRM practices and the cultural distance between home- and host- country of the employees⁸. In order to test this hypothesis, the following formula of Kogut and Singh (1988) was used to calculate the cultural distance between Turkey and MNCs' home countries:

$$CD_j = \sum [(I_{ij} - I_{iu})^2 / V_i] / 9$$

CD_j : the cultural difference of the j th country from Turkey

I_{ij} : the index for the i th cultural dimension and j th country

I_{iu} : the index for the i th cultural dimension and Turkey

V_i : the variance of the index of the i th dimension

In calculation of cultural distance, both cultural practices and cultural values captured by the GLOBE project on nine dimensions were used. The scores from the GLOBE project was utilized since this project provided the most recent conceptualization of a within dimension paradigm and is perceived as a helpful update to Hofstede's dimensions

⁸ This hypothesis could be tested only for Turkish sample, since in Romania, the home-country of MNCs was Turkey, resulting in same cultural distance for every participant.

with some additional dimensions (Javidan et al., 2006; Husted, 2000; Parboteeah, Bronson, & Cullen, 2005).

Bivariate correlations revealed that informal and loose HRM correlated significantly with the cultural distance of home country of MNCs in terms of practices ($r = 0.183$, $p < .001$) and values ($r = 0.186$, $p < .001$). That is, as MNCs' home country has a higher cultural distance from Turkey, employees are more likely to perceive informal and loose HRM in their organizations. However, perceived hybridity of any HRM dimension did not reveal a significant relationship with cultural distance scores, thus Hypothesis 6 was not supported.

Hypothesis 7 proposed a positive relationship between headquarters-to-subsiary flow and the higher degree of convergence in perceived HRM practices of MNCs. That is, as the headquarters-to-subsiary flow increases, it is expected that HRM practices will be perceived more formal, less hierarchical and less group-oriented. To recap, the headquarters-to-subsiary flow variable consisted of three items which were low dependence on local inputs, frequency of communication with the parent company and the dependence on the parent in terms of know-how. However, after the question measuring the dependence on local inputs was reverse coded in order to be consistent in the data analysis, a reliability analysis for these three questions resulted in an alpha of 0.078, far from the acceptable level⁹. This is why, while two items (i.e., frequency of communication with the parent company and the dependence on the parent in terms of know-how) with $r = .337$ ($p < .001$) were used to compute headquarters-to-subsiary flow (higher score means higher dependence to the parent company, while lower score indicates low dependence), the item

⁹ This also in a way reflects the hybridity in terms of dependence on both local resources as well as headquarters

measuring dependence on local inputs was used separately to check its relationship with perceived HRM practices.

Bivariate correlations revealed no significant relationship between headquarters-to-subsidary flow and HRM practices, contrary to Hypothesis 7. However, there was a significant negative relationship between dependence on local inputs and informal and loose HRM practices ($r = -.144, p < .05$). That is, employees who perceive a higher dependence on local norms also perceive that HRM practices in their organizations were implemented in a more formal and structured way.

In sum, while the results confirmed Hypothesis 5, Hypotheses 4a, 4b, 6 and 7 were not supported.

9.5.4.3 Testing the first model: Discrepancy between preferred and actual HRM

The aim of the first model is to predict the mediated relationship between HRM discrepancy (i.e., discrepancy between perceived actual HRM implementation and HRM preferences) and employee attitudes of OC and turnover intention, through the mediation of perceived HRM ethicality, HRM effectiveness and PO Fit. The discrepancy scores for each respondent were attained by computing the difference between the actual and the preferred implementation of HRM practices. Table 9.40 displays the overview of the goodness-of-fit indices for the Model 1 after re-specification of the measurement model. Due to a high modification value, the model was modified through adding a direct link from HRM ethicality to HRM effectiveness and by cutting out the direct link from HRM discrepancy to

HRM effectiveness. That is, the relationship between HRM discrepancy and perceived HRM effectiveness was mediated by the perceived HRM ethicality.

Table 9.40 Model fit indices – Model 1

Model Fit Indicators	χ^2	Df	χ^2 / Df	RMSEA	GFI	TLI	IFI	CFI	AGFI
	19.79	14	1.41	0.04	0.97	0.98	0.99	0.99	0.92

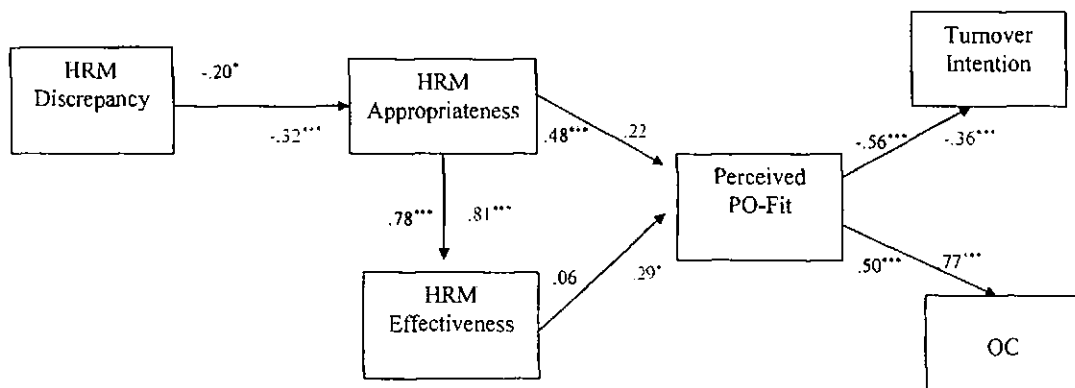
Notes: χ^2 – Chi square; df – degrees of freedom; RMSEA – Root mean square error of approximation; GFI – Goodness-of-fit index; TLI – Tucker-Lewis Index; IFI – Incremental fit index; CFI – Comparative-fit index; AGFI – Adjusted goodness-of fit index; Model fit: RMSEA < 0.05; NFI, NNFI and CFI => 0.95, GFI and AGFI within the acceptable range of 0.80 and 0.90.

When all of the fit indices are considered, this model structure exhibited a good fit overall. Although the χ^2 value was statistically significant ($\chi^2= 19.79$, $df= 14$), thereby indicating a poor fit, the other fit indices including CMIN/df (the χ^2/df) were used to assess the validity of the overall model since the χ^2 is sensitive to the sample size (Bagozzi, Yi & Philips, 1991). These other fit indices demonstrated a very good fit, confirming the relationships proposed between the constructs. The χ^2/df was 1.41, which is below the cut-off-values of 2. Similarly, RMSEA was 0.041, which is again below the cut-off value of 0.50 (Hu & Bentler, 1999). The other indices (GFI, AGFI, CFI and TLI) were all above the threshold values. Overall, the validity of the proposed model was established by the model fit indices.

Regarding the supported structural model, it was found that the discrepancy between what is preferred HRM and what is perceived as the actual HRM practice, had a significantly negative impact on perceived HRM ethicality both for Turkish and Romanian samples. HRM discrepancy was significant at the 0.95 confidence level. The influence of

HRM ethicality had a very high impact on HRM effectiveness for both Turkish and Romanian samples (γ Ethicality-Effectiveness= 0.78 and 0.81, respectively) (Figure 9.1). That is, *ceteris paribus*, a one unit increase in perceived HRM ethicality would result in a 0.78 increase in perceived HRM effectiveness for Turkish sample and 0.81 for Romanian sample. Then, a difference was observed for Turkish and Romanian. While the influence of perceived HRM ethicality on perceived PO Fit was direct for Turkish sample, this relationship was mediated by perceived HRM effectiveness for Romanian sample. Finally, the influence of perceived PO Fit on employee attitudes of turnover intention and OC was confirmed for both samples. The relationship between PO Fit and turnover intention was negative and significant at the .95 confidence level, with a critical t-value higher than 1.96 for both samples. The relationship between PO Fit and OC was positive and significant at the .95 confidence level, with a critical t-value higher than 1.96 for both samples as well.

Figure 9.1 The structural model and standardized coefficients for the re-specified Model 1: Discrepancy between preferred and actual HRM



TR: Turkish sample
RO: Romanian sample

9.5.4.4 Testing the second model: The outcomes of the perceived HRM hybridity

The aim of the second model is to examine the outcomes of perceived HRM hybridity in terms of their appropriateness and effectiveness. Its further outcomes in terms of organization related employee attitudes were also examined as a result of perceived HRM outcomes. Table 9.41 demonstrates the overview of the goodness-of-fit indices for the Model 2 after some re-specifications of the measurement model. Due to a high modification value, the model was modified by adding an indirect link from HRM appropriateness to OC mediated by organizational expectations (whether employees' organizational expectations were met or not) and the link from HRM appropriateness toward turnover intention was removed.

When all of the fit indices are considered, this final model structure exhibited a good fit overall. That is, the validity of the proposed model was established by the model fit indices. The research hypotheses that were tested on the basis of the structural model were all supported through an examination of the path estimates and t-values shown in Figure 9.2. All of the paths had statistically significant coefficients for both the Turkish and Romanian samples.

Regarding the relationships between hybrid HRM and the appropriateness and the effectiveness of HRM, it was found that HRM hybridity (HRMH) had a statistically significant impact on both of the HRM appropriateness (HRMA) and effectiveness (HRME)¹⁰. HRMH was significant at the 0.95 confidence level ($t_{\text{HRMH-HRMA}} = 2.970 > 1.96$, $t_{\text{HRMH-HRME}} = 2.988 > 1.96$ for the Turkish sample and $t_{\text{HRMH-HRME}} = 2.022 > 1.96$ for the

¹⁰ Except for impact on HRMA for the Romanian sample.

Romanian samples). These results suggested that Hypotheses 11a, 11b, 12a, 12b were supported. Furthermore, HRME had a significant direct positive impact on OC and a negative impact on turnover intention for both samples. All of these impacts were significant at the 0.95 confidence level, with all t-values higher than 1.96. The link between HRMA and OC was an indirect one. This impact was mediated through organizational expectation (OE) variable.

The evaluation of the structural equation regarding the relationships between HRMA, OE and OC demonstrated that while the HRM construct is a determinant of the OE construct, the OE construct is determinant of the OC. Both the standardized estimates and t-values showed statistically significant paths between these variables. The t-values for each relationship were above the critical value of 1.96 at the 0.95 confidence level for both the Turkish and Romanian sample (Bagozzi, Yi & Philips, 1991). These findings also revealed that both the relationship between HRMA and OE, and between OE and OC were positive. That is, when employees perceive higher appropriate HRM, they are more likely to think that their expectations in the organization are met, which in turn leads to higher OC.

Overall, in light of these findings, it can be concluded that the following hypothesized relationships were supported: As the perceived hybridity of HRM practices increases both in terms of the group-oriented HRM, informal-loose HRM and hierarchical HRM, these practices will be perceived more appropriate. That is, these practices will be perceived as more ethical and as meeting HRM related expectations of employees, as these practices combine both formal and informal, individual and group related, and flat and hierarchical HRM practices. Similarly, as the perceived hybridity of HRM practices

increases, these practices will also be perceived more effective. That is, employees will be more satisfied with the organizational HRM practices and perceive that they are more effective. Furthermore, when employees think that these HRM practices are effective, they are more likely to feel committed to their organizations (higher OC) and less likely to leave (lower turnover intention).

On the other hand, the following hypotheses are partially supported: Employee perception of appropriate HRM practices was not related to whether they would stay in the organization or not. This perception is related to their level of OC via their expectations regarding overall organization. That is, if they perceive that HRM practices are appropriate, they are more likely to feel that their organizational expectations are met and this will lead to higher committed individuals.

To sum up, regarding the second model, almost all of the hypothesized relationships between the constructs under study were statistically confirmed except for the link between the HRM appropriateness and turnover intention. The link between the HRM appropriateness and OC, on the other hand, was partially supported (see Table 9.41).

Table 9.41 Model fit indices – Model 2

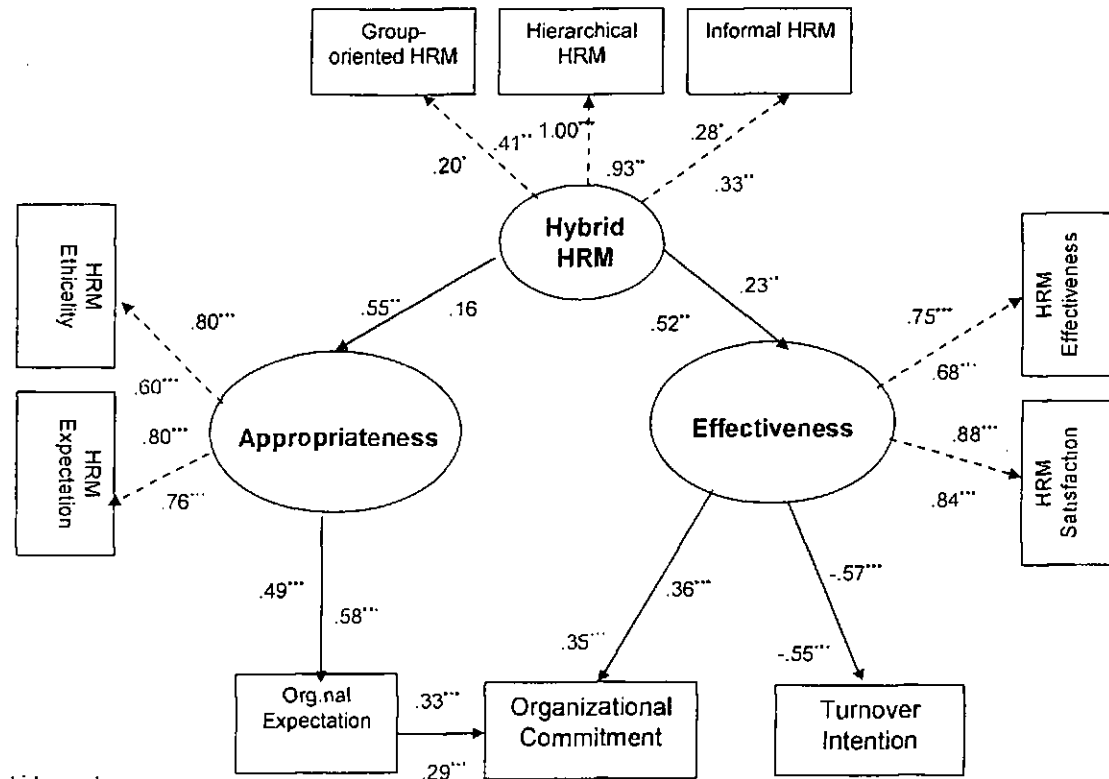
Model Fit Indicators	χ^2	Df	χ^2 / Df	RMSEA	GFI	TLI	IFI	CFI	AGFI
	63.20	52	1.21	0.03	0.96	0.98	0.99	0.99	0.91

Notes: χ^2 – Chi square; df – degrees of freedom; RMSEA – Root mean square error of approximation; GFI – Goodness-of-fit index; TLI – Tucker-Lewis Index; IFI – Incremental fit index; CFI – Comparative-fit index; AGFI – Adjusted goodness-of fit index; Model fit: RMSEA < 0.05; NFI, NNFI and CFI => 0.95, GFI and AGFI within the acceptable range of 0.80 and 0.90.

9.6 Conclusion

The purpose of this chapter was to present the results of quantitative research of the present study. The chapter started with exploring the data set and the psychometric properties of the scales used. The relationships between variables were examined through multivariate analyses and through the use of SEM to test the proposed models. Results indicated that not the contextual variables but the values are more influential in understanding HRM. Moreover, the discrepancy in prescriptive HRM (what is preferred by employees) and descriptive HRM (what is implemented in the organization) leads to negative employee attitudes through the mediation of their perceived appropriateness, effectiveness and perceived fit between the individual and the organization. The SEM also revealed that almost all of the proposed relationships between the study variables exist, despite some variation for the Turkish and Romanian sample. While for the Romanian sample effectiveness of hybrid HRM practices resulted in higher OC and lower turnover intention, for Turkish sample appropriateness of hybrid HRM predicted their effectiveness which, in turn, led to positive employee attitudes. (see Table 9.42 for hypotheses supported or not supported)

Figure 9.2 The structural model and standardized coefficients for the re-specified Model 2: Outcomes of hybrid HRM



TR: Turkish sample
RO: Romanian sample

* $p < .05$, ** $p < .01$, *** $p < .001$

Table 9.42 Summary table for the supported and not-supported hypotheses

Hypothesis #	Hypothesized Relationships	
1	There will be a positive relationship between collectivism and preference for group-oriented HRM. That is, employees scoring high on collectivism are expected to prefer more group-oriented HRM.	S
2	There will be a positive relationship between power distance and preference for hierarchy-oriented HRM. That is, employees scoring high on power distance are expected to prefer more hierarchy-oriented HRM.	S
3	There will be a positive relationship between fatalism and preference for informal and loose HRM. That is, employees scoring high on fatalism are expected to prefer more informal and loose HRM.	S
4a	There will be a negative relationship between size of the organizations and implementation of informal and loose HRM. That is, employees working in smaller organizations are expected to perceive their organization as engaged in more informal and loose HRM.	ns
4b	There will be a negative relationship between size of the organizations and implementation of group-oriented HRM. That is, employees working in smaller organizations are expected to perceive their organization as engaged in more group-oriented HRM.	ns
5	Employees working in service sector organizations expected to perceive their organization as engaged in more informal and loose HRM.	S
6	There will be a positive relationship between the hybridity of HRM practices and the cultural distance between home- and host- country of the organization employees are working. That is, as the cultural distance between the culture of the local employees and of the home country of MNCs increases, HRM practices will be perceived as more hybrid by those employees.	ns
7	There will be a positive relationship between the convergence of HRM practices and the headquarters-to-subsidary flow. That is, as the control of headquarters over the subsidiaries increases, HRM practices will be perceived more so-called Western rather than hybrid.	ns
8a	There will be a negative relationship between the discrepant HRM practices and the appropriateness of HRM. That is, as the discrepancy between actual and preferred HRM increases, these practices tend to be perceived less appropriate.	S
8b	There will be a negative relationship between the discrepant HRM practices and effectiveness of HRM. That is, as the discrepancy between actual and preferred HRM increases, these practices tend to be perceived less effective.	S
9	<i>The PO Fit will mediate the relationship between the perceived appropriateness and effectiveness of HRM and employee attitudes of OC and turnover intention.</i>	
9a	There will be a positive relationship between the perceived appropriateness of HRM and PO Fit.	S
9b	There will be a positive relationship between the perceived effectiveness of HRM and PO Fit.	S

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Hypothesis #	Hypothesized Relationships	
9c	There will be a positive relationship between PO Fit and OC.	S
9d	There will be a negative relationship between PO Fit and turnover intention.	S
10a	The appropriateness of HRM practices is expected to be conceptualized as its perceived ethicality and whether they meet employees' expectations or not.	~S
10b	The effectiveness of HRM practices is expected to be conceptualized as employee satisfaction with HRM and the perceived effectiveness.	S
11a	There will be a positive relationship between the hybridity of HRM and its appropriateness. As HRM practices are perceived as hybrid, they will also be perceived as more appropriate.	S
11b	There will be a positive relationship between the hybridity of HRM and its effectiveness. As HRM practices are perceived as hybrid, they will also be perceived as more effective.	S
12a	There will be a positive relationship between the appropriateness of HRM practices and OC.	ns
12b	There will be a positive relationship between the effectiveness of HRM practices and OC.	S
13a	There will be a negative relationship between the appropriateness of HRM practices and turnover intention.	~S
13b	There will be a negative relationship between the effectiveness of HRM practices and turnover intention.	S
14	<i>Cultural values people hold will predict the perceived ethicality of ethically controversial HRM practices.</i>	
14a	Employees high on power distance will perceive these practices as more ethical.	~S
14b	Employees high on fatalism will perceive ethically controversial practices as more ethical.	ns
14c	Employees high on collectivism will perceive ethically controversial practices as more ethical.	~S
15	<i>Ethical ideologies people hold will predict the perceived ethicality of ethically controversial HRM practices.</i>	
15a	Employees high on idealism will perceive ethically controversial practices less ethical.	ns
15b	Employees high on relativism will perceive ethically controversial practices more ethical.	~S

Note. S = Supported, ns = Not supported, ~S = Partially supported

Chapter 10

CASE STUDY ANALYSIS & QUALITATIVE RESULTS

“There are no facts, only interpretations.” Friedrich Nietzsche

10.1 Introduction: Qualitative Data Analysis

The qualitative phase of the present study aims at understanding the process of HRM hybridization and the outcomes of this hybridization in detail. The factors that either inhibit or facilitate this process were also expected to arise in the semi-structured interviews carried out. With this aim, in this chapter, qualitative data analyses of two cases operating in two DCEEs (i.e., a subsidiary of an Italian MNC operating in Turkey and a subsidiary of a Turkish MNC operating in Romania) will be presented. The chapter starts with discussing the background characteristics of the cases as well as the implementation of HRM practices. It follows with presenting the factors that came out during the interviews as influencing the HRM implementation. The chapter finishes with the analysis of interview results in terms of the process of HRM hybridization.

Needless to mention, pseudonyms are used to ensure the anonymity and confidentiality of these two companies from which qualitative data were collected. While Company IinT referred to the Italian case that operates in Turkey, Company TinR refers to the Turkish case that operates in Romania.

To recap, while Company IinT has nearly 15000 employees in its Turkish subsidiary, Company TinR has nearly 2200 employees in its Romanian subsidiary. Both of the companies are from banking sector. In Company IinT, there is a highly developed HRM department with almost more than 50 personnel and there are six subdivisions that are responsible for different areas of HRM, such as recruitment and selection, performance evaluation, compensation and benefits, and training and development. Company IinT makes use of high technology everywhere in the bank, from core business operations to HRM practices. Anything and everything is on the intranet system of the Bank, including HR-related documents, for each employee to access.

In Company TinR, the HRM department consisting of mainly local Romanian employees is still in a restructuring process. There is no subdivision responsible for a specific area of HRM, except for training and development. Initially, the HRM department was under the head of Turkish CFO (Chief Finance Officer), and recently the head of the HRM department changed, and a local Romanian was hired. This reflects a similarity with the history of HRM in Turkey as it was until 1950s that in organizations personnel-related issues were taking place under the finance departments to fulfill legally-required practices (Özden, 2004; Aycan, 2005; Aycan & Yavuz, 2008).

10.2 Implementation of HRM

This section mainly describes how each HRM area is implemented in these two case companies. In general, the interviews revealed that HRM practices mainly reflected the characteristics of both Western and non-Western management practices (e.g., taking into

account both objective performance and seniority in performance management decisions). On the other hand, HRM in these two companies mainly differed with regard to the formality and structuredness of HRM implementation. In Company TinR, HRM-related decisions did not reflect any formal approach, rather they were made on the basis of the individuals holding the position. That is, HRM practices were loose with a more people-oriented implementation and with little structure, despite the pressure and sanctions of existent legal institutions. In comparison, Company IinT had a very structured HRM with a merit-based approach reflecting a relatively more Western approach. This is consistent with the earlier research that asserts the existence of more developed HRM practices in subsidiaries of Western MNCs (Aycan, 2005; Aycan & Yavuz, 2008).

As a main example, the head of HR department in Company TinR, who is a Romanian, reported this informality and unstructuredness, and mentioned how her expectations with regard to HRM practices have not been met since her first days in the company. She had worked in various MNCs from different sectors in Romania and her experiences in these MNCs created an expectation of a highly structured, formal, more 'developed', and institutionalized HRM implementation. However, as soon as she started to work in this company, what she experienced in reality, as opposed to other MNCs, was a shift towards a more traditional approach, reflecting highly Turkish features. That is, HRM is a developing field in a developing country (Aycan, 2006; Aycan & Yavuz, 2008). HRM practices still reflect a top-down approach (i.e., only the superiors evaluate their subordinates, no peer or subordinate evaluation), which is consistent with highly power distant socio-cultural characteristics of the home country as well as of the host country. The

most informal and unstructured area of HRM was with regard to the compensation and benefits. Almost all of the interviewees reported highly individual based, “individual-focused” way of determining compensation and benefits. The biggest concern related to this implementation is the perception of preferential treatment. If you are good with the top management and if you have good network, it means that you are more likely to get higher rewards and positions in the company despite moderate or relatively poor performance. Employee-related decisions (e.g., promotion, rewarding) were perceived mostly on the basis of relations (i.e., relationship-oriented HRM).

Recruitment & Selection

Specifically, with regard to recruitment and selection, Company linT has a very structured implementation with some non-Western characteristics. New staff is recruited through various channels including internet, newspaper advertisements and internal sources. Before being posted in these various recruitment channels such as internet, newspapers, the job openings are first posted internally via the intranet (i.e., internal recruitment). The selection procedure also involves various methods including personality and ability tests, group and individual interviews.

When I applied here for a management trainee position, it took almost more than five months to get a job offer. I saw the post for that position in an HR newspaper and applied for that job. I went through several steps, including tests, group interviews. Then as the last step I got an interview with the HR department and the head of department I applied for. And finally, after a long process, I was offered the job. (Interviewee 1, Company linT)

Despite the detailed process of recruitment and selection, HRM in Company IinT is not immune to the nepotism. Although there is a very formal selection procedure, this formality also could be penetrated by the initiatives of the employees who hold the managerial position with the decision power. In line with the importance of referrals and suggestions of acquaintances in this process, there were still cases of hiring people on the basis of the relationship with the upper echelons in the company. An HR staff reported that they were powerless in such cases and had to go in line with the requests coming from the top to fill some positions. Another interviewee who was a middle level manager in the finance department reported how unfair the selection process could sometimes be. After his supervisor left the bank, he was expecting to be promoted to fill this position due to his experience and performance, however, his expectation of a fair system was violated.

I have been in this bank more than ten years and have been working quite hard. This year I also got an extra bonus which was only given to extra performers. However, instead of promoting me, they now assigned a young, inexperienced guy who is asking everything to ME. Okay, he might be a clever guy, but he has not experienced in our sector. It is not fair, because his only asset is that he has known Mr. XXXX from a former company.
(Interviewee 4, Company IinT)

Recruitment and selection in Company TinR, on the contrary, was mainly based on referrals, suggestions from employees and other acquaintances consistent with the collectivist nature of both the home and the host culture (Aycan, 2006) and the process consists of semi-structured, informal interviews that are open to the influence of interviewers' subjective evaluations. There is no use of objective and standard tests. The main recruitment channel is the internal one.

The job opening is first posted internally. In case it could not be filled with someone inside, the position is announced externally. Mainly the employees in the bank could find

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potential candidates' curriculum vitae and pass them to HR department. (Interviewee 14, Company TinR)

Even though the Romanian law has some enforcement on the implementation of HRM, bending the rules is always argued to be possible. More specifically, in Romania, the law asks for announcing all the job openings on local communication channels (i.e., newspapers) and only after it is established that the position cannot be filled with an eligible job candidate within Romania, an MNC can announce and hire an expatriate. Despite this, the job openings were posted ostensibly, while carrying out interviews with potential candidates. For example, the recruitment of expatriates was performed in a very informal and network-based way (e.g., on the basis of referrals, through unstructured, highly informal interviews), as if all the steps of legal requirements in recruitment and selection were carried out. That is, the legal requirements were still carried out, just only for show.

I was initially called and informed that my current company received my CV from an acquaintance of mine. Following this, they wanted to have an interview with me. Can you believe it? I did my job interview, for a senior manager position, with the CEO... in the hairdresser... while he was having a haircut due to his time constraints ... thankfully, we continued over a cup of coffee... then I am here... (Interviewee 15, Company TinR)

Finally, the hiring process is organized according to the open positions and the Bank's needs in both case companies. Company InT do not have a regular hiring period except for a management trainee (MT) program. However, recent crises also impeded the hiring of large groups of MT (i.e., employees who are identified in the selection process as potential future managers). All new members in Company InT go through an orientation program in which they learn about different departments and the corporate culture. They are also subjected to a training program.

Performance Management

With regard to performance management, in both case companies, performance evaluation is carried out once in a year. The interviews in both cases indicated a use of objective performance measures, however the implementation, and its degree, and importance in overall performance measurement vary. That is, although in both cases mainly two different assessment methods are used in performance management (i.e., competency-based and goal-based), the inclusion as well as their weight of each assessment differ for various positions and departments. In both companies top-down appraisal is prevalent. Nonetheless, in Company TinR, the performance evaluation of the employees in the headquarters and in the branches differs. While in the headquarters, only managers filled out a semi-formal performance evaluation form and evaluate mainly the work discipline and workload of employees, in the branches the attainment of objectives is measured, mainly for sales staff.

In Company linT, the objective of performance management is to make sure that employees are assessed on correct measures and developed accordingly. In line with this, in Company linT, there is a highly structured, computer-based formal performance evaluation system; results of which are used as an input for employee related HRM decisions including promotions and pay. Everyone is evaluated against general criteria set up by the headquarters as well as different evaluation criteria set by each individual department. Even though mainly individual performance rather than group performance is assessed, some criteria in the objectives encompass group

(mainly branch or sales team) achievement. Even though performance evaluations are conducted as a top-down process, it is an interactive performance appraisal system, where both superior and subordinate discuss about the subordinate's performance and the subordinate has a right to disagree with the evaluation. One interesting part in such a structured performance evaluation system is something called a "manager's comment point", which comprises five percent of overall performance. That is, managers use this part as an outlet for their subjective evaluation without any burden of proof.

Performance management in Company TinR, on the other hand, is premature, but on its way of development. Company TinR has been in an ongoing restructuring process to create a more structured performance evaluation system that ensures performance-reward contingency. However, at the time the interviews were carried out, there was a very loose performance evaluation system assessed once in a year, without an interactive-evaluation process. Although there is a pencil-paper form in which some general criteria are set for each individual evaluation, how seriously this form is filled out is the main question.

Forms to evaluate my staff are still on my desk. I am late already. I don't know what to say in these evaluations, because the items are sometimes meaningless. Anyway, I don't feel ill at ease, since they are not going to serve any purpose. (Interviewee 9, Company TinR)

The process is more structured for the evaluation of sales staff who have quantitative objectives and they are evaluated on the basis of the degree to which these objectives are attained. Moreover, even though the performance system does

not require an interactive process where superiors and subordinate discuss the subordinate's performance, some individual effort can be exerted by some managers. It is up to personal initiative of the managers. One of the interviewee reported that in order to motivate and to make subordinates feel a participative environment, he fills out each performance form with his subordinates after discussing interactively. However, he also specifically mentioned that this implementation is his personal effort and not the general way of performance implementation in the company.

Compensation & Benefits

Consistent with the above performance evaluation implementation, in Company IinT, there is a bonus system mainly to ensure performance-reward contingency. In the worldwide website of Company IinT, the compensation philosophy of the MNC is stated as market-driven and performance-oriented, with the aim of "maintaining the correct balance between global norms and local market standards" varying across countries in line with the local market practice and regulatory environment. In its Turkish subsidiary, salaries are set in accordance with the job description, competencies, as well as criteria like seniority and education level. Further salary increases and reward allocations are carried under a highly established performance management system. That is, employee-related decisions including pay raises and promotions are based on performance. Sales staff further gets a bonus payment based on their performance (both individual and company as a whole) against sales targets. However, reward allocation is also implemented on the basis of some subjective

criteria such as age, seniority and position in the organization. Similar but a small-scale implementation is also prevalent in Company TinR. Sales teams get bonus payment on the basis of attainment of objectives and overall performance. However, at the subsidiary headquarters, pay-related decisions are carried out on a more subjective basis. Not only the performance of employees, but also criteria like their position, seniority and personal relations were argued to be taken into consideration in pay raises. It is important since evaluating performance on the basis of both goals, competencies, and behaviors could not ensure the objectivity due to the lack of properly explained and operationalized performance criteria (Aycan & Yavuz, 2008), which further jeopardizes decisions based on performance. However, a more developed process is on its way due to overall business restructuring process in Company TinR. For example, in Company TinR, the restructuring process in HRM aims at identifying high potential employees and process HR-related decisions for them more with a merit-based approach.

Overall, while compensation at Company linT is based on performance level, merit as well as tenure in the position and in the company; in Company TinR it is more likely to be based on individual relationships especially for managerial positions, and performance to a certain degree for lower positions. Besides, there are other social benefits in Company linT such as lunch tickets, health insurance for employees and dependents, life insurance for employees and bus services, in comparison to health insurance for employees in Company TinR, which is enforced by Romanian law.

Training & Development

In the MNC context, especially due to the cross cultural interactions, training of employees to increase their awareness for cultural issues gains prominence. However, in both case companies, there is no general guideline or a formal process provided by the headquarters on how to manage cross-cultural issues. For example, expatriates in Company TinR, even being in enormous numbers, had not received any formal cross cultural training to make them adapt to a new culture, but interviewees reported they collaborated with other expatriates to learn by each other' experience in that new cultural environment.

While in Company IinT training was given a high priority both in terms of on-the-job and classroom training, interviewees indicated that no reference was given to training in Company TinR. This was the most neglected HRM area in Company TinR. All of the interviewees in Company TinR were stressing the lack of training opportunities for the employees and especially for the Turkish expatriates assigned to a new cultural environment. Even though there are some in-company and outdoor trainings, these opportunities were perceived inadequate, mainly because it is at the discretion of individual managers. In Company IinT, on the other hand, there is a big training center and training is offered both in non-technical and technical skills, which are set prospectively. Meanwhile, employees who are hired as a MT are offered extra training in a very structured manner. However, even though in Company IinT a structured training planning existed to improve employee knowledge or skills, training needs were more likely to be identified by the supervisor or by the training department rather than solely on the basis of the

performance evaluations or by the individual himself/herself. That is, the individual employee has a minimum input on determining his/her training needs. In some interviews in Company TinT, employees raised their concern about some unfairness in training-related decisions. For example, local employees could also receive overseas training. However, they were wondering why some specific people who were in close relationships with some prominent figures in the company (i.e., networking, good interpersonal relations with high-ups) were sent to trainings or training-related meetings that were held abroad or in some appealing places.

The organization does not think that training is relevant. Training needs are determined only by managers and HR. Even though, in the annual performance form, employees state their opinion about the training they want, the decision is of the managers. In overseas training, on the other hand, decisions are perceived unfair. Local Romanian staff also sees the decisions unfair mainly because they could even not differentiate between a seminar and training. This is because HR could not present itself well. (Interviewee 12, Company TinR)

Although training and development help organizations to increase employees' skills and competencies as well to look more attractive to potential recruits by enhancing the image of the organization (Torrington, Hall & Taylor, 2002), in Romanian context it is more likely to encourage employees to leave the organization after being equipped with the skills the labor market lacks and the competitors ask for. This might look as a double-edged sword for the case company, Company TinR: "Should I invest or should I not?"

Finally, money is argued to be the most important, and indeed, sole factor to motivate local employees in Company TinR. This is why employees are generally tempted by other organizations that offer higher salaries. Personal communications with young local

employees also revealed that Turkey and Turkish companies represent West, and hence working for a Turkish company in a way helps them to learn the Western way of management and increases their market appeal. It might be another reason why Company TinR does not invest much in training and development to keep them in the company. Loyalty is argued to be a nonexistent concept in Romania. On the other hand, in order to get local people in line with the organizational thinking of the home country of the MNC, training and development should have been given more priority.

For Romanian employees, money is more important than career planning and professional knowledge/experience. Whereas for Turkish employees, future opportunities, offers and experience are more important, because in the long run experience makes money.
(Interviewee, 16, Company TinR)

After describing implementation of each HRM areas in two case companies, in the following section, the factors that came out of interviews as influencing HRM implementation will be presented.

10.3 The Factors Influencing Implementation of HRM

In this section, key factors that determine HRM implementation in two case companies will be discussed. In general, in two companies studied, influences on HRM practices of MNCs revealed some similarities as well as differences. First of all, all of the interviewees referred to the main cultural differences between partners. Turkey as a country situated in the cluster of high power distant and collectivist countries in Hofstede's framework (1980), is recently experiencing a change towards being less collectivistic, less hierarchical and slightly more performance-oriented (e.g., Aycan et al., 2000; House et al.,

2005). Another salient cultural characteristics of Turkey are paternalism and fatalism (Aycaan et al., 2000), which are sometimes perceived as negative (e.g., paternalism as an invasion of privacy) in the West. Accordingly, Turkish locals in Company IinT mostly indicated a less employee-oriented but a more result-oriented approach in the management practices in line with the home-country of the company (i.e., Italian). The Italian way of management was argued to reflect itself in a merely performance-oriented system, where not the seniority but the merit is solely important. However, since the people who use the system, no matter how formal and/or objective it is, are Turkish, non-participative and a top-down process as well as decisions based on other criteria than performance were employed in line with a power distant, paternalistic and fatalistic cultural orientation.

No matter how hard we worked over two years to develop an almost-perfect system to assess performance, the managers who use the system always tried to find a way to penetrate it. I have received so many calls from managers to ask which point they have to give the employee that they want to promote. And they wanted it because they specifically mentioned how these employees were loyal and were in that company for a long time. (HR specialist, Company IinT, personal communication)

Although HRM systems were developed to be objective, bias-free and systematic, the implementers, in accordance with their values, beliefs and attitudes, can define differently what 'good' performance is and consider the criteria like good relationships, loyalty to organizations and supervisors and so on, beside objective, quantifiable outcomes. This further raised the question of the reliability of the overall performance management system to determine the pay and the promotion of individuals on the basis of 'subjective' performance outcomes, which is a result of subjective manipulation of the formal system. Similarly in Company TinR, consistent with the management in DCEEs, what is being

'evaluated' is not the job, but the individual, which results in significant salary differences among employees in the same job positions (Aycan, 2006).

Research also revealed that the 360-degree performance evaluation system in the Turkish context did not work because of cultural incompatibility of evaluating superiors and colleagues with maintaining group harmony (Aycan & Yavuz, 2008). So, even though the home-country of Company IinT asks for a more participative approach, it would be more likely to fail on the basis of the former exemplars.

Similarly, Turkish expatriates in Company TinR were really concerned with the existing differences in loyalty and commitment to the organization (which is in line with collectivist and paternalist orientations) on the part of the Romanian employees as barriers in the successful and effective HRM and other managerial practices.

Turkish management is more advanced and professional. Romanian HR is on its way of development. Moreover, Romanian people have more a laid-back style. They do not own the work they carry out. They do not feel committed to any organization. (Interviewee 11, Company TinR)

The similar findings regarding aspects like concern for people rather than results and loyalty to the company reflects the highly collectivist value orientations of Turkish. However, in Company IinT, the Turkey case, the clash might result from more performance and result oriented approach from a Western country (i.e., Italian), whereas in Company TinR, the Romania case, it is more related to financial or labor market conditions that create a need for more financial but less emotional approach.

I have been in this company for 15 years. Similar to almost all employees I stayed here despite they cut our salaries during 1994 crises. So this loyalty in a way was reciprocal. They did not fire us when things were worse, but we stayed in return after the conditions bettered. (Interviewee 5, Company IinT)

As the second factor, the law provides certain regulations in decision making of MNCs with regard to HRM issues. Although in both countries employee representations did not play a significant role in employee related decisions such as pay, major legal changes that have been introduced to be geared towards European Union membership (e.g., constraining the dismissal of employees) exerted a strong control on HRM implementations. For example, one of the main changes in the Turkish New Labor Law introduced in 2003 that is oriented towards the protection of employees required proof of inadequate performance in cases of dismissals (Aycan, 2006; Aycan & Yavuz, 2008). Because of the necessity of proving inadequate performance as well as conducting careful selection procedures as obligations of employers, a very structured and formal HRM system has to be developed. Similar influence was also observed in the Romanian context but with regularly less powerful reflections in the practice.

It is very difficult in that country to find a good employee as well as to fire a bad one. Due to the low rates of unemployment and due to the migration of skilled-workforce, we cannot easily find qualified and experienced staff. And it is so fragile that since the job market is so narrow, any bad or negative news influences the reputation of a bank which might result in fewer job applications. (Interviewee 14, Company TinR)

The influence of the state is quite strong on employee hire. It is a social state. It is almost impossible to hire an employee, which lasts approximately from six months to a year. And this created demoralization and put the reputation of the bank down. This influence is also reflected in performance assessment. You have to notify the employee both verbally and written that he could not meet the objectives, if it is the case. (Interviewee 7, Company TinR)

However, despite the power of legal institutions on the implementation of HRM, the Turkish way of management sometimes showed itself in the infringement of the legal requirements. The example provided in the previous section on the recruitment and

selection of expatriates was a very good reflection of bending the rules in the context of DCEEs.

Thirdly, labor market conditions have quite a strong effect on HRM implementation. For example, Turkey is an attractive market and growing economy in Europe mainly because the availability of young educated workforce (Aycan, 2006). Like many other Western companies in Turkey and Romania¹¹, the present case companies have been facing managerial problems in dealing with local employees.

HRM and its effectiveness gain more importance due to the lack of high-performing local employees (Björkman & Xiucheng, 2002). As Tayeb (2005) suggested, the kind of employees a company has in its subsidiaries and in the local market determines the degree to which the headquarters might let go of control. For example, an MNC need to exercise less control in its subsidiary with highly skilled, experienced and committed employees, in comparison to the one with employees with insufficient skills and experience with low levels of commitment and loyalty. This is also reflected in the case companies, mainly in Company TinR.

Adverse local conditions such as economic recession, high inflation or high unemployment rates can unfavorably influence the power and control of subsidiaries despite their excellent local experience (Tayeb, 2005). Whereas higher dependence on the local resources such as highly skilled workforce, raw materials, give the subsidiaries a great deal of authority and decision making power. This was what I observed in the case companies, while the first was reflected in Company IinT, the latter in Company TinR.

¹¹ In that case, Turkish MNCs represent more Western, modern approach.

Consistent with the quantitative data on headquarters-to-subsiidiary flow (see page 282), dependence on the parent company showed itself especially with regard to the number of expatriates working in the Romanian subsidiary. Presence of expatriates is a sign of the control headquarters wants to have over the subsidiary. By definition, an expatriate is “a *manager* on temporary assignment in a foreign country” (Thomas, 2008, p. 217, emphasis added). Although expatriates usually occupy top managerial positions, in this case, Turkish employees were assigned in the lower level specialist positions as well. All the upper echelons as well as some non-managerial positions are filled by Turkish expatriates due to lack of skilled Romanian local workforce, even though employing a local would be much cheaper in financial terms. The Turkish CFO who was also initially responsible for HR department had recently been replaced by a local HR manager. Overall, expatriates were occupying almost 4% of all employees. This might be both related to the lack of experienced and qualified labor force (hence to fill technical requirements) as well as the control that Turkish headquarters would like to have over the foreign operation. However, by employing expatriates at different levels in Company TinR, despite maintaining and facilitating organizational control and coordination, the host government imposition on hiring practices was found to create a barrier to deal with their employment and the differences in compensation of expatriates and local lead to the unfairness perception on the part of the local employees.

The top level management including the owner of the Company TinR has had frequent visits to the subsidiary to check what has been going on in the practice. However, in Company linT, a small number of positions were filled by Italian expatriates and the top

management including the CEO (Chief Executive Officer) is mainly Turkish. Hence, Italian management does not espouse a hands-on style of control on its Turkish subsidiary, but still has a strong power especially on implementing something new or transferring know-how.

Involvement of company owner in all company-related decisions reflected itself on the company culture. The organizational culture of Company TinR was defined as a flat one, mainly stressing a family environment, consistent with paternalistic orientation. However, the flatness was perceived to be more prominent among the upper level management, which consists of mainly Turkish managers, so does not contradict with high power distance. Indeed, this is sometimes perceived as highly informal and loose.

This (calling others) brother and sister culture is something more than a reflection of a flat organization structure. This familylike environment is sometimes quite informal and unprofessional. (Interviewee 10, Company TinR)

Interesting reports worth mentioning were accounts of relatively new expatriates interviewed in Company TinR. The respondents' comments were a good indicator of how expatriates themselves were acculturated and hybridized over time, which reflected itself in HR implementation. Mainly due to the need to keep a local force in the company, some respondents reported that management was more likely to employ positive affirmation towards local employees while "disadvantaging" home-country expatriates.

This is weird. Normally, companies overvalue its expatriates, but here it is not the case. I think the management, who has been in Romania for years, becomes quite hybridized, more Romanian-ish. They think and act in favor of them, which is reflected in HRM practices. In order to keep them, they compromise from regular policies. (Interviewee 12, Company TinR)

To recap, the most important points emerged from the interviews in Company TinR were related to the larger socio-cultural environment as a result of long history of communism and labor market conditions. Indeed, it is the lack of experienced labor force as a result of the accession to the European Union because talented Romanians leave the country. The conditions of the labor market have a direct influence on the availability of local talent with the desired skills, qualifications and abilities (Beechler & Yang, 1994; Khilji, 2004; Gamble, 2003). In Romania, it is quite difficult to find applicants with good qualifications or to keep them in the workplace. This emerged in all the interviews carried out. Interviewees experienced the lack of skilled workforce in the labor market especially after Romanian accession to the European Union. Moreover, higher turnover of Romanian staff was obvious.

... As soon as they (employees) save some Euros, they leave and go to Italy to work in better conditions and to send money to their families. (Interviewee 11, Company TinR)

We have to negotiate and give some privileges to Romanian staff, because it is difficult to find new ones to compensate the places of the ones who leave. (Interviewee 9, Company TinR)

... I had an employee that I was caring too much. I educated him, trained him. When his wife got ill, I was next to them, even helped them privately. What happened then? He came to talk to me one day. He told me that he was leaving because he was offered more money. After the things I did for him, I could not accept this. What about loyalty? Does it exist in that country? (Interviewee 8, Company TinR)

In the latter quote, the paternalistic attitude is evident, which is prevalent in Turkey among Turkish managers. Managers not only were involved in work life, but also in the private life of the employees with the expectation of loyalty in return (Aycan, 2005). However, the lack of reciprocity on the part of the Romanian employees results in distrust to the local employees by Turkish managers as well as in a search for a way to keep these

employees in their organization, which were also reflected in the approach to HRM. The higher turnover rate of local employees resulted in a perception of “unloyal nature” of the Romanian workforce, which is something inappropriate and unethical for Turkish expatriates.

Our employees have been so loyal that despite the low financial gains just because of their loyalty to our company, no one was even looking for a job outside. But everything also changes now, for worse. (Interviewee 6, Company IinT)

I have been in this company for more than 15 years. We are just like a family and I cannot think of leaving here. I hope I will be here till my retirement which is quite soon. (Interviewee 5, Company IinT)

One important finding emerged from the interviews that Romanian employees, no matter how disloyal they are perceived, have a great respect for their supervisors in terms of hierarchy, similar to Turkish employees in Turkey. While in Turkey this is more likely to arise from the value orientations of power distance and paternalism, in Romania, it is more likely to be the result of former communist history in addition to the power distance value (Aycaan et al., 2000; Chiaburu & Chiaburu, 2003).

In contrast, for the Turkish context, a recent study of 821 companies across 24 European countries also revealed that Turkish employees show the highest job attendance among other European countries, in comparison to Romanians who were among the lowest five countries (Mercer Report, 2008). Highly competitive labor market conditions, unstable economic conditions and the fear of unemployment among Turkish employees as well as their prevalent value of loyalty and commitment might be a reflection of this finding, which was observed in Company IinT as well. In comparison to other European countries, Turkey has much more younger population with over 60% of the population below the age of 35.

This is of prominence due to the fact that the productive working population is largest relative to children and retirees, which characterizes the Turkish labor market and which eventually has an impact on HRM in context. -

How these practices are perceived by the employees was another point explored during these interviews. Regardless of the case company, respondents mainly indicated ethicality, fairness, and structuredness of the implementation as appropriate and effective HRM practice. More importantly, how they perceive a practice fair and ethical reflects the values they hold.

I have been in this company for quite long. And they now promote a manager who is quite younger than me. I am very disappointed. It is not fair. I would definitely leave if I did not need that job so much. (Interviewee 5, Company InT)

An appropriate system means a fair and ethical system with as many rules as possible. (Interviewee 10, Company TinR)

If the company cannot set the policies and practices precisely, regularly, there will be title confusion and salary differences for the same job while hiring. This results in inequality. That is why everything should be well-arranged, including career planning and training. (Interviewee 14, Company TinR)

For me an effective HRM is the one that has a system, settled down, and run properly in accordance with its own regulations. (Interviewee 14, Company TinR)

For me, an effective practice means the degree to which it decreases turnover. A system is effective if it is an established, structured system that works properly. But, for me, HR department cannot achieve this by itself. This requires the support and commitment of all management. HR practices are overall effective operation-wise, but not effective in policy and strategy, because of lack of requirement of full or senior management commitment.” (Interviewee 10, Company TinR)

One of the respondents also indicated the inadequacy of HRM practices while specifying appropriateness and effectiveness, the perception of inadequacy in terms of meeting her expectations. Hence, whether employee expectations are met or not reflect their perception of appropriateness and effectiveness.

10.4 The Process of HRM Hybridization

The choice of HRM strategy in MNCs reflects a dynamic, fluid and continuously changing state, mainly resulting in maintaining a balance of differentiation (i.e., divergence) and integration (i.e., convergence) (Tayeb, 2005). The main aim of semi-structured interviewing was to capture this dynamic process of hybridization in the area of HRM that occurs as a result of cross cultural interfaces, by collecting retrospective accounts of employees' subjective experiences (Yin, 1994).

In general in the service sector and specifically in banks, internalization of bank services (i.e., international functioning and expanding mainly to emerging economies) have been characterized as low levels of standardization, high need for adaptations as well as high customer involvement in providing the service (Drogendijk & Hadjikhani, 2008). Mainly, the findings about these two companies indicated a consistent path with the stepwise internalization process of organizations, the model of which (Internalization Process model, Johanson & Vahlne, 1977) has also been employed by prior studies on internalization of banks and service organizations (Drogendijk & Hadjikhani, 2008).

In both cases, organizational practices including HRM initially revealed more convergence-globalization, reflecting their home-country practices, and then a gradual move towards adopting the local aspects with the increase in their knowledge of the local through continuous interactions. This eventually results in swinging between the two. In the literature, the idea behind this process is argued to

be organizations' willingness to "reduce risks in new markets through gradually building up their local presence." (Drogendijk & Hadjikhani, 2008, p. 84)

The interviews also revealed the impact of various factors that lead to different hybridization processes in two cases. In Company linT, a Western MNC operating in Turkey, the attempt to implement global HRM practices was challenged by values held by local managers, a recent change in the top management including CEO of the bank and the enforcement of new Labor Law. Ultimately, no matter how 'developed' a system is, the key for the successful implementation is the people who use it and they were Turkish brought up with values emphasizing more collectivistic, paternalistic and power distant value orientations. Whereas in Company TinR, a Turkish MNC in Romania, even at the initial stage, the headquarters was aware of the need to localize some of the HRM practices due to the labor law prevalent in Romania. However, although these two cultures are both examples of DCEEs, and, in the literature, they look alike in certain cultural value dimensions (e.g., Aycan et al., 2000; Hofstede, 1980), other factors such as labor market conditions, economic conditions and mainly communism history in the host country lead to different management perspectives. Especially after the accession of Romania to the EU, the qualified labor migrated to other European countries, which resulted in lack of qualified employers in the Romanian context. This makes circumstances difficult especially for MNCs operating in this country, which relies mainly on the local workforce. Therefore, it necessitated further and different HRM implementations.

The most exciting example was provided by the interviewee who was the consultant responsible for the implementation of business processes restructuring (BPR) in Company

TinR. While discussing the process of performance management, he mentioned the power of the owner of Company TinR in terms of the over all processes. This indicates the non-institutionalized aspect of a Turkish family-owned business system and the intrusion of the owner on all the processes, despite being a MNC operating in many countries.

Due to the inadequacy of the performance management system in assessing objective performance, the system was restructured after the change of the head of the HR department. Under the supervision of the new Romanian HR manager, a new performance management system started to be implemented. However, it came to an end, in three days, after the call of Mr. XXXXX (the owner of the company). This would never happen in another MNC. (Interviewee 10, Company TinR)

We used to have a more formal approach before while we were modeling other Western MNCs. After the head of this subsidiary changed, everything changed as well. He used to attach importance to HR and with his positional power he tried to adopt some Western characteristic. However, after his leave of the company, the new head put many HR developments on the shelf. (Interviewee 8, Company TinR)

Sporadic and inconsistent economic conditions in both cultural contexts of MNCs as well as politics have also been argued to have an influence and create a challenge for HRM implementation. For example, not only the economic crises in 1994 and 2001 required companies to make a change in some HR areas in Turkey, but also the impact of recent and ongoing economic crises all over the world are likely to affect the case companies' HRM implementation in terms of downsizing decisions and performance management.

Such a politically and economically unstable environment makes all performance-related decisions difficult and complicated, and hence requires an unstructured and unsystematic implementation, due to the need to consider impact of the instability on performance in many steps such as goal setting, evaluating and rewarding performance (Aycan & Yavuz, 2008). For instance, interviews in Company linT revealed that the

company overall had to adopt a flexible approach in determining performance targets for evaluation rather than to set business targets specifically or revise these targets systematically due to the unexpected crises.

Moreover, how these case companies dealt with the crises in terms of HRM was interesting. In Company IinT, in comparison to its highly performance- and result-oriented culture reflecting the Western home-country of the company, the local culture reflected itself in protecting its employees through such methods like reducing the salaries, training expenses, benefits, rather than downsizing. In Company TinR, on the other hand, the preferred method to deal with the crises was to downsize in addition to HR related cost-cuttings, which eventually was argued to result in loss of trust and commitment on the part of the employees.

The development of HRM in Company IinT has been a long-lasting one. The decision to restructure HRM practices was the initial step of the continuous changes and a large-scale project was initiated. The local people were working with a group of consultants of Western origin in this HRM project. The process started with long-lasting meetings in which both of the groups, expatriates and local, tried to communicate their expectations, and the way of doing things and even values, by considering different contextual factors such as cultures, economic conditions and legal systems and so on. At that point, the language was perceived as an important factor in this process since language differences created some constraints in the communication. Some of the Turkish managers involved in the project could not speak English and had to rely on others which sometimes created difficulties and misunderstandings. These meetings also involved the involvement of top executives whose

opinions about the anticipated effectiveness of the system were vital. Later on, after a long period of these meetings and interactions, Western consultants proposed a system in which they defined the stages of the system and definitions of objectives and skills that would be used, for instance, in the performance management. For example, the performance management process involved a stage in which both evaluator and evaluatee have to confront each other to agree on the performance and the evaluatee had the right to disagree with the evaluation, despite sometimes chancing a high risk of getting negative reaction of the supervisor. This is more likely to correspond to the implementation of a participative Western best practice.

However, during this process different events such as change in the top management, an economic crisis occurred which also argued to influence the process. For example, the quantifiable objectives that employees had to meet were modified in accordance with the suggestion of new top executives, where organizational power and politics could be easily observable, and in accordance with the economic conditions, since the crisis made it impossible to reach targets. This brought some looseness and informality of the implementation of the new system. However, the process had further to be modified due to the difficulties experienced by employees to internalize. For example, the measures, definitions of skills and competencies, meant nothing to local people, they were perceived as Western and inapplicable to Turkish context. For example, measuring skills such as assertiveness is difficult when there is still no single word in Turkish that corresponds to 'assertiveness'.

In the new system of HRM, all the subareas were interrelated. That is, all the areas such as selection, performance evaluation, compensation and training provided input to each other. However, after using this system for a year, due to the difficulties reported by employees to HR department regarding the new system, another group of Turkish HR practitioners started to work on the system and tried to adapt the content of the system. They, for instance, redefined the skills and competencies evaluated. Once they started to think that everything was all right, after the initial implementations, they realized that the system was still not working and problematic. For instance, in most cases, the employees who disagreed with their performance appraisals reported that the relationship with their managers got worse, since the managers took this right of disagreeing as offensive and their evaluations resulted in lower performance ratings. Hence, the system still involved deficits and something perceived as inappropriate by the local employees, which should be fixed. One of the most reported as upsetting things was that managers were manipulating the performance results of the employees, especially of the senior (and loyal) ones, whom they thought to be paid more, since the performance results were used in the performance-based pay system. One HR manager reported that she got direct calls from a manager who wanted to play with the system until they obtained the numerical results required for the employees to promote. The last remarks in the interviews and personal communications indicated that the HRM development process is still an ongoing one, but now swinging toward a more loose and unpredictable one¹².

¹² This might be related to the last economic crisis that occurred while the present research was going on, and that has had a wide-scale impact on the economy and specifically on the banking sector.

Chapter 10: Qualitative Results

I cannot believe that. We have a very established HR system. Now the recent changes put the organizational culture and employee loyalty into danger. They (HR) even fail to provide the necessary trainings for the newcomers (new hires). They hire people and send them to the branches the next day, the results of which reflected themselves to the customers negatively. (Interviewee 6, Company TinT)

The situation is different compared to Company TinR. “Building a performance oriented culture” is the motto of Company TinR, which is stressed in recent company documents. They are going through a BPR while interviews were conducted. Consultants from Turkey were recruited to restructure the processes including HRM. While the current performance management system can be described as lack of a clear and transparent relation between performance and reward for performance, the proposed system consists of salary increase and performance-based bonus mainly on the basis of individual performance without excluding collective performance.

However, before the management of Company TinR decided for restructuring all management policies and practices including HRM, the respondents indicated a swinging trend due to various contextual conditions. At the onset of the company, after the fall of communist regime, the Romanian market was perceived as a new opportunity to take large market shares by many foreign companies including Turkish ones. Interviewees reported that for Company TinR, it was a more difficult process to invest in the Romanian market due to the some bad reputation of another specific Turkish bank that was one of the first inventors in Romania and that ended its operations due to the bankruptcy. Despite the perception of Romanians about the lack of credibility of Turkish banks, Company TinR entered the Romanian market and since then it became one of the leading banks in operation. Because of the strict control of the National Bank and legal authorities, initially

all management practices, including HRM had to be strictly aligned with legal requirements. However, this could not result in a more localized approach, but rather still reflected the home-country (i.e., Turkish) practices of Company TinR.

We were very cautious about the legal aspects. Everything has to be legally justified. Even though we would bring expats from Turkey, we have to announce job openings here in local channels. (Interviewee 7, Company TinR)

Interviews also revealed that in its initial plan, Company TinR was in great need of hiring new local employees due to its expanding strategy. Rather, the recent economic crisis worldwide resulted in downsizing. The company's strategy of downsizing 5 % in each department regardless of the nationality of the employees (i.e., expatriates or locals) that was under the decision of Turkish top management revealed different perceptions for expatriates and local employees. While this was perceived as "fair and ethical" by locals, this was a totally ineffective practice for many expatriates interviewed. One of the interviewees illustrated very well how perception of an effective and right practice reflects hybrid orientations.

It is totally wrong. In my department, we are only four people, me and my three subordinates two of whom are Romanian. This decision of downsizing 25% for each department means that I have to fire one of them. This decision does not consider the performance variation in each department. There are some departments with at least 100 employees. These departments can survive even with half of them if they perform as it requires. All of my subordinates work very hard, but I could not fire my Turkish subordinate because I have a great relationship with him, I cannot give him up. I don't want to fire Romanian ones either, but I have to decide now. It is painful. (Interviewee 15, Company TinR)

Overall, the interviews revealed that in both cases, HRM is still under progress, consistent with the conceptualization of Aycan (2006) as "HRM is a developing field in a developing country".

10.5 Conclusion

This chapter consisted of the findings that arose from the qualitative data collected through semi-structured interviews. Data revealed that the implementation of HRM in two cases reflected both Western and non-Western characteristics. Furthermore, various factors such as legal institution, socio-cultural context, and labor market conditions have played an important role in the HRM implementation, which eventually resulted in different processes of HRM. While the MNCs under study firstly tried to transfer their so-called 'best practices' to their subsidiaries, a global HRM implementation (corresponding to assimilation mode of acculturation), the continuous interactions with local people and the constraints brought by local environmental and cultural conditions resulted in some modifications and are likely to eventually result in a hybrid system (corresponding to integration mode of acculturation). These variables and interactions among them not only affected the degree of hybridization, but also its process, that is, the stages that MNCs go through. For example, in Company linT (Turkish subsidiary of an Italian MNC) an unexpected economic or political crisis resulted in a modification and restructuring of HRM hybridization, moving towards a more local implementation. On the other hand, in Company TinR the accession to the EU resulted in a drastic change regarding HRM-related decisions and modifications.

Chapter 11

DISCUSSION

“Begin with another’s to end with your own.” Baltasar Gracian

11.1 Introduction

The present study attempted to enhance our understanding of how HRM practices are hybridized in DCEEs at the cross cultural interfaces as well as how these practices are perceived in terms of their appropriateness and effectiveness by employees, which in turn have a strong influence on their employee attitudes. This study tried to address four main gaps in the existing literature:

- Understanding cross-cultural interfaces rather than cross-cultural differences,
- HRM implementation in the context of DCEEs,
- The process of HRM hybridization and
- The outcomes of this HRM hybridization in terms of appropriateness (i.e., ethicality) and effectiveness of HRM as well as their conceptualizations.

In this chapter, first a review of the findings of the present research through abduction on the basis of the mixed data collected will be presented. Secondly, both the theoretical contributions of this research in terms of the gaps identified above and the managerial implications will be discussed. Finally, it will be followed by a discussion on the

methodological and theoretical limitations of the research, and some suggestions for future research avenues.

11.2 Reviewing the Data through Abduction

The overarching aim of the present study was to understand how hybrid HRM systems emerge in the context of cross cultural interfaces and the effects of this hybridization process in terms of employee perception of HRM effectiveness and appropriateness. The purpose is to advance theoretical and practical know-how in terms of how hybrid HRM practices evolve in such a way that best fit the cultural and institutional environment of the organizations and in terms of the effects of this hybridization with regard to both their effectiveness (i.e., HRM satisfaction, perceived effectiveness of HRM practices) and appropriateness (i.e. perceived ethicality of HRM practices, met-expectations). Better understanding of these constructs is expected to help guide organizations (especially MNCs) to manage HRM more effectively and appropriately, by increasing organizational performance and contributing to the organizational bottom-line through creating positive employee attitudes.

Secondly, I looked at the cross cultural interactions between Western countries (the home country of MNCs Italy) and DCEEs (the host country of MNCs Romania/Turkey) and also examined the cross cultural interfaces between two DCEEs (i.e., Romania and Turkey). MNCs in DCEEs demonstrate success in their international expansion through relying on such competitive advantages as management experience in turbulent and unstable environments and within the context of underdeveloped infrastructure (Aulakh, 2007). This

is why examining an MNC from a DCEE (i.e., Turkey) operating in another DCEE (i.e., Romania) provided interesting insight in enhancing our understanding of successful and effective HRM in context.

Overall, both quantitative and qualitative data collected served to answer three main groups of research questions: the factors influencing the actual and the preferred HRM, the effect of the discrepancy between them, and finally the process and the outcomes of the hybrid HRM. Moreover, this research focused particularly on the conceptualization of appropriateness and effectiveness of HRM empirically both with establishing the construct validity through quantitative analyses and assessing its deeper meaning through qualitative interview analyses.

11.2.1 HRM Implementation

The first group of hypotheses pertained to understanding and predicting the implementation of HRM as well as the HRM preferences of employees, corresponding to descriptive vs. prescriptive HRM (Khilji, 2004; Khilji & Wang, 2006). HRM practices were assessed under three categories based on Aycan's (2005) typology of HRM practices embedded in different cultural contexts: hierarchy-oriented HRM, group-oriented HRM, and informal and loose HRM. In line with Aycan's (2005) conceptualization of the interfaces between cultural and institutional contingencies in forming HRM practices, the impact of both cultural value orientations and institutional factors (e.g., size, industry) on the implementation of HRM practices were assessed.

Since values are defined as standards and ideals that represent a preference, (Huo & Steers, 2003), the cultural values that people hold were expected to be in relation with preferences for HRM. This link has also been established in the literature (e.g., Sparrow & Wu, 1998; Nyambagera, Sparrow & Daniels, 2000; Nyambagera, Daniels & Sparrow, 2001). On the other hand, institutional variables were expected to have an influence on the perceived implementation of HRM, since the literature indicated that institutional contingencies such as type of industry or job and sector, and size are important factors determining of organizational practices (e.g., Aycan, 2005; Pugh et al., 1968).

Overall results indicated that not the contextual variables but the socio-cultural values are more influential in understanding HRM (see pp. 275-280). Cultural values were strongly related to the HRM practices preferred by employees, even when I controlled for demographic aspects such as age, gender and position of employees. Both power distance and fatalism were significantly related to the preference for a more informal and hierarchy-oriented HRM and collectivism was related to the preference for a more group-oriented HRM. However, contrary to the hypotheses, the size of the MNC was not related to HRM implementation. The sector of the MNCs was found to be related to the implementation of informal and loose HRM, and also hierarchy-oriented HRM (not hypothesized). Therefore, in the service sector rather than manufacturing sector, more informal and loose, and hierarchy-oriented HRM were implemented.

The power relationship between the home- and the host-country of MNCs (i.e., headquarters-to-subsiary-flow) and its possible influence of HRM were also assessed. Although a partial relationship between HRM practices and headquarters-to-subsiary-flow

was found, the test of psychometric properties of headquarters-to-subsiary-flow raised an interesting point worth to mention. Employees reported that their organizations were dependent on both local resources as well as headquarters, which in a way also reflects hybridity in terms of the power of the home and the host-country. Moreover, not the dependence on the parent company, but dependence on local norms only was linked with the informality of HRM. Cultural distance between the home- and host-country of the MNCs was not a good predictor of the implementation of HRM.

On the other hand, qualitative data indicated the influence of higher level institutional context (i.e., labor market conditions, legal institutions) on the implementation of HRM as well as cultural value orientations, reflected in the personal accounts of employees regarding the implementation of HRM. For example, in the Turkish case company in Romania (Company TinR), paternalistic values that reflect the care, guidance, protection provided by managers in return of loyalty (Aycan, 2006) were found to be related to the implementation of HRM as a management control mechanism (see page 305). Moreover, employees also reported the necessity of strictly aligning its practices with legal requirements and the necessity of taking into consideration the availability of the qualified labor force (one of the main differences between two countries under studied, Turkey and Romania).

Overall, the literature review and further quantitative data analyses have provided evidence for the non-universality of HRM practices due to impact of the combinations of various factors including cultural values and institutional variables. The qualitative phase of the present research also revealed that these factors such as cultural values, legal

environment, and labor market conditions have an influence on the implementation of HRM as well as act as facilitators or inhibitors in the emergence of hybrid systems that come out in the cross cultural interaction of Western and indigenous management styles. Overall, mixed data revealed that both the preferences and the actual HRM implementation reflected both Eastern and Western ways due to the influence of diverse factors.

11.2.2 The Results of the Mismatch between-Descriptive and Prescriptive HRM

The second group of hypotheses, which constituted the first model presented in Chapter Five, depicted the relationships between the discrepancy between what HRM practices people prefer and how they perceive the actual implementation in their organizations, and employee-related attitudes. I evaluated which HRM practices are implemented in the organizations (actual, descriptive HRM) and which HRM practices are preferred (prescriptive). Additionally, I assessed the discrepancy between the two to increase understanding of HRM at the cross cultural interfaces. With this aim, a model was developed to show the mediated relationships between the discrepant HRM and employee related outcomes (i.e., organizational commitment and turnover intention), mediated by their perception of HRM appropriateness, effectiveness and the perceived PO fit. The literature revealed that the impact of HRM practices on certain individual or organizational level outcomes is argued to be indirect (Ferris et al., 1998; Ordiz & Fernández, 2005) and furthermore minimizing the gap between HRM choices by employees and actual HRM policies and practices can raise positive employee attitudes (Sparrow and Wu, 1998). HRM practices have a strong impact on individuals' perceptions, attitudes and behaviors, and in

turn lead to productive, satisfied, motivated, and loyal employees (Aumann & Ostroff, 2006). For example, the common values for the person and the organization, and fulfillment of the employee's needs and expectations by the organization, and the fit between them (i.e., PO fit) influence the relationship between the employee's commitment level, since affective commitment is assumed to reflect shared values (Felfe, Yan & Six, 2008)

In order to determine the degree to which the theoretical model was supported by the sample data and to establish and confirm the structural pre-specified links between the variables under study, SEM was conducted with multi-group analysis (Schumacker & Lomax, 2004; Hair et al., 1998; Loehlin, 2004). The model showed a good fit to data for both Romanian and Turkish data with an important re-specification. That is, the perceived appropriateness of HRM was found to be directly influenced by the discrepancy, the mismatch between what employees prefer (should be) and what is in the actual implementation (as is), but the perceived effectiveness was found to be influenced by the appropriateness of HRM. Hence, if there is an incompatibility with the needs and wants of local employees, they first perceive these practices inappropriate (i.e., unethical), which further influences their effectiveness perception. Another important difference between Turkish and Romanian sample was the link between the appropriateness and effectiveness of HRM and PO Fit, which is also identified as the level at which the employees' needs and preferences are satisfied by the organization (Cable & Judge, 1994; Silverthorne, 2005).

The supported model revealed that while the influence of perceived HRM appropriateness on perceived PO Fit was direct for the Turkish sample, this relationship was mediated by perceived HRM effectiveness for the Romanian sample. Hence, for the Turkish

sample, the appropriateness perception is a direct determinant of employee perception of the value congruence between employees and organizations, PO Fit. However, for the Romanian sample, effectiveness of the practices should be established to make employees feel they fit with their organizations in terms of values. In other words, it may be desirable to convince Romanian employees of the benefits of HRM appropriateness. Finally, the perception of incongruence between individuals and their organization was found to have a direct and strong relation with the employees' commitment level and turnover intention for both samples, consistent with the vast majority of research findings in the literature (e.g., Schneider, Goldstein & Smith, 1995; Aumann & Ostroff, 2006; Felfe, Yan & Six, 2008; Gould-Williams & Davies, 2005).

11.2.3 HRM Hybridity: Its Process and its Outcomes

Hybridity of HRM, its process as well as the outcomes of HRM hybridity (i.e., appropriateness and effectiveness) were the subject of third group of research hypotheses in the quantitative phase and a main research question in the qualitative phase of the present research. In the quantitative phase, a second model was proposed to evaluate the overall links between the variables under study as well as to establish their construct validity to enhance our understanding of the concepts of hybridity, appropriateness and effectiveness.

Researchers have acknowledged the different types of influences on managerial practices with the recent findings supporting both the convergence (universalistic) as well as divergence (cultural) hypotheses (e.g., Shimoni & Bergmann, 2006; Gamble, 2006, Budhwar & Mellahi, 2007; Zhu, Warner, & Rowley, 2007). To study whether it is the case

in the DCEEs context gains prominence, because of the necessity of looking at other contexts since these practices were more likely to “mirror those observed” in more culturally similar Western countries (Muller-Camen, 2000).

A test of the proposed model confirmed most of the hypothesized relationships while generating some further interesting points. In the following section, the findings related to the conceptualizations of the constructs under scrutiny (the measurement model) and then the findings related to hypothesized relationships will be presented.

First of all, to enhance our understanding of the constructs of effectiveness and appropriateness, which is missing in the literature, these constructs were examined in detail. Rather than using single item, these two variables were conceptualized as latent variables with different indicators. While *appropriateness* of an HRM practice reflects the ethicality of that practice as well as whether it is congruent with the expectations of individuals (Hosmer, 2006; Cagliuri et al., 2001), the *effectiveness* of an HRM practice reflects employee satisfaction with HRM implementation in line with the human relations approach (Ahmed, 1999; Chang, 2005) and its perceived effectiveness (see Chapter 5 for detail). Data confirmed the validity of these constructs for both the Turkish and Romanian sample.

In qualitative interviews, the respondents also mainly raised the ethicality aspect of HRM and whether the practices meet their expectations. However, this data also indicated the effectiveness of practices in terms of their contribution to the organizational bottom-line through highly structured and interconnected organizational policies and practices. In other words, as long as employees feel that HRM practices implemented in their organizations meet their expectations (which are aligned with the values they hold), sounds appropriate in

terms of ethicality, fairness, and reflect formality and structuredness, they will be more likely to develop positive attitudes towards their organizations (e.g., higher OC and lower turnover intention). Since the relationship between employee attitudes through HRM and the organizational effectiveness has already been established in the literature (e.g., Ferris et al., 1998; Rodwell, Kienzle & Shadur, 1998; Rogg et al., 2001), this, in turn, will contribute to the success of MNCs in the context of DCEEs. Otherwise, it will be quite costly to the organization (Schneider, Goldstein & Smith, 1995), especially to find and keep educated, skilled, and committed workforce, which is scarce in the context of DCEEs (Aycan, 2001; Silverthorne, 2005).

Qualitative data also pinpointed that a practice is effective if it reduces the turnover. However, especially in the Romanian context, both commitment and intention to stay are more likely to be the result of former communist history and the sporadic economic conditions (Aycan et al., 2000; Chiaburu & Chiaburu, 2003). This would influence the interpretations of findings, since people might be high in turnover intention and low on loyalty to their organization, not because of the characteristics of the practices (i.e., ineffective HRM), but because of higher level socio-political and economic environment and institutions (e.g., poverty). The relatively low organizational tenure for Romanian sample (see Chapter 7) might be a reflection of this as well. Further studies should clarify this link in detail.

To further enhance our understanding of the appropriateness of HRM at the cross cultural interfaces, as a peripheral objective, the present research also examined how individuals' ethical reasoning as well as their cultural values predict the rating of ethically

controversial practices and how individuals respond to ethical dilemmas (O'Higgins & Kelleher, 2005). Overall, not only did results revealed the approval of ethically controversial HRM implementation including nepotism in the context of DCEEs studied, additionally to the stronger impact of values (mainly collectivism) rather than ethical ideologies of relativism and idealism in individuals' decision of ethically controversial practices.

In each scenario, Turkish employees rated ethically controversial practices more ethical than Romanian employees, and this is worth of further attention. This finding would be expected to reflect the impact of cultural values on assessing ethically controversial practices. That is, since the Romanian sample was found to be more power distant and fatalistic than Turkish one, it was expected that they would rate these controversial practices more ethical and appropriate than Turkish. On the basis of the qualitative findings, it might be the influence of other factors such as strict legal environment in Romania as well as the reflection of the economic and social reforms that took place after the 1990s (Aycaan et al., 2000). Romanian people argued to be more sensitive against violation of equality or fairness, especially after following socialist ruling under strict centralization and oppressive regime. Further studies examining higher level macro variables could test this assertion.

With regard to the hybridity of HRM, results supported the link between hybridity of HRM practices, and their perceived appropriateness and effectiveness. A blend of both Western and non-Western characteristics are more likely to be perceived appropriate and effective by the local employees. This, in turn, influences their positive attitudes: They are more likely to feel committed to their organizations (higher organizational commitment)

and less likely to leave (lower turnover intention). However, while the effectiveness perception has a direct impact on both organizational commitment and turnover intention, the link between the HRM appropriateness and organizational commitment was indirect, mediated by the perception of employees with regard to whether their organizational expectations are met or not. That is, if employees perceive that HRM practices are appropriate (practices that are ethical and that meet employees' HRM related expectations), they are more likely to feel that their overall expectations about the organization are met, and this in turn leads to higher committed individuals.

Consistent with the qualitative data, only effectiveness of HRM practices revealed an impact on turnover intention of the employees. This is interesting in the sense that employees' decision to leave the organization is influenced by how effective they see HRM practices, but their organizational commitment is more likely to be related to the effectiveness, the appropriateness and their expectations being met by the organization: "If I am not satisfied with the implementation of HRM and if these practices are ineffective, I will leave the organization" vs. "Not only if these practices are ineffective, but also if they are unethical, do not meet my expectations of how HRM should be, and do not meet my overall expectations in my organization, then I am not emotionally attached to this organization". Hence, consistent with the literature, individuals' affective commitment to their organization is indirectly linked to HRM practices. However, further studies also should look at some other variables (e.g., psychological contract and its violation, the role of leadership) to further enhance our understanding of the direct and indirect impact of HRM. Furthermore, justice perception of employees which have been a widely studied

variable in the developed country context (e.g., Fischer, 2004b), should be incorporated in further studies, since the qualitative data strongly indicated a justice perception of employees with regard to the appropriateness of HRM implementation.

By collecting retrospective qualitative accounts of employees' subjective experiences (Yin, 1994), I found a consistent path with the stepwise internalization process of organizations (Johanson & Vahlne, 1977). HRM practices, like other organizational practices, initially revealed more convergence (i.e., reflecting their home-country practices), and then a gradual move towards adopting the local aspects due to the increase in their knowledge of the local through continuous interactions occurs. This eventually results in swinging between the two and integrating the local and global practices under the same umbrella due to the various factors such as the EU-alignment process, economic crises, and change in top management depending on the context MNCs operate. It is worth to mention that the process of hybridization is highly dynamic, and very open to the plethora of sudden influences. Hybridization is not the ultimate result or end product in these organizations. Hence, a longitudinal approach might be more effective in understanding this dynamism.

11.3 Theoretical Contributions and Managerial Implications

This study contributes to the literature in a number of ways. Firstly, not only did the present study test the link between the implementation of HRM and its perceived outcomes in the context of DCEEs, it also examined the process of HRM hybridization and the factors affecting this process. Literature also teems with studies simply looking at the cross cultural differences rather than examining the emergence of hybrid systems at the cross cultural

interfaces in the context of DCEEs. This study takes into account that the world is itself dynamic, different at the developing parts of the world, and cultures change through interactions and are not homogeneous within themselves (Adler, 1984; cited in Aycan & Kirmanoğlu, 2004). Hence, any cross cultural interaction might result in something very unique itself, in terms of HRM practices in this context.

This contribution tried to be achieved by an attempt to capture the process of hybridization in various HRM areas (i.e., recruitment and selection, performance management, training and development, compensation) and by holding an interactionist, crossvergence perspective in comparison to studies in the literature that have ignored the process and that hold either convergence or divergence approach. Not only the process, but also the outcomes of the hybridity (i.e., their appropriateness and effectiveness), which is missing in the literature, were captured in the present research. What constitutes an appropriate HRM practice and an effective HRM practice was conceptualized separately and tested empirically.

The majority of studies on cross cultural transfer of HRM practices are mainly based on large-scale surveys and on interviews with managers and professionals (Gamble, 2003). However, detailed and qualitative case studies provide the opportunity “to follow through complex linkages, explore processes, and uncover how decisions are really made” (Ferner, 1997, p. 31). Hence, by combining both approaches in a single-study design, adopting a combined methodology (i.e., concurrent mixed method) enhances our understanding of the hybridization process and its outcomes by collecting different forms of data at the same time during the study over a period of time, as suggested by Creswell (2008).

The findings of the present research also make practical contributions, especially in the case of MNCs that are at the heart of cross cultural interactions. The findings provide insight into designing and implementing HRM practices in particular organizational cultural contexts to increase their effectiveness and appropriateness, by understanding the sources of differences in managerial practices. Results revealed that implementing hybrid HRM practices in MNCs where people from different cultures interact, resulted in employees' perception of appropriate and effective HRM, which in turn lead to positive employee attitudes including higher organizational commitment and lower turnover intention irrespective of cultural context of DCEEs. Therefore, MNCs should take into account the fact that both Western and non-Western management characteristics of HRM should be incorporated in organizational practices to increase their appropriateness and effectiveness.

11.4 Limitations

The present study is one of the few attempts to enhance our understanding of hybridity of HRM and its outcomes in the context of DCEEs. However, no study is without limitations. First of all, the few numbers of limitations emerge from the research design, both in quantitative and qualitative phases of the current research.

Because of the cross-sectional design used in the quantitative phase of the present research, it is impossible to infer causality from correlations and regressions. Despite using SEM, which provided a more parsimonious picture and confirmed the construct validity of the measures, it still cannot infer causality. Moreover, data were collected only from two DCEEs (i.e., Turkey and Romania) in both phases and from one MNC case in each country

in the qualitative phase. This raises the question of generalizability of the findings.

Similarly, using the snowball sampling in the quantitative phase instead of choosing sample randomly as well as using case study approach in the qualitative part both further sheds limits on the generalizability of the findings. Nonetheless, despite this limitation, the present study adds to the much needed void in terms of scarce data in the implementation of HRM in the context of DCEEs at the cross cultural interfaces.

Since the data in the quantitative phase of the present research were collected via self-report questionnaires, the results can be vulnerable to common method variance and this leads to 'contamination' across the measures (Nyambagera et al, 2000). Nonetheless, since self-report measures are the only means of assessing both individual cultural values, perception of HRM implementation, and their employee attitudes, the main parts of the questionnaire were differentiated by using different response formats in various sections of the questionnaire to minimize this problem (Nyambagera et al, 2000).

The measures assessing socio-cultural values in the present study demonstrated modest but adequate psychometric properties when compared to similar measures in the literature (Aycan et al., 2000; Maznevski et al., 2002; Hui & Triandis, 1989) as well as the measures assessing HRM practices. It is important to note that because of the breadth and depth of these constructs, and because of the *decontextualized* nature of the measures, socio-cultural values are difficult to measure and the literature is full of evidence of moderate reliabilities (Aycan et al., 2000; Aycan & Kirmanoglu, 2007; Maznevski et al., 2002; Hui & Triandis, 1989). However, because the reliabilities of these constructs are not

at the ideal level, the moderate reliabilities of these constructs should be enhanced in further studies (e.g., through revising or adding new items, specifying the context of the values).

The survey questionnaire itself introduced some limitations. For example, while measuring appropriateness of ethically controversial HRM practices, it would be better to capture ethically controversial HRM areas with a number of scenarios, since there might be different HRM implementations which could be perceived unethical in different parts of the world (and which could not yet be picked by the present researcher). For example, due to the limited resources of the present research, four scenarios that reflect the practices expected to differ across cultures were selected. However, none of these scenarios was about a controversial implementation in the area of training and development, or of compensation and rewards.

In terms of the qualitative part, the use of interviews has its own many weaknesses. It is possible that interviewer himself/ herself might reveal bias both in conducting the interviews or interpreting the responses (Saunders, Lewis, & Thornhill, 2003). Moreover, the interviewee may not participate in an open and cooperative fashion, if the rapport between the researcher and the interviewee could not be established. Interviewees may be unwilling or uncomfortable sharing all that the interviewer aims at exploring (Marshall & Rossman, 1999). That said, using interview and survey methods together (i.e., triangulation) allows for the cross validation of the observations.

Despite its limitations, the present research helped our understanding of HRM hybridity and its appropriateness and effectiveness in the context of DCEEs. In the

following section, some future research avenues are presented to suggest some further areas of investigations.

11.5 Future Research Avenues

A number of avenues for future research can be suggested to increase our better understanding of hybridity of HRM and its outcomes in terms of their effectiveness and appropriateness in the context of DCEEs. The first avenue of future research is to have a longitudinal research design to capture the dynamic process of hybridization over a period of time (Creswell, 2008). Longitudinal study allows the researcher to measure the process, the pattern of change, and to obtain factual information on a continuing basis, since in longitudinal research, the participants under study is visited a number of times over time at regular intervals (Kumar, 2005).

A study of MNCs from different sectors in various under-researched DCEEs (e.g., African countries) and to identify similar and dissimilar factors influencing the process of HRM hybridity across sectors and across various countries that experience different cultural interfaces at different levels (e.g., intercontinental, interethnic) (Jackson, 2009) is another research avenue. This will further increase the generalizability of the results as well.

Multilevel analysis in cross-cultural management research is not very common despite its recognition as a powerful analytical tool for important discoveries such as providing more accurate estimates of the influence of culture (Fischer, Ferreira, Assmar, Redford, & Harb, 2005), further studies should also start with applying a multilevel perspective. Using multi-level approach (i.e., variables at the cultural, organizational and

individual levels) in measuring various constructs might be more beneficial due to examining the interactions between factors at different levels. For example, while measuring the construct of effectiveness, not only employees' intention to quit, but also variables like organizational productivity, turnover rates and so on at the macro level should be assessed.

Random sampling through which a more representative sample could be achieved should be encouraged in future studies as well, since using a random sample of employees can eliminate the potential bias due to convenience sampling in terms of generalizability of the measures used in the quantitative phase of the present research, despite triangulating multiple sources of data was expected to enhance reliability and generalizability of the findings of the present research (Marshall & Rossman, 1989).

One final avenue for future research is to examine the concepts of appropriateness and effectiveness more thoroughly through using different and sometime atypical methodologies such as repertory grid technique. This method allows for an evaluation of how people construct these concepts and to triangulate the findings of other quantitative and qualitative methods (i.e., survey, interviews). The repertory grid technique, as a method derived from personal construct psychology (Kelly, 1980), is a measurement technique to elicit the personal construct system and provides a representation of the individual's own world rather than being a model imposed by an outsider, the researcher in this context (Hankinson, 2004; Kelly, 1955; Lambert, Kirksey, Hill-Carlson, & McCarthy, 1997). The personal construct psychology derives from the interpretive paradigm and suggests that an individual's understanding of the world can be achieved through 'construing', the process

of contrast and similarity (Kelly, 1955; Marsden & Littler, 1998). “Because the RGT focuses on internal processes, it can enhance a key informant interview in that the comparisons it requires the respondent to make stimulate connections and offer insights that represent meaningful perceptions and values” (Lambert et al., 1997, p. 1). Hence individuals’ personal interpretations of the reality is tried to be captured, since this technique is accepted as enabling individuals to examine their own ideas and values, of which people sometimes are unaware, in greater depth (Easterby-Smith, Thorpe, & Holman, 1996).

11.6 Conclusion

The globalized environment, where cross cultural interactions frequently take place and that MNCs are exposed, puts high demands on handling HRM effectively and appropriately, especially in different parts of the world. The present study, hence, attempted to contribute to a better understanding of HRM in the context of DCEEs. Overall, the findings of this study revealed that the multiple influences on the transfer of HRM result in a blend of both Western and non-Western characteristics, i.e., HRM hybridity. This hybridity is, then, perceived more appropriate and effective by the local employees, and, in turn, helps to create a positive work environment. Therefore, the results indicate that we should embrace both Western and non-Western indigenous knowledge rather than denigrating one, not only for the future success of MNCs operating in DCEEs, but also for the happiness and productivity of local employees.

Chapter 11: Discussion

To conclude, although this research comprises of several limitations, it enhances our understanding of an underresearched area, hybridization process of HRM practices and its outcomes, in an underresearched context, DCEEs. I, also as a researcher from a developing country, hope that this thesis will further inspire and encourage researchers to build upon the findings presented here.

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APPENDICES

Appendix 1 English version of the questionnaire

Appendix 2 Turkish version of the questionnaire

Appendix 3 Romanian version of the questionnaire

Appendix 4 Population and the sample

Appendix 1



A Survey on Your Perception about Human Resources Management Practices in Your Organization

Dear Participant,

This survey is a part of PhD thesis conducted by the researcher in Middlesex University Business School. Your participation is voluntary. It would only take 25-30 minutes to fill out this survey. This study aims at investigating managers' and employees' perceptions about the human resource management (HRM) practices in their organization. The overall results of the study would be shared with you upon your request (by sending an e-mail to the below corresponding address)

The important points during filling out the survey:

- Participants should have at least 6-months tenure in the organization.
- Please do not write your names and the name of your organizations on the survey.
- There is no right or wrong answer in the survey.
- Your participation in the research, your candid answers and responding all the questions in the survey are important for the overall success of the survey.
- The anonymous surveys should be sent directly to serapkyavuz@gmail.com via e-mail or to the corresponding address "Ortaklar Cad., Ünsal Sk., Koray Apt., No: 5/5, Mecidiyeköy/Istanbul" via mail.

Thank you for your participation.

Serap Yavuz (S.Yavuz@mdx.ac.uk)

Prof. Terence Jackson

PART 1: Please read the scenario about the decisions of a fictitious manager in a fictitious organization and rate his decision on the various scales below, by circling a number. Please rate all of the characteristics.

1. In this organization, there is a position to be filled. This opening is announced within organization as well externally with advertisements. The manager thinks that a job position should be advertised firstly within the organization to current employees and if this position cannot be filled with a current employee, it should be advertised externally. After a selection process, he has two candidates, one current employee and the other a new applicant. Although the external candidate is slightly stronger, he decided to fill this position with the currently employed one.

The decision is:

	Fair	5	4	3	2	1	Unfair
	Just	5	4	3	2	1	Unjust
	Acceptable in my culture	5	4	3	2	1	Not acceptable in my culture
	Acceptable to me	5	4	3	2	1	Not acceptable to me
	Acceptable to my family	5	4	3	2	1	Not acceptable to my family
	Not selfish	5	4	3	2	1	Selfish
	Under no moral obligation to act otherwise	5	4	3	2	1	Morally obligated to act otherwise
	Efficient	5	4	3	2	1	Inefficient
	On balance, tends to be good	5	4	3	2	1	On balance, tends to be bad
	Leads to the greatest good for the greatest number	5	4	3	2	1	Leads to the least good for the greatest number
	Does not violate an unwritten contract	5	4	3	2	1	Violates an unwritten contract
	Morally right	5	4	3	2	1	Not morally right
	Does not violate my idea of fairness	5	4	3	2	1	Violates my idea of fairness
	Generally an ethical decision	5	4	3	2	1	Generally not an ethical decision
	Generally an appropriate decision	5	4	3	2	1	Generally not an appropriate decision
	Generally an effective decision	5	4	3	2	1	Generally not an effective decision

2. In this organization, there is a position to be filled. There are two candidates with similar educational background. They are both suitable for the organization. At the end, the manager decided to recruit the one who is the nephew of his friend rather than the more experienced one, since he has already known this person.

The decision is:

	Fair	5	4	3	2	1	Unfair
	Just	5	4	3	2	1	Unjust
	Acceptable in my culture	5	4	3	2	1	Not acceptable in my culture
	Acceptable to me	5	4	3	2	1	Not acceptable to me
	Acceptable to my family	5	4	3	2	1	Not acceptable to my family
	Not selfish	5	4	3	2	1	Selfish
	Under no moral obligation to act otherwise	5	4	3	2	1	Morally obligated to act otherwise
	Efficient	5	4	3	2	1	Inefficient
	On balance, tends to be good	5	4	3	2	1	On balance, tends to be bad
	Leads to the greatest good for the greatest number	5	4	3	2	1	Leads to the least good for the greatest number
	Does not violate an unwritten contract	5	4	3	2	1	Violates an unwritten contract
	Morally right	5	4	3	2	1	Not morally right
	Does not violate my idea of fairness	5	4	3	2	1	Violates my idea of fairness
	Generally an ethical decision	5	4	3	2	1	Generally not an ethical decision
	Generally an appropriate decision	5	4	3	2	1	Generally not an appropriate decision
	Generally an effective decision	5	4	3	2	1	Generally not an effective decision

3. In this organization, it is the time to evaluate the performance of the employees in his unit. When he looks at the attainment of the quantifiable objectives, he realized that his employees could not meet them. However he thinks that one of his employees deserves a higher performance. Since he thinks his personal opinion about employees' performance is as important as the other performance criteria, he gave slightly higher ratings than the employee deserves.

The decision is:

Fair	5	4	3	2	1	Unfair
Just	5	4	3	2	1	Unjust
Acceptable in my culture	5	4	3	2	1	Not acceptable in my culture
Acceptable to me	5	4	3	2	1	Not acceptable to me
Acceptable to my family	5	4	3	2	1	Not acceptable to my family
Not selfish	5	4	3	2	1	Selfish
Under no moral obligation to act otherwise	5	4	3	2	1	Morally obligated to act otherwise
Efficient	5	4	3	2	1	Inefficient
On balance, tends to be good	5	4	3	2	1	On balance, tends to be bad
Leads to the greatest good for the greatest number	5	4	3	2	1	Leads to the least good for the greatest number
Does not violate an unwritten contract	5	4	3	2	1	Violates an unwritten contract
Morally right	5	4	3	2	1	Not morally right
Does not violate my idea of fairness	5	4	3	2	1	Violates my idea of fairness
Generally an ethical decision	5	4	3	2	1	Generally not an ethical decision
Generally an appropriate decision	5	4	3	2	1	Generally not an appropriate decision
Generally an effective decision	5	4	3	2	1	Generally not an effective decision

4. There are two candidates in his department to promote to a managerial position. One of them is a senior employee with whom he has been working for a long time. The other one is a very young and hardworking employee. Although he believes that the second employee has a slightly better performance, he decided to promote the senior one, who is with moderate performance, but has been in his department for a longer period.

The decision is:

Fair	5	4	3	2	1	Unfair
Just	5	4	3	2	1	Unjust
Acceptable in my culture	5	4	3	2	1	Not acceptable in my culture
Acceptable to me	5	4	3	2	1	Not acceptable to me
Acceptable to my family	5	4	3	2	1	Not acceptable to my family
Not selfish	5	4	3	2	1	Selfish
Under no moral obligation to act otherwise	5	4	3	2	1	Morally obligated to act otherwise
Efficient	5	4	3	2	1	Inefficient
On balance, tends to be good	5	4	3	2	1	On balance, tends to be bad
Leads to the greatest good for the greatest number	5	4	3	2	1	Leads to the least good for the greatest number
Does not violate an unwritten contract	5	4	3	2	1	Violates an unwritten contract
Morally right	5	4	3	2	1	Not morally right
Does not violate my idea of fairness	5	4	3	2	1	Violates my idea of fairness
Generally an ethical decision	5	4	3	2	1	Generally not an ethical decision
Generally an appropriate decision	5	4	3	2	1	Generally not an appropriate decision
Generally an effective decision	5	4	3	2	1	Generally not an effective decision

PART 2: In the following part, there are statements about socio-cultural values. Using the scale below, please indicate the extent to which you agree or disagree with the following statements. Please put a number beginning of each of the statements.

1	2	3	4	5	6
Strongly Disagree	Disagree	Somewhat Disagree	Somewhat Agree	Agree	Strongly Agree

1. ___ Teachers should take care of their students as they would take care of their children.
2. ___ There needs to be a hierarchy of authority in a society.
3. ___ Most of the time, it doesn't pay to try hard because things never turn out right anyway.
4. ___ Even when the demands of one's in-group (family, relatives, close friends) are costly, one has to stay with it.
5. ___ If a coworker gets a prize, individuals should feel proud.
6. ___ Family members should stick together, no matter what sacrifices are required.
7. ___ Superiors know best what is good for their subordinates.
8. ___ Inequality of status among individuals in a society is acceptable.
9. ___ People should set challenging goals for themselves.
10. ___ Parents should teach their children obedience.
11. ___ The well-being of coworkers should be important to individuals.
12. ___ When bad things are going to happen they just are going to happen no matter what you do to stop them.
13. ___ The experience and wisdom of superiors are the best guidelines for subordinates
14. ___ One is expected to be loyal to his or her community even if one is inconvenienced by the demands of the community.
15. ___ Students, who have not studied and as a result failed, should be given another chance.
16. ___ It is one's duty to take care of his or her family, even when one has to sacrifice what he or she wants.
17. ___ People having authority should be respected because of their position.
18. ___ One has to be loyal to his/her community if one seeks their support and protection.
19. ___ In order to attain high performance objectives, people should strive for.
20. ___ Pleasure is spending time with others.
21. ___ Planning only makes a person unhappy since plans hardly ever work out anyway.
22. ___ The ideal boss in a society is like a parent.
23. ___ People having authority and status should have privileges.
24. ___ Group interests should take precedence over personal interests.
25. ___ In this society, major rewards should be based on performance effectiveness.
26. ___ Individuals should feel good when they cooperate with others.
27. ___ Being innovative to improve performance should be rewarded.
28. ___ Parents and children must stay together as much as possible.
29. ___ Managers should provide fatherly advice and directions to their subordinates.
30. ___ Students should not disagree with their teachers.
31. ___ The wise person should live for today since planning tomorrow is futile.
32. ___ Football players unsuccessful for two seasons should be discharged.
33. ___ Doctors know best what is good for their patients.
34. ___ Individuals should respect the decisions made by their groups.
35. ___ Students should be encouraged to strive for continuously improved performance.
36. ___ One should obey the person in the authority.
37. ___ Whatever happens must happen.
38. ___ One should sacrifice from family life to be successful at work.
39. ___ When one is born, the success or failure one is going to have is already in one's destiny.

PART 3: In this section, you are presented with two almost opposing choices on the left and the right of the arrow. We would like to know from you "Ideally what your preference is". Please indicate your preferred choice by circling a number from 1 to 5. **Where No. (1) indicates that you strongly agree with situation on your (left), while No. (5) indicates that you strongly agree with the situation on your right.** Please circle No. (3) if you prefer the combination of the practices on the both sides.

Staffing

	←————→					
Make the criteria used for selection very clear to all job applicants.	1	2	3	4	5	Not reveal all the criteria used for selection to every job applicant.
Fill all job vacancies with insiders before any outside candidates are recruited.	1	2	3	4	5	Let job vacancies be filled by the best people (whether from within or outside the organisation).
Use a wide range of sophisticated selection tools for jobs (e.g. interview, psychological test, task simulation, etc.).	1	2	3	4	5	Rely on simple selection process for your job (such as interviews)
Make current performance and competence the top priority for important promotion.	1	2	3	4	5	Make loyalty and seniority the top priority for important promotion.
Create a climate in which people at work organise variety of social activities.	1	2	3	4	5	Treat work in the organisation and social activities as separate matter.
Announce or officially publish all employees' promotion.	1	2	3	4	5	Keep promotions as a private issue and only announce important ones.

Performance Evaluation

	←————→					
Focus the performance evaluation on how the job is being done (e.g. what manner the job is performed)	1	2	3	4	5	Focus the performance evaluation on what was achieved (e.g. results)
Treat the performance evaluation as a joint problem solving discussion (employees negotiate the criteria on which their performance is evaluated)	1	2	3	4	5	Treat the performance evaluation as a chance for the manager to determine what best should be done by the employee.
Create official evaluation systems in which forms are always filled out and processed.	1	2	3	4	5	Create unofficial evaluation systems in which emphasis is put on face-to-face feedback.
Ensure an employee's performance is evaluated by his supervisor.	1	2	3	4	5	Ensure an employee's performance is evaluated by their subordinates or peers.
Focus performance evaluation on the personal achievements of the individual.	1	2	3	4	5	Focus performance evaluation on the results of group or division to the individual belongs.
Only make performance evaluation once a while.	1	2	3	4	5	Make very frequent performance evaluation.

Salaries and Allowances

	←————→					
Determine pay increases mainly by individual's job performance.	1	2	3	4	5	Determine pay increases mainly by the group and individual's work performance.
Keep employee's pay level secret.	1	2	3	4	5	Allow employee's pay levels to be a matter of public knowledge.
Ensure the individual needs and expectations are always taken into account when determining salaries and increments.	1	2	3	4	5	Ensure organisation's needs and expectations are always taken into account when determining salaries level.
Reward special achievement through financial incentives (such as gifts).	1	2	3	4	5	Reward special achievement through non-financial incentives (such as praise, more influence or special privileges).
Determine salaries and allowances by age and seniority of the employees.	1	2	3	4	5	Determine salaries and allowances with no regards to age and seniority of employees.
Take specific qualification and skills of the employees into consideration when deciding rewards level.	1	2	3	4	5	Do not pay for specific qualifications and skills of the employees but focus solely on performance.

Training

	←	→	
Ensure the average employee spends more than one week in "off the job" training each year.	1	2	3 4 5
Do not require the average employee to spend more than one week in "off the job" training each year.	1	2	3 4 5
Allow most training to take place at the request of the employees.	1	2	3 4 5
Allow most training to take place at the request of immediate supervisor or the organisation.	1	2	3 4 5
Offer training programmes that improve an employee's skills or knowledge for his/her present job with the organisation.	1	2	3 4 5
Offer training programmes that enables an employee to learn more general & transferable knowledge (i.e. relevant for other jobs in the organisation).	1	2	3 4 5
Provide formal, systematic training policy that covers all employees level	1	2	3 4 5
Provide training policy that allows employees to be trained on an <i>ad hoc</i> basis.	1	2	3 4 5
Enable individual employee to have a significant say on his/her preferred career paths and identify his/her own training needs	1	2	3 4 5
Only let the individual employee has a minimum say on his/her preferred career paths and identify his/ her own training needs.	1	2	3 4 5
Provide continuous training and retraining opportunities for all employees as a matter of policy.	1	2	3 4 5
Provide training and retraining opportunities for employees when there is a clear organisational need.	1	2	3 4 5

PART 4: Using the scales below, please indicate the extent to which you agree or disagree with the following statements. Please put a number beginning of each of the statements.

1	2	3	4	5	6
Strongly Disagree	Disagree	Somewhat Disagree	Somewhat Agree	Agree	Strongly Agree
1. ___ I really feel as if this organization's problems are my own.					
2. ___ I do not feel a strong sense of belonging to my organization					
3. ___ At this point, my experiences in this organization have fallen short of my expectations.					
4. ___ I do not feel "emotionally attached" to this organization.					
5. ___ I rarely think about quitting.					
6. ___ This organization has a great deal of personal meaning for me.					
7. ___ I do not feel like "part of the family" at my organization.					
8. ___ I will actively look for a job outside my organization in the next year.					
9. ___ I would be very happy to spend the rest of my career with this organisation.					
10. ___ I will probably look for a new job outside my present organization in the next year.					
11. ___ At this point, my experiences in this organization have exceeded my expectations.					
1	2	3	4	5	
To a very little Extent				To a very large Extent	

To what extent have your expectations been met regarding the following HRM practices in your organization?

12. ___ Performance evaluation
13. ___ Compensation practices
14. ___ Training and development opportunities
15. ___ Promotion opportunities
16. ___ Overall HRM practices in your organization

To what extent

17. ___ are the values of the organization similar to your own values?
18. ___ does your personality match the personality or image of the organization?
19. ___ does the organization fulfil your needs?
20. ___ is the organization a good match for you?
21. ___ does your organization measure up to the kind of organization you were seeking?

PART 5: In this section, you are presented with two almost opposing choices on the left and the right of the arrow. We would like to know from you "What according to you is the actual situation in your organisation is". Please indicate the actual practice by circling a number from 1 to 5. Where No. (1) indicates that you strongly perceive the situation as on your (left), while No. (5) indicates that you strongly perceive the situation as on your right. Please circle No. (3), if you think the actual practice in your organization is the combination of both sides. If you don't know the actual practice in your organization please circle "?" option on the far left hand side.

Staffing

	←—————→						
Make the criteria used for selection very clear to all job applicants.	1	2	3	4	5	Not reveal all the criteria used for selection to every job applicant.	?
Fill all job vacancies with insiders before any outside candidates are recruited.	1	2	3	4	5	Let job vacancies be filled by the best people (whether from within or outside the organisation).	?
Use a wide range of sophisticated selection tools for jobs (e.g. interview, psychological test, task simulation, etc.).	1	2	3	4	5	Rely on simple selection process for your job (such as interviews)	?
Make current performance and competence the top priority for important promotion.	1	2	3	4	5	Make loyalty and seniority the top priority for important promotion.	?
Create a climate in which people at work organise variety of social activities.	1	2	3	4	5	Treat work in the organisation and social activities as separate matter.	?
Announce or officially publish all employees' promotion.	1	2	3	4	5	Keep promotions as a private issue and only announce important ones.	?

Regarding the ACTUAL implementation of above practices in your organization, these practices are:

Very unethical (1) ----- (2) ----- (3) ----- (4) ----- (5) Very ethical
 Very ineffective (1) ----- (2) ----- (3) ----- (4) ----- (5) Very effective

Performance Evaluation

	←—————→						
Focus the performance evaluation on how the job is being done (e.g. what manner the job is performed)	1	2	3	4	5	Focus the performance evaluation on what was achieved (e.g. results)	?
Treat the performance evaluation as a joint problem solving discussion (employees negotiate the criteria on which their performance is evaluated.)	1	2	3	4	5	Treat the performance evaluation as a chance for the manager to determine what best should be done by the employee.	?
Create official evaluation systems in which forms are always filled out and processed.	1	2	3	4	5	Create unofficial evaluation systems in which emphasis is put on face-to-face feedback.	?
Ensure an employee's performance is evaluated by his supervisor.	1	2	3	4	5	Ensure an employee's performance is evaluated by their subordinates or peers.	?
Focus performance evaluation on the personal achievements of the individual.	1	2	3	4	5	Focus performance evaluation on the results of group or division to the individual belongs.	?
Only make performance evaluation once a while.	1	2	3	4	5	Make very frequent performance evaluation.	?

Regarding the ACTUAL implementation of above practices in your organization, these practices are:

Very unethical (1) ----- (2) ----- (3) ----- (4) ----- (5) Very ethical
 Very ineffective (1) ----- (2) ----- (3) ----- (4) ----- (5) Very effective

Salaries and Allowances

	←—————→						
Determine pay increases mainly by individual's job performance.	1	2	3	4	5	Determine pay increases mainly by the group and individual's work performance.	?
Keep employee's pay level secret.	1	2	3	4	5	Allow employee's pay levels to be a matter of public knowledge.	?
Ensure the individual needs and expectations are always taken into account when determining salaries and increments.	1	2	3	4	5	Ensure organisation's needs and expectations are always taken into account when determining salaries level.	?
Reward special achievement through financial incentives (such as gifts).	1	2	3	4	5	Reward special achievement through non-financial incentives (such as praise, more influence or special privileges).	?
Determine salaries and allowances by age and seniority of the employees.	1	2	3	4	5	Determine salaries and allowances with no regards to age and seniority of employees.	?
Take specific qualification and skills of the employees into consideration when deciding rewards level.	1	2	3	4	5	Do not pay for specific qualifications and skills of the employees but focus solely on performance.	?

Regarding the ACTUAL implementation of above practices in your organization, these practices are:

Very unethical (1) ----- (2) ----- (3) ----- (4) ----- (5) Very ethical
 Very ineffective (1) ----- (2) ----- (3) ----- (4) ----- (5) Very effective

Training

		←-----→					
Ensure the average employee spends more than one week in "off the job" training each year.	1	2	3	4	5	Do not require the average employee to spend more than one week in "of the job training each year.	?
How most training to take place at the request of the employees.	1	2	3	4	5	Allow most training to take place at the request of immediate supervisor or the organisation.	?
Offer training programmes that improve an employee's skills or knowledge for his/her present job with the organisation.	1	2	3	4	5	Offer training programmes that enables an employee to learn more general& transferable knowledge (i.e. relevant for other jobs in the organisation).	?
Provide formal, systematic training policy that covers all employees level	1	2	3	4	5	Provide training policy that allows employees to be trained on an <i>ad hoc</i> basis.	?
Enable individual employee to have a significant say on his/her preferred career paths and identify his/her own training needs	1	2	3	4	5	Only let the individual employee has a minimum say on his/her preferred career paths and identify his/ her own training needs.	?
Provide continuous training and retraining opportunities for all employees as a matter of policy.	1	2	3	4	5	Provide training and retraining opportunities for employees when there is a clear organisational need.	?

Regarding the ACTUAL implementation of above practices in your organization, these practices are:

Very unethical (1) ----- (2) ----- (3) ----- (4) ----- (5) Very ethical
 Very ineffective (1) ----- (2) ----- (3) ----- (4) ----- (5) Very effective

PART 6: Using the scale below, please indicate the extent to which you satisfied or dissatisfied with the following human resources practices in your organization. Please put a number beginning of each of the statements.

1	2	3	4	5	6
Extremely Dissatisfied	Dissatisfied	Somewhat Dissatisfied	Somewhat Satisfied	Satisfied	Extremely Satisfied

1. ____ Performance evaluation
2. ____ Compensation practices
3. ____ Training opportunities offered by the organization
4. ____ Promotion opportunities available in the organization
5. ____ The support you get from the management
6. ____ Communication with the management
7. ____ Communication with others in the organization
8. ____ Level of autonomy to perform your day-to-day jobs
9. ____ Opportunities for higher learning
10. ____ Recognition if you perform a good job
11. ____ Involvement in making decisions relating to you and your job
12. ____ Involvement regarding drafting and implementing various management policies in this organization
13. ____ Overall HRM practices in your organization

PART 7: In this part there are some general statements. Each represents a commonly held opinion and there are no right or wrong answers. You will probably disagree with some items and agree with others. Using the scales below, please indicate the extent to which you agree or disagree with the following statements. Please put a number beginning of each of the statements.

1	2	3	4	5	6
Strongly Disagree	Disagree	Somewhat Disagree	Somewhat Agree	Agree	Strongly Agree

1. ____ A person should make certain that their actions never intentionally harm another even to a small degree.
2. ____ Risks to another should never be tolerated, irrespective of how small the risks might be.
3. ____ The existence of potential harm to others is always wrong, irrespective of the benefits to be gained.
4. ____ One should never psychologically or physically harm another person.

5. ____ One should not perform an action which might in any way threaten the dignity and welfare of another individual.
6. ____ If an action could harm an innocent other, then it should not be done.
7. ____ Deciding whether or not to perform an act by balancing the positive consequences of the act against the negative consequences of the act is immoral.
8. ____ The dignity and welfare of people should be the most important concern in any society.
9. ____ It is never necessary to sacrifice the welfare of others.
10. ____ Moral actions are those which closely match ideals of the most "perfect" action.
11. ____ There are no ethical principles that are so important that they should be a part of any code of ethics.
12. ____ What is ethical varies from one situation and society to another.
13. ____ Moral standards should be seen as being individualistic; what one person considers to be moral may be judged to be immoral by another person.
14. ____ Different types of moralities cannot be compared as to "rightness."
15. ____ Questions of what is ethical for everyone can never be resolved since what is moral or immoral is up to the individual.
16. ____ Moral standards are simply *personal* rules which indicate how a person should behave, and are not to be applied in making judgments of others.
17. ____ Ethical considerations in interpersonal relations are so complex that individuals should be allowed to formulate their own individual codes.
18. ____ Rigidly codifying an ethical position that prevents certain types of actions could stand in the way of better human relations and adjustment.
19. ____ No rule concerning lying can be formulated; whether a lie is permissible or not permissible totally depends upon the situation.
20. ____ Whether a lie is judged to be moral or immoral depends upon the circumstances surrounding the action.

PART 8: Organizational information

1. The home country of your organization: _____
2. Does your company have partnership with a Turkish company? ____ Yes ____ No
If "Yes", the percentage of partnership: ____% Turkish ____% Foreign
3. The number of employees in your current organization: _____
4. Sector of your current organization: _____
5. The degree to which your organization is dependent upon the Headquarter in terms of technical and management know-how:
To a very little extent (1) ----- (2) ----- (3) ----- (4) ----- (5) To a very large extent
6. The degree to which your organization is dependent upon the local resources (e.g. raw-material and technology):
To a very little extent (1) ----- (2) ----- (3) ----- (4) ----- (5) To a very large extent
7. The degree to which your organization's communication frequency (e.g. reporting) with the Headquarter:
To a very little extent (1) ----- (2) ----- (3) ----- (4) ----- (5) To a very large extent

PART 9:

1. Age: ____
2. Gender: ____ man ____ woman
3. Nationality: _____
4. Years of formal education completed: _____ years
5. Your position: a. Managerial b. Non-managerial
6. Your tenure in the current organization: ____ years ____ months
7. Your department: a. Finance b. Accounting c. Sales d. Marketing e. Human Resources f. Operational
g. IT h. Research & Development i. Other: _____

Appendix 2



Kurumunuzdaki İnsan Kaynakları Ugulamalarına İlişkin Görüşleriniz

Değerli katılımcı,

Katılımınızı rica ettiğimiz bu araştırmaya, Middlesex Üniversitesi Doktora Programı bitirme tezidir. Gönüllü olarak katılacağınız bu araştırma için yalnızca 25 dakikanızı ayırmanız yeterli olacaktır. Bu çalışmanın amacı, Türkiye'deki çalışanların ve yöneticilerin kurumlarındaki İnsan Kaynakları Yönetimi (İKY) uygulamalarına ilişkin görüşlerini incelemektir. Araştırmanın sonuçları, talep etmeniz halinde (aşağıdaki adrese e-mail yollayarak), size sunulacaktır.

Anketi doldururken dikkat edilmesi gereken konular:

- Bu anketi cevaplamak için firmanızda en az 6 aydır çalışıyor olmanız gerekmektedir.
- Lütfen anketin hiçbir yerine kendi isminizi veya firmanızın ismini yazmayınız.
- Araştırmadaki hiçbir sorunun doğru veya yanlış yanıtı yoktur.
- Araştırmanın sağlıklı sonuçlara ulaşması, katılımın yüksek olmasına ve cevapların samimi olmasına bağlıdır.
- İsimsiz doldurulacak anketlerin doğrudan serapkyavuz@gmail.com adresine e-mail ile ya da "Ortaklar Cad., Ünsal Sk., Koray Apt., No: 5/5, Mecidiyeköy/İstanbul" adresine posta ile gönderilmesi rica olunur.

Katkılarınızdan dolayı çok teşekkür ederiz.

Serap Yavuz (S.Yavuz@mdx.ac.uk)
Prof. Terence Jackson

BÖLÜM 1: Aşağıda hayali bir kurumda çalışan bir yöneticinin kararlarıyla ilgili senaryolar yer almaktadır. Lütfen bu senaryoları okuyarak, senaryoda geçen yöneticinin kararını aşağıdaki ölçekleri kullanarak değerlendiriniz. Lütfen uygun seçeneği yuvarlak içine alınız ve hiçbir seçeneği atlamayınız.

1. Bu hayali kurumda, açık bir pozisyon bulunmaktadır. Pozisyon, hem şirket içinde hem de şirket dışında duyurulmuştur. Bu yönetici, bir pozisyonunun ilk olarak şirket içinde mevcut çalışanlara duyurulması gerektiğini, eğer şirket içinden biriyle doldurulamazsa şirket dışında ilan verilmesi gerektiğini düşünmektedir. Seçme süreci sonrasında, iki aday bulunmaktadır; bir tanesi mevcut bir çalışan, diğeri ise yeni bir başvurudur. Yeni başvuran adayın özellikleri biraz daha güçlü olsa da, yönetici, pozisyonu şirketin mevcut çalışanıyla doldurma kararı alır.

Bu karar:

	Haklı	5	4	3	2	1	Haksız
	Adil	5	4	3	2	1	Adil değil
Benim kültürümden kabul edilebilir		5	4	3	2	1	Benim kültürümden kabul edilemez
Bence kabul edilebilir		5	4	3	2	1	Bence kabul edilemez
Ailemce kabul edilebilir		5	4	3	2	1	Ailemce kabul edilemez
Bencilce değil		5	4	3	2	1	Bencilce
Verimli		5	4	3	2	1	Verimli değil
Herşey düşünüldüğünde iyi yönde bir karar		5	4	3	2	1	Herşey düşünüldüğünde kötü yönde bir karar
Çok sayıda insan için iyi olacak bir karar		5	4	3	2	1	Çok sayıda insan için kötü olacak bir karar
Sözlü bir anlaşmayı ihlal etmez		5	4	3	2	1	Sözlü bir anlaşmayı ihlal eder
Ahlaken doğru		5	4	3	2	1	Ahlaken doğru değil
Adalet anlayışımla bağdaşır		5	4	3	2	1	Adalet anlayışımla bağdaşmaz
Genel olarak etik bir karar		5	4	3	2	1	Genel olarak etik olmayan bir karar
Genel olarak uygun bir karar		5	4	3	2	1	Genel olarak uygun olmayan bir karar
Genel olarak etkin bir karar		5	4	3	2	1	Genel olarak etkin olmayan bir karar

2. Bu hayali kurumda, açık bir pozisyon bulunmaktadır. Bu pozisyon için, aynı eğitim düzeyine sahip iki aday bulunmaktadır. Ve her iki aday da kurum için uygundur. Sonuç olarak, bu yönetici biraz daha deneyimli olan adayı değil de bir arkadaşının yeğeni olan adayı işe almaya karar verir; çünkü bu adayı önceden de tanımaktadır.

Bu karar:

	Haklı	5	4	3	2	1	Haksız
	Adil	5	4	3	2	1	Adil değil
Benim kültürümden kabul edilebilir		5	4	3	2	1	Benim kültürümden kabul edilemez
Bence kabul edilebilir		5	4	3	2	1	Bence kabul edilemez
Ailemce kabul edilebilir		5	4	3	2	1	Ailemce kabul edilemez
Bencilce değil		5	4	3	2	1	Bencilce
Verimli		5	4	3	2	1	Verimli değil
Herşey düşünüldüğünde iyi yönde bir karar		5	4	3	2	1	Herşey düşünüldüğünde kötü yönde bir karar
Çok sayıda insan için iyi olacak bir karar		5	4	3	2	1	Çok sayıda insan için kötü olacak bir karar
Sözlü bir anlaşmayı ihlal etmez		5	4	3	2	1	Sözlü bir anlaşmayı ihlal eder
Ahlaken doğru		5	4	3	2	1	Ahlaken doğru değil
Adalet anlayışımla bağdaşır		5	4	3	2	1	Adalet anlayışımla bağdaşmaz
Genel olarak etik bir karar		5	4	3	2	1	Genel olarak etik olmayan bir karar
Genel olarak uygun bir karar		5	4	3	2	1	Genel olarak uygun olmayan bir karar
Genel olarak etkin bir karar		5	4	3	2	1	Genel olarak etkin olmayan bir karar

3. Bu hayali kurumda, yöneticinin bölümündeki çalışanlarının performansını değerlendirme zamanıdır. Sayısal hedeflerin gerçekleştirilmesine baktığında, çalışanlarının bu hedefleri karşılamadığını görür. Ancak, çalışanlardan birinin daha yüksek bir performans değerlendirmesi hakettiğine inanmaktadır. Çalışanların performansıyla ilgili, yönetici olarak kendi kişisel görüşünün de diğer performans kriterleri kadar önemli olduğunu düşündüğü için, bu çalışanına hakettiğinden biraz daha yüksek değere düzenler.

Bu karar:

	Haklı	5	4	3	2	1	Haksız
	Adil	5	4	3	2	1	Adil değil
Benim kültürümde kabul edilebilir		5	4	3	2	1	Benim kültürümde kabul edilemez
Bence kabul edilebilir		5	4	3	2	1	Bence kabul edilemez
Ailemce kabul edilebilir		5	4	3	2	1	Ailemce kabul edilemez
Bencilce değil		5	4	3	2	1	Bencilce
Verimli		5	4	3	2	1	Verimli değil
Herşey düşünüldüğünde iyi yönde bir karar		5	4	3	2	1	Herşey düşünüldüğünde kötü yönde bir karar
Çok sayıda insan için iyi olacak bir karar		5	4	3	2	1	Çok sayıda insan için kötü olacak bir karar
Sözlü bir anlaşmayı ihlal etmez		5	4	3	2	1	Sözlü bir anlaşmayı ihlal eder
Ahlaken doğru		5	4	3	2	1	Ahlaken doğru değil
Adalet anlayışıyla bağdaşır		5	4	3	2	1	Adalet anlayışıyla bağdaşmaz
Genel olarak etik bir karar		5	4	3	2	1	Genel olarak etik olmayan bir karar
Genel olarak uygun bir karar		5	4	3	2	1	Genel olarak uygun olmayan bir karar
Genel olarak etkin bir karar		5	4	3	2	1	Genel olarak etkin olmayan bir karar

4. Bu yöneticinin departmanında yönetici pozisyonuna terfi edecek iki aday bulunmaktadır. Bir tanesi birlikte çok uzun süredir çalıştığı kıdemli bir adaydır. Diğeri ise çok çalışkan ve şirkette yeni olan genç bir adaydır. İkinci adayın biraz daha iyi performansı olduğunu düşünmesine rağmen, yönetici pozisyonuna, departmanında uzun süredir çalışan ortalama performanslı ama kıdemli adayı terfi ettirme kararı alır.

Bu karar:

	Haklı	5	4	3	2	1	Haksız
	Adil	5	4	3	2	1	Adil değil
Benim kültürümde kabul edilebilir		5	4	3	2	1	Benim kültürümde kabul edilemez
Bence kabul edilebilir		5	4	3	2	1	Bence kabul edilemez
Ailemce kabul edilebilir		5	4	3	2	1	Ailemce kabul edilemez
Bencilce değil		5	4	3	2	1	Bencilce
Verimli		5	4	3	2	1	Verimli değil
Herşey düşünüldüğünde iyi yönde bir karar		5	4	3	2	1	Herşey düşünüldüğünde kötü yönde bir karar
Çok sayıda insan için iyi olacak bir karar		5	4	3	2	1	Çok sayıda insan için kötü olacak bir karar
Sözlü bir anlaşmayı ihlal etmez		5	4	3	2	1	Sözlü bir anlaşmayı ihlal eder
Ahlaken doğru		5	4	3	2	1	Ahlaken doğru değil
Adalet anlayışıyla bağdaşır		5	4	3	2	1	Adalet anlayışıyla bağdaşmaz
Genel olarak etik bir karar		5	4	3	2	1	Genel olarak etik olmayan bir karar
Genel olarak uygun bir karar		5	4	3	2	1	Genel olarak uygun olmayan bir karar
Genel olarak etkin bir karar		5	4	3	2	1	Genel olarak etkin olmayan bir karar

BÖLÜM 2: Aşağıdaki bölümde, toplumdaki değer yargılarına ilişkin ifadeler bulunmaktadır. Lütfen, her bir ifadeye ne oranda katıldığınızı aşağıdaki ölçeği kullanarak işaretleyiniz. Lütfen her cümlenin başındaki boşluğa bir sayı gelecek şekilde cevap veriniz.

1	2	3	4	5	6
Kesinlikle Katılmıyorum	Katılmıyorum	Biraz Katılmıyorum	Biraz Katılıyorum	Katılıyorum	Kesinlikle Katılıyorum
1. ___ Öğretmenler öğrencilerine bir ebeveynin çocuklarına gösterdiği gibi ilgi göstermelidirler.					
2. ___ Bir toplumda otorite konusunda hiyerarşi olması gerekir.					
3. ___ İşler hiçbir zaman istendiği gibi sonuçlanmadığından, mücadele etmek çoğunlukla boşunadır.					
4. ___ Kişinin yakın çevresinin (aile, akrabalar, dostlar) istekleri külfetli de olsa bunlara uymak gerekir.					
5. ___ İnsanlar, çalışma arkadaşlarının takdir veya başarı kazanmasından gurur duymalıdır.					
6. ___ Ne kadar fedakarlık gerektirirse gerektirsin, grup üyeleri (aile üyeleri, iş arkadaşları vs.) birbirlerine bağlı kalmalıdır.					
7. ___ Astar için neyin iyi olduğunu en iyi üstler bilirler.					
8. ___ Toplumda kişiler arasında statü farkı olması kabul edilebilir.					
9. ___ Kişiler kendileri için zorlayıcı performans hedefleri koymalıdır.					
10. ___ Aileler, çocuklarına büyüklere karşı itaatkar olmaları gerektiğini öğretmelidir.					
11. ___ Çalışma arkadaşlarının mutluluğu ve iyiliği kişiler için çok önemli olmalıdır.					
12. ___ Engellemeye kalksanız da kötü şeyler olacağı varsa olur.					
13. ___ Üstlerin deneyim ve akli astlar için en iyi rehberdir.					
14. ___ Çevresinin talepleri ne kadar zahmet verse de kişiden bağlı olduğu topluluğa sadık kalması beklenir.					
15. ___ Çalışmadığı için sınıfta kalan öğrencilere bir hak daha tanınmamalıdır.					
16. ___ Kendi isteklerinden fedakarlık yapmak gerekse bile yakını olan kişilerle ilgilenmek herkesin görevidir.					
17. ___ Makam sahibi kişilere konumları gereği saygı gösterilmelidir.					
18. ___ Kişi bağlı olduğu gruptan destek ve himaye bekliyorsa ona sadık olmalıdır.					
19. ___ Yüksek performans hedeflerine ulaşmak için her türlü zorluğa göğüs gerilmelidir.					
20. ___ Mutluluk, çevremizdeki insanlarla vakit geçirmektir.					
21. ___ Sonunda çoğunlukla boşa çıkacağı için, plan yapmak kişiyi yalnızca mutsuz eder.					
22. ___ Toplumda ideal yönetici bir baba gibidir.					
23. ___ Makam ve statü sahibi kişiler özel ayrıcalıklara, imtiyazlara sahip olmalıdır.					
24. ___ Grup çıkarları kişisel çıkarların önünde gelir.					
25. ___ Toplumumuzda önemli ödüller yalnızca performansa ve başarıya dayalı verilmelidir.					
26. ___ Kişilerin başkalarıyla iş birliği yapması kendilerini iyi hissettirir.					
27. ___ Performansı artıracak her türlü yaratıcı çözüm ödüllendirilmelidir.					
28. ___ Ebeveynler ve çocuklar mümkün olduğunca birbirlerine bağlı kalmalıdır.					
29. ___ Yöneticiler astlarına bir baba gibi öğüt vermeli ve yol göstermelidir.					
30. ___ Öğrenciler öğretmenleriyle fikir çatışmasına girmemelidir.					
31. ___ Yarını planlamak işe yaramayacağından, bugün için yaşanmalıdır.					
32. ___ İki dönem üst üste başarısız olan futbolcular takımdan atılmalıdır.					
33. ___ Hastalar için neyin en iyi olduğunu yalnızca doktorlar bilirler.					
34. ___ İnsanlar mensubu olduğunu hissettiği gruplar tarafından alınan kararlara saygı göstermelidir.					
35. ___ Öğrenciler, performanslarını sürekli geliştirmeleri yönünde teşvik edilmelidir.					
36. ___ Otorite sahibi kişilerin talepleri her zaman yerine getirilmelidir.					
37. ___ Hayatta herşey olacağına varır.					
38. ___ İşte başarılı olmak için gerekirse aile yaşamından ödün verilmelidir.					
39. ___ İnsan hayatta başarılı ya da başarısız olacağı alında yazılı olarak doğar.					

BÖLÜM 3: Bu bölümde, sayfanın sağ ve sol tarafında neredeyse birbirinin zıttı olan seçenekler verilmiştir. Sizden beklentimiz bu iki taraftaki seçeneklerden "sizin ideal olarak tercihinizi" belirtmenizdir. Lütfen tercihinizi 1 ve 5 arasında yer alan rakamlardan birini yuvarlak içine olarak belirtiniz. (1) rakamı, SOL taraftaki ifadeye kesinlikle katıldığınızı gösterirken; (5) rakamı, SAĞ taraftaki ifadeye kesinlikle katıldığınızı göstermektedir. Eğer her iki taraftaki uygulamaların bir arada olmasını tercih ediyorsanız, lütfen (3) rakamını işaretleyiniz.

İşe Alım

	←	→		
Seçim kriterlerini tüm adaylar için çok net olacak şekilde belirtmek.	1	2	3 4 5	Adayların her biri için tüm seçim kriterlerini açık bir şekilde ortaya koymamak.
Tüm açık pozisyonları, şirket dışına duyurmadan önce, şirket içinden doldurmak.	1	2	3 4 5	Açık pozisyonları, şirket içi ya da dışı farkı gözetmeden, en iyi kişiyle doldurmak.
Çok geniş kapsamlı işe alım yöntemleri (örn., mülakat, psikolojik testler, iş simülasyonu) kullanmak.	1	2	3 4 5	Basit bir işe alım süreci (mülakat gibi) kullanmak.
Önemli terfilerde en çok mevcut performansı ve becerileri göz önünde bulundurmak.	1	2	3 4 5	Önemli terfilerde en çok bağlılığı ve kıdemini göz önünde bulundurmak.
Kurum içinde birçok sosyal aktivitenin organize edildiği bir ortam yaratmak.	1	2	3 4 5	İşi ve sosyal aktiviteleri birbirinden ayrı tutmak.
Tüm çalışan terfilerini resmi olarak duyurmak.	1	2	3 4 5	Terfileri kişiye özel bir durum olarak görmek ve sadece önemli terfileri duyurmak.

Performans Değerlendirme

	←	→		
Performans değerlendirmesinde işin nasıl yapıldığına (örn., işin ne şekilde yapıldığı) odaklanmak.	1	2	3 4 5	Performans değerlendirmesinde neyin gerçekleştirilip gerçekleştirilmediğine (örn., sayısal sonuçlar) odaklanmak.
Performans değerlendirmesini ortak bir problem çözme toplantısı olarak görmek (çalışanların hangi kriterler üzerinden değerlendirileceklerine dair çalışanlarla uzlaşılması).	1	2	3 4 5	Performans değerlendirmesini çalışanların ne yapması gerektiğinin yönetici tarafından belirlenmesi için bir fırsat olarak görmek.
Performans formlarının doldurularak performansın değerlendirildiği resmi bir değerlendirme sistemi oluşturmak.	1	2	3 4 5	Yüz yüze görüşmenin vurgulandığı resmi olmayan bir değerlendirme sistemi oluşturmak.
Çalışanın performansının kendi yöneticisi tarafından değerlendirilmesini sağlamak.	1	2	3 4 5	Çalışanın performansının iş arkadaşları ve üstleri tarafından değerlendirilmesini sağlamak.
Performans değerlendirmesinde bireysel başarıları odaklanmak.	1	2	3 4 5	Performans değerlendirmesinde kişinin birlikte çalıştığı grubun ve departmanın sonuçlarına odaklanmak.
Performansı senede bir kez değerlendirmek.	1	2	3 4 5	Sık aralıklarla performans değerlendirmesi düzenlemek.

Ücret ve Ödenekler

	←	→		
Ücret artışlarını sadece kişisel performansa göre belirlemek.	1	2	3 4 5	Ücret artışlarını genel olarak kişi ve grup performansına göre belirlemek.
Kişilerin ücret bilgilerini gizli tutmak.	1	2	3 4 5	Kişilerin ücret bilgilerinin herkesçe bilinen bir konu olmasına izin vermek.
Ücretlerin ve ücret artışlarının belirlenmesinde her zaman kişilerin ihtiyaç ve beklentilerini göz önünde bulundurmak.	1	2	3 4 5	Ücret seviyelerinin belirlenmesinde daima kurumun ihtiyaç ve beklentilerini göz önünde bulundurmak.
Özel başarıları finansal teşviklerle (örn., hediyeler) ödüllendirmek.	1	2	3 4 5	Özel başarıları finansal olmayan teşviklerle (örn., övgü, yetki artırımı, özel ayrıcalıklar) ödüllendirmek.
Ücretleri ve ödenekleri çalışanların yaş ve kıdemine göre belirlemek.	1	2	3 4 5	Ücretleri ve ödenekleri çalışanların yaş ve kıdemini hiç göz önüne almadan belirlemek.
Ücret seviyelerini belirlerken çalışanların spesifik yeteneklerini ve becerilerini dikkate almak.	1	2	3 4 5	Ücret seviyelerini belirlerken çalışanların spesifik yeteneklerine ve becerilerine bakmadan sadece performans sonuçlarına odaklanmak.

Eğitim ve Gelişim

	1	2	3	4	5	
Ortalama bir çalışanın yılda en az bir hafta "iş dışı" eğitim almasını sağlamak.	1	2	3	4	5	Ortalama bir çalışanın yılda en az bir hafta "iş dışı" eğitim almasına gerek duymamak.
Eğitimlerin çoğunu kişinin talebine göre düzenlemek.	1	2	3	4	5	Eğitimlerin çoğunu kişinin yöneticisinin ve kurumun talebine göre düzenlemek.
Çalışanın mevcut işini daha iyi yapmasını sağlayacak bilgi ve becerilerini geliştirmeye yönelik eğitim programları sunmak.	1	2	3	4	5	Çalışanın daha genel ve kurumdaki diğer işlerde de kullanabileceği bilgileri edineceği eğitim programları sunmak.
Tüm çalışanları kapsayan formal ve sistematik bir eğitim politikasına sahip olmak.	1	2	3	4	5	Çalışanların formal bir sistem içinde değil, önceden planlanmadan gönderildiği bir eğitim politikasına sahip olmak.
Çalışanların kendi kariyerlerinde söz sahibi olmalarını ve kendi eğitim ihtiyaçlarını belirlemelerini sağlamak.	1	2	3	4	5	Çalışanların kendi kariyerlerinde ve eğitim ihtiyaçlarını belirlemede minimum söz sahibi olmalarını sağlamak.
Bir kurum politikası olarak tüm çalışanlara devamlı eğitim sağlamak.	1	2	3	4	5	Çalışanlara sadece belirgin kurumsal bir ihtiyaç olduğunda eğitim sağlamak.

BÖLÜM 4: Lütfen, aşağıda yer alan her bir ifadeye ne oranda katıldığınızı aşağıdaki ölçüğü kullanarak işaretleyiniz. Lütfen her cümlemin başındaki boşluğa bir sayı gelecek şekilde cevap veriniz.

1	2	3	4	5	6
Kesinlikle Katılmıyorum	Katılmıyorum	Biraz Katılmıyorum	Biraz Katılıyorum	Katılıyorum	Kesinlikle Katılıyorum

- ___ Bu kuruluşun meselelerini gerçekten de kendi meselelerim gibi hissediyorum.
- ___ Kuruluşuma karşı gılgılı bir aitik hissim yok.
- ___ Hayatımda bu noktada, bu kurumdaki deneyimlerim beklentilerimi karşılamamaktadır.
- ___ Bu kuruluşa kendimi "duygusal olarak bağı" hissetmiyorum.
- ___ Şu anki işimi bırakmayı sıklıkla düşünüyorum.
- ___ Bu kuruluşun benim için çok özel bir anlamı var.
- ___ Kendimi kuruluşumda "ailenin bir parçası" gibi hissetmiyorum.
- ___ Önümüzdeki sene içinde aktif olarak yeni bir iş arayacağım.
- ___ Bu kuruluşun bir çalışana olmanın gurur verici olduğunu düşünüyorum.
- ___ Büyük ihtimalle önümüzdeki sene içinde yeni bir iş arayacağım.
- ___ Hayatımda bu noktada, bu kurumdaki deneyimlerim beklentilerimin ötesine geçmektedir.

1	2	3	4	5
Az Ölçüde				Büyük Ölçüde

Kurumunuzda aşağıda yer alan İKY uygulamalarına ilişkin beklentileriniz ne ölçüde karşılanmıştır?

- ___ Performans değerlendirme
- ___ Ücret uygulamaları
- ___ Eğitim ve gelişim olanakları
- ___ Terfi olanakları
- ___ Genel anlamda tüm İKY uygulamaları

Hangi ölçüde

- ___ kurumunuzun değerleri sizin kişisel değerlerinizle örtüşmektedir?
- ___ kurumunuzun imajı sizin kişiliğinizle örtüşmektedir?
- ___ kurumunuz ihtiyaçlarınızı gidermektedir?
- ___ kurumunuz sizin için uygun bir seçimdir?
- ___ kurumunuz ilk işe başlarken aradığınız özelliklere sahip bir kurumdur?

BÖLÜM 5: Bu bölümde, sayfanın sağ ve sol tarafında neredeyse birbirinin zıttı olan seçenekler verilmiştir. Sizden beklentimiz bu iki taraftaki seçeneklerden "size göre kurumunuzdaki mevcut uygulamayı" belirtmenizdir. Lütfen mevcuttaki uygulamayı 1 ve 5 arasında yer alan rakamlardan birini yuvarlak içine alarak belirtiniz. (1) rakamı, SOL taraftaki ifadeye kesinlikle katıldığınızı gösterirken; (5) rakamı, SAĞ taraftaki ifadeye kesinlikle katıldığınızı göstermektedir. Eğer her iki taraftaki uygulamaların bir arada olduğunu düşünüyorsanız, lütfen (3) rakamını işaretleyiniz. Kurumunuzdaki, mevcut uygulamanın ne olduğuna ilişkin bilginiz yoksa, lütfen (?) işaretleyiniz.

İşe Alım

	1	2	3	4	5		
Seçim kriterlerini tüm adaylar için çok net olacak şekilde belirtmek.	1	2	3	4	5	Adayların her biri için tüm seçim kriterlerini açık bir şekilde ortaya koymamak.	?
Tüm açık pozisyonları, şirket dışına duyurmadan önce, şirket içinden doldurmak.	1	2	3	4	5	Açık pozisyonları, şirket içi ya da dışı farkı gözetmeden, en iyi kişiyle doldurmak.	?
Çok geniş kapsamlı işe alım yöntemleri (örn., mülakat, psikolojik testler, iş simülasyonu) kullanmak.	1	2	3	4	5	Basit bir işe alım süreci (mülakat gibi) kullanmak.	?
Önemli terfilerde en çok mevcut performansı ve becerileri göz önünde bulundurmak.	1	2	3	4	5	Önemli terfilerde en çok bağlılığı ve kıdemi göz önünde bulundurmak.	?
Kurum içinde birçok sosyal aktivitenin organize edildiği bir ortam yaratmak.	1	2	3	4	5	İşi ve sosyal aktiviteleri birbirinden ayrı tutmak.	?
Tüm çalışan terfilerini resmi olarak duyurmak.	1	2	3	4	5	Terfileri kişiye özel bir durum olarak görmek ve sadece önemli terfileri duyurmak.	?

Yukarıda yer alan MEVCUT uygulamaları düşündüğünüzde, kurumunuzdaki bu uygulamalar:

Hiç etik değil (1) ----- (2) ----- (3) ----- (4) ----- (5) Çok etik

Hiç etkin değil (1) ----- (2) ----- (3) ----- (4) ----- (5) Çok etkin

Performans Değerlendirme

	1	2	3	4	5		
Performans değerlendirmesinde işin nasıl yapıldığına (örn., işin ne şekilde yapıldığı) odaklanmak.	1	2	3	4	5	Performans değerlendirmesinde neyin gerçekleştirilip gerçekleştirilmediğine (örn., sayısal sonuçlar) odaklanmak.	?
Performans değerlendirmesini ortak bir problem çözme toplantısı olarak görmek (çalışanların hangi kriterler üzerinden değerlendirileceklerine dair çalışanlarla uzlaşması).	1	2	3	4	5	Performans değerlendirmesini çalışanların ne yapması gerektiğinin yönetici tarafından belirlenmesi için bir fırsat olarak görmek.	?
Performans formlarının doldurulması performansın değerlendirildiği resmi bir değerlendirme sistemi oluşturmak.	1	2	3	4	5	Yüz yüze görüşmenin vurgulandığı resmi olmayan bir değerlendirme sistemi oluşturmak.	?
Çalışanın performansının kendi yöneticisi tarafından değerlendirilmesini sağlamak.	1	2	3	4	5	Çalışanın performansının iş arkadaşları ve üstleri tarafından değerlendirilmesini sağlamak.	?
Performans değerlendirmesinde bireysel başarıları odaklanmak.	1	2	3	4	5	Performans değerlendirmesinde kişinin birlikte çalıştığı grubun ve departmanın sonuçlarına odaklanmak.	?
Performansı senece bir kez değerlendirmek.	1	2	3	4	5	Sık aralıklarla performans değerlendirme düzenlemek.	?

Yukarıda yer alan MEVCUT uygulamaları düşündüğünüzde, kurumunuzdaki bu uygulamalar:

Hiç etik değil (1) ----- (2) ----- (3) ----- (4) ----- (5) Çok etik

Hiç etkin değil (1) ----- (2) ----- (3) ----- (4) ----- (5) Çok etkin

Ücret ve Ödenekler

	1	2	3	4	5		
Ücret artışlarını sadece kişisel performansa göre belirlemek.	1	2	3	4	5	Ücret artışlarını genel olarak kişi ve grup performansına göre belirlemek.	?
Kişilerin ücret bilgilerini gizli tutmak.	1	2	3	4	5	Kişilerin ücret bilgilerinin herkesçe bilinen bir konu olmasına izin vermek.	?
Ücretlerin ve ücret artışlarının belirlenmesinde her zaman kişilerin ihtiyaç ve beklentilerini göz önünde bulundurmak.	1	2	3	4	5	Ücret seviyelerinin belirlenmesinde daima kurumun ihtiyaç ve beklentilerini göz önünde bulundurmak.	?
Özel başarıları finansal teşviklerle (örn., hediyeler) ödüllendirmek.	1	2	3	4	5	Özel başarıları finansal olmayan teşviklerle (örn., övgü, yetki artırımı, özel ayrıcalıklar) ödüllendirmek.	?
Ücretleri ve ödenekleri çalışanların yaş ve kıdemine göre belirlemek.	1	2	3	4	5	Ücretleri ve ödenekleri çalışanların yaş ve kıdemini hiç göz önüne almadan belirlemek.	?
Ücret seviyelerini belirlerken çalışanların spesifik yeteneklerini ve becerilerini dikkate almak.	1	2	3	4	5	Ücret seviyelerini belirlerken çalışanların spesifik yeteneklerine ve becerilerine bakmadan sadece performans sonuçlarına odaklanmak.	?

Yukarıda yer alan MEVCUT uygulamaları düşündüğünüzde, kurumunuzdaki bu uygulamalar:

Hiç etik değil (1) ----- (2) ----- (3) ----- (4) ----- (5) Çok etik

Hiç etkin değil (1) ----- (2) ----- (3) ----- (4) ----- (5) Çok etkin

Eğitim ve Gelişim

	1	2	3	4	5		
Ortalama bir çalışanın yılda en az bir hafta "iş dışı" eğitim almasını sağlamak.	1	2	3	4	5	Ortalama bir çalışanın yılda en az bir hafta "iş dışı" eğitim almasına gerek duymamak.	?
Eğitimin çoğunu kişinin talebine göre düzenlemek.	1	2	3	4	5	Eğitimin çoğunu kişinin yöneticisinin ve kurumun talebine göre düzenlemek.	?
Çalışanın mevcut işini daha iyi yapmasını sağlayacak bilgi ve becerilerini geliştirmeye yönelik eğitim programları sunmak.	1	2	3	4	5	Çalışanın daha genel ve kurumdaki diğer işlerde de kullanabileceği bilgileri edineceği eğitim programları sunmak.	?
Tüm çalışanları kapsayan formel ve sistematik bir eğitim politikasına sahip olmak.	1	2	3	4	5	Çalışanların formel bir sistem içinde değil, önceden planlanmadan gönderildiği bir eğitim politikasına sahip olmak.	?
Çalışanların kendi kariyerlerinde söz sahibi olmalarını ve kendi eğitim ihtiyaçlarını belirlemelerini sağlamak.	1	2	3	4	5	Çalışanların kendi kariyerlerinde ve eğitim ihtiyaçlarını belirlemede minimum söz sahibi olmalarını sağlamak.	?
Bir kurum politikası olarak tüm çalışanlara devamlı eğitim sağlamak.	1	2	3	4	5	Çalışanlara sadece belirgin kurumsal bir ihtiyaç olduğunda eğitim sağlamak.	?

Yukarıda yer alan MEVCUT uygulamaları düşündüğünüzde, kurumunuzdaki bu uygulamalar:

Hiç etik değil (1) ----- (2) ----- (3) ----- (4) ----- (5) Çok etik

Hiç etkin değil (1) ----- (2) ----- (3) ----- (4) ----- (5) Çok etkin

BÖLÜM 6: Lütfen, aşağıda yer alan kurumunuzdaki İnsan Kaynakları Yönetimi uygulamalarından ne kadar memnun olduğunuzu ya da olmadığınıza aşağıdaki ölçeği kullanarak işaretleyiniz. Lütfen her cümlenin başındaki boşluğa bir sayı gelecek şekilde cevap veriniz.

1	2	3	4	5	6
Hiç Memnun					Çok Memnunum
Değilim					
1. ____					
2. ____					
3. ____					
4. ____					
5. ____					
6. ____					
7. ____					
8. ____					
9. ____					
10. ____					
11. ____					
12. ____					
13. ____					

BÖLÜM 7: Lütfen, aşağıda yer alan her bir ifadeye ne oranda katıldığınızı aşağıdaki ölçeği kullanarak işaretleyiniz. Lütfen her cümlenin başındaki boşluğa bir sayı gelecek şekilde cevap veriniz.

1	2	3	4	5	6
Kesinlikle Katılmıyorum	Katılmıyorum	Biraz Katılmıyorum	Biraz Katılıyorum	Katılıyorum	Kesinlikle Katılıyorum
1. ____					
2. ____					
3. ____					
4. ____					

5. ____ İnsan başkasının huzurunu ve rahatlığını (maddî ve manevî) tehlikeye atacak her türlü hareketten kaçınmalıdır.
6. ____ Bir hareket masum bir insana zarar verecekse yapılmamalıdır.
7. ____ Belirli bir şeyi yapıp yapmamaya karar verirken, olumsuz sonuçlarına rağmen sadece olumlu sonuçlarına bakarak karar vermek hiç ahlaki değildir.
8. ____ Bir toplumdaki insanların huzur ve refahını sağlamak en önemli konu olmalıdır.
9. ____ Başkalarının huzur ve refahı pahasına bir şey yapmak hiçbir koşulda gerekli değildir.
10. ____ Ahlaki hareketler en "mükemmel" olarak nitelenen ideal hareketlerle çok yakın uyum içindedir.
11. ____ Ahlak konusunda yazılı kural haline getirilecek kadar önemli ilkeler yoktur.
12. ____ Ahlaki açıdan neyin doğru olup neyin doğru olmadığı bir durumdan diğerine değişir.
13. ____ Ahlaki standartlar bireyseldir; birinin ahlaki açıdan doğru bulduğunu bir başkası yanlış bulabilir.
14. ____ Farklı ahlaki görüşler "doğruluk" açısından karşılaştırılmazlar.
15. ____ Ahlaki açıdan herkes için geçerli olacak bir ahlak anlayışı oluşturularak neyin doğru olduğuna karar verilemez, çünkü bir şeyin ahlaken doğru olup olmadığı bireyden bireye değişir.
16. ____ Ahlaki standartlar bir insanın nasıl davranması gerektiğini söyleyen *kişisel* kurallardır ve diğerleri hakkında yargıya varmada kullanılamazlar.
17. ____ Kişilerarası ilişkilerin ahlaki boyutu çok karmaşık olduğundan kişilerin kendi bireysel kurallarını geliştirmelerine izin verilmelidir.
18. ____ Belli kurallara geçit vermeyen katı bir biçimde belirlenmiş bir ahlaki anlayış, insan ilişkileri önünde bir engeldir.
19. ____ Yalan söyleme konusunda hiçbir kural ileri sürülemez; bir yalanın hoş görülüp görülemeyeceğine hütünüyle duruma bağlı olarak karar verilir.
20. ____ Bir yalanın ahlaki olup olmadığı kararı koşullara göre değişir.

BÖLÜM 8: Şirket Bilgileri

1. Uluslararası firmanın geldiği ülke: _____
2. Türk bir firmayla ortaklık var mı? ___ Evet ___ Hayır
Varsa, uluslararası firmanın ortaklıktaki yüzdesi: _____% Türk _____% Yabancı
3. Firmanızda ortalama toplam kaç kişi çalışmaktadır? _____
4. Firmanızın ana faaliyet sektörü: _____
5. Firmanızın yerel kaynaklara (hammadde veya teknoloji) bağıllık düzeyi:
Az (1) ----- (2) ----- (3) ----- (4) ----- (5) Çok
6. Firmanızın merkez firma ile iletişim sıklığı (örn., uygulamaların rapor edilmesi):
Az (1) ----- (2) ----- (3) ----- (4) ----- (5) Çok
7. Firmanızın teknik ve yönetsel bilgi(know-how) anlamında merkez firmaya bağıllık düzeyi:
Az (1) ----- (2) ----- (3) ----- (4) ----- (5) Çok

BÖLÜM 9:

1. Yaşınız: _____
2. Cinsiyetiniz: ___erkek ___kadın
3. En son mezun olduğunuz okul: a. İlkokul b. Ortaokul c. Lise d. Üniversite e. Master f. Doktora
4. Firmanızdaki pozisyonunuz: a. Yönetici b. Yönetici değil
5. Firmanızdaki çalışma süreniz: _____ yıl _____ ay
6. Bölümünüz: a. Finans b. Muhasebe c. Satış d. Pazarlama e. İnsan Kaynakları f. Operasyon
g. Teknoloji/Destek h. Araştırma/Geliştirme i. Diğer: _____

Appendix 3



Studiu privind perceptia asupra practicilor de management al Resurselor Umane

Stimate participant,

Acest studiu face parte din teza de doctorat a unui cercetator de la Universitatea Middlesex Business School. Participarea dvs. este voluntara. Durata de completare a acestui studiu este de doar 25-30 minute. Scopul acestui studiu este investigarea perceptiei managerilor si angajatilor cu privire la politica de Resurse Umane din cadrul organizatiei. Concluziile studiului vor fi prezentate la cerere printr-o solicitare trimisa la adresa de mail mentionata mai jos.

Conditii pentru completarea acestui studiu:

- Participantii trebuie sa fi fost angajat in organizatie de cel putin 6 luni;
- Nu mentionati numele dumneavoastra sau al organizatiei din care faceti parte pe studiu;
- Nu exista raspunsuri corecte sau gresite;
- Participarea la cercetare, raspunsul dvs. si completarea tuturor intrebarilor sunt foarte importante pentru scopul propus de acest studiu;
- Studiile **anonime** vor fi trimise la urmatoarea adresa de mail (S.Yavuz@mdx.ac.uk).

Va multumim pentru participare!

Scrap Yavuz (S.Yavuz@mdx.ac.uk)
Prof. Terence Jackson

SECTIUNEA 1: Cititi scenariul legat de hotararea unui director fictiv al unei organizatii fictive si evaluati hotararea acestuia pe baza diverselor scale de valori de mai jos, prin incercuirea unui numar. Evaluati toate caracteristicile.

1. In aceasta organizatie exista un post vacant. Acest post vacant este anuntat atat in cadrul organizatiei cat si in afara acesteia, prin anunturi. Directorul este de parere ca un post trebuie sa fie oferit mai intai angajatilor organizatiei si, in cazul in care postul nu este ocupat de un asemenea angajat, atunci trebuie sa fie facut public in exteriorul organizatiei. In urma unui proces de selectie, directorul retine doua candidaturi, cea a unui angajat al organizatiei si cea a unei persoane din exteriorul acesteia. Desi candidatul din exteriorul organizatiei este putin mai bun, directorul hotaraste sa acorde postul angajatului din cadrul organizatiei.

<i>Hotararea:</i>	Este corecta	1	2	3	4	5	Este incorecta
	Este dreapta	1	2	3	4	5	Este nedreapta
	Este acceptabila in cultura mea	1	2	3	4	5	Este inacceptabila in cultura mea
	Este acceptabila pentru mine	1	2	3	4	5	Este inacceptabila pentru mine
	Nu este egoista	1	2	3	4	5	Este egoista
	Nu are obligatia morala sa actioneze in alt mod	1	2	3	4	5	Are obligatia morala sa actioneze in alt mod
	Este eficienta	1	2	3	4	5	Este ineficienta
	Pusa in balanta, este mai degraba buna	1	2	3	4	5	Pusa in balanta, este mai degraba negativa
	Are drept rezultat cel mai mare bine pentru cel mai mare numar de persoane	1	2	3	4	5	Are drept rezultat cel mai mic bine pentru cel mai mare numar de persoane
	Nu incalca nici o intelegere nescrisa	1	2	3	4	5	Incalca o intelegere nescrisa
	Este corecta din punct de vedere moral	1	2	3	4	5	Nu este corecta din punct de vedere moral
	Nu contravine ideii mele de corectitudine	1	2	3	4	5	Contravine ideii mele de corectitudine
	Este in general o hotarare etica	1	2	3	4	5	In general nu este o hotarare etica
	Este in general o hotarare buna	1	2	3	4	5	In general nu este o hotarare buna
	Este in general o hotarare eficienta	1	2	3	4	5	In general nu este o hotarare eficienta

2. In aceasta organizatie exista un post vacant. Doi candidati cu studii similare isi manifesta interesul pentru post. Ambii candidati sunt potriviti pentru scopurile organizatiei. In final, directorul hotaraste sa recruteze candidatul care este nepotul prietenului sau, desi celalalt candidat are mai multa experienta, deoarece pe primul candidat deja il cunoaste.

<i>Hotararea:</i>	Este corecta	1	2	3	4	5	Este incorecta
	Este dreapta	1	2	3	4	5	Este nedreapta
	Este acceptabila in cultura mea	1	2	3	4	5	Nu este acceptabila in cultura mea
	Este acceptabila pentru mine	1	2	3	4	5	Nu este acceptabila pentru mine
	Nu este egoista	1	2	3	4	5	Este egoista
	Nu are obligatia morala sa actioneze in alt mod	1	2	3	4	5	Are obligatia morala sa actioneze in alt mod
	Este eficienta	1	2	3	4	5	Este ineficienta
	Pusa in balanta, este mai degraba buna	1	2	3	4	5	Pusa in balanta, este mai degraba negativa
	Are drept rezultat cel mai mare bine pentru cel mai mare numar de persoane	1	2	3	4	5	Are drept rezultat cel mai mic bine pentru cel mai mare numar de persoane
	Nu incalca nicio intelegere nescrisa	1	2	3	4	5	Incalca o intelegere nescrisa
	Este corecta din punct de vedere moral	1	2	3	4	5	Nu este corecta din punct de vedere moral
	Nu contravine ideii mele de corectitudine	1	2	3	4	5	Contravine ideii mele de corectitudine
	Este in general o hotarare etica	1	2	3	4	5	In general nu este o hotarare etica
	Este in general o hotarare buna	1	2	3	4	5	In general nu este o hotarare buna
	Este in general o hotarare eficienta	1	2	3	4	5	In general nu este o hotarare eficienta

3. In aceasta organizatie, se evalueaza activitatea angajatilor din cadrul departamentului sau. Verificand masura in care obiectivele cuantificabile au fost indeplinite, directorul constata ca angajatii sai nu au reusit sa le indeplineasca. Cu toate acestea, directorul considera ca unul dintre angajatii sai merita o evaluare mai buna. Considerand ca opinia sa personala cu privire la activitatea angajatilor este la fel de importanta ca si celelalte criterii de performanta, acesta acorda angajatului respectiv o evaluare putin mai buna decat merita acesta.

<i>Hotararea:</i>	Este corecta	1	2	3	4	5	Este incorecta
	Este dreapta	1	2	3	4	5	Este nedreapta
	Este acceptabila in cultura mea	1	2	3	4	5	Nu este acceptabila in cultura mea
	Este acceptabila pentru mine	1	2	3	4	5	Nu este acceptabila pentru mine
	Nu este egoista	1	2	3	4	5	Este egoista
Nu are obligatia morala sa actioneze in alt mod	Este eficienta	1	2	3	4	5	Are obligatia morala sa actioneze in alt mod
	Este eficienta	1	2	3	4	5	Este ineficienta
Pusa in balanta, este mai degraba buna	1	2	3	4	5	5	Pusa in balanta, este mai degraba negativa
Are drept rezultat cel mai mare binc pentru cel mai mare numar de persoane	1	2	3	4	5	5	Are drept rezultat cel mai mic binc pentru cel mai mare numar de persoane
	Nu incalca nicio intelegere nescrisa	1	2	3	4	5	Incalca o intelegere nescrisa
	Este corecta din punct de vedere moral	1	2	3	4	5	Nu este corecta din punct de vedere moral
Nu contravine ideii mele de corectitudine	1	2	3	4	5	5	Contravine ideii mele de corectitudine
	Este in general o hotarare etica	1	2	3	4	5	In general nu este o hotarare etica
	Este in general o hotarare buna	1	2	3	4	5	In general nu este o hotarare buna
	Este in general o hotarare eficienta	1	2	3	4	5	In general nu este o hotarare eficienta

4. Doi candidati urmeaza a fi promovati intr-un post de conducere in cadrul departamentului sau. Unul dintre acestia este un angajat cu vechime, cu care directorul lucreaza de mult timp. Celalalt este un angajat foarte tanar si muncitor. Desi considera ca performantele celui de-al doilea angajat sunt putin mai bune, directorul hotaraste sa promoveze candidatul senior, a carui activitate este mai moderata, dar care lucreaza in cadrul departamentului sau de mai mult timp.

<i>Hotararea:</i>	Este corecta	1	2	3	4	5	Este incorecta
	Este dreapta	1	2	3	4	5	Este nedreapta
	Este acceptabila in cultura mea	1	2	3	4	5	Nu este acceptabila in cultura mea
	Este acceptabila pentru mine	1	2	3	4	5	Nu este acceptabila pentru mine
	Nu este egoista	1	2	3	4	5	Este egoista
Nu are obligatia morala sa actioneze in alt mod	Este eficienta	1	2	3	4	5	Are obligatia morala sa actioneze in alt mod
	Este eficienta	1	2	3	4	5	Este ineficienta
Pusa in balanta, este mai degraba buna	1	2	3	4	5	5	Pusa in balanta, este mai degraba rea
Are drept rezultat cel mai mare bine pentru cel mai mare numar de persoane	1	2	3	4	5	5	Are drept rezultat cel mai mic bine pentru cel mai mare numar de persoane
	Nu incalca nicio intelegere nescrisa	1	2	3	4	5	Incalca o intelegere nescrisa
	Este corecta din punct de vedere moral	1	2	3	4	5	Nu este corecta din punct de vedere moral
Nu contravine ideii mele de corectitudine	1	2	3	4	5	5	Contravine ideii mele de corectitudine
	Este in general o hotarare etica	1	2	3	4	5	In general nu este o hotarare etica
	Este in general o hotarare buna	1	2	3	4	5	In general nu este o hotarare buna
	Este in general o hotarare eficienta	1	2	3	4	5	In general nu este o hotarare eficienta

SECTIUNEA 2: In aceasta sectiune, se fac niste afirmatii cu privire la valorile socio-culturale. Pe baza scalti de valori de mai jos, indicati masura in care sunteti sau nu de acord cu afirmatiile urmatoare. Puneti un numar la inceputul fiecarei afirmatii.

1	2	3	4	5	6
Nu sunt deloc de acord	Nu sunt de acord	Nu sunt intru totul de acord	Sunt de acord intr-o oarecare masura	Sunt de acord	Sunt intru totul de acord

1. ___ Profesorii ar trebui sa se ocupe de elevii/studentii lor ca de proprii copii.
2. ___ Trebuie sa existe o ierarhie a autoritatii intr-o societate.
3. ___ In general, nu merita sa te straduiesti foarte tare pentru ca lucrurile oricum nu merg bine.
4. ___ Chiar daca pretentiile grupului social primar (familie, rude, prieteni apropiati) sunt costisitoare, trebuie sa ii ramai fidel.
5. ___ Daca un coleg obtine un premiu, ceilalti colegi ar trebui sa fie mandri.
6. ___ Membrii familiei trebuie sa fie uniti, indiferent de sacrificiul pe care il cere aceasta.
7. ___ Sefii stiu cel mai bine ce este bine pentru subordonatii lor.
8. ___ Inegalitatea statutului indivizilor unei societati este acceptabila.
9. ___ Oamenii ar trebui sa isi stabileasca scopuri indraznete.
10. ___ Parintii ar trebui sa-si invete copiii sa fie ascultatori.
11. ___ Binele colegilor ar trebui sa fie important pentru fiecare dintre colegi.
12. ___ Cand urmeaza sa se intample lucruri rele, se vor intampla oricum, indiferent ce faci sa le impiedici.
13. ___ Experienta si intelepciunea sefilor sunt cele mai bune modele pentru subordonati.
14. ___ Trebuie sa fii loial comunitatii din care faci parte chiar daca te deranjeaza pretentiile comunitatii.
15. ___ Studenti care nu au invatat si drept urmare nu au reusit la examen, ar trebui sa primeasca inca o sansa.
16. ___ Avem datoria sa avem grija de familia noastra, chiar daca asta presupune sa ne sacrificam propriile dorinte.
17. ___ Oamenii ce au/detin autoritate trebuie sa fie respectati datorita pozitiei lor.
18. ___ Trebuie sa fii devotat comunitatii carci apartii daca doresti sustinere si protectie din partea acesteia.
19. ___ Pentru a atinge obiective inalte de performanta, oamenii trebuie sa se straduiasca.
20. ___ Placerea consta in a petrece timpul cu altii.
21. ___ Planificarile nu fac altceva decat sa aduca nemulțumire pentru ca planurile oricum nu se realizeaza aproape niciodata.
22. ___ Scful ideal intr-o societate este ca un parinte.
23. ___ Oamenii care au autoritate si un anumit statut ar trebui sa aiba privilegii.
24. ___ Interesele de grup ar trebui sa aiba prioritate fata de interesele personale.
25. ___ In aceasta societate, recompensele majore ar trebui sa fie acordate pe baza eficientei activitatii.
26. ___ Indivizii ar trebui sa se simta bine atunci cand coopereaza intre ei.
27. ___ A fi creativ pentru a obtine rezultate mai bune ar trebui recompensat.
28. ___ Parintii si copiii trebuie sa stea impreuna cat mai mult timp.
29. ___ Directorii ar trebui sa dea sfaturi si indicatii parintesti subordonatilor lor.
30. ___ Studentii nu ar trebui sa isi contrazica profesorii.
31. ___ Inteleptul traieste clipa deoarece este inutil sa faci planuri pentru maine.
32. ___ Fotbalistilor cu performante slabe pe durata a doua sezoane ar trebui sa le fie reziliate contractele.
33. ___ Doctorii stiu cel mai bine ce este bine pentru pacientii lor.
34. ___ Indivizii trebuie sa respecte hotararile luate de grupul din care fac parte.
35. ___ Studentii trebuie sa fie incurajati sa se straduiasca pentru a obtine rezultate din ce in ce mai bune.
36. ___ Persoana investita cu autoritate trebuie ascultata.
37. ___ Orice trebuie sa se intample se va intampla oricum.
38. ___ Viata de familie trebuie sa fie sacrificata pentru a obtine succesul profesional.
39. ___ Succesul sau nereusita in viata sunt inscrite in destin de la nastere.

SECTIUNEA 3: In aceasta sectiune va prezentam doua alternative aproape opuse de partea stanga si de partea dreapta a sagetii. Am dori sa aflam care este "Optiunea dumneavoastra ideala". Va rugam sa indicati optiunea dumneavoastra incercuind un numar de la 1 la 5. (1) - indica faptul ca sunteti de acord cu situatia prezentata in partea stanga, iar (5) - indica faptul ca sunteti de acord cu situatia prezentata in partea dreapta. Va rugam sa incercuiti (3) in cazul in care preferati o combinatie a celor doua situatii prezentate.

Recrutare

	← →					
Criteriile urmarite in procesul de selectie sunt prezentate foarte clar tuturor candidatilor.	1	2	3	4	5	Nu toate criteriile urmarite in procesul de selectie sunt dezvaluite tuturor candidatilor.
Toate posturile libere sunt ocupate de angajati ai organizatiei inainte de a se recruta candidati din afara acesteia.	1	2	3	4	5	Posturile libere sunt acordate celor mai buni candidati (indiferent daca acestia sunt din interiorul sau din exteriorul organizatiei).
Folosirea a numeroase metode de selectie pentru acordarea posturilor (e.g. interviu, test psihologic, simulare, etc.).	1	2	3	4	5	Utilizarea unui proces de selectie simplu pentru postul dumneavoastra (doar interviu)
Performantele si competenta actuale sunt de cea mai mare relevanta pentru o promovare.	1	2	3	4	5	Fidelitatea si vechimea sunt considerate de cea mai mare relevanta pentru o promovare importanta.
Crearea unui climat la locul de munca in care se organizeaza o varietate de activitati sociale.	1	2	3	4	5	Munca in cadrul organizatiei si activitatile sociale sunt chestiuni separate.
Promovariile tuturor angajatilor sunt anuntate sau facute publice in mod oficial.	1	2	3	4	5	Promovariile sunt considerate o chestiune privata si sunt facute publice doar cele importante.

Evaluarea Performantelor

	← →					
In evaluarea performantelor accentul este pus pe modul in care sunt realizate responsabilitatile.	1	2	3	4	5	In evaluarea performantelor accentul este pus pe rezultatele obtinute.
Evaluarea performantelor este tratata drept o discutie comuna ce vizeaza solutionarea problemelor (angajatii negociaza criteriile ce stau la baza evaluarii performantelor).	1	2	3	4	5	Evaluarea performantelor este tratata drept o ocazie pentru stabilirea de catre manager a ceea ce ar trebui sa faca angajatul.
Crearea unor sisteme de evaluare oficiale in care se completeaza si se proceseaza intotdeauna anumite formulare.	1	2	3	4	5	Crearea unor sisteme de evaluare neoficiale in care se pune accentul pe discutia directa.
Se asigura faptul ca performantele unui angajat sunt evaluate de catre superiorul acestuia.	1	2	3	4	5	Se asigura faptul ca performantele unui angajat sunt evaluate de catre subordonatii sau colegii egali ca functie ai acestuia.
In evaluarea performantelor accentul este pus pe rezultatele personale ale individului.	1	2	3	4	5	In evaluarea performantelor accentul este pus pe rezultatele grupului sau ale departamentului din care face parte individul.
Evaluarea performantelor se realizeaza numai o data la interval mare de timp.	1	2	3	4	5	Evaluarea performantelor se realizeaza foarte des.

Salarii si Beneficii

	← →					
Majorarea salariala este determinata de performantele profesionale ale angajatului.	1	2	3	4	5	Majorarea salariala este determinata de performantele profesionale ale grupului si ale angajatului.
Nivelul salarial al angajatului este considerat confidential.	1	2	3	4	5	Este permisa cunoasterea publica a nivelului salarial al angajatului.
Trebuie sa se tina intodeauna cont de nevoile si sperantele individuale pentru stabilirea salariilor si majorarea acestora.	1	2	3	4	5	Trebuie sa se tina intodeauna cont de nevoile si sperantele organizatiei pentru stabilirea salariilor si majorarea acestora.
Recompensarea rezultatelor deosebite se realizeaza prin stimulente financiare (cadouri).	1	2	3	4	5	Recompensarea rezultatelor deosebite se realizeaza prin stimulente ce nu sunt de natura financiara (laude, influenta sporita sau privilegii speciale).
Nivelul salariilor si beneficiile sunt stabilite pe baza varstei si vechimii angajatilor.	1	2	3	4	5	Nivelul salariilor si beneficiile sunt stabilite indiferent de varsta si vechimea angajatilor.
Pregatirea si abilitatile specifice ale angajatilor sunt luate in considerare pentru stabilirea nivelului recompenselor.	1	2	3	4	5	Plata nu se face pe baza pregatirii si abilitatile specifice ale angajatilor ci doar pe baza performantelor.

Training

	1	2	3	4	5	
Se asigura faptul ca un angajat obisnuit efectueaza "stagii de pregatire" mai mult de o saptamana in fiecare an.	1	2	3	4	5	Nu este necesar ca un angajat obisnuit sa efectueze "stagii de pregatire" mai mult de o saptamana in fiecare an.
Se permite ca majoritatea training-urilor sa fie organizate la cererea angajatilor.	1	2	3	4	5	Se permite ca majoritatea training-urilor sa fie organizate la cererea supraveghetorului direct sau a organizatiei.
Se ofera programe de pregatire prin care se imbunatatesc abilitatile si cunostiintele angajatilor pentru posturile ocupate de acestia in cadrul organizatiei.	1	2	3	4	5	Se ofera programe de pregatire ce permit angajatilor sa dobandeasca mai multe cunostinte generale si transferabile (i.e. relevante pentru alte posturi din cadrul organizatiei).
Se asigura o politica oficiala si sistematica de pregatire a angajatilor la toate nivelurile.	1	2	3	4	5	Se asigura o politica de pregatire ce permite angajatilor sa fie pregatiti <i>ad hoc</i> .
Angajatului i se permite in mare masura sa isi exprime preferinta cu privire la cariera sa viitoare si sa isi identifice propriile nevoi de pregatire.	1	2	3	4	5	Angajatului nu i se permite decat in foarte mica masura sa isi exprime preferinta cu privire la cariera sa viitoare si sa isi identifice propriile nevoi de pregatire.
Politica organizatiei este de a oferi in permanenta oportunitati de training pentru toti angajatii.	1	2	3	4	5	Oferirea de oportunitati de training pentru angajati atunci cand apare o necesitate organizationala evidenta.

SECTIUNEA 4: Pe baza scalei de valori de mai jos, indicati masura in care sunteti sau nu de acord cu afirmatiile urmatoare. Puneti un numar la inceputul fiecarei afirmatii.

1	2	3	4	5	6
Nu sunt deloc de acord	Nu sunt de acord	Nu sunt intru totul de acord	Sunt de acord intr-o oarecare masura	Sunt de acord	Sunt intru totul de acord
1. ___	2. ___	3. ___	4. ___	5. ___	6. ___
<p>1. ___ Simt ca problemele acestei organizatii sunt problemele mele personale.</p> <p>2. ___ Nu am un sentiment puternic de apartinenta la organizatia mea.</p> <p>3. ___ Pana in prezent asteptarile mele in legatura cu aceasta organizatie nu s-au realizat.</p> <p>4. ___ Nu ma simt "atasat(a) emotional" de aceasta organizatie.</p> <p>5. ___ Ma gandesc serios sa demisionez.</p> <p>6. ___ Aceasta organizatie are o importanta personala foarte mare pentru mine.</p> <p>7. ___ Nu simt ca "fac parte din familie" in organizatia mea.</p> <p>8. ___ Anul viitor imi voi cauta serios de lucru in afara organizatiei mele.</p> <p>9. ___ As fi foarte fericit(a) sa petrec restul carierei mele in cadrul acestei organizatii.</p> <p>10. ___ Probabil ca anul viitor imi voi cauta de lucru in afara organizatiei actuale.</p> <p>11. ___ Pana in prezent experienta mea in cadrul acestei organizatii mi-a depasit asteptarile.</p>					
1	2	3	4	5	
In foarte mica masura					In foarte mare masura

In ce masura vi s-au implinit asteptarile cu privire la urmatoarele practici de Management al Resurselor Umane in cadrul organizatiei dumneavoastra?

12. ___ Evaluarea preformantelor
13. ___ Compensatii salariale
14. ___ Oportunitati de training si dezvoltare
15. ___ Oportunitati de promovare
16. ___ Practici generale de management al Resurselor Umane in organizatia dumneavoastra

In ce masura

17. ___ valorile organizatiei sunt similare propriilor dumneavoastra valori?
18. ___ personalitatea dumneavoastra se potriveste cu personalitatea sau imaginea organizatiei?
19. ___ organizatie implineste nevoile dumneavoastra?
20. ___ organizatia vi se potriveste?
21. ___ organizatia dumneavoastra se ridica la nivelul asteptarilor dvs.?

SECTIUNEA 5: In aceasta sectiune va prezentam doua alternative aproape opuse de partea stanga si de partea dreapta a sagetii. Am dori sa aflam "Care este, dupa parerea dumneavoastra situatia reala in organizatia dumneavoastra". Va rugam sa indicati situatia reala incercuind un numar de la 1 la 5. (1) indica faptul ca percepeti puternic situatia prezentata in partea stanga, iar (5) indica faptul ca sunteti de acord cu situatia prezentata in partea dreapta. Va rugam sa incercuiti (3) in cazul in care considerati ca situatia reala din organizatia dumneavoastra este o combinatie a celor doua situatii prezentate. Daca nu cunoasteti practica reala din organizatia dumneavoastra, incercuiti optiunea "?" din extrema stanga.

Recrutare

	←	1	2	3	4	5	→		
Criteriile urmarite in procesul de selectie sunt prezentate foarte clar tuturor candidatilor.		1	2	3	4	5		Nu toate criteriile urmarite in procesul de selectie sunt dezvaluite tuturor candidatilor.	?
Toate posturile libere sunt ocupate de angajati ai organizatiei inainte de a se recruta candidati din afara acesteia.		1	2	3	4	5		Posturile libere sunt acordate celor mai buni candidati (indiferent daca acestia sunt din interiorul sau din exteriorul organizatiei).	?
Folosirea a numeroase metode de selectie pentru acordarea posturilor (e.g. interviu, test psihologic, simulare, etc.).		1	2	3	4	5		Utilizarea unui proces de selectie simplu pentru postul dumneavoastra (doar interviu)	?
Performantele si competenta actuala sunt de cea mai mare relevanta pentru o promovare importanta.		1	2	3	4	5		Fidelitatea si vechimea sunt considerate de cea mai mare relevanta pentru o promovare importanta.	?
Crearea unui climat la locul de munca in care se organizeaza o varietate de activitati sociale.		1	2	3	4	5		Munca in cadrul organizatiei si activitatile sociale sunt chestiuni separate.	?
Promovările tuturor angajatilor sunt anuntate sau făcute publice în mod oficial.		1	2	3	4	5		Promovările sunt considerate o chestiune privată și sunt făcute publice doar celor importante.	?

Cu privire la implementare REALA a practicilor de mai sus in organizatia dumneavoastra, aceste practici sunt:

Foarte imorale (1) ----- (2) ----- (3) ----- (4) ----- (5) Foarte morale
 Foarte ineficiente (1) ----- (2) ----- (3) ----- (4) ----- (5) Foarte eficiente

Evaluarea Performantelor

	←	1	2	3	4	5	→		
In evaluarea performantelor accentul este pus pe modul in care sunt realizate responsabilitatile.		1	2	3	4	5		In evaluarea performantelor accentul este pus pe rezultatele obtinute.	?
Evaluarea performantelor este tratata drept o discutie comuna ce vizeaza solutionarea problemelor (angajatii negociaza criteriile ce stau la baza evaluarii performantelor).		1	2	3	4	5		Evaluarea performantelor este tratata drept o ocazie pentru stabilirea de catre manager a ceea ar trebui sa faca angajatul.	?
Crearea unor sisteme de evaluare oficiale in care se completeaza si se proceseaza intotdeauna anumite formulare.		1	2	3	4	5		Crearea unor sisteme de evaluare neoficiale in care se pune accentul pe discutia directa.	?
Se asigura faptul ca performantele unui angajat sunt evaluate de catre superiorul acestuia.		1	2	3	4	5		Se asigura faptul ca performantele unui angajat sunt evaluate de catre subordonatii sau colegii egali cu functie ai acestuia.	?
In evaluarea performantelor accentul este pus pe rezultatele personale ale individului.		1	2	3	4	5		In evaluarea performantelor accentul este pus pe rezultatele grupului sau ale departamentului caruia apartine individul.	?
Evaluarea performantelor se realizeaza numai o data la interval mare de timp.		1	2	3	4	5		Evaluarea performantelor se realizeaza foarte des.	?

Cu privire la implementare REALA a practicilor de mai sus in organizatia dumneavoastra, aceste practici sunt:

Foarte imorale (1) ----- (2) ----- (3) ----- (4) ----- (5) Foarte morale
 Foarte ineficiente (1) ----- (2) ----- (3) ----- (4) ----- (5) Foarte eficiente

Salarii si Beneficii

	←	1	2	3	4	5	→		
Majorarea salariala este determinata de performantele profesionale ale angajatului.		1	2	3	4	5		Majorarea salariala este determinata de performantele profesionale ale grupului si ale angajatului.	?
Nivelul salarial al angajatului este considerat confidential.		1	2	3	4	5		Este permisa cunoasterea publica a nivelului salarial al angajatului.	?
Trebuie sa se tina intotdeauna cont de nevoile si sperantele individuale pentru stabilirea salariilor si majorarea acestora.		1	2	3	4	5		Trebuie sa se tina intotdeauna cont de nevoile si sperantele organizatiei pentru stabilirea salariilor si majorarea acestora.	?
Recompensarea rezultatelor deosebite prin stimulente financiare (cadouri).		1	2	3	4	5		Recompensarea rezultatelor deosebite prin stimulente ce nu sunt de natura financiara (laude, influenta sporita sau privilegii speciale).	?
Nivelul salariilor si beneficiile sunt stabilite pe baza varstei si vechimii angajatilor.		1	2	3	4	5		Nivelul salariilor si beneficiile sunt stabilite indiferent de varsta si vechimea angajatilor.	?
Pregatirea si abilitatile specifice ale angajatilor sunt luate in considerare pentru stabilirea nivelului recompenselor.		1	2	3	4	5		Plata nu se face pe baza pregatirii si abilitatilor specifice ale angajatilor ci doar pe baza performantelor.	?

Cu privire la implementare REALA a practicilor de mai sus in organizatia dumneavoastra, aceste practici sunt:

Foarte imorale (1) ----- (2) ----- (3) ----- (4) ----- (5) Foarte morale
 Foarte ineficiente (1) ----- (2) ----- (3) ----- (4) ----- (5) Foarte eficiente

Training

	1	2	3	4	5		
Se asigura faptul ca un angajat obisnuit efectueaza "stagiul de pregatire" mai mult de o saptamana in fiecare an.	1	2	3	4	5	Nu este necesar ca un angajat obisnuit sa efectueze "stagiul de pregatire" mai mult de o saptamana in fiecare an.	?
Se permite ca majoritatea trainingurilor sa fie organizate la cererea angajatilor.	1	2	3	4	5	Se permite ca majoritatea trainingurilor sa fie organizate la cererea supraveghetorului direct sau a organizatiei.	?
Se ofera programe de pregatire prin care se imbunatatesc abilitatile si cunostintele angajatilor pentru posturile ocupate de acestia in cadrul organizatiei.	1	2	3	4	5	Se ofera programe de pregatire ce permit angajatilor sa dobandeasca mai multe cunostinte generale si transferabile (i.e. relevante pentru alte posturi din cadrul organizatiei).	?
Se asigura o politica oficiala si sistematica de pregatire a angajatilor la toate nivelurile.	1	2	3	4	5	Se asigura o politica de pregatire ce permite angajatilor sa fie pregatiti <i>ad hoc</i> .	?
Angajatului i se permite in mare masura sa isi exprime preferinta cu privire la cariera sa viitoare si sa isi identifice propriile nevoi de pregatire.	1	2	3	4	5	Angajatului nu i se permite decat in foarte mica masura sa isi exprime preferinta cu privire la cariera sa viitoare si sa isi identifice propriile nevoi de pregatire.	?
Politica organizatiei este de a oferi in permanenta ocazii de pregatire si reciclare pentru toti angajatii.	1	2	3	4	5	Oferirea de oportunitati de pregatire si reciclare angajatilor atunci cand apare o necesitate organizationala evidenta.	?

Cu privire la implementarea REALA a practicilor de mai sus in organizatia dumneavoastra, aceste practici sunt:

Foarte imorale (1) ----- (2) ----- (3) ----- (4) ----- (5) Foarte morale
 Foarte ineficiente (1) ----- (2) ----- (3) ----- (4) ----- (5) Foarte eficiente

SECTIUNEA 6: Pe baza scalei de valori de mai jos, indicati masura in care sunteti sau nu satisfacuti de urmatoarele practici legate de resursele umane in cadrul organizatiei dumneavoastra. Puneti un numar la inceputul fiecarei afirmatii.

1	2	3	4	5	6
Foarte Nesatisfacut	Nesatisfacut	Oarecum Nesatisfacut	Oarecum Satisfacut	Satisfacut	Foarte Satisfacut

1. ___ Evaluarea performantelor.
2. ___ Practici de compensatii salariale.
3. ___ Oportunitati de training oferite de organizatie.
4. ___ Oportunitati de promovare in cadrul organizatiei.
5. ___ Sustinerea din partea conducerii.
6. ___ Comunicarea cu conducerea.
7. ___ Comunicarea cu ceilalti parteneri din cadrul organizatiei.
8. ___ Nivelul de autonomie in realizarea activitatilor de zi cu zi.
9. ___ Oportunitati pentru pregatire superioara.
10. ___ Recunoasterea unei sarcini bine realizate.
11. ___ Implicare in luarea deciziilor privitoare la dumneavoastra si postul dumneavoastra.
12. ___ Implicare in intocmirea si implementarea a diverse politici de management in aceasta organizatie.
13. ___ Practici generale de management al Resurselor Umane in organizatia dumneavoastra.

SECTIUNEA 7: In aceasta parte se fac o serie de afirmatii cu caracter general. Fiecare dintre acestea reprezinta o opinie generala si nu exista raspunsuri corecte sau gresite. Probabil ca nu veti fi de acord cu unele afirmatii si veti fi de acord cu altele. Pe baza scalei de valori de mai jos, va rugam sa indicati masura in care sunteti sau nu de acord cu urmatoarele afirmatii. Puneti un numar in fata fiecare afirmatii.

1	2	3	4	5	6
Nu sunt deloc de acord	Nu sunt de acord	Nu sunt intru totul de acord	Sunt de acord intr-o oarecare masura	Sunt de acord	Sunt intru totul de acord

1. ___ O persoana trebuie sa se asigure ca actiunile sale nu fac niciodata rau in mod intentionat altor persoane, fie si intr-o mica masura.
2. ___ Riscurile, oricat de mici, pentru o alta persoana, nu ar trebui niciodata sa fie tolerate.
3. ___ Posibilitatea de a aduce un prejudiciu altor oameni este intotdeauna un lucru rau, indiferent de beneficiile ce vor fi obtinute.
4. ___ Nimeni nu ar trebui sa faca rau unei alte persoane psihologic sau fizic.

5. ____ Nimeni nu ar trebui sa intreprinda nicio actiune de ar putea sa ameninte in orice fel demnitatea si binele unei alte persoane.
6. ____ In cazul in care o actiune ar putea dauna unei alte persoane nevinovate, atunci actiunea respectiva nu ar trebui sa fie savarsita.
7. ____ Este imoral sa se ia hotararea de a actiona sau nu pe baza cantaririi consecintelor pozitive si a celor negative pe care le va avea actiunea respectiva.
8. ____ Demnitatea si binele oamenilor ar trebui sa fie grija principala in orice societate.
9. ____ Nu este niciodata necesar sa se sacrifice binele celorlalti.
10. ____ Actiunile morale sunt acelea care se potrivesc cel mai bine idealurilor de actiuni "perfecte".
11. ____ Nu exista principii etice atat de importante incat sa trebuiasca sa fie cuprinse in orice cod de etica.
12. ____ Ceea ce este etic difera de la o situatie si de la o societate la alta.
13. ____ Standardele morale trebuie sa fie vazute ca fiind individualiste; ceea ce o persoana considera a fi moral poate fi considerat imoral de o alta persoana.
14. ____ Diferitele tipuri de moralitate nu pot fi comparate din punctul de vedere al "corectitudinii".
15. ____ Nu se poate da un raspuns la intrebarea ce este etic pentru toti deoarece ceea ce este moral sau imoral depinde de fiecare individ.
16. ____ Standardele morale sunt pur si simplu niste reguli *personale* care indica modul in care trebui sa se comporte un individ, si nu trebuie sa fie aplicate pentru a-i judeca pe ceilalti.
17. ____ Considerentele de natura etica in relatiile interpersonale sunt atat de complexe incat indivizilor ar trebui sa li se permita sa isi formuleze propriile coduri personale.
18. ____ Codificarea rigida a unei pozitii etice ce impiedica anumite tipuri de actiuni ar putea sta in calea unor relatii umane mai bune si a adaptarii.
19. ____ Nu se poate formula o regula cu privire la minciuna; daca o minciuna poate fi permisa sau nu depinde in intregime de situatie.
20. ____ Daca o minciuna este judecata a fi morala sau imorala depinde de circumstantele ce insotesc actiunea.

SECTIUNEA 8: Informatii de natura organizationala

1. Numarul de angajati in organizatia din care faceti parte: _____
2. Domeniul de activitate a organizatiei din care faceti parte: _____
3. Masura in care organizatia dumneavoastra depinde de Sediul central in privinta know-how-ului tehnic si de management:
In foarte mica masura (1) ----- (2) ----- (3) ----- (4) ----- (5) In foarte mare masura
4. Masura in care organizatia dumneavoastra depinde de resursele locale (e.g. materii prime si tehnologie):
In foarte mica masura (1) ----- (2) ----- (3) ----- (4) ----- (5) In foarte mare masura
5. Masura in care organizatia dumneavoastra comunica cu (e.g. raportare) Sediul central:
In foarte mica masura (1) ----- (2) ----- (3) ----- (4) ----- (5) In foarte mare masura

SECTIUNEA 9:

1. Varsta: _____
2. Sex: _____
3. Nationalitate: _____
4. Virsta de format educativ completat: _____ virsta
5. Position: a. Conducător b. Nu- Conducător
6. Tenure înăuntru al tău organization: ____ virsta ____ luna
7. Departament: a. Financiar b. Socoteală c. Vinzător d. Economic de piață e. Resurselor Umane f. Operatie
g. IT h. Research & Dezvoltare i. Alta: _____

Appendix 4

Quantitative Data: Population and the Sample

The purpose of the present research was to understand the process as well as the outcomes of the hybridization of HRM practices of MNCs operating in DCEEs. Both quantitative and qualitative data were collected from convenience samples of employees working in MNCs in two DCEEs (Turkey and Romania).

The main interest of researchers in social sciences is to find results that apply to an entire population¹ of people (Field, 2005). Since it is not possible to collect data from every human being, data collected from a representative small subset of the population are used to infer things about the populations. The main issue is whether that particular sample represents the population, which is a consequence of the process of taking samples (Field, 2005). This is why, sampling is a very important step in the research process due to its role in determining the quality of inferences made by the researcher on the basis of the underlying findings (Collins, Onwuegbuzie & Jiao, 2006).

The initial step for obtaining accurate samples that enable the researchers to generalize from a sample to a wider population is to define the population properly (de Vaus, 2002; Swanson & Holton, 2005). After the establishment of the scope of the population, the next step is to obtain a sampling frame (a list of the population elements), from which a sample is drawn. Specifically, in the present research, I aimed for the population to consist of employees working in MNCs in İstanbul, Turkey and in Bucharest, Romania. While in Turkey the population consisted of employees working in MNCs operating in İstanbul; in Romania it consisted of employees working in Turkish MNCs

¹ A population, in a technical meaning, refers to "the set of units that the sample is meant to represent" (de Vaus, 2002, p. 69)

operating in Bucharest. Istanbul and Bucharest were chosen, because those cities could be characterized as the most industrialized parts of associated countries, representing majority of workforce as well as FDI in terms of operating MNCs. By restricting the population to a single city in each country, despite its effect on the generalizability of the findings, contamination of results because of differences in various cities could be prevented. However, a good sampling frame (i.e., a proper, reliable list of MNCs) in both countries was not available, mainly because the instability, uncertainty and lack of structure in the economic and social context of DCEEs reflects itself in every area including the incomplete coverage of existing databases. This makes probability sampling techniques always difficult and often impractical (de Vaus, 2002). During the present research, identifying a comprehensive database of MNCs operating in these two countries was a problem. The sources relied upon to develop the population of MNCs to further derive the sample of the study were not accurate records of companies and did not provide an adequate picture of MNCs operating in these countries under study. The lists accessed were not up-to-date either². However, this problem (i.e., unrepresentative nature of research on MNCs) is not specific to the research in DCEEs. For example, many of the studies on MNCs in UK are also argued to be partial in coverage with a small number of companies and with limitations in listing of their population and sampling frames (Edwards et al., 2006; cited in Lavelle, Gunnigle, & McDonnell, 2008; McDonnell, Lavelle, Gunnigle, & Collings, 2007). An unrepresentative picture of management research in MNCs is likely to be a reality in the international context (Collinson & Rugman, 2005; cited in McDonnell et al., 2007).

² In Turkey, there was a private database that listed the recent information on MNCs (i.e., Turkey's Statistical Yearbook), such as contact details and employment figures. However, due to limited financial resources, I decided against purchasing it.

In line with the aim of the present study, the initial intention of the researcher was to obtain a list of MNCs operating in İstanbul, Turkey and of Turkish MNCs operating in Bucharest, Romania. Unfortunately, despite extensive efforts, a reliable sampling frame could not be attained. Moreover, the large and well-known MNCs contacted declined to share their inner processes through employees due to the sensitive, delicate topic of the present research. So, instead, I used a snowball sampling technique to increase and diversify the sample. Snowball sampling is useful for sampling of a population where the access is difficult, due to the sensitive topic of the study or underdeveloped communication networks (e.g., difficulty of acquiring a list of population) or difficulty in gaining access (Cohen, Manion, & Morrison, 2007).

This method, which has been a frequently used technique in many studies (e.g., Fischer, 2005; Hochwarter, Kacmar, Perrewc & Johnson, 2003; Zickar, Gibby & Jenny, 2004) to recruit work populations from diverse backgrounds, is a good alternative to collect data since people are more likely to positively respond to a request from someone they know possibly due to the trust and obligation between these people in contact, especially in the context of DCEEs which are mostly characterized by collectivist value orientation where relationships are quite important. This might also influence the propensity to transmit the questionnaires to further contacts (Etter & Perneger, 2000).

This sampling process involved contacting potential respondents who were employed in the MNCs in a systematic way. I tried to estimate the business colleagues and personal acquaintances that fit the selection criteria. Majority of these contact people were personal friends and significant number in Turkey were HRM professional themselves, due to the former work experience of the present researcher as an HR practitioner. While in

Turkey my main sources of primary contact people, who were more than 50 people, were mainly my own network; in Romania three main contact people (a relative working as a manager in a Turkish MNC, Turkish Businessmen Association in Romania and Turks in Romania group) were used. In each country, contact people and further respondents were accessed through email. This emailing contained the same wording of request³. These potential respondents were also asked to establish contact with others employed in different MNCs by using their referral chains, and were asked to forward this standard email specifying the required characteristics of the potential participants to other qualifying individuals. Initial mailing was also followed up with reminders. This resulted in a total of 290 usable questionnaires.

Further, most social science studies are more likely to use convenience samples consisting of students, patients, organizations, since the use of probability sampling research is argued to be difficult in much of the research on human populations (Gochman, 1997). For example, a recent study examined the types of sampling designs, sampling schemes used by mixed-methods research published in four leading psychology journals (Collins, Onwuegbuzie & Jiao, 2006). This study revealed that the vast majority of the studies covered involved some form of purposive sampling, the most common of which was represented by convenience sampling.

³ The brief in the email was as follows:

"Dear participant,

Briefly, the questionnaire can be filled out by any white-collar Turkish [Romanian] or expatriate [Turkish] person working in a multinational [Turkish] company, who is working either in a managerial or non-managerial position, from any department.

With this aim, you can find both Turkish and English [Romanian] versions of the questionnaire as attached. The contact people can directly send the filled-out questionnaires to me, as the present researcher. If they wish to fill the hard-copy of the questionnaire, the postal address has been specified in the cover page of the questionnaire. I ensure the potential participants about the confidentiality and anonymity of their responses.

The detailed instruction has been provided at the cover page of the questionnaire.

Thank you - in advance to everyone for your participation and help.

Serap Yavuz

The use of convenience sampling by organizational and psychology researchers (such as when researchers in psychology and management use their own students or networks in organizations as research respondents) might jeopardize the adequacy of sample from a target population (Swanson & Holton, 2005; Hackley, 2003). The first and main limitation of the convenience sampling in general is that the selected sample may or may not represent the population it is drawn, and hence, any generalizations being made about the population cannot be considered as dependable (Punch, 2005; Dantzer & Hunter, 2005).

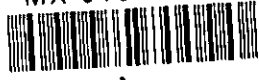
A snowball sample is in no sense random, because there is no way of knowing the precise extent of the population from which it would have to be drawn. In other words, there is no accessible sampling frame for the population from which the sample is to be taken, and the difficulty of creating such a sampling frame means that such an approach is the only feasible one. (Bryman & Bell, 2007, p. 200)

This jeopardizes the usefulness of the data collected for explanation or even the description beyond the sample surveyed (Bryman & Bell, 2007; Dantzer & Hunter, 2005). We cannot assume that the perceptions of the employees selected, who were working in MNCs are representative of employees working in all MNCs in Turkey and Romania. Moreover, statistical tests usually assume simple random samples (Morgan & Sonquist, 1963). Due to the use of non-random, convenience sampling, as the second main limitation, “the statistical parameters calculated (correlations, regression coefficients, and the like) pertain[ing] to the sample cannot be safely projected (as parameter estimates) to the general population” (de Boer & Velthuisen, 2001, p. 152). Moreover, thirdly, since the contact people submit the questionnaires to the people whom they know (i.e., friends, colleagues in the same organization) or who share similar characteristics, these communalities may

impact the study results (Etter & Perneger, 2000). It may limit the variations in the sample and hence in the study results.

As a result of this, to deal with these aforementioned three problems in reverse order, as mentioned above, a large number of contact people were used in both countries and therefore this lessens the third problem of limited variation in the sample. With respect to the second problem, these all statistical descriptors, parameters in models, and measures of fit for these models are particular to these particular samples. And finally in relation to the first argument, generalization and applicability of the findings are not guaranteed. The sample attained could have been much less representative. However, in order to circumscribe the limitations of the method, I tried to be as systematic as possible in creating the sample. That is, by using many contact people and by using the same wording of the request each time. The question of which populations the samples I obtained might represent is a complex one and is already referred to earlier in the thesis.

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The development of the
Professional Accreditation of Conservator-Restorers:
a form of professional systems architecture

*A project submitted to Middlesex University in partial fulfilment of the
requirements for the degree of Doctor of Professional Studies*

Brian Stanley Lester
(Stan Lester)

National Centre for Work Based Learning Partnerships
Middlesex University

July 2002

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a form of professional systems architecture

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Summary

The Professional Accreditation of Conservator-Restorers (PACR) is a practice-based professional qualifying framework developed by three United Kingdom associations representing practitioners in the conservation of cultural heritage. The author acted as project consultant for the development and implementation of PACR.

To date, the PACR project has consisted of three cycles. The first established the basic principles of the framework through background research and consultation, and produced and trialled a provisional scheme. The second put the scheme into operation, gathered feedback, and made operational improvements. The third gathered further feedback from implementation, and included a small-scale evaluation to gauge initial impact and identify strategic issues.

PACR represents a successful initiative by a small occupation to establish a robust and potentially respected credential, reinforcing its claim to be a credible profession. It has prompted a need for greater clarity about the nature and boundaries of the profession and routes into it, and is being followed up by work with the aim of creating a single conservation institute. Beyond conservation, it raises issues of access, qualification and continuing development that are relevant to other professions and professionalising occupations. As a practice-based assessment system it also offers some learning points relevant to the design and operation of UK National and Scottish Vocational Qualifications.

The PACR project illustrates a form of systems architecture in which a structure is developed to set the parameters for future action. It has provided a vehicle for the author's development as a systems architect in the educational field, and contributed to his commitment to a particular style of consultancy, based on realisation systems and on development work as a source of knowledge and authority. This approach is well suited to a wide range of applications, ranging from learner support systems through to areas such as national qualification frameworks and lifelong learning policy.

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At Middlesex University, I would like to thank the DProf team and in particular my adviser Jonathan Garnett and academic consultants Professor Peter Newby and Dr Peter Critten for their comments and time spent reading papers and drafts.

Authorship and copyright

The materials reproduced in annexes B and C were produced under contract to the Conservation Forum and to NCCR, and copyright rests with these bodies. Documents C1-C5 and C7 were written by me through the processes described in section 1 of this document, in consultation with the Joint Accreditation Group and NCCR. Document C4 also draws on materials produced by the former Museum Training Institute and an EU-funded project, *FULCO*.

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The views and interpretations expressed in this document and in the papers in annexes A and B are mine, and do not necessarily reflect the views of NCCR or its committees or constituent bodies.

Introduction

This narrative underpins my submission for the project component of the Doctor of Professional Studies (DProf), having previously made a successful prior learning claim in respect of work on professional and vocational development and accreditation, much of which directly informs this project. The project is based on the development and implementation of the Professional Accreditation of Conservator-Restorers (PACR) framework and the issues which it raises.

PACR is a practice-based professional qualifying framework managed by the National Council for Conservation-Restoration (NCCR), a consortium of professional associations in the cultural heritage field. During the period referred to in the narrative, October 1998 to May 2002, I was engaged as a consultant first to the Joint Accreditation Group of the Conservation Forum, then to its successor the Professional Standards Board of NCCR. The background to PACR, its evolution through three cycles of development and implementation, and a short exploratory project to examine the feasibility of a wider accreditation framework, are described in the first part of the narrative. Two concluding chapters outline current issues for the refinement of PACR and development of the conservation profession, and learning points relevant to accrediting professions and practice-based qualifications more generally.

The PACR project can be understood as a form of systems architecture that is acting as a lever for wider changes leading to the formation of a more recognisable and coherent profession. As such, it illustrates how what is at one level a focused project requiring attention to operational details can be at the same time a vehicle for strategic change, requiring integration of issues across a range of contexts as well as clarity and constancy of purpose. As a consultancy project, it demonstrates the need for a partnership or 'realisation' approach, where rather than being involved in delivering pre-specified outputs or acting as a detached expert, the consultant works with the client to create an evolving system, and in the process takes on a variety of different roles as the project progresses.

The second part of the narrative reflects on my role in PACR and its impact on my professional understanding and practice. It also discusses the idea of systems architecture and realisation systems through drawing on my work on PACR and other recent projects, and concludes with three further examples from the education and training field that are eminently suited to this approach.

The narrative is supported by three annexes: (A) a collection of published and pending papers that draw on the PACR project, (B) reports and papers prepared for the client

organisations and included with their permission, and (C) the PACR scheme documents. The papers in annexes A and B were written at different points during the development of PACR. As a result they do not form a continuous narrative, and in places there are slight inconsistencies between some of them as new developments took place and my thinking evolved. There are inevitable overlaps between the journal papers (and the papers and this narrative), particularly given the need to explain the background and context of the project to different readerships.

Part 1

The development and implementation of the PACR framework

1.1 Background and context

Conserving and restoring artefacts that can be considered part of our cultural heritage occupies an estimated three to four thousand practitioners in the UK and Ireland (Museums & Galleries Commission 1998), split roughly evenly between private practices and institutional employment. There are professional associations for conservators and restorers worldwide, an international association (the International Institute for Conservation, IIC) and an active European confederation of conservation-restoration organisations (ECCO). In the UK and Ireland there are eleven conservation and restoration associations which variously perform the functions of professional body, trade association and learned society, most split by specialism with two pan-Irish bodies and one Scottish body; these bodies account for an estimated 2000 members. In addition there are a number of informal practitioner groupings that hold meetings and organise seminars, an Institute of Conservation Science, and bodies such as the British Horological Institute some of whose members are involved in conservation.

Entry routes into most specialisms of conservation or restoration are now principally through higher education or higher technical qualifications, although a significant minority of practitioners have entered via practical training or informal means, particularly in the more craft-based disciplines such as stone conservation, furniture restoration and the conservation of stained glass. There has been interest in developing a common professional accreditation (qualification) framework since at least the 1970s, associated with parallel aims of on the one hand raising the profile and status of the profession against a background of fragmentation and to some extent perception as a craft or technician occupation, and on the other identifying qualified practitioners to clients and the public.

The first UK accreditation scheme was set up in 1979 by the British Antique Furniture Restorers' Association (BAFRA), more to register competent firms than as a means of denoting individual practitioners as professionally qualified. An abortive attempt at developing a joint UK framework was made in 1986, and several developments over the next decade then laid the ground for a second attempt at a joint scheme. The International Council of Museums Committee for Conservation (ICOM-CC) had published a widely agreed

definition of the profession (ICOM-CC 1984), and this was followed in 1993-4 by ECCO's code of ethics and their recommendation for a minimum of three years' full-time higher education (ECCO 1994). In 1993 the UK and Irish professional associations formed an umbrella body called the Conservation Forum, later the National Council for Conservation-Restoration (NCCR). In Ireland a new organisation, the Institute for the Conservation of Historic and Artistic Works in Ireland (ICHAWI), was set up in 1995 alongside the established Irish Professional Conservators' and Restorers' Association (IPCRA) specifically as an accrediting body. Finally, the UK's Museum Training Institute (MTI) published its occupational standards for conservation in 1996, and conservation became one of the first areas after management to have National and Scottish Vocational Qualifications (here abbreviated to NVOs) approved at level 5 (MTI 1996).

NVOs and the associated occupational standards and 'outcome-based' systems of assessment have been hailed as an educational revolution and a model for workforce development (e.g. Jessup 1989, Mansfield & Mitchell 1996), but beyond the inevitable operational problems associated with a developing system (see for instance Beaumont 1996, Lester et al 2000) they have also attracted criticism as undermining educational standards, creating inflexible and mechanistic interpretations of work, and failing to acknowledge the importance of situational factors in determining standards of competence (e.g. Smithers 1993, Hyland 1994, Elliott 1991, Issitt 1999). On balance they have accelerated innovation particularly through separating assessment from training and focusing on workplace competence, and inhibited it by promulgating an inflexible model based on a reductionist view of practice. To date, only 3.3% of the three million NVOs awarded have been at the upper levels, 4 and 5, and of these 84% were in management and business services (OCA 2000a). The conservation NVOs at levels 4 and 5 have attracted comparatively little interest and proved difficult to implement, with only one candidate achieving a full award by the end of 2001.

Soon after the publication of the MTI standards, a report (Barron 1997) was commissioned to identify whether and how they could be used in accreditation. It concluded that there was an opportunity "to use the standards as a tool in an accreditation scheme even if the (associated) NVO... was not to be achieved in its entirety" (*ibid* p11), and recommended that a joint committee of professional associations should be set up to explore putting this into practice. The conservation community's response was positive but with reservations, in that there was both scepticism about the NVO model and criticism of the MTI standards as over-detailed and failing to capture the essence of practical professionalism. This viewpoint was closer to that of Eraut (1994) in his discussion of professional competence, where he concludes that professional standards "need not be as detailed as those currently favoured by the NVO/SVO system, and new ways of representing standards need to be developed which show their interconnectedness and make it easier for people to comprehend them"

(*ibid*, p161). The conservation associations concluded that there were enough merits in the basic principles of NVQs for them to be worthy of further exploration: not quite in the way envisaged by Barron, but more to inform the development of a more appropriate model. Relationships between PACR and NVQs are discussed briefly in paper A1, and in more detail in paper A4.

Parallel with these developments a European Raphael bid was prepared by ICOM-CC to describe the work of the European conservator in assessable terms (see Cronyn & Foley 1996b). The result was a framework that included functional work descriptions roughly parallel with the MTI standards, plus general professional criteria covering areas such as values, understanding and intelligent practice (Foley & Scholten 1998). As well as drawing on the MTI standards this project employed some of the principles established in the widely-documented ASSET model developed by Anglia Polytechnic University and Essex Social Services (Winter & Maisch 1991, 1996).

In 1998 three of the larger UK conservation bodies, the UK Institute for the Conservation of Historic and Artistic Works (UKIC), Institute of Paper Conservation (IPC) and Society of Archivists (SoA), set up a joint accreditation group (JAG) which came under the umbrella of the Conservation Forum. As a parallel activity the UKIC and IPC also instituted short-life accreditation schemes, to enable practitioners with ten years' experience or more to qualify through a detailed application and assessment of prior achievement; these became collectively known as the fast-track schemes (the Society of Archivists was already offering a certificate in archive conservation, leading to registration as an archive conservator). With additional support from the Museums and Galleries Commission and Historic Scotland, a project was initiated during 1998 to develop a credible, high-quality accreditation framework to replace fast-track accreditation. It was also hoped that this would extend to other bodies within the Conservation Forum. The 'JAG project,' with the aim of developing the new accreditation framework, commenced in October 1998 with my appointment as project consultant; it was chaired by Velson Horie, Keeper of Conservation at Manchester Museum. In the event it did not prove possible to persuade the four bodies with existing accreditation schemes to join the project.

The JAG project came to a conclusion in July 1999, when the accreditation framework was put to the subscribing bodies for approval, and matters of governance and implementation worked out. The Professional Accreditation of Conservator-Restorers (PACR), as the framework became known, was launched early in 2000 under the umbrella of NCCR. A review of the factors leading up to the development of PACR has also been published by Alan Buchanan, one of the IPC representatives on the JAG committee (Buchanan 2001).

Following establishment of PACR at an operational level, the wider profession as represented by NCCR has again raised the possibility of a single accreditation framework for conservation, possibly associated with a single professional institute. Work in this direction is ongoing during 2002.

The organisational context of PACR and the JAG project

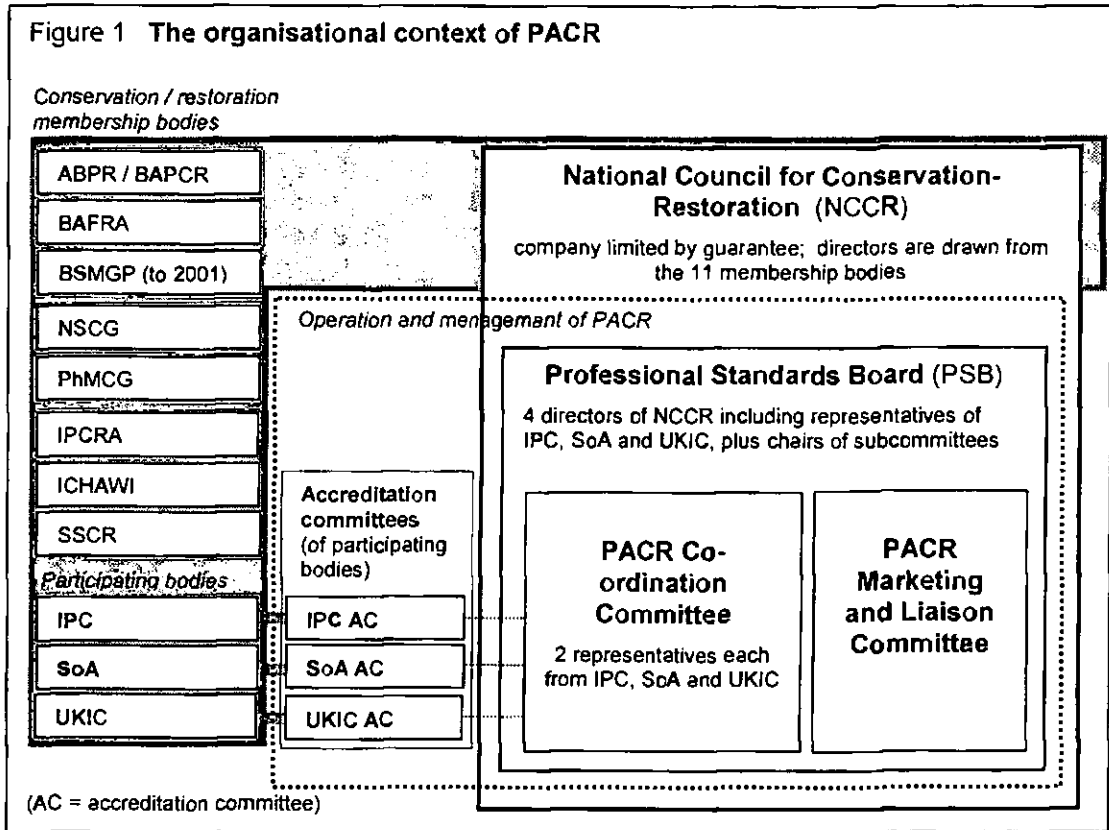
The organisational context of the project was, and continues to be, relatively complex. As described previously the Joint Accreditation Group was formed as an initiative of three of the major conservation bodies. Although the Group was placed under the overall umbrella of the Conservation Forum, it involved the Forum's other eight members only in a consultative capacity'. In addition to its primary constituents, outside interests were represented on JAG by Historic Scotland and the (then) Museums and Galleries Commission (MGC). The National Council for Conservation-Restoration succeeded the Conservation Forum in 1999 initially with the same group of members and a broadly similar remit, strengthened to include oversight of PACR.

As a voluntary association of free-standing professional bodies, NCCR does not have direct connections with government or other public agencies, and therefore sets its own policies within the constraints imposed by its members and the wider cultural heritage context. The organisational structure for managing and operating PACR grew out of the original JAG structure, moderated by the participating bodies' desire to retain individual responsibility for accreditation (the initial view within JAG, consistent with my advice, was for the scheme to be operated by a joint board or similar organisation). In the structure that was adopted (see figure 1) the individual bodies operate the scheme through their accreditation committees, with standards and common practices being overseen by the NCCR Professional Standards Board, at an operational level through the PACR Co-ordination Committee.

During the JAG project, project responsibilities were relatively straightforward in that the three member bodies delegated authority to JAG to develop the framework for their approval, and funding bodies' concerns were generally limited to a watching brief and ensuring accountability for their contributions. As the framework moved towards implementation it became subject to a wider range of influences and interests, primarily

* Members of the Conservation Forum, and subsequently NCCR, comprise: the Association of British Picture Restorers (ABPR), later British Association of Picture Conservator-Restorers (BAPCR); British Antique Furniture Restorers' Association (BAFRA); British Horological Institute (BHI, joined NCCR in 2002); British Society of Master Glass Painters (BSMGP), until 2001; Institute for the Conservation of Historic and Artistic Works in Ireland (ICHAWI); Institute of Paper Conservation (IPC); Irish Professional Conservators and Restorers Association (IPCRA); Natural Sciences Conservation Group (NSCG); Photographic Materials Conservation Group (PhMCG); Scottish Society for Conservation and Restoration (SSCR); Society of Archivists (SoA); and the United Kingdom Institute for the Conservation of Historic and Artistic Works (UKIC). There are other conservation associations outside of NCCR, such as the Care of Collections Forum, Preventive Conservation Forum and Institute of Conservation Science.

from the participating bodies but also from other members of NCCR, either because of potential interest in joining (particularly SSCR) or through comparison with their existing schemes (ABPR, BAFRA, BSMGP and ICHAWI).



While the development and implementation of PACR was relatively unhindered by organisational politics, it needs to be understood in the context of several factors that were operating during 1998-2002. Of these the most influential were:

- Overlaps in function and coverage between the various bodies, with many of the specialist bodies being mirrored by sections in UKIC (e.g. paintings, furniture, stained glass and more recently photographic materials); some of the smaller bodies had previously split from UKIC and were moving back towards informal alliances with it.
- Differences in ethos between conservation, with an ethic of minimum intervention, and restoration, with its aim of taking back to a defined period, appearance or working condition.
- Differences in ethos between bodies which operated in part as trade associations (e.g. ABPR, BAFRA and BSMGP) and those based more on the model of learned society, traditional professional body or semi-informal association.

- The presence of existing accreditation schemes in the above bodies and in ICHAWI, some of which were closer to registers of practices than personal professional accreditation.
- The presence of a register of studios and workshops (the Conservation Register) operated by the Museums and Galleries Commission and Historic Scotland (with MGC's role subsequently being transferred to NCCR, and delegated to UKIC).
- Conditions of entry into the scheme for Conservation Forum / NCCR members other than the three bodies that had formed JAG. During the period 1998-2002 this principally concerned SSCR, with negotiations ongoing about the 'joining fee.' The effect on SSCR to date has been detrimental, with some members leaving to join one of the accrediting bodies.

In addition there were, at least at the beginning of the project period, some misunderstandings and differences between some UK proponents of accreditation and European developments represented through ECCO and the FULCO project. These hinged partly on historic factors regarding membership of ECCO, but extended to differences in culture and approach between different countries and misunderstanding about the paths towards professionalisation that were appropriate in different contexts: Jagger & Aston for instance comment, not entirely correctly but reflecting the argument that was current in the late 1990s, that "the existing UK model of accredited conservator status is derived from a craft skill time-served basis," whereas "the European model is derived from an academic time-served basis" (Jagger & Aston 1999, p59).

PACR: communities of practice

The idea of a 'community of practice' as discussed by Wenger (1998) denotes an essentially informal grouping of people that has among other things shared ways of doing things, a shared discourse and common understanding, and sustained mutual relationships. It is distinct from a formal association such as an organisation or committee, although it may coincide with one. The conservation community as a whole is too large and disparate to be thought of as a community of practice in Wenger's terms, and is more akin to what he terms a constellation of interconnected practices.

The first community of practice that began to form around the PACR project was centred on the JAG committee, where an inner core of committee members were joined on an ad-hoc basis by other leading conservators who had an interest in professional development and accreditation, for instance from the viewpoint of their own professional bodies, as educators, or through involvement in other projects such as FULCO or the MTI standards

development. This group formed my initial set of colleagues and point of reference within the overall conservation community, providing a group within which an open exchange of knowledge and ideas could take place.

As the JAG project progressed I came into contact with other existing groupings such as conservation educators and a small group who were involved in conservation NVQs, as well as with conservators in Scotland where there was a strong sense of a practitioner community that also extended outside of the strict conservation profession. This latter group included some leading members of the UK and European conservation community who were not involved in JAG, but who provided a second reference point that reflected slightly different perspectives and also provided a contrast to the London hub of the JAG and NCCR groups. Although the group of practitioners involved in the trials formed a strong network for exchanging ideas and gathering feedback, their involvement was too short for them to develop as more than an occasional forum.

After the end of the JAG project, there was widespread change in committee memberships that effectively dispersed the community of practice that had formed around the project, and meant that a practitioner group needed to develop around PACR implementation. This meant that my role became central in acting as a focus for this process, and put me into the position of being an interpreter of meaning for PACR until common understandings began to emerge. In practice, what might be termed the PACR core community came to comprise most of the co-ordination committee, the director of UKIC, a few members of the accreditation committees, plus initially myself. This basic grouping developed into a genuine community of practice able to withstand changes to committees and my easing out, and appears to be sustainable at an informal level as well as through the formal committee processes. It has also developed to the point where members identify as members of a PACR community rather than as representatives of their individual bodies' interests, and appears to have developed an open and constructively critical ethos. The broadening of this community to include assessors, accreditation committees, and PACR-accredited conservators has taken longer than expected, but there has been gradual development of common understandings and ways of working are beginning to create cohesion around this wider group.

A current challenge beyond the PACR project is to build a community of practice in relation to professional development and accreditation that spans the breadth of the conservation profession. The ethos that has emerged in the PACR 'core' has overcome differences between the member bodies and their respective traditions, and creating a project around which a similar core community can emerge will be one of the factors needed to develop a common accreditation framework, particularly if this is to be done in the absence of a single professional body.

1.2 Methodology

Methodologically, the PACR project can be considered in two ways. From the viewpoint of the outcomes sought by the client, it fits the model of an action research or cyclic development project in which, as an external consultant, I was engaged to assist the conservation community to make changes within and to the profession. From my viewpoint as a consultant and developer (and DProf candidate), it also presents a case-study from which learning-points can emerge: both in the sense of information and interpretations that are relevant to other occupations, professions and qualifications agencies and that can be published or used in other projects, and in the sense of providing a vehicle for the development of my own practice.

PACR as action research

Action research in its original form is associated with the seminal work of Kurt Lewin (1946), where it is regarded as a means of assisting people to move forward through enquiry into issues present in their own lives. This conception has been developed and modified in several directions, including for use by practitioners making small-scale interventions in professional contexts (particularly in teaching, health and other public service professions, for instance Stenhouse 1975, McNiff 1988), for collaborative enquiry (e.g. Reason & Rowan 1981, Weil *et al* 1997), and for manufacturing and organisational processes (e.g. the 'plan-do-study-act' or Shewhart cycle, Deming 1950). Soft systems methodology, a development of systems engineering designed for interventions in organisational or social systems (see Checkland 1981, Wilson 1990) can also be considered as a form of action research.

Different approaches to action research emphasise different agendas and scopes for action. For instance, Elliott's definition of action research as "study(ing) a social situation with a view to improving the quality of action within it" (Elliott 1991, p69) suggests a strong research focus, but one which is limited to changing only the quality of the action, not its nature or the nature of the social situation itself. Conversely, Checkland's systems approach is more pragmatic in intent, but allows exploration of systems issues beyond quality of action; it is capable of addressing issues of fitness of purpose as well as fitness for purpose. A more critical approach to practitioner action research is expounded by Carr & Kemmis (1986), while conceptions of action research based on the notion of praxis emphasise the gaining of understanding for the purpose of critical and creative action, or to "change the world as well as study it" (Stanley 1990).

Stemming from the work of Lewin (*op cit*), action research is commonly represented as a cycle of four steps, normally repeated either on an ongoing basis or until an acceptable result is produced. These consist of planning (identifying the issue to be tackled and associated options), acting (implementing one of the options), observing (gathering data or feedback), and reflecting (on the results and possible next steps). Comparing this soft systems methodology, in its first iteration the latter approximates to the planning and acting stages, while in subsequent iterations it can be equated to the whole cycle starting from the observing stage. The seven steps in Checkland's soft systems methodology are:

1. identifying the problematic situation that it is desired to intervene in
2. researching the situation and building a 'rich picture' (interpretive representation) of it
3. selecting perspectives and building 'root definitions' (key processes that need to take place within the desired system)
4. developing a conceptual model of the overall system
5. comparing the model with the real-world situation
6. defining the changes to be implemented
7. taking action.

Both of these approaches aim to achieve practical goals, and see research as an integral part of the action cycle. PACR, as a development project taking place in a complex context, can be considered as an action research project in its overall methodology; it also draws on a modified form of soft systems methodology. The three phases of the PACR project that have taken place to date (2002) each suggest a slightly different construction of the action research cycle, and illustrate the difficulty of expecting a single model of action research to apply throughout the development process.

The PACR cycles

The first cycle comprised the JAG project, from October 1998 to July 1999. This developed, consulted on and trialled the basic format of PACR, and resulted in the processes, documentation and guidance used in the first 'live' accreditations in 2000. Following the JAG project, a short period ensued when negotiations were held with the participating professional bodies and the scheme's governance and regulations were agreed.

This cycle has critical and praxis-oriented elements geared to changing the operating context of the profession and developing a new system (rather than making incremental improvements to an existing one). It might best be represented by a modified version of the soft systems model, based on the following stages:

1. defining the issues to be tackled (professional credibility, quality of practice, ongoing improvement)
2. assembling a 'rich picture' (the state and context of the profession, stakeholder needs, receptiveness, history, other models of accreditation)
3. envisaging the main elements of a solution (accreditation and continuing professional development)
4. building a conceptual model (principles for an accreditation and CPD framework)
5. comparing the model with reality (checking practicalities against the 'rich picture', consultation, trialling)
6. developing the solution in detail (assembling the detailed framework)
7. acting (gaining acceptance and implementing the framework).

The second cycle comprised the first round of accreditation after the scheme went live, covering the 12 months from March 2000. The main concerns of this cycle were to test out the system and make operational improvements, for instance to procedures, documents, guidance and assessor training. This cycle is essentially a pragmatic one concerned with making incremental improvements within the system. It fits more closely with a basic action research cycle of acting (implementing the framework), observing (results and feedback), reflecting (implications and options) and planning (changes for the next round).

The third cycle comprised the second round of accreditation, effectively spanning January 2001 to May 2002. In addition to operational review, this cycle also set out to gather early feedback on the impact of accreditation within and beyond the profession. This cycle again fits the basic action research model, but it also looks outside the system to begin to consider wider impact and developments in new directions.

Parallel with the second and third cycles, I carried out some additional investigation to explore wider issues associated with PACR, in some cases associated with other consultancy projects such as work on the Qualifications and Curriculum Authority's national qualifications framework. The focus of this work was essentially practical, but it also engaged to an extent with the wider context in which PACR operates, moving more into the realm of critical action research and praxis. Some of this investigation was fed into the third cycle evaluation as part of the revised 'rich picture', although it is likely to have greater significance outside of the PACR project - such as the common accreditation framework described below, dialogue between the profession and educational institutions, and the promotion of professional practice assessment in Europe.

Immediately following the third cycle I was also involved in a short project to identify the feasibility of a common accreditation framework across the profession, associated with a potential merger of all the UK and Irish conservation bodies to form a single institute. This is

included as a postscript to the main PACR project, and contributes to the overall conclusions and learning points.

The three cycles are summarised in chapters 1.3 - 1.5, and the common accreditation project in chapter 1.6. Chapter 1.7 discusses the resultant issues and implications for the conservation profession.

The consultant's role

Both action research and soft systems methodology are commonly described as approaches that are taken by an individual, organisation or community to effect change from within, in contrast with expert solutions that are developed through outsider research and external recommendations or prescriptions. The role of the consultant in an action research project therefore needs to be different from that which would apply in developing an expert solution, most obviously in the sense that the relationship becomes more one of partnership than of contractor-client or researcher-subject.

In PACR, the consultancy role was initially expected to provide expertise on qualifications, accreditation and professional development to complement the JAG committee's knowledge of the profession, provide an external and 'objective' view of the undertaking (e.g. not unduly influenced by the history and politics outlined in the previous chapter), and lead the project in partnership with the committee as a methodologist and systems developer. Given the fact that the committee was composed of volunteers, there was also a tacit expectation that I would take some of the responsibility and initiative for holding the process together and driving it forward.

This type of relationship creates a number of issues and potential dilemmas for the consultant. In general terms, there is always present a need to maintain a balance between the detachment needed by a neutral and apolitical mentor and adviser, and the involvement needed to work successfully in a shared venture. To some extent this is less of a problem if there are obvious differences between the consultant and the client community (for instance, I do not have any conservation expertise), and the consultant is also involved with other projects. Associated with this are two additional issues: the need to ensure that ownership of the project remains with the client, and the consultant does not take on an executive capacity or bias agendas to suit his or her own ends (these are discussed further in chapter 2.1 and in the next section of this chapter respectively). A further issue concerns getting the balance right between taking the lead or being directive, offering options, and acting purely as a process facilitator; too much emphasis on the former moves the relationship towards that of providing expert solutions, while too much towards the latter may make the project inefficient and undermine the psychological

contract with the client. Finally, in this type of relationship client expectations can lead to role conflicts if not managed carefully; for instance, becoming involved in the accreditation process itself could undermine the neutrality needed to advise on problematic situations.

Finally, a project located in as complex an organisational context as a fragmented and developing profession inevitably involves working with different communities or sub-communities of practice, each of which can have a different set of perspectives and agendas. The 'official' client as represented by the JAG and NCCR committees formed one of these communities, but as the project progressed it also involved engaging with other groups including potential candidates, assessors, practitioner groups such as the Scottish conservation community, conservation academics and external groupings such as standards and qualifications developers in the Qualifications and Curriculum Authority and Cultural Heritage National Training Organisation. This necessitates being able to develop good working relationships with these groups and represent a balanced view of the profession and its stakeholders within the bounds of the client partnership.

Further reflection on my role in the project is included in chapter 2.1, and in chapter 2.2 I explore the ideas of systems architecture and realisation systems in relation to the kind of consultancy role described above.

PACR as case-study

A case-study is essentially an account that describes a phenomenon or group of phenomena in a particular real-life context with which they are bound up, typically using multiple sources of evidence (cf Yin 1989). The purpose of the case-study approach is to illustrate the particular and make it intelligible in a way that normally has purpose beyond its internal value, for instance to draw out points that have potential for wider application or to illustrate problems in policy or practice. The argument as to whether this knowledge can be regarded as generalisable (see for instance Golby 1994) is less important than whether it is useful: I prefer to regard the knowing emerging from case-studies as learning-points rather than conclusions (which imply closure and finality), and recognise that there are different ways of framing cases that generate different learning-points. To use PACR as an example, while this document and the associated published papers draw out various points from the project, it is likely that previously unthought-of ideas will emerge on revisiting it to see what it has to contribute in the context of a different project, such as the development of another emergent profession or changes to the principles governing NVQs. The value of the project as case-study is realised rather more in its framing in relation to potential applications than in treating it as a source of generalisable theory.

Linking PACR to the DProf, to the intention to disseminate through publication, and to the expectation that it will be used to inform future practice, automatically implies a case-study dimension to the project. It has value as a case-study in that it explores issues that are of potential use to other professional and professionalising groups, and to those involved in designing and working with practice-based qualifications and assessment systems. It also has personal professional value, both in the sense of adding to my knowledge in the substantive areas of the project, and through providing an sustained and involved example of a consultancy relationship that can be reflected upon to develop my practice and practical wisdom.

At a general level, PACR demonstrates how a small and diverse occupational group pursued its project of professionalisation, specifically by setting up a qualifying process and continuing professional development scheme, as well as illustrating an example of a practice-based assessment system that offers an alternative to the NVO model. There is therefore potential merit in disseminating a simple untheorised account of PACR and leaving interested parties to draw their own conclusions. More specifically, PACR suggests learning-points and raises issues in these areas, with potential to contribute to changes in practice in professional development and the development of qualifications. I have taken this forward through a series of published and pending papers (A1-A8), the positive response these have received from academic journals bearing out the potential value of PACR as a case-study. In addition to these papers, there is a discussion of some of the wider implications of PACR and the issues it raises in chapter 1.8.

From a personal professional perspective, these learning points have added to my expertise in the professional development and qualifications field; this is already becoming recognised in approaches from other potential clients, and employed in relation to other, related applications as outlined in chapter 2.1. In addition, the PACR project has provided me material to reflect on in relation to consultancy practice, as described in the section above on the consultant's role, which is leading to changed conceptions of practice (see chapter 2.2) that are generalisable into other projects and areas of work (such as the example given in chapter 2.3).

This treatment of PACR as a case-study poses some potential ethical issues for my role as a consultant. From the client's perspective, there is little direct value in having their project disseminated through publication, and there may be some disadvantages particularly if weaknesses or problems are exposed. In this kind of internal project (as opposed for instance to a publicly-funded research contract intended for dissemination) there is at least a moral obligation to gain permission from the client to publish, and a dilemma is created if this becomes conditional on altering the account to present an unacceptably sanitised version of events. In the one project where this has arisen my response has been not to

publish, a relatively easy if disappointing decision because I have no external pressure to produce published work.

A second issue involves the use of client resources - particularly the consultant's time, client time and goodwill - towards objectives that do not provide tangible benefits to the client. This was potentially an issue in using the PACR project towards the DProf, but it was largely overcome by negotiating client approval both at a general level through approval from the key committees, and more specifically for activities that were either done in the client's name or required an input from the profession (such as the practitioner survey described in paper B7). In practice it was fairly straightforward to gain client support in return for benefits that came out of unpaid work associated with developing published papers and this narrative; papers B6 and B7 are both examples of work that would not otherwise have been carried out.

Finally, there is an intellectual copyright issue in drawing on one project to inform others. While informal exchange of ideas between projects is inevitable, the re-use of specific models and materials may amount to a breach of trust even if not of contract. My policy is not to pass on any unpublished or unreleased materials without permission (in PACR this extends to the materials in annexes B and C), and in practice I find the nature of my work means that there is rarely anything to be gained from attempting to transfer a solution directly from one context to another.

Guiding philosophies

The PACR development process was guided by a fairly consistent underlying philosophy, principally rooted in the profession's dominant ethos of care for heritage, but also influenced by the JAG committee and its successors, as well as by my own perspectives on professional development, practice and assessment. The JAG committee inherited a commitment to the ideal of professionalism and guardianship of cultural heritage, combined with a desire to raise the profile of the profession and status of practitioners. These aims were viewed as complementary, the profession's ability to play a leading role in conservation policy and strategy being regarded as in part dependent on its acceptance as of equal status by museum directors, archivists, architects, funding bodies and others able to influence the treatment of cultural artefacts. The project was also strongly informed by commitment to continuous development and to the ideal of a community of practice reflected through professional networks and strong links between the academic and practitioner communities.

The project itself was based in a view that the framework needed to be developed by the profession rather than on its behalf, interpreted as requiring the involvement and

agreement of practitioners at every stage. This extended both to the composition of JAG and subsequent committees, which were dominated by practising conservators, and the need to consult extensively before agreeing a finalised framework. There was also a generally shared belief that the scheme needed to be practical and reflect the profession's circumstances and needs, rather than copy existing approaches used by other occupations. Balancing this egalitarian and participatory approach was a view that PACR needed to move the profession forward, together with a pragmatic recognition that there would be both 'laggards' (Rogers & Shoemaker 1971) and 'dynamic conservatives' (cf Schön 1971) among the practitioner community whose concerns needed to be listened and responded to without allowing them to undermine developments.

During the project, I was concerned to ensure that developments were based in values that were consistent with the ethos of the profession, including those of fairness and openness, and ensure that these became intrinsic to the operation and management of PACR. While this ideal occasionally lapsed as will be described in later chapters, it was generally successful. This stance implied a need to look at the longer-term effect of any decisions, particularly on things such as access to the profession and boundary issues, and make positive statements where appropriate to clarify the position of practitioners who may be affected. It also pointed to a need to balance different concerns carefully and attempt to distinguish between issues likely to resolve themselves over time and therefore not requiring strategic attention, and those that represented for instance genuine differences in practice or ethos that would cause ongoing problems for practitioners or for the project if not resolved.

1.3 Cycle 1: the JAG project 1998-99

As previously described, the JAG (Joint Accreditation Group) project consisted of the initial development and trialling of PACR between October 1998 and July 1999.

Aims and questions

The overall purpose of the JAG project was to produce a robust and workable professional accreditation framework acceptable to the three constituent bodies, ready for implementation from 2000 onwards.

The primary aims were:

- To establish an overall format and approach for the framework which would be acceptable to the professional bodies and individual practitioners, and be effective in raising the profile of the profession, providing a means for clients to identify qualified and proficient practitioners, and ultimately improving the care of cultural heritage.
- To establish and agree the detailed standards, systems of assessment and quality assurance to be used in the framework, and develop associated guidance materials for candidates and assessors.
- To establish a system for reviewing and monitoring continuing professional development (CPD).

It was also intended to gain answers to a number of practical questions about implementing PACR, including how easy it would be to recruit assessors, the back-up needed in terms of training, monitoring and central support, and the levels of fees and costs that would need to be involved.

Process

The process consisted of four main phases.

The first, short phase took place during November 2000 and involved me in discussions with the JAG committee, representatives of the associations making up the Conservation Forum, and a small number of external organisations with an interest in the project (including English Heritage, the National Trust, Historic Scotland, the Museums and

Galleries Commission and the Cultural Heritage National Training Organisation]. These discussions aimed to identify what stakeholders wanted from the framework, along with problems and issues needing attention. Concurrent with this I also undertook desk research and had telephone discussions to get an overview of qualifying and CPD-related processes in a selection of other professions and occupations: accountancy, architecture, architectural conservation, architectural technicians, environmental management, forestry, landscape architecture, leisure management, marketing, museums, nursing, personnel and development, surveying, and waste management.

Following the first phase, I drew up a discussion paper for the JAG committee, subsequently reworked into a consultation document (paper B1). An initial consultation meeting was held in London in December 1998, attended principally by conservation practitioners; following this meeting, I revised the document, and circulated it to practitioners via the IPC, UKIC and SoA. Nineteen written responses were received by the end of January 1999.

The third and largest phase of the JAG project, trialling and specialist consultation, took place between January and June 1999. This comprised:

- The development of a set of framework documents, including an introduction to the scheme, guides for assessors and candidates, a set of professional standards, application and assessment documents, and guidance and proformas for planning and reviewing CPD.
- Trial assessments. Thirteen 'candidates' were assessed from an initial 20 volunteers over a three-month period. The assessments were carried out through a full-day visit to the candidate's place of work by two assessors. Fourteen experienced practitioners took part in the trials as assessors; they attended a one-day training session, and I shadowed two assessments. I subsequently reviewed the resulting assessor reports with the JAG committee.
- CPD trialling. Initially 40 practitioners volunteered to trial the CPD proformas by producing a reflective account of previous learning and planning ahead for the following year. In the event, only 11 sets of documents were completed and returned.
- Focus meetings. I held five meetings in March and April to gather feedback from practitioners and other interested parties on the scheme as developed for trialling. These focused on practitioner issues (London and Edinburgh), assessment and accreditation (Birmingham), the professional standards (London), and professional credibility and service to clients (Liverpool). At the request of Historic Scotland a further four general meetings were held in Edinburgh and Dundee. In all 80 conservators and related professionals attended these meetings.

- **Additional consultation.** The framework documents were circulated to stakeholders in the cultural heritage field, resulting in seven written responses, and posted on the UKIC web site where they were accessed on 1429 occasions. A discussion on accreditation also took place on the international Conservation DistList (internet discussion list).

The final phase gathered further feedback from the trial, both by telephone and through a conference at the Institute of Archaeology in June which was attended by 33 participants. Following this I revised the documentation to reflect findings from the trial and consultations. The final stage of the JAG project involved approval by the participating professional bodies, necessitating some further minor changes to reflect agreed procedures and administrative requirements.

The process is described in more detail in papers B3 and A1.

Findings and issues raised

Findings at each of the main stages of the JAG project are outlined below. There is further discussion of some of the points raised in my post-trialling report (paper B3) and in paper A1. Some of the issues relating to continuing professional development are also discussed in paper A2.

Stakeholder discussions and desk research

Initial discussions within the profession indicated broad support for the concept of accreditation, and for a practice-based scheme, rather than one based on specified entry routes or written examinations. There was however a minority view that was sceptical about practice-based accreditation, principally stemming from experiences with the MTI NVOs and the fast-track schemes, with a few consultees also suspicious that it would work against the desire to promote graduate or postgraduate entry. This latter point was a particular concern where consultees were interested in promoting compatibility across Europe.

Emphasis was placed on the need to take account of the diversity of the profession, including different practice contexts (e.g. private practice and work in historic buildings, as well as museums and galleries), the different traditions, specialisms and disciplinary leanings within the profession, as well as different entry routes (which could range from postgraduate qualifications to informal apprenticeships). Differences in approach were highlighted between areas with a craft leaning and those with a more academic approach; differences in ethos were also discernable between practitioners primarily concerned with restoration, and those whose main aim was conservation.

There was some scepticism from bodies that already had accreditation schemes that a common system would be too general, and fail to capture the particular requirements for being, for instance, a proficient stained glass conservator or furniture restorer. There was also confusion between the idea of accreditation (i.e. individual qualification) and the objective of registering conservation firms, whether by the individual conservation bodies or through the Conservation Register (a studio registration scheme at that time operated by the Museums and Galleries Commission and Historic Scotland).

The desk research and associated discussions indicated that a form of practice-based accreditation could complement graduate entry, in a similar way to the professional practice examination in architecture, but it was not widely used as the sole means of qualifying other than in waste management and as what might be considered an exceptional entry route in the personnel and leisure fields. In several professions including architecture and accountancy there was a degree of support for this approach to qualifying, but also scepticism fuelled (as in conservation) by doubts about robustness and validity based on experiences of the NVQ model. While it was not particularly conclusive, this investigation did not suggest any reasons not to proceed with a practice-based model, or offer any particularly suitable alternatives.

The practitioner consultations

The consultations indicated broad support for the outline framework, and most of the issues raised concerned detail and implementation. The format proposed for professional standards found more favour than had the MTI (NVQ) standards, and widespread support was expressed for greater flexibility and clearer examples of interpretation. The incorporation of general professional criteria (along the lines of FULCO, see Foley & Scholten 1998) was welcomed as expressing an important part of professionalism which the NVOs were thought to omit, although one respondent commented perhaps perversely that they were not 'measurable' and therefore not assessable.

Several respondents raised the issue of conservators who were no longer involved in hands-on treatment, for instance because they now act as managers, tutors, trainers or advisers. There was a call to include these within the scope of PACR, without undermining its function of representing the ability to practise proficiently. On the other hand there was also concern that the framework should be rigorous and not become a club for senior members of the profession, regardless of their competence. This issue had not been sufficiently resolved during the fast-track processes, with negative consequences for PACR that were not fully overcome even at the end of the third cycle.

The area of continuing professional development appeared to cause the greatest confusion; despite description in the consultation document as "an annual or more frequent (self-)review, consisting of reflection...", and "what (the practitioner) aims to learn during the next year," several respondents viewed CPD as essentially attending courses and responded in this vein. As with the accreditation process in general there was a call to minimise any bureaucracy required in relation to CPD.

The focus meetings

The focus meetings and additional consultations indicated overwhelming support for practice-based accreditation and recognition of its value to the profession and to clients; the main reservations centred around the possibility of creating a semi-closed profession, along with some misunderstandings that being 'a professional' implied university education. The majority view including that of key client organisations was that accreditation would never become compulsory, but a desirable target would be for clients to look for studios to have lead practitioners who were accredited. Clarification of the relationship between PACR and the Conservation Register was requested, with some support for registered practices to have a partner, proprietor or director who was accredited.

The level at which accreditation was pitched was also debated, with a general desire to see the scheme as representing a high level of understanding and competence (including a 'post-graduate' depth of knowledge), while being open to non-graduates. There was a desire for the scheme to be seen as credible in Europe (ECCO's desideratum for conservation training is "university level or recognised equivalent"), although some difficulties were predicted given an ambivalent reception accorded to the FULCO work.

The framework details and assessment process were generally approved, with some detailed comments aimed at increasing clarity and making the process more straightforward and rigorous. There was agreement that PACR should look for "maturity of competence" and the ability to handle complex issues and appreciate complexity "without complicating it unnecessarily." Some debate ensued about the coverage of the scheme, but the general consensus was for a single framework at present, accessible to managers, tutors and consultants who were previously conservation practitioners, but emphasising the ability to practise proficiently. Discussion also took place around the different approach and ethos between conservation and restoration, with opinions varying between emphasising the differences or looking for common ground. This issue was not resolved sufficiently at this stage, and reappeared as a cause of confusion when PACR went live.

Discussion of costs and pricing indicated that practitioners would be willing to pay around £300 for accreditation, with £500 as an absolute ceiling. Potential assessors varied

between being prepared to offer their services free of charge, to wanting a fee able to provide reasonable compensation for a basic professional salary or private practice earnings. The majority of potential candidates were in favour of paid assessors who had a contractual obligation to their professional bodies.

Finally, there was some concern that the accreditation system would kill off NVOs, particularly from practitioners who had been involved in NVO development; there were also requests for exemptions for holders of NVOs at levels 4 or 5 (a largely theoretical issue as this numbered just one person). On the other hand NVOs did not appear to be highly regarded by many delegates, and there were concerns that they lacked international credibility.

The trials

The assessment trials were generally successful in that they indicated that the proposed framework was workable, given acceptance of what could be an "exhausting" assessment day; assessments lasted between five hours and nine hours. The trials indicated a need for minor modifications to standards, documentation and procedures to reduce repetition, increase relevance and make the process run more smoothly. They also highlighted difficulties associated with asking the assessors to make an assessment decision on the day (in the interests of openness, the process was designed to be fully 'visible' to the candidate); this was felt to have created unnecessary pressure, and be capable of causing problems if the moderation panel later reversed the decision.

The trials indicated that the form of assessment was acceptably fair and thorough, and despite the intense nature of the day it was thought to be preferable to indirect or portfolio-based assessment on grounds of validity, rigour and efficiency. Assessors reported that the general professional standards were not difficult to judge, and it would be difficult for a candidate to bluff through these areas over the duration of the assessment. However, the moderation meeting indicated a wide discrepancy in the quality of assessors' reporting, suggesting a need to give more attention to this area in future assessor training.

The CPD trials supported the non-prescriptive approach to CPD which had been proposed, although even this was misunderstood by some practitioners. The majority view was that the approach taken to CPD should enable practitioners to control what and how they learn, ensure that recording requirements prompt learning and reflection (rather than "listing and justifying") while creating a minimal administrative burden, and focus on significant learning and development rather than learning events and activities. Some practitioners, particularly in the private sector, commented that the action planning element of the CPD

document needed to be flexible because they could not predict the work they would be taking on during any coming year.

Decisions

Between myself and the JAG committee it was concluded that the consultations and trials showed that PACR as developed was sufficiently practicable and well-supported to take forward to implementation, subject to a number of amendments of detail, issues to be worked out in practice, and longer-term issues for further exploration as the scheme developed. There was agreement that the framework should be an evolving entity, subject to continuous review and modification while having sufficient stability to avoid confusion.

Key decisions made after the feedback conference were:

- To operate a single framework, with no exemptions for qualifications or experience and no separate routes for conservation managers, scientists, tutors etc.; all candidates would have to demonstrate that they had (or had had and could still draw on) practical conservation competence. In practice, this decision became a source of ambiguity and needed amendment after the second cycle.
- To retain the format of the professional standards, subject to modifications of detail and an improved format for the accreditation documents. Initially it had been hoped to match the standards more closely with the revised CHNTO occupational standards, but the changes indicated as needed by the trial diverged from the emerging CHNTO proposals.
- To retain the assessment format with minor modifications. In particular, assessors would only report their findings and make decisions on individual standards; the accreditation committee (as the moderating group became designated) would recommend accreditation or otherwise, subject to an appeals procedure.
- To improve support for candidates, e.g. via briefings and in the longer term a mentoring scheme.
- To set the accreditation fee at £400, calculated to raise just enough surplus to cover office administration, assessor training and indemnity insurance, and pay a fee of £100 plus expenses to each assessor per assessment, similar to the rates being paid to NVO assessors.

Negotiations between the newly-formed National Council for Conservation-Restoration and the professional bodies resulted in the three subscribing bodies operating the scheme

individually, but co-ordinated by the NCCR's Professional Standards Board, along with common candidate briefings, assessor training and committee briefings. The committee structure used in the first operational cycles is depicted in figure 1 in chapter 1.1.

Outstanding issues

The JAG committee was concerned to develop a viable professional accreditation framework which would be capable of being put into operation by January 2000. A number of issues were therefore left for further attention in subsequent cycles of operation.

Two of the main questions internal to the framework concerned the fitness of the professional standards, and how they would be interpreted into the various specialisms of conservation. The project had not budgeted for developing standards through primary research, and some concerns remained about how well the existing standards would both reflect the complex role of the conservator and be accessible to practitioners without imposing a requirement for excessive breadth of experience. It was assumed that interpretation into context would be done in the field by assessors, although the difficulties of achieving common standards were acknowledged.

The position of NCCR member bodies which had not participated in JAG required further clarification. Accreditation would initially only be available through IPC, SoA and UKIC, and it was unclear whether other bodies would subscribe to PACR, continue with their own schemes where they had them, or develop formal or informal links with one of the accrediting bodies. Indications suggested that the two smallest bodies, NSCG and PhMCG, would develop links with UKIC, but the position of the Scottish body, SSCR, was unclear; although in principle its non-participation would limit access to accreditation in Scotland, many members were also members of UKIC or IPC.

The relationship between PACR and qualifications and training routes needed further working out, and while some clear principles had been established there were still questions in areas such as relationships with NVOs, how internships could be aligned with PACR, and whether and how links should be established between PACR and academic frameworks. The NVO issue had a degree of urgency in that if conservation NVOs 'failed,' it was likely that development funding would be withdrawn from CHNTO unless a case could be argued that the occupational standards were being used elsewhere. Exploration of collaboration between NCCR and CHNTO was identified as a priority once PACR was established, although in the event it was later overtaken by other priorities.

Finally, in a European context PACR represented a different direction of development from that being pursued by ECCO, i.e. to encourage university training and where possible a

licence-to-practice approach. Views had been expressed both that PACR was complementary to ECCO's approach, and that it represented an alternative direction and a potential threat. In parallel, there were some concerns from UK practitioners that the expressed aims of full-time university education for all conservators and a fully (self-)regulated profession were restrictive and unrealistic. This pointed to further investigation around the themes of encouraging graduate entry as a 'preferred' route, and promoting PACR as a to post-experience, post-graduate professional practice assessment.

1.4 Cycle 2: PACR implementation 2000-01

The first round of applications and assessments took place during 2000 and early 2001, with briefings from May, applications due by the end of August, and all but one of the assessments completed by the end of January. A review conference took place in mid-March 2001.

Aims and questions

Compared with the JAG project, the second cycle had a more limited set of aims concerned with improving the detail and quality of PACR and highlighting areas for later development. The primary aims were:

- To assess the likely level of applications and identify any reasons for non-application.
- To identify any problems and areas for improvement in implementation.
- To gather feedback on the standards and other issues for later action.

Cycle 2 applied specifically to accreditation; the CPD review and planning process was excluded, although it was expected that some feedback would result because of the requirement in area C of the professional standards for candidates to address their continuing development.

Process

The process focused on implementing the framework and gathering associated feedback and information. The main components were:

- Briefing sessions for potential candidates, which also enabled initial feedback to be gathered on PACR, scheme documents and guidance materials. Briefings were held in London and Somerset, attracting 71 participants.
- Assessor training, carried out in three groups in London, Bristol and Birmingham, with a total of 24 assessors; an initial briefing day was followed four to eight weeks later by a workshop to discuss issues raised by individual applications. Most accreditation committee members also attended an equivalent pair of sessions. These sessions also provided a large amount of feedback on the framework and associated issues.

- The application and assessment process. Eighteen applications were made by the deadline, with one withdrawing reluctantly after advice from the accreditation committee, and another failing to respond to a request to complete the form fully. With one exception assessments were conducted between November 2000 and January 2001, and reviewed by the accreditation committees in February and March. Thirteen candidates were successful and three referred for various reasons (two of these were subsequently successfully reassessed in the following cycle).
- A review, consisting of telephone discussions with candidates, a questionnaire sent to people who had attended briefings but not applied, a review meeting of assessors and accreditation committee representatives, and email discussion with assessors and accreditation committee members. A final review and planning meeting was held by the PACR Co-ordination Committee in May 2001. I was unable to attend this meeting but tabled a report (paper B4).

Findings and issues raised

The key findings and issues raised are outlined below, and discussed in more depth in paper B4. Further discussion is also provided in paper A3.

Feedback on PACR and on the first full cycle of implementation was on balance positive from all its constituencies. There were some concerns about specific matters of implementation and to a lesser extent design, and some strategic issues were raised concerning the future focus of the framework. The main issues raised are outlined below.

General issues

A significant issue was raised in respect of what some candidates described as conflicting messages and inconsistent advice. Part of this concerned relatively minor issues such as details of payment or arrangement of visits, but there were also more serious cases relating to the need for their work to demonstrate a conservation ethic (rather than being purely restoration); the emphasis placed on practical conservation work; and confusion between resubmission and referral. Two further issues can be seen to relate to this. First, there was very limited continuity in terms of personnel between the JAG project and the first round of PACR, requiring a large number of people to develop their understanding of the framework quickly. Not unexpectedly, conflicting interpretations arose and some of these escaped into the public domain. Secondly, the PACR-related committee structure - involving overall seven committees, one in each professional body and four in NCCR - appeared to make for slow decision-making and a reluctance to clarify issues quickly.

Candidate support, at least through formal means (workshops, mentors etc), was acknowledged to have been insufficient during the first round. However, in practice most candidates had obtained support via colleagues in the profession, including people who had participated in the trials or were other candidates' assessors. Some candidates commented that the time from submitting their applications (end August) to getting results (February or March) was unjustifiably long.

The position of CPD in relation to PACR applications was seen as unclear, with some candidates submitting CPD reviews (in the requested format) with their applications, while others had CPD-related evidence available at the assessment. The contextual information and narrative provided by the reviews was seen as useful by some accreditation committee members, who requested that reviews were included with all future applications.

Finally, it was clear that many potential candidates were adopting a 'wait and see' policy. The process was seen by some as involved and time-consuming, and the fees of £400 expensive; this suggested that the nature of the credential involved was not fully appreciated. There were also concerns about the value of ACR status, and the limited promotion of PACR that had taken place.

Assessment and assessors

Some assessors had initially been concerned about interpreting the professional standards into different disciplines, as well as the level at which the standards were to be applied. Interpretation was found to be much less of an issue in practice, while the standard of application also became clearer with additional guidance (including use of the Dreyfus novice-to-expert model, as appended to paper C3) and improved understanding of the idea of a practitioner able to take responsibility for his or her practice.

The standard of assessment was generally reported as good. Some issues were raised by the accreditation committees in respect of assessors' comments that were too vague or unsupported by evidence, or where assessors had apparently failed to identify insufficiencies in the evidence put forward. A more significant problem had arisen where differences between a primary assessor and a candidate in terms of personal style and interpretation appeared to have prevented a fair and balanced assessment from being carried out; in the event, the candidate was offered a second assessment at no additional cost, which was taken up (with a successful result) during the following accreditation cycle.

Some concerns were also expressed by assessors and candidates about the role of the accreditation committees. There was no accreditation committee guidance document, and

contrary to intentions a significant minority of committee members had had no briefing on PACR. Greater clarity and further training for committee members were felt to be needed.

Documentation and standards

Some improvements were felt to be needed to the scheme documents to clarify, update and where possible simplify the process. The main concerns involved giving clearer guidance to candidates and assessors, and making the application form clearer to understand and complete.

Specific feedback was received on some areas of the professional standards (see document C4 for details of the standards). In particular:

- There was a debate concerning the emphasis that should be placed on practical conservation, with the majority view being that this should be strengthened and the demonstration of practical proficiency made compulsory. A minority view was that proficiency should be achieved either in conservation treatments or preventive conservation, with a working knowledge of the other.
- The standards for preventive conservation were widely viewed as difficult to apply to the work of the majority of conservators. An accepted interpretation during implementation was that the candidate should be able to give advice in the areas concerned, but did not have to show proficiency in for instance setting up environmental protection. Given this interpretation, no difficulties were caused for any of the candidates applying in 2000.
- The general professional criteria were initially felt by some assessors to be difficult to apply. In practice (i.e. as evidenced by assessors' reports and feedback) they appeared to cause few difficulties although some candidates found them hard to interpret and write statements against.

Issues of purpose and coverage

During the year some pressure was noted for PACR to represent proficiency in the conservation of specific classes of objects, a function it was not designed for. Further confusion was caused by the use of accreditation as an informal register, so that professional bodies were giving out names of accredited conservators according to specialism; this was seen as confusing the function of accreditation with the Conservation Register.

As a related point, one professional body had released a disclaimer expressly stating that it could not guarantee the proficiency of accredited members. This had arisen from confusion about the function of accreditation, and a possibly over-cautious approach to professional indemnity prompted by its solicitor. This statement was eventually withdrawn after it was challenged by members as negating the value of accreditation.

Some debate ensued on the distinction between conservation and restoration, and what was actually meant in PACR. In the UK there is a broadly agreed distinction between conservation, which aims to preserve the integrity of the object while arresting deterioration and in some cases aiding interpretation and display, and restoration, which seeks to take an object back to something approaching its original state, period or functional condition (whether for display or use). Conversely, in some other European countries the function of the *restaurateur* (using the French word) is to undertake conservation treatment, while the *conservateur* acts as a curator or collections care manager. The term 'conservator-restorer,' used by ICOM and ECCO, embodies a conservation ethic rather than a restoration one. This has resulted in an anomaly in NCCR where 'restoration' as used in PACR refers to the work of the *restaurateur*, or at least to restoration being carried out within a conservation ethic, while NCCR itself includes organisations that work at least partly from a restoration ethic. Debate on the coverage of PACR was resolved in favour of conservation rather than restoration alone, agreeing that this needed to be clarified in the documentation.

Finally, concerns from conservation scientists and advisers, along with views from practising conservators that PACR should insist on proficiency in practical conservation, prompted interest in creating a stream for interventive conservation and one or more for preventive specialists, advisers, scientists and conservation managers. This was seen as enabling the practical requirements of the current route to be strengthened, while providing more appropriate pathways for conservation professionals who did not undertake practical conservation treatments.

Committee and administrative structures

Concerns arose during the first year of operation that the PACR organisational structure and administrative arrangements (see figure 1 in chapter 1.1) were inefficient. The lack of a central office to handle administrative functions meant that administration was being taken on by the professional bodies' offices and voluntarily by individual committee members, resulting in duplication of effort and inconsistent messages; parallel with this, lack of clarity about the different responsibilities of NCCR, the PSB and the PACR co-ordination committee was causing communication problems, with the chair of the latter commenting that "decision-making is slow and contentious issues can be bounced between committees and

misunderstandings easily arise" (Neville 2001, p6). In particular it was thought that committees could make greater use of email, and there was some support for an employed co-ordinator and to a lesser extent (and more contentiously) a centralised office.

Decisions

My recommendations at the end of the second cycle are presented in paper B4.

One of the first actions that was taken was to revise the documents to improve clarity and consistency, and provide additional guidance on the need to demonstrate current or past proficiency in practical conservation. The CPD review document was also included as part of the application form to ensure that candidates completed it when applying. A new guidance document for accreditation committee members was also produced; as with all PACR documents this was made publicly available, and assessors and candidates encouraged to read it. The revised documents (as included in annex C) were made available in May 2001 for the new round of applications.

It was agreed to look into the possibility of establishing a route for conservation advisers, scientists, managers and others not involved directly in the treatment of objects, and incorporate the findings into the standards review. The review itself was postponed to 2002, although in areas where misunderstandings had occurred further guidance was provided for candidates and assessors.

No changes were made to committee structures, but the former chair of the PACR co-ordination committee was appointed as a part-time co-ordinator for PACR, and funding sought for a training officer to take over and increase the briefings and training sessions that were being carried out by me and by some of the committee members.

Outstanding issues

A number of operational issues were left unresolved at the end of the second cycle, including means of providing individual feedback to assessors, particularly where problems had occurred with assessments, improving scheme administration, and the composition of the accreditation committees.

The UKIC's accreditation committee structure, which for the second cycle comprised a member and a deputy from each of 12 specialist sections, was generally agreed to suffer from difficulties in reaching consensus and problems with non-accredited conservators being included in its membership. A need was also apparent for better communication between committee and assessors.

As noted at the end of the trial, support for would-be candidates was still limited, and although briefings had been held these were limited and partly reliant on external funding. Mentoring and arrangement of contacts with successful candidates was identified as needed for future application rounds.

No progress had been achieved towards convergence between the professional standards and the CHNTO occupational standards, although a number of factors including an impending review of National Training Organisations, new developments within the Qualifications and Curriculum Authority, and delays to reviewing the PACR standards made this difficult in the short term. It was now generally accepted (including within CHNTO) that the conservation NVQs at levels 4 and 5 had been unsuccessful, and therefore thought likely that continued QCA development funding for conservation standards would rely on a case being made that they were being used in PACR.

Little further work had been done to relate PACR either to qualifications and entry routes in the UK, or to European developments. This was not seen as an immediate priority, other than where individual universities or providers of internships used PACR standards to shape training, although it was identified as an area needing further investigation. I produced a discussion paper relating to this area that was distributed to key people in the conservation community, and later adapted to become paper A7.

1.5 Cycle 3: PACR implementation and review 2001-2

The second round of applications and assessments took place in 2001, with briefings held from January, applications in by 30th June, and assessments complete by the end of December. The third cycle also included preparation for implementing the continuing professional development scheme for accredited conservators.

Aims and questions

The emphasis of the third cycle moved from improving the operation of PACR to getting feedback on initial impact and highlighting areas for future (and more immediate) development. This also fitted with my intention to focus on strategic developments rather than the operation of the scheme. At the end of the cycle, renewed impetus within NCCR led to discussions about the formation of a single conservation institute, as part of which initial moves were put in place to determine the feasibility of a common accreditation framework; this is discussed in chapter 1.6.

The primary aims of the third cycle were:

- To identify any ongoing problems in implementation, and gather incidental feedback on the standards and other issues for later action.
- To make a provisional assessment of the impact of PACR within the profession and on clients, employers and funding bodies.
- To make recommendations for the future development of PACR.

Process

The main components were:

- Briefing sessions and workshops for potential candidates and on CPD, held in Edinburgh in and Bristol; the candidate sessions attracted 65 potential candidates and the CPD sessions 31 conservators. As previously, these also acted as a source of feedback.
- Assessor training, which I carried out in Edinburgh for a further seven assessors. I also ran a workshop and discussion meeting in London initially intended for new

accreditation committee members, but attended by a mix of members from different committees. Again as previously, these meetings were an important source of feedback.

- The application and assessment process. Twenty-two applications were made by the deadline of 30th June, of which 17 progressed to assessment (plus two who were reassessed from the 2000 cycle). Assessments were conducted between September and December, with the accreditation committees sitting in January and February. Fifteen candidates were successful (including the two who were reassessed), one referred, and three applications were rejected.
- A review of the process and its management, consisting of telephone discussions with 14 assessors, and a review meeting of assessors and accreditation committee members held by the PACR Co-ordination Committee in April 2002.
- A survey based on a questionnaire sent to 777 UK and Irish conservators, using contacts from the CoOL (Conservation OnLine) web site, to gauge (a) an indication of the value and benefits of accreditation as perceived by practitioners, (b) non-accredited practitioners' views on applying, and (c) problems and issues that practitioners perceived with PACR.
- A small-scale study in which I contacted 24 key employers and commissioning bodies to gauge their awareness of and level of support for conservation accreditation.

Findings and issues raised

Feedback on PACR and its implementation remained on balance positive, both from within the profession and from external stakeholders. The operation of the framework appeared to progress more smoothly than in the previous round, with fewer misunderstandings and better co-ordination between the different parts of the system. As previously there were some concerns about specific matters of implementation, and issues were also raised about the coverage, positioning and promotion of PACR. The main issues raised are outlined below, and discussed in more detail in papers B5-B8.

Operational issues

Candidate support, at least through formal means (workshops, mentors etc), was still relatively limited, and a minority of candidates did not seem to have understood key messages about preparing for the assessment visit. In two or perhaps three cases misleading advice from sponsors or colleagues who had gone through Fast Track

accreditation had contributed to candidates being unprepared for the more rigorous assessment process of PACR. Some candidates had not provided enough evidence of practical proficiency, and as in the previous cycle there was one case of insufficient understanding of the difference in ethos between conservation and restoration.

The standard of assessment was generally reported as good, although weaknesses were still apparent in a minority of assessors' approaches to questioning and recording. On the whole, assessors were more confident about interpreting the professional standards than in the previous year, and the standards being applied in the field appeared more consistent. The demanding nature of the assessment visits was again noted. More negatively, there was evidence that some assessors were tempering their comments because they were visible to the candidate, leading to some being phrased in hints and inferences rather than in a more direct manner.

Weaknesses were noted in the routes for providing feedback, both to assessors on their assessments, and to candidates on reasons for referral or rejection. Some candidates also felt that they should have a means of providing feedback on assessments to a person or body that was independent of the assessment process, rather than being asked to send comments to the accreditation committee.

The working relationship and communications between the accreditation committees and assessors appeared to have improved from the previous cycle. However, a clearer process was requested for giving initial feedback on 'weak' applications, and giving assessors enough time to read applications and discuss points needing further evidence before making their visits. Some support was expressed for a more formal initial assessment, with the possibility of early rejection for weak applications, before proceeding to the assessment visit.

The professional standards

More detailed feedback was received on the standards in this cycle, and noted for use in the review. In particular, ideas were put forward on how the standards could be adapted to meet the needs of preventive conservators, and more generally how they could be made clearer and areas of overlap eliminated. There was also a suggestion for including an option for commissioning or delegating, managing and evaluating conservation work.

Continuing professional development

An 'uninformed' view among practitioners was still apparent, i.e. that CPD involved attending conferences and training events, and some effort appeared needed to persuade

people that it was broader in scope. As in the trials there was a strong feeling against prescriptive approaches to CPD, and some hostility was encountered from practitioners who saw CPD as intrusive or a form of monitoring. On the other hand, a minority disliked the more open and self-managed approach that was advocated through PACR because it required reflection rather than simply recording. Overall, the balance of opinion was strongly in favour of a flexible, self-managed approach, and practitioners wanted a supportive approach to implementation; it was thought far too early in the development of the profession to consider sanctions, other than perhaps in the case of practitioners who persistently failed to complete reviews (see short paper B5).

Issues of purpose and coverage

Subject to minor changes to the standards, PACR as it was being applied was generally agreed to fit the role of the interventive conservator, but exclude preventive / collections care specialists, conservation managers and advisers who did not undertake work directly on objects, and conservation scientists. The requirement in PACR to undertake conservation according to the ECCO ethic, rather than purely restoration, was agreed; however, there was some uneasiness about how the ECCO guidelines applied to areas such as technology conservation, where an ethic was frequently followed of repair to working standard using period materials and techniques.

Reflecting comments in the previous cycle, the lack of a route for preventive conservators and collections care managers was criticised by several practitioners and stakeholders, including major national organisations whose employed conservators generally do not work directly on objects. This was seen as preventing PACR from representing the profession as a whole, and affecting its credibility particularly in not reflecting the emerging occupation of collections care management. Discussions indicated that the bulk of the professional standards were applicable across the profession, but some adjustments were needed in the areas of conservation treatment and preventive conservation to provide options appropriate for preventive and collections care roles.

The purpose and positioning of accreditation was not entirely clear to all stakeholders. There was still some confusion between accreditation and the Conservation Register, though probably to a lesser extent than had been the case a year previously, and other inaccurate perceptions were apparent ranging from expectations that accreditation would state specifically what kind of objects a conservator was qualified to work on, through to a view that accreditation was an alternative to an academic qualification. The positioning of PACR in relation to professional training and academic qualifications was also not always well understood either by potential candidates or by external stakeholders, and appeared in need of clarification.

Finally, the issue of a conservation technician qualification was raised by some stakeholders. In outline, their argument was that not all practitioners in conservation would be working at the level represented by PACR, or would aspire to becoming professional conservators; acknowledgement of a technician grade (as for instance in engineering and architecture) would open the route to recognising an appropriate qualification, perhaps at or equivalent to N/SVQ level 3, for people who undertook routine conservation tasks in support of professional conservators or to maintain the basic condition of objects.

Practitioners' views of PACR

The practitioner survey (see paper B7) suggested a fairly high level of support for accreditation from practitioners, with a majority of respondents seeing it as beneficial at least at a general level (e.g. in raising the profile and status of the profession) even if not as yet in more specific terms. There was a minority view that was critical or at best ambivalent, with doubts about the benefits or credibility of accreditation particularly in relation to the cost and effort required to become accredited. In some cases negative perceptions and criticisms stemmed from perceptions about the way the fast-track routes had been administered. While the practitioner survey yielded a variety of views from the highly positive to the highly negative, it needs to be treated with caution due to the problem of selective non-response - e.g. the possibility of the non-respondents including a disproportionate number of ambivalent or negative conservators.

External stakeholders

Contact with employers, commissioners and funders of conservators (see paper B6) indicated a reasonable level of awareness of accreditation, particularly among larger organisations and institutions, though also a moderate level of confusion about what it represents. Limited use was apparent in recruitment as a 'desirable but not essential' attribute for senior staff, and slightly more use in selecting conservators for contract work, awarding grants and directing enquiries. Some influential organisations, such as the National Trust, English Heritage and Historic Scotland, were highly supportive and their positive approach appeared likely to be a significant factor in increasing both support for accreditation from employers and demand from within the profession.

There appeared to be a good level of support from employers for staff to gain accreditation, although this translated into paying all the costs in under a third of the organisations contacted. There were some reports of employers paying for established professional qualifications in other fields, but not funding conservation accreditation.

Overall, it was apparent that the promotion of PACR outside the profession had been largely left to word of mouth, principally relying on accredited conservators and other 'champions' to convey the message. Coupled with lack of clarity about positioning as discussed above, this appeared to be resulting in patchy levels of knowledge and support, and a degree of confusion.

Decisions and outstanding issues

Some minor operational changes were planned for the 2002 cycle. These principally consisted of providing additional candidate and CPD 'clinics', and improving the briefing of new accreditation committee members through a period of shadowing. It was also intended to improve assessor training and updating through additional training materials. However, the issue of individual feedback to assessors was unresolved beyond a decision to use the secondary assessor role and appropriate pairings more deliberately to assist new assessors and those who had experienced problems. Further discussion of operational issues is included in sections 5-7 of paper B8.

Improvements to feedback to and from candidates were agreed as being needed, with a tentative decision to look at ways of improving feedback about assessment decisions, and a firmer one to provide a route for candidates to comment on the process that was independent of people involved in assessment. It was intended to notify a more formal route to candidates in the future, probably using the PACR co-ordinator or future training officer.

Finally in terms of agreed developments, a review of the professional standards was agreed for 2002-3, to include urgent attention to the need for a route for preventive conservators and collections care specialists. In practice this is likely to run parallel with the development of a common standards framework as discussed in the next chapter and paper B9.

The positioning and promotion of PACR were also acknowledged as needing attention, but no decisions were made by the end of the third cycle, again partly because of the developments described in the next chapter.

1.6 Towards a common accreditation framework

As described in chapters 1.1 and 1.3 there was some disappointment that the development of PACR, backed by the Conservation Forum and later NCCR, did not result in a common accreditation framework across the whole of the conservation profession. The Joint Accreditation Group was partly a response to the failure of the Conservation Forum bodies as a whole to reach agreement on accreditation, and its approach was necessarily to drive ahead and develop a scheme acceptable to its three members, arguably the three most influential UK conservation associations. Nevertheless, there was some anticipation that other organisations would become PACR accrediting bodies once the scheme was established; so far, there has been ongoing but unrequited interest from SSCR, and BSMGP closed its accreditation scheme in 2000 in favour of members gaining access to PACR via UKIC. Some features of PACR were also incorporated into the BAPCR (formerly ABPR) accreditation system during its revision in 2001, and less formally into ICHAWI accreditation.

During 2002 NCCR was given new impetus by the desire among member bodies for a more coherent conservation profession, and the appointment of a new chair (Carole Milner, formerly of the Museums & Galleries Commission and previously a paintings conservator and restorer in private practice). A meeting was held in March 2002 to discuss ways forward, and one of its main outcomes was a commitment to exploring the possibility of setting up a new unitary conservation institute. One of the areas identified for early attention was the feasibility of a common accreditation system.

Process and objectives

Following discussion with the chair of NCCR, I agreed to take on a short exploratory assignment initially in a voluntary capacity to act as a co-ordinator and 'honest broker' to identify issues and propose an action plan to work towards a common system. In brief this involved discussion with representatives of the 'non-PACR' accrediting bodies within NCCR (BAFRA, BAPCR and ICHAWI, and later the British Horological Institute, BHI); assembling comparative information on the five accreditation systems; leading a focus meeting on 22nd May 2002; and producing a short report outlining a way forward (paper B9).

Previous discussions had indicated two or possibly three key areas that had led to PACR being an unacceptable substitute particularly for the BAFRA and BAPCR systems, and potentially also for BHI. These were:

- (a) The use of the BAFRA system in particular to serve the purpose of a trade register as well as a professional qualification. BAFRA accreditation was only open to business principals, and included assessment of business practice and studio facilities as well as practical proficiency and professionalism of approach.
- (b) The discipline-specific nature of the BAFRA and BAPCR systems, lending themselves to more detailed assessment criteria, versus the necessarily generic criteria needed in PACR to cover a wide range of conservation specialisms.
- (c) Potentially at least, differences in approach between restoration and conservation (although in theory all three bodies accepted the principle of restoration being carried out within a conservation ethic).

Given the potential for disagreement around the operational detail and assessment standards of current systems, the focus of discussion needed to concentrate on common ground between different associations, and seeking higher-level principles where there were major differences. My specific objectives for the exploratory phase were to:

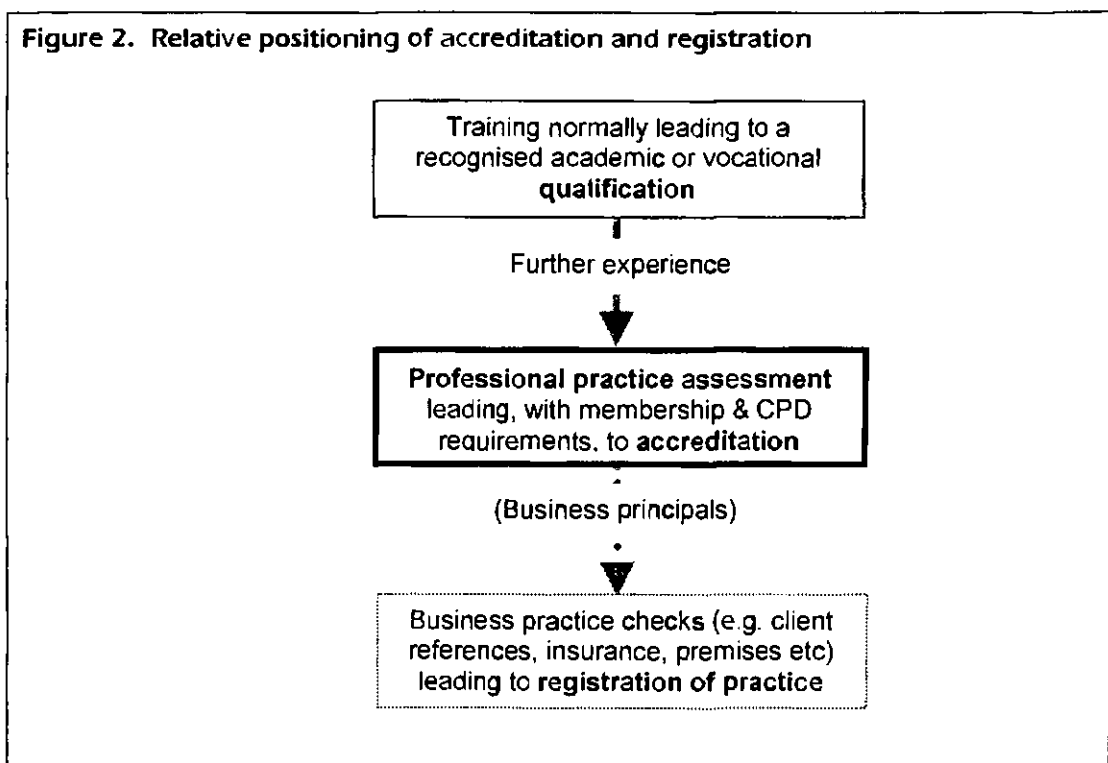
- Reach agreement on an accurate representation of the current accreditation systems.
- Identify the main things that the conservation / restoration community needs to achieve through its accreditation framework (including any requirements specific to particular parts of the community).
- Develop the basis of a specification for meeting these needs, along with an action plan for achieving it within a timescale acceptable to NCCR and the member bodies.

Discussion points

The exploratory meeting and associated work was able to agree on key points of difference between current systems, and reach agreement on requirements for a common framework and actions to meet them (see paper B9). A framework rather than a system was emphasised partly to enable the individual bodies to retain control of their schemes pending the results of discussions on a single institute, and partly because it was recognised that seeking commonality of operational detail would be a step too far too soon. A common framework was seen as being able to support a single public-facing designation such as 'accredited conservator-restorer' with broadly comparable standards across the different conservation specialisms, while allowing the accrediting bodies to gain confidence in each other's schemes and grow towards a unified system. It was particularly positive

given the profession's history of fragmentation that this was embraced regardless of whether or not a single institute should be formed.

Key areas of discussion included the relative functions of accreditation and registration; the coverage of the framework; professional standards; assessment systems; and cost structures. The distinction between accreditation and registration was not made in all of the participating bodies, and as previously noted in BAFRA a single system performed both functions. Agreement was reached to make a distinction between personal professional qualification and registration as a practice or a business principal, even if some schemes would provide an assessment for both where it was relevant; figure 2 summarises the relationship. Similarly, there was prompt agreement on coverage spanning collections care managers and preventive advisers to 'hands-on' restorers, provided the latter worked from a conservation ethic. While this has been surprisingly straightforward to agree, it has not provided a great deal of practical help on where the boundary falls between a professional conservator-restorer and a craft repairer-restorer.



The main tension relating to the professional standards concerned the stronger emphasis given to practical skills in the BAFRA and BAPCR schemes, compared with a fairly general statement in PACR. Discussion suggested that this did not mean that less stringent practical standards were being applied in PACR, but they were not made explicit and more was left to the interpretation of assessors. A debate in PACR whether to develop discipline-specific checklists was recalled. This issue was eventually resolved in favour of enabling specialisms to retain detailed criteria if they wished, without making them a requirement across the

profession. This solution appears pragmatically sensible in that it enables a common standard to be agreed while also meeting specialist needs and retaining the confidence of communities who wish to retain with detailed criteria.

It was agreed as being too early to bring together the different assessment systems, although some common principles and practices were identified that could be applied to all. Common assessment standards and ideally practices were seen as a fairly high priority to achieve initially through benchmarking and guidance, with later extension into common assessor training and a single pool of assessors. The next stage would logically be a common approach to assessment, bringing the framework schemes much closer to a single accreditation system.

Finally, a wide discrepancy in fees and to a lesser extent membership costs was noted, partly due to the fact that in PACR assessors were paid while in the other schemes they were voluntary (the situation in PACR was largely at the request of potential candidates, who wanted assessment to be done on a professional basis with assessors contracted to their professional body). The specialist schemes and PACR would be in competition probably until a common system was agreed, as candidates would continue to make judgements in terms of cost, perceived ease of achievement, and likely benefits; this would be unlikely to be resolved within a common framework until cost structures and assessment processes had been harmonised.

The common framework

The exploratory discussions resulted in a basic specification for a common framework, and a proposal to put it into operation by spring 2003. In association with this I was asked to produce a proposal for facilitating the development of the framework. The framework specification can be thought of in two parts, a relatively straightforward statement of principles and more detailed work on standards and practices. An initial framework document, with a target date of September 2002, will cover:

- A common designation (such as ACR) in addition to membership designations, with recognition of previous accreditation by the participating bodies
- Confirmation that the framework is concerned with personal accreditation (professional proficiency and basic professional management), while allowing participating bodies to add on an assessment of business practice and studio examination where it is desired to cover registration at the same time
- A statement of coverage, i.e. the conservation-restoration profession as defined by the conservation ethic and possibly a statement about level of practice

- Possibly entry recommendations or minimum standards in terms of length and level of experience
- Essential requirements for codes of practice and ethics, and continuing professional development
- Principles of assessment - such as fairness, transparency, validity, robustness and the presence of systems and practices to ensure that these are adhered to in practice.

The work on standards and practices aims to produce two main operating documents. One is a professional standards framework, expressing at an outline level what needs to be achieved by all accreditation candidates (with the possibility of different emphases, or a 'core-and-options' structure, to accommodate for instance the difference between interventive and preventive conservation, for instance as illustrated in table 1 at the end of chapter 1.7). The other is a joint accord on assessment, setting out agreed means of working towards common standards and practices.

Alongside these developments I recommended a change to the accreditation committee structure within NCCR, so that what is currently the Professional Standards Board (see figure 1 in chapter 1.1) becomes a standards council for the common accreditation framework, and its specific responsibilities for PACR are transferred to the PACR co-ordination committee. This change will also streamline the management of PACR and go some way to meeting earlier criticisms about the duplication of committees.

The current situation

At present there is a strong nucleus of support for a common accreditation framework, and potentially for a common institute, from within the PACR bodies, BAPCR, SSCR and the two Irish associations. These organisations share a similar conservation ethos, and any differences about common working are likely to be at an operational level. A common institute, or closer working between the present bodies, is also likely to be supported in principle by the photographic materials and natural science conservation groups, as well as the preventive and collections care fora. Whether BAFRA and BHI will maintain wholehearted support for movements in this direction remains to be seen, as they operate to some extent as trade organisations and may find that they lie partly outside the emerging definition of the conservation-restoration profession; of the groups involved in the 22nd May meeting they expressed the greatest reservations about moving towards a PACR-type accreditation system. A major issue for both these organisations is access to the Conservation Register for their members, and this could be resolved without a need to join the common accreditation framework.

While there are no organisational barriers to a common accreditation framework, a single institute would present problems for BHI and SoA because only part of their membership work in conservation, and potentially for ICHAWI and IPCRA because they span both Eire (where the majority of the membership is located) and Northern Ireland. The SoA has a Preservation and Conservation Group as distinct from the main body of archivist members, while within BHI a proportion - thought to be a minority - of members undertake conservation or restoration work, but are not distinguished by belonging to any particular group. Both cases suggest either an affiliate arrangement, or risk a situation where archive and clock conservators may feel obliged to join (or choose between) two organisations.

Regarding the Irish dimension, in principle there is no reason why the posited single institute could not be a British and Irish body. While only a minority of professional bodies cross the border, the reasons for not doing so are generally historic or administrative (e.g. different legislation and practices affecting accountants, lawyers, surveyors and so forth) rather than political. An essential criterion for a British and Irish institute would be the maintenance of national identities within the new body, something that is also an issue with Scottish members. A favoured model that would meet this need involves members being able to choose national or regional, specialism-based and other special interest groupings within the single body, so that for instance one member might elect to join the Scottish, paintings and private practice groups, and another the Southern England, ethnographic, and collections care groups and the group for prospective accreditation candidates.

1.7 Implications and issues for conservation

The development of PACR has accelerated the need to come to a clearer definition of conservation as a profession, and improve its coherence in the eyes of the public. It has also brought to the fore a number of further issues concerning both the wider profession and matters of implementation. This chapter summarises issues current for the profession and for PACR as at the end of May 2002, outlining key conclusions, learning points and questions that can be drawn from experiences up to this point.

Further discussion of some of the issues outlined is provided in the articles in annex A, particularly in papers A2, A5, A7 and A8, and in my final report on PACR, paper B8.

The nature of the profession

The conservation profession can currently be described as not particularly well-defined, in that there are significant grey areas both in terms of level-related roles (e.g. the conservation technicians issue) and boundaries with related activities (e.g. restoration, conservation-related craft work, conservation-related science, and the work of conservation architects and other buildings professionals). Within the core of the profession itself it appears that practitioners' understanding of conservation roles and specialisms different from their own is not always good, as illustrated for example by the lack of attention given to preventive specialists during the development of PACR. Though conservation is frequently described as a naturally conservative profession, it is nevertheless undergoing change particularly in the way that roles are organised and the care of historic and artistic works funded, and new roles - such as that of the collections care manager - are emerging. This dynamic is not always appreciated across the profession, and there can be a tendency on the one hand for academically well-qualified or managerially-oriented conservators to fail to recognise the significance of craft skills and artistry in other parts of the profession, and on the other for more practical conservators and restorers to be critical of preventive specialists who do not have 'hands-on' experience.

Particularly given recent moves to work towards a more coherent conservation community and potentially a single professional body, there are a number of issues that need to be addressed if the profession is on the one hand to be sufficiently inclusive, and on the other to be clear enough about its boundaries to enable associated professions or communities to emerge as distinct. Issues currently facing the conservation community in terms of definition and positioning include the following:

Providing adequate recognition for the growing community of preventive conservators, preservation specialists and collections care managers. This includes recognition that preventive conservation or collections care will form the academic training and primary career of many conservators who enter the profession in the future. As a consequence the assumption that all conservators work in an object-based specialism (cf the UKIC specialist sections) and achieve proficiency in restoration or interventive conservation before moving on to advisory or managerial work is not tenable. Recently, NCCR has accepted that preventive and collections care specialists are an integral part of the profession, and future developments are likely to see them included on an equal basis in new membership and accreditation structures.

Differentiating professional conservation, as defined for instance by the PACR standards or ICOM-CC, from conservation work that is too limited in scope to qualify as being of full professional level. This principally concerns the issue of conservation technicians, who have in many respects been ignored in a dominant view that sees all conservators as full professionals, or potential professionals. While the technician status and salaries afforded to professional conservators by some (particularly smaller) institutions is rightly being challenged, this should not prevent recognition that there are practitioners in conservation who perform necessary functions at what might be considered technician level. While some of these may wish to progress to becoming professional conservators, this cannot be used as a reason to hide the presence of conservation technicians or craft restorers.

Clarifying the relationship between conservation and restoration. Both the revised ECCO definition of restoration (ECCO 2002) and emerging agreement in NCCR indicate that the conservation-restoration profession includes restorers who are knowledgeable about conservation principles and adopt a conservation ethic in their work. However, this may not be enough to clarify the boundary between craft repairers and restorers and conservator-restorers, and it is unclear whether the ECCO definition encompasses accepted approaches to restoration in the engineering and technology sectors. It is likely that the boundaries of the profession in this area need to be worked out in practice as much as through professional standards and definitions.

Finally, there is a question of other professions and crafts where some practitioners specialise in conservation-based work. This includes a wide range of craft occupations from metalwork and carving to thatching and stonemasonry, as well as professions such as architecture, surveying and the sciences. A clearer notion of the boundaries of the conservation profession may assist in locating these people as conservation specialists within their own crafts and professions, rather than as quasi-conservators. In this respect a distinction may usefully be made between the conservation *profession* and the wider conservation *community*.

The role of professional practice assessment

Both the development of PACR and the initial comparison of accreditation systems used within NCCR indicate that professional practice assessment in conservation is being expected to fulfil a number of roles. On the one hand ACR status is being regarded as a stand-alone professional membership qualification, particularly by otherwise unqualified practitioners. On the other, a more widely-held view appears to be that it is a confirmation of practical and professional ability that is taken some time after initial training, serving as what in a fully regulated profession would be final assessment before registration or licence to practise; while there are some differences in function between PACR and the professional practice examination in architecture or surveying, the analogy is a useful one in this context.

As described in chapter 1.6, BAFRA and BHI accreditation also involve approval of the practitioner's studio or business, and in the other schemes the distinction is not universally understood between practice registration and personal accreditation (or qualification). The view among the PACR validating bodies has moved towards seeing accreditation as a professional practice qualification, with the trade registration function being operated separately but requiring accreditation as a prerequisite (both in the form of the Conservation Register, and IPC's registration scheme where ACRs who undertake private work can have their details passed to enquirers). This lack of clarity about purpose has undoubtedly hampered the promotion of professional accreditation, although it appears to be moving towards resolution in the development of the common accreditation framework.

In the longer term, the possibility of conservation becoming a more formal, possibly chartered, profession needs to be considered. Both in putting forward a case for external recognition and in establishing parity with professions such as architecture and museums management, it will be helpful for conservators to clarify any necessary academic foundation to their profession, as well as maintaining a robust and explicit gateway operated by the professional association(s). Allied to the increasing tendency for conservation to be a graduate profession, this supports the view of accreditation (possibly with another name such as professional practice assessment) as a post-graduate, post-experience final entry-gate to being regarded as a professional conservator. This doesn't rule out non-graduate 'exceptional' entry routes, but it does provide a benchmark for the academic standards expected in the profession, in agreement with current directions across Europe.

Alongside this, as discussed in paper A8 it is likely that the professional organisation(s) will need to have greater involvement with educational institutions and influence in the development of courses. It may be feasible to develop course validation procedures, but

the experiences of other professions in this area suggests that while universities are generally happy to collaborate with the practitioner community, this does not always extend to accepting an approvals procedure even in well-established professions such as architecture and surveying; less formal arrangements including the presence of practitioners on course committees may be more constructive. Part of this role will also need to extend to encouraging the provision of appropriate routes for experienced practitioners and mature entrants, for instance based on accreditation of prior learning, work-based learning and part-time provision.

Professional standards and criteria

The professional standards used in PACR were not well-researched, and were adapted from pre-existing sources with my input from a qualifications and assessment perspective, and the input of the JAG committee from a conservation perspective. In some respects they have been the least satisfactory component of PACR, although ways have been found to work around the problems that have been encountered. As outlined previously some flaws came to light during the second and third cycles of the project, both in terms of detail but more critically in the assumptions that the standards make about practitioner roles.

Further standards development - whether within PACR as at present or in a common framework - could take one of perhaps two approaches. The more costly but thorough option, arguably what was needed at the outset, is to carry out primary research into what conservators actually do and the things that are critical to professionalism and quality - both from practitioners' perspectives and those of other informed stakeholders in the conservation process. This inductive approach has the advantage of enabling the standards to match better with real conservation roles, and focus on critical aspects of practice rather than factors that are assumed to be important at focus meetings. If existing standards are put aside during this exercise it also enables practice and roles to be looked at anew, without research participants being steered by current representations as would happen in a consultation exercise. On the other hand, it can be argued that much of the intelligence needed has already been gathered from the accreditation cycles, and coupled with input from practitioners familiar with PACR and the other accreditation systems (and from volunteers from the preventive and collections care fields) this will enable a much more acceptable and usable set of standards to be produced. In effect this parallels what has taken place with many occupational (NVQ) standards: while early examples of development sometimes appeared to pay little heed to the realities of practice, subsequent reviews have been able to draw on implementation experience and create more usable sets of criteria. The downside of this second approach is that it can be less easy to break free of the structure set by the existing framework.

The discussions around a common accreditation framework have suggested a need, initially at least, for a common standards framework that can be fleshed out by the accrediting bodies (or practitioner communities, in a single institute) to meet their specific needs. This is likely to provide an opportunity to step back from the level of detail currently used in PACR, and separate out general standards from detailed assessment criteria. It should also lead to a more practical discussion around the level of comparability that is actually needed, and where this is best achieved through specifications and where best through developing common understandings among assessors and more widely in the professional community. A summary of a possible standards framework is given in table 1 at the end of this chapter.

Assessment strategies

The approach to assessment taken in PACR has several positive features, including the relatively small amount of unproductive work it places on candidates, its validity for assessing products of work, and its potential robustness particularly in the sense that it would be extremely difficult for a candidate who is not proficient to bluff his or her way past the assessors. As described in paper A4 there are advantages over the portfolio-based approach that is widely used for NVQs, particularly in terms of speed, validity and effectiveness. Nevertheless, the three sets of PACR assessments that have taken place to date indicate that there is room for improvement, particularly in simplifying the process; the imminent extension of the accreditation framework to preventive and managerial conservators also suggests that there may be merit in using a wider range of assessment methodologies. In particular, there are likely to be benefits from altering the emphasis in the application document so that candidates are asked to focus on work activities and projects, and see the professional standards simply as assessment criteria rather than using them to shape the application.

Robustness is particularly important in practice-based assessment. A robust assessment decision makes a confident and trustworthy statement about what the candidate knows or can do. This requires clarity about what is being assessed, validity of assessment criteria and methods, and consistency of application. PACR appears reasonably strong in all these areas, although there have been some queries about consistency particularly in the early assessments. In a one-off site-based assessment the quality of the assessors' judgement is more critical compared with portfolio-based systems where the primary assessor makes several judgements over a period, and the candidate has time to present new evidence and make up for deficiencies. Effective assessment in the situation represented by PACR requires assessors to be highly competent and professional under pressure; it also requires an effective quality assurance and moderation system.

In practice, one of the main keys to consistent and fair assessment is that assessors apply common standards and interpretations, and these are communicated clearly to candidates. Experience to date suggests that standards are emerging in practice through discussion and agreement between the assessors, and as they gain more experience they feel less need for additional criteria or written information to guide their judgement. This broadly agrees with experience in other work-based assessment contexts (see for instance Wolf 1993 and Winter & Maisch 1996), and points to the importance of means for enabling assessors to share experiences and reflections as a community of common practice. Given the national organisation of conservation assessment, this creates more challenges than in most educational institutions or NVO centres, but it may be overcome by various means such as electronic discussion groups, an annual review as at present, and specific benchmarking exercises to compare assessment standards within and between conservation disciplines.

This issue of practical consistency also applies to accreditation committees. In PACR, the role of the committee evolved from the need to separate out accreditation decisions from the assessment process, and provide a moderation function. As has been described this critical role was not handled as well as it could have been in the initial stages of implementation, and dialogue and exchange between assessors and accreditors will be critical to ensuring that the system operates smoothly and does not contain surprises for candidates.

There is no facility for physically monitoring assessments in PACR, and assessors are not themselves assessed as they would be in the NVO system. In Ireland, ICHAWI accreditation includes three assessors as a matter of course, one being an 'external' from outside ICHAWI (usually from mainland UK). While the costs of additional personnel need to be considered carefully, a monitoring system is likely to have benefits both in inducting new assessors and maintaining an occasional check on established assessors, particularly if problems are reported. As the framework becomes more established it may be appropriate to revisit the question of assessor qualifications and agree a common standard similar to the 'D-units' taken by NVO assessors, possibly with external validation.

Candidate support

At present, PACR (along with the other conservation accreditation systems) stands separate from the initial education and training of conservators, added to which some candidates are long out of their initial development. Along with the potentially unfamiliar nature of the scheme this means that appropriate induction and support are proving critical in helping candidates prepare for assessment. Recent experience suggests this is hindered by the relatively small number of conservators who have qualified through PACR, took part in the trial, or are assessors, compared with a much larger number who experienced the fast-

track procedures and may have limited or inaccurate knowledge of how accreditation now works.

At least three factors point to a mentoring system as being the most suitable way forward to improve candidate support. The geographical spread of PACR and relatively small number of candidates makes it difficult for all potential applicants to get to workshops, and in any case these can only be expected to answer initial queries or explain the scheme; more practical queries are likely to arise as the application is completed or assessment visit approaches. Candidates may also have little or no contact with other potential or recent candidates, although this might be improved through a voluntary distance network. Finally, the one-off nature of the assessment means that the assessor cannot also act as the candidate's adviser, as happens in higher education and often also with NVOs. As the number of practitioners accredited through PACR increases, it will become more feasible to introduce formal mentoring. Similarly, a wider pool of assessors will enable some assessors to act as mentors with less risk that a critical assessor becomes unavailable to take on an assessment because he or she has been guiding the candidate.

In the longer term and as professional accreditation exerts more influence on conservation students and early-career interns, preparation for PACR might usefully be seen as starting with practical training within conservation courses and extending through a more structured way in internships and through a continuing mentoring relationship into the early stages of more independent practice. As in many established professions, in this scenario the professional standards will form a benchmark that would-be practitioners will become aware of through university or college, and view as the standard for achievement at the end of the initial development period. While this ambition is frustrated by the shortage of good internships and training posts, echoing to an extent Jagger & Aston (1999), it is likely to be profitable if pursued through persuading employers and funders of training to agree to a basic set of standards for interns and other conservators at the start of their careers.

Returning to practical concerns, more effective ways might be sought of assisting candidates to self-assess relative to the professional standards. Simply providing would-be applicants with a set of PACR criteria does not appear particularly effective, both because of the problem of the standard that actually applies in practice, and the somewhat abstract language used. The Dreyfus novice-to-expert model (Dreyfus & Dreyfus 1984) has been well-received by potential candidates as it moves attention from 'yes / no' decisions to considering levels of practical ability. More work might usefully be directed towards developing a tool to help candidates self-assess against the standards, and to get unbiased feedback from colleagues.

Continuing professional development

As previously described and outlined in paper A2 and document C5, the profession has taken an approach to CPD where practitioners manage their own development and may be asked for a review at intervals. It has also taken a brave and perhaps questionable decision in asking all accredited members to submit CPD reviews in a single year; although events about CPD have been held for at least the last four years, evidence suggests that the idea of self-managed continuing development cannot really be said to have permeated through the conservation community. Informal discussions as well as the workshops in 2001 (paper B5) indicate that many think of CPD as primarily about attending courses and other 'formal' learning activities, and there is some resistance to the reviews as impositional. In the light of this, the CPD recall may be effective in getting the message across to members and enable appropriate advice and support to be given, although it also runs the risk of creating alienation.

While the conservation associations' CPD policy is clear in not being course- or event-based, courses, seminars and other events nevertheless do play an important part in the ongoing development of many conservators. New practical techniques may be difficult to acquire other than through practical demonstration and training, and many practitioners value the exchange of knowledge, experience and ideas that occurs at physical gatherings. While there are fairly frequent events in large communities of practice such as London and Edinburgh, as well as at some teaching institutions, the small size and fragmented nature of the profession makes regional events difficult to organise. A single institute or more collaborative approach between the various conservation and restoration bodies may improve this situation to an extent, although the number of specialisms in conservation make it less easy to tackle than in similar-sized but less diverse professions.

The issue of continuing development supported by qualifications is raised in paper A7. At present, few conservators appear to be taking further qualifications beyond their initial training, although there is a small enrolment on research degrees in the major institutions and a small amount of activity based around awards in fields related to career progression, such as heritage or general management. Opportunities for future developments appear to be in two main areas: providing non-graduate practitioners with a means of gaining a degree-level or postgraduate qualification in conservation, either based largely on existing knowledge and skills or as a means of further development (e.g. from studio-based training or awards such as HNDs), and providing experienced conservators with a flexible vehicle to assist development in an area of interest or career progression. The first requires more innovative approaches on behalf of the universities involved in conservation, possibly in partnership with practitioners and employers, to develop ways of accrediting existing knowledge and competence and offer development routes alongside work. The latter is

arguably already available in the form of negotiated work-based learning awards, but it will require the involvement of conservators (and others such as art historians and conservation scientists) as tutors or mentors to support projects in specialist conservation fields.

The future

Conservation is currently at a critical stage of development in that it has progressed some way along the route of establishing itself as a profession, but still has some essential and in some places heart-searching work to do in order to achieve the kind of credibility and coherence that is being sought. The present state of fragmentation is hardly tenable, and while there may be good reasons for a minority of conservation and restoration bodies to remain independent, the need either for a single conservation institute or at the minimum for a single public-facing organisation is paramount.

In defining itself as a profession that is understandable to its stakeholders, conservation will face some difficult choices about where to draw its boundaries. At present the groups with potentially the most to lose are not the larger conservation bodies, but small specialist organisations such as BAFRA and possibly BAPCR that have established a strong niche presence in their particular markets. The solution that is adopted needs to avoid undermining these relationships, while not allowing them to hold back developments or detract from the good of the profession as a whole. In resolving this issue, the profession needs to avoid setting its boundaries so tight that it excludes good practitioners for instance because they don't have academic credentials, but at the same time avoid attempting to accommodate without distinction a loose coalition of technicians, craftspeople, scientists, restorers, conservators and managers in such a way that it loses any chance of being regarded as a credible profession. Whatever definition is chosen, some groups will find themselves on the outside, and this should be acknowledged and stated publicly so that they can retain or find appropriate groupings for their specialisms; this distinction between *community* and *profession* is positive and should allow different groups to emerge on equal terms and in ways that are intelligible to laypeople.

While the current consensus on a common accreditation framework is highly positive, this must evolve into a common system if the vision of a coherent profession is to emerge. This does not mean a 'one size fits all' set of criteria and assessment processes, but a single entry-point and set of administrative procedures and governing practices within which there may be different options (such as conservation-restoration treatment, preventive conservation and collections care) and possibly different levels (such as technician and full professional).

As previously discussed the profession will also need to take a more active role in courses and entry-routes now that the majority of new conservators are entering through higher

education. A clearer pattern of qualifications and means of gaining early-career experience needs to emerge, and while resourcing suggests this may only happen slowly, there is room to develop preferred or recommended models and use them to influence the employment market. The danger of narrowing entry-routes needs to be addressed, and parallel or integrated routes (see paper A7) developed alongside the more conventional sequential routes. While it is gradually becoming accepted that the conservator qualifying in the 21st century will need to be both a graduate and professionally accredited, a diversity of routes are needed for attaining both qualifications.

In terms of practitioners' ongoing development, the profession needs to move to a situation where ongoing development is endemic across the great majority of practitioners, rather than seen as a separate activity called 'CPD.' This suggests a more facilitative approach to development that provides added value to practitioners, rather than merely monitoring self-managed processes. The profession will need to retain a right of monitoring, but it should become a fall-back position rather than the main driving-force for development activity. It is likely that regional and specialist networks, mentors, courses and conferences, electronic resources and award-bearing programmes will all have a part to play in this process.

Finally, while current moves towards a single institute are welcome, the profession will need to continue its development beyond this into playing a more open and active role in the wider conservation and cultural heritage communities. Future developments that need to be explored include an alliance of professions across the heritage sector, and a standing conference of heritage organisations, including the major public and voluntary agencies in addition to the professional associations. The infrastructure for an international conservation community is already fairly well-developed, and assuming the single institute does come into being it will need to take an active role in the development of this community. The conservation profession in the UK and Ireland has made some quite significant advances in the last five years, and once it has agreed a more coherent mode of organising it will be in a strong position to enter into a constructive dialogue with the relevant communities nationally, in Europe and internationally.

Table 1. Possible common framework for professional standards in conservation-restoration.

Assessment of objects and collections	Conservation plans and strategies	Conservation-restoration treatments	Preventive measures	Organisation and management	CPD and learning from practice	Professional judgement	Ethics and values	Communication
CCM report on collection / groups of objects (condition, needs, priorities)	CCM strategy and plan for collection	CCM evaluate work	CCM overall monitoring of collection	All manage workflow, time, projects; manage health & safety	All self-managed CPD to ensure good practice; investigation prior to new treatments or projects;	All general conservation principles; depth of understanding of areas of own practice;	All common C-R ethics; legal obligations; responsibility to objects;	All written records and reports; communicating conservation principles to lay & expert audiences
PC report on object (condition, environmental requirements, essential treatment)	PC plan for object or collection	PC none	PC recommend / set up and monitor; advise on care; advise on access, handling and transport	Plus either organisational or contracting procedures Or commissioning procedures	reflection and learning from work; disseminating knowledge	critical thinking, analysis, solutions; limits of own abilities	responsibility to employer / clients / colleagues; respect for cultural & historic context; handling value-conflicts	
C-R report on object (condition and options for treatments)	C-R plan for object	C-R practical treatment, records and reporting (skills as required by specialism, observation of conservation ethic)	C-R advise on aftercare; advise on or prepare for handling & transport					

CCM = collections care manager, PC = preventive conservator, C-R = conservator-restorer

1.8 Learning points: professions and qualifications

The PACR project and associated professionalisation process has raised some issues that are relevant to other occupations that are in the process of professionalising or setting up (or reviewing) qualifying frameworks, as well as to the design of competence- or practice-based qualifications. This chapter briefly examines some of the points emerging from the PACR project in the areas of professionalisation and professional accreditation, continuing professional development, and qualifications. Relevant issues are also discussed in papers A5 and A8 (professionalisation and accreditation), A2 (CPD), and A4, A6 and A7 (qualifications).

Becoming a qualifying profession

Although the context of conservation and its accreditation and professionalisation project are idiosyncratic in some respects, most obviously in the number of specialisms and associations present in the field, there are several areas where PACR and the wider professionalisation process offer learning points relevant to other occupational groups.

Accreditation

The PACR project is an example of a small and relatively poorly resourced profession establishing a credible qualifying process that is expected to have a significant impact as it gains momentum. It has been able to do this relatively quickly and efficiently because of several factors, few or none of which are peculiar to conservation:

- The method of accreditation chosen sits at a point of leverage where a qualifying process can be operated relatively simply by practitioner associations without recourse to external bodies or institutions, and without the expense or resources required to set up educational programmes. As a professional practice assessment, it is not in competition with established university or college qualifications.
- There is no relevant external regulatory framework in the cultural heritage field - as would apply for instance in healthcare or education - that limits the range of options available to practitioner bodies.
- The practitioner community has on the whole been fairly quick to see the benefits of a professional designation that is separate from and complementary to academic qualifications or practical training.

- There has been backing from external stakeholders and major client bodies, principally in expressing support for professional accreditation and to a lesser extent backing this with practical actions relating to funding, contracting and supporting staff.
- Accreditation has been developed, and is owned, by practitioner bodies alone - it is not subject to the policy dictates, funding or timescales of other organisations such as occupational standards-setting or awarding bodies, or universities.
- Sufficient resources were available to develop and operate the accreditation scheme, principally in terms of volunteer time and office facilities but also sufficient funding to cover expenses and engage expertise from outside the profession.

The appropriateness of professional standards and practice-based assessment also relates to how the profession wishes, and is able, to define itself. The development of PACR is having a significant impact on conservation because, among other things, in asking the question 'who is accreditable' it is requiring a more explicit understanding of what constitutes conservation as a *profession or occupation*, as opposed to a work function. This in turn is requiring boundary issues to be examined, and it is forcing the conservation community to address tensions such as those between craft and academic traditions, technical and strategic approaches to practice, different guiding ethics, and different conceptions of level or accomplishment that arise from them.

The use of standards-based accreditation as a qualifying process may not be suitable for professions where there is more than limited diversity in what practitioners actually do. A standards framework only 'works' if it is sufficiently close to what goes on in practice, as illustrated by the difficulty treatment-oriented and preventive conservators had meeting the preventive and interventive PACR standards respectively. Because meeting the requirements of a standards framework depends on candidates being engaged in the appropriate functions, more diverse professions are likely to find a PACR-type framework difficult to construct or implement; for a discussion of this in training and development, see Paton & Midgley (1993). In these areas it is undoubtedly easier to base qualifying on diploma-type awards that assess a programme of learning, rather than on assessing practice; this fairly traditional approach has recently been adopted, for example, by the Institute of Training and Occupational Learning (ITOL) and the Institute of Horticulture (IoH) in their first ventures into becoming qualifying associations. However, this is not the only alternative available and a more innovative approach has recently been adopted in the area of communications distribution design, where CableNet Training Services and Anglia Polytechnic University have set up a negotiated, work-based degree that provides flexibility while retaining a focus on practice.

Where a standards-based approach is appropriate, the PACR project offers some learning points that are likely to be useful to would-be accrediting associations. The need to develop appropriate and manageable standards (as yet only partly achieved in PACR) has been discussed in the previous chapter and in paper A1, and PACR also provides an example of direct or workplace-based assessment, as opposed to the portfolio-based approach common in most higher-level NVOs (see papers A3 and A4). Beyond this, the profession might look critically at the kind of standards that are appropriate to its context, particularly in relation to what they need to capture and how they relate to professionalism, capability and the development of expertise and extended professionalism (there is further discussion of this in the final part of this chapter).

Finally in considering the relevance of the PACR model, accrediting associations might examine whether it is more appropriate to assess practice in a single 'snapshot' as is done in conservation, or over time perhaps as the candidate progresses through a structured training scheme or experience with an approved firm. The one-off approach has the advantage of being open to candidates largely regardless of their workplace or training, and compared with schemes that are operated over time it is likely to be more impartial and perhaps more searching; it can also be applied some time after the candidate has moved on from supervised experience, and therefore require a higher standard of proficiency and professional capability. However, where there are less barriers to assessing over time, there is more opportunity to build up an ongoing picture of strengths and areas for further development until a satisfactory profile emerges, and guard against the selection of good but one-off work for assessment.

Entry routes and diversity

An issue concerning professional induction and qualification as a whole, relevant to the majority of professions, is how development and qualification routes affect the base from which practitioners are drawn, the diversity of the profession, and its ability to respond to change. This issue has been discussed to an extent in paper A7, but is worth further comment here. At an explicit level, the way the profession defines itself - including through any required entry routes and professional standards, as well as codes of practice and ethics - immediately influences its nature and diversity, so that at a simplistic level it might have an ethos that is for instance craft-based, technical, managerial, research-oriented, or reflective. The tensions between the more academic end of conservation and craft-based restoration, and between 'practical' conservation and collections care management, are part of this.

Less obviously, entry-routes can also restrict the practitioner-base according to criteria other than ability and vocation. For instance, requiring a long period of full-time higher

education is likely to mitigate against poorer school-leavers, mature entrants and those who wish to progress from technician or similar jobs. While this is visible in conservation because of the current diversity of entry-routes, it is also an issue in professions that have well-established entry-routes; as an example, there are significant barriers to progressing from HND-qualified architectural technician to becoming a graduate architect, or for that matter to moving from nurse to medical practitioner. As well as issues of access and fairness, the kind of 'homosocial reproduction' (Kanter 1977) that can result from limited entry-routes may result in a convergence of perspectives that blunts the profession's ability to evolve and respond to change.

Proposals in Europe for entry to conservation to require four or five years' full-time higher education fail, as do many professions, to recognise the diversity of modes of study now available in higher education (at least in the UK), or to separate the required qualification from the route taken to achieving it. While there are logistical and resource problems associated with setting up part-time or work-based programmes particularly when they need to cover practical skills, these developments open the way for professions to diversify their entry routes without compromising their entry standards. Given the potential for flexibility that is now available, there is little excuse for even the more traditional professions not to widen access to qualifying.

Professionalisation: principles and limits

A number of general principles emerge from the conservation experience that appear relevant to any process of professionalisation. First, it needs to be asked what the purpose of the profession is - what functions it fulfils and what its vision is for the area of responsibility it is claiming - and from there ask what attributes it needs to take on to be eminently fit for this purpose. This will also suggest how the profession might seek to engage with its socio-economic, legislative, political, environmental and other wider contexts, as well as with its immediate operating context represented by employers, clients, related occupational groupings and other external stakeholders. If it is to have meaning beyond providing a service to members, the professionalising occupation also needs a sense of identity based on a requisite definition of things such as scope, level and coverage of practice. This needs to strike a working balance between coherence and flexibility, so that it is clear enough to an outside stakeholder what the profession is, but the boundaries are not drawn so rigidly that they work against appropriate diversity and evolution. Related to this, the profession needs capacity to evolve in an uncertain future, so that it can accommodate emergence and growth including in the form of new perspectives, directions and specialisms. Finally, there is evidence that to achieve these things the profession needs to accommodate diversity in terms of the backgrounds and perspectives of practitioners - which in turn points to entry-routes and entry-gates that match the profession's purpose.

The conservation experience also points to some limits to professionalisation that appear to have fairly general application. Professions and occupations are evolving systems, and therefore professionalisation is not something that can be brought to a state of finality. This has implications for some of the sub-projects of professionalisation, particularly those associated with codification such as the development of bodies of knowledge, competence frameworks and codes of practice or ethics: these can never be regarded as more than temporary or approximate maps for practitioners, and therefore have only limited validity as defining parameters or guides for practice (this will be discussed further in respect of competence frameworks in the final section of this chapter). As a result, it is likely that at least some of the efforts that professional bodies put into codification are at best misplaced, at worst detrimental. Finally, a formally-defined profession, not unlike a work organisation, is not the same thing as a community or constellation of practice (cf Wenger 1998), and professionalisation projects do not necessarily correlate with the development of active, knowledge-sharing networks of practitioners.

At the beginning of the 21st century the professionalisation project therefore appears to be facing something of a dilemma, in that while practitioner groupings continue seeking to define themselves as professions, the notions of 'profession' that are being called upon are not always adequate to current and emerging contexts. Further, while some areas of work retain fairly distinct identities, there are others, particularly in creative, management and consultancy fields, where practitioners are more likely to draw their notion of being a professional from a personal envelope of capability, expertise and principles rather than from a grounding in any particular professional discipline. Overcoming this dilemma while maintaining the capacity to respond to public expectations of professionals suggests that professional associations need to evolve in perhaps two ways. First, they might take on more of the characteristics of an emergent form of organisation that is closer to a community or cluster of knowledge-workers than to a trade guild or a bureaucracy. Secondly, they might move from attempting to define themselves through mapping a territory and its boundaries and seeking to codify everything within, to identifying an essential core as well as a larger hinterland that is less formalised and more open to adaptation and evolution. Along with this latter, there will be increasing need for professional associations to enter into closer dialogue with each other and recognise their complementarity rather than points of difference (cf Watkins & Drury 1999); rather than necessarily entailing mergers to create larger versions of the same kinds of body, this suggests a more open and outward-facing approach where they occupy more the position of nodes in a network rather than organisations kept apart by boundaries.

Continuing professional development

The limited state of development of CPD in conservation means that there are fewer learning points that can be offered with any confidence to other professions, although some issues arising from the background research and initial experiences of implementation are likely to have wider application (see also papers A2 and B5).

Both the background research (paper A2) and consultations with practitioners emphasised the importance of practitioner-led CPD and informal learning, and the negative effects of bureaucratic systems. They cast serious doubts on the validity of approaches to CPD that are based on hours, points or recording formal learning events, beyond in some circumstances recommending a number of days per year for learning away from the immediate workplace. However, the approach used in PACR does not offer as complete an alternative as hoped for a number of reasons. The initials 'CPD' have become associated by many with formal learning activities, and it can be difficult to convey the larger concept of practitioner-directed learning while using the established terminology (incidentally some occupations are abandoning it for this reason; nursing, for example, uses PREP, or post-registration education and practice). Secondly, a reflective approach designed to capture informal and intuitive learning appears to be seen by some as intrusive and requiring them to make 'public' (i.e. for an unknown reviewer) personal or commercially sensitive information. Finally, there is a sensitivity to be observed in calling in reviews if it is not to be seen as impositional.

The PACR experience suggests that there is little that professional bodies can do little to compel members to keep up-to-date. The only point at which an effective policing role is realistically possible is therefore after a problem has occurred that is due to the practitioner's failure to keep up-to-date or appreciate the limitations of his or her competence. If professional associations are able to accept this, it opens the way to a more enabling approach to CPD and to the removal of unnecessary procedures and documentation.

Given this, professional associations might aim to move from current concerns with CPD schemes and systems, to a point where ongoing development is an endemic part of professional practice. One of the PACR workshop participants summarised this as "something that most responsible practitioners did anyway;" the aim should be integrating learning and development with practice, rather than separating out learning as a set of activities called 'CPD' that can be interpreted as having an agenda of its own. In practice, this could translate into a basic requirement for necessary updating being incorporated into the profession's code of practice or ethics, along with the association providing or facilitating means by which practitioners can be assisted to fulfil this requirement (and, where problems occur, be required to do so through a vehicle such as a learning contract).

Beyond that, the association might be expected to provide assistance relevant to further development, to encourage practitioners for instance to develop their careers, extend their capability, develop as 'extended professionals' and practitioner-researchers, and contribute more generally to the profession and its wider field of operation.

Competence standards and qualifications

PACR has much in common with qualifications based on national occupational standards, such as NVQs and SVQs, but was developed outside of the NVQ framework and therefore not restricted by NVQ and occupational standards design principles. It might therefore be expected to yield some learning points that can be transferred back to NVQs, occupational standards and other competence-based awards. Practical issues relating to the design of standards and approaches to assessment have been discussed in paper A4 and, in relation to assessment, A3; the discussion here focuses on three wider issues relating to the function and perception of competence-based awards, the way that professionalism and capability are conceived of and expressed, and the extent to which competence standards can be used as guidelines in development programmes. It then concludes with an approach that could be used generally to move NVQs and similar qualifications forward.

Function and perception

PACR has similarities with NVQs and other free-standing competence-based awards in that it attests to the ability to work to a proficient standard, and differences first in that it is bound up with professional membership (in QCA's terms [QCA 2000b] it is a qualifying membership rather than an independent qualification), and secondly it is purely an assessment of practice, without an accompanying development or candidate support programme.

Despite the lack of any certification separate to membership, the ownership of PACR by the profession appears to have given it greater credibility than would be the case for an NVQ or other externally-awarded qualification. With a small number of exceptions higher-level NVQs have not had great success in gaining acceptance in professional fields, and exploration is needed as to whether it would be preferable to divert some of the resources currently allocated for NVQs to the occupational standards bodies into supporting more innovative and accessible professional qualifications. Current work by the UK qualifications regulatory authorities towards a national qualifications framework is likely to offer an opportunity, if not to do this, then at least to fund the development of a wider variety of higher-level awards that are not restricted by current NVQ design principles and can carry titles more likely to be acceptable at the higher levels.

The other point where PACR is perceived to be clearer in purpose than most NVOs is that it is explicitly a professional practice assessment, not linked to a development programme. Officially NVOs are specifications for assessment that do not prescribe a particular development route, and some individual pathways to NVO achievement are similar to those taken by PACR candidates; however, there is a fairly common perception that NVOs are programmes as much as qualifications, leading to confusion about what the award represents and the standard of assessment involved (see Lester 1999a for a discussion of this in the land-based sector). Related to this have been pressures to 'educationalise' NVOs through means such as separate statements of knowledge and understanding, externally-set assessment tasks, credit ratings and minimum times for completion. As QCA admits, NVOs have not brought coherence to UK work-related awards but added a "further much needed framework of competence based qualifications" (Allen 2001). The emerging qualifications framework presents an opportunity to position them more explicitly as practitioner certification, possibly with a title such as 'certificate of competence' or 'certificate of practice' rather than the confusing 'vocational' epithet.

Professionalism and capability

The functionalist approach on which NVOs are based has been fairly widely criticised as perhaps capable of reflecting technical aspects of work, but inadequate to capture intelligent practice, professionalism, the negotiated nature of competence or the need for practitioners to go beyond standard approaches and become authors of their practice (see for instance Hodkinson 1995, Elliott 1991 and Lester 1999b). The apparent success of PACR in reflecting a more ethical and intelligent kind of professionalism, rather than purely functional competence, stems from three factors. First, general professional criteria are used to complement the NVO-type functional standards that describe the technical aspects of conservation work. These are regarded, and interpreted in practice, as running through the functional aspects of the practitioner's work, so that they should emerge naturally from evidence and discussion rather than be treated as supplementary aspects. Secondly, the evidencing and assessment process is designed to be holistic and start from the practitioner's work activities, rather than from the individual standards (or units in NVO terms). Finally, the assessors and accreditors already have a well-developed sense of the profession's ethos and the kind of understanding and judgement needed to operate effectively, and have been able to interpret the standards and criteria through this lens.

While each of these factors can be found individually in some NVOs and examples of NVO implementation, overall the NVO model still promotes a technician view of competence and a fragmented approach to assessment, that while not preventing the qualifications being applied in a way that reflects professionalism and capability, does not particularly encourage it. The individual features of PACR are not necessarily superior to the better

examples of NVO development and implementation, but the way PACR is designed and operated as a system does appear to enable it to reflect a more holistic, empowering and realistic notion of professional capability and practice. While the particular approach used to standards and assessment will need to vary according to the kind of practice being considered^{*}, it can be concluded with some confidence that PACR offers some lessons that could be taken up and further developed by the occupational standards bodies and OCA to improve NVOs and other competence-based qualifications, both at a practical level and in terms of developing a more balanced model of occupational or professional competence.

The use of competence standards in academic qualifications

While PACR had no more than a minimal impact on conservation degrees by the end of the project period, it raises a more widely relevant issue - relevant to current guidance from OCA that vocationally-related programmes should be linked to occupational standards - about the extent to which competence standards should influence higher and professional education.

The purpose of PACR is essentially to act as an entry-gate that determines whether a conservator is sufficiently proficient and professional in approach to be endorsed as able to operate in a fully independent capacity. It also assesses, through the general professional criteria, some of the characteristics that are relevant to being able to maintain proficiency and professionalism. Despite this, it is not geared to assessing the abilities associated with extended professionalism (Stenhouse 1975), mature capability (Lester & Chapman 2002) or, more than at a very basic level, practitioner research. As in any professional field, the purpose of degree and postgraduate programmes is partly to develop the skills and knowledge that will be required for immediate practice (see for instance Cummings 1996), but, leaving aside any concerns relating to the more general purposes of higher education, it also needs to be concerned with giving practitioners a base that they can build on to develop the more advanced aspects of professionalism. In this sense the programmes need also to be concerned with enabling students to develop abilities of, among other things, enquiry, critical insight and creative thinking, as well as an appreciation of the historic and developing context in which the profession operates.

While competence standards can act as broad guidelines for the practical aspects of a degree or initial professional development programme, there are other important factors that are beyond the scope of the kind of standards employed in NVOs or for that matter PACR. This does not rule out developing a broader competency or capability framework for guidance for the programme (see for instance Brown 1994, Winter & Maisch 1996, and

^{*} For instance, initial exploration with the National Vocational Rehabilitation Association on the specification of a professional accreditation scheme suggested that an approach based on case-histories, expert witnesses and candidate interviews would be more appropriate than a one-off workplace assessment.

Boyatzis 2001 for examples of this), but it does suggest recognising the limitations of occupational or professional standards frameworks for guiding higher education and other developmental programmes.

Competence frameworks: beyond current approaches

As described above and in paper A4 the limitations of the NVQ and occupational standards model are now quite widely appreciated, but there has been little movement towards improving on the principles underlying it, beyond a gradual move away from some of the more fundamentalist claims made about occupational standards and so-called outcome-based approaches to assessment. Given that the NVQ system has had well over a decade in operation and its limitations cannot now be attributed to its newness (see for instance Young 2002), the need for greater flexibility in approach is well overdue.

In a previous paper on competence and syllabus structures (Lester 1999b) I argued that the key to using these frameworks effectively was to regard them as doing two things: offering a map to guide the novice or developing practitioner, and providing what I termed a 'safety-net', i.e. a set of standards to define acceptable practice *where it is essential to do so*. To build on this in the context of competence frameworks, four points need to be recognised. The first is that maps are maps, and not the territory they represent (cf Korzybski 1971): they can contain inaccuracies, get out-of-date, and be of little help in uncharted territory. Further, the territory that competence maps depict can have more of the characteristics of a shifting sea-bed than an easily-charted street layout. Secondly, different types of mapping and levels of detail are appropriate to different purposes: there is no one right way to describe competence, and no method is complete. Thirdly, interpreting and using maps is a skill in itself and may need to be developed before the maps can be used effectively. Finally, returning to the main theme of my paper, as practitioners develop and gain confidence they will start becoming map-makers - at least in the sense of making mental maps for their own practice - rather than accepting the maps of others at face-value.

This analogy implies first moving beyond the technical-rational dogmas associated with competence frameworks, and accepting a wider range of ways of describing practice and competence; it also means abandoning the notion that competence is measurable (it is assessable, but assessment is based on comparison, inference and judgement rather than measurability). Secondly, it means separating out those things that are essential to practice, and expressing them clearly and in a way that reflects necessities rather than for instance accepted ways of doing things; comparing this with a typical occupational standards specification, this means a much more concise set of essential standards. Finally, it means presenting the overall set of standards in a way that encourages development and

redefinition, rather than as a rigid framework where everything has to be achieved to the same level regardless of its relative importance.

Putting these principles into practice might suggest a framework that includes some generic criteria, for instance along the lines of the levels indicators used in some work-based higher education frameworks (e.g. Ufi Ltd 2001), essential standards that are critical to practice (the 'safety-net'), and guidance to assist understanding and development across the area of work concerned. This kind of framework is unlikely to lend itself to a 'competent / not yet competent' assessment decision, but to progression along the lines of the Dreyfus model, with where necessary a well-defined point of critical competence or safety-to-practise. Importantly, development beyond this point would start to involve the practitioner in beginning to define his or her practice and taking personal responsibility for agreeing and setting appropriate standards.

While this approach reflected up to a point in some competence-oriented higher education programmes, it is also eminently suitable for use in NVQ-type qualifications that are not linked to an education or training programme. It represents a substantial improvement over current NVQ practice for three reasons. First, it reframes basic competence as meeting essential requirements, rather than describing it in a way that while it may require a theoretically more advanced spread of practice, does not distinguish the core of practice from the more trivial. Secondly, while starting from a core of essential practice it enables practitioners to develop to building their own envelope of capability as appropriate to context, aptitude and aspiration. Finally, while being independent of education and training processes, it provides a flexible framework that supports development across the range from gaining initial competence through to self-managed proficiency, expert practice (in the Dreyfus sense) and extended professionalism.

Part 2

Developing consultancy practice and the role of the systems architect

2.1 Context, capability and personal professional development

This chapter gives a personal account of my role in the development of PACR, and the professional and business development that took place during the period from October 1998 to May 2002. It is followed by a chapter explaining the ideas of systems architecture and realisation systems that have become central to my practice, and a final chapter briefly outlining other areas where these approaches are applicable.

Stan Lester Developments

My consultancy and research practice, trading under the name of Stan Lester Developments, began in late 1992 (full-time from April 1993) initially as an exploratory measure linked to the deletion of my then job as a training manager and internal consultant with Bristol City Council. Much of my early work was carried out on a sole-practitioner basis, and focused on occupational standards, National Vocational Qualifications and associated projects principally for bodies associated with developing and implementing these initiatives (a small and active 'industry' had grown up around standards and NVQs, largely supported by public funding). I was also involved in management and assessor training for the National Trust, and had a small amount of curriculum development and teaching work from the University of the West of England, where I was completing an MEd dissertation.

By 1995 I felt my decision to set up independently had been successful, and I was taking on larger projects and engaging associates, still principally in the ITO-Lead Body field but also expanding into rural training and business support strategy, a secondary area of interest. One of my projects from this time, the National Rural Education and Training Strategy Group report into rural business advice and training (Lester & Zoob 1995), was featured in the Rural White Paper and launched by the then Minister for Rural Affairs, Tim Boswell. Despite this, much of my work was not particularly exciting, with some challenges at a practical level (e.g. how to improve farmers' involvement in assessing land-based NVQs) but rarely providing exposure to leading-edge issues or opportunities for more than incremental

professional development. I was interested in taking a more proactive role in the professional development field, building on some of the issues I had been working with at Bristol and exploring in my MEd, but also conscious of maintaining the main sources of my income. There was a degree of frustration present in being able to contribute to debates at a theoretical level (e.g. Lester 1995a, 1995b), but not be involved in developments in a practical way.

While for the time being I wanted to capitalise on the growing stream of work from NVQ-related sources, improving finances meant that I was able to move in 1997 to a house with dedicated office space (and therefore the opportunity to employ staff if the need arose), and think more seriously about moving forward in terms of the type of work I was doing. During the year following the move I spent more time on networking and speculative projects, generating one stream of activity in research related to farming and rural business support, as well as some eventually abortive leads in organisational and professional development. I also took a closer interest in Higher Education for Capability, including co-editing a book (O'Reilly et al 1999), which led indirectly to involvement in the University for Industry negotiated work-based learning project.

My involvement with what was to become the PACR project began with a small advertisement in the Guardian for an 'accreditation consultant,' initially for a nine-month project, brought to my attention by a colleague who had assumed that the 'conservation' referred to was environmental conservation (and therefore appropriate to my land-based experience). I had a sketchy awareness of the field through work with the National Trust, but assumed my knowledge of NVQs and university course accreditation would also be relevant. In the event it was apparent from my initial discussion with the client that the project would involve substantial learning for all involved.

Capability and roles within JAG and PACR

The credentials that secured my contract with the Conservation Forum were principally an extensive knowledge of work-based assessment, including experience in designing systems to support NVQ implementation, and a working knowledge of work-based and modular higher education. I also had practical experience and a reasonably good theoretical grasp of professional development in a variety of contexts, as well as some experience of working with public and voluntary sector heritage bodies, and an understanding of the particular challenges of private practice.

In practice, this background was a major asset in the project, and allowed me to plan and develop a reasonably robust system within the initial nine-month timescale, while also giving me the experience and insight to understand potential problems and appreciate the

concerns and viewpoints of practitioners. In particular, eight years of exposure to the NVO system in a variety of roles had provided me with a practical and critical perspective on work-based assessment, as well as direct experience of candidates' and assessors' experiences and frustrations in diverse circumstances.

The skills I had built up as a consultant, researcher and systems developer, and previously as a teacher, trainer and change agent, played a critical role in enabling me to work effectively on the project. Particularly in the early stages it was critical that I listened to different points of view, questioned carefully, and built up a rich picture from them around which the framework could be developed. I like to adopt a gentle and discursive approach at this stage of a project although on one occasion this was interpreted as hesitancy I find that in a consultancy role it is the best way of engendering the trust and respect of the various stakeholders. Having listened, I can begin to identify the principles I need to work with, develop the rationale, and mould the framework in the context of the overall picture. This gives the flexibility needed to enable modification in subsequent dialogues, while also building a constancy of purpose that holds the development on a consistent course. This combination of empathy with others' perspectives and the principled development of a system stems on the one hand from my research experience and commitment to a phenomenological perspective, and on the other from my experience as a designer of both living systems (I have a horticultural degree and designed landscapes for a couple of years earlier in my career) and curricular and organisational frameworks.

Initially, my main role was that of systems developer, involving consultation, liaison, investigating, development, trialling and recommending. While there were periods of individual work, such as consulting with professional bodies and other interested groups, investigating practices elsewhere, writing consultation and scheme documents, and running focus and training meetings, the project itself involved working with the client, rather than providing a service at arm's length to an agreed specification. As described in the discussion of my role in action research in chapter 1.2, my input consisted both of expertise and of process support, drawing on my experience and knowledge of accreditation and professional development, but also assisting the JAG committee to make decisions take forward the framework. It would have made little sense for the JAG project to be other than a partnership drawing on the participants' varied and complementary skills, expertise and perspectives, with the aim to realise a development to be taken forward by the committee and its successors rather than delivering a product for a pre-agreed handover date.

During the implementation phases, I took on a number of roles within the project. The simplest of these was the one where the client had the most urgent need, running training sessions and workshops and providing advice on implementation. However, this had

additional facets of gathering and organising feedback on the scheme, and identifying areas for future improvement and further development. It also involved acting as the interpreter of meaning, the other leading participants in JAG no longer being involved actively with the scheme. In some instances this latter role had parallels with that of a constitutional lawyer, part of my function in respect of assessors and accreditation committees being to define the parameters within which decisions could be made so that they would be consistent with the scheme documents and the principles underlying them.

A further, unofficial role connected with this last was advising on problem situations, which could require particular attention and sensitivity. For example, a potentially acrimonious situation arose when a poorly completed application was passed between an accreditation committee, primary assessor and back to the committee over a period of months before the candidate was given appropriate advice, a situation caused by the committee's inexperience and (ironically) concern to play by the rules and be scrupulously fair. By taking a diplomatic and principled approach I was able to defuse the situation and persuade the candidate to amend her application, while recommending some changes to procedure to ensure an impartial assessment. Other issues that I became involved in defusing included the case of two conservators who had been refused accreditation through one of the Fast-Track schemes and had no route of appeal, and a specialism where several practitioners were dissatisfied with the way accreditation had been handled by their own association.

In terms of the political aspects of the project, I found it necessary to maintain a good awareness of different interests, while taking an independent line that respected diverging viewpoints but was also firm in maintaining the integrity and consistency of the scheme. It was important to have sensitivity to different viewpoints and ensure that concerns were attended to, while at the same time being sufficiently detached to put counterarguments and maintain a coherent direction; this became particularly important in the follow-up work for NCCR, where it was critical to look beyond compromises, so that different and sometimes opposing needs could be met within a consistent framework. Fortunately, some of the more difficult organisational politics were often easy to deflect as being committee issues, often with a note about the implications of a particular policy or an issue that needed to be addressed: my stance here was to point out what needed to be resolved and where necessary suggest options, sometimes involving other stakeholders (e.g. through email) to encourage an open discussion on the issue. On the other hand, it was at times frustrating to witness the limitations being placed on the scheme by the fragmented nature of the profession, and at times its unwillingness to deal with strategic or contentious issues; however, while it was not appropriate given my role to push for the merger or similar structural solution that I saw as being needed, I was able to use both my acknowledged independence and access to different committees to promote cohesion and convergence.

One of the potential problems that emerged during the implementation phases concerned my prominence within PACR. In the early stages of moving from the JAG project to PACR proper, taking a central role was important to maintaining impetus and continuity. However, it was not intended (least of all by me) that I should have an executive role in PACR, and once a community of practice had begun to emerge around PACR implementation, it would have been counterproductive for me to maintain a visible presence. It also meant that the relatively small amount of my time that the profession could afford was being diverted to operational issues rather than on strategic development where it would have the greatest impact. During the second cycle I suggested that plans were made for the profession to take over the training and briefing roles, and ideally establish a staff member to operate across the participating professional bodies. In the event I was able to phase out most my involvement in implementation over the third cycle.

A comment I received from NCCR during the course of my involvement concerned the value of my independent judgement and 'quiet authority,' and ability to look strategically across the profession without being influenced by organisational politics and histories. During the project I learned much about the practicalities and context of conservation work, and came to know many practitioners as colleagues and in some cases friends. However, I felt that part of the value I brought to the project was to be able to see the profession in close-up but from the outside and in the wider contexts of professionalisation and accreditation more generally, and to provide advice from this simultaneously involved and detached position. This was underlined when I was asked to chair a meeting of the accrediting bodies within NCCR to consider the feasibility of a common accreditation framework; despite being the architect of PACR I was also perceived as sufficiently impartial to work for the good of the conservation community as a whole.

From the viewpoint of the client, the decision to involve an external consultant in the PACR project appears to have been beneficial and perhaps essential. While the other conservation accreditation schemes are generally successful, the comparison referred to in chapter 1.6 suggests that PACR is more robust, fairer, and is capable of gaining credibility externally as a primary professional qualification as opposed to a trade registration scheme. Perhaps more critically, I have been able to work across boundaries in the profession and provide a focus and point of authority for common development, something that is continuing into the NCCR joint accreditation project. This has not impeded the client bodies from retaining ownership of PACR, so that for instance I am now being consulted on issues such as the standards review, where the client lacks experience, rather than operational matters where there is no longer any need for my involvement. While there is arguably benefit in involving an external facilitator or expert in some aspects of review and development, a successful outcome is that there are increasingly fewer aspects on which my advice is being sought.

Development through and beyond PACR

The period I have been engaged in PACR has seen a gradual but firm shift in the way that I perceive and operate my practice and the view I have of my future career. It has also contributed to a maturing philosophy of practice that draws on a combination of phenomenological and systems perspectives, and sees practical development work as a legitimate source of authority and knowledge worthy of dissemination.

Resolving a dilemma of direction

Over the last five or six years I have generally been satisfied with the level of turnover and income generated by my practice, but have experienced something of a dilemma in terms of taking it forward to be more enjoyable, influential and challenging. The two main options that appeared open to me were to develop a larger business employing staff and taking on more and larger projects (and giving me some flexibility to develop agendas of my own), or taking a more personal route as a leading consultant and practitioner in a specific field. By early 1998 I had mapped out the beginnings of the latter through an academic venture (setting up an innovative master's degree) subsequently linked to my proposed doctoral project, while seeing the former as complementary in generating the bread-and-butter work that would provide the financial security to develop my other interests. I had secured two short-term but substantial research contracts during 1998, and a successful bid for another during mid-1999 prompted me to take on a research assistant.

In the event, the master's degree proved too ambitious a venture to implement (at least in the way that I and my principal colleague had envisaged), and while the research contracts were financially rewarding I did not feel they were taking me in a direction that I wanted to pursue. At the same time my portfolio of what might be called expertise-based work was increasing, most significantly through work with QCA and Ufi Ltd (the 'University for Industry') as well as PACR. These latter projects were linked through a focus on accreditation and qualifications and their relationship to practice and learning, and therefore involved attention to systems and frameworks: all three built on an area of expertise I had been building up over the previous eight or nine years, and involved work on systems underpinning education, training and assessment practice.

The PACR project, reinforced by my work with QCA and Ufi, has provided a vehicle for further developing my expertise and subjecting it to testing and feedback, and developing my skills as a systems architect in the sense I will describe in the next chapter. It has also exposed my thinking to practical critique and the need to consider contextual issues peculiar to specific circumstances, and helped me develop an extended and more mature perception of how I can draw on my particular skills and strengths to facilitate change

effectively. In terms of direction, this has moved me away from the idea of expansion around research contracts, and towards a more individual career based partly on my expertise in accreditation, qualification frameworks and professional development, but more importantly on working with systems issues and in 'realisation' relationships as described in the next chapter. The success of my work on PACR led directly to the follow-up work described in chapter 1.6 and paper B9, and has also produced several approaches from other bodies. These have included the National Vocational Rehabilitation Association, regarding an accreditation scheme for its members; University College London, in relation to a graduate apprenticeship in archaeology conservation; Historic Scotland, exploring the accreditation of historic buildings practitioners; and an invitation to become the development and accreditation consultant for the development of an international qualification for corporate ethics and compliance practitioners (the IMCPD project).

Towards a philosophy of practice

More conceptually, linking PACR with the DProf has assisted me to develop a philosophy of practice that emphasises the legitimacy of development work as a source of authority and publishable material, and to identify myself more clearly as a developer rather than a researcher. If I have claims to being an academic (I am a visiting academic with Middlesex University) they are based on knowing through doing and the investigation and reflection associated with it, rather than on more traditional forms of research and scholarship.

The philosophy of practice I have come to adopt has as its foundation an essentially phenomenological perspective, particularly in the sense of approaching situations as 'a stranger' (Schutz 1971) and attempting to see them for what they are, while like Stanley & Wise (1993) acknowledging the impossibility of bracketing all the assumptions present in a situation and recognising that I will have personal and sometimes unconscious perspectives that I bring to it. Alongside this it also embodies a systemic philosophy that sees the world as a dynamic, self-organising system, and contains a responsibility to do the best we can in terms of gaining a grasp of how this system is working in any given situation in order to make interventions that have both adequacy and wisdom. Epistemologically, this way of seeing things avoids the trap of relativism that endangers a purely phenomenological perspective, while also rejecting grand theory and reified notions of knowledge; I seek, and aim to make, maps that work and have a good fit for the task in hand, not maps that claim to be territories. At a practical level, this suggests going beyond notions of knowledge as either unique or alternatively generalisable, to recognition that knowing that arises from one context has value in another, where it is necessarily reformulated through interaction with new or different understandings. This perspective is reflected in my interpretation of case-study method on pages 15-16.

In terms my own development I recognise parallels with Kitchener & King's seven-stage model of epistemic cognition (Kitchener & King 1981), which in summary involves moving from simple acceptance of knowledge 'as is,' through viewing it as absolute, to a position where knowledge is seen as entirely contextual and subjective, and finally (stage 7) to a position of making best approximations - i.e. the interpretations which are most complete or compelling (cf my notion of maps that work). At this stage of development there is a balance between knowing and doubting, an openness to discovery and reframing but also capacity for knowing in the face of uncertainty without the narrowness of dogma or formula. A similar conception is provided by Kramer's notion of post-formal operational thought (Kramer 1983), which is "at once more practical and concrete, and more detached and abstract" than formal thought. These integrating perspectives embody a kind of practical wisdom that is eminently matched to the kind of practice situation represented by Schön's 'swampy lowland' (Schön 1987), Ackoff's 'mess' (Ackoff 1974), or Rittel & Webber's 'wicked problems' (Rittel & Webber 1984).

As an aside (and an area for my future investigation and development) I believe this philosophy of practice is relevant to universities, and particularly to their interface with the practical and the professional. Drawing on my experience in various capacities I am not convinced that the higher education community as a whole has moved beyond the intermediate stages of Kitchener & King's model, as witnessed most obviously both by debates between nomothetic and interpretive perspectives, and by the ongoing difficulties associated with integrating practical and situational knowing and doing within notions of academic validity, knowledge-generation and accreditation. A post-formal philosophy points to development work and the practical wisdom it generates as a way forward which offers an alternative to research or knowledge-transfer as a legitimate mission within higher education. A first essay along these lines is in the form of a paper drawing on my DProf experience and the idea of practitioner doctorates, entitled "A doctorate in development, not research," which I intend to present at an international conference on professional doctorates in Brisbane in November 2002.

Future development

At the end of the project period represented by the DProf submission, my immediate intention is to seek and develop further projects that can draw on and extend the kinds of work I have been doing on PACR and with clients such as Ufi Ltd and OCA. In part this will involve looking beyond the UK; for instance, I have an tour of south-east Australia planned for later in the year to meet key people in the qualifications and professional education field. A secondary intention involves devoting some time to publication, where I have two projects in mind. One is to develop some of the themes discussed in this narrative and the associated articles into a book discussing issues of professionalisation, qualification and their

limits. The other concerns initiating a journal for professional development and the development of professions, with a catchment that includes professional associations as well as the usual academic audience; a constant source of frustration in my recent career has been finding appropriate outlets for articles, for although I can normally publish in educational journals, the readership is not always the most appropriate to the content or to the audience I want to reach.

A further issue that I have struggled with to an extent is finding a community of practice that reflects my area of work at a general level, additional to the communities associated with individual projects or clients. At present I have a network of colleagues, principally other consultants and academics as well as people from client and related organisations with whom I have kept in touch, rather than being part of a cohesive professional community in the sense described by Wenger. While this network allows me to discuss and share ideas and (along with reading, email, the occasional conference and other methods of continuing development) keep in touch with developments in my field, it is difficult to use as a forum for taking forward ideas and new developments outside of paid projects. In the past I have been actively involved with the Institute of Training and Development and its successor Chartered Institute of Personnel and Development as well as Higher Education for Capability, and though I still have colleagues from these fora, in themselves they have become less relevant to my area of work. Currently I am an associate of the International Centre for Learner Managed Learning at Middlesex, but my intention over the next year is to take a more active role in developing involvement in a relevant and active community of practice, possibly associated with the above-mentioned journal.

More strategically, I am coming to view the end of the main PACR project and the DProf as the close of a phase in my development, from which I can move on to new projects and possibly new roles and alliances. While I am likely to remain self-employed in the near future, I am now less firmly committed to private practice as the sole means of developing my career. Instead I see a wider range of possible options that use and build on my capability envelope and areas of interest, and that might provide me with opportunities to achieve goals I can be committed to. Having said this, there are three primary conditions that need to be part of my psychological contract. One is the freedom to operate with a degree of autonomy: I am not a natural 'organisation man' and sit better with the role of principal rather than agent, pointing to roles in which I can provide practical or intellectual leadership without being directly embroiled in bureaucracy, operational management or organisational politics. The second is the need to move forward, as a developer rather than a manager or overseer, or indeed a researcher: while I have skills that lend themselves to these activities, and I can enjoy them in limited bursts, they do not provide me with any great sense of achievement. The last is flexibility. I have never had much tolerance for arbitrary organisational procedures or rules, and suspect nearly a decade in private practice

has taught me to be even less accepting of them; on the other hand it has also helped me develop some of the skills and means to bypass and change them.

2.2 The idea of the systems architect

If I have to choose a single term to describe my role in PACR, and in other recent activities such as the Ufi Learning through Work and SEGELL projects and the QCA work on higher level qualifications, it is that of systems architect. While I had used this term and had it applied to me previously, it was largely through working on PACR that I came to realise its meaning in terms of developing and working with a system in a complex context.

Systems and systems architecture

A system in its basic form can be described as a "network of interdependent components which work together to achieve the goal of the system" (Lepore & Cohen 1997, p17). Critically, systems exhibit behaviours that depend on systems structure rather than the nature of individual parts, and they have emergent properties that become apparent only when the system is working.

The idea of systems structure is discussed extensively by Senge (1990) and Fritz (1994) in the context of organisations. The deep structure or architecture of a system depends on recurrent or persistent patterns of interaction between significant components of the system, such that over time they define the parameters for its behaviour, and up to a point that of those working within it. In organisations and other systems - such as the educational (policy) system - this can be seen most clearly where efforts to introduce change repeatedly falter and revert to ways of operating that are not substantially different to those used previously. Typically, these efforts engage with the system at too superficial a level, and push against the underlying architecture without being able to change it. As Senge points out, systems structures are not unchangeable, but they need to be perceived and understood, and effort applied to the points of leverage that enable them to be altered.

A structuralist perspective on systems sees them as more-or-less static entities where structure determines action, with little feedback from action to structure. A more dynamic or interactionist perspective suggests that systems are shaped by both the environments in which they operate and the actors within them, so that while the idea of a system still applies, its structure becomes modified and evolve over time. This is perhaps easier to see in the early stages of systems development, where the system results from a mixture of deliberate action and contextual influences, and takes some time before it becomes embedded into ways of thinking. This is illustrated by PACR, as a developing system where at least some of the deep structure is clearly visible and the effect of feedback is apparent; a slightly later stage of development is illustrated by the NVQ and occupational standards system, where structures are beginning to become embedded and more difficult to bring to

the surface and alter. In higher education on the other hand the deep structure of the qualifications system is fairly firmly embedded, and evolutionary forces tend to be gradual and hidden; even overt efforts such as the Quality Assurance Agency's framework (QAA 2001) and the inter-consortium credit project (InCCA 1998) work largely within the established architecture.

Soft systems that are designed without an assumption that they will evolve tend to be fragile: they either fail when the pressure for change becomes too great, or are bypassed and gradually become redundant. The NVQ system is an example where there has been barely enough flexibility, and its survival will depend on being able to cope with evolutionary pressures. The idea of architecture as applied to soft or human systems may therefore be a slight misnomer, and (drawing on an earlier part of my career) landscape architecture might provide a better analogy. The landscape architect designs an entity that evolves in a way that is influenced by the environment it is in and the way it is used and managed, and his or her role often continues into advising on the development and management of the evolving system over time.

The systems architect

The work of the systems architect is concerned with creating, redesigning and modifying systems, and frequently also overseeing their development so that changes that become needed are dealt with in a systemic manner rather than through piecemeal modification or 'tinkering.' Through my work on PACR and other recent projects, there are a small number of basic principles that are required for effective systems architecture.

The most important factor is to be able to see, or think, systemically. This does not simply mean being able to apply systems thinking in a mechanical sense, but to grasp an overview of the whole system and the context or contexts it is positioned in, and to be able to see it as a dynamic rather than static picture, as a map that works and makes sense. The latter point is critical, because while being able to see the 'big picture' and key processes and points of leverage within it is necessary, that in itself does not imply systemic thinking: it is important also to have awareness of the detail, movement and patterns of movement (and the chaos) within the picture. Ignoring them can result in the kind of grand-design thinking where the system takes on a life of its own and loses touch with what it was created to achieve, and with its practical implications. Systemic thinking implies not only achieving fitness for purpose, but also working at the level of fitness of purpose, considering the congruence or (to use the term in a broad sense) ecological soundness of the system's aims and their goodness of fit with the practical realities present in the surrounding context. It therefore requires a good appreciation of the implications of the system, both internally and in the immediate term, and in wider contexts and the future. It also requires at least a small

degree of systemic wisdom (Bateson 1971, Pór 1995) in which there is a deep and intuitive understanding of interconnected wholes.

Linked to this is an appreciation of what the system is likely to mean from the viewpoint of the people involved in it, and what its implications are for them: the point of developing systems is that they serve people and do not become hindrances to beneficial change. This requires an appreciation of others' perspectives and interests; it includes awareness of how organisational politics and dynamics are likely to interact with the system, but it also requires going beyond that to an empathic, phenomenological perspective that cuts through the clutter of taken-for-granted assumptions and existing interests. The skills of seeking and listening to others' views, and entering as far as possible into their perspectives and models of the world, are central to this.

In the development and implementation of a system one of the vital ingredients is a sense of coherence and constancy of purpose, not rigid so as to prevent new directions and ideas emerging and being taken up, but sufficiently stable so that the project unfolds and evolves rather than veers around with each new idea, discovery or criticism. In PACR, part of doing this involved setting out and agreeing broad principles before beginning to work with the detail of the system. This was critical in ensuring that what ensued had clarity and consistency, and to establish a fairly stable reference-point from which to interpret discussions, consultations and proposed changes.

A further point relating to the previous discussion of living systems is that the systems architect needs to see how the system might grow, adapt and evolve, and build in ways for it to do this without destroying its consistency. This can mean balancing the 'constitutional lawyer' role I discussed earlier with that of innovator and developer, and occasionally heretic. Extending the evolutionary principle, there is also a need to be able to see when the system might have outlived its context and need to be abandoned or replaced with something different.

A point that I find is frequently not well understood is to be able to distinguish detail and abstractions that have a systems implication from matters of content and argument that are relatively unimportant to the way the overall system works. Sometimes seemingly trivial matters, such as a critical word, a principle or a relationship, have a potentially large influence on how the system is perceived or interpreted, and therefore on how it operates. In my experience effort put into getting these system levers and substrates right prevents costly reworking or dysfunction later on.

Finally, and particularly in relation to the political and perspective-based aspects of systems, there is a need to be able to find solutions that are 'beyond compromise' - they integrate

different and sometimes opposing demands without compromising the integrity of the system. Achieving this typically means being able to identify the assumptions present in requirements, reframe them and communicate the results in a way that enables the interested parties to gain ownership for them. A simple example is provided by the desire of some conservation accrediting bodies wanting the common accreditation framework to have detailed, discipline-specific criteria for assessment, while others were opposed to these on the grounds that they were an unnecessary complication and would make it difficult to reflect emerging needs; the solution that was accepted was to adopt a less detailed framework but allow supplementary criteria and guidance to be added in those areas where the relevant practitioner communities regarded them as useful.

Before continuing, my experience is that one would be very fortunate to be able to achieve all these desiderata to a high degree at the outset of a project. In particular, seeing the context of a project systemically is something that unfolds over the lifetime of the undertaking, and new realisations may require adjustments or markers for later revision. In PACR, while the JAG project provided an opportunity to explore the field in moderate depth, I was perhaps fortunate that some of the areas I was unable to engage with sufficiently at the time - such as the European dimension - did not suggest great changes later on. Less fortuitously it was not immediately apparent to me that trying to accommodate the needs of interventive and preventive conservation in one set of professional standards was too much of a compromise. Similarly, all the pivotal issues may not be apparent at an early stage; in PACR, one example was its apparently trivial renaming from the Professional Accreditation of Conservators to ... Conservator-Restorers, the full implications of which only became apparent well into implementation.

The project relationship: towards a 'realisation system'

S K Schiff, in his essay on professional development (Schiff 1970), discusses the notion of professional practice needing to move from "delivery systems," where a practitioner works to produce an expert solution and 'deliver' it to his or her client, to "realisation systems" where the relationship is more one of a partnership where practitioner and client work collaboratively to develop a way forward. In the delivery system discussed by Schiff, power rests with the professional or expert, who is able to make decisions on the client's behalf and 'deliver' solutions according to his or her perceptions of need. As I have discussed in the context of work-based higher education (Lester 2001), a modified version of the delivery system is applicable to business relationships where a specified service or product is contracted for.

While I have been aware of and used these notions of professional practice for some time, the 'delivery-realisation' distinction has become personally relevant through PACR and my

work with Ufi and QCA. Many of the other projects I have worked on have been 'delivery' projects, usually involving tendering for a specific piece of work, producing it without client involvement beyond the inevitable steering committee, and ceasing involvement after the hand-over date. As my experience has increased I have become more sceptical of the 'delivery' approach, particularly for projects that explore more than surface issues or have a broad enough remit for the focus to need to change as the project progresses.

In terms of systems development, the delivery approach suggests that the practitioner is commissioned to develop a system, present it, and go away. I have been commissioned in this way to develop a work-based system for implementing NVQs in an industry sector, which resulted in a useful-looking resource publication that was used by less than half a dozen centres, and as a training manager and internal consultant I have naively inflicted a delivery approach in building a system for staff development. Contrasting these with the success of a realisation approach - working in a dialogue with the client, building their ownership, sharing and accommodating different perspectives and needs, trialling, building in improvements, and establishing an evolving framework - suggests that the role of systems architect must be approached from the perspective of realisation rather than delivery. The realisation approach is typically more 'messy' in terms of client relationships, project planning and contractual details, but it is also more rewarding in drawing on a wider range of skills and abilities, enabling a much stronger sense of engagement with the project, and providing greater opportunities for personal professional development. It has also led to a greater sense of achievement for me and better results for my clients.

There is also a degree of correlation between the delivery approach and static systems, and the realisation approach and soft or human systems. A delivery model limits the amount of time available for the project to be handed over, mitigating against the client developing sufficient ownership and understanding of the system to be able to manage its evolution in a way that maintains consistency. My experience has been that 'delivered' systems projects, such as the ones referred to above, are not particularly successful unless either they relate to relatively simple, short-life systems, or they are taken up and championed by someone in the client organisation who is prepared to put effort into understanding and possibly reworking them (for the NVQ project referred to above, this occurred in one centre I was aware of that adopted the system, while the staff development framework was taken up and adapted by another department to the one I had developed it for).

In a realisation relationship on the other hand, the client is intimately involved from the outset - it is 'their' project - and rather than a specific hand-over date the consultant or systems architect can ease out of the project over a period of time. Like the landscape architect, the systems architect works with a client to design an evolving entity, is normally involved in the process that brings it into reality, and may continue to advise on its

management and evolution until the client is confident in taking it over. Having said that, the consultant becomes more closely involved with the project in a realisation system, and it is more prone to creating a dilemma of ownership versus detachment. Too strong an ownership on the part of the consultant can lead to a reluctance to consider others' ideas, let the client take the lead, or let go when changes need to occur, all operating against systems evolution. On the other hand, ownership and commitment can be necessary to building the system and maintaining momentum, and depending on circumstances the consultant may need to play a leading role in this sense, as I did in the early stages of PACR implementation. My view formed largely by PACR (probably of all my work over the last ten years, the project with which I have the closest identification) is that it is necessary to have a certain amount of ownership and commitment to be effective, but at the same time to avoid 'going native' and be clear about negotiating a timescale to reduce and conclude involvement with the project.

2.3 Applications of systems architecture

The ideas of systems architecture and realisation systems present a challenge and an opportunity to me as a consultant and educational developer, both in terms of using them as defining features of what I offer to clients, and in terms of applying them to improve the nature and quality of action in my area of practice. This chapter briefly outlines three areas relating to consultancy work in the educational field where a systemic approach is applicable. Two are areas I am currently working in: one is an ICT-based learning support system which illustrates systems architecture at the more technical end of the spectrum, and the second the development of national qualifications frameworks, representing consideration of rather broader systems issues. The third refers to lifelong learning, as this is an area which, while I am not involved directly with it at a policy level, relates closely to much of my work. These are followed by a summary of principles applicable across this type of work, both from the viewpoint of the system and that of the consultant.

ICT-based learning support systems

Since 1998 I have been involved in the design and realisation of two developments for Ufi Ltd (the 'University for Industry'), both of which involve support structures for learning based that use web-based information and communications technology (ICT). Although these are partly specification-building projects and represent the more technical end of my work, my role in them as an educational systems architect is concerned with the learning and user needs and implications rather than with the ICT solutions. The particular skill I have brought to this work is being able to conceptualise a system around sometimes fairly vague user needs, and translate it into a flexible structure that can be used in a specification for ICT development.

Learning through Work (LtW: see www.learndirect-ltw.co.uk) provides an ICT gateway and a standard set of design principles and protocols to give remote learners on-line access and support for university work-based learning programmes. Initially conceived and led by John Stephenson, professor of learner-managed learning at Middlesex University and former director of Higher Education for Capability, it provides access to higher education awards from certificates of credit to doctorates currently through seven institutions. Briefly, the system assists learners to understand the commitment involved in a work-based learning programme, draw up and submit an application, negotiate an individual programme (which can be fully project-based or include courses and modules) through agreeing a learning contract, and track their progress through their programme and prepare and submit materials for assessment. It caters for both individual learners and employer-based

and similar groups, and work is currently under way to extend it to suitable awards outside of higher education.

The Learndirect Organiser or SEGELL (second-generation learning log) is a set of web-based tools to help learners manage and keep track of their learning, whether from course-based or independent activities. It interfaces with Learndirect (Ufi) courses and with Learning through Work, so that the features of the Organiser will be automatically available to people enrolling on these programmes. The Organiser, which is based loosely on a learning cycle model (see for instance Honey & Mumford 1989), is designed to encourage reflection and further learning, and encourage users to put their learning in the context of their aims and careers. It is currently being tested for use by people who have registered with Ufi, but it has been developed with the possibility of use independently, for instance by organisations for staff development and professional bodies for CPD; the systems issues in its development are largely identical to those that would apply in developing a comparable system for a profession or organisation.

The systems architecture of both projects can broadly be divided into two parts: first the design of the system in its broader sense (its purpose, principles and general requirements and parameters), and secondly the translation of this into a specification that can be used by ICT developers. In the LtW project the first part was critical in drawing on the ideas that had been developed by a large project group and smaller working teams, and moulding them into a coherent picture of what LtW was and how it could work in practice. The LtW design principles (Ufi Ltd 2001) for which I was largely responsible documented the conceptual basis of LtW and its operating principles, allowing these to be discussed and refined before developing them into a specification for the software solutions. In the SEGELL project, the two parts were more concurrent in that in pulling together the various ideas and requirements for the Organiser, the result was also a draft specification for ICT development.

In general, the main concerns in a system of this type are to ensure that it is coherent and facilitates the processes that it is intended to; effectively, that the system is driven by the needs of the users, and provides them with the flexibility to work in the ways they find most useful rather than those that are easiest to construct. ICT-based systems have major drawbacks in that they operate on rules rather than principles, and lack the flexibility of human interaction. As a result, it is easy to turn what on paper is an adequately flexible system into an unintentionally over-prescriptive set of procedures when it is translated into software.

Part of the work involved in this kind of development is fairly straightforward systems design, but it also requires considering the implications of the system and the guidance

within it for the kinds of learning that are supported. A simple example of this kind of issue is given by the extension of Learning through Work outside of higher education. The current LtW learning contract protocol requires learners to negotiate programme components, such as work-based projects; these are assessed by reference to the objectives set by the learner, and agreed level indicators from a 'bank' for the level of award or credit the learner is registered for. Extending this approach to NVQs, if the most obvious option is followed of equating NVO units with programme components, this points learners in the direction of working on their programme unit-by-unit; whereas a more appropriate approach may be to identify relevant work activities or projects as their components, and map them across to the NVO criteria for assessment.

National qualification frameworks

Over the last five years there has been a movement in the UK to create national frameworks for qualifications and credit, both within higher education by the Quality Assurance Agency (QAA 2001) and the credit consortia (e.g. InCCA 1998, Credit and Qualifications Framework for Wales Project *et al* 2001), and outside of higher education by the qualifications regulatory authorities (e.g. QCA 2001a, Scottish Credit and Qualifications Framework 2001). I have been involved since 1999 in work to extend the QCA's framework to cover higher-level qualifications outside of higher education (see QCA *et al* 2000a), and in reviews of issues relating to qualification levels for QCA and Ufi Ltd.

Qualifications and qualification frameworks potentially represent a form of systems architecture *par excellence* for publicly funded education and training, both because of the concentration of public funding on award-bearing programmes and because of the popular association of formal learning with awards. It follows therefore that the rules and design principles applied to qualifications by the organisations that award and regulate them exert a powerful influence on what and how people learn through their formal education and training. Getting this architecture right, in the sense of meeting the wide range of needs and expectations associated with the education and training system as well as anticipating the consequences of particular approaches, is therefore critical to operating an educational infrastructure that meets individual and societal needs and aspirations.

Some of the issues associated with qualification frameworks are explored in paper A6, using the Ufi, QCA and PACR projects as a starting-point. At present, the systems structure underlying UK qualifications is inadequate and conflicting, first in that it is fragmented (there is no particular coherence across school-based awards and those applying to further and higher education and vocational education, or across higher education and non-university awards), secondly because the various parts of it are based on limiting assumptions about the context and nature of learning and the nature of learners, and

finally because it is frequently undermined by misunderstandings about the measures needed to ensure that awards are robust and relevant. It has also suffered from initiatives which while they may be worthy in isolation, do not contribute to coherence or always to meeting real needs; the introduction of NVQs as a major initiative yet based on inflexible and largely untested design principles, introduction, modification and later rebadging of GNVQs, introduction of foundation degrees at sub-degree level (contrary to the emerging European consensus), and current work to reinvent vocationally-oriented awards as so-called technical certificates are all cases in point.

My work with QCA on the 'higher levels' has attempted to reflect some consistent principles to promote a more coherent and effective systems architecture. Perhaps the most important of these is to recognise the wide range of learners - contexts, levels of experience, approaches, kinds of ability and so on - who engage with qualifications and award-bearing programmes, and the equally wide range of reasons they have for doing so. This points to frameworks that support a requisite variety of qualification programmes with levels of flexibility that relate to their purposes.' A second point is the principle of coherence coupled with fitness for purpose - that awards need to be understood in a way that makes sense, but that they should not be subjected to requirements that lessen their appropriateness in context. There is also a need in what is in a sense a market with many different established products to ensure that any changes actually increase understanding. For instance an option I recently put forward as an alternative to 'rationalising' qualification titles is to use an overarching terminology to supplement awarding body titles (e.g. an Edexcel HND and a City & Guilds advanced craft award could both be examples of a national higher diploma, meeting certain basic design principles), allowing it to gain currency or die out according to whether or not it proved useful. Finally, a central principle is to maintain enough leeway in the framework to allow it evolve as needs change, and ensure that concepts such as level and credit volume are treated with scepticism as artificial rules of thumb, rather than assumed to be endemic or measurable.

Lifelong learning policy

The concept of 'lifelong learning' - in theory embodying the holistic idea of learning throughout life - has been promoted quite widely in UK education and training policy (or 'learning policy', see Ainley 1999), and has become a familiar plank for both local and national initiatives. However, the now widespread use of the term as little more than a synonym for continuing education and training (see for instance Eraut [1997] and Edwards *et al* [1998] for discussions of this) suggests that it has become more a label of convenience

Following Eraut (2002) a basic distinction can be made between initial and mid-career qualifications (and the latter further divided into those related to upgrading or progression and to continuing learning or extension), but there is a need to look beyond this at how individual learners regard and use qualifications and award-bearing programmes.

rather than representing a systemic vision of learning. It has been devalued in two ways, first by being interpreted to refer to education, training and other formalised activities (such as workplace learning leading to qualifications) rather than learning as a whole, and secondly by being restricted to life after full-time or early-career education and training (or 'foundation learning'). Some of the recent language that has accompanied lifelong learning policy, such as 'returning to learn' and classing people as 'non-learners,' is, however well-intentioned, both unhelpful and potentially demeaning; for instance, in my own work with farmers I have come across people who are extremely good at learning on their feet but keep well away from colleges, NVOs and initiatives such as Investors in People, and would be regarded as non-learners for any official purposes.

While it makes little sense to talk of a lifelong learning systems architecture *per se*, it is highly relevant to consider lifelong learning systemically such that strategies and interventions to promote it fit together in a coherent and mutually supportive way. Central to this are two rather obvious points:

- Lifelong learning is lifelong - that means it starts at birth and continues throughout life. It makes little sense to consider lifelong learning other than as encompassing the whole of this period, including for reason of the influence of early experiences for learning later on.
- Lifelong learning is primarily about learning (and by extension, development) - it is much broader than the learning acquired through education and training, or that leads to formal recognition.

When applied to policy, at one level this definition can suggest either an impossible task or alternatively some kind of Orwellian state machine for manipulating learning throughout life; but more sensibly and pragmatically it points to a way in which strategies and interventions connected with education, training, or learning more generally can be located in relation to a holistic vision, rather than being seen as responding piecemeal to particular needs or deficiencies. This more systemic view suggests, for instance, that while it is proper for degree-level education to be concerned with professional and vocational formation, it must extend beyond concern with developing vocational expertise and job-relevant skills to laying a foundation for future capability and growth; similarly, it points to placing rather more emphasis on helping people to develop the capabilities needed for flexibility and reskilling, rather than relying on reskilling initiatives at the point of need. Equally, this view of lifelong learning makes it very obvious that schooling needs to be driven by emerging needs rather than past traditions, and suggests some radical rethinking of the compulsory education system.

Actually realising these kinds of changes is another matter, and it is perhaps too easy either to fall into the trap of expecting all the systems levers for the educational field to sit within the field itself, or conversely as a practitioner or specialist to see major change as beyond one's ability to influence. Clearly, in the educational field the way the governmental and electoral system works exerts a large influence on how some kinds of change can be introduced; for example, the ongoing failure to overcome the so-called 'academic-vocational divide' in 14-19 education and training provides a good example where a complex of factors, including the desire to avoid such politically sensitive actions as suggesting the abolition of A-levels, play an important part. More positively, a systemic view of lifelong learning provides a framework that will help the various pieces that it is possible to influence to sit with each other in a way that makes sense and increases the overall coherence and connectivity of the system.

Systems projects: a summary of requirements

Along with my work in conservation, these three areas of work share some common requirements necessary to effective systems interventions. The main ones can be summarised as:

- Clarity about the purpose of the system - what it exists for or has been set up to do, and its primary goals.
- Clarity about its principles and parameters, including its operating principles and philosophy and its boundaries (or instances that illustrate what is and isn't within its scope).
- An extensive systemic understanding (or 'rich picture') of its context, including alternative and minority conceptions.
- An extensive appreciation of the needs and perspectives of the different parties involved and whom it affects.
- Understanding of its potential impacts - including desired, immediate, wider and longer-term effects, and potential unintended consequences.
- Appreciation of ethical issues raised by the system and the specific intervention, or that may arise in their operation and effects.
- Detailed understanding of the operational aspects, including resource implications, implementation details, maintenance and management, and further development.

- Understanding of how requisite flexibility and systems evolution can be built in and managed.

From the viewpoint of a consultant or developer called in to work in partnership with a client or consortium on a systems project of this type, many of the things that need to be included in the overall capability envelope have been discussed in the preceding chapter. However, beyond the general skills of the systems architect, my experience is that systems projects of the type described require the following specific issues relating to the consultant's role to be understood and managed:

- The client's expectations in relation to the consultant's role, compared with the roles it is practical and ethical for the consultant to adopt and how the dynamic between the consultant and client, and consultant and overall project context, may develop over time.
- The gaps in client capability and capacity where the consultant needs to act - both acknowledged (requiring a partnership or provider role) and unacknowledged (initially requiring an education or extension role).
- Related to this, the balance of work within the client-consultant partnership, and how this may need to alter as the project progresses.
- The capacity of the relationship to facilitate client ownership of the project and eventual independence from the consultant across the whole project or particular aspects of it and related to this, the objectives and exit strategy for the project.
- The interests, politics and sensitivities affecting the project.
- The client's perspective and philosophy in relation to the project, including in comparison with other relevant conceptions and needs.
- The power and resource issues relevant to the project, particularly in relation to enabling and preventing results being achieved.

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Initials and abbreviations

ABC	Associated Bodies of Conservators (operated as TCF, now NCCR)
ABPR	Association of British Picture Restorers (now BAPCR)
AC	Accreditation Committee (of professional body participating in PACR)
ACR	Accredited Conservator-Restorer
APEL	Accrediting prior experiential learning
ASC	Appeals Sub-Committee (of NCCR Professional Standards Board)
BAFRA	British Antique Furniture Restorers' Association
BAPCR	British Association of Picture Conservator-Restorers (formerly ABPR)
BHI	British Horological Institute
BSMGP	British Society of Master Glass Painters
CCF	Care of Collections Forum
CHNTO	Cultural Heritage National Training Organisation
CIPD	Chartered Institute of Personnel and Development
CNAA	Council for National Academic Awards (now disbanded)
CoOL	Conservation On Line
ConsDir	Conservation Directory, part of Conservation On Line
CPD	Continuing / continuous professional development
C-R	Conservator-restorer
DipHE	Diploma of higher education
DistList	Distribution List, international conservation email newsletter
DProf	Doctor of Professional Studies
ECCO	European Confederation of Conservator-Restorers' Organisations
ENCoRE	European Network for Conservation-Restoration Education
EU	European Union
FULCO	Framework of universal levels of competence (EU-funded project)
GNVQ	General National Vocational Qualification
HNC	Higher National Certificate
HND	Higher National Diploma
HS	Historic Scotland
ICHAWI	Institute for the Conservation of Historic and Artistic Works in Ireland
ICOM-CC	International Council for Museums - Committee for Conservation
ICT	Information and communications technology
IIC	International Institute for Conservation

IMCPD	Integrity Management and Compliance Practice Diploma
InCCA	Inter-consortium Credit Agreement
IPC	Institute of Paper Conservation
IPCRA	Irish Professional Conservators and Restorers Association
JAG	Joint Accreditation Group
LtW	Learning through Work (a Ufi programme)
MA	Master of Arts; Museums Association
MBA	Master of Business Administration
MEd	Master of Education
MEng	Master of Engineering
METO	Management and Enterprise Training Organisation (now disbanded)
MGC	Museums and Galleries Commission (now Resource)
MPhil	Master of Philosophy
MProf	Master of Professional Studies
MSc	Master of Science
MTI	Museum Training Institute (now CHNTO)
NCCR	National Council for Conservation-Restoration
NCVQ	National Council for Vocational Qualifications (now QCA)
NICATS	Northern Ireland Credit Accumulation and Transfer System
NSCG	Natural Sciences Conservation Group
NVQ	National Vocational Qualification
NWBL	Negotiated work-based learning
PACR	Professional Accreditation of Conservator-Restorers
PB	Professional Body (participating in PACR)
PCF	Preventive Conservation Forum
PGDip	Postgraduate Diploma
PhD	Doctor of Philosophy
PhMCG	Photographic Materials Conservation Group
PSB	Professional Standards Board (of NCCR)
QA	Quality assurance
QAA	Quality Assurance Agency for Higher Education
QCA	Qualifications and Curriculum Authority
RCA	Royal College of Arts
SCB	Scottish Conservation Bureau
SEEC	Southern England Consortium for Credit Accumulation and Transfer
SEGELL	Second-Generation Learning Log (a Ufi project)

SoA	Society of Archivists
SoA-PCG	Society of Archivists Preservation and Conservation Group
SQA	Scottish Qualifications Authority
SSCR	Scottish Society for Conservation and Restoration
SVQ	Scottish Vocational Qualification
TCF	The Conservation Forum (now NCCR)
Ufi	Ufi Ltd, the 'University for Industry' / Learndirect
UKIC	United Kingdom Institute for the Conservation of Historic and Artistic Works
V&A	Victoria & Albert Museum
WBL	Work-based learning

Appendix: Meeting the doctoral criteria

Area	Project demonstrates...
COGNITIVE	
Knowledge	Depth of knowledge in the project area which draws on interdisciplinary theory and experience relating to education, assessment, professionalisation and development and research methodologies. Uses synthesis of ideas from these fields to take forward a field of action through practical systems development, and to develop critical, practical theory. Use of knowledge to challenge thinking and move the client bodies forward and contribute to furthering ideas in the field of practice.
Analysis	Critical analysis of current thinking and practice (e.g. CPD, NVOs, professionalisation, professional qualifications) including identifying contradictions and incompatibilities between purposes and practices in areas such as CPD, professionalisation and qualifications frameworks, and proposing means of overcoming them; analysis and interpretation of information and feedback from diverse sources in assessing the context and impact of the project.
Synthesis	Drawing together and developing ideas leading to changed conceptions and practices in relation to professionalisation, accreditation and CPD; development of ideas relating to for instance qualification frameworks and the limits of professionalisation; synthesis of diverse information to in developing the conceptual basis and practical details of the project.
Evaluation	Evaluation of ideas and practices of accreditation, qualification and CPD; evaluation of project cycles, initial and potential impact of the project and the associated professionalisation process; evaluation of learning points for wider application.

Area	<i>Project demonstrates...</i>
TRANSFERABLE SKILLS	
Reflection	Reflection on current (e.g. CPD and practice-based assessment) and proposed (as represented in PACR) practices and associated theories; engagement in critical dialogue with the conservation practitioner and academic communities; development of new ideas and associated approaches to practice; reflection on own roles, practice and development through the project.
Planning and management	Project planning and management in development and implementation phases; a self-directed approach to the project, client relationships and to own practice development; awareness of political and contextual issues relating to professional relationships, management of change and interests of the client bodies and other stakeholders in PACR and the broader professionalisation process.
Problem solving	Problem-setting and problem-solving / outcome generation at practical and conceptual levels, including problematising situations (e.g. the impact of professionalisation) and generating new ways forward; overcoming differences and dilemmas between different perspectives and demands in the development of a common accreditation framework.
Communication and presentation	Communication including one-to-one, through client liaison and committee meetings, workshops, briefings and conferences, academic and client papers; sensitivity to individual and political issues.
Research capability	Development of methodologies for development projects to produce practical outcomes (action research / systems methods) and learning points relevant to wider application (case-study approach); balancing of ideal approaches with practicalities available in the situation (e.g. time, costs and willingness of client groups to participate); development of personal practice based on a combination of phenomenological and systemic principles.

Area	Project demonstrates...
OPERATIONAL CONTEXT	
Context	Development and implementation consultancy in a complex and evolving professional environment, in a national and to a lesser extent international context; engaging with issues relating both to the positioning of the client profession in its context, and the wider context of qualifications, professionalisation and professional development; working with client and associated communities of practice in formal and informal relationships.
Responsibility	Responsibility for design, professional advice and project development as an autonomous consultant working in a realisation relationship with a professional community; responsibility for own consultancy and development business; developing practical intellectual leadership in an area of expertise and taking forward an area of practice.
Ethical understanding	Awareness of ethical dilemmas arising in the development of the project (e.g. professional boundaries and potential exclusion), and proposing means of moving beyond them; management of the roles of the consultant / developer / researcher including problematic issues in the consultant-client relationship; understanding of ethical issues within the client profession and within the cultural heritage sector; understanding and management of potential role-conflicts.

Annex A.

Published and pending journal articles

Ref	Title	Publication details	Date written
A1	The Professional Accreditation of Conservator-Restorers: developing a competence-based professional assessment system	<i>Assessment and Evaluation in Higher Education</i> , vol 25 no 4 (2000), pp 411-423	7/1999
A2	Professional bodies, CPD and informal learning: the case of conservation	<i>Continuing Professional Development</i> , vol 2 no 4 (1999), pp 110-121	8/1999
A3	Assessing professional practice 'in the field:' experiences from the Professional Accreditation of Conservator-Restorers	<i>Research in Post-Compulsory Education</i> , vol 6 no 2 (2001), pp 173-183	4/2001
A4	Professional accreditation and NVQs: an exchange of experience	<i>Journal of Vocational Education and Training</i> , vol 53 no 4 (2001), pp 577-593	5/2001
A5	Becoming a profession: conservation in the United Kingdom	<i>Journal of the Society of Archivists</i> , vol 23 no 1 (2002), pp 87-94	8/2001
A6	The construction of qualification levels and frameworks: issues from three UK projects	<i>Higher Education Quarterly</i> , vol 55 no 4 (2001), pp 396-415	9/2001
A7	Qualifications in professional development: a discussion with reference to conservators in the UK and Ireland	<i>Studies in Continuing Education</i> , refereed and pending publication	1/2002
A8	Becoming a qualifying profession: a case-study from the heritage sector	In discussion with Professional Development Foundation for journal special edition	5/2002

The Professional Accreditation of Conservator-Restorers: developing a competence-based professional assessment system

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Assessment and Evaluation in Higher Education, vol 25 no 4 (2000), pp 411-423

Abstract

The accreditation and registration systems used by professional bodies serve a number of purposes including offering clients a measure of confidence, creating or maintaining a market niche, and raising the profile of the profession. The currently dominant technocratic model of professional accreditation normally places a high value on examining knowledge, with sometimes a secondary assessment of practice. A few UK professional associations are beginning to accept practice-based accreditation, generally as an alternative to their mainstream systems.

Conservators and restorers represent a small occupational group in the process of professionalising. A recent project has seen agreement on a practice-based system as the primary route to professional accreditation. This system draws on some of the principles established through UK occupational standards and National Vocational Qualifications, while incorporating modifications to aid clarity, improve the ease and rigour of assessment, and reflect intelligent, reflective practice. The approach used raises some issues and questions about how and on what grounds professional practitioners are accredited, and how occupational standards can be applied and assessed in a professional context.

Introduction

The PACR scheme (Professional Accreditation of Conservator-Restorers) represents the results of almost a decade and a half of professionalisation in a small, specialised and fragmented occupation. Unlike the largely examination-based systems of accreditation used in most established professions, the scheme assesses practice and understanding in the workplace. It draws on the occupational (competence) standards which have been developed in the UK during the 1980s and 1990s, and incorporates similar assessment principles to those underpinning National Vocational Qualifications (NVQs). However, the scheme has adapted both the occupational standards and the assessment approach to reflect needs identified by the profession and to ensure validity and rigour.

This paper outlines the context of the PACR scheme and its development, and highlights some of its potential implications. The approach used in the scheme raises issues relevant to the design and implementation of NVQs as well as to professional accreditation systems more widely.

Professional accreditation

Professional accreditation can be defined as the action of a professional body or registration authority in approving practitioners, normally after some form of examination or assessment, as fit or competent to practice. Accreditation has variously been seen as a means of creating a niche market or monopoly (Larson 1977), setting standards of service and providing a measure of protection for clients or the public through training, testing and codes of practice (Waddington 1985), or more simply as encouraging training and recognition in a more open system of market relations. The effect of

professional accreditation or registration from the practitioner's viewpoint ranges from access to a legally-controlled occupation (such as medical general practice, law or farriery) through to the satisfaction of being recognised in the profession as a qualified member, but with arguably little effect on employment, promotion or the ability to set up in practice. In between are what might be termed semi-controlled professions where unqualified practitioners may not use particular designations or undertake specific functions (such as architecture and accountancy), as well as occupations where accreditation, while far from compulsory, normally has a positive effect on the practitioner's career (such as personnel management and housing).

In the UK the most common pattern of accreditation is linked to what Bines (1992) terms the technocratic model of professional development. This approach normally involves the novice or would-be practitioner in demonstrating understanding of a knowledge-base, typically through written examinations, alongside or following which is a requirement for practical experience or training. In most professions the primary emphasis for assessment is on the knowledge-base, although full accreditation generally requires a period of practice in addition. There is a trend towards some form of practice-based or practice-related assessment (see for instance Eraut & Cole 1993), although in some cases this is no more than a post-experience written examination.

From a historical viewpoint, it is possible to identify three key conceptions of 'profession': a learned and moral one based on a broad classical education (the pattern for ancient professions such as medicine, law, priesthood and university teaching), a practical one based on apprenticeship and typified by the mediaeval craft guilds, and the predominant knowledge-based technical or administrative profession of the industrial era. According to Schön (1983) the use of academic training to add legitimacy to occupations' claims to professional status, combined with the dominance of scientific method and positivism as the rising form of academic knowledge from the mid-19th century onwards, has led to the technocratic or technical-rational model becoming the principal approach to professionalism during this century.

Countering this trend, the last two or three decades of the 20th century have seen the growth of an alternative or at least supplementary conception based on practice and values, which to an extent draws on the classical and apprenticeship models while adding the dynamics of professional artistry, reflective practice and self-managed capability (Schön *op cit*, Lester 1995). This has been assisted by a range of factors, including the influence in the professional arena of 'softer' occupations such as teaching, nursing and social work, recognition of the roles of perspective, values, intuition and (subjective) judgement in professional work, the growth of individual career-paths and 'portfolio careers' (Handy 1989) among professionals, and not least evidence of the inadequacy of technical-rational knowledge for operation in the 'swampy lowland' (Schön 1987) of practice situations (e.g. Klemm 1977, Boreham 1990). Nevertheless, the knowledge-base remains the primary focus of assessment in most professions, and alternatives are proving slow to gain acceptance.

The 'competence movement:' NVQs and occupational standards

Over the last decade the UK has seen a rapid growth in the use of practice-based assessment particularly in lower-level vocational qualifications, essentially stemming from the then Manpower Services Commission's review of vocational qualifications (MSC 1986) and resultant development of National and Scottish Vocational Qualifications (here abbreviated to NVQs). This movement towards

occupational competence assessed through work activities, rather than knowledge and skills examined away from the workplace, was initially focussed on making lower-level vocational training more relevant to the needs of employers. Consequently most of the early effort in NVQ development went into qualifications relating to basic and semi-skilled work (levels 1 and 2 in the NVQ framework), and subsequently extended to more complex occupations (levels 3, 4, and in a few cases the highest level, 5).

The design principles of NVQs include a basis in competent practice as represented by industry-devised occupational standards, division into a number of 'units of competence' representing key work functions, (normally) assessment through evidence of workplace competence, and open access to anyone who is able to demonstrate the requisite level of proficiency. 'Occupational competence' in this context has been defined as:

"... the ability to perform the activities within an occupation or function to the standards expected in employment. (This includes)... the ability to transfer skills and knowledge to new situations... organisation and planning of work, innovation and coping with non-routine activities... (and the) personal effectiveness... to deal with co-workers, managers and customers. It stems from an understanding (that) to perform effectively in a work role an individual has to combine... performance of various technical and task components, overarching management of the various technical and task components to achieve the overall work function, management of the variance and unpredictability in the work role and the wider environment, (and) integration of the work role within the context of the wider organisation, economic, market and social environment" (Training Agency 1988).

While this definition of competence is not unproblematic particularly in its unqualified reference to "standards expected in employment," it suggests a fairly broad conception which reflects at least some of what is understood by intelligent practice. In practice, there is evidence to suggest that NVQs and occupational standards can be effective in capturing some aspects of higher-level work (e.g. Eraut & Steadman 1998 as well as the author's discussions with NVQ assessors and candidates), provided they are approached holistically rather than in an instrumental or piece-by-piece fashion. Nevertheless, there are issues in applying occupational standards both *per se* and specifically to 'professional' work.

Occupational standards have been criticised for their tendency to reduce complex and variable work to measurable activities, ignoring the contribution of the practitioner in defining the work function and negotiating standards in the practice setting (e.g. Burgoyne 1989, Winter & Maisch 1991); their failure to recognise the need for capable practitioners to go beyond the "maps and safety-nets" provided by standards and "create their own maps" (Lester 1995, 1999a); and their tendency to represent standards as culturally and socially neutral, when they can embody assumptions and norms which may be neither useful nor desirable (Elliott 1991, Issitt 1999). At the level of implementation, problems with NVQs can include a tendency towards fragmented and pedantic assessment, often driven by poorly implemented quality assurance arrangements; reliance on paper-based means of evidencing competence, leading both to a drawn-out process of assembling portfolios as well as to methods of assessment which can have limited validity; and difficulties in understanding and interpreting the obtuse language and often overdetailed specifications which were almost *de rigueur* for occupational standards throughout the 1990s (e.g. Beaumont 1996, Eraut & Steadman *op cit*, Lester 1999b).

The Qualifications and Curriculum Authority (QCA), which is responsible for regulating occupational standards and NVQs outside of Scotland, has recently moved to address some of these problems through its revised design specifications (QCA 1999a), and there are several examples of occupational standards (e.g. Cultural Heritage National Training Organisation 1999) and assessment methods (e.g. Fowler 1997) which meet some of the above criticisms.

A further issue relevant to professional bodies is that the great majority of NVQs, 96.8% (QCA 1999b p9), have been awarded at levels 1-3; NVQs are therefore quite widely perceived as having limited relevance to 'professional' or other higher-level work. Higher-level NVQs have been most successful in management, where they have been incorporated in some organisations' management development strategies as well as appealing to some managers as a means of obtaining a practical qualification based on their work rather than on a course or learning programme. Although some professional bodies have been involved in standards development projects through QCA and through the sector-based National Training Organisations which develop the occupational standards, few have made direct use of NVQs and standards for professional accreditation. Those which have include the Institute of Personnel and Development, the Museums Association, and the Institute of Leisure and Amenity Management, which now accept NVQs as an alternative to academic qualifications as (at least partial) routes to membership.

Conservation: towards an accredited profession?

Conserving and restoring cultural heritage provides an occupation for an estimated 2000 practitioners in the UK, most of whom are members of at least one of eleven associations which variously perform the functions of professional body, trade association and learned society. Entry routes are now principally through graduate, postgraduate or higher technical qualifications, although a significant minority of practitioners enter via practical training or informal means, particularly at the more craft-based end of the profession. There has been interest in developing a common professional accreditation scheme for some time, with an inconclusive joint project taking place in 1986 and three of the bodies with predominantly private practice membership subsequently setting up independent schemes. The rationale for accreditation has generally been to provide a form of assurance to clients and the public as well as raising the profile and status of the profession against a background of fragmentation and to some extent perception as a craft or technician occupation.

The first significant milestone on the road to formal professionalisation was the publication of an international definition of the profession in 1984 (International Council of Museums Committee for Conservation 1984). In 1993 the UK professional associations formed an umbrella association called the Conservation Forum, later constituted as the National Council for Conservation-Restoration (NCCR). The European confederation of conservation and restoration organisations published a code of ethics in 1996, along with a recommendation that conservators should have a minimum of three years of full-time higher education. Although some European member bodies aspire towards controlled or semi-controlled status, in the UK at least it is likely to be more feasible to work towards a situation where accreditation becomes the norm for senior employed conservators and private practitioners working on public collections or grant-aided work.

Finalised occupational standards for conservation were published in the UK by the Museum Training Institute in 1996, including NVQs at levels 4 and 5; the latter was, after management, one of the first level 5 qualifications to be approved by QCA's predecessor, the National Council for Vocational Qualifications. A report (Barron 1997) was commissioned to identify whether and how the standards could be used in accreditation, and although it was somewhat optimistic in its view of how the NVQs and standards had been received among practitioners - only one conservation NVQ, at level 4, had been awarded by the end of 1998 - it concluded that there was an opportunity "to use the standards as a tool in an accreditation scheme even if the NVQ... was not to be achieved in its entirety" (*ibid* p11). One of the recommendations of this report was that a joint committee of professional associations should be set up to explore the practicalities of a common accreditation system based on occupational standards.

In parallel with these developments international discussions were taking place through the International Council of Museums (Cronyn & Foley 1996). These culminated in a Raphael bid being submitted to the European Commission by a consortium of representatives from Austria, Denmark, Finland, Italy, the Netherlands, Norway and the UK. The aim of this project, entitled FULCO, was to describe in assessable terms the work of the practising conservator in a way which was valid across Europe (Foley & Scholten 1998). The result was a framework based on seven key functions roughly parallel with the UK occupational standards, plus six general professional criteria covering areas such as values, understanding and intelligent practice; these latter drew on the widely-documented ASSET model developed for social work at Anglia Polytechnic University (Winter & Maisch 1991, 1996). Although the FULCO work was largely rejected by the majority of European bodies, it is continuing to inform developments in the Netherlands and the UK.

In 1998 three of the larger UK conservation bodies, the UK Institute for Conservation of Historic and Artistic Works (UKIC), the Institute for Paper Conservation (IPC) and the Society of Archivists, set up a joint accreditation group under the umbrella of the Conservation Forum. The UKIC and IPC also instituted temporary 'fast-track' accreditation schemes to enable practitioners with ten years' experience or more to qualify through a detailed application, vetted by two competent sponsors and a case officer. With additional support from the Museums and Galleries Commission and Historic Scotland, a joint scheme was developed and trialled during 1998 and 1999 ready for implementation in January 2000, when it would supersede the fast-track schemes.

Professional Accreditation of Conservator-Restorers: the PACR scheme

The joint PACR scheme was charged with being broadly acceptable across the profession, including the public and private sectors; supporting non-graduate as well as graduate entry; increasing the confidence of clients and the public in the professionalism of conservators and restorers; advancing the interests of the profession; and being manageable and cost-effective. The PACR project also included the development of a continuing professional development (CPD) scheme (see Lester 1999c).

Following engagement of the author as a project consultant and a series of initial discussions with Conservation Forum professional associations, an outline of a possible scheme was developed and put out to consultation with members of the three subscribing bodies. The responses were used to inform the development of the scheme, which was further refined through trialling with 13 volunteer

candidates and through a series of focus groups attended by 80 practitioners, related professionals and representatives of client organisations. The draft scheme documents were also circulated to a wide range of interested parties and posted on the UKIC web site, where they were accessed on more than 1400 occasions by the end of the development period. A final feedback conference held in June 1999 was attended by 33 delegates.

Early agreement was reached on a practice-based scheme, principally because of the diversity of entry routes to the profession, the desire to provide a measure of confidence in the proficiency and judgement of accredited members, and the lack of a common standard for (and a general shortage of) internships and training posts. Views were also expressed from within the profession that a wide range of standards were being applied in higher education, along with problems of practical conservation being squeezed by an increasingly diverse curriculum (Cummings 1996); in the absence of a powerful professional body which could influence universities and colleges, basing accreditation on practice was seen as a means of ensuring a common standard regardless of the training which had been undertaken.

While there was considerable interest in using the work which had been done to develop both the occupational standards and the FULCO framework, there was far less support for using the standards in their original state; issues included excessive detail, difficult language and more critically a feeling that they failed to capture essential elements of intelligent practice and professionalism. Conservation has a wide base in science, the arts and humanities, as well as practical artistry and craftsmanship, and although it has some characteristics which fit with a technical-rational model, it has a strong ethical base as well as including a growing recognition of the importance of intelligent, reflective practice and professional judgement.

Box 1 The PACR standards

Conservation practice

1. Evaluating conservation problems in context
2. Developing conservation strategies
3. Developing and implementing interventive treatment
4. Developing and implementing preventive procedures
5. Managing work, resources and projects
6. Contributing to the interests of the profession

Professionalism

- A. Demonstrating professional values and management of value-conflicts
- B. Demonstrating intelligent practice and professional judgement
- C. Demonstrating reflection, enquiry and personal professional development
- D. Demonstrating sensitivity to the cultural context of materials and the values of people
- E. Demonstrating effective, appropriate and sensitive communication

from National Council for Conservation-Restoration 1999

The resulting scheme (see box 1) drew on the structure of the FULCO project. It was based on six functional areas divided into a total of 17 standards or elements of competence based on the occupational standards (later reduced to 15), and five sets of general professional criteria. The functional standards were largely adapted from the occupational standards used in the level 5 NVQ, with rigorous removal of detail which was not critical to effective practice (box 2). It was originally intended to modify the functional standards to reflect the revised model being developed by the Cultural Heritage National Training Organisation (CHNTO, the Museum Training Institute's successor), but this proved unworkable for two reasons. First, the trials and consultations indicated a need to adapt and rationalise the standards particularly to make them more accessible to private practice conservators and to reflect specific issues such as health and safety, in a way which did not correlate directly with the CHNTO proposals. Secondly, the CHNTO framework (CHNTO 1999) dropped the level 5 standards for conservation practice, leaving a general level 5 NVQ for heritage management; conversely, the view in the profession was that accreditation needed to represent the ability to deal with the complex practical issues which had been a feature of the conservation standards at level 5 (box 3).

Box 2 Specification of a functional standard

6.2 Develop an area of expertise

This involves developing and communicating personal expertise in an area of conservation or in relation to a specific class of items which is relevant to current work or identified aspirations.

You will need to show:

- communicable expertise in your chosen field
- evidence of relevant research and updating in your field
- evidence of communication and sharing of your knowledge with professional and non-professional audiences
- appreciation of the significance of your field in relation to your work context, the conservation profession, and cultural heritage more generally.

from National Council for Conservation-Restoration 1999, drawing on Museum Training Institute 1996

Box 3 Complexity

Complexity can be inherent in the situation itself or in the approach taken by the conservator-restorer. Complex situations are typically those which:

- require choices between options which lead to significantly different outcomes
- present dilemmas and value-conflicts or require significant value-judgements
- present substantial technical problems, for instance in relation to unstable or degraded materials
- require a deep level of practical understanding to be applied to the situation
- require the marshalling and management of a wide range of resources.

To be 'complex' a situation need not contain all these factors, but it is likely to include more than one or have one present to a high degree. **Candidates must demonstrate that they can appreciate the issues inherent in complex situations and use intelligent, reasoned judgement in dealing with them.**

from National Council for Conservation-Restoration 1999

The assessment trials

The assessment method for the PACR scheme needed to be valid, fair, consistent and cost-effective, as well as demonstrating a level of rigour which would be acceptable in a chartered profession. There was also a strong view from practitioners that it should be open and provide opportunities for discussion, feedback and recording of any disagreements, consistent with the notion of peer assessment. Although the fast-track schemes in UKIC and IPC were producing a reasonable level of confidence within the profession and most sponsors were taking a searching and responsible approach to their role, the sponsorship method lacked the explicit level of rigour needed for a credible permanent scheme. On the other hand the approach used for the NVQs, which invariably involved candidates building a portfolio of paper-based evidence, was proving both time-consuming and unpopular; there were also concerns about accrediting practitioners purely on the basis of documentation, without assessors needing to see their studios or laboratories or any examples of practical work.

The assessment trials involved candidates making a detailed application against the professional standards, in theory supported by two competent sponsors, followed by a full-day visit by two assessors to the candidate's studio or place of work. Assessors, who were drawn from experienced members of the profession, took part in a one-day briefing before carrying out visits; two of the visits were also shadowed by the project consultant. During the visit the assessors examined the candidate's studio, work and documentation in some depth, discussed current and recent projects with the candidate, and questioned the candidate on principles and issues. In some of the visits short discussions were also held, with the permission of candidates, with the candidates' managers or other relevant colleagues. Assessment records were completed on the day and agreed with the candidate. Following the visit, completed application forms and assessment records were examined by a panel from the accreditation group who had not been involved in the initial assessments, assisted by the consultant.

The trial assessments indicated that the process was feasible and rigorous, if "exhausting" for both assessors and candidates. They demonstrated that a single well-prepared visit is sufficient to examine enough evidence to make a decision and gain an adequate picture of the candidate's understanding, practical knowledge and awareness of professional issues. However, the interpretation of standards and quality of recording varied between assessors, suggesting that further training and sharing of practice were needed. While for the trial no formal decisions were made about whether candidates met the accreditation criteria, there was an indication that some candidates were not meeting all the standards, primarily through lack of experience. On balance it appeared that in addition to higher education or other training typically between three and five years' varied experience was needed to reach the standard which had been set for accreditation.

In the finalised scheme (NCCR 1999) intending candidates are advised to attend an accreditation workshop and where practicable identify a mentor to assist them prepare for assessment; this is regarded in essence as a first filter, discouraging unprepared candidates from applying. The sponsor role was clarified and enhanced, with sponsors needing to be experienced and qualified conservators who have a reasonable knowledge of, or are prepared to familiarise themselves with, the candidate's work. An improved and more comprehensive but streamlined application and recording system was developed, and provision made for improved assessor training, feedback and updating (the

expectation is that assessors will attend two days of initial training plus an annual updating session). Provision was also agreed for candidates to be able to reject assessors with whom they felt there was a conflict of interest. Finally, although the assessors will report on the candidate's proficiency in each area of the standards, the accreditation decision (which can include referral in specific areas) will be made by the professional body assessment panel in order to ensure consistency.

The trial indicated that the most effective and economic method of assessment was to follow the sequence of projects and activities presented by the candidate, rather than to go through the standards in sequence; any areas which had not been covered could be returned to later in the process. Although this demanded more work and familiarity with the standards on the part of the assessors, it resulted in a more integrated and less artificial assessment. It also overcame fears expressed at the beginning of the trial that the general professional criteria (as opposed to the functional standards) were effectively not assessable; in practice it was possible to make what appeared to be reliable inferences about them from the mix of live evidence, documentation and discussion focussed on the candidate's work. Compared with portfolio-based assessment, the PACR approach offers a method which is robust, valid and efficient, although it may lose some of the advantages of efficiency if a referral requires a second visit.

A further issue which arose during the development phase was the extent to which knowledge could be assessed, and whether knowledge could be used to compensate for lack of practical evidence. The majority view in the initial stages of development was that accreditation should be concerned with depth of working knowledge or knowing-in-use rather than coverage of a formal knowledge-base. The trials indicated that this kind of knowledge - along with the quality of the candidate's conceptual understanding of his or her work - could be inferred with some confidence through discussion and observation on site, and lack of both practical knowledge of a topic and understanding of underlying principles could quickly be identified. The compensation issue particularly concerned candidates such as conservation managers and advisers who no longer worked on objects, and others whose current work did not cover the full range of areas described by the standards. It was decided to allow limited compensation, particularly where the candidate could demonstrate previous experience, based on a working level of knowledge sufficient to convince the assessors that s/he could do the work to a competent standard if needed.

Ongoing issues

One issue which was raised through the focus groups concerned whether credit could be given towards accreditation for holders of NVQs, and if not whether the PACR scheme would have a detrimental effect on NVQ uptake. On balance, there appear to be difficulties in giving credit into the scheme because of the holistic nature of the assessment process, particularly in respect of the professional criteria; however, it should be possible to re-use evidence submitted for an NVQ towards accreditation. If more formal relationships are to emerge, these are likely to be as a result of taking case histories into account as the scheme is reviewed.

The relationship of accreditation to courses and training was also discussed, with some practitioners feeling they should be granted exemption or at least an easier route on the basis of postgraduate qualifications. On balance the trials suggested that postgraduate training did not necessarily confer the depth of working knowledge expected of an accredited practitioner, and there was no particular

rationale for making concessions to postgraduates rather than for instance those who had qualified at a lower level through a work-based route. There was some interest in 'Part 1' accreditation as an entry requirement for PACR, with approved qualifications giving exemption; however, the course approvals seen as necessary to enable this were generally agreed as being outside the profession's scope for the immediate future.

A further issue concerns mutual recognition of qualifications in Europe. The majority view among the European associations is currently that recognition should be based on full-time higher education; by comparison, the PACR scheme is open to non-graduates but is set at a level of proficiency well beyond that which could be expected of a new graduate. The situation is further complicated by differences in higher education practice, so that for instance while it is possible for a UK graduate may emerge with minimal practical experience, a holder of a German conservation degree will have had substantial pre-entry and in-course exposure to practical work. 'Part 1' accreditation could provide a partial solution, although there is first a need for the PACR scheme to establish its credentials in the UK.

Finally, the PACR scheme will be open to applications from January 2000, and there are many lessons which remain to be learned from how it works in practice. The first of these will be its acceptability to the profession particularly as evidenced by the level of demand, followed by issues of manageability and cost-effectiveness. The validity of the scheme will also need to be reviewed, both internally in terms of quality assurance and professional standards and externally particularly in the extent to which it influences the behaviour of clients, employers, grant-giving bodies, course providers and other professions.

Conclusions

While it is too early to make conclusive statements based on the PACR scheme, it provides some indications of the scope for basing professional accreditation on standards of practice.

The PACR scheme is concerned with assessing a working level of proficiency and professionalism across a practicable breadth of activities, making it applicable to practitioners at least three and more likely five years on from their initial training. Compared with more traditional approaches which look for theoretical understanding of a broad knowledge-base, it probes depth of practical knowledge-in-use and understanding of principles underlying the practitioner's work. While not questioning the principle of studying a knowledge-base through college or university courses, examining formal or espoused knowledge some time into the practitioner's early career would seem to have little relevance to the ability to practice.

The PACR scheme suggests that while occupational standards can be used in professional accreditation, they need to be adapted from current formats particularly to remove trivial detail and focus on the core of effective practice, and augmented or at least interpreted in a way which reflects the intelligent judgement expected of professional work. Recent guidance from the Qualifications and Curriculum Authority (QCA 1999b) suggests that some of the earlier rigidity associated with standards and NVQs is now being abandoned, although there is a tendency to return to a syllabus-style knowledge specification rather than focussing on knowledge-in-use and effective practical understandings and mental models. Nevertheless, the unresolved tension as to whether NVQs

represent practice qualifications or threshold awards made at the end of a period of training (see for instance Lester 1999b), which has reflected back into the design of occupational standards, points to a minimum need for the professional body to rigorously examine whether the standards reflect what is required of a competent practitioner.

While practice-based accreditation may not be appropriate in all professional areas, it appears to provide an option where there are reasonably widely-accepted standards of practice. The principles employed in the PACR scheme may be worthy of consideration for post-experience professional practice assessment in professions where accreditation is based principally on written examinations. The PACR scheme suggests that it may also be viable for small and emerging professions, including where standard education and training routes have not become established or are inappropriate. Subject to further experience and research, rigorously implemented practice-based accreditation may be capable of providing a more valid and reliable means of inferring ability to practice to an acceptable standard than the more usual examination-based methods, and therefore have higher value to users of professional services.

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The documents for the PACR scheme will be available at www.ukic.org.uk/pacr/ from January 2000 onwards.

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Acronyms

ASSET Accreditation of Social Services Experience and Training
CHNTO Cultural Heritage National Training Organisation
FULCO Framework of universal levels of competence
IPC Institute of Paper Conservation
MSC Manpower Services Commission
NCCR National Council for Conservation-Restoration
NVQ National Vocational Qualification

PACR Professional Accreditation of Conservator-Restorers
QCA Qualifications and Curriculum Authority
UKIC United Kingdom Institute for Conservation of Historic and Artistic Works

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Professional bodies, CPD and informal learning: the case of conservation

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Abstract

Professional bodies in the UK are increasingly adopting formal continuing professional development schemes to encourage and in theory compel members to keep up-to-date and enhance their competence. Many of these schemes are based on a minimum time spent on approved development activities, although subsequent research has indicated that they may be relatively ineffective at generating useful updating while creating a burden of recording and evidencing. More recent developments include drawing on the Kolb / Honey and Mumford learning cycle to encourage individual relevance and planning, and while this is more supportive of informal activities it can downplay the value of serendipitous and intuitive learning. A scheme recently developed for conservators of cultural heritage aims to promote broader reflection on all kinds of learning while minimising unproductive recording.

Introduction

The majority of professional bodies in the UK have introduced, or are introducing, schemes to promote members' continuing professional development (CPD). Many of these schemes have a requirement for hours of study or accrual of points scored for approved activities, despite doubts about the effectiveness of these methods for encouraging useful learning and updating. An ongoing problem with professional body CPD schemes is that they can be ineffective in ensuring that less proactive practitioners maintain an adequate level of competence, while creating requirements for recording learning and in some cases attending courses which can present an additional and largely superfluous burden for members who are already committed to ongoing development.

In 1998-99 three of the bodies representing conservators of cultural heritage developed a joint scheme to accredit their members, including a requirement for ongoing learning. This development has provided an opportunity to examine issues relating to CPD and practitioner learning in the context of a small and varied profession, and to work towards an approach which emphasises learning rather than recording.

The professional context

There are an estimated 2,000 practitioners in the UK who work to conserve and protect cultural heritage and works of art. These conservators or conservator-restorers are split between museums and galleries, national heritage organisations, and a growing private sector which handles work from public and charitable institutions as well as from private individuals and collections. Conservation is represented by at least eleven professional associations and groupings including Scottish and (pan-) Irish bodies. There are also international bodies which accommodate individual membership, and a European confederation of conservation and restoration associations (ECCO).

Conservation covers a spectrum of activities which include *preventative conservation* through controlling the environment in which cultural artefacts are stored and exhibited, *intervention* to arrest decay, strengthen the object and remove accretions, and *restoration* to return objects to usable or substantially original condition. Restoration and purely preventative work represent opposite ends of the spectrum, with to an extent different aims and ethics; typically they also draw on different mixes of scientific, artistic and craft skills. The term 'conservation' is used here to cover all these activities.

The history of the professional associations in conservation has essentially been fragmentary until 1993, when eleven bodies agreed to meet under an umbrella which became known as the Conservation Forum, now constituted as the National Council for Conservation-Restoration (NCCR). A growing interest in developing recognisable professional standards and assessment has resulted in a number of individual accreditation schemes, and in 1998 three of the larger bodies - the UK Institute for Conservation of Historic and Artistic Works (UKIC), the Institute for Paper Conservation (IPC) and the Society of Archivists (SoA) - formed a joint accreditation group under the umbrella of the Forum. The Group's remit was to develop a common accreditation scheme, including a continuing professional development component, which was acceptable to its member bodies and insofar as possible to the remaining Forum members. With additional support from the Museums and Galleries Commission and Historic Scotland, the scheme (now known as the PACR scheme) was developed and trialled during 1998 and 1999.

Continuing professional development

Continuing (or continuous) professional development has been described as "the maintenance and enhancement of the knowledge, expertise and competence of professionals throughout their careers according to a plan formulated with regard to the need of the professional, the employer, the profession and society" (Madden & Mitchell 1993, p12). Although updating and enhancement has inevitably been a feature of many professional careers for far longer, CPD as a concept was relatively unknown until at least the 1960s (Houle 1980), and only during the last ten to fifteen years of the twentieth century have professional bodies taken systematic steps to ensure their members continue their development on an ongoing basis. By the early 1990s Gear, McIntosh and Squires could comment that "the inadequacy of initial professional education as a preparation for one's entire working life is now well recognised by professional bodies. It is not just that knowledge dates, but that the very conception and interpretation of professional tasks and roles change over time" (1994, p77). Recognition of the need for CPD is now well-established, at least among the majority of professional institutions.

Professional bodies' rationales for CPD tend to focus most strongly on updating and the maintenance of competence. Welsh & Woodward (1989) identify maintaining competence and standards as the primary rationale for CPD, supported by increased public and client expectations of services provided by professionals, rising costs of professional indemnity insurance, a need to improve competitiveness in world markets, and an increase in the use of formal quality assurance systems. Rising litigation and insurance claims are also a significant factor in creating pressures for verifiable updating (Pepperell 1987, Becher 1999). From a slightly different starting-point Sandelands (1998) suggests that combatting personal obsolescence will become a major theme due to endemic rates of change and because of economic globalisation, with its effect of creating increased competition and breaking down barriers to entry. Madden & Mitchell (1993) also point to occupations which are in the process of professionalisation using CPD schemes as part of their strategy to improve their credibility and status.

In spite of these pressures it is clear that some practitioners fail even to maintain an acceptable level of competence. Rogers & Shoemaker (1971) put forward a model of innovation in which a small minority of people drive innovation and change, a larger minority of 'pacesetters' quickly follow in taking it up, and a middle majority move forward more gradually. Bringing up the rear are the 'laggards' who are either left behind or move only when compelled. Although this is in some respects an oversimplified conception of change (for instance in comparison with Schön's [1973] notion of 'dynamic conservatism'), it provides a pragmatically useful perspective from which to view CPD. Houle (1980) suggested that one of the main objectives of professional bodies in encouraging CPD is to move the 'laggards' and the slower of the middle majority further up the spectrum. This agrees with Madden & Mitchell's findings, where bodies which confer a licence to practice tended to adopt a sanctions approach to promoting CPD which might be expected to cajole laggards more than encourage pacesetters.

While several of the conservation bodies were promoting CPD through a mixture of codes of practice and events such as conferences and seminars, none had a formal scheme by the time the accreditation system was developed. The rationale for developing a scheme was principally based on updating and competence, with some reference to the costs of professional indemnity insurance and trends in other professions. Professionalisation issues also formed part of the agenda for the accreditation scheme, although not for CPD directly; concerns included the lack of public awareness of conservation both as an activity and as a profession, the lower status of many practitioners compared with colleagues such as curators and architects, and a concern that people with minimal training or experience could set up or in some cases gain jobs as conservators. A CPD scheme was therefore seen as a means of promoting learning, development and professionalism among practitioners, as well as a means by which the profession could be seen to be maintaining its standards.

Professional body CPD schemes

Beyond the simple promotion and resourcing of ongoing development, professional bodies' formal CPD schemes currently draw on two main approaches. Older schemes tend to emphasise quantitative inputs expressed either as a number of hours to be spent on courses or other verifiable learning events, or a tally of points to be gained by taking part in approved activities. Although relatively crude - the measure doesn't relate to the quality of learning or its individual relevance (or even whether learning, as opposed to attendance, takes place) - it provides the professional body with a means of gauging participation and if necessary taking sanctions against members. This approach is used by among others the Royal Incorporation of Architects in Scotland, which stipulates a minimum of 35 hours per year, the Institute of Environmental Health Officers, where 20 hours are required of which at least half must be formal learning relating to core topics, and the Institute of Chartered Accountants in England and Wales, where 50 hours are stipulated. Typically, informal and work-based learning activities are discounted or at best treated as supplementary.

More recently and influenced by work such as that of Kalb (1984), Haney & Mumford (1986) and Schön (1987), many professional bodies have recognised the importance of the process and results of learning as opposed to quantitative inputs. For instance, the former Institute of Training and Development (ITD) described CPD as "a structured process of (self-managed) learning from experience... based on identifying needs, planning action, implementing and review" (ITD 1993), i.e. a form of learning cycle or action research cycle. This approach has given rise to requirements for members to identify their needs, draw up a development plan, and review their learning, with many bodies providing a proforma for

recording the complete process. What might be called the learning cycle approach is in use in bodies as diverse as the Royal Institution of Chartered Surveyors (RICS), the Museums Association, and Institute of Personnel and Development (IPD), the ITD's successor.

The learning cycle model recognises that CPD is about more than updating and maintaining competence. The Museums Association asks for review of the impact of CPD on the member's job and how it has contributed to career plans, while the IPD suggests members consider enhanced career prospects, increased capacity to learn, personal confidence in meeting change, and managerial and organisational benefits as well as improvements to job performance. This model is concerned more with promoting benefits and generating a development culture than with taking sanctions, and it also gives due recognition to informal and individualised learning; as the IPD points out balanced CPD will include a variety of methods of learning. The Landscape Institute goes somewhat further in pragmatically recognising that in the context of a small profession most CPD will take place through individual activities, both because the geographic dispersal of members can make formal events impractical other than in a few large cities, and members "will have topics of personal interest or particular relevance to current work that they prefer to investigate" (Landscape Institute 1991, p2). These issues are also relevant to conservators, particularly outside of the major communities of practice in London and Edinburgh.

Nevertheless, few professional bodies are prepared to abandon input measures completely, and there is some evidence that they serve a useful purpose in providing a minimum benchmark including to assist employed professionals to negotiate release from the workplace. The RICS specifies 20 hours per year for established members, of which no more than two-thirds should be by informal methods, and the IPD recommends a minimum of 35 hours as well as encouraging members to record time for formal events. The Museums Association asks members to log time spent on CPD activities, although a total is only stipulated for the first two years after qualifying.

Issues

Although an increasing number of professional bodies are taking a learning cycle approach to continuing development, there is a degree of inertia in moving from a sanctions and controls model to a benefits or facilitative one. While there is an understandable concern with ensuring basic levels of updating, requirements based on quantifiable inputs are more likely to induce unreflective conformance in 'laggard' practitioners than to stimulate development which is conducive to professionalism and competence. As Fowler comments, "the real test of CPD is not whether you attended a particular course or read a particular book; nor is it to supply evidence to meet your professional institute's membership criteria. It is whether your CPD actually improves your professional competence and adds to the achievement of your personal career objectives" (1996, p56). Gear *et al* state in their report on informal learning that "whereas the main emphasis for... professional bodies is typically on overt, formal and public means, with any informal learning in the background, for the individual it is the informal which looms largest and the formal inputs which play a supporting role" (1994, p71).

Practitioners in a wide range of fields also recognise, like the Landscape Institute, the central importance of informal learning. One accountant comments "I don't think the emphasis on input measures... is much of an indicator with CPD as to its value or otherwise. ...I think the measurements are meaningless since they record hours spent or points earned on formal activities, not learning gained..." (quoted in

Sandelands 1998). Commenting on "points and hours" schemes more widely, Hughes (1995) suggests that these are not effective in ensuring members undertake CPD which is relevant to their practice or their clients. Similarly, in a 1994 study training practitioners "variously thought that (hours or points) inhibited (them) from setting their own agendas and using innovative methods of development, undermined professionalism by diverting responsibility from the individual practitioner to the professional body, and devalued learning by leading to a 'paper chase' to satisfy the... criteria" (Lester 1995, p21). Parallel sentiments were expressed quite widely in the initial consultations for the PACR scheme, and there was concern that too mechanical and time-consuming an approach to CPD would be rejected particularly by private-practice conservators. This mirrors the situation in some other professions where there are fears that too rigorous an approach to compliance would lead to resignations, particularly by sole practitioners and members in small firms (Becher 1999).

The need to move beyond so-called formal methods is also reflected in research on practitioner learning such as that of Klomp (1977), Argyris and Schön (1978), and Berry and Broadbent (Berry & Dienes 1992). Briefly, these studies suggest that knowledge gained from formal learning often has surprisingly little effect on enhancing practice unless it is developed alongside experiential, know-how learning and becomes integrated with the practitioner's tacit repertoire of knowledge-in-use. As Houle et al (1987) assert, successful CPD needs to be integrated into practice.

Unplanned and intuitive learning

Although the learning cycle model of CPD takes these complaints substantially into account, it has its own limitations. Honey & Mumford (1989) identify four strategies for learning, which they term intuitive, incidental, retrospective and prospective. They, along with much conventional CPD wisdom, suggest that the most effective strategy is prospective (i.e. planned, fitting the learning cycle model); according to the IPD "it is the prospective type which is the most powerful - and this is the type which best serves the aim of CPD, though... not to deny the value in some circumstances of the incidental and retrospective types" (IPD, undated, p6). However, to dismiss opportunistic and intuitive learning as less valuable ignores research on how practitioners actually learn to effect. The study of trainers previously referred to indicated that practitioners valued "intuitive learning and... insights gained from unplanned activities" (Lester 1995, p21), while Gear et al found serendipity and exploration played a central part in the way practitioners learned, for instance "...coming across articles and gleaning information which... led along new paths," "keeping... eyes open and becoming aware of possibilities... just following leads," or "a project having a life of its own" (Gear et al 1994, p27). While much of this learning evolves from things outside the person's control, it "also seemed to be the natural, exploratory way of doing things in many cases" (ibid).

A useful perspective on this issue is offered by Megginson, who identifies a planned strategy based on deliberation and forethought, and an emergent one involving "unpremeditated exploration" (Megginson 1996 p417). He continues with a metaphor for learners who have a well-developed preference for one or other approach, likening them to the foraging strategies of butterflies and bees: "Bees seek out a known source of nourishment and return to base, whereas butterflies are blown hither and thither and chance upon all sorts of goodies which might be out of range of the focused bee. Both strategies have their advantages, and both are clearly successful in terms of allowing the species to perpetuate themselves" (ibid p418).

Intuitive learning is less easy to consider due to its tendency to remain tacit and difficult to articulate, at least in the short term. Honey and Mumford (1989) are largely dismissive of intuitive learning, viewing it as little more than an excuse for not learning in more reflective and proactive ways. Nevertheless, it is apparent that intuitive learning can lead to profound insights and paradigm-shifts, as well as being able to handle information and experiences at a much greater rate and depth than that achievable consciously. Capturing the insights and changes from intuitive learning can require reflection at some remove from the event, for instance through reviewing changes and growth over a year or since the beginning of a job or a career. Many learning-cycle CPD schemes ask for reviews of learning events, but omit any reference to the kind of longer-term review which is more apt to identify learning of developmental benefit. This is a serious omission as it promotes short-term evaluation rather than deeper reflection, emphasises discrete learning events and activities over longer-term development and change, and is less apt to capture insights which would enable practitioners to become more effective learners.

Gear *et al* identify three kinds of learning in relation to CPD. *Specific learning* arises from needs relating to particular cases or problems. *General learning* "arises from broad endeavour to keep up-to-date, in touch or abreast of trends and developments in a profession." *Developmental learning* is dynamic, progressive and cumulative, typified by "identifiable events, strands or episodes in a person's professional life" (Gear *et al* 1994, p72). While instrumental CPD schemes, geared to essential updating, could focus on general learning alone (assuming that specific learning will be taken care of by the practitioner), approaches designed to support more than basic competence also need to encourage developmental learning and prompt enhanced specific learning. It is difficult to envisage how this could be achieved without respecting equally the parts played by planned, emergent and intuitive learning.

Informal learning and professional bodies

While CPD schemes need to be seen as relevant by innovators and pacesetters, and therefore encourage informal and developmental learning, pragmatically a bottom line may be needed to enable sanctions against the laggards. If hours and points are more a means of providing comfort and visibility rather than ensuring useful learning, other methods need to be explored.

One option suggested by work-based higher education practice is to use a learning contract, possibly as a developmental alternative to initial sanctions. A small number of UK universities enable learners to create fully individualised qualification-bearing programmes which draw on work projects and activities rather than taught courses (for instance Foster 1996, Osborne *et al* 1998). Some of these institutions insist that before a programme is agreed the student must complete a review of previous learning, and negotiate a learning plan or agreement to set the focus and broad objectives of their programme. This approach represents a form of the learning cycle model, but one which encourages deep-level reflection and review of learning which has taken place over a significant period of time, and where planning is concerned with strategic directions and major approaches rather than precise outcomes and learning events. As a model, it has features which could be used to enable developmental (and intuitive) learning to be incorporated into a learning cycle approach.

Another approach which is worthy of further exploration is suggested by Gear *et al*'s definition of a 'learning project' as used in their research: "the equivalent of (at least) one working day... over the last three years spent developing some aspect of your professional knowledge, skills and competence to the

point where you could pass some of it on to a colleague" (Gear *et al* 1994, p8). A requirement which relates to learning projects is likely to be more significant in maintaining the quality of practice than one based on notional learning time, particularly if the practitioner is required to state briefly the nature and results of the project.

Developing the PACR scheme

It was apparent at the beginning of the development process that the PACR scheme needed to take into account (a) that some practitioners would belong to two or more bodies each of which might have its own CPD requirements, and (b) whatever was proposed would need to be acceptable to public and private sector practitioners, as well as to conservators working at a distance from the major communities of practice. An initial consultation process identified further concerns, in particular that the scheme should support learning and not impose time-consuming bureaucracy; recognise all types of learning rather than just courses or other 'approved' events or opportunities; enable individuals to match their learning to evolving jobs and aspirations; and allow flexibility in how to plan and record, while offering a proforma to (as one consultee put it) "discourage rambling essays."

The design principles which emerged from the initial consultation and development process were:

- enabling practitioners to retain control of what and how they learn
- ensuring that recording requirements prompted learning and reflection while imposing a minimal administrative burden
- focussing on learning and development rather than learning events or activities.

Some conservators were already using the Museums Association recording system, and while this was longer and more detailed than the approach envisaged for the proposed system it could allow similar outcomes to be achieved. It was therefore decided, like the Institute of Personnel and Development, to provide documentation and guidance but to enable practitioners to use alternative methods of recording if they preferred. The CPD record developed for trialling consisted of a double-sided review sheet and an action plan to identify areas of development to follow up. The review sheet provided one side for reflecting on previous learning and development, with the other side divided into a space for reviewing how the learning would be used and a section for making notes on future development needs and opportunities. The action plan followed a conventional format by prompting users to identify areas they wanted to develop, intended methods, a timescale, and a space for review.

The trial took place between March and May 1999, with 40 conservators initially volunteering to examine or complete the CPD documents. Eleven sets of completed documents were returned with accompanying feedback, and 33 participants attended a feedback conference in mid-June.

Refining the approach

On balance the approach taken was found acceptable to participants. Completing the review and action plan took between two and seven hours, although two participants mentioned that considerably more time had gone into reflection before committing anything to paper. The majority found the exercise useful in encouraging reflection and 'taking stock,' focussing attention on key issues for the future, and putting future objectives in writing. Two expressed some ambivalence about the review, and one commented that there was no added benefit in writing down things which were already in her head.

Most thought they would follow up at least some of the points identified in their action plans, with pressure of time being cited as the main limiting factor. Participants on short-term or project-based contracts also felt external changes would mean revisiting their action plans, and there was a minority resistance to action planning in the face of quickly changing working environments.

How trial participants actually reviewed their learning varied. Most mentioned specific events or learning episodes, some provided little more than a list with a few general comments, while others took a more global approach concentrating on overall development. The second part of the form, asking how the practitioner intended to use the learning, resulted in a spectrum from project-specific applications to general career and personal development. The action plan spanned a similar spectrum, and although some participants concentrated on relatively short-term objectives most included a balance between immediate and longer-term plans. Although action planning was seen as useful by most, a minority thought it was restrictive, for instance:

"Using a form... reduces the learning process to a number of identifiable events (such as) attending courses or study periods. However learning is generally not clear cut, and is often by informal conversation with colleagues... and learning 'on the hoof' as clients' projects arise..."
(Participant, PACR trials April-May 1999).

On balance, the trial pointed to a need to provide clearer guidance on the level of detail expected in the review, and to move practitioners away from cataloguing day-to-day and project-specific learning. In the feedback conference it was suggested that practitioners should be focussing on

"... cases where there is a significant improvement in ability or knowledge, and the learning outcome is identified. It should not include day-to-day actions or investigations."
(Participant focus group, Next Steps conference, Institute of Archaeology 17th June 1999).

This definition can be related to Gear *et al's* notion of learning projects, as well as to their distinction between specific learning and general and developmental learning. While at this stage it was decided to avoid introducing the idea of learning projects, the revised CPD documentation included guidance based on their three categories:

"Specific learning concerns particular cases or problems, typically 'finding out as you go along:' reading up regarding specific objects or problems, asking colleagues about treatments, checking sources of supply, and so on. This kind of learning is important for day-to-day practice but often becomes out of date quickly. It should not normally be included in your CPD review, unless it has a longer-term impact on your work or leads to findings which are of more general interest.

General learning concerns keeping up-to-date and abreast of trends and developments in the profession and affecting it. This kind of learning might involve reading journals and email discussions, networking and discussion with colleagues, and attending courses and conferences. Your CPD review should show that you are keeping up-to-date in your field, without needing to cite every example in detail.

Developmental learning is learning which takes forward your practice, creates new opportunities and develops extended professionalism. It may involve undertaking a major

study, an advanced course or a programme of research, be generated through a new job or major project, or stem from becoming involved in activities outside your normal work. Although it is useful to plan developmental activities, the value of developmental learning may only be apparent on reflection.”

(National Council for Conservation-Restoration 1999, drawing on Gear *et al* 1994).

Issues for the future

The National Council's accreditation scheme is due to come into operation in January 2000. Accreditation candidates will need to demonstrate evidence of CPD review and planning immediately, with the records of accredited members being called in for examination from 2002 onwards. The Council intends that the scheme is reviewed periodically; in relation to CPD, key questions will include:

- Whether the scheme works effectively across the profession's different specialisms and practice contexts.
- Its effect on members' learning and development: in particular whether it is effective in ensuring necessary updating and encouraging developmental learning.
- Its success, in conjunction with the assessment and disciplinary components of the accreditation scheme, in preventing complaints of professional incompetence against accredited practitioners.

The scheme is based on the assumption that professionally accredited practitioners are able to plan and review what they need to learn and have sufficient (self-)awareness of practice issues to avoid unethical and incompetent practice. If this proves an insufficient assumption, there is scope to strengthen the scheme either generally (for instance through a requirement to identify specific 'learning projects'), or through providing additional requirements and associated support for individual practitioners who are identified as not maintaining a basic level of updating (for instance through a learning contract approach).

Conclusions

The need for ongoing professional development is now well-established, both from the perspective of service quality and from that of personal career development and marketability. In setting up continuing professional development schemes, professional bodies are typically aiming both to encourage practically relevant updating and development among their members and provide a means of demonstrating that members are maintaining their competence. While these aims should ideally be mutually supportive, an overemphasis on demonstration and policing can promote a culture of conformance rather than one of professional capability and development.

Excepting situations where well-defined external changes impact on whole professions - such as changes to legislation - relevance is primarily an individual matter, both in terms of what needs to be learned and how the practitioner learns. Requirements for demonstration need to reflect the realities of practice and of how practitioners can usefully go about learning, including through means which are informal, exploratory and intuitive.

There is therefore a strong case for professional CPD schemes to move away from recording hours, points or events, as well as becoming less constrained by assumptions about the superiority of planned or prospective learning. Where a more precise indication of updating is required, there is scope to explore approaches such as learning projects and learning contracts rather than the more traditional quantitative measures. While it can be necessary to have measures to prompt laggards into action and to assure clients that updating is taking place, it is important that these do not become burdens to more responsible practitioners.

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Assessing professional practice 'in the field': experiences from the Professional Accreditation of Conservator-Restorers

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Abstract

The Professional Accreditation of Conservator-Restorers (PACR) is a practice-based assessment and accreditation framework operated jointly by three of the professional bodies in the cultural heritage sector. PACR was introduced in 2000 following trials in 1998-99.

Early evidence indicates that PACR, based on a detailed application and a full-day workplace visit by two assessors, provides a valid and rigorous means of assessing professional competence in the field of conservation. Although there have been teething problems, the first round of accreditation has worked effectively. The assessment methodology appears to have significant advantages over alternatives such as portfolio-based assessment, although there is also less margin for error and higher costs associated with rectifying any problems. The transferability of the PACR methodology is likely to vary with occupational field, with it being most applicable to occupations where it is possible to examine and discuss practical evidence on site.

Introduction

The assessment and accreditation of would-be practitioners forms a significant role for many professional bodies. The most common approach for bodies working from the dominant 'technocratic' approach to development (Bines 1992) is to concentrate on the assessment of knowledge, often supplemented by a minimum period of supervised or logged experience. More recently, concerns to ensure the competence and professionalism of practitioners - as distinct from their academic knowledge - has led to greater interest in assessing professional practice directly, rather than relying on written assignments, examinations or simulations. Some professions such as architecture and surveying include a professional practice assessment or requirement for a portfolio of work activity before the 'practising qualification' is awarded, although there is rarely an attempt to make a thorough assessment of practice.

A significant move to the assessment of work practice is represented by the UK's now well-established system of National and Scottish Vocational Qualifications (here abbreviated to NVQs). NVQs are generally awarded on the basis of competence in work activity, assessed either directly through workplace visits and observation, or indirectly through records, explanations and references relating to work activity. A small number of NVQs have been developed at levels 4 and 5, equivalent in level to many professional qualifications. However, less than 4% of all NVQs awarded have been at these levels, and their impact on the approaches used by professional bodies has been relatively limited.

The PACR framework (Professional Accreditation of Conservator-Restorers) was developed by a consortium of professional bodies in the field of conserving cultural heritage and works of art (see Lester 2000). Its aim is to provide an assessment of professional standards independent of

practitioners' training or entry routes to the profession, which leads to the award of Accredited Conservator-Restorer status.

Accredited status is awarded through PACR by any of three professional bodies operating under the umbrella of the National Council for Conservation-Restoration (NCCR). It is pitched at the level of an experienced practitioner, perhaps four to five years after completion of initial training, and requires a mature approach to practice which demonstrates professional judgement and ethics, depth of practical understanding and contextual sensitivity as well as technical competence. For graduate and postgraduate entrants it has parallels with the professional practice assessment in some of the construction professions, while remaining open to people who have entered the profession through work-based training. Accredited status is subject to the practitioner continuing his or her development and practising in accordance with the profession's code of ethics.

Direct and indirect assessment

The emergence of higher-level NVQs during the 1990s was accompanied by an almost universal use of portfolio-based assessment. This kind of assessment involves the qualification candidate assembling a collection of items which act as evidence of his or her competence, and which can be assessed away from the workplace; for instance, for a management candidate this could include reports, meeting notes, letters, memos, budgets and so on, backed by an explanatory narrative and endorsed by 'witnesses'. The candidate normally cross-references these items against the components of the qualification before putting it forward for assessment. Typically, one or more assessors will examine the portfolio and discuss points with the candidate, before approving (or otherwise) achievement of the relevant parts of the award, subject to checks by a verifier.

Portfolio-based or indirect assessment has the advantages of enabling candidates to assemble evidence at a pace which suits them, keeping assessor time and therefore costs under control, and enabling the qualification to be achieved in stages rather than through a one-off assessment. There is also no sense of a 'test:' if the material provided is insufficient or not up to standard, the candidate can be advised to include additional evidence or if necessary gain additional knowledge or experience in the area concerned. However, it can involve candidates in doing a large amount of essentially unproductive and backward-looking paperwork, and there are many examples of competent practitioners who have failed to achieve NVQs because of the work involved in assembling portfolios (e.g. Lester *et al* 2000). The validity of indirect assessment can also be questionable, both because it is not good at capturing practical and interpersonal abilities and because it allows candidates to be selective in what is put forward.

More recently, there has been a gradual trend towards developing other approaches to assessing higher-level NVQs (see for instance Fowler 1997, Cullum & Sykes 1998). These approaches typically make more use of assessors visiting the candidate's workplace, examining evidence *in situ*, and discussing issues on-site with the candidate and his or her colleagues. While some paperwork is employed, it is usually limited to the candidate providing the assessor with pre-visit guidance on what to expect and providing explanatory narrative where necessary, and the assessor recording the visit and giving feedback to the candidate. Several visits are usually made, with feedback at the end of one visit assisting with preparation for the next. This approach is potentially more efficient and valid

than portfolio-based assessment, but it also requires more assessor time and is therefore likely to be more expensive.

The PACR scheme: assessment standards and procedures

The PACR scheme has some similarities with NVQs in that it is based on a set of professional standards describing workplace activity, rather than on standards of education or training. The NCCR professional standards comprise six sets of 'functional' criteria relating to conservation activities, and five general criteria (or common themes) which cover intelligent practice and professional judgement, ethics, continuing development, cultural sensitivity and communication. The functional criteria were adapted from the occupational standards developed by the former Museum Training Institute (MTI 1996), which formed the basis of the largely unsuccessful conservation NVQs, while the general criteria drew on the European FULCO project (Foley & Scholten 1998) and in terms of principle Anglia Polytechnic University's ASSET programme for social work (Winter & Maisch 1991).

During the development of the PACR framework it became clear that while the assessment needed to be rigorous and auditable, it also needed to have a high level of validity in assessing professional practice as well as avoiding burdening practitioners with portfolio-building. Furthermore, in a profession not noted for high salaries or levels of resourcing it also needed to be cost-effective, and an additional consideration was the need to be workable in the variety of contexts and specialisms in which practitioners work, from sole practices to large institutions, studio-based to peripatetic, paper conservation to stone conservation. The development consultation (see Lester 2000) supported a direct assessment approach, and a model was developed and trialled during 1998-99.

Practitioners who want to apply for accredited status approach their professional body (Institute of Paper Conservation, Society of Archivists or UK Institute for Conservation) and are provided with a set of scheme documents (NCCR 1999), also available freely from the NCCR and professional body web sites. The scheme is open to anyone working in conservation or restoration who is a member of one of the above bodies, but advice and guidance are provided to indicate the level of competence needed and discourage insufficiently experienced candidates from applying. Candidates complete a detailed form in which they are required to indicate what they will produce or discuss in relation to each area of the professional standards; before doing this they are asked to outline key projects or areas of activity they are or have been involved in, on which the application will draw. From 2001 applicants will also be required to submit a review of their personal professional development over the past two years, along with a plan for the next year. The application must be validated by two conservators of creditable standing ('sponsors') who know the candidate's work or have made a studio visit, and there is also space for 'witnesses' - who need not be professional conservators - to verify statements made by the applicant.

Applications are forwarded to the candidate's professional body, where an accreditation committee makes an initial examination and raises any queries. Two assessors are then allocated to the applicant: a primary assessor from the same specialism (e.g. paper conservation, textiles, stained glass), who is nominated by the professional body, and a secondary assessor from a different area of conservation, identified by NCCR. Assessors are also selected so that, for instance, a private practice candidate will have at least one assessor with private sector experience.

Provided the application suggests that the candidate has a reasonable chance of meeting the professional standards, assessment is carried out by the two assessors making a full-day visit to the candidate's studio or workplace. The visit needs to be well-planned in order to ensure that assessment, discussion and feedback can be fitted into the day. At the end of the day, the assessors record their decisions against each individual area of the standards; this can be that they are satisfied the candidate is competent, the candidate has demonstrated a good level of working knowledge in the area concerned but has no evidence of practical competence, or that the criteria have not been met. A short period is allowed to resolve any queries at this stage. The completed application, with assessor comments and decisions, then goes to the accreditation committee of the candidate's professional body. The committee acts as a moderation panel and can decide to approve or withhold accreditation according to the scheme's guidelines, or refer the candidate for limited reassessment by a further visit or by indirect means. Candidates who fail to achieve accreditation are able to reapply twelve months after their assessment or referral visit; there is also recourse to appeal, initially to the professional body and finally to the NCCR Professional Standards Board.

Assessor selection, training and quality assurance

Assessors and accreditation committee members for PACR are drawn from practising conservators or recent practitioners who are themselves accredited (a simplified 'fast-track' accreditation system for experienced practitioners had been operated by the professional bodies before the introduction of PACR). Committee members are volunteers; assessors are contracted on a per-assessment basis.

During the trial, assessors and committee members attended a one-day training session before carrying out their assessments. This day covered assessment principles, interpretation of the professional standards, and discussion and simulation of assessment scenarios. Following broad agreement that additional input was needed, a second workshop day was added when the scheme went 'live,' held after assessors had received candidates' applications but before the visits were carried out. This day enabled specific issues and queries to be discussed and resolved, and common interpretations of the standards to be agreed. A guide for assessors is also included in the scheme documents, and additional materials such as a question-and-answer paper have been circulated to assessors and committee members.

Given that all visits are carried out by two assessors, there are no current plans to include any additional direct monitoring of assessment visits. The allocation of assessors is planned to ensure rotation and avoid established pairs forming. Beyond that, assessors are expected to attend an annual review conference. The accreditation committee plays a central role in ensuring consistency and fairness of assessments, in that it is able to review all the applications and assessments in any one year, and direct queries to assessors and candidates where there are uncertainties or differences in interpretation. The committee can also play a moderating role, adjusting the final decision following further investigations to compensate for any particularly harsh or lenient assessment decisions.

During the trial, the possibility of assessors achieving the Employment National Training Organisation's units D32 and D33 (the standard qualifications for NVQ assessors) was examined. The units were found to be impractical for two reasons: their award is officially restricted to NVQ assessors, and there are some important differences between the requirements reflected in the units

and the procedures adopted in PACR. The possibility of a custom qualification for assessors has not been ruled out, but no further action has been taken.

Application and assessment

By March 2001 two cycles of assessment had taken place in PACR: a trial with 13 volunteer candidates carried out as part of the development process, and the first live round of 16 assessments made between October 2000 and January 2001. Although the trial resulted in amendments to the standards, application form and to a lesser extent to the process, the approach used was in principle unchanged. One change which was introduced was that assessors no longer make an overall recommendation about accreditation, but the accreditation committee now makes a decision based on the assessors' findings in each area of the professional standards. This was felt to improve consistency and remove some of the pressure for assessors to make a decision on the day.

Eighteen initial applications were received in 2000, a manageable but disappointing number given over 60 expressions of interest. Further investigation indicated that pressure of work, the cost of the process, and wanting to wait until the scheme was better established had combined to discourage early applications. Of the 18, one was advised to withdraw or defer because of his lack of experience in practical conservation, and two were advised to amend their applications; one of these, who had submitted a partially-completed form, did not respond, and the other, where there was initially uncertainty about the advice that should be given, had her assessment delayed until April 2001.

During the trials a particular format to the assessment day had proved effective, and this was adopted as the recommended approach for the 'live' scheme. This approach involved a short introduction and orientation discussion, followed by the candidate taking the assessors through his or her work. This informal presentation typically took up the remainder of the morning, and involved examination and discussion of objects (i.e. items that were being, or had been, treated by the conservator), the studio or workshop, and documentary evidence such as records, reports and photographs. In most cases these were as described in the application, although in some cases objects had been returned to clients or put on display, and alternatives were presented. The assessors then conferred to decide which areas of the standards needed further discussion or evidence, before returning to the candidate with a specific list of questions and requests to see information or objects. Following a further short conference, the assessors discussed their findings with the candidate, providing an opportunity for further explanation if the candidate felt any essential points (or evidence) had been missed. This basic format was largely followed for the live assessments, with a slight variation in that while some assessors found they could finalise the process on the day, others needed more time to reflect before making decisions, and discussed these with the candidate shortly after the visit.

Candidates' feedback on the application and assessment process was generally positive; the process was typically seen as hard work, but worthwhile and well handled. Apart from the credential gained, several candidates saw benefits in the process of peer review and in being asked to reflect on their practice and their careers. Completing the application document and getting validation was felt to be initially daunting, and to an extent time-consuming; however, this was not felt to be out of proportion to the importance of the credential. Some candidates felt the form was 'difficult' until they had worked out that they could cross-reference the same projects and activities to different professional standards. Most but not all candidates had had some support with their applications, including from

trial candidates, an assessor, colleagues at work, their sponsors, or committee members. The majority of candidates also found the written guidance in the scheme documents informative and helpful.

With one exception the assessment visits were seen as rigorous, fairly conducted and generally enjoyable, with the majority of assessors being commended for an open and professional approach. Over half the candidates commented on the value of having a secondary assessor from outside their specialism, this helping to "take the debate much deeper... by not accepting things at face value" (PACR candidate interview). Occasionally the secondary assessor was seen as not playing a very active role in the process. Other than some minor points which did not affect the overall result, the only serious complaint concerned an assessment where several points were disputed, decisions appeared to stray away from the requirements of the professional standards, and the process was described as confrontational.

The majority of assessors also reported positively on their experience of carrying out their assessments. A small minority felt uncomfortable making judgements about fellow-professionals' work, and in the instance described above there may have been confusion between personal standards and preferences and the requirements of the scheme.

Moderation

During the trial there was no formal moderation meeting, although the project steering group carried out a review of the trial assessments. In PACR proper, the accreditation meeting was preceded by a workshop run along similar lines to the assessors' second training day, enabling committee members to raise and discuss issues in a joint forum with the project consultant. Given that this was the first live round of PACR assessments, the committees examined all applications and assessor records in detail. The majority were approved for accreditation, with one adjustment where one candidate's assessors had interpreted one of the standards unnecessarily strictly.

Three applications were referred for reassessment. The case referred to previously proved difficult to moderate because of conflicting evidence and argument, and while the committee was not prepared to uphold the assessors' decisions it did not have enough evidence to justify reversing them. A substitute assessment visit was agreed with new assessors, to take place free of charge within the next year. The other cases had effectively been 'passed' by the assessors, but the committee picked up among other things insufficient evidence of practical conservation work; both candidates were asked to provide additional evidence for reassessment.

The latter cases revealed some lack of clarity in the guidance that had been given to candidates on the importance of practical conservation, both in the documents and in the initial screening of applications by the accreditation committee. More specific guidance on this area has since been incorporated into the scheme documents.

Issues arising

The scheme appeared to be reasonably practicable to operate during both the trials and for the first round of applications. Overall costs have not been calculated, but they are likely to be much higher

than the £400 charged to candidates: this covers most of the direct costs (assessors' fees and expenses, copying, postage, accreditation committee expenses), but ignores indirect costs such as development and review costs, assessor and committee training, staff time in the professional body offices, and briefings provided to candidates. As a professional body accreditation scheme PACR is financially workable because it is subsidised by the participating bodies (and it received external funding at the development stage). However, the costs may make it expensive for an awarding body to operate an external qualification in the same way, unless a high fee level can be charged.

Discussions with candidates and assessors, and examination of assessors' records, indicated that most assessments were carried out professionally and fairly, and were felt by all involved to have a high level of validity and rigour: it would be difficult for a candidate who was less than proficient to convince the assessors and accreditation committee otherwise. The one exception where problems arose involved a breakdown in the dialogue between assessor and candidate, where contributing factors appeared to include differences in personal style and possibly overcritical interpretation of some of the standards. Forestalling this kind of problem appears difficult, and it may be a hazard in the early stages of the scheme until new assessors can be paired with experienced ones. Further enhancements to assessor training have been proposed, along with a working meeting for updating and feedback purposes, although these may be unnecessary for the majority of assessors and they need to be balanced against added costs and the demands they would make on assessors' time.

While conservation employs techniques and practices where relatively uncontentious assessment decisions can be made, in common with other professional activities it also involves making judgements in complex and uncertain situations. The validity of assessment in PACR depends on assessors being able to interpret the professional standards in a way that is sufficiently flexible to accommodate individual judgement, preferences and expertise, but sufficiently rigorous to rule out unacceptable practice. This suggests that assessors need the confidence and competence to enter into an open dialogue that may challenge their perceptions of good practice, while also having a clear perception of the boundary between what is acceptably innovative or expedient, and what is incompetent, unethical or damaging. While some assessors and committee members expressed concerns in this sense, problems were only encountered in the one case mentioned above.

A related issue raised by assessors for both the trials and the first round of assessments concerned the standard that actually needed to be applied. Guidance was given in the scheme documents that the standard expected was that of an experienced practitioner working under his or her own initiative, producing institutionally or commercially acceptable standards of work, and demonstrating a 'post-graduate' (sic) depth of understanding (NCCR 1999). The Dreyfus model of skill acquisition (Dreyfus & Dreyfus 1984), which classifies performance across a five-level scale from novice to expert, was found useful by some assessors to understand the level of competence needed ('proficient' on the Dreyfus scale). This has been incorporated into the revised scheme guidance (NCCR 2001), and post-assessment the indication is of acceptably consistent interpretation into the different specialisms of conservation.

The accreditation committee and moderation process also experienced some teething problems. Some misunderstandings were encountered between candidates and committees both before and after assessment visits, and it is perhaps ironic that the part of the system that was designed to increase fairness and consistency was seen by some as the least transparent or accountable. Formal

guidance for committee members has been produced for 2001, and greater dialogue is being encouraged between committee members and assessors. Overall, few of the people involved in PACR during 2000-01 were also involved in overseeing or taking part in the trial, and this has created a discontinuity of understanding which is taking time to overcome. However, these problems are less likely to occur in the future as people become inducted into the scheme and the turnover of committee members and assessors reduces.

Finally, the ultimate utility and fairness of the single assessment visit used in PACR must be kept open to review. Experience from the trial and the first round suggests that if the outcome of the visit is positive, the process is probably more efficient and cost-effective than indirect or multiple-visit assessment, as well as being more valid than at least the former. There is also an argument that it is more valid and reliable to require a candidate who has failed to meet the standards (rather than being referred in one or two areas) to undergo a complete reassessment after having had sufficient time and advice to make good the deficiencies. However, where referral visits are needed, the cost-effectiveness is likely to be considerably diminished. The system is also less able to deal efficiently with any need for reassessment, as encountered in the current round, than is an indirect approach.

Conclusions

Experience to date suggests that the direct assessment approach used in PACR offers a highly valid and relatively efficient way of assessing conservators' professional practice and competence. To work effectively, it requires detailed information to be provided beforehand, careful preparation for the visit, and an organised and focused approach on the part of the assessors. There is less margin for error than in indirect assessment or where multiple visits are used, requiring competent assessors and clear communication; if problems do occur, the burden falls on the moderation panel (i.e. the accreditation committee) and the follow-up actions needed may be time-consuming both for those involved in assessment and moderation, and for the candidate. As provided for within the guidelines of the scheme, indirect assessment might be considered for referrals where it is not critical that assessors visit the candidate's workplace.

The transferability of the PACR process to other professions and occupations will depend largely on the type of work being assessed. The assessment visit is appropriate in PACR because much conservation work is tangible and visible, and it is generally possible to build up a rich picture of a practitioner's work through examination and discussion of objects, materials and equipment, and documentary evidence, on site or in the workshop or studio. A single visit becomes less appropriate when evidence is less tangible and is more amenable to collection over time; for instance, the author was recently involved in discussions about accreditation in the field of occupational rehabilitation, where practitioners assist the return to work of people who have suffered injury or health problems, frequently through a case-management approach. Equally, there are other situations where a site visit will yield little information beyond that which can be gained through documentary or computer-based work products, which can be discussed off-site.

While PACR offers less flexibility to the candidate than most established approaches to NVQ assessment, this must be balanced against increased validity and rigour, a definite timescale (notwithstanding some delays to getting results to candidates, the time from application deadline to results being announced was just over six months), and what promises to be a substantially higher

completion rate. The methodology used in PACR is likely to be worth considering in contexts where the type of work is amenable to visit-based assessment, and where it is desired to verify proficiency and professionalism rather than provide a programme of development and continuous assessment.

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The documents for the PACR scheme are available at www.nccr.org.uk/accredit.htm or www.devmts.demon.co.uk/pacr/.

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Acronyms

ASSET Accreditation of Social Services Experience and Training
FULCO Framework of universal levels of competence
MTI Museum Training Institute (now Cultural Heritage National Training Organisation)
NCCR National Council for Conservation-Restoration
NVQ National Vocational Qualification
PACR Professional Accreditation of Conservator-Restorers

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Professional accreditation and National Vocational Qualifications: an exchange of experience

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Abstract

The Professional Accreditation of Conservator-Restorers (PACR) is a practice-based accreditation scheme which draws on some of the principles established in the UK's framework of occupational standards and National Vocational Qualifications (NVQs). The emergent success of PACR shows that these principles can be adapted into a professional context and gain credibility within the profession and among its client constituency.

PACR also offers experience that might be transferred back into NVQs. The PACR standards are more focused and concise than most occupational standards; they reflect a more holistic view of competence and professionalism than do many occupational standards; and the assessment process aims to examine practice in an integrated, focused and efficient manner. The success of PACR in an area where NVQs have seen little uptake also begs the question of whether it is always appropriate to package competence-based qualifications as NVQs, particularly at the higher levels.

Introduction

National and Scottish Vocational Qualifications (here abbreviated to NVQs) were introduced in the UK in the late 1980s. They are based on occupational standards developed by government-sponsored, industry-led bodies (National Training Organisations during the period relevant to this paper), and assessed primarily through evidence of proficient workplace practice. NVQs conform to a standard set of design principles, and are regulated by the Qualifications and Curriculum Authority (QCA) and its partners in Scotland, Wales and Northern Ireland. NVQs can be claimed with some justification to be part of a qualifications revolution (Jessup 1991) which, particularly at further education level, has created an emphasis on workplace performance rather than success on prescribed courses. While the reality of the way the qualifications have been implemented is frequently less revolution than evolution, they have opened up significant new opportunities particularly to create individual routes to qualifications and enable experienced workers to gain credit for their proficiency.

NVQs have made a much smaller impact in the arena of higher-level qualifications; only 3.3% have been awarded at the upper two levels (4 and 5), with most of these being in business and management (Qualifications and Curriculum Authority 2000). Various factors have contributed to this including the dominance of university and established professional qualifications, doubts about the validity of occupational standards and NVQ design principles at the higher levels, and resistance from professional bodies and employers (e.g. Elliott 1991, Sims & Golden 1998, Hillier 1999). However, there has been gradual acknowledgement at higher levels of the value of some of the principles on which NVQs are based, even if the overall package represented by the qualifications does not meet the full range of needs at these levels.

A second assessment issue concerns a degree of uncertainty about the level of competence - in the sense of progression from novice to expert - required to achieve an NVQ. In principle, the qualifications are awarded for a full working level of competence, but in practice the widespread use of level 2 and 3 NVQs as exit qualifications for training programmes, effectively replacing part-time further education certificates, has created pressure to assess at threshold levels of competence (e.g. Lester 1999). This tension can result in a tendency for employers and others in some sectors to regard NVQs as representing a level of ability some way off workplace competence (ibid).

Difficulties associated with the language and presentation of NVQ specifications is sufficiently well-known almost to need no mention (e.g. Beaumont 1996, Hillier 1999). Conception of occupational standards as work standards (rather than as the results of individuals' action) resulted in a passive, impersonal style of language which as well as making for difficult reading has led to confused interpretations in which it is not always clear whether some actions need to be performed by candidates, or supervised or merely recorded by them. Over-detailed specification of some standards has also led to problems in application, with many candidates having difficulties in interpreting the standards into their situations despite having relevant work roles (e.g. Lester 1994, Payne 1997). Although recent standards have improved and guidance from QCA and its partners has promoted greater flexibility, these problems continue to exist.

Finally, there has been a widespread tendency for NVQ assessment centres to require candidates to produce paper-based evidence of competence, even for jobs which generate little paper in their own right. This kind of portfolio-based assessment can be effective and give a degree of control to candidates, but it is not always the most valid form of assessment particularly for interpersonal and practical skills. It can also create a major barrier for candidates, whether they are manual workers who struggle with paperwork or busy professionals whose schedules and inclinations mitigate against assembling folders of retrospective evidence (e.g. Boddy *et al* 1995, Priddey & Williams 1996). More recently, some NVQ centres have developed alternatives based on assessor visits and examination of evidence *in situ* (e.g. Fowler 1997, Cullum & Sykes 1998), and experience with these methods suggests that these are proving attractive and leading to high completion rates.

Issues of substance

As well as these implementation issues, there are also substantive problems affecting NVQs. The functional model which drove occupational standards development throughout the 1990s has been criticised as resulting in inflexible, atomistic standards that fail to capture the values, ethics, and judgement associated particularly with higher-level work, and for imposing a single paradigm on all occupational areas regardless of their ethos or need (e.g. Boddy *et al* 1995). According to Blackmore's typology of approaches to occupational analysis (Blackmore 2000), functional approaches tend to oversimplify complex areas of work and look for definitive answers in situations where broad interpretations may be more appropriate. At an immediate level this has resulted in a tendency to downplay the role of intelligent judgement and the need for practitioners to negotiate standards in the practice situation (cf Elliott 1991, Burgoyne 1989). In the terms used by Schön (1987), despite their practical intentions occupational standards are based more in the "hard, high ground" of technical-rational decisions than the less determinate "swampy lowland" where the difficult problems of everyday practice occur.

More insidiously, standards can rationalise and impose particular views of a profession or occupation, while purporting to be objective and impartial. As Elliott (op cit) indicates, occupational standards are not culturally or socially neutral, but embody the values and assumptions of their authors; similarly, Issitt (1999) comments on the tendency of standards to perpetuate styles and approaches that can be inherently discriminatory. The practice of developing standards through deductive processes involving a small group of experts (see for instance Mansfield 1991, Mansfield & Mitchell 1996) means that they do not always reflect what practitioners actually do, and in the worst cases reinforce values and assumptions that are of questionable validity. Again, while there are signs that some of the earlier dogmatism associated with occupational standards is disappearing, it is taking time for changes to permeate through to all involved in their development.

A further issue that has arisen in NVQs is the separation of action and knowledge. Occupational standards are currently specified in terms of what a practitioner is expected to do, with a separate statement of 'underpinning' knowledge and understanding. While in some cases this can encompass essential factual or procedural knowledge, it often amounts to a relatively fragmented list of things that an expected practitioner is assumed to need to know; alternatively it can represent what is in effect an educational syllabus packaged up to match relevant components of the qualification. From the viewpoint of devising courses to support NVQs this is not necessarily a problem, but where the qualifications are used to certificate work-based competence, the specification can impose a requirement to demonstrate standardised, formal knowledge rather than respecting the working understanding and knowledge-in-use (Argyris & Schön 1974) of the practitioner.

The PACR framework

The Professional Accreditation of Conservator-Restorers is based on a practice-based assessment of professional proficiency, explicitly detached from practitioners' training routes and methods of entry into the profession. In this sense it has the advantage of being purely a schema for assessment and accreditation, without being distracted by the needs of validating education or training courses. The framework was developed with two concerns uppermost: to provide a widely-acknowledged criterion for professional practice which would promote high standards in the care of cultural heritage and provide a point of reference for clients, and to establish a common standard across the various specialisms of conservation that would help in drawing them together as a credible profession. It is 'owned' by the profession through NCCR, with decisions about standards and implementation being made by people most of whom are full-time conservators.

The assessment standards used in PACR can currently be regarded as provisional, in that they were largely adapted from two pre-existing sources: the Museum Training Institute (MTI) occupational standards at NVQ level 5 (Museum Training Institute 1996), and the European FULCO project (Foley & Scholten 1998). The MTI standards were used as the basis of the PACR 'functional' standards, which describe key functions of conservation practice. The FULCO project contributed a framework of general professional criteria, covering areas such as ethics, professional judgement and managing value-conflicts, intelligent practice, ongoing development, and respect for cultural heritage and the values of others; the format of these standards was influenced by the ASSET programme in social work, a well-documented development which integrated a competence-based qualification with an honours degree (Winter & Maisch 1991, 1996).

In adapting the MTI standards, three key principles were followed. The first was to remove trivial detail, both in terms of things not critical to competent action and specifications which unnecessarily restricted the discretion open to the practitioner. Secondly, essential understanding was integrated with details of action, so that each functional area (approximately equivalent to an element of competence in NVQ terms) was represented by a single, concise set of statements. Finally, the wording of the standards was made clearer and they were converted into active rather than passive language. Together, these changes allowed specifications that typically ran to two sides of A4 paper to be condensed to short, paragraph-length statements (see box 1).

The general criteria or common professional themes used in the scheme aim to reflect the qualities required of a professional practitioner, over and above technical competence. Although the NVQs for management had used a broadly analogous approach in the form of a 'personal competence model' (see Management Charter Initiative 1997), there has been considerable confusion about the interpretation and assessment of these less tangible criteria, with varied views from seeing them as the most critical part of the specification, to regarding them as vague, not measurable and therefore not assessable. In practice it has proved reasonably straightforward for assessors to make what appear to be reliable inferences about the PACR general criteria, typically through taking into account a wide range of evidence from across a spectrum of activities. The general criteria are also appreciated as central to the ability of the framework to represent professional practice as opposed to purely indicating functional competence.

Assessment in PACR

Early on in the development of PACR, consultees gave a strong message that the portfolio-based assessment being used in the conservation NVQs was inappropriate for professional accreditation; it was seen as time-consuming, inefficient and not sufficiently robust to make valid decisions about practical competence. The method favoured in the consultations was for assessors to examine and discuss evidence - objects, records, equipment, reports and so forth - in the candidate's workshop or studio, or on site.

The assessment process centres on a single, full-day visit carried out by two qualified conservators, one of whom is from the same specialism as the candidate, and who have had training in work-based assessment. Before the visit takes place the candidate completes a detailed application and assessment form, which includes describing current and recent work and relating it in some detail to the standards. The application is vetted by an accreditation committee, who advise the candidate on any weaknesses that need addressing, and then passed to assessors who are selected to reflect the candidate's specialism and whether he or she is in private practice or institutional employment. Following the assessment visit, the form (now with assessor decisions and detailed comments) is returned to the accreditation committee, who act as a moderation board and if needed can question the assessors and candidate before recommending (or otherwise) accreditation to the candidate's professional body. The process is designed to be open and visible, with all comments accessible to the candidate, and backed by a clear appeals procedure.

The PACR assessment model aims to be as open and fair as is possible. However, there is a much higher level of criticality involved in a single application and assessment visit than in phased assessment through indirect methods, and there is therefore a greater burden placed on the

competence of the assessors. In the early stages of implementation as assessors gain experience it is inevitable that there will be teething problems with a proportion of assessments, and this appears to be one of the disadvantages to be offset against what is proving to be a valid, rigorous and efficient process (see Lester 2001).

Box 1. Specification of a PACR functional standard

Professional standards / functional criteria

2. Developing conservation strategies

This is about developing strategies for the conservation (interventive and / or preventive) of objects or collections. While some conservator-restorers need to produce written options and strategies, for instance in proposing work to be undertaken on a collection or valuable object, others will carry out this process more intuitively as part of deciding on the treatments to undertake. In either case, you should make your thinking and reasoning explicit to the assessors on the day.

2.1 Explore options for conserving items

This involves identifying a range of options for conserving items or collections which you have previously examined. The options need to be appropriate to the items' condition and current and intended use, and take into account present and future environmental factors likely to affect the items.

At least some of the items to which the options relate must present complex conservation problems.

You will need to show:

- your knowledge of relevant materials and treatment methods
- knowledge of the resource implications or costs of the different options
- that you have assessed the health and safety implications of the different options
- that you have taken into account the limitations, risks and likely effects of the different options.

2.2 Develop conservation strategies

This involves developing a strategy for the conservation of an object or collection, balancing its conservation needs with the requirements of the holder. At least some of the items to which the strategy relates must present complex conservation problems.

The strategies can take the form of recommendations, plans for others to put into action, or plans for you to carry out.

You will need to show that you have:

- considered how to achieve your objectives in a way which minimises intervention and maximises reversibility
- developed an appropriate conservation strategy or plan, including recommendations for re-evaluating the plan at a later date
- ensured that the plan balances the requirements of the objects, the context, and the holder
- checked that the outcome, risks and resource implications are understood by the holder of the object(s)
- taken account of relevant health and safety precautions and any other relevant legal requirements.

from National Council for Conservation-Restoration 2001b, drawing on Museum Training Institute 1996 and Folay & Scholten 1998

Outstanding issues within PACR

Although PACR appears to have overcome some of the problems inherent in or commonly encountered in the implementation of NVQs, some issues remain and others have arisen due to the way the scheme is organised and specified.

The PACR standards as used for the first two full cycles of accreditation (2000 and 2001) were designed for practising conservators (i.e. those who treat objects and artefacts directly), and required all candidates to meet the same set of standards. The rationale was that the scheme was designed to provide a known minimum standard that potential clients could trust; the 'core and options' approach used in many NVQs was ruled out for this reason. However, it has caused problems in excluding conservation advisers, scientists and environmental specialists from accreditation, as well as imposing too wide a set of standards on practitioners in attempting to capture the breadth of the profession. Current discussions point towards retaining a single accreditation route for practising conservators, with adjustments to make the standards match work roles more closely, while adding one or more further routes for practitioners specialising in advisory, scientific or managerial work.

The functional standards used in PACR were adapted from the Museum Training Institute's occupational standards. As such they were developed deductively through 'expert' workshops, as normal for NVQ standards. During the assessment cycles the shortcomings of some of these standards were revealed in terms of how they matched with work practice in the field, and revision based on feedback and primary research is planned in order to revise the standards for use in 2002/3.

The issue of *level* of competence, discussed as threshold or working competence in relation to NVQs, also has relevance to PACR. In training assessors for PACR, there was initial concern that the 'standards', like those used in NVQs, do not actually specify a *standard*: they are descriptions of work activity, not qualitative judgements about the level at which it needs to be performed, and they could be interpreted in ways that applied equally well to the work of a new graduate as to that of a seasoned professional. Indications of level are provided in PACR through reference to things such as complexity and professional judgement, and a feeling for level can also be obtained by considering how the general professional criteria apply across the practitioner's work. There is also general guidance about level in the scheme documents, for instance:

"accreditation is pitched at the level of an experienced practitioner capable of working on their own initiative, making independent professional judgements, organising their work and professional development, and taking responsibility for their decisions"
(NCCR 2001a p3.9).

Nevertheless, the assumption made in the scheme - and in NVQ assessment - that there is a single level of competence does need closer scrutiny. By contrast the Dreyfus model of skill acquisition (Dreyfus 1981, Dreyfus & Dreyfus 1984) uses five qualitative levels of competence, with progression from 'novice' to 'expert.' The model was found useful by assessors, and has recently been incorporated in the scheme guidance (see box 2). In relation to these levels, an agreed interpretation is that assessment should look for an overall level of practice which is at least 'proficient,' with at least some evidence of 'expert' ability in areas where the candidate is most experienced.

Finally, the PACR assessment model carries with it penalties as well as advantages. Assessment is relatively cheap if it results in a 'clear pass,' but if the costs associated with referral or reassessment following appeal may be high; during 2000-01 three cases were encountered which for various reasons needed partial reassessment through additional visits. In practice, there is a facility for the accreditation committee to request portfolio-type evidence if this is valid for assessing the area of referral. The bottom line is the validity and trustworthiness of the assessment, and referrals need to be considered on this basis. On the same principle, a case can be made for exploring whether it is always necessary to carry out the main assessment through the present methods, or whether alternatives - prescribed or, as in the NVQ system, open to circumstances - should be allowed.

Feedback for NVQs

The PACR scheme, by operating outside of the NVQ framework, has been able to adopt practices that would be ruled out, or at least assumed to be inappropriate, for NVQs. While PACR cannot claim to offer a model that is superior in any general sense to that used for NVQs, it does appear to be successfully translating some of the principles of NVQs into the context of a high-level practice-based professional qualification. As a result there may be lessons that can be transferred from PACR back to NVQ development and implementation.

Developing standards

Experiences with the PACR standards suggest that there is a greater need for research into what practitioners actually do before occupational standards are finalised. Expert workshops and consultation processes appear to have variable success in developing standards that match real work roles or describe things in a way that relates well to practice, and there would appear to be benefits in moving the emphasis from deductive processes such as functional analysis to inductive ones based on field research and role mapping. The survival of what have proved to be incorrect assumptions about roles and practices through both the Museum Training Institute's development process and the PACR consultations and trials illustrates that even quite thorough consultation processes can fail to identify flaws in standards. This may be due to a 'response effect' (Borg 1981) where consultees tend only to suggest minor modifications to the standards they are presented with, rather than root-and-branch changes.

A second point relating to standards is the issue of devising a format which while being assessable is appropriate to the complex and open nature of professional work, capturing a "more holistic and integrated notion of competence" (Field 1995, p41) than do the majority of current occupational standards. The approach adopted in PACR, as in the ASSET programme, has been to develop general criteria or common themes that attempt to reflect the notion of professionalism, and are applied across the various activities making up the conservator's work. This format coupled with the emphasis in PACR on discussing projects rather than focusing piecemeal on individual standards does appear to result in a deeper appraisal of the candidate's practice than is often the case in NVQ assessment, although this issue could usefully be explored further.

Further, the PACR functional standards are considerably more concise and less detailed than the MTI standards on which they were based, and than the majority of occupational standards as used in NVQs (see box 1). This has had two major advantages: first that they are regarded as less

prescriptive and less focused on non-critical detail, and secondly that they have been better received in terms of clarity and ease of understanding. The fear that they would be too general to assess consistently has proved unfounded, both in the trial and the first round of live assessments; in fact the feedback that has been received suggests that simplifying the standards has helped assessors focus on critical issues of professional practice and avoid being sidetracked by trivia. While different occupational areas will vary in the level of detail it is appropriate to specify for assessment, this is an area in which many occupational standards might benefit from review.

Finally, the need encountered in PACR to provide greater attention to the *level* of competence required may also be worth exploring in relation to NVQs. This could for instance take the form of explicit statements of the level of judgement and self-sufficiency required of a successful candidate, or the use of a progressive scale of competence such as the Dreyfus model.

Assessment

The application and assessment process used in PACR offers a number of benefits particularly compared with indirect or portfolio assessment. It is arguably a more valid and rigorous way of assessing practice, with less opportunity for candidates to hide inadequate practice, and more opportunity for assessors to see 'live' evidence first-hand and make holistic judgements about the candidate's competence and professionalism. Although the application documents used in PACR are no small task to complete, they provide a structured format and a deadline which initial evidence is suggesting is leading to a high completion rate (i.e. from beginning to work on the application to the assessment decision). While the approach used in PACR is not without disadvantages, it provides an efficient and valid option that can be drawn on for NVQ assessment. This is particularly likely to be the case for assessing experienced candidates who are seeking validation of their competence, as well as where NVQs are offered through development programmes but it is desired to carry out a separate summative assessment of practice, possibly by assessors who have not been involved in the candidate's training.

In terms of quality assurance, the use of moderation boards in PACR rather than the individual internal and external verifiers of the NVQ system ensures that all assessments are scrutinised by a panel who have not had close contact with the candidate, and allows a consistent overview to be applied to all the assessments within each professional body. While the numbers of candidates for many NVQs would make this totally impractical at the level of the awarding body, it offers an approach that could be drawn on by NVQ centres, possibly with representation from awarding bodies.

Credibility and ownership

Although the number of candidates going through PACR is relatively small - 16 assessments were carried out in 2000 and 21 conservators had applied by the close of the mid-2001 round - the scheme can be regarded as successful compared with the largely abandoned conservation NVQs. While part of this is due to the more contained and focused process, the main reason is likely to be connected with the credibility and value of the credential. PACR is owned by the profession through NCCR, and awarded by professional bodies rather than by a generalist awarding body. It is also essentially practitioner-led and endorsed by key agencies in the sector, and leads to a credential that

early indications suggest it is becoming valued as rigorous and relevant, both within the profession and among major employers, clients and agencies in the cultural heritage sector.

The emergent success of PACR, a practice-based accreditation framework drawing on and adapting many of the principles used in NVQs, in a field where NVQs themselves have largely failed, raises some questions for higher-level NVQs. Although there are niches in which level 4 and 5 NVQs are well-supported, as well as a gradually growing market at level 4 (QCA 2000), as previously noted the impact of NVQs at these levels is small. In some fields greater credibility and therefore uptake is likely to attach to qualifications or awards to which a professional designation is attached rather than an NVQ title, and where ownership and control are seen to be in the hands of appropriate professional organisations.

Conclusions

The development and tentative success of the PACR scheme acknowledges the value of the principle of practice-based assessment which has become established in the UK largely through the emergence of NVQs during the 1980s and 1990s. The development of PACR outside of the NVQ framework, and therefore free of some of the regulations applied to NVQs, has enabled these principles to be adapted to meet the needs of the conservation profession in the UK. As a result, there are a number of approaches and principles established through PACR that are likely to have benefits if fed back into NVQ design principles and development strategies, at least at the higher levels if not more generally. These include greater flexibility in the development and presentation of occupational standards, greater clarity about the level of competence needed, and approaches to assessment which are based in the workplace and aim to assess practice holistically.

The success of PACR in a field where NVQs have struggled suggests that the development and promotion of higher-level NVQs and occupational standards may be an inappropriate strategy in some occupational areas. As an alternative, there are likely to be benefits in diverting some of the effort currently put into higher-level occupational standards and NVQ development into exploring how the principles of practice-based assessment and accreditation, modified as appropriate, can be taken up by professional and similar bodies and applied to existing qualifications or used in developing new awards or accreditation systems when these are needed. The recent publication by QCA and its partners of a set of design principles for higher-level vocational qualifications other than NVQs (QCA *et al* 2000) suggests an opportunity for public recognition of a more requisite variety of awards at these levels, and potentially for greater promotion of developments in a similar vein to PACR. Overall, a greater sharing of experience between models based in differing conceptions of competence, professionalism and accreditation can only promote the enrichment, relevance and quality of developments concerned with developing and recognising professionalism and competence.

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Acronyms

ASSET	Accreditation of Social Services Experience and Training
FULCO	Framework of universal levels of competence
JAG	Joint Accreditation Group (of the Conservation Forum)
MTI	Museum Training Institute (now Cultural Heritage National Training Organisation)
NCCR	National Council for Conservation-Restoration
NVQ	National Vocational Qualification
PACR	Professional Accreditation of Conservator-Restorers
QCA	Qualifications and Curriculum Authority

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Box 2. Levels of competence and expertise

<i>Level</i>	<i>Stage</i>	<i>Characteristics</i>	<i>How know- ledge etc is treated</i>	<i>Recognition of relevance</i>	<i>How context is assessed</i>	<i>Decision- making</i>
1	Novice	Rigid adherence to taught rules or plans Little situational perception No discretionary judgement	Without reference to context	None	Analytically	Rational
2	Advanced beginner	Guidelines for action based on attributes or aspects (aspects are global characteristics of situations recognisable only after some prior experience) Situational perception still limited All attributes and aspects are treated separately and given equal importance	In context			
3	Competent	Coping with crowdedness Now sees actions at least partially in terms of longer-term goals Conscious, deliberate planning Standardised and routinised procedures				
4	Proficient	Sees situations holistically rather than in terms of aspects Sees what is most important in a situation Perceives deviations from the normal pattern Decision-making less laboured Uses maxims for guidance, whose meanings vary according to the situation		Present	Holistically	
5	Expert	No longer relies on rules, guidelines or maxims Intuitive grasp of situations based on deep tacit understanding Analytic approaches used only in novel situations or when problems occur Vision of what is possible				Intuitive

Reproduced from National Council for Conservation-Restoration 2001a, based on Dreyfus, S E 1981 and Dreyfus, H L & Dreyfus, S E 1984.

Becoming a profession: conservation in the United Kingdom

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Abstract

The idea of 'profession' carries with it various connotations about occupational characteristics, function in society, engagement with the market and with other occupations, and power, status and reward. Over the latter half of the twentieth century, conservation has gradually taken on some of the characteristics of, and engaged in activities associated with, professional occupations. The conservation community is now reaching a critical stage in this professionalisation process where it needs to step back and consider the kind of profession it is appropriate to become.

Conservation in the UK

'Conservation' as used in the field of material heritage and the arts refers to conserving objects of cultural, artistic or historical value, for instance through stabilising, strengthening or removing accretions and agents of deterioration, or taking preventive action through protective measures and environmental management. Conservation forms a reasonably recognisable occupation both in the United Kingdom and internationally, although there are grey areas where conservation blurs into restoration and to an extent into craft occupations, building professions and curatorial functions.

Over recent years the term 'conservation-restoration' has appeared in the UK to describe the profession, following the lead of the International Council of Museums (ICOM) and the European Confederation of Conservator-Restorers' Organisations (ECCO). However, this is not unproblematic in that 'restoration' generally refers to "remak(ing) the spoiled parts of an object or those which are missing due to ageing or other circumstances"ⁱ, i.e. to bring an object to a condition resembling its original state, or to a point where it can be used as originally intended. The conservator-restorer might undertake restoration work in this sense, but would be expected to follow a conservation ethic in doing so. To avoid confusion, the term 'conservation' is used in this paper to refer to the profession as encompassed by the ICOM and ECCO definitions and guidelines.

Professional associations of conservators and restorers date from the late 1940s onwards, and codes of practice and ethics emerged during the 1960s with the Charter of Venice in 1964 and the International Institute for Conservation American Group code of ethics in 1967. An influential definition of the profession was produced by ICOM in 1984ⁱⁱ, and ECCO published its Professional Guidelines and code of ethics in 1993-4ⁱⁱⁱ. More recently there has been a trend for closer collaboration and dialogue between the various professional associations both within countries and internationally, as well as moves towards increasing professionalisation in terms of education routes, qualifications and in some countries aspirations towards legal definition and status.

In the UK, conservation and restoration form the occupation of an estimated three and a half thousand people, of whom just over half work in private practices^{iv}. There are eleven organisations represented in the UK that act fully or partly as professional bodies, accounting for an estimated 2000 practitioners; these comprise the UK Institute for Conservation (UKIC) which encompasses most

conservation disciplines other than paper, books and archives; the Society of Archivists, which includes a section for archive conservators; six specialist bodies; and one Scottish and two pan-Irish organisations.^{*} An umbrella body called the Conservation Forum was formed in 1993 and reconstituted with extended responsibilities in 1999 as the National Council for Conservation-Restoration (NCCR).

Professions and professionalisation

During the 20th century there has been an increasing trend for occupations to identify themselves as 'professions,' and to aspire to characteristics and behaviours that they regard as 'professional.' However, the notion of a 'profession' as distinct from a 'non-professional' occupation is far from clear, and there are several ways in which the phenomena of professions and professionalisation can be understood.^v

Occupations claiming what they regard as professional status frequently focus on the attributes seen to define a profession as opposed to a non-professional occupation. One of the attractions of this static or trait approach to professions is that it offers a relatively simple means of deciding how much an occupation has progressed towards becoming a profession, at least in the terms of the model being used. However, this approach tends to draw on ideal types, often medicine, law and other well-established professions, and fails to recognise the breadth and variation of characteristics exhibited by different professions, particularly where they have evolved at different times and to fulfil different functions.^{vi} It can also fail to take account of both the changing conditions in which professions operate, and changes in the way that professions are conceptualised.^{vii}

Nevertheless, there are some characteristics of professions or professional activity that have had reasonably wide currency. Drawing on Hoyle & John these could be summarised as the possession and use of expert or specialist knowledge, the exercise of autonomous thought and judgement, and responsibility to clients and wider society through "voluntaristic commitment to a set of principles".^{viii} For both private practice and employed professionals there is also a sense, if often an imperfect one, of acting as a principal rather than as an agent of the client or employing organisation (i.e. retaining autonomy of judgement and a sense of responsibility that extends beyond the employment or client context). As will be discussed later there are tensions affecting these characteristics, and new conceptions of professionalism may need to emerge as the current century progresses.

Beyond this, there are a number of sociologically based perspectives that seek to put professions more firmly in the context of the societies in which they operate. Structuralist or functionalist approaches study the functions that professions perform in relation to society, so that for instance they can be seen as means of making expertise available to the public good, and professional ethics as offering safeguards against external pressures such as those of bureaucracy and the market,^{ix} a summary of the functionalist argument is provided by Hoyle.^x Neo-Weberian approaches, such as the work of Larson^{xi}, focus on professionalisation as a market 'project' and its effect in creating market

^{*} The specialist bodies are the Association of British Picture Restorers; the British Antique Furniture Restorers' Association; the British Society of Master Glass Painters; the Institute of Paper Conservation; the Natural Sciences Conservation Group; and the Photographic Materials Conservation Group. The national bodies are the Institute for the Conservation of Historic and Artistic Works in Ireland; the Irish Professional Conservators' and Restorers' Association; and the Scottish Society for Conservation and Restoration.

or employment rewards for those who achieve professional status. Marxist approaches focus more on professions in relation to power and class relationships within society^{xii}, while interactionist approaches, typified by the Chicago school, are concerned with the interactions that occur within practice situations and the meanings that these have in terms of wider occupational or societal relationships^{xiii}.

Finally, it needs to be noted that the concept of 'profession' in the sense discussed above is largely a product of the English-speaking world. In much of continental Europe the free-market notion of a professional defined by expertise, autonomy and ethics is less pronounced. In France for instance there is little tradition of autonomous professional associations, these having been viewed in the past with some suspicion as being anti-egalitarian, and being a professional is largely associated with officially-sanctioned legitimacy based on educational qualifications^{xiv}. In Germany, despite a tradition of well-defined training routes and career paths, there is no concept equivalent to the English 'professional': in different circumstances the concepts of *freie Berufe* (liberal or self-employed occupations), *akademische Berufe* (academic occupations), or *Bürgertum* (burghers, with its connotation of middle-class citizens) have some parallels with the idea of profession.^{xv}

Professionalising conservation

The development of conservation over the last fifty years, and particularly over the last decade, is strongly suggestive of a process of professionalisation. In the UK there has been a strengthening of the professional associations, an upgrading of conservation courses often to first or postgraduate degree standard, introduction of a professional accreditation (qualification) scheme and continuing professional development requirements^{xvi}, and the adoption of a common (European) code of ethics^{xvii}. At a European level there has been more emphasis on common definition of the profession and attention to university-level entry routes, with an aspiration to greater uniformity in entry requirements ideally at master's level; this has also extended in some countries to lobbying for legally protected status. While the latter is an unrealistic aim in the UK, there is an agenda to encourage agencies responsible for cultural heritage to use professionally accredited conservators for works that they fund or are responsible for: for instance the NCCR anticipates that "accredited status will increasingly be a requirement in grant-aided projects and tendered work as well as for senior employed posts"^{xviii}.

Part of the driving force behind this professionalisation, and its main public justification, is the functional consideration that a more qualified, ethical, and higher-profile (and therefore professional) conservation workforce will result in greater attention being given to the care of cultural heritage, and to higher standards of conservation work. This public-minded agenda appears to be a genuine motivation for professionalisation in a field where there is a high level of vocation and personal commitment. The other widely-voiced but less publicised agenda is a market-oriented one, to raise status and therefore level of reward in what is sometimes regarded as a craft or technician occupation, with (in the employed sector at least) low starting salaries and insecure tenure, and limited opportunities for progression. In this respect there is less a sense of creating a niche with monopolistic rewards^{xix}, and more one of expanding the market for conservation services (an objective which is closely intertwined with improving the standard of care) and achieving a fair economic rent for them.

One aspect of this dual agenda is being played out in the interaction between conservation and other occupations involved in the care of art and heritage. Occupations such as curators, architects and archivists have traditionally occupied the role of the more senior or influential profession, a factor which appears to be reflected both in reward structures and in decision-making about the balance between conservation and other demands such as display and functionality. The situation is not as marked as it is for instance in healthcare, but it is suggestive of a mild form of professional dominance^{xx}. Part of conservation's professionalisation agenda therefore concerns gaining equal status with the other occupations concerned with cultural heritage and artistic works, both giving its voice greater parity in decisions about its care, and redressing imbalances in remuneration.

Returning to a trait perspective, conservation appears to have achieved at least one of Hoyle & John's three characteristics, that of responsibility: commitment to a set of principles, in the form of codes of ethics and recognition of responsibility to cultural and artistic works, to clients and to wider society, is relatively well-developed in the culture and literature of the profession. That conservators have, develop and use expert knowledge and understanding is also clear, although discussion about the natures of conservation knowledge is relatively immature, and tensions can be discerned between the development of practical know-how and expertise, the goal of a more developed scientific, historical and artistic understanding, and the less constructive pursuit of a codified knowledge-base as part of the professionalisation agenda. The presence of autonomy is less clear and may be bound up with the issue of professional dominance; while the exercise of autonomous judgement is present in what might be considered more professional settings and in mature client-practitioner relationships, sufficient instances are reported where conservators are placed under pressure to act against their better judgement or are limited in the scope of their actions.

Future directions

Professions and professionals at the beginning of the 21st century are operating in an environment that is subject to several sometimes contradictory tensions. The number of occupational groups claiming professional status and putting in place the traditional artefacts of professions, or variations on them, is continually increasing. On the other hand, conditions of professional work appear to be changing and more practitioners (even in the long-established professions) are working in managed environments or to specified and monitored contracts^{xxi}. In particular, the notion of the professional as all-powerful expert is increasingly being challenged, and the trust relationship between professional and client or professional and wider society can no longer be taken for granted. To an extent this is leading to bureaucratic and market attempts to deconstruct professional work as a producer-consumer relationship, and make it subject to external regulations, standards and controls that treat it in the same way as any other employment or trade interaction^{xxii}. A different reconstruction of the professional relationship is also emerging in which rather than being seen as a deliverer of services, with the balance of power weighted either towards the practitioner (traditional) or client or employer (market-bureaucratic), the professional works in partnership or dialogue with others - colleagues and clients - to create appropriate ways forward.^{xxiii}

These trends and tensions create uncertainty around the idea of profession and make for a potentially ambiguous operating environment for the professional. It is clear however that professional models appropriate for the 19th or 20th centuries are not going to fit entirely well with the demands of the 21st, and the traits of 21st-century professions cannot be expected to conform to earlier ideals.

Several factors, such as the growth of the knowledge economy, acceptance that 'professional' problems are frequently interconnected and highly complex, and the rate at which new knowledge and ideas emerge, are strongly suggestive of a reconstructed professionalism rather than of deprofessionalisation. In this conception, professionals might typically:

- be engaged in problem-setting or identification^{xxiv} and 'managing messes'^{xxv}, as well as problem-solving and developing creative ways forward
- demonstrate autonomy of thought and decision-making within the context of working with other professionals, clients or employers as partners in an agreed endeavour
- be able to transcend the boundaries of their discipline or specialism, and work with issues holistically while contributing their particular expertise and skills
- engage in continual learning and development at a number of levels, from basic updating to re-evaluation of their overall practice and envelope of capability
- going beyond uncritical acceptance of a professional code, to a deep-rooted commitment to personal ethical standards and professional practice principles.

Beyond this, there is also a sense that professionalism is less about membership of a professional association or defined occupation, and more concerned with individual practitioners engaging in clusters of reflective and knowledgeable activities in a way that embodies a professional ethos. In this scenario the role of the professional association is both increased and diminished: increased as practitioners look for communities of practice around which to associate, and diminished as the idea of profession as institutionalised specialism loses some of its currency. In parallel, there is a greater onus on the individual practitioner to take personal responsibility for practice, ethics, autonomy and ongoing development, as well as for his or her career and market position. The decline of the traditional corporate or bureaucratic career towards the end of the 20th century is likely to see a parallel in the professions, and while professional membership or accreditation may be a necessary condition for practice in some areas, it will be far from sufficient to guarantee of a career; according to one commentator on the future of work, "quality, originality, cleverness and occasionally, speed" will be critical.^{xxvi}

Issues for conservation

Until recently the professionalisation of conservation has trodden a relatively uncontentious path, subject to the proviso that the wide range of disciplines and specialisms represented under its umbrella have different traditions and outlooks, and over the years given rise to varying combinations of association and disassociation. Recent moves towards accreditation, higher education entry routes and international identities and codes of ethics are likely to exert greater control over things such as who enters the profession, their enculturation into it and the kind of knowledge they acquire, and exercise at least limited influence over who is able to practise. Consequently, caution is needed if this latter stage of development is to be successful for the profession and in a wider functional sense.

Generally, it is important that conservators and their associations place the idea of 'being professional' in the changing contexts both of professions in society and the market, and of the particular context of

conservation practice, rather than embarking on an agenda linked to inappropriate or out-of-date notions of what professions are and how they operate. Conservation in the UK will have a number of critical questions to face over the next few years, particularly in relation to the kind of profession it is appropriate to evolve into and how this can be facilitated by the various initiatives - such as accreditation, entry routes, codes of practice, continuing professional development, and practitioner research - that are being pursued. Equally, the potential for negative effects - such as reducing the diversity of people coming into conservation and undermining the position and continued supply of practitioners with craft skills and craft knowledge - need to be given careful consideration.

Not unrelated to this, the rather sensitive question needs to be answered about whether all involved in conservation can be encompassed by the professionalisation agenda, or whether the aspiration of creating an occupation with high academic and professional status will mean that some kinds of practitioner will be consciously excluded. Particularly in specialisms such as books, stone, metalwork, stained glass, paintings, furniture and gilding, there are strong traditions of restoration and people - and firms - that practise as restorers rather than conservators; the boundaries between conservation (or conservation-restoration) and restoration need at least to be made clear and accessible. There is also an issue as to whether a technician or associate professional role is needed in conservation, as exists for instance in architecture and accountancy. If a case for such a role can be established, there will be a need for clarity about its relationship with both professional conservation, and restoration and craft work.

While it is inappropriate to suggest an ideal direction for conservation's agenda of professionalisation, its specific and more general professional contexts do point to some general factors. In terms of professional knowledge and understanding, it will be critical to consider more carefully and inductively the kinds of knowing, understanding and enquiry that enable practitioners to become competent and capable. Rather than becoming bogged down in pursuit of a body of technical-rational knowledge, this needs to evolve into an informed dialogue about the varied sources of knowledge and understanding that inform conservation practice.^{xxvii} Without undermining the expertise and skills of practical conservation, there will also be a need to embrace the emerging professional ethos through things such as the ability to work in multidisciplinary communities of practice, capability in problem-setting and solving and project leadership, the development of personal commitments to principles, and the ability to critically and creatively manage dilemmas and value-conflicts that go beyond basic codes of ethics. Similarly, the ongoing development of practitioners will need to move beyond technical updating and traditional notions of continuing professional development to an ethos of strategic learning^{xxviii} and enhancement of professional capability and extended professionalism.^{xxix}

At the level of the various conservation and restoration bodies, while the current diversity of associations is not untenable greater clarity of roles is likely to be needed in the future. Public-facing initiatives such as professional accreditation and the register of practices are already the product of collaborative effort, and these will need to remain consistent across the profession to retain credibility. Other areas of professionalisation such as influencing entry routes are also likely to need joint effort, and overall a picture is emerging of the need, in the absence of a single leading professional body, of authority being delegated to the NCCR in a way that has some parallels with the Engineering Council. Part of the clarity that needs to emerge is likely to involve particularly the smaller bodies and those with partial interests in conservation working with the larger conservation-specific organisations to reduce duplication of function and effort.

Finally, the limits of collective professionalisation need to be recognised, as do those of the professionalisation agenda more broadly. Given the reluctance of UK governments to create protected occupations other than where there are clear public interest issues at stake, it is unlikely that conservation can achieve anything approaching legal status; a more productive agenda is to promote the engagement of qualified conservators for major contracts, grant-aided work and professional posts. Individual practitioners and local communities of practice also need to recognise the criticality of their own roles in gaining acceptance as professionals, rather than assuming that the collective action of the professional associations will automatically give them enhanced status and rewards and a stronger voice.

Conclusion

While significant milestones have been achieved in UK conservation community's professionalisation project, the challenges that remain should not be underestimated. In particular, now that key elements have been put in place it is important that the profession steps back and considers - in a spirit of open dialogue and enquiry - how it needs to develop over the critical next few years as well as into the longer term. Importantly, the profession needs to evolve in a way that is appropriate to its particular context and operating environment; while inevitable constraints are imposed by social constructions of the idea of profession and by the need to move forward within the international conservation community, the direction of this evolution needs to avoid being dictated by 19th- and 20th-century assumptions about professionalism. In particular, great care is needed to ensure that the conservation community retains a diversity requisite to the needs of cultural heritage and artistic works.

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Acronyms

ECCO	European Confederation of Conservator-Restorers' Organisations
ICOM	International Council of Museums Committee for Conservation
NCCR	National Council for Conservation-Restoration
UKIC	United Kingdom Institute for Conservation

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The construction of qualification levels and frameworks: issues from three UK projects

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Abstract

The United Kingdom is gradually moving to develop national frameworks of qualifications, with the aim of identifying all publicly-funded qualifications according to level, focus and where appropriate size or credit volume. Existing frameworks designed for use in higher education and occupational contexts reflect assumptions concerning things such as the nature of knowledge, the academic or occupational context of the learner, and the nature of access and progression within education and training. These assumptions do not hold for the full spectrum of qualifications, and need to be challenged if a fully inclusive framework is to emerge that is coherent while supporting requisite variety.

Introduction

The idea of qualification levels has existed at least tacitly as long as one award has been required for entry to a programme leading to another, as well as being inferred in the hierarchy of university degrees that has existed from mediaeval times onwards. However, in the last two decades increasing interest in progression routes and transparency of awards has led to more systematic attention being given to qualification frameworks or systems of levels. In the United Kingdom, the promotion of credit accumulation and transfer (CAT) by the former Council for National Academic Awards (CNAA, the organisation responsible until 1992 for degrees awarded in the polytechnics) introduced a systematic notion of level in parts of higher education (see CNAA 1992). Outside of higher education, a four-level framework (later extended to five) of National and Scottish Vocational Qualifications was introduced in 1986; this represented a relatively new approach in which the awards were based on demonstrating competence in the workplace, and level defined according to the complexity and responsibility involved in the work functions to which they referred (see for instance Jessup 1991).

By 2001, these developments had evolved into two systems of levels claiming the title of 'national framework.' Within higher education (HE), the CNAA framework evolved into a set of levels for full qualifications led by the Quality Assurance Agency for Higher Education (QAA), the public body charged with maintaining quality and standards across UK higher education, and a broadly compatible set of credit levels (used to assign level to components and learning within, or capable of contributing to, qualifications) led by the four major university credit consortia that had carried forward the CNAA's credit accumulation and transfer agenda. Outside of HE, the National Vocational Qualification (NVQ) levels formed the basis of a framework overseen by the Qualifications and Curriculum Authority (QCA) and its partners in Wales, Scotland and Northern Ireland (see table 1).

Different approaches to notions of level are apparent in different frameworks. Traditionally a linear approach has been widely followed, based on assumptions about the order in which qualifications are taken and the need to have covered the content or mastered the skills represented by one before moving on to the next. More recently a criterion-based approach has become common, employing

Table 1. UK levels frameworks (outside Scotland)

The main systems of levels currently used in England, Wales and Northern Ireland. Equivalences are approximate only: see the discussions in the text on qualification and credit levels on page 1 and higher education and NVQ levels on pp 8-9.

Coverage	Credit levels: CNAAs (1992) and credit consortia	HE national framework: QAA (2001)	Credit levels: NICATS (1997), InCCA (1998), Ufi Ltd (2001), SEEC (2001)	NVQ levels and non-HE national framework: QCA <i>et al</i> (2000b): (see note b).	
Higher education: postgraduate	M	Doctoral (5)	8	5	Higher
	3	Master's (4)	7		
Higher education: undergraduate	2	Honours (3)	6		
	1	Intermediate (2)	5		
	0*	Certificate (1)	4	4	
Further education and school			3	3	Advanced
			2	2	Intermediate
			1	1	Foundation
			Entry		Entry

* 'Level 0' has been used in some credit systems to denote achievements below higher education level, typically relating to courses providing access to higher education and foundation studies within some HE courses.

level indicators or descriptors - i.e. notions of level assumed to be independent of linear progression - to indicate the general characteristics required of qualifications, or qualification candidates, at each level. This latter is more consistent with current trends in education and training, where people may register for and achieve qualifications on the basis of their experience and ability rather than through progression from previous awards. Nevertheless, there are difficulties in applying level criteria consistently without some reference to context or progression, and there are continuing arguments for the use of linear approaches (for an example see Winter 1993, 1994). The QAA and QCA frameworks, while aiming to be criterion-based, employ some features of both approaches; this is perhaps most strongly represented at the undergraduate end of the higher education framework, where the QAA and CAT levels were influenced by the staged notion of level present in the three years of a typical full-time degree, and in the academic strand of QCA's framework where progression is assumed from GCSE (General Certificate of Secondary Education, the standard school qualification at age 16) to GCE A-level (General Certificate of Education Advanced level), the most widely-used qualification for gaining access to degree courses.

The remainder of this paper draws on three recent projects that raise questions pertaining to qualification frameworks and levels, and concludes by identifying some implications for the emerging national frameworks. The first project involves the development of a professional accreditation scheme, which while not explicitly concerning itself with notions of level nevertheless raises a number of issues about qualifications and levels of achievement. The second is part of a national initiative to facilitate university accreditation of work-based learning, which has prompted a need for criteria to map independent learning against qualification level. The third concerns setting criteria for placing non-university, higher-level qualifications into a national framework. The discussion is principally based on practice in England, Wales and Northern Ireland; while most of the points raised also apply

in Scotland, there are differences particularly in the Scottish higher education framework's use of four rather than three undergraduate levels.

1. PACR: the development of a professional qualification

The Professional Accreditation of Conservator-Restorers (PACR) is a recent development by the National Council for Conservation-Restoration (NCCR), the umbrella body in the UK and Ireland for conservators of cultural heritage and works of art, to set up a credible and relevant professional qualification for the 3500 or so practitioners within its remit. It represents the culmination of over a decade of discussion and development work designed to raise the profile of conservation as a profession, improve standards of care for cultural artefacts, and provide a means by which users of conservation services can identify competent practitioners (see Lester 2000).

PACR, which leads to the designation Accredited Conservator-Restorer, was designed to assess professional practice rather than academic performance, and is based on workplace assessment. It draws on among other things some of the principles of NVQs, and in some respects occupies an analogous position to the postgraduate, post-experience assessment of professional practice used in the UK in some of the construction professions such as architecture and surveying; basically, these form the final entry-gate to full professional recognition, and require competence in the professional field as well as a sound practical knowledge of professional practice and ethics.

Issues of level were not uppermost in the development of PACR, other than that it should have a similar standing to the qualifications required in established professions, particularly in areas such as architecture and collections management with which conservators come into regular contact. The standard sought was that of a practitioner able to produce work of a high standard including in contexts of complexity and instability, to use professional judgement and engage with ethical issues and value-conflicts, and to take full responsibility for his or her work. The standards agreed by the profession drew among other sources on the level 4 and 5 NVQs in conservation; in themselves these NVQs have been noticeably unsuccessful, largely due to difficulties of implementation and perceived lack of relevance, and the level 5 qualification has since been withdrawn.

One issue raised in the development of PACR concerned the treatment of skills and knowledge built up through practical experience rather than formal training. PACR was explicitly required to be an assessment of professional practice, not an academic examination; however, it needed to reflect the depth of understanding and judgement required of practitioners, described as being of 'post-graduate level' (NCCR 2001). There was therefore a concern that the scheme should look for knowledge-in-use (Argyris & Schön 1974) as expressed through practice and discussion, rather than attempt to assess formal or declarative knowledge; given the level of experience required to achieve PACR, it was acknowledged that practitioners would have their own understandings and theories on which to draw.

More generally, this approach questions the assumptions made in both the higher education and (to a lesser extent) the NVQ frameworks that higher-level qualifications must necessarily assess declarative or espoused knowledge, rather than the knowledge actually employed by practitioners in the course of their practice and in reflection on it. The various descriptors used in higher education tend to include reference to knowledge-bases and disciplines, while the brief descriptions used in the NVQ framework now refer to the *application* of knowledge. Both suggest a technical-rational

perspective in which explicit and espoused knowledge is privileged over tacit or individual knowing, and the learner's role in creating and modifying knowledge is ignored or downplayed. Studies such as those of Argyris & Schön (op cit), Klemp (1977), Schön (1983) and Boreham (1990) indicate that as experience develops declarative knowledge becomes proportionally less important to effective practice; this suggests that when notions of level are applied to post-experiential learning they need to adopt a more constructivist or phenomenological approach to knowing, which respects the general and situational understandings used and developed by practitioners in their work.

A second issue related to the level at which the qualification was to be applied and assessed in practice. Discussions with assessors being trained to implement PACR suggested that the standards could be applied variously so that they could be achieved by a new graduate, someone with four or five years' additional experience, or so that few practitioners could actually achieve the qualification. This problem was found to be shared by other awards, where implementation at the desired qualification level depended on a largely tacit notion of what the level implied in a practical sense. In terms of the Dreyfus model of skill acquisition (Dreyfus 1981) with its five steps from novice to expert, a debate was taking place on whether the level of achievement required equated to advanced beginner, competent, proficient or expert; the eventual consensus was that the baseline level should be set at 'proficient.'

This raises a more general point relevant to qualification levels, in that traditionally these levels of achievement might be regarded as grades within a single level of qualification. In a qualifications framework based on constructs, i.e. factors such as complexity, autonomy, breadth, depth, predictability and so on which can be viewed across a scale, the distinction between these is less clear. For instance an 'advanced beginner' level of achievement in a higher level qualification may satisfy the requirements of an award at a lower level, while a particularly high level of achievement may meet the requirements of the next level above. While it is dangerous to assume that this will apply generally, there are likely to be many instances where qualification candidates achieve the criteria for an award above or below the level of the one they have entered for. This is particularly true in areas such as conservation, where significance is attached both to the complexity and criticality of the context the candidate is involved in engaging with, and to the standard of excellence of the finished work.

A final issue that emerged later in its development concerned the relationship of PACR to academic qualifications, raising some more general questions about level and progression. PACR was developed to meet the need for a qualification to endorse practice, rather than to denote achievement relative to any external framework; however, given a broadly agreed move across Europe towards a graduate conservation profession, there was some interest in whether and how it could assist practitioners who had not been through higher education to gain university qualifications. Informal enquiries suggested that accreditation might be considered as giving credit from approximately half the requirements of a master's degree, leaving the accredited practitioner to undertake (or demonstrate learning equivalent to) a research methods course, and complete a project or dissertation. Responses to this possibility from within the profession ranged from interest in establishing a credit link into a master's qualification, to scepticism based on the growing tendency for practitioners to enter already qualified at master's level. There was also concern that positioning PACR as a step towards a master's degree would devalue its status as a post-experience practising qualification, given that some master's graduates would regard it as a backwards step rather than as a different kind of qualification representing progression in terms of experience and proficiency.

This issue raises a question about the use of a single title - in this case, master's degree - for qualifications which have some commonalities but are designed for widely differing purposes. The archetypal UK master's degree is a one-year full-time course taken after an undergraduate degree, that extends or focuses the area studied at undergraduate level or (as in conservation) prepares the student for a profession or occupation. Another widely-used model is a part-time course, often with some flexibility of content, that is taken some time into the student's career and supports either specialisation or the taking on of management or similar responsibilities. A more recent development is based on using work activities through an action research or project approach, typically taken in mid-career, and designed to extend capability in the practitioner-learner's broad field of work. While in principle the qualifications gained as a result of these different kinds of programmes all meet nominally equivalent academic standards, the level achieved in terms of professional practice and insight into practical situations can be markedly different.

2. Learning through Work: matching independent learning to higher education levels

Learning through Work (LtW) is part of the wider University for Industry initiative announced by the UK government in 1997 (see Hillman 1996) and launched in England, Wales and Northern Ireland in 2000 as Learndirect (there are separate University for Industry developments in Scotland). LtW is designed to allow people to build negotiated qualifications around the needs of their work and careers, including through drawing on work activity as a vehicle for learning. While this is not in itself new and several universities already have significant experience in negotiated, work-based or work-linked programmes (see for instance Lyons 1993, Foster 1996, Osborne *et al* 1998, Doncaster 2000), it is innovative in developing a common approach and providing potentially large-scale on-line support. Although LtW is currently offered only through higher education institutions, its principles are designed to apply at all levels and be equally applicable to awarding bodies outside of higher education.

In the early stages of conceptualising a framework for LtW it was recognised that a means would be needed to map learners' achievements and intended learning in terms of level, without making assumptions based on previous qualifications or on curriculum content. Because both prior and planned learning would be based on individual outcomes, activities and objectives rather than on predefined units or curricula, this framework needed to be robust, consistent and generic: it would need to be able to allocate a provisional level to a proposed learning project as well as providing generic criteria for assessing whether submitted work was appropriate to the level of the qualification.

A study of the various levels systems and indicators then in use (Lester 1998) revealed a number of problems in that the way levels were described had various drawbacks in terms of applying them to work-based learning. Three key issues were apparent:

- Assumptions about producing 'academic' work. Some of the higher education frameworks assumed that learning would be demonstrated in the form of an assignment, essay or report, and were explicitly based on written outputs. While university-level work-based learning requires a requisite level of thinking and application, the means through which this is demonstrated need not be 'academic' in format.
- Assumptions about level of (work) responsibility and complexity. This was most marked in the NVQ framework, but it also occurs in other frameworks including some of the higher education

CAT frameworks. These two constructs also tended to be used uncritically as indicators, so that they would tend to refer to the context in which the candidate was located rather than his or her ability to take responsibility or engage effectively with complexity. In addition to the obvious misconception that context is the same as engagement with context, these statements could be highly limiting and disempowering in assuming that only people in 'high-level' roles could undertake high-level work.

- Assumptions about the nature and coverage of knowledge. While some frameworks recognised that "the term 'knowledge' was more relevant to the lower levels of learning" (NICATS 1997 p1) and focus instead on intellectual skills or capabilities, there was a fairly uncritical acceptance that candidates will be working within disciplines and with specific knowledge-bases. To an extent this reflects the issue of espoused knowledge versus knowledge-in-use discussed in relation to PACR, but it also means that level indicators are likely to favour areas of endeavour based on academic or professional disciplines rather than those regarded as less formal or shaped by individual interests, work portfolios or career paths.

Broadly, the study indicated that the way levels were described tended to reflect the needs of candidates on academic courses or being assessed against predefined occupational standards, and were not particularly geared to the needs of people in work who were engaged in constructing programmes to meet their individual needs and objectives. The solution adopted was to create a matrix of indicators based on the levels defined in the universities' Inter-Consortium Credit Agreement (InCCA, see InCCA 1998), i.e. spanning entry level to level 3 in the QCA framework plus the five higher education levels (see Ufi Ltd 2001; also see table 1). This matrix was based on five fields or constructs (see table 2), each containing between one and four level indicators (with the total number of indicators ranging from ten at entry level to 14 at doctoral level). Building on work already done in a small number of UK universities including Leeds and Middlesex, the LtW indicators were designed specifically to relate to practice-based learning and activities, while reflecting the level of thinking and action expected at the relevant level. For example, the master's level indicators for the field 'thinking and understanding' consist of:

- Using mastery of knowledge relating to, and extending into the wider context of, the area of practice.
- Developing and critically evaluating a range of practical theories, ideas and models, including to overcome dilemmas and find ways forward in problematic situations
- Researching, analysing and evaluating information to identify interrelationships between wider systems in which the area of practice is located.

(Ufi Ltd 2001, p23).

The LtW levels indicators were devised for an application which was not particularly well served by current ways of describing levels. They are not however totally general, as they assume a working context which would not be appropriate in full-time education. However, they do offer a way forward for mapping practical activities to academic level, without assuming an academic context to the work being undertaken. This extends to the highest levels, with for instance the description of doctoral work emphasising taking forward areas of practice, developing as a leading practitioner, and resulting in "new understandings or approaches which extend or redefine existing knowledge or *practice*" (*ibid*, p20; my italics).

Table 2. Learning through Work levels fields

Descriptions of the five fields used to define level in Learndirect Learning through Work. Each field is also described in terms of one or more indicators at each level (not shown) that indicate what a learner is expected to do at that level in relation to the given field (see text, page 6, for an example).

Field	Description	Interpretation
Complexity and responsibility	This concerns the level of complexity you are dealing with and what you are personally taking responsibility for (which can be different from the responsibility expected in your job).	Complexity and responsibility relate to how the learner engages with a situation, not to the situation itself. For instance, a learner in a fairly straightforward job may be demonstrating a high level of complexity and responsibility by going outside the job demands, while someone in a 'high-level' job need not be engaging with it in a way which demonstrates a high level of complexity or responsibility. The emphasis on different parts of this field are likely to vary with the type of work the learner is engaged in; compensation within the field is acceptable.
Scope	This is about whether you are for instance working within a closely-defined situation or considering wider implications and impact.	As with complexity and responsibility, scope relates to the learner's approach and actions, not to the context directly. The emphasis on different parts of this field are likely to vary with the type of work the learner is engaged in; compensation within the field is acceptable.
Thinking and understanding	This refers to the level of thinking and understanding you are using in analysing information, pulling information together and making decisions about what you are doing.	Thinking and understanding need to be related to practice: in a work-based learning context theory-in-use or thinking-for-action is more important than espoused theory, although particularly at the higher levels the statements require reflection on the thinking employed in action. Particularly where intuitive and tacit understandings are involved, they may be evidenced through action rather than explanation, although in many situations a balance of action and explanation will be required. The emphasis on different parts of this field are likely to vary with the type of work the learner is engaged in; compensation within the field is acceptable.
Investigation and evaluation	This concerns how you are investigating information and evaluating situations.	'Research' is used in the context of practical research: although the level of research expected is equivalent to that in an academic context, it may be presented differently (or used directly to inform action without being formally presented). The research criterion does not imply a distinct 'research project,' as research could be part of a development process, management plan or report, or other form of practical action.
Innovation and originality	This is about the level of originality and innovation you are bringing to your work.	Innovation refers to the originality of action for the context; it needs to be interpreted in the learner's context and does not imply something which is totally unique.

Source: Ufi Ltd (2001), p24.

3. QCA's 'higher levels' project: positioning qualifications in a national framework

The merger in 1997 of the National Council for Vocational Qualifications with the Schools Curriculum and Assessment Authority to form the Qualifications and Curriculum Authority (QCA) provided, for the first time in the UK outside of Scotland, a single body charged with regulating all public qualifications other than those made by the universities. One of the tasks recently taken on by QCA was to extend its national qualifications framework to the 'higher levels,' i.e. those qualifications that while not being awarded by universities are at a comparable level to higher education. In addressing this and following extensive consultation, QCA and its partners in Wales and Northern Ireland produced a set of design principles for admitting these awards to the framework (QCA *et al* 2000a).

The higher levels project was faced with a situation where two widely-used frameworks had emerged at the relevant levels (see table 1). The higher education framework is principally applied to university qualifications, but it is also used for some other higher-level qualifications awarded by professional and other awarding bodies but taught in universities, designed to provide credit into university awards, or where there is an aspiration for academic credibility. It is based on what was originally a linear notion of level (the first three levels equating to the three years of a full-time degree), and tends to assume that work is produced in an academic context. On the other hand the upper part of the QCA framework uses the higher two NVQ levels, which are based on work complexity and responsibility and assume the candidate is in a commensurate work role (QCA *et al* 2000b, p23). This framework has also become fairly widely used by some non-university awarding bodies to assign a level to their qualifications.

Although a nominal equivalence has been claimed between NVQ level 4 and the undergraduate higher education levels and NVQ 5 and master's level, the notions of level used in the two systems do not facilitate simple comparisons and may be better viewed in a matrix relationship (see Lester 1995 for a discussion of this in the context of professional qualifications). This difficulty has been recognised publicly by QCA for some time, for instance:

“... attempts to equate these very different types of qualifications (NVQs are work based qualifications which recognise existing competences while degrees... are education-based qualifications) are often unconstructive and deny the very essence of NVQs”
(QCA 1998, p7).

These views were broadly endorsed by work undertaken as part of the project, in which a sample of qualifications were mapped at an outline level to both level systems; while a partial correlation emerged, it was insufficient to claim equivalences (see table 3). More recent material produced by QCA (e.g. QCA 2001) simply shows the upper NVQ levels as equating to 'higher-level qualifications.'

The project highlighted a number of issues relating to allocating levels to qualifications. The first of these concerned the fact that neither framework used descriptions of level that spanned the full spectrum of higher-level qualifications particularly well; in examining the indicators used by the higher education CAT consortia, QAA and QCA, problems were encountered similar to those found in the Learning through Work project. The academic contexts assumed in the higher education levels did not fit easily with the work-related context of many higher technical and professional qualifications, while assumptions about work role and responsibility in the NVQ levels were clearly inappropriate in career preparation or extension awards. The constructs used also tended to favour respectively academic and managerial work over other kinds of endeavour.

Table 3. Mapping between levels: QCA and higher education frameworks

This table represents the mapping of 17 qualifications against the QCA levels and the higher education levels (including 'level 0', i.e. the level normally regarded as immediately below higher education). The figures in each cell of the matrix indicate how many qualifications map against each of the levels indicated: e.g. of the nine qualifications that mapped to level 4 in the QCA framework, one mapped to HE level 1, three to levels 1 or 2, and five to level 2.

		Higher education levels								
		0	0/1	1	1/2	2	2/3	3	3/4	4 (M)
NVQ levels	3	1	2							
	3/4									
	4			1	3	5				
	4/5						1	2		
	5									2

Note: Higher education levels equate to the QAA levels (the second column in table 1), with the addition of 'level 0'. The frameworks do not allow for intermediate levels, but the notation '3/4' etc was used in the mapping process where qualifications appeared to fall between or include characteristics of two levels.

Source: QCA higher levels project report (unpublished)

A second issue concerning compatibility related to the bottom higher education level. Concerns were encountered that this level overlapped with level 3 of the QCA framework, which equates to GCE or GNVQ Advanced level and National Diploma, qualifications normally seen as providing entry to higher education. The way QAA describes this level provides little suggestion that it requires anything more demanding than QCA's level 3, although the indicators used by some of the CAT consortia and the Learning through Work project do suggest a marginally higher level; however, this may be more a product of needing to make explicit distinctions having committed to an eight- or nine-level framework (see table 1) than any real difference between what is normally regarded as the upper end of further and school education and the lower end of higher education. In any case the three undergraduate levels appeared closer together than other levels in the national frameworks, and in allocating levels to non-university qualifications it was felt unwise to make narrower distinctions than those afforded by the two NVQ levels or by 'undergraduate' and 'postgraduate.' The project suggested that further exploration of this area is needed.

In the longer term, there is a degree of pressure to move towards a consistent system of levels, or at least ensure that the two systems are directly compatible. Among the purposes of the Bologna declaration of 1999, signed by 29 education ministers from across the European Higher Education Area (European Higher Education Area 1999), was greater compatibility and comparability of the systems of higher education including comparability between qualifications. The declaration made a distinction between first (undergraduate) and second (graduate) cycles of higher education, and many of the papers informing the declaration also recognised a distinction of level between conventional master's degrees and research-based awards, with some support for a '3+2+3' model (a first cycle of three years in full-time terms, second cycle of two years, and doctoral cycle of three years). Although the declaration was in some respects disappointing in basing its assumptions on linear, full-time models of higher education, it has reinforced the need for undergraduate, master's and doctoral levels

to be distinguished (see for instance Kirstein 1999, QAA 2000). This points towards ensuring that the framework used for higher-level qualifications outside of HE reflects at least the distinction between first- and second-cycle (there are few if any awards of this type that can claim to be at doctoral level), even if it does not distinguish between different undergraduate levels.

Towards an inclusive framework?

Currently the UK levels frameworks are strongly influenced by their historic antecedents: in the case of the higher education framework the CNAACAT levels based on linear progression towards the full-time degree, and the NVQ levels with their assumptions about level of occupational role. The present frameworks continue to reflect these origins, and as a result cannot be regarded as fully fit for purpose when they are applied in the context of the full spectrum of UK qualifications. This suggests a need to move beyond some of the current assumptions towards a framework able to reflect the full range of purposes represented by existing and emergent qualifications.

The current situation relating to qualification frameworks is fragmented or at best dichotomous, with different frameworks applying to university awards and to NVQs, and with many qualifications outside of any obvious framework (or tentatively attached to one or the other). In this context there is merit in viewing the different frameworks as reflecting the different needs and purposes that qualifications serve, and having different kinds of criteria. Rather than attempting, in the words of 1990s rhetoric, to 'bridge the academic-vocational divide' and claim doubtful equivalences, it is likely to be more productive in this kind of system to respect the differences represented by the different frameworks and recognise that achievements in one do not equal achievements in the other; although there will be some rough correlations as well as crossover on an individual basis (e.g. Lester 1995).

On the other hand, there is also some merit in developing a single framework in which there emerges a common language about level of thinking, learning and action. Multiple frameworks may serve individual purposes well, but they can cause problems for transfer from one to the other ('academic' and 'vocational' pathways in 14-19 education and training are a case in point). They may also be too specific to accommodate emerging models of qualification; applying the current higher education framework to work-based learning (as in the Learning through Work project) provides one example, and using the NVQ framework for non-NVQ qualifications another. Creating a common framework is not merely a case of 'bridging' between different traditions, but will involve going beyond traditional distinctions such as academic and vocational, practical and theoretical. In doing this it also needs to avoid promoting a particular set of assumptions or dogmas, so that while qualifications relate within a common framework they retain requisite variety to meet the needs of individual learners and wider society.

Clearly, if such a framework is to be genuinely inclusive it will be self-limiting to perpetuate presuppositions contained in previous, more restricted qualifications frameworks. Assumptions cannot be made that high-level work is necessarily 'academic,' or revolves around declarative or espoused knowledge. There is also no place in such a framework for reinforcing social perceptions of the value of certain types of occupational role, or assuming that because a person is not in a 'high-level' job they cannot think, learn or act at a high level; similarly assumptions based on full-time and sequential models of education and training, or on age-related progression, are out of place in an inclusive framework. Finally, particularly at its highest levels the framework needs to give as much weight to development and creativity as to research and critique: as the Ufi conception of doctoral

work suggests, the highest-level qualifications can relate as much to leading-edge practice as to leading-edge research and theory.

Meeting this brief suggests seeking constructs that reflect levels of thinking and action regardless of the contexts in which they are applied. These constructs might be based on factors such as engagement with complexity, autonomy and scope of action, depth and breadth of thinking and understanding, scope of investigation or evaluation, and degree of originality and innovation (see for instance the Ufi interpretations in table 2). In some fields level will also be influenced by the level or criticality of action required, so that distinctions in level may reside in the difference between competence and expertise (Dreyfus 1981) or competence and excellence (Ebbutt 1995).

In terms of the levels themselves, European developments point to a need to make basic distinctions between what in UK terms are undergraduate, master's and doctoral levels. Beyond that, it is probably appropriate to distinguish between awards at the level of a bachelor's (honours) degree and sub-degree higher education or its equivalent (including the recently-introduced foundation degree). It is less clear whether there is a need for more than two undergraduate levels; both the Ufi and QCA projects concluded that the lower two higher education levels are difficult to distinguish outside of a linear model, and there may be an unjustified divide between further and higher education that is reinforced through a distinction in level. While breaking with the well-established notion of three undergraduate levels will be difficult, there is already some recognition in higher education that basing levels loosely on stages of a degree course is insufficient (e.g. Moon 1996).

Recent work both in the higher education sector and in QCA point towards a developing national credit framework (e.g. InCCA 1998, Southern England Consortium 2001). While opportunities for credit transfer, and recognition of achievements which do not qualify for full awards, are a necessary part of an inclusive framework, there is a need for thinking that moves beyond the simple quantitative model of level and credit size. The importance of coherence for the achievement of qualifications - based on coherence to individual learners, rather than to a presupposed curriculum or occupational role - needs to be stressed, while the numerical credit model must not become so pervasive that it creates unnecessary restrictions in qualification design.

Finally, the question needs at least to be raised about whether distinctions are needed based on the purpose of the qualification, rather than purely on level and volume. The example of master's degrees discussed in relation to the PACR project provides a case in point. Obvious challenges are created by adding another variable to the qualifications equation, but the present situation is that awards with very different functions and purposes, and representing substantially different kinds of learning outcome, can be indistinguishable by title.

A caveat

The idea of an inclusive qualifications framework, with awards placed by level, size and focus so that they are readily understood by potential candidates, employers and others with a stake in them, has become something of a holy grail in recent years, driven by agendas such as those of public accountability, transparency and the need for clear and accessible progression routes. Unfortunately the reality represented by the needs of individuals, employers, professions and by wider society does not necessarily fit into a neatly prescribed model, and the value of an award whether in intrinsic or extrinsic terms relates to factors that go far beyond the scope of qualifications frameworks.

Frameworks can aid understanding and progression and reduce unnecessary duplication in the qualifications market; but they can also reduce choice, mitigate against valued but unconventional awards, and create tensions by imposing what are after all artificial notions of level and size. If the notion of level becomes a pervasive feature of the public perception of qualifications, it may also reduce the esteem in which lower-level awards are held, regardless of their fitness for purpose; in turn this has scope to lead to credential inflation both through occupations and professions raising the level of the qualifications they require (cf Dore 1976), and through individuals chasing awards to achieve a higher position on the qualifications ladder rather than for the intrinsic value of the award or the learning it represents.

Overall these are probably not sufficient reasons to avoid pursuing the goal of an inclusive national framework, but they do provide a significant note of caution. At the very least, the developing framework needs to respect the need for a requisite diversity of awards, avoid taken-for-granted assumptions about the nature of level, and avoid creating cause for credential inflation.

Notes

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Acronyms

CAT	Credit Accumulation and Transfer
CNAA	Council for National Academic Awards
GCE	General Certificate of Education
GNVQ	General National Vocational Qualification
HE	Higher education
InCCA	Inter-Consortium Credit Agreement
NCCR	National Council for Conservation-Restoration
NICATS	Northern Ireland Credit Accumulation and Transfer Scheme
NVQ	National Vocational Qualification
PACR	Professional Accreditation of Conservator-Restorers
QAA	Quality Assurance Agency for Higher Education
QCA	Qualifications and Curriculum Authority
SEEC	Southern England Consortium for Credit Accumulation and Transfer

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Qualifications in professional development: a discussion with reference to conservators in the United Kingdom and Ireland

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Abstract

In the professions, qualifications are most widely associated with entry routes and qualifying to practise, although they are now playing an increasing role in the continuing development of experienced practitioners. The evolving profession of conservation (of historic and artistic works) provides a case-study where many questions about training, qualifications and practising requirements are still open. Using this profession as a lens, questions can be posed about the kinds of entry-routes and initial qualifications that are most relevant for would-be practitioners, what means are appropriate to approve practitioners as fully qualified, and how qualifications can play an effective role in continuing professional development.

Introduction

The idea of being a professional, or belonging to a profession, is partly associated with being qualified: both in the sense of educational achievements, particularly in the older professions, and in the sense of being qualified to practise. Therefore, while there are differences in types of entry route and means of qualifying in different countries and between professions, the association between qualifications and professions has principally been concerned with the entry-gate to becoming a qualified practitioner. In recent years there has also been a growing tendency for qualification-bearing programmes to play a role in the development of the experienced professional, and in-service and work-based programmes have emerged that are geared much more to the needs of ongoing development. In some professions initial and continuing development also overlap, for instance as practitioners qualify at an initial level or in a given area, then qualify at a higher level or in a different specialism some time later.

One occupational grouping where the relationship between professional development, careers and qualifications is visibly developing is that of the conservation and restoration of historic and artistic works. This field has undergone considerable evolution over the last thirty years or so to the point where it is now a recognisable and growing international profession, with professional associations and university degrees in many countries throughout the world (Scheißl, 2000; Lester, 2002). The main driving forces behind its professionalisation have been a genuine concern among practitioners to promote higher standards of care for cultural heritage, and ensure the quality of services offered to the public; a desire to raise the status of conservation *vis-à-vis* other cultural heritage occupations such as archivists, curators and historic buildings architects, partly to increase the traditionally moderate remuneration of conservators, but also to give a stronger voice to the care, rather than purely the display, cataloguing and use, of historic and artistic objects; and demand from many of the larger collections and heritage organisations for conservators who are also versed in art history, materials science and collections care management.

Conservation and restoration form the occupation of an estimated three to four thousand people in the UK and Ireland, split roughly equally between private practices and institutional environments such as museums, galleries and national heritage bodies (Museums & Galleries Commission, 1998). The number of conservators in public employment has recently declined, but this has been offset by an increase in numbers in private practice, and overall the profession appears to be growing at a modest rate. There are currently eleven professional and trade associations under the umbrella of the (British and Irish) National Council for Conservation-Restoration, accounting for approximately 2000 members. Some of these organisations are also members of a European network, the European Confederation of Conservator-Restorers' Organisations (ECCO), which is working towards greater commonality and mutuality of recognition in the profession across Europe.

The remainder of this paper uses conservation as a lens through which to view relationships between professions and qualifications. While in some respects the profession is relatively conservative in outlook, it is not yet fully developed as a formal profession, and many questions about training, qualifications and practising requirements are still open.

Initial training and qualifications

A working classification of approaches to initial development can be made following Bines (1992), who distinguishes three basic models. These are apprenticeship, where knowledge and skills are learned largely on the job; technocratic, where training focuses on the development of a knowledge-base through a formal syllabus or curriculum; and post-technocratic, where the focus is on knowledge-in-use (Argyris & Schön, 1974) and capability in practice situations. Historically, the technocratic approach largely superseded the apprenticeship model over the course of the 20th century as the dominant mode of professional training, while the post-technocratic approach has gained some ground during the last two decades or so. The latter has also been accompanied by changes to the way that professional knowledge is viewed, so that the idea of a body of knowledge informed by research and codified by the universities and professional institutions (see for instance Schein, 1972) has given way at least partly to more constructivist epistemologies of practice which recognise the role of practitioners in creating the knowledge they use (e.g. Schön, 1983; 1987a).

Ignoring for the moment the apprenticeship model, most initial development routes fall into two broad types. The sequential route separates out initial development into acquisition of the profession's knowledge-base normally through full-time university or technical college training, followed by a period of supervised practice to learn how to put this knowledge and associated skills into use. In the parallel route, academic training takes the form of part-time or distance courses that are taken alongside work-based training. In theory the parallel route appears to lend itself to post-technocratic approaches to development, although in professions that make use of it (such as accountancy, surveying and personnel management) there are still few real-time linkages made between formal training and student-practitioners' experience. A third and more genuinely post-technocratic variant - what might be called an integrated route - is beginning to emerge, in which higher education overlaps with and draws on work-based learning; at present this most evident in principally public-sector professions such as teaching, nursing and social work.

The traditional means of training for conservators and restorers was through apprenticeship and indenture; particularly in conservation specialisms where there is a need for well-developed craft

skills, this route survives today at least informally. The first formal courses in conservation appeared in the 1930s, and by the end of the century there were 44 qualification courses in the UK (Scottish Conservation Bureau, 2000), and two in the Republic of Ireland. Recent years have seen an increase in the emphasis placed on academic conservation education, resulting in courses being pitched at higher education level; of the 46 UK and Irish courses, 34 are at university or equivalent level including 14 master's degrees or postgraduate diplomas, six undergraduate degrees, and 14 undergraduate diplomas. A sequential route involving degree or postgraduate entry has become the norm in several conservation specialisms and an option in most of the remainder.

There is currently a concern that while new entrants may be emerging with good academic qualifications, in many cases their depth of practical understanding may not be at more than the level of an advanced beginner. UK higher education has not generally provided more than an introduction to *practical* conservation; it is fairly common for instance for an arts or science graduate to complete a one-year master's degree in conservation, compared with practice in Germany and to a lesser extent France and Italy, where the would-be practitioner qualifying at master's level will typically have completed four or five years of academic and practical training, possibly with additional pre-course experience (Maresca & Sani, 2000; Banik & Pataki, 2001). There is substantial support within Europe for a norm of at least three if not five years' full-time higher education in conservation (ECCO, 1994; Bacon *et al*, 2000), with more recent calls for this to culminate in a qualification at master's level (Larsen *et al*, 2000). In response some UK universities have lengthened their postgraduate conservation courses so that two- and three-year master's degrees with a substantial practical component are now appearing, and from 2002 the Institute of Archaeology at the University of London is intending to introduce a part-time option. These nods in the direction of the parallel or integrated route are however in the minority at present.

In the UK and Ireland as in most of Europe there is no tradition of part-time academic conservation education, and few attempts to bridge between practical, apprenticeship-type training and academic learning. This means that the current options for would-be conservators and restorers are on the one hand apprenticeships or informal training alongside a practising conservator, without access to the academic qualification which is increasingly being regarded as part of the requirement for the profession, or on the other the sequential route. Similarly, there are no easy routes that can be used by experienced practitioners to gain academic awards in the conservation field; even the proposed Institute of Archaeology programme is expected to require 2¹/₂ days attendance per week.

Current movement towards more standard entry routes in conservation raise some general issues about entry-gates to professions and their effect on the diversity of practitioners. If a five-year full-time course becomes the norm for entry in conservation (as for instance is the case in architecture and medicine), it is likely to limit entrants to those prepared to undertake (and who can afford) five years' higher education, and who have either made a relatively early career choice or can afford to forego working over a protracted period in order to make a career change. In turn this leads to a narrower pool of practitioners, and limits the options for people who have entered at technician or similar level and subsequently want to progress to attaining full professional status. The effects of limiting entry to the sequential route are visible in conservation, where it would have debarred or restricted the progression of many people who have entered by other means and are now highly capable practitioners. This dilemma has relevance to other professions that rely on single modes of entry, in that it consideration needs to be given to the loss of diversity and opportunity that result.

Secondly, it may be debated whether the current trend towards university education is driven by perceptions of professional status, or whether it is an appropriate response to a genuine need. The tendency for professionalising occupations to aspire to university-level training is well-known (see for instance Schön, 1983), and more recently a desire to attract students has led universities to offer courses in fields that are viewed as potentially attractive occupations, though not always with a view to the opportunities available afterwards. On the other hand, there have been increasing calls from within the practitioner community for increased scientific, cultural and historic understanding to underpin practice. A potential tragedy - and one that affected many other professions in the middle to latter part of the 20th century (Schön 1987b) - is that the craft knowledge and artistry of practice become displaced by a more academic and less practical form of knowing, that favours technical problem-solving and decision-making within narrow areas of specialism over engaging with more complex and indeterminate practical issues. A more optimistic reading of trends in conservation is that the profession is already aware of the problems of the technocratic model, and beginning to move towards a form of higher education that is more closely linked to practice. In this sense, conservation may be more successful in evolving its university provision into something resembling a post-technocratic model, in a way that established professions with courses that are already relatively standardised would find more difficult.

Practical training

The sequential model of professional development necessarily includes a period of practical experience that assists the novice practitioner fresh from full-time education or training to develop into a competent professional. The longer-established professions typically have fairly standardised approaches to this period of learning, often formalised by training contracts at least nominally overseen by the professional or registration body.

While there is no direct equivalent within conservation, the concept of the 'internship' or time-bound training post has become fairly widespread. Internships typically differ from apprenticeships or training posts in that they are shorter (sometimes for six months or less), are offered to new or recent conservation graduates and sometimes to experienced practitioners, and are not always paid. The number and length of internships are currently insufficient either to accommodate the output of the universities, or potentially to provide a sufficient flow of newly-qualified people into the profession. While some structured training routes do exist, many new graduates either have difficulty finding posts at all or work through a 'journeyman' phase of short-term and voluntary jobs, training posts and freelance work before finding more stable employment or setting up their own studios or workshops (Jagger & Aston, 1999).

At present there is no qualification or approved training programme associated with internships, although some institutions and practices devise schemes of their own. The development of a professional accreditation framework, discussed below, is beginning to influence internships in that some interns are being encouraged to work towards accreditation and take cognisance of the professional standards in their work. In 2001 two universities secured Graduate Apprenticeship funding from the Higher Education Funding Council for England to develop practical routes for graduates in conservation, based on National Vocational Qualification targets and professional accreditation requirements.

Conservation has a particular set of problems that stem from an arguably ad-hoc approach to practical training coupled with low levels of funding and, initially at least, low practitioner salaries. However, there is a growing concern within the profession to increase the coherence of opportunities for new graduates and provide clearer frameworks for early-career development. While many other professions have progressed much further along this road than conservation, it is noticeable that these frameworks are frequently provided at a general level, without translation into individual novice practitioners' contexts - such as their working environments, the focus of their work, and their interests and aspirations. An approach being investigated in one of the graduate apprenticeship projects that has promise for more general use is to develop a learning contract template, of the type discussed by Stephenson & Laycock (1993), that enables the graduate to negotiate an individual development plan with his or her employer within a broad framework agreed by the university and professional body.

National Vocational Qualifications

During the late 1980s the UK developed a system of National and Scottish Vocational Qualifications (here abbreviated to NVQs). These qualifications are based on demonstrating practical competence against criteria set for each occupational area by government-recognised bodies (from 2002, Sector Skills Councils). They are offered at levels 1 to 5, with level 1 relating to basic, routine work and levels 4 and 5 to professional or similar occupations. Although many apprenticeships lead to NVQs, the qualifications do not need to be linked to training courses, and in some fields they are fairly widely used by experienced practitioners as a means of gaining credentials for their existing competence. While NVQs are explicitly about the ability to do and therefore fit in some ways with a post-technocratic approach to professional development, the model underpinning them stems from a technical-rational perspective in which it is assumed that work can be specified in functional terms and broken down into detailed and discrete outcomes.

NVQs at levels 4 and 5 were developed in conservation by the former Museum Training Institute, and introduced in 1996; they were revised in 2000, when the level 5 qualification was dropped due to lack of interest and a conservation option was introduced at level 3 for technicians and new entrants. By the end of 2000 only one conservation NVQ had been achieved, at level 4 (Qualifications and Curriculum Authority, 2001). The qualifications have not proved attractive to practitioners and cannot be regarded as having any real significance within the profession, although some of the principles on which they are based have been drawn upon to develop the accreditation framework discussed in the next section. The development of professional accreditation may have further reduced any potential appeal, although it may be possible for the level 3 NVQ to occupy a complementary niche as a qualification for conservation technicians, either as an end in itself or as a marker of proficiency in more routine practical tasks before moving on to work towards full professional status.

Higher-level NVQs have only really succeeded in a small number of occupational areas, principally in business and management and in occupations such as waste management and the management of care facilities where they have specific roles and have not been challenged by existing qualifications. In most professional fields as in conservation they have either attracted little attention or proved largely unworkable. Partly this is likely to be due to the perceived lower value of a 'national vocational' award *vis-à-vis* a qualification set and awarded by a professional institute or a university, but there are also doubts about the ability of the functionalist approach taken in NVQs to reflect the complex and

sometimes uncertain nature of professional work (see for instance Burgoyne, 1989; Elliott, 1992; Hodgkinson & Issitt, 1995). Nevertheless, experience in conservation indicates that even where the qualifications themselves are not appropriate, some of the underlying principles may be capable of adaptation for use in professional practice assessment (see Leigh, 1996).

Professional accreditation

In the UK and Ireland a feature of most established professions is that entry to fully qualified status is overseen by a professional or registration body, as opposed to being conferred purely by possession of a relevant university degree or completion of a public training programme. A range of means are employed by professions to confirm professional status, including any or all of recognising university or other external awards plus a minimum period of experience, requiring completion of a defined training scheme or period of indenture, and operating a final examination or assessment. Generally, methods can be divided into those based on inputs (such as time served or training completed) and those using output measures (demonstration of practical proficiency or success in examinations); some use a combination of both.

Until recently, the small size of the conservation profession, its fragmented and multidisciplinary nature, and its variety of entry routes have all worked against establishing an entry-gate of this type. Following some false starts an output-based system of accreditation was developed in the late 1990s, based on proficiency as a practitioner as assessed in the field against common professional standards (see Lester, 2000). This approach partly corresponds to the post-degree, post-experience professional practice examination used in architecture and some of the other construction professions, while also drawing on some of the principles of NVQs.

In the UK, the Professional Accreditation of Conservator-Restorers (PACR) framework has recently replaced short-life 'fast-track' schemes that were set up to qualify practitioners with at least ten years' experience (see Buchanan, 2001). PACR is operated by three individual professional bodies while being overseen by the National Council for Conservation-Restoration (NCCR), acting as a professional standards council. PACR candidates make a detailed application referenced to the NCCR professional standards and verified by two referees. The application is scrutinised by an accreditation committee before going forward to full assessment in the workplace by two assessors, and finally the assessment records are returned to the committee for moderation. Success in the assessment leads to the designation Accredited Conservator-Restorer, which is gradually becoming recognised as conferring professionally qualified status; it is not a qualification in the educational sense, but a qualifying membership that can be revoked or resigned from similar to those in professions such as accountancy, surveying and architecture. A broadly parallel approach has been adopted by the Institute for the Conservation of Historic and Artistic Works in Ireland; this is based on references, a portfolio of work, and a studio or workshop visit by two assessors monitored by an 'external' assessor.

PACR provides both a postgraduate, post-experience confirmation of proficiency marking out the developing practitioner as a competent professional, and (at least in the UK and Ireland) a route to full professional status for non-graduates, including people who come into conservation as technicians or craft restorers. In principle therefore it overcomes some of the problems of increasingly graduate-oriented entry routes discussed previously, although this function is likely to be limited if training

routes disappear outside of full-time higher education. PACR provides an interesting contrast and potential alternative to the professional practice examinations used by construction and some other professions before conferring full-qualified status. While these latter tend to be knowledge-based assessments of fields that need to be covered for independent practice, such as contract and project management in the construction field, PACR aims to assess professional *practice* across a range of activities. The potential weakness of PACR is that it is effectively a snapshot of practice as at a particular date, and while it does more than look at performance on the day of assessment (the assessors examine evidence and records relating to work from a period spanning typically a year or two) it may engender less confidence than assessment over time on a structured training scheme or period of experience. Although there are no plans to restrict access to PACR, it is increasingly being viewed in the profession as the final stage in initial development, following university training and a period of (ideally) initially structured and subsequently more self-managed practice.

As professions come under pressure to be accountable and to operate to visible standards of proficiency, the approach used in PACR may offer a way forward that ensures at least that practitioners are able to operate to a proficient standard before they are approved as fully qualified or licensed to practise. The assessment process will need to be adapted to suit the needs of the individual profession, but the principle of assessing practice and the results of practice, and associated contextual knowledge - as opposed to decontextualised knowledge and skills - is likely to be relevant to a wide range of occupations where a relevant confirmation of ability is needed before conferring final approval. In the UK and other countries that have developed competence-based qualifications along the lines of NVQs, there is also experience that can be transferred back from developments such as PACR into competence-based awards, in particular to increase the validity of award specifications (occupational standards in the UK), assessment methods, and credibility with graduates and professionals (see Lester, 2001).

Post-qualifying: the role of qualifications in continuing professional development

The need for continuing professional development (CPD) is now fairly widely accepted in one form or another across the majority of professions, although it did not start to become a recognisable feature of the professional landscape until after the 1960s (Houle 1980). Professional bodies' rationales for promoting CPD have tended to centre on ensuring that members keep up-to-date and maintain their competence, sometimes in a way that is visible and publicly verifiable, while individual practitioners' rationales are often more concerned with just-in-time and project-led learning, gaining access to training opportunities, and career development and self-actualisation. Some more recent professional body CPD schemes have moved closer to a practitioner-centred model, geared more to supporting development that is relevant and useful than to provide measures of publicly visible updating.

Various types of qualifications frequently feature in the CPD goals of individuals and may be promoted by associations' CPD schemes, but the relationship between CPD and awards is largely informal. While qualification modules, units and credits are sometimes used as means of updating, the main roles for full qualifications in CPD have been as vehicles to support specialisation, career extension and practitioner research. Following Bines' notion of technocratic and post-technocratic initial development routes, a similar distinction can tentatively be made for post-initial awards; briefly, a technocratic approach might be associated with gaining specific knowledge and skills for movement into defined specialist or managerial roles, while a post-technocratic model can be linked with

programmes designed to support the development of extended professionalism (Stenhouse, 1975; Lester, 1995) and mature capability (Lester & Chapman, 2002). These latter are likely to involve agendas that are led or negotiated by the practitioner, and to focus on taking forward a specific project or field of interest.

The UK and Irish conservation associations began to take an active interest in CPD from the mid-1990s. In 1999 the NCCR published a framework for reviewing and planning CPD (see Lester, 1999), which came into force for new applicants in 2000 and accredited practitioners in 2002. It is not explicitly linked to further qualifications, and like many of the more recent approaches to CPD it recognises the important role of informal learning in updating and further development (Gear *et al*, 1994). There is also interest both within the profession and within the corresponding academic community to promote practitioner research, and capture and disseminate the often private knowledge built up by practitioners through informal learning and investigations carried out in the course of their practice. The major professional associations encourage members to publish findings either as 'information notes' or as more detailed articles, and international networks also encourage sharing of methods and experience.

Although the NCCR recently identified a need to "to develop links with universities and promote research activities among practising conservators" (NCCR, 2000), the conservation profession is currently at no more than an embryonic stage of exploiting postgraduate qualifications to support the development of extended professionalism and practitioner research. As in many other professions a distinction is emerging between scholars or researchers working within the profession's academic community, and scholarly professionals or researching practitioners (Bourner *et al* 2000). The work of some conservators particularly in large institutions is indeed partly academic in nature, involving research, careful recording and documentation, and publication; for these practitioners an academic research degree may provide an appropriate framework for further development, and a few conservators particularly in the major museums have registered for MPhil or PhD degrees. However, for the majority of conservators, traditional research degrees are likely to be impractical and probably of limited relevance. Nevertheless, practical research and development forms part of the work of many of these practitioners, and closer dialogue between this and academic research is likely to bring benefits both to individual practitioners and to the profession as a whole.

Meeting the kinds of needs currently being identified in conservation is likely to depend on there being available a wider range of post-experience awards than those based on traditional taught courses and academic research. The UK, together with Australia, has over recent years pioneered the growth of part-time and work-based programmes geared to enhancing the professional capability and careers of experienced practitioners. The leading edge of these developments has progressed from modular models which provide (in addition to the usual project or research dissertation) credit for prior learning, selection from a range of taught and distance-learning courses, and opportunities for independent study, to work-based models where the degree or diploma is built around projects and issues from the practitioner's work (e.g. Osborne *et al*, 1998; Boud & Solomon, 2001).

Work-based programmes at master's level may have potential attractions to conservator-restorers who are professionally accredited but lack a graduate or postgraduate qualification, and provide useful vehicles for promoting extended professionalism and practitioner research. However, two obstacles to this kind of development currently exist. One is that currently there are no master's

programmes of this kind where a conservation or restoration focus could easily be incorporated (although a solution is present in linking process expertise in work-based learning with a specialist supervisor from a different institution or from the profession). The second is that in many conservation specialisms master's degrees are increasingly being seen as entry qualifications, rather than as relevant to experienced practitioners; while this is largely a perceptual issue created by the breadth of awards covered by the master's title, it does suggest that master's degrees - at least those with titles such as MA and MSc - will have a restricted appeal as extended development routes in professions where master's awards are widely taken as part of the initial development route.

The other development that has relevance to conservation and to CPD more generally is the growth over the past decade of professional doctorates. Until recently the great majority of doctorates awarded in the UK were either research-based PhDs, or a small number of older-established awards such as DSc, DLitt and LID awarded for substantial and significant contributions to the relevant academic field. Professional doctorates, as with PhDs largely an American innovation, have been introduced from the 1990s to meet the development needs of senior practitioners who are not professional researchers. The most common form of professional doctorate in the UK, USA and Australia has a field-specific title such as EngD (engineering), EdD (education) or MD (medicine), and consists of a taught part followed by a dissertation; by 1998, 108 such doctorates were offered by 38 UK universities in nineteen professional fields (Bourner *et al*, 2000). An alternative model, the generic Doctor of Professional Studies or of Professional Practice (DProf/ProfD) pioneered in the UK by Middlesex University, is based on work-based research and development rather than taught units or traditional academic research, and offered in any field where suitable mentors can be found (see Portwood & Thome, 2000). While the DProf is a generic award like the PhD, specific streams are emerging around professional communities through partnerships between the university and various specialist organisations.

Future directions and opportunities

The preceding sections point towards several ways in which the relationships between professional development and qualifications are changing, as well as opportunities for award structures and programmes that are better matched to the needs of practitioners and professions.

While the example of conservation appears to be moving in the direction of more convergent entry routes, the distinction that is increasingly being made in UK higher and further education between course or programme on the one hand and qualification on the other means that there is scope to require consistent entry qualifications, while at the same time promoting a greater diversity of routes to attaining them. This may be through the acceptance of different awards as nominally equivalent - as is done for instance by the Chartered Institute of Personnel and Development - or through ensuring that there are different routes to achieving the stipulated award. The development of integrated routes, in which practitioners can undertake academically-recognised programmes and achieve awards based on existing and new work-based learning, offers a step forward from traditional parallel or sequential routes; this may be particularly relevant to overcoming the 'silo effect' where experienced but under-qualified practitioners find themselves blocked from further progress without costly and unproductive backtracking. In conservation, there is an opportunity to complement the current trend for convergence towards degree or postgraduate entry with divergence in the routes available to achieve the favoured qualification. In many established professions also,

recent developments in higher education beg the question as to whether there are benefits to would-be practitioners and to the profession as a whole from adopting more diverse means of qualifying.

In parallel with movement towards globalisation and international regionalisation in their various forms, it is becoming increasingly desirable and necessary for professions to facilitate mutual recognition of qualifications across national boundaries. Experience in conservation suggests that while a measure of commonality is possible, the extent to which it can be pursued can relate to overcoming perceptual differences and sometimes significantly different national approaches to qualifying. The Bologna proposals for Europe (European Higher Education Area, 1999) currently relate only to higher education frameworks at a very broad level, and some quite major developments are not well understood across national boundaries; university-accredited work-based learning, for instance, has made limited inroads in Europe other than in the UK and to a lesser extent Ireland, and the acceptance of awards based on workplace competence is far from universal in Europe. Practically, this means that the scope for change will be less in some countries than others; the resulting challenge suggests ensuring an acceptable level of comparability at qualification level, while maintaining diversity of means of qualifying as appropriate to national contexts and cultures.

Within conservation, there has been a fairly consistent desire over the past twenty years or so to base fully-qualified status on explicit forms of practice-based accreditation. It is currently unclear whether this will become a more widely-used model in other professions, particularly those with well-established entry routes, but interest is apparent from other professionalising occupations in fields as varied as occupational rehabilitation, university teaching and environmental management. As drives towards greater professional accountability increase, the PACR model or something equivalent to it does appear to offer greater confidence than either an unassessed period of approved training or a knowledge-based examination, and the direction taken by conservation offers one way forward - possibly in conjunction with existing methods of managing early-career development - that can be adapted by other professions.

In the area of continuing development, a key opportunity lies in the potential for qualifications to act as vehicles for development - in a sense as the 'glue' that binds a sequence of development activities and enhances their value and impact. On the one hand this requires professions, and individual practitioners, to regard award-bearing programmes as potentially relevant and seek value from them over and above the value of the award. On the other it also requires an imaginative and flexible approach from universities and other providers, where programmes are seen more as vehicles that add value to practice-driven development than as product offerings that reflect the academic expertise and comfort-zones of the institution. The expansion of negotiated work-based learning and learning agreements in universities offers much here, particularly as facilities are enhanced by on-line access and networking (including inter-institution and profession-institution networking to provide learner support). As a footnote, while much accredited CPD activity is likely to be at postgraduate or master's level, a wider variety of awards are likely to be needed than at present to provide a better match with the needs of ongoing development; this may for instance include awards the size of the postgraduate certificate and diploma but at first degree level, and the facility to accredit work at doctoral level that is smaller in size than the standard doctoral undertaking.

Concluding comments

Conservation in the UK and Ireland is illustrative of a professionalising occupation that does not (yet) have a standard approach to qualifying or entry routes, and so illustrates different patterns in the way that qualifications play a role in practitioners' development and careers. Its experience suggests three questions that need to be asked about the relationships between professions and qualifications. First, what kind of education and training, and associated qualifications, should would-be or novice practitioners be asked to gain en-route to becoming fully-qualified professionals? Associated with this it can be asked what effect the agreed route or routes are likely to have on the kind of people who enter the profession, and thence the effect on the profession's diversity of outlook, breadth of capability, and future direction and development. Secondly, what means are employed to accredit or approve practitioners, formally or informally, as being fit to practise? The type and level of formality of approval may vary widely, and depend on factors such as the perceived rigour of entry routes as well as the need for public confidence and the criticality of professional competence; but the method(s) adopted need to be appropriate for the intended purpose if they are to be effective and credible. Finally where appropriate, what kinds of qualifications, and qualification programmes or pathways, are needed to form effective and attractive vehicles for ongoing development and the development of extended professionalism and mature capability? In meeting what appears to be an emerging or growing need in this area, consideration is needed that existing qualification structures do not adequately reflect the needs of the CPD arena. Tensions also need to be recognised between the extrinsic purpose of credentialling - in particular, gaining a qualification at a higher level than the practitioner has already - and the more intrinsic one of using the qualification programme as a framework for further development.

The answers that professional communities find to these questions inevitably vary between occupational areas and across international boundaries. However, the forces that connect professions and qualifications are essentially dynamic, so that even in occupations that have had an apparently stable approach to entry and qualifying it will be necessary to re-evaluate the fitness for purpose of the systems they subscribe to, particularly as both pressures on practitioners and professional communities change, and new approaches to development and accreditation emerge. Conservation provides an example of a hitherto relatively open and unregulated profession where qualifications are now beginning to play a more central and defining role; as this process proceeds, care is needed to ensure that the means chosen reflect fitness for purpose, and the profession maintains a diversity of practitioners appropriate to the context of its work.

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Acronyms

CPD	Continuing professional development
DProf	Doctor of Professional Studies
ECCO	European Confederation of Conservator-Restorers' Organisations
NCCR	National Council for Conservation-Restoration
NVQ	National Vocational Qualification
PACR	Professional Accreditation of Conservator-Restorers

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Becoming a qualifying profession: a case-study from the heritage sector

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Abstract

Conserving cultural heritage, an occupation comprising 3-4000 people in the UK and Ireland, has made significant progress over the last ten years towards gaining recognition as a credible profession. Recent establishment of qualifying procedures by its key professional associations illustrates how a small and fragmented occupation can develop as a qualifying profession. Experience from conservation's professionalisation process is currently being reflected upon as the profession enters a new stage of greater collaboration and cohesion, and it also offers some learning points relevant to other occupations in the process of professionalisation.

Key words

Professions; professional bodies; qualifications; accreditation; conservation; cultural heritage.

Introduction

A fairly consistent feature of communities of practitioners that identify themselves as professions is that they seek distinction by being qualified, through their own associations or through university or other public awards, or both (different perspectives on this are given for instance by Millerson 1964, Larson 1977 and Schön 1983). While in much of Europe recognition is conferred through university qualifications or state-endorsed training, in the UK and Ireland (and in much of the English-speaking world) there is a stronger tradition of professional associations and governing bodies that either conduct qualifying procedures themselves, or approve university and similar courses as meeting the profession's requirements. Practitioner communities in these countries that are seeking recognition as professions might therefore be expected, at some point in their development, to establish a means of qualifying. At one time this may have meant, at least for already-experienced practitioners, little more than producing an appropriate *curriculum vitae* and obtaining suitable references. More recently there has been a trend towards greater public scrutiny of professions, along with a desire among practitioners for fairer and more accountable means of qualifying, that has led most associations' qualifying procedures to become more explicit and more akin to the requirements for the award of public qualifications.

In the cultural heritage sector, the conservation and restoration of historic and artistic works is a small occupation that can be regarded as in the process of professionalisation, both in the UK and Ireland (Lester 2002a) and more generally across Europe (Scheißl 2000) and worldwide. There are between three and four thousand conservators and restorers in the both countries (Museums and Galleries Commission 1998), with a mix of private practices and institutionally-employed practitioners; the private sector dominates in Ireland, while in the UK there is a fairly even balance, with a net movement towards private practice over the last decade or so. Professional associations in conservation date from the 1940s, and slightly more than half of practitioners are members of one or

more of eleven associations that subscribe to the National Council for Conservation-Restoration, the profession's umbrella body. Internationally, definitions of the profession and codes of ethics have been published by organisations such as the International Council of Museums, the International Institute for Conservation, and the European Confederation of Conservator-Restorers' Organisations (ECCO). Parallel with this, university conservation courses have become established worldwide, and degree or master's level qualifications are becoming the norm for entry in many conservation specialisms (Maresca & Sani 2000, Lester 2002b).

Conservation bodies as qualifying associations: the background

The idea of setting up a qualifying procedure for the emergent conservation profession has been discussed since the 1970s. The first successful move in this direction was made by the British Antique Furniture Restorers' Association (BAFRA), which set up an accreditation scheme for its members in 1979. Of all the conservation and restoration bodies BAFRA was perhaps the closest in function to a trade association, having nearly all its members in private firms; the rationale behind accreditation was to provide a means of ensuring that clients could be ensured of a competent and professional service from members, who to be accreditable had to be business principals. The early discussions and the BAFRA scheme resulted in a notion of accreditation among the conservation community that owed nearly as much to conceptions of practice or trade registration as to those of professional qualification, as well as a principle that accreditation should represent practical ability rather than purely academic achievement.

Further impetus for the wider development of qualifying systems was provided in 1984 when the International Council for Museums published an influential definition of the profession. Discussions took place in 1986 to explore the possibility of a joint accreditation system, although no further progress was made until accreditation schemes were set up by the Association of British Picture Restorers (now British Association of Picture Conservator-Restorers, BAPCR) and the Institute for the Conservation of Historic and Artistic Works in Ireland (ICHAWI) in 1995. Parallel with this an umbrella body of the main conservation associations was set up in 1993, initially as the Conservation Forum, later the National Council for Conservation-Restoration (NCCR). One of this new organisation's aims was to develop a joint framework for accrediting or qualifying practitioners.

Two primary rationales sat behind the conservation community's accreditation project. Publicly, the main justification has been that an explicit standard to which practitioners are accredited will provide clients and employers with a means of identifying properly-qualified and competent conservators, and improve the overall standard of care of cultural heritage assets (see NCCR 1999, Buchanan 2001). Also widely voiced was an expectation that a professionally-qualified and higher profile conservation community would gain greater attention and respect from other professionals, employers, and owners of historic and artistic works; this was hoped partly to achieve increased reward in what has not been a particularly well-paid occupation, and partly to increase the market for conservation services and give conservators more influence in decisions about heritage (see Lester 2002a). Parallel with this a demand from the more important collections and national heritage organisations for more highly educated conservators - with for instance knowledge of materials science, art history and the overall care of collections - had been reflected in an increasing number of postgraduate conservation courses, although as yet few linkages have been made between practical accreditation and academic education.

Despite concurrent moves in Europe towards establishing a conservation profession based on university degrees as the primary mode of qualification (see for instance Bacon *et al* 2000, ECCO 2002), in the UK and Ireland most of the conservation groupings have fought shy of serious attempts to validate courses. This decision was based partly on the desire for their mark of approval to be based on competent practice, to an extent because of the varied entry routes that had been (and still are to a degree) present in conservation, and partly due to the practical difficulty of getting universities, already becoming overworked from quality inspections and assessments, to accept another validation process operated by a small practitioner community. Additional support for a proficiency-based view of accreditation was provided by the emergence in the UK from the late 1980s onwards of National Vocational Qualifications (NVQs), which involved assessment of work competence. Although the NVQs in conservation that were launched by the Museum Training Institute in 1996 were effectively a failure, some of the thinking behind them was taken up in the conservation community in respect of accreditation (see for instance Leigh 1996, Barron 1997 and Lester 2000) and in a European Union-funded project to describe the work of the conservator across Europe (Foley & Scholten 1998).

The Professional Accreditation of Conservator-Restorers

In 1998 three of the larger conservation associations adopted a two-pronged approach to establishing a common means of qualifying. One of these, the Society of Archivists, had already been offering a certificate in conservation alongside its established qualifications for archivists. The others, the Institute of Paper Conservation and the UK Institute for the Conservation of Historic and Artistic Works (UKIC), instituted short-life 'fast-track' schemes to enable practitioners with at least ten years' experience to qualify without an extensive assessment process. Concurrently they also set up a joint accreditation group, charged with developing a viable and robust accreditation framework that would be accessible to all practitioners able to demonstrate the required degree of proficiency and professionalism.

The joint project resulted in a framework designated the Professional Accreditation of Conservator-Restorers (PACR), designed to be a professional qualification based on practical proficiency, and sufficiently robust both to provide confidence in successful candidates' abilities as self-managing practitioners, and to stand scrutiny in relation to the standards of established professions. PACR was launched in 2000; it was overseen by NCCR and assessed by the participating professional bodies. The development and initial implementation of PACR is discussed by Lester (2000, 2001) and Buchanan (2001).

In brief, PACR is open to any practising conservator who has sufficient experience (generally between three and five years for conservation graduates, or seven to ten years including studio-based training). The accreditation candidate provides a detailed application that describes experience against eleven professional standards, and following initial scrutiny of the application a detailed assessment is carried out by two assessors at the candidate's workplace. The application, now with the assessors' comments and grading attached, is forwarded to the professional body's accreditation committee for a final decision to be made. The system aims to be fair and transparent, and an appeals process is available with ultimate recourse to the NCCR's Professional Standards Board - i.e. beyond the candidate's professional body. To remain accredited, practitioners - regardless of

whether they qualified through PACR or the fast-track routes - must demonstrate self-managed continuing professional development, and adhere to the common (ECCO) code of ethics.

Annual application and assessment rounds for PACR were held in 2000 and 2001, with a total of 40 initial applications of which 33 went through to assessment and 28 were successful. A further [# to be added] applications were made in 2002. While some teething problems are yet to be resolved, current evidence points to PACR as being a robust credential that requires a high level of proficiency to achieve.

The impact of accreditation

By the beginning of 2002, approximately 820 conservators and restorers held some form of professional accreditation: 627 through PACR and the fast-track schemes and nearly 200 through the smaller bodies. This amounts to around 40% of the UK and Irish membership of the conservation associations, and an estimated 30% of all potentially accreditable practitioners. Although the BAFRA system had already become well-established in its specialist field, the general view in the profession was that it was too early to expect accreditation to have achieved a significant impact, particularly given that little promotional activity had taken place. Nevertheless, some indications of potential impact have been gleaned from within the profession and from stakeholders such as employers, client bodies and grant-awarding organisations.

A random survey of conservators (over 700 were contacted by email with a 10% response rate) suggested that there was reasonable knowledge of accreditation across the conservation community, but variable understanding of what it entailed and stood for. In particular, the introduction of the fast-track processes followed by their almost immediate replacement by PACR had led to a degree of confusion; the reasons for the more rigorous (and more costly and time-consuming) process represented by the latter were not always appreciated. The majority of practitioners appeared to welcome accreditation and see it as beneficial to the profession and in the longer term to themselves as practitioners, regardless of whether they were in the public or private sector. On the other hand a minority were doubtful about benefits and felt, particularly if they were already well-established in their careers or well-qualified academically, that there was little point in applying.

Among stakeholder organisations, awareness was generally good in larger organisations such as the big museums and galleries and national heritage bodies, but poorer in small museums and other small clients. The organisations that were aware of professional accreditation welcomed it, seeing it as promoting professionalism and ongoing development. There was also support from the majority of employers for staff to become accredited, although this translated into payment of the full costs in only around a third, and some were not as yet treating conservation accreditation on an equal basis with more established professional qualifications.

In terms of practical impact, accreditation has not yet become more than an occasional requirement for recruiting staff or contracting, although the indications from client and funding bodies is that this is likely to change in the future. In recruitment, the emerging picture is of accreditation becoming a desirable but not essential attribute for experienced conservators, reflecting a fairly common approach in the public and voluntary sectors (where the majority of employed conservators work) where there can be reluctance to make possession of a non-statutory qualification a condition of employment.

This may change as the factors described below come into play, but current feedback suggests that employers are more likely to stipulate that new recruits work towards accreditation where it is essential.

Many clients of conservation services regard established working relationships as more important than any form of qualification, but some of the larger bodies expect to stipulate that an accredited conservator leads on larger projects or undertakes particularly critical work. Some of the major grant-awarding organisations in the heritage sector are already putting into place requirements where projects that have a conservation element must include an accredited conservator in an appropriate role; among other things, this is seen as a means of ensuring that the conservation requirements of the project are given adequate attention. A related development that also favours professional accreditation is that since 2002 the Conservation Register, a register of firms of all sizes from sole practitioners to larger employers, has required the principal practitioners of registered firms to be accredited.

Overall, professional accreditation in conservation appears to be in the early stages of making a quite significant impact on the profession, giving it what is intended will become a standard designation for fully-qualified practitioners, regardless of specialism or route to qualifying. If the developments alluded to above materialise fully, it is likely to occupy a similar position to, for instance, a qualification in a field such as surveying - not a statutory requirement but commercially essential for work on major projects.

Positioning: accreditation and profession

One of the issues alluded to previously is that there is not complete clarity about the positioning of conservation accreditation as a professional qualification. This relates in part to the historic tendency in some parts of the conservation community to conflate qualification as a practitioner with approval effectively as a firm, but there is also slightly wider confusion about where accreditation sits among the other markers of training and achievement such as academic and similar qualifications. In addition a quite significant impact of conservation's accreditation project has been to focus attention on who is accreditable and who is not, and therefore on the boundaries and definition of the profession.

The view that emerged when PACR was developed was that it should be a free-standing credential in the sense of being open to practitioners regardless of the route they had taken to gain experience and proficiency in conservation - similar, in some respects, to an NVQ, though not leading to an award separate to accredited membership of a professional body. This perspective was not that different to those underpinning the other accreditation schemes: while formal training and a suitable qualification are recommended, the only stipulation is to have a minimum period of relevant experience. An alternative way of seeing PACR is that it performs a similar function to the (postgraduate and post-experience) professional practice examination in architecture and some of the other construction professions, providing a check on competence and professionalism before a practitioner is designated as fully qualified. This view is more in accordance with the European drive towards a graduate profession, where the preferred route to qualified conservator status might in UK terms be a conservation (master's) degree plus a period of practical training and further relevant experience, culminating in accreditation. There are advantages to this interpretation in that it positions PACR

more clearly as a post-degree professional practice qualification, is in keeping with the aims of the conservation community in Europe, and reflects what is actually happening in the UK in most branches of conservation. It also does not need to rule out 'exceptional' entry routes based on diploma courses or studio-based training.

While at first sight professional associations might be expected first to agree on the nature and coverage of their profession and then develop a qualifying system to fit, in conservation the two things have gone together. Accreditation is currently driving a basic need to clarify what is meant by the 'conservation profession', as opposed to the wider community involved in conservation. Conservation as an overall set of activities draws on a variety of occupations, including conservation and materials scientists, historic buildings architects, collections managers (e.g. curators and archivists), and various craft activities that contribute to conservation and restoration. There are also emerging roles within conservation such as those of preventive conservators and collections care managers, who are only now receiving full recognition from the professional associations; a need currently being addressed is to create a route for these practitioners to achieve accreditation.

A third positioning issue concerns whether there should be a recognised conservation technician role (possibly associated with NVQ level 3 or a similar-level qualification), as there is in for instance accountancy, architecture and engineering. Up to a point this is a contentious issue, as one of the driving forces behind the professionalisation of conservation has been to raise its status, and some conservators are still employed on technician grades to do professional conservation work; identifying a technician role is seen by some as a retrogressive step. On the other hand not all work in conservation requires the skills of a fully-qualified practitioner, and differentiating technicians is likely to add credence to conservation's claim to be a high-level profession. On balance, provided routes remain open for people to progress from technician to fully-qualified status, there are likely to be benefits from clarifying the role of the conservation technician.

Emerging developments

At the beginning of 2002 the conservation bodies had made considerable progress in becoming qualifying associations, and there were positive signs that the idea of a professionally qualified conservator would, if properly promoted and managed, become influential in the cultural heritage field. Less positively, to the outsider (and to many in conservation) the profession appeared to lack coherence, with there being for instance furniture and paintings associations paralleled by furniture and paintings sections in UKIC, photographic materials conservators appearing potentially in any of seven bodies across the UK and Ireland, and two recently-formed groups for specialists who did not appear to be particularly well supported by the existing associations. This fragmentation of such a small body of practitioners had not surprisingly led to duplication of resources and dilution of any claim that conservation can have to be a credible profession.

During 2002 a strengthened role was agreed by its members for NCCR, in which it was given the authority to explore ways of creating a more cohesive professional conservation community, including if appropriate through existing member bodies dissolving into a single professional institute. If this was to happen, a single means of accreditation would also need to emerge, and a short project was initiated to examine the feasibility of doing this and to put the first steps in place. The six accrediting bodies agreed in principle that there should be a common framework (rather than, at this stage, a

common system), and an action plan was drawn up to agree principles, joint criteria and standards by early 2003. This was intended to enable the best features of the current systems to be retained, while working towards a common system over time regardless of whether or not the mooted single institute was formed.

A second potential weakness of the conservation bodies is that few have much formal involvement in the initial development of practitioners; exceptions are a modular certificate in archive conservation offered by the Society of Archivists, and a course approval process operated by BAFRA. While there is dialogue between the associations and education providers, there is little sense other than the above in which there are approved entry and training routes. The option taken in some other professions where the associations set and run their own courses is not particularly attractive or feasible in conservation, due to a mix of factors that include lack of resources, the breadth of coverage (including practical training) that is needed, and the established and growing nature of university and specialist college provision.

In principle it is debatable whether a professional association that operates a robust final qualification needs to be involved directly in initial development, but this is an unsatisfactory situation in conservation for two reasons. First, there is concern that the immersion in practical conservation given by some academic routes is inadequate, leaving graduates to learn on the job in the absence of a sufficient number of formal training posts (see Cummings 1996, Jagger & Aston 1999). Secondly, there are currently no part-time or work-based routes to conservation degrees or postgraduate awards, a situation that in the future could place severe restrictions on the catchment from which potential practitioners are drawn as well as on progression opportunities for mature entrants and those entering at technician or craft level.

For a time it was hoped that the associations could work with the Cultural Heritage National Training Organisation (NTO) to validate courses, but no progress was made before the NTO was effectively put in a state of limbo pending its absorption into a Sector Skills Council. NCCR also set up a panel to discuss wider aspects of education, training and research in dialogue with higher education institutions. While there was no intention to use this to initiate a course approval process, one of the aims of the panel was to build on what were generally already good relationships between the practitioner community and conservation tutors, and encourage closer thinking on programme design and coverage. Given growing resistance from many universities towards formal validation processes, this may be a more practical way forward in which a constructive relationship can be developed; for instance several universities are already beginning or planning to use the PACR standards as a benchmark for the practical aspects of their courses.

Conclusions

The development of the conservation associations as qualifying bodies has been a gradual process that has taken over half a century to come to its current state of fruition. In the UK conservation has been particularly disadvantaged by its lack of cohesion, and - despite a generally good relationship between the practitioner community and educational institutions - lack of formal involvement in the development of university courses. It has also subscribed to a notion of accreditation that while highly positive in many ways, has not been particularly well integrated with other notions of qualifying. Stemming from these factors, many of the professionalising developments in conservation have been

ad-hoc, and not until recently has any real sense of coherence started to emerge. While issues of positioning and professional boundaries remain, developments in both the UK and internationally suggest that these are not far from being resolved.

More positively, conservation illustrates the potential for small professional associations to operate qualifying procedures successfully, even against a background of fragmentation. While the development of PACR received a modest amount of public funding and drew on other public initiatives for its professional standards, it was developed as the profession's system rather than depending on collaboration with external standard-setting or awarding bodies. The smaller associations' schemes, although not as ambitious in scope, were developed with even less resources. The success of PACR as a joint project was largely due to a sense of frustration with previous failed attempts to establish a common accreditation system, the determination and efforts of key individuals (most of whom were volunteers) in taking it forward, and support from the within the profession and from other heritage organisations both in terms of practical help and in giving it their endorsement. Similar factors will also prove critical if the proposed common framework is to succeed.

The experience of conservation will have at least partial relevance to other occupations that are in the process of professionalising, particularly where their associations are seeking to become qualifying bodies. The establishment of an accreditation system, or professional practice assessment, is likely to be an effective means of creating a coherent qualified practitioner status, particularly if there are no clearly-established entry routes or there is a significant gap between the kind of proficiency required of a practitioner and that represented by relevant academic qualifications. It is also likely to be the strongest point of leverage for an association with limited resources to influence professional standards and create a public marker of professionalism, provided sufficient support is gained from the relevant stakeholder community. The decision in conservation to proceed independently of agencies such as NTOs and independent awarding bodies also reaped benefits in that although it meant foregoing a potential source of funding and collaboration, it also ensured that the profession maintained control of its own standards and qualifying procedures and was not tied to the timescales and procedures of external bodies or the vagaries of government policy and funding streams.

On a more cautionary note, the experience of conservation points to a need to be clear about what specifically is encompassed by the profession concerned, and what trends are emerging in its development. Conservation may be unusual for a small occupation in terms of its diversity and fragmentation, but it is rare for professionalising occupations not to encounter issues about where the boundaries are drawn, how emerging areas of activity are catered for and recognised, and perhaps most sensitively what level (however that is defined) practitioners need to be operating at to be eligible for full professional status. Where this kind of clarity is not possible or desirable, or where the profession covers a diverse range of roles, an accreditation system using practice standards of the type employed by PACR may be too restrictive and lead to too many problems about legitimate and competent practitioners not being able to qualify because their work roles do not reflect the functions described in the standards. For some areas of activity a practice-based assessment of this kind is likely to be unsuitable, and less prescriptive approaches to qualifying may be more appropriate, for instance through a diploma-type entry route that assesses a programme of learning, or project-based assessment where, within certain limits, the practitioner negotiates a project or portfolio of work to put forward for assessment against a more general set of criteria.

Some caveats

Professionalisation may lead to significant benefits for practitioners, stakeholders and the wider public, but it can also be a source of iniquity and dysfunction, even when pursued in good faith. Setting up an qualifying process places an entry-gate (which may be easy or difficult to bypass) between the would-be practitioner and potential employment or markets, pointing to a need for standards, procedures and interpretations that are valid and fair. Entry-gates based on doubtfully valid requirements or credential inflation are likely to be detrimental to the market, as well as creating unjustifiable forms of discrimination for new entrants. In practical terms, this suggests at least that the nascent qualifying association needs to be careful to match the level and nature of the qualifying process to the roles of the practitioners it would cover (for instance, is a professionally-qualified conservator really needed to do the job of a craft repairer or conservation technician?), as well as ensuring that the overall process required to qualify does not restrict the pool from which practitioners are drawn.

A further issue for occupational groupings is whether professionalisation, in the sense of creating a qualifying association and claiming a professional identity as a *group*, is necessarily an appropriate strategy. In an area such as conservation there are fairly clear expectations about what a conservator is and the kinds of work carried out by people who term themselves professional conservators. In areas such as nursing and law this expectation is clearer still. However, not all activities are as amenable to the kinds of boundaries and expectations that attach to established or even 21st-century professions, and there are fields of work where attempting to form a profession in the conventional sense is unlikely to be an appropriate way forward, even if the people working within it can, individually, be regarded as professionals. Rapidly developing areas such as information and communications technology and multimedia development may fall into this category, along with for example some fields of management and consultancy that depend more on a personal portfolio of capability as on conventional grounding in a particular discipline or recognised profession.

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Acronyms

BAFRA	British Antique Furniture Restorers' Association
BAPCR	British Association of Paintings Conservator-Restorers
CPD	Continuing professional development
ECCO	European Confederation of Conservator-Restorers' Organisations
ICHAWI	Institute for the Conservation of Historic and Artistic Works in Ireland
NCCR	National Council for Conservation-Restoration
NTO	National Training Organisation
NVQ	National Vocational Qualification
PACR	Professional Accreditation of Conservator-Restorers
UKIC	United Kingdom Institute for the Conservation of Historic and Artistic Works

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5400 words total

Annex B.

Papers prepared for the Joint Accreditation Group and the National Council for Conservation-Restoration

Ref	Title	Author	Date	Pages
B1	Professional Accreditation of Conservators: Discussion paper for an open meeting	S Lester	11/1998	10
B2	Professional Accreditation of Conservators: Relationships between accreditation and qualifications	S Lester	5/1999	4
B3	Report on development and trialling	S Lester	6/1999	14
B4	Report on the first round of accreditation and issues raised	S Lester	4/2001	18
B5	Feedback from the Continuing Professional Development workshops	S Lester	6/2001	3
B6	Feedback from employing, commissioning and funding organisations	S Lester	3/2002	6
B7	Practitioner survey 2002	S Lester	3/2002	7
B8	PACR: issues post-Round 2	S Lester	4/2002	8
B9	Towards a common accreditation framework?	S Lester	5/2002	14

Joint Accreditation Group of The Conservation Forum

Professional Accreditation of Conservators

Discussion paper for an open meeting 10.12.98

Introduction

This is a short discussion paper on developing a common accreditation framework for the conservation profession. Before assembling it representatives were consulted from the member bodies of The Conservation Forum (ABPR, BAFRA, BSMGP, IPC, IPCRA/ICHAWI, NSCG, PhMCG, SoA, SSCR and UKIC), as well as the Museums Training Institute and Museums and Galleries Commission. (For an explanation of initials see page 7).

Your views are invited on the proposals in the document, either generally or in response to the specific questions. If you are unable to attend the meeting on the 10th, please reply in writing to the Joint Accreditation Group c/o the Institute of Paper Conservation, Leigh Lodge, Leigh, Worcester WR6 5LB (fax 01886 833688, email clare@ipc.org.uk).

1 Principles

A common accreditation framework has been proposed to identify and make public an explicit standard - the 'accredited conservator' - applicable to all disciplines. The purpose in doing this is to provide assurance to the public and potential clients on the standard and professionalism of conservators and to increase awareness of conservation as a highly skilled activity of similar standing to other recognised professions.

The accreditation framework aims to apply and recognise a common national standard - the accredited conservator - across the profession, regardless of the route taken to reach a professional level of capability, the discipline or specialism of the conservator, or the context he or she practises in. This accreditation needs to be of a standard and assessed with a degree of rigour which would (a) be comparable with that applied in the chartered professions, and (b) be capable of being regarded as of professional standing across Europe.

Accreditation needs to be based on requirements for (a) demonstration of professional capability, (b) maintenance and enhancement of professional capability through continuing professional development, and (c) maintenance of professional standards, backed by a common code of ethics and standards of practice. Whereas (a) is a one-off event required to gain accreditation, (b) and (c) are required to remain accredited.

It is proposed that the accreditation process will be administered by a Professional Standards Committee appointed by the Joint Accreditation Group. Accreditation will be available to all individual

conservators who satisfy the accreditation requirements, whether in employment or private practice; it is therefore distinct from the registration scheme operated by the Museums and Galleries Commission, which is a register of conservation studios.

The scheme will need to recognise that the conservation profession involves an amalgam of different traditions drawing on science, art, and the humanities, as well as embodying the reflective practitioner tradition which recognises that professional knowledge is generated by individual conservators through their practice.

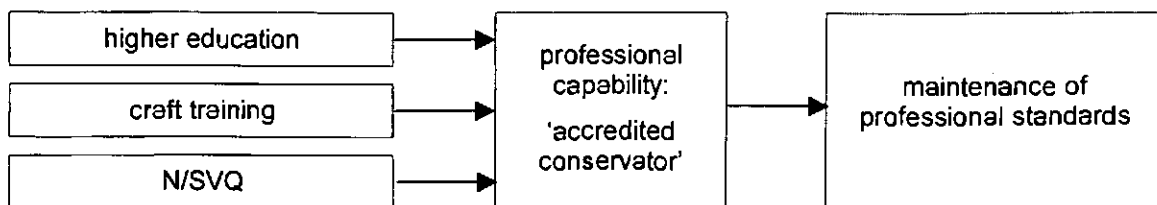
Q1.1 What advantages are there in establishing an 'accredited conservator,' and for whom? Are there any drawbacks?

Q1.2 What issues need addressing in developing a single framework which applies across the breadth of the profession - including:

- different specialisms
- 'conservator-restorer' occupations requiring a high degree of craft skill, as well as conservation work which draws more heavily on academic and scientific knowledge
- institutionally-based and private practice conservators?

2 The accreditation framework

Currently, recognition as a professional conservator may be achieved through a variety of routes, some based on apprenticeship-type training and some on higher education; different disciplines also differ in the extent to which they operate recognised training routes, what those routes are, and whether or not they have accreditation systems. To be workable, a common accreditation system needs to recognise these differences while providing a 'template' with at its centre a specification of the professional capability expected of an accredited conservator. This can be illustrated as:



This model supports development through any route, linking accreditation to the demonstration of professional capability rather than to any particular route or qualification. As well as providing a stage comparable to the test of professional proficiency in some professions, it will also be open to experienced practitioners in the same way as the 'fast-track' routes developed by some conservation bodies.

Two variations on this model could be considered, providing exemptions from part of the accreditation requirements for previous learning or demonstration of competence:

1. recognising an approved course or training scheme as meeting some of the requirements of accreditation (cf accreditation practices in architecture and engineering);
2. recognising an NVQ or SVQ as meeting some or all of the requirements for accreditation (cf one of the routes to qualifying with the Institute of Personnel and Development or Institute of Leisure and Amenity Management).

In both cases the course, training scheme or NVQ/SVQ standards would need to be examined carefully against the accreditation requirements agreed by the profession.

Q2.1 Should accreditation be open to anyone who can demonstrate their professional capability as a conservator, regardless of how they have trained (ignore the issue of specialisms for the moment)? If not, what routes should be recognised?

Q2.2 Are either of the two variations described above desirable for the profession to adopt? If so which, and why?

Q2.3 Is there a case for establishing a separate class of accreditation as part of the common framework in order to recognise craft skills?

3 Defining professional capability: professional standards

One of the central requirements for the accreditation system, assuming it does not adopt the MTI N/SVQs or a specific training route as meeting its criteria in full, is a description or specification of professional capability which defines the 'accredited conservator.' the professional standards. In order to have parity with the chartered professions these standards would need to apply to all conservators wanting accreditation, regardless of their training route or length of experience.

The main issues in developing professional standards are (a) what they cover and (b) how they are described. Once they are set up they could if desired provide a basis to approve (and encourage the development of) higher and further education courses and apprenticeships as well as to accredit individuals.

Professional standards might cover, for instance, the following areas:

- Examining and assessing items and collections
- Developing conservation plans or strategies
- Carrying out practical treatment work
- Planning and implementing preventative conservation
- Managing work, resources and projects
- Communicating, interpreting and presenting
- Professional context, ethics, legislation, responsibility to clients and wider society
- Personal professional development
- Contributing to the profession.

Q3.1 Is this list a good point from which to start? Please comment.

Q3.2 What issues are raised by

- (a) conservators and conservator-restorers whose work requires a high level of craft skill,
- (b) conservators who are no longer involved in practical conservation, but work for instance as advisers, consultants, managers or scientists,
- (c) any differences between institutional work and work in private practice, and what effect would these have on how professional capability is defined?

The format of the standards will need to allow the professional capability associated with being an accredited conservator to be made explicit enough so that valid and reliable decisions can be made about whether individual practitioners meet them. Possible approaches include:

- adopting or adapting the MTI national occupational standards (either at a detailed level or at the level of elements of competence)
- using a similar approach to MTI, but developing additional or alternative standards as needed
- using statements of principle about what an accredited conservator needs to be able to do and understand.

Q3.3 Do you have any comments on how professional standards are expressed?

4 Assessing and accrediting professional capability

To provide a level of credibility compatible with a highly-regarded profession providing services to clients, the accreditation system will need to demonstrate a high level of validity and rigour. This suggests:

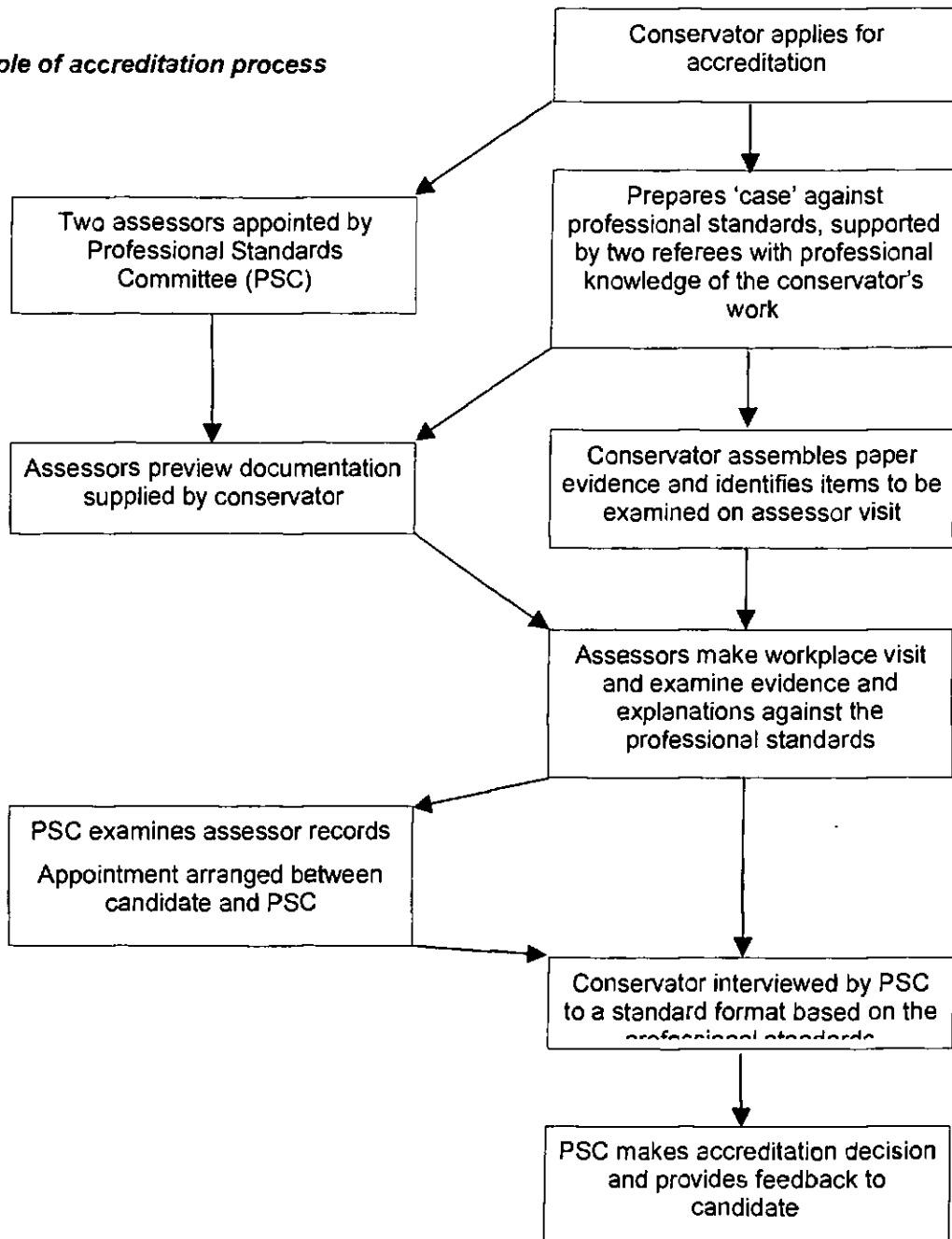
- it accredits proficiency and capability rather than experience or education alone
- the process is demonstrably open and consistent - it is capable of being subjected to independent review
- quality and rigour are built in to the process (not 'inspected in' afterwards).

The system illustrated overleaf is offered for comment as a way of meeting these needs. It is designed to be used for experienced practitioners as well as for, for instance, people two or three years after graduation or training who have reached a generally capable level; it will therefore supersede the fast-track schemes currently under development.

Q4.1 Please comment on the draft model.

Q4.2 How much do you think conservators or their employers would be willing to pay for accreditation?

Example of accreditation process



5 Ongoing requirements

Professional membership carries with it a responsibility to maintain professional standards through acting ethically, adhering to a code of practice, and keeping knowledge and competence up-to-date through ongoing development.

Q5.1 Are there any issues concerning establishing a common code of practice and ethics which apply across the conservation profession?

Many professional bodies have or are developing schemes which require their members to provide evidence of their ongoing development at all stages of their careers. Various approaches are used by different bodies; some still use a system based on providing evidence of a number of days or hours of development activity, while a more common method nowadays is for members to maintain a continuing professional development (CPD) record on an ongoing basis, often including reflection on

the value of learning activities as well as a forward development plan. This latter method provides more scope for the practitioner to include informal and unplanned activities, as well as encouraging a more active approach to learning.

A variation on the second approach is an annual or more frequent (self-)review, consisting of reflection on what the practitioner has learned and can do differently at the end of the year, and what he or she aims to learn during the next year. This method changes the emphasis from learning activities and experiences to what the individual has learned and needs to learn, and may be less onerous for busy practitioners as well as encouraging a deeper level of reflection and learning.

The Joint Accreditation Group proposes to require accredited conservators to produce evidence of ongoing development, which will be called in for examination on a random basis. In principle, the scheme needs to involve (a) identifying areas for development and setting targets, either on an annual or a rolling basis, and (b) reviewing learning and development and identifying how it enhances professional competence or capability, either based on individual learning experiences or through a reflective review. The process also needs to promote learning rather than add unnecessary bureaucracy, and not restrict the type of activities which can 'count' - provided they lead to useful learning.

Q5.2 Do you have any views on how CPD is promoted, recorded and monitored?

Document prepared for the Joint Accreditation Group by Stan Lester

Stan Lester Developments, Taunton

24th November 1998

Acronyms

ABPR	Association of British Picture Restorers
BAFRA	British Antique Furniture Restorers' Association
BSMGP	British Society of Master Glass Painters
CHNT0	Cultural Heritage National Training Organisation
CPD	Continuing Professional Development
ECCO	European Confederation of Conservators and Restorers Associations
ICHAWI	Institute for the Conservation of Historic and Artistic Works in Ireland
ICOM	International Council of Museums
IIC	International Institute for Conservation
IPC	Institute for Paper Conservation
IPCRA	Irish Professional Conservators and Restorers Association
JAG	Joint Accreditation Group
MGC	Museums and Galleries Commission
MTI	Museum Training Institute (now Cultural Heritage National Training Organisation)
NVQ	National Vocational Qualification
NSGC	National Sciences Conservation Group
PhMCG	Photographic Materials Conservation Group
PSC	Professional Standards Committee
QA	Quality assurance
SoA	Society of Archivists
SSCR	Scottish Society for Conservation and Restoration
SVQ	Scottish Vocational Qualification
TCF	The Conservation Forum
UKIC	United Kingdom Institute for Conservation of Historic and Artistic Works

Glossary of terms

Accredited conservator	A conservator who has been approved as meeting an agreed professional standard .
Accreditation	In this context, the process of approving an individual as meeting the requirements of the profession . (Sometimes also used to mean the approval of courses, although here 'accreditation' is used specifically to refer to individuals and 'validation' to courses).
Assessment	The process of deciding whether evidence put forward by a candidate (whether professional work, assignments or projects, verbal discussion, exam scripts etc) meets a required standard.
Candidate	A person putting themselves forward for assessment or accreditation .
Capability	Capability is used here to refer to an overall set of qualities which include professional competence, judgement, and the ability to operate effectively in new and unknown situations.
Competence	The ability to carry out a job, function or task to an appropriate or agreed standard. In relation to NVQs and SVQs 'competence' is normally used to denote the ability to work to occupational standards.
Continuing professional development	Ongoing development which is relevant - directly or in a more general sense, e.g. by enhancing general skills and personal capability - to a practitioner's professional activities and career.
Discipline	In academic terms, a recognised area of study with a tradition of literature, perspectives and paradigms. In professional terms, a distinct specialism or area of practice.
Fast-track	A process for accrediting experienced practitioners, normally based on some form of evidence of professional capability rather than on completing approved courses or training.
Further education	Post-school education up to the level of NVQ 3, National Diploma or A-levels.
Higher education	Education at degree or Higher National level or above.
Occupational standards	Standards of competence developed by a Government-recognised standards-setting body (e.g. National Training Organisation or Lead Body), on which National and Scottish Vocational Qualifications are based. Occupational standards for the conservation sector are developed by the Museum Training Institute (now Cultural Heritage National Training Organisation).
Practitioner	A general term used to describe a person working in a particular field or occupation.
Profession	In a broad sense, any identifiable remunerated occupation, particularly applied to occupations which require a high level of understanding and judgement in order to practice effectively. In a narrow sense, an occupation which is governed by a common code of practice, ethics and standards, often regulated by a professional body.

Professional standards	In a general sense, the standards of practice expected by a professional community (and its stakeholders including clients and the wider public) of those practising in that community. In a specific sense, the standards agreed by a professional body as pertaining to full or accredited members, which normally aim to codify professional standards in a wider sense.
Professional	A <i>professional</i> , used in the sense of a person who is a member of a profession in the wider or more specific sense (see above), or has a professional approach to their work; <i>professional</i> (in the sense of professional practice), indicating practice which is to a professional standard.
Proficiency	The ability to carry out an activity to a recognisable standard, often also with the implication of speed, accuracy etc. Often used interchangeably with competence .
Quality assurance	Ensuring that a process produces outcomes of the standard and quality required.
Reflective practitioner	A practitioner who reflects on his or her practice both 'in the moment' and at a distance, continually learning and developing through a cycle of action and reflection. The reflective practitioner philosophy views professional knowledge primarily as a dynamic product of individuals' practice and theorising, rather than as a static knowledge-base.
Reliability	In terms of assessment , reliability concerns the extent to which an assessment process or strategy is consistent over time and between different candidates , assessors, assessment centres, etc.
Validation	Generally, the approval of a course by an awarding institution as leading to a qualification. In professional body terms, usually used to denote approval that the course or qualification supports the profession's entry or other requirements. (Frequently also referred to as accreditation ; 'validation' is used here to avoid confusion with accrediting individual conservators).
Validity	In terms of assessment , validity concerns whether assessment achieves its stated aims. 'Surface' validity concerns immediate measures, e.g. whether a test actually assesses the knowledge or skill it is intended to assess; 'deep' validity concerns wider issues, e.g. whether an assessment strategy assesses things which in practice make a difference to a practitioner's professionalism and capability.

Further reading

The following list is drawn from a broad spectrum to illustrate different viewpoints, rather than to reflect Joint Accreditation Group thinking.

Profession-specific

Barron, Anne-Marie (1997) *Museum Training Institute professional body - NVQ/SVQ harmonisation project* Newcastle-under-Lyme, Parameter Research Ltd

Cronyn, Janey & Foley, Kate (eds) (1996) *A qualified community: towards internationally agreed standards of qualification for conservation* International Council of Museums / Northampton, English Heritage

Foley, Kate & Scholten, Steph (1998) *FULCO: a framework of competence for conservator-restorers in Europe* Amsterdam, Netherlands Institute for Cultural Heritage

Museum Training Institute (1996) *Standards of occupational competence for the museums, galleries and heritage sector* Bradford, MTI

United Kingdom Institute for Conservation (1998) *Fast-track accreditation proposals* London, UKIC

White, Robert (ed) (1991) *Archaeological conservation: training and employment* London, UKIC

Professions, competence and professional development

Hodkinson, Phil & Issitt, Mary (eds) (1995) *The challenge of competence: professionalism through vocational education and training* London, Cassell

Larson, Magali S (1977) *The rise of professionalism: a sociological analysis* Berkeley, University of California Press

Madden, Clare & Mitchell, Valerie (1993) *Professions, standards and competence: a survey of continuing education for the professions* University of Bristol, Department for Continuing Education

Mansfield, Bob & Mitchell, Lindsay (1996) *Towards a competent workforce* Aldershot, Gower

O'Reilly, Dave, Cunningham, Lynn & Lester, Stan (eds) (1998) *Developing the capable practitioner* London, Kogan Page

Schön, Donald A (1991) *The reflective practitioner: how professionals think in action* Aldershot, Avebury

Professional Accreditation of Conservators

Relationships between accreditation and qualifications

Stan Lester for the Joint Accreditation Group of The Conservation Forum
May 1999

Introduction

This is a commentary on issues and options relating to possible relationships between professional accreditation and the various qualifications available in conservation. It responds to issues raised in focus groups and consultations, by JAG member representatives, and by CHNTO.

The main issues examined are:

- Requirements (if any) in order to apply for accreditation
- Whether a graduate profession should be promoted
- ECCO and international requirements
- Recognition of qualifications or training towards accreditation.

These issues will require policy decisions by JAG, which will need to relate to resources, practicality, and views from the profession.

1 Prerequisites for applying for accreditation

Two main issues are involved here: (a) how to discourage practitioners applying for accreditation before they are ready, and (b) whether there should be any requirements (for experience and / or qualifications) which conservators **must** meet before they can apply.

Discouraging unsuitable applications can be achieved by:

- helping applicants make an accurate self-assessment of their readiness for assessment (e.g. through mentoring and / or pre-accreditation workshops), and by
- suggesting or stipulating (see below) minimum levels of experience.

Some indication of the depth of knowledge expected may also be useful - for instance the draft accreditation documents state 'a post-graduate level of knowledge and understanding,' but this could be expanded particularly to help applicants without higher education.

The issue of stipulating prerequisites (e.g. qualifications and / or minimum periods of experience) needs to be considered carefully by JAG. Before they are considered, JAG might consider the purpose and motivation of including them. For instance:

- do they point to a lack of confidence in the accreditation proposals (if so are there other ways of strengthening the proposals)?

- are they being included because of ECCO requirements (can these requirements be influenced - see 3 below)?
- are they based on particular assumptions about rigour, for instance that examinations are a more effective test of knowledge than discussion (are the assumptions valid)?

If prerequisites are to be stipulated there is a need to ensure they:

- avoid unfair discrimination and inconsistency
- are capable of covering all eventualities
- can be justified in a way which does not leave them open to legal challenge.

These factors all present practical difficulties. For instance, people learn at different rates and can have very different learning experiences even within nominally similar environments; overseas qualifications will need considering; and recognising (and therefore at least informally validating) courses is time-consuming and problematic, of the position in architecture where not all universities running architectural degrees seek validation for them. Compulsory prerequisites will also add an additional layer to application, as 'pre-applications' are vetted to check whether the requirements are met.

2 A graduate profession?

On the other hand, it is apparent that conservation (if not restoration) is moving towards a predominantly graduate profession. It may be appropriate to identify 'preferred entry routes' which incorporate graduate qualifications (first degree, postgraduate diploma, or Master's degree) plus a minimum period of practical experience (e.g. four years with a degree or three with a postgraduate qualification). Rather than validating individual courses, JAG/TCF could stipulate a number of broad requirements which qualifications should meet to contribute to the 'preferred route.'

If this approach is chosen, the following points should be considered:

- the rising cost of full-time higher education may begin to limit its accessibility, making the maintenance of alternative routes - particularly part-time and work-based - desirable for new entrants
- conservation is not an initial career choice for some (many?) conservators, pointing to alternatives to full-time higher education
- a graduate 'preferred route' should not favour the accreditation of younger conservators over established ones: routes need to be kept open for experienced applicants, even if over time they become 'mature entry' routes.

Taking these points into account, it may be feasible to identify a number of 'standard' entry routes in addition to the graduate ones, balancing level of qualification against minimum or recommended length of experience. Giving N/SVQs parity with degrees or HNDs (level 4) and postgraduate diplomas (level 5) might provide an incentive for entrants without a higher education background to take these qualifications.

A final point which will assist in promoting a graduate profession is to promote the availability of more flexible higher education routes, including modular components, work-based learning and where appropriate distance and computer-based learning. Work-based degrees generally require a good level of employer support and facilities, so would be appropriate at the larger museums and galleries and possibly some larger private practices.

3 ECCO and international requirements

ECCO states "The only reasonable way of training in conservation/restoration is full-time education at university level or an equivalent level, including practical internships" (Professional Guidelines III, section II). While less prescriptive ICOM-CC states that completion of training "should be... recognised by the equivalent of a university graduate degree" (Code of Ethics 5.4). Both documents emphasise the need for practical training and internships.

These requirements point towards a graduate profession. While the standard of training recommended accords with the demands of JAG accreditation, there is no recognition of the difference between developing competence and professionalism and developing it in practice. The ECCO statement cannot be considered defensible in its use of "only reasonable..." and "full-time education," and even accepting a graduate profession the assumptions behind these statements need to be surfaced and made open to challenge. Applying the ECCO statement literally will produce unjustifiable discrimination against mature entrants, and against those whose means deny them access to full-time higher education; it also ignores both recent developments in higher education and the experience of professions such as accountancy which demonstrate that parallel programmes (with part-time or work-based degrees or diplomas complementing practical experience) are at least as effective as sequential ones (full-time training followed by an internship or other period of practical experience).

Assuming that the JAG member bodies wish to meet ECCO requirements, the options include:

- 1) agreeing to meet current requirements for new entrants
- 2) agreeing to meet the requirements in principle, but ensuring that alternatives to full-time higher education are accepted by ECCO
- 3) working to gain acceptance for the accreditation scheme by ECCO.

For the reasons outlined above and in section 2, option (1) is likely to be the least desirable. Meeting option 2 points to examining the preferred route option discussed in section 2, as well as working with ECCO to identify appropriate mature or exceptional entry routes.

4 Recognition of qualifications or training towards accreditation

The consultations produced a variation of views on the potential relationship between qualifications and accreditation, ranging from a complete dissociation (i.e. accreditation ignores what if any qualifications the candidate has), to advocating that applicants with relevant postgraduate qualifications should be exempt from further assessment. There was some support for allowing credit

from N/SVQs for areas of the professional standards which match the CHNTO occupational standards.

Points for consideration include:

- Some professions base full membership on achievement of an approved qualification plus a further period of experience, often with a stipulation for demonstrable ongoing professional development. Could this be applicable to conservators with postgraduate qualifications?
- If exemptions are provided, do they ensure the same (or a higher) standard is demonstrated than would be the case for the full assessment route?
- Should exemptions take the form of credit against specific parts of the professional standards, a less thorough form of assessment (e.g. submission of a portfolio, reports and endorsements rather than a visit), or both?
- The assessment process is essentially holistic, drawing on projects or episodes for evidence which applies to several areas of the professional standards (particularly the general criteria). The practical effect of credits against specific areas of the standards may therefore be limited.
- If exemptions or credits are allowed, is there a case for ensuring the general criteria are always assessed for accreditation? If so, are there cases where a more economic method of assessment - for instance an interview - is appropriate?

There seems to be a strong case for allowing relevant credit from Level 4/5 N/SVQs, and there could also be a case for a different form of assessment for postgraduates. It is important that the accreditation scheme as finally applied represents a continuum based on a consistent set of standards, and doesn't appear as a series of disconnected schemes.

National Council for Conservation-Restoration

Development of a framework for the Professional Accreditation of Conservator-Restorers ('the PACR scheme')

Report on the development and trialling process

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Acronyms

Stan Lester
project consultant

July 1999

Summary

The PACR scheme was developed by the Joint Accreditation Group of the Conservation Forum during 1998-99 in order to provide a valid and rigorous means of accrediting practitioners which would benefit the profession, clients and individual practitioners. The scheme was developed through consultation with a wide range of practitioners, client bodies, allied professions and educators, and practical trials of the assessment system were carried out during the spring of 1999.

The scheme is essentially practice-based, with candidates being assessed in the workplace by two assessors against an explicit set of professional criteria. The trials indicated that the assessment system is capable of working well in practice and is valid and potentially rigorous. Further work is needed before the scheme goes live in January 2000, including finalisation of quality assurance systems and agreement on audit, evaluation and periodic review.

The consultations also raised a number of issues which were outside the direct scope of the project, including entry routes into the profession, relationships with higher education courses and NVQs, compatibility across Europe and internationally, and improving CPD opportunities.

1 Introduction and aims

The Professional Accreditation of Conservator-Restorers scheme (PACR scheme) was developed during 1998-99 to provide a means of accrediting conservation and restoration practitioners which:

- is valid (reflects professionalism and professional capability and proficiency) and reliable (applies a consistent standard across the profession)
- applies regardless of professional discipline or specialism
- raises the confidence of clients, grant-awarding bodies and members of the public in the profession and in accredited practitioners
- raises the profile of conservation and restoration and the standing of the profession
- provides a means of identifying competent and professional practitioners.

The scheme was developed against a background of a fragmented occupation whose members are sometimes accorded no more than technician status, lack of public awareness of the complexities of conservation-restoration and of the level of understanding and skill required to practice competently, and a situation where, beyond the MGC / Historic Scotland registration scheme, there is no system to prevent laypeople from setting up as conservators or restorers.

The principles of the scheme are described in PACR document 1 *Introduction to the Scheme*.

2 The development and trialling process

2.1 Overview

The development process consisted of:

- the formation of the Joint Accreditation Group (JAG), production of an initial specification and appointment of a project consultant (April-October 1998)
- initial discussions with TCF member bodies and other interested parties (November)
- development of initial principles for the scheme, followed by consultations with conservator-restorers through a conference and postal consultation (November 1998 - January 1999)
- preparation of draft scheme documents (January - February)
- further consultation through focus groups (February - April)
- trialling of candidate applications, assessments and CPD recording (March - June)
- final revisions to documents, processes and proposed scheme management (June-July)

Progress was monitored through monthly meetings of JAG.

2.2 Initial stages

The Joint Accreditation Group developed from discussions between the UK Institute for Conservation (UKIC), the Institute of Paper Conservation (IPC) and the Society of Archivists' (SoA) Preservation and Conservation Group. Subsequent negotiations enabled JAG to become a working group under the umbrella of The Conservation Forum (TCF), now the National Council for Conservation-Restoration.

A broad set of parameters and a development timetable for the accreditation scheme were agreed in September 1998, and following agreement of a grant from the MGC a project consultant was engaged to work on the development of the scheme.

2.3 Discussion with TCF member bodies and other interested parties

During November 1999 the project consultant gathered information on existing approaches to accreditation and consulted on the JAG proposals with the eleven TCF member bodies, the Museums and Galleries Commission, Historic Scotland, the Cultural Heritage NTO, the Museums Association, Royal Institute of British Architects, Architects' Registration Board, British Institute of Architectural Technicians, Conference on Training in Architectural Conservation, Institute of Personnel and Development, Landscape Institute, and one of the consultants responsible for the FULCO project.

2.4 Initial consultations and development of the scheme

An outline of the proposed scheme was drawn up by the project consultant in consultation with the JAG committee. This was developed into a discussion paper for an open consultation meeting on 10th December 1998. Following feedback from this meeting the paper was revised as a consultation document, and circulated to members of IPC and UKIC for response by the end of January; SoA members were notified of the document and asked to write in if they wanted a copy. Nineteen written responses were received by the closing date.

Following these consultations a set of scheme documents were drawn up by the consultant and committee members, and processes for the trial were agreed upon. The scheme documents consisted of:

- an introductory document, developed from the January consultation document
- guides for candidates and assessors
- a set of professional standards
- application and assessment documents
- guidance and forms for CPD review and action planning.

The professional standards framework was based in principle on the 1998 FULCO document. It took the form of (a) a set of functional standards based on UK occupational standards practice and drawing on the 1996 Museum Training Institute standards (see also section 3.3), and (b) a set of general professional criteria relating to areas such as values, ethics, intelligent practice and ongoing development.

2.5 Focus group meetings

Five focus group meetings were held in March and April 1999 to gather feedback from practitioners and other interested parties on the detailed scheme proposals. These focussed on:

- practitioner and general issues (London and Edinburgh)
- assessment and accreditation (Birmingham)
- professional standards (London)
- professional credibility and service to clients (Liverpool).

At the request of Historic Scotland, a further four consultation meetings were held in Dundee and Edinburgh. A total of 80 conservators and related professionals attended the focus groups and additional meetings.

The scheme documents were also circulated to interested bodies in the heritage sector and associated professional fields, and written comments were received from Historic Scotland, the National Council on Archives, the Conference on Training in Architectural Conservation, Museums Association, Royal Incorporation of Architects in Scotland, British Antique Furniture Restorers' Association, and a firm of architects and quantity surveyors. The documents were posted on the JAG page of the UKIC web site, and 1429 downloads were recorded by mid-June; the majority of comments generated by this source were general in nature, and included an international discussion on the Conservation DistList primarily about the merits and problems of accreditation.

2.6 The trial

The accreditation trial was carried out between March and early June 1999. The main part of the trial involved volunteer candidates preparing a detailed 'case' that their work met the requirements of the draft professional standards, and two assessors making a full-day visit to carry out a work-based assessment of each candidate. The CPD guidance and forms were also trialled separately.

Fifteen experienced practitioners volunteered to be assessors for the trial, with 14 attending one of two briefing days which were held to outline the process, agree common standards and approaches for

assessment, and finalise formalities. A total of 20 practitioners volunteered to be candidates; these volunteers had between one and 22 years' experience. Initially 14 candidates were selected to enable each assessor to make two assessment visits, and following some rearrangements 13 visits were carried out, two of them shadowed by the project consultant. The assessments proved workable if lengthy (between five and in one case nine hours), and a majority of candidates and assessors called for removal of repetition in the standards and reductions in the amount of paperwork required.

Application and assessment records were reviewed at a special meeting of JAG on 16th June. While it was initially hoped that successful candidates might qualify directly for accredited status, the records suggested that some candidates had been 'passed' by the assessors when there were doubts about their coverage of the standards or their experience in working at a sufficient level of complexity. It was decided that no trial candidates would gain automatic accreditation, but they would be advised to re-present their evidence when the scheme came into operation in 2000. Each set of records took on average 20-30 minutes to examine.

Initially 40 practitioners volunteered to complete CPD reviews and action plans, although in the event only 11 sets of documents and comments were returned. Following the trial written and verbal feedback was obtained from candidates, assessors and CPD recorders on the process and documentation, and a feedback conference was held on 17th June, with an attendance of 33.

The trial indicated that the accreditation scheme was workable in practice subject to some revisions to documentation, improvements to assessor selection, training and updating, and finalisation of the management procedures.

2.7 Final revisions

Following the trials and feedback, final drafts of the scheme documentation were prepared by the project consultant and the management of the scheme was revised by the JAG committee. The main effect of the documentary revisions was to combine the application and assessment records into one document, rationalise some of the standards, eliminate the separate standards document, and improve the clarity of the guidance provided.

A significant change was made to the roles of the assessors and the Professional Standards Board in relation to the accreditation decision. The assessors' role was revised to reporting their findings on whether or not the candidate met each area of the standards, as opposed to making an accreditation recommendation, while the accreditation decision would be made by an accreditation committee of the candidate's professional body.

3 Principles and issues

3.1 General comments and concerns

The scheme received quite wide endorsement, both from within the profession and from related professions, national bodies and major clients. Some client and funding bodies stated that they would promote the scheme through giving priority to accredited conservators in funding and tenders. Each stage of the consultations suggested that a high-quality, visible and affordable scheme was needed, and there was majority support for a joint framework. General issues and concerns which emerged included:

The **type of scheme** which should be developed. While there was strong support for a practice-based scheme which would reflect experience and practical competence and judgement (see s 3.2), there was a debate as to whether degree or postgraduate qualifications should contribute to accreditation. Views on this differed widely, from wanting postgraduate qualifications to be recognised as providing full accreditation, to a majority view that the accredited standard should represent significant practical experience and capability.

Relationships to existing schemes, particularly those of BAFRA, ABPR and ICHAWI which were likely to be retained, at least in the short to medium term. There was also some confusion about the relationship of the PACR scheme to the fast-track accreditation schemes being operated by UKIC and IPC. Some consultees were doubtful of whether a single scheme could cover the whole of conservation and restoration, given the variety of traditions and approaches within the profession. One client consultee expressed confusion about the different schemes and whether they were of equivalent value.

Relationships to the registration scheme for studios operated by MGC and Historic Scotland. Some consultees suggested that there was scope for confusion, and questions were raised about whether a registered studio would need to have at least one accredited practitioner.

Compatibility within Europe. This included concerns as to whether a practice-based scheme would be accepted by ECCO, and conversely whether acceptance of new graduates as accredited professionals in Europe would result in unfair competition against more experienced UK ACRs. European and international comparisons are complex given the different nature of professional training and higher education in different countries, and no obvious consensus emerged on this issue; one practitioner commented that the PACR scheme needed to demonstrate excellence in the UK before putting forward arguments for its superiority in Europe.

Interest in a UK-wide scheme. Scottish conservator-restorers were generally keen to be part of the PACR scheme, and there was interest from ICHAWI in identifying whether the scheme could be applied in Ireland.

Wariness about creating a controlled or semi-controlled profession, with negative consequences feared particularly for new entrants and private-sector specialists who would not be able to meet the breadth of requirements for accreditation. In addition a minority of well-established private-sector

practitioners expressed reservations, seeing professionalism and professional reputations as being based on establishing an individual reputation for quality of work and service.

Concerns about **undermining NVQs and SVQs**. The attractiveness of professional accreditation was seen as possibly killing off interest in these qualifications and with it the funding for occupational standards development. A small minority of consultees were in favour of basing accreditation on N/SVQs, although the majority view was that these qualifications were too detailed and bureaucratic to be acceptable. There was some support for enabling N/SVQs to count towards accreditation.

Concerns about **costs**. The need for an acceptable cost structure was widely emphasised; although a minority of more established practitioners saw the cost as an investment, there were concerns that too high a cost would discourage younger or less well-paid conservator-restorers from applying and possibly prevent the scheme from becoming established. In general anything over £300-£350 was seen as 'expensive.'

Concerns about **accessibility**, particularly to conservator-restorers in private practice and in institutions which did not value high-quality work or where job roles were specialised.

3.2 Overall design principles

The following principles were generally agreed as being required for the accreditation scheme:

Openness to practitioners with different backgrounds and entry routes, including non-graduates and those without qualification-bearing training. On the other hand, many consultees thought that graduate or postgraduate training should become the norm for new entrants.

A basis in **professional proficiency and judgement**, as opposed to academic qualifications or college-based assessment. As mentioned in 3.1 there was some discussion on this point, but a strong consensus emerged for a practice-based scheme.

The scheme was agreed as needing to be pitched at the **level** of a practitioner with at least five years' experience in addition to formal training, and reflect at least a graduate level of knowledge and understanding. There was some debate about whether there should be formal **entry requirements**, particularly in terms of length of experience, but this was eventually resolved in the favour of providing clear guidance.

One level of practice. Other levels were suggested including technician and associate or Part 1 accreditation, and two commentators suggested a higher level to encourage further development.

One designation regardless of specialism. There was some debate as to whether practitioners should be designated as accredited to practise in a particular specialisms, but this was generally seen as being too complex to operate.

It was broadly agreed that the scheme should represent **proficiency in the practice of conservation and restoration**, rather than in conservation science, management etc: accredited conservator-restorers would need to show they were capable of practising effectively, even if they no longer

undertook practical work. A small number of consultees queried whether there should be separate divisions of accreditation, but the majority view was that this could be confusing at least in the short term.

3.3 Professional standards

The professional standards were agreed as needing to:

Reflect the profession's diverse roots in the arts, sciences, humanities and crafts, and acknowledge the importance of technical competence, professional artistry and wider professional judgement and capability.

Require more than basic competence, particularly in being able to deal with complexity and demonstrate a high level of independent judgement.

Require self-management and being able to **manage projects**, but not formally manage others or run a business (there was a small minority supportive of each of the latter).

Be accessible to private practice conservator-restorers as well as those in institutions, and to be **accessible across specialisms**. On balance a single core of standards applicable to all practitioners was preferred to a 'core and specialisms' approach.

Be written in straightforward, accessible language while being applicable to all specialisms and job contexts. The draft standards used in the trial were widely criticised as being repetitive and in places difficult to understand and overly detailed, although some consultees and trial participants seemed to expect standards which were written with their particular jobs in mind.

Allow some substitution of a **working level of knowledge** - sufficient to give confidence in ability to do the job to an acceptable standard - where functions included in the standards do not form part of the practitioner's work.

A number of **modifications** were made to the draft standards as a result of feedback from the trial. In addition to the points which have been incorporated in the finalised standards, there were problems in understanding **sections D and E**, and these may need to be explained to candidates.

There was considerable discussion among a minority of consultees about the **relationship** of the professional standards to the **CHNTO occupational standards**. Although consultees who were familiar with the CHNTO standards generally expressed a desire for comparability at the level of functions, many of the amendments required through the trialling and consultations were not directly compatible with the CHNTO standards.

3.4 Assessment

In terms of assessment, the following principles evolved through the consultations and trials:

Two assessors should carry out each visit:

- both should be accredited conservator-restorers, or in the interim otherwise qualified with at least ten years' experience
- one from the same specialism as the candidate and one from a different specialism
- at least one assessor to match the candidate's context in terms of recent experience of private practice or institutional work
- assessors not to work as established pairs.

Candidates should be able to **veto** an assessor where there is a conflict of interest or other problem.

The process should be a **fair and open peer assessment**, with the candidate being able to discuss any differences with the assessors on the day and comment on any unresolvable disagreements.

Monitoring was agreed as needed in the form of external monitoring of visits by the Professional Standards Board and a periodic cross-scheme review by an external evaluator.

Assessor training and support was widely regarded as needing to be increased from that used in the trials, to include at least two separate days of training and an annual forum to exchange experience and agree interpretations. **Assessor selection** was also regarded as needing attention, with a straightforward option for the Professional Standards Board not to use assessors whose record was poor. Training was also regarded as needed for members of the professional bodies' assessment committees.

Payment of assessors was debated widely and inconclusively. The main arguments for payment were that it would provide assessors with a contractual responsibility; enable a substantial number of visits to be agreed, ensuring that assessors maintained proficiency; and enable assessors to be drawn from practitioners whose institutions or businesses would not stand voluntary involvement. If a fee was to be paid the consensus rate was £100 per day. Some assessors were prepared to volunteer provided their involvement was limited, and suggested an expenses-only basis.

3.5 Other implementation issues

The **time** taken for the assessment visits, between five and seven (in one case nine) hours, was seen as being at the upper end of acceptability. Visits were often described as exhausting for both candidates and assessors.

Simplified application and assessment **paperwork** was requested, while at the same time further details needed to be added to the forms. The combined application / assessment document is an attempt to achieve this.

The **role and qualifications of sponsors** was raised, and there was some confusion with the sponsor role in the Fast Track schemes, where sponsors played a more active role in assessing the application. Some practitioners claimed they would have difficulties in finding two experienced conservator-restorers to act as sponsors, although other consultees were of the opinion that access to appropriate colleagues was an indication of being part of a community of practice. The broad consensus from the trial was that sponsors should be qualified and experienced conservator-restorers, given that they are being asked to examine the full application.

Additional **candidate support** was widely regarded as being needed. Many trial candidates felt a seminar or briefing would have assisted them prepare their application, and there was also widespread support for a voluntary mentoring scheme and list of mentors.

Feedback from the Professional Standards Board was requested for unsuccessful candidates and for assessors on the quality of their assessment and recording.

3.6 CPD

The **continuing professional development** scheme was seen as needing to:

- enable practitioners to retain control of what and how they learn
- ensure that recording requirements prompt learning and reflection while imposing a minimal administrative burden
- focus on significant learning and development rather than learning events or activities.

Further feedback and the trial indicated that **additional guidance** was needed to assist practitioners to focus on significant learning and areas of development rather than day-to-day investigation, and this was incorporated in the revised documents.

The **enforceability** of the scheme was discussed inconclusively. An approach which examined process (looking at CPD records and action plans) rather than content was preferred, and approaches based on accumulating hours or points were seen as serving little useful purpose. Other methods of strengthening the scheme if necessary were briefly explored; the most promising were based on learning contracts and 'learning projects.'

3.7 Related issues and suggestions

A number of issues were raised and suggestions made which were beyond the scope of the project to consider.

Working towards a graduate profession. Some consultees were keen that graduate or postgraduate entry should become the norm for the profession, with some discussion of using work-based degrees to facilitate this for mature entrants.

Validating courses. Some consultees were interested in accrediting or validating university and other courses, amid concerns of variable relevance and 'academic drift.' There was a degree of resistance to this from universities, and the general consensus drawing on experience from other professions was that validation would be a difficult exercise of questionable value.

Encouraging improved and more widely available **internships and new entrant training.** The PACR standards were seen as providing a benchmark or target for internships and similar training, and there was some support for using them to work towards a more structured and widely-available system of training places as in professions such as law and architecture.

4 Future issues and needs

In addition to the issues raised in 3.7, a number of points remain outstanding at the end of the project.

Ownership of the scheme. The scheme was agreed as being owned by NCCR and overseen by its Professional Standards Board, but implemented by the subscribing professional bodies. Future monitoring needs to establish whether this arrangement is satisfactory in maintaining a satisfactory common standard.

Quality assurance and control. Some measures for quality assurance (assessor training, updating and monitoring through reports) and control (the assessment committee process) have already been put in place. Additional measures for assessor induction, PSB monitoring of assessment committees, and (if considered necessary) field monitoring of assessors need to be considered.

Audit and evaluation. Procedures, frequencies and resources for auditing the scheme (for internal consistency) and evaluating it (for effectiveness in achieving its external aims) need to be agreed.

Benchmarking. The PSB may wish to identify other relevant standards and other accreditation schemes (both within and outside of conservation-restoration) against which to review the scheme.

Scheme revision. Systems need to be put in place for collecting feedback and for using the results of feedback, audit and evaluation to amend the scheme from time to time. It may be useful to set and publicise a timescale for the first review.

CPD monitoring. The process and criteria for CPD monitoring need to be agreed, along with measures which can be taken in the event of non-compliance or where development activities are clearly insufficient or perfunctory.

Publicity. Approaches to and materials for publicising the scheme need to be agreed and developed.



Acronyms

ABPR	Association of British Picture Restorers
AC	Assessment Committee (of TCF)
ACR	Accredited Conservator-Restorer
BAFRA	British Antique Furniture Restorers' Association
BSMGP	British Society of Master Glass Painters
CHNTO	Cultural Heritage National Training Organisation (formerly Museum Training Institute)
CPD	Continuing / continuous professional development
C-R	Conservator-restorer
ECCO	European Confederation of Conservators and Restorers Associations
FULCO	Framework of universal levels of competence
HS	Historic Scotland
ICHAWI	Institute for the Conservation of Historic and Artistic Works in Ireland
ICOM	International Council of Museums
IIC	International Institute for Conservation
IPC	Institute for Paper Conservation
IPCRA	Irish Professional Conservators and Restorers Association
JAG	Joint Accreditation Group, formerly composed of members of TCF, HS, IPC, SoA and UKIC
MGC	Museums and Galleries Commission
MTI	Museum Training Institute, now CHNTO
NCCR	National Council for Conservation-Restoration, currently composed of members of ABPR, BAFRA, BSMGP, ICHAWI, IPC, IPCRA, NSCG, PhMCG, SoA, SSCR and UKIC
NVQ	National Vocational Qualification
NSCG	Natural Sciences Conservation Group
PACR	Professional accreditation of conservator-restorers
PhMCG	Photographic Materials Conservation Group
PSB	Professional Standards Board (of NCCR)
QA	Quality assurance
SCB	Scottish Conservation Bureau
SoA	Society of Archivists
SSCR	Scottish Society for Conservation and Restoration
SVQ	Scottish Vocational Qualification
TCF	The Conservation Forum, now NCCR
UKIC	United Kingdom Institute for Conservation of Historic and Artistic Works

National Council for Conservation-Restoration
Professional Accreditation of Conservator-Restorers

Report on the first round of accreditation and issues raised

Stan Lester

April 2001

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Accreditation consultant to NCCR

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April 2001

1. Introduction

The PACR framework has been developed by a joint forum of three professional bodies (the UK Institute for Conservation, Institute of Paper Conservation and Society of Archivists) acting under the umbrella first of the Conservation Forum, and latterly its successor the National Council for Conservation-Restoration. The framework provides the rules and guidelines for operation of Accredited Conservator-Restorer (ACR) status by the professional bodies, and in particular schemes for assessing eligibility for ACR and encouraging and promoting continuing professional development.

This paper highlights some of the key questions and issues raised from the first round of accreditation applications and assessments during 2000-01.

2 Summary of the 2000 applications and assessments

2.1 Process and results

There were 18 initial applications for accreditation, 12 through UKIC and 6 through IPC. One UKIC applicant did not respond after his form was returned because it was incomplete, and another reluctantly accepted advice to defer when it became clear that he had limited experience of practical conservation.

Of the IPC candidates, five were assessed between November and January, and were successful. One application did not provide sufficient information for the assessment to go ahead, and after discussions between the assessor, candidate and accreditation committee, additional information was provided and the assessment visit took place in April, with a successful result.

The ten UKIC applications that went forward were assessed between November and January. Seven were accredited, and three referred for selective reassessment. The referrals were due to:

- (a) a lack of evidence of conservation work and records
- (b) lack of evidence of practical conservation, coupled with some of the other evidence being limited in nature
- (c) what appeared to be professional or personal differences between one of the assessors and the candidate, which made it difficult to have confidence in the assessment results as representing a fair and valid judgement.

All three were advised that they could be reassessed without further payment.

24 assessors were trained during 2000, and all assessed at least one candidate as either a primary or secondary assessor. The principle of allocating a primary assessor from the candidate's specialism, and ensuring at least one of the two assessors had recent experience of the same context (public or private) as the candidate, was followed.

A review conference was held in March 2001, attended by a majority of assessors plus representatives from accreditation committees, the Professional Standards Board, and participating

professional bodies. Feedback was also elicited from candidates as well as from people who expressed an interest but did not apply.

2.2 Candidates' feedback

Of the 16 candidates who were assessed, 12 were contacted by telephone including the three referrals, and written feedback was obtained from three further candidates.

The general feedback from candidates was highly positive: e.g. "hard work but worthwhile... needs publicising as a success." Apart from the credential gained, several candidates saw benefits in the process of peer review and in being asked to reflect on their practice and their careers. There was also strong support for professional accreditation, interest in helping others with their applications, and in two instances interest in becoming a PACR assessor in the future.

The process of completing the application document and getting sponsor validation was felt to be initially daunting, and to an extent time-consuming; however, this was not felt to be out of proportion to the value of the credential. Some candidates felt the form was 'difficult' until they had worked out that they could cross-reference the same projects and activities to different parts of the standards, although the quality of written guidance was seen as good. One problem that was identified was lack of clarity about the evidence needed for practical conservation work (section 3).

Most candidates had some support with their applications, including from candidates for the JAG trial, an assessor, colleagues at work, sponsors, or committee members. Some had attended a large-group briefing in London, and although this was found useful it was too general to provide more than outline information.

With one exception the assessment visits were seen as rigorous as well as fair and generally enjoyable, with the majority of assessors being commended for an open and professional approach. Over half the candidates commented on the value of having a secondary assessor from outside the discipline, this helping to "take the debate much deeper... by not accepting things at face value." In two cases the secondary assessor was seen as not playing a very active role in the process. Minor problems were noted where a (secondary) assessor appeared not to have read the application fully, and a case where one of the criteria (6.2, expertise) was interpreted so literally that the candidate was given a 'K' despite having developed considerable expertise. The most serious complaint concerned an assessment where several points were disputed, decisions appeared to stray away from the requirements of the professional standards, and the process was described as confrontational.

A small number of other issues were raised by candidates. The most serious concerned what were described as confusing messages about the eligibility of a candidate who no longer undertakes practical work on objects, and who received highly positive messages all the way through until she was referred by the accreditation committee; at the time of contact she felt the messages she had received were still unclear and not consistent with the scheme documents. Another referred candidate commented that the letter he had received was misleading and inconsistent with the scheme documents, and suggested that the candidates and assessors appeared to be working to one set of rules and the committee to another. Some other candidates were also unclear about the role of the accreditation committees, and saw them as a less open or accountable part of the process.

Other issues concerned the length of time candidates had to wait for their results, and the length of time between application and assessment visit; one private practice candidate commented that he never had very many objects in the studio at any one time, and it was difficult to hold on to completed work due to client and financial pressures. Finally, there were some minor problems reported on the administration of applications, although these were felt to have been ironed out reasonably quickly.

The main comments on the standards concerned the professional criteria A-E, which were felt to be less clear and not easy to respond to on the form. The requirements of section 4 were also viewed as needing interpretation into context, although assessors appeared aware of the issues involved and they did not cause problems in the assessments. As previously noted there were also comments about 6.2 being interpreted pedantically even in the face of very strong evidence of expertise.

Feedback from potential candidates indicated a number of issues that were inhibiting them from applying. The principal ones were perceived lack of time, uncertainty about the value of becoming accredited, cost, and being unsure about what was needed. To some extent these were coupled with wanting to wait and see how the first applicants got on. Three potential applicants also reported bad experiences of other schemes (fast-track and non-PACR bodies), and there was concern from restorers and conservators in some of the more craft-oriented areas that they would be excluded by some of the criteria or the way they were applied.

2.3 Assessor and accreditation committee feedback

On the whole feedback from assessors and committee members indicated a positive and successful process, with some minor problems to iron out and some individual difficulties.

The majority of assessors viewed the assessments as enjoyable and stimulating, if hard work. Most felt they were able to make the necessary judgements reasonably competently. Two (both of whom had experienced a 'difficult' assessment) expressed concerns about being able to carry out and record effective peer-review in the open manner required, particularly if negative decisions were needed.

Assessors in particular raised issues about interpreting the standards, particularly 3 (practical conservation), 6.2 (developing expertise) and the general criteria. In general, assessors favoured clearer and stronger emphasis on practical conservation, and revisions to section 4. After having undertaken the assessments, most assessors were much more confident about interpreting the standards.

Some accreditation committee members commented that some assessors did not provide enough in the way of comments to show how their decisions had been arrived at, or what they had examined. One proposed that enhanced assessor training should be incorporated. Some assessors were unclear about the role of the accreditation committee and unsure who the committee members for their specialism were; there were also concerns that the committees could overrule assessment decisions without consulting the assessors or gathering sufficient evidence. Two assessors were particularly keen that the overall process should be open and above-board, and concerned that this may not be reflected in the committee part of the process.

2.4 Initial evaluation

Experience from the first 'live' round of PACR, backed by the results of the trials, suggests that PACR provides a workable and potentially successful framework for accrediting conservator-restorers. Early evidence suggests that accreditation will be valued by employers, clients and practitioners themselves, although it is unrealistic to expect this recognition to occur quickly.

The first round has identified a number of operational issues that need to be addressed in subsequent rounds of accreditation and through the standards review. Strategic issues also need to be considered if accreditation is to contribute to conservation-restoration becoming a mature and recognisable profession in the UK. However, the first round can be considered successful and the scheme worthy of more active promotion both to practitioners and more widely in the cultural heritage and arts sectors.

3 Issues arising

3.1 Understanding of the scheme

Given that the 2000-01 round of applications and assessments was the first round of the scheme, a large number of people - assessors, committee members, candidates, and others with supporting roles - needed to be inducted into the scheme. There was minimal continuity with JAG, so that almost all members of all the committees concerned with PACR were relatively new to the scheme in 2000; of the 24 assessors two had acted as trial assessors, while one accreditation committee member had been a trial assessor, and one a trial candidate.

A potential issue arose towards the end of the cycle in that some committee members were making critical decisions about the scheme, while still in the initial stages of learning about it themselves. While this appears to have been resolved successfully, in the future it would be advisable to ensure there is a reasonable level of continuity within each committee.

Some of the main issues concerned:

- confusion with the fast-track schemes, particularly regarding the role of sponsors, application procedures, and recourse to appeals; some potential candidates also expected the scheme to be similar to fast-track
- confusion about roles within the scheme, particularly that of the accreditation committee; the AC function had not been developed through JAG and its role and powers had not been completely thought through; problems were exacerbated by the UKIC committee not being fully in position until early 2001, along with lack of formal guidance (this has now been remedied for 2001)
- misunderstandings about the rules of the scheme
- lack of clarity about the purpose of the scheme (particularly in accrediting practitioners as qualified conservator-restorers, not as qualified in specific disciplines), and confusion between the function of accreditation and that of registration (i.e. of studios or self-employed individuals)
- comparison with approaches used by other professional bodies; some people were not familiar with competence-based or practice-based approaches, and appeared to regard them as less valid than more traditional methods of assessment

- limited understanding of approaches to CPD: a major challenge has been overcoming assumptions that CPD is about listing courses or conferences.

3.2 Committee structures

The management of PACR is overseen by the NCCR Professional Standards Board, with a (sub)committee looking after implementation and another concerned with publicity and promotion. The roles of the main board and the Co-Ordination Committee did not always appear to be sufficiently distinct, and there appeared to be difficulties in making rapid decisions. The extent of delegated authority from NCCR, e.g. to approve scheme documents, also appeared unclear. The Marketing and Liaison Committee operated below full strength for most of the 2000-01 period.

3.3 The application forms

Some criticism was voiced from actual and prospective candidates about the length and complexity of the forms. Specific issues included:

- the wording of the standards, and how they applied to different disciplines
- the statement at the top of each section of the standards - not all were thought to be an accurate reflection of the detail, and it was unclear what the force of this statement was (these have been amended for 2001)
- needing to repeat discussion of the same projects and activities in different parts of the form (although this appeared partly a misunderstanding of how to use the 'projects and activities' part of the form); some candidates were reported as "having a paranoia about repeating themselves."

Generally, some candidates may not have appreciated the depth of assessment involved in accreditation, and expected a more superficial process.

3.3 Procedures for dealing with forms

The procedures for copying and forwarding the forms appeared unclear. In the future, clearer logistics procedures appear to be needed, ensuring that the primary assessor and accreditation committee receive the master copy of the form, and to reduce the number of copies needed. Beyond that, there appear no easy solutions to reducing copying; while there were discussions about separating out the form from the professional standards, the current format was a result of feedback from the trials in which separate documents were disliked.

3.4 Advice to 'weak' candidates before assessments take place

Some debate ensued about the advice that should or could be given to candidates whose applications appear weak, and who should advise them. One assessment had been delayed substantially, partly because of uncertainty about this; in another instance, a referral may have been avoided if appropriate advice had been given early on in the scheme.

At present the scheme is open to all practising conservator-restorers who are paid-up members of the participating professional bodies; it is up to potential applicants, with appropriate guidance, to decide if they are ready to apply. The accreditation committee should advise the candidate if in their opinion the application was unlikely to be successful, but should not block it. If the application itself is

incomplete or unclear, further information (or a new form) can be required by the committee before assessors are allocated. Assessors can also request further information and advise the candidate, but unless there are exceptional circumstances the form should not be referred back to the committee.

If the accreditation committees are to have the power to reject 'poor' applications, very clear eligibility criteria are needed, and these should be available to candidates in writing. This needs also to be put in the wider context of how the profession wants the scheme to develop, e.g. whether it should remain open as at present, or have entry requirements similar to the professional practice examinations of some other professional bodies (see section 4.1).

3.6 Support for candidates

During 2000 there was one large-scale briefing, in London, and one candidate workshop, in Ilminster; in 2001 there has been one briefing (Edinburgh) and two workshops, in Edinburgh and Bristol. These have been free, funded by NCCR, SW Museums Council, and Historic Scotland. Candidates attending the workshops commented that they were helpful and put the documents and guidelines into perspective. The briefings were generally welcomed as introductions to the scheme, but they should not be seen as sufficient to help candidates prepare for applications.

Candidates have requested (a) a mentor network, and (b) examples of 'good' applications. The former appears to be problematic because of the small numbers of people who have so far been through the scheme or the JAG trial, but formal requests for volunteer mentors - particularly from successful candidates - may yield some results. An edited sample application has been produced for 2001 applicants, and another is awaited from a candidate.

3.7 Quality and style of applications

The quality and style of applications varied between candidates, between giving minimal information (pointers for assessors) through to detailed discussions running on to appended pages.

It is important that the application form is put into context of the overall process, and does not become seen as the primary part of the assessment, with the visit as a confirmatory exercise. On the other hand, a minority of applications didn't give the assessors a particularly good feel for what they could expect, and some candidates made poor use of the 'projects and activities' section of the form. In addition, the accreditation committees only see the form and the assessors' notes, so if the candidate's notes are too brief they are provided with a very limited picture. For 2001 applications, guidance has been revised and sample applications are being made available.

3.8 The role of sponsors and witnesses

There was some confusion over the role of sponsors, particularly given that some sponsors had 'recommended' candidates for accreditation; the word 'sponsor' is causing confusion with sponsors in the Fast Track schemes, who had a semi-assessment role. For 2001, the sponsor's statement has been deleted, and it is clearer that the sponsors are simply validating the candidate's statement as a true reflection of his or her work and abilities.

Secondly, it should be noted that witness signatures are only required for sections D and E; they are optional elsewhere, but should be included where the candidate's other evidence is relatively slim (e.g. in section 3.2, where candidates no longer work in practical conservation). Lack of witness signatures in other parts of the form must not be taken as weakening the application. The application forms have been modified to make this clearer.

Where evidence is relatively thin but supported by witness statements, assessors need to be aware that they can contact witnesses.

3.9 CPD reviews

There still appears to be misunderstanding about CPD, both on the part of some candidates and some assessors, treating it as formal learning activities (e.g. courses and conferences attended) rather than learning and development actually achieved. More guidance appears needed to dispel this, and as well as a limited number of CPD events, it is intended to produce sample reviews / plans.

Some candidates enclosed CPD reviews with their applications, while others discussed them with assessors during the visit. The reviews appeared useful to the accreditation committees to get a better picture of candidates' depth of understanding. For 2001, CPD reviews will be required as part of the application, and the review questions from (the revised) document 5 have been incorporated in the application form.

3.10 Use of C, K or X

Assessors' records indicated that interpretation of when to use 'C' and 'K' was inconsistent. The greatest confusion appeared to be whether 'K' should be used (a) when the candidate appeared to be practically proficient but the evidence was indirect, e.g. based on records, discussion and witness statements rather than objects available for inspection, (b) to denote a lower or suspect level of proficiency, or (c) where the candidate was not sufficiently experienced in the area to be deemed practically proficient, but could show a good working knowledge (the correct interpretation). Further guidance has been included for 2001.

3.11 The quality of assessment

The general standard of assessment appeared to be good. One problem was noted where the assessors' comments and decisions appeared to contradict the evidence examined and discussed.

The accreditation committees commented that a minority of assessors did not appear to be providing enough information to show how their decisions were arrived at. While recognising that committee members, also new to their roles, may be asking for more than is necessary, this suggests revisiting the examples given to assessors; this is being done for the 2001 round.

The issue of assessor monitoring was raised by assessors and committee members. At present, monitoring is carried out by the accreditation committees through their moderation role; where problems have been identified, these need to be followed up. Feedback has also been obtained from

candidates. Where problems are identified, options include discussion with the assessor, giving more attention to the pairing of the assessor in the next round, and not using the assessor again. Monitoring of assessment visits is likely to be effective, but add to costs; this may be an area for exploration if it is considered warranted, but it is likely to become less of an issue as assessors build up experience.

3.12 Assessor training

Two points were raised about assessor training. One was that the initial training could usefully be lengthened, and include more detailed roleplays and feedback to individual assessors. Secondly, the question of follow-up workshops were raised, either to discuss issues arising from individual assessments or for experienced assessors to sit in on the workshop part of new assessors' training. Around 50% of assessors were interested in further workshops. These proposals need to be balanced against cost and against the amount of unpaid time assessors could reasonably be expected to put in, along with the fact that as new assessors are recruited, they can be paired with experienced assessors.

Given that all but three current assessors have email, an email discussion group could be organised. It may also be possible to improve the organisation of feedback to assessors from the accreditation committee and from candidates, both individually and in the review.

3.13 The accreditation committees' role

As previously described the AC role was not as clear as other roles in the scheme, and suffered from lack of clear guidance at the outset and slowness in assembling the full UKIC committee.

There was discussion about the role of the ACs, particularly the extent to which they were able to question assessors' judgements. The role of the AC in the accreditation decision needs to be that of moderator - not attempting to reassess by proxy, but to examine the documents for any inconsistencies and enquire into them, making final adjustments as necessary. Discussions indicate that confidence needs to be built up between ACs and assessors. This may require closer working between assessors and committee members, and possibly (as the pool of assessors expands) interchange between them. At present experience of (JAG trial) assessment is limited to one member of each of the committees.

A guidance document (PACR 7) has recently been prepared for AC members, and an additional committee training day has been organised for July 2001.

3.14 The relevance of candidates' training and background

Current application forms require a summary of relevant experience and training. Some confusion arose about how this information can be used. Clarification is that PACR assesses where the practitioner is at at the time of the assessment, not the route taken to get there. However, background knowledge can help the assessors identify potential strengths and weaknesses and therefore organise the assessment visit to spend more time on the latter. This did not appear to be a

major issue, but arose in the case of one candidate; assessors and committee members need to be aware that they must not let the candidate's entry route influence their judgement.

3.15 Private and commercial sector candidates

Some private practitioners thought that the standards and accreditation process were designed for institutional conservators; particular issues are section 4 of the standards, and the fact that objects described in the application are likely to be gone by the time of the assessment visit. Both issues appear covered by the way the scheme was interpreted in practice, but this is not necessarily clear to prospective applicants. Some candidates may have difficulty in retaining more than a small number of objects for the visit.

Institutional units which operate as commercial practices identified that they wanted one of the two assessors to be from a similar or private-sector background. This does not appear to be any problem to accommodate, and guidance for 2001 reflects this need.

Some potential candidates complained that PACR had been 'imposed' on them by institutional clients, who had given out messages that contracts would only be given to ACRs.

3.16 The costs of assessment and costs of the scheme

Many potential candidates saw the scheme as expensive, and this had been a factor for some in deciding not to apply (yet). However, the fee only just meets the variable costs of the scheme (assessor visits and direct administrative costs), without contributing to administrative staff time, briefings and training sessions, scheme management and evaluation and further development. Three other sources of funding are available, i.e. professional bodies' contributions to the cost, income-generating activities (e.g. charging for candidate briefings), and external funding; the professional bodies and NCCR will need to decide how PACR and associate activities are funded.

3.17 The professional standards

The accreditation process provided a large amount of feedback on the standards. In many cases this related to wording and emphasis, but three main areas appear to require attention:

Section 3, practical conservation, was seen by many as being given an insufficient profile in the standards; concerns were also expressed about whether it would be possible for a conservator to be accredited whose practical abilities were not particularly good. However, it was also seen as a barrier by preventive conservators, advisers and scientists (see 3.19 below). For 2001 a decision was made to require all candidates to have reached a competent standard in section 3.2, whether demonstrated through current practice or evidence of past practice: this is reflected in the guideline that a 'C' must be achieved in 3.2 to avoid referral.

For many candidates the closest they could come to the standards for section 4, preventive and environmental conservation, was to give advice in these areas; this interpretation was accepted as appropriate pending the standards review.

The professional criteria (A-E) were felt to be unclear by some candidates, and further guidance on interpreting them is likely to be useful. The wording of these standards might be improved in the standards review.

As previously stated standard 6.2 (expertise) appeared to be interpreted inconsistently by assessors, with for instance one obviously 'expert' candidate being given a 'K' rather than a 'C' in this area.

3.18 Conservators, restorers and 'craft' disciplines

Some confusion is apparent from the use of the term 'conservator-restorer' in a way that appears to exclude pure restorers; the usage in PACR (following the ECCO definition) appears inconsistent with that in NCCR, which includes conservators' *and* restorers' organisations. If the current designation 'conservator-restorer' is to continue to be used in its ECCO sense, clearer explanation is needed that it refers to conservators (or to restorers who undertake conservation), but not to restorers as normally understood in the UK.

There is also some concern that conservators in more craft-based disciplines, such as stained glass, books and gilding, may find it difficult to meet the standards. Clearer explanation is suggested of the boundaries of the scheme and who it is intended for, possibly along with more guidance on the conservation ethic to make clearer to practitioners what they need to do to be eligible.

As well as having implications for individual applicants, the interpretations used may also affect the scheme's relationship to some of the 'non-PACR' NCCR bodies and to international organisations. Discussions during the first round suggest that a wider debate is needed about the scope of the ACR designation and the position of craftspeople and restorers in the conservation-restoration field, which looks across the breadth of conservation-restoration disciplines.

3.19 Practical proficiency v routes for conservation scientists and advisers

Some concerns were expressed about both the apparent lack of weight given to practical conservation work in the standards, and the possibility of people getting through who were no longer competent to treat objects and may never have been particularly proficient (the 'conservation managers, scientists and advisers' clause). On the other hand, the practical interpretation of the standards has been a cause for confusion, and concerns to emphasise practical conservation may have resulted in an inconsistent interpretation being applied. These problems have resulted from the scheme being designed as a single set of standards, applicable to all practitioners but geared more towards those working on objects.

Parallel with this, dissatisfaction with the scheme was expressed by some conservation scientists and advisers, who could not meet the standard for work on objects and felt that the scheme was inaccessible to them or did not represent their roles particularly well.

These factors suggest that two accreditation pathways could be developed in the future, one with a strengthened practical component and the other geared towards practitioners who did not undertake interventive conservation.

3.20 Interpretation of the standards into specialisms

Some desire was initially expressed by assessors to have guidance on how to interpret particularly standard 3.2 into the context of individual specialisms. Guidance could increase consistency, but it would need to be written in a way that avoids unnecessary standardisation. Following the assessments, the assessors were less convinced that guidance was necessary, and felt that they were able to interpret the standards into context.

3.21 The level required

Some debate took place over the level required to meet the standards. The level is broadly outlined in the assessor and candidate guidance - that of a practitioner able to make independent professional judgements and take full responsibility for his or her work, and in a practical sense a 'mainstream' professional standard - not perfection, but fully adequate in a commercial or institutional environment. The Dreyfus model was seen as helpful in indicating the level of competence required - 'proficient' as a general standard, possibly with some areas where only 'competent,' but compensated by 'expert' in the strongest areas.

3.22 The credibility and validity of the scheme

Some potential applicants were concerned about the extent to which the scheme was known, and therefore whether it would lead to any benefit. This was more a criticism of lack of publicity and establishment than problems of quality. Concerns were also expressed about paying £400 for a qualification that was little known and "may lose its currency."

A second issue concerned the perceived rigour and validity of the scheme, both in terms of assessment processes (e.g. as opposed to course-based accreditation or written examinations) and that it did not accredit in defined specialisms. Comments on both these areas came from within the profession rather than from outside, and appear to be perceptual issues connected with (a) lack of familiarity with competence-based or practice-based qualifications and assessment, (b) debate over the function of the scheme, and (c) concerns about the professionalism of assessors and accreditation committee members. Initial indications suggest that while there may be some local issues to iron out, concerns about rigour and validity are unfounded. See also point 3.23 below.

Some assessors and intending candidates expressed strong concerns that the scheme should not become a 'club' where accreditation decisions were influenced by assessors' and committee members' personal knowledge of candidates, or extraneous perceptions about their practice. This concern appeared fuelled by experiences of Fast-Track processes and experiences of schemes operated by some non-PACR professional bodies. While PACR differs from a free-standing qualification in that the resulting credential can be revoked or resigned from, it is critical that it is operated in the same impartial way as assessment for a national qualification rather than entry to a society or fellowship. The development of a publicly-available accreditation committee guide for 2001 may help allay some of these concerns.

3.23 The role of accreditation

A particular issue was raised in terms of what the scheme represented, and how professional bodies could promote ACRs without exposing themselves to litigation where members failed to act competently or ethically. This broke down into two issues:

The difference between accreditation and registration. There was some concern that accreditation did not say very much about what a practitioner was qualified to do (i.e. in terms of specialism), and was not specific enough as a guide to a client. The following points might provide a useful distinction:

Accreditation is a 'qualifying membership,' similar to that used in accountancy, law, architecture, engineering and many other professions: it is a personal qualification bestowed by a professional body, but (unlike professional diplomas and certificates, or professionally-recognised university qualifications) it is also capable of being revoked for misconduct or non-payment of fees, or resigned from by the member. It makes a general statement that the holder is a qualified and generally proficient member of the profession, endorsed by the professional body. It does not endorse the person's studio or professional business, or say anything about their competence to work on specific objects or projects.

Registration concerns the endorsement of a business (one person or partnership with or without employees, or a corporate body) as meeting the requirements set by the registration body for a specific purpose. This usually includes basic business standards (e.g. carries professional indemnity and public liability insurances) as well as possibly an indication of what the business is registered to do or specialises in.

At present some professional bodies are effectively operating a 'register' of individual accredited members. This appears confusing and may be better dealt with as part of the Conservation Register.

What professional bodies can say about ACRs. The ACR designation is granted to members who have demonstrated professionalism (both proficiency and ethical conduct) in their work; they therefore could be described as proficient practitioners who have met the standards of practice and professionalism agreed by the professional body (whether fast-track or PACR). They cannot be 'held out' as competent to perform any specific task, and the professional body cannot undertake to guarantee their work. Beyond this, professional bodies should be in a position to promote ACRs in a positive and robust manner.

4 Recommendations and discussion points

The recommendations and discussion points below do not include those which have been dealt with for 2001, for instance in the revision of the guidance documents.

4.1 Operational

Implementation support for PACR. A strategy for future extension and development is recommended, which covers:

- committee roles and functions
- administrative support
- training, workshops and briefings, both for (a) accreditation committee members, assessors and CPD reviewers, and (b) candidates, and all ACRs in respect of CPD reviews
- scheme development
- review and evaluation
- funding.

Costing of the scheme. PACR would benefit from comprehensive costing, including the costs of time and facilities provided 'free' by the professional bodies' offices. This will enable funding decisions to be made which are based on known facts, as well as being able to demonstrate true costs to candidates and if appropriate make bids for funds to outside bodies.

Understanding of the scheme. There is still a need to develop common understandings of the scheme across those involved in its operation, and ensure sufficient continuity of personnel to avoid the need for large-scale re-induction. The situation for 2001/2 will be much better than in 2000, but there is still a need for some people - for instance late-joining accreditation committee members - to undergo further induction. Hand-over arrangements for new members of the PSB and its constituent committees need to be considered.

Consistency of interpretation. Coupled with the above issue, consistency of interpretation of the scheme guidelines needs to be ensured. It is particularly important that the advice given to candidates and the accreditation committee decisions accord with each other, and with the scheme documents.

NCCR committee decisions. It may be beneficial to consider how committee decisions could be streamlined, both through means such as email conferencing and by clarifying the delegated authority given to each committee.

Constitution of accreditation committees. The current guidelines given in the new document PACR 7 primarily concern function rather than constitution. The PSB and professional bodies might want to consider whether there should be any common principles pertaining to the constitution of the committees and means for appointing members (and, if necessary, deselecting them).

Development of a mentoring scheme or network. As more people go through PACR there will be a larger pool of potential mentors; ways of enabling intending applicants to contact potential mentors

need to be established. Putting candidates in touch to form self-help groups could also be considered, and other methods of networking such as email discussion groups explored.

Candidate and CPD workshops. The workshops held during 2000 and early 2001 have relied on sponsorship from Historic Scotland and the SW Museum Council. While sponsorship should continue to be sought, it can limit the location of events and additional workshops could be run by charging fees to participants.

Criteria for preliminary assessment of applications. More formal guidelines for giving advice to candidates prior to assessment visits could be explored, particularly to establish thresholds for (a) advising deferral and (b) advising that there are weak areas which should be addressed. Post-2001, consideration should be given to deciding whether the accreditation committee should be able to reject applications at the pre-assessment stage. If this approach is adopted, clear criteria will be needed and care will be required to avoid penalising applicants on the basis of the quality of form-filling.

Assessor training and updating. Suggestions have been made for enhanced training for new assessors, assessor updating workshops, and an email discussion group. The feasibility and benefits of these or similar strategies could usefully be explored. While minor updating issues can be dealt with by the annual review, consideration also needs to be given to providing additional training or debriefing where problems have occurred with assessments. Similar access to training and updating needs to be available for accreditation committee members, and more interchange between assessors and committee members could usefully be encouraged.

Follow-up to unsatisfactory assessments. Agreement is needed on actions where assessments have been unsatisfactory, both to prevent repeat occurrences and ensure that the assessors concerned receive detailed feedback.

Further improving application forms and guidance. There will be further opportunity to improve the clarity and layout of application forms for 2002. However, unless there are points of principle or procedure that need to be reflected in the documents, it may be less problematic to delay any changes until the standards review has been completed.

The standards review. A programme for reviewing the current standards and developing any new routes (see section 4.2) needs to be established, with an application date from which the revised standards (and routes) will apply. The revised standards need to be available in good time - four months is probably a minimum - before applications using them are due.

Continuing professional development. A number of operational issues need to be explored and decided regarding the operation of the CPD review process. These include:

- frequency and method of recalling ACRs' reviews
- the principles to be used in reviewing the reviews (some of these are effectively outlined in PACR 5, but further guidelines are needed)
- selection, training, workload and remuneration of CPD reviewers ('assessors')
- the scope of feedback available to ACRs on their CPD reviews

- any recourse to be adopted in the case of absent or 'weak' reviews - e.g. learning agreements or (exceptionally) sanctions.

The CPD workshops in April and June are likely to provide feedback on some of these issues.

Promotion of PACR and ACRs within and outside the profession. While it has exposed some 'teething' problems, the 2000 round has been sufficiently successful to enable active promotion both within the profession (to attract further applications and raise the profile of PACR more generally) and to wider stakeholders.

Evaluation strategy. A strategy for longer-term evaluation of the scheme needs to be put into place, in particular to identify its impact on the profession and on the care of cultural heritage. Following the 2001 round it may be useful to gather feedback from within the profession and from selected external sources (e.g. heritage bodies and major clients); a point in the future, perhaps after five years of operation, needs to be identified to conduct a more major impact evaluation.

4.2 Strategic

Coverage of PACR and ACR. Discussion has arisen in the context of restorers and craft-based conservators, and there have been strong representations from some assessors and committee members to ensure that craft conservators do not become excluded from the profession. Further discussion appears needed to establish the boundaries of ACR, and if necessary examine alternative arrangements for practitioners who are involved in conservation but do not qualify for accreditation.

Routes within PACR. Feedback has indicated a demand for one or more routes to accommodate conservation advisers, scientists, managers, lecturers etc., with the practical components of the current standards strengthened in the 'standard' route. Details of the new route or routes can be developed as part of the standards review. The designation of successful candidates will need to be considered, as well as whether fast-track ACRs will need to choose, or be allocated to, one or other ACR 'division.'

Entry routes. At present PACR is open to all paid-up members of the participating bodies who are professional conservator-restorers. The issue needs to be raised of whether this will remain appropriate, or whether specific entry routes or attainments should be recommended or required at some later date. Any decisions made in this area need to take account of a number of factors including the traditions of different specialisms, changing patterns of higher education, developments in Europe and in other English-speaking countries, progression routes from technician or craft work, and the practicable role of the profession in encouraging and developing training.

External recognition of PACR. Consideration might be given to (a) obtaining a university credit rating for PACR, to assist ACRs to progress to postgraduate dissertations or research, and (b) seeking recognition by the Qualifications and Curriculum Authority of the assessment component of PACR so that it can be awarded as a free-standing national qualification.

Accreditation and registration. The functions of PACR and the Conservation Register need to be clarified, particularly in respect of sole-practitioner conservators where there appears to be an overlap of function.

The relationship between PACR and other accreditation schemes operated by NCCR bodies. Currently ABPR, BAFRA and ICHAWI operate accreditation schemes which do not appear to relate in any direct way to PACR. There are likely to be benefits in exploring common ground and differences between these schemes and PACR, and working towards a position statement. It is unclear at present whether convergence is appropriate, or whether different schemes are needed for instance to endorse specific craft skills or to cover restoration or reproduction work which falls outside the scope of 'conservation-restoration.'

The role of PACR in respect of the developing profession. An open and continuing dialogue is due on the development of the conservation-restoration profession in the UK, with regard both to developments in Europe and elsewhere and to the legal, organisational and cultural context in the UK. Part of this discussion needs to concern the role and future development of PACR as the profession's practising qualification or credential, and where it sits in relation to entry routes and continuing development pathways.

NCCR Professional Accreditation of Conservator-Restorers

Feedback from the Continuing Professional Development workshops

Bristol 25.4.01 and Edinburgh 19.6.01

Stan Lester

21.6.01

31 people attended the CPD workshops in Bristol and Edinburgh, and 12 enquired but were unable to attend or the workshop was full.

Approach to CPD

While some participants started off by equating CPD with specific learning activities, experiences discussed indicated that most CPD was informal and some of it unplanned and only apparent on reflection. The importance of encouraging and 'capturing' all kinds of learning and development, while supporting the development of specific learning activities and opportunities, was appreciated.

Some participants, particularly but not exclusively from the private sector, commented that it was impossible to know what projects were coming up in the future. This meant that while CPD relating to career or business development might be proactive, the majority of learning would need to be reactive to meet the requirements of specific demands.

A minority of participants also commented that they could be absorbed in a single project for anything up to five years, and it may make better sense to review learning at the end of the project rather than extract minor points at intervals through it.

Some participants began by seeing the CPD requirements as an imposition and a requirement for further assessment of what they did. This was partly but probably not fully dispelled at the workshops. Others saw it as an enabling process that recognised something that most responsible practitioners did anyway. The general consensus was that this should be something that is intrinsic and works for people - not a system of meeting external targets or being assessed.

There were strong collective views that CPD should be approached by NCCR and the professional bodies in a way that was enabling and positive - it should not be approached as 'policing,' but guidance offered if reviews appeared to be limited. If sanctions were to be introduced for no / poor CPD reviews, they should be some way down the line and only after appropriate guidance has been offered. Experiences from engineering and nursing were noted, where over-prescriptive approaches to CPD had been rejected - in the former after some members had started to leave.

There was also general support for the main focus of examining the reviews being to check that the process was coherent - i.e. that what practitioners were doing was relevant to their context. NCCR / the PBs should not be attempting to dictate what or how people learned - part of being professional includes the ability to manage one's own learning and development.

Forms and reviews

Clarification was requested on whether the NCCR review forms had to be used, or whether individual approaches or staff development reviews could be substituted. Some people said they preferred to set out CPD in a different way. Pitfalls include (a) not thinking broadly enough about learning / development (e.g. confining reviews and planning to specific events), (b) being led by organisational requirements alone, and (c) creating a variety of paperwork for reviewers ('assessors') to examine.

Examples of completed forms were requested. At present the only example is SL's (at www.devmts.demon.co.uk/pacr/), which is not the most relevant. Three participants offered to produce reviews and allow them to be put on the Web.

Clarification was asked for on how the reviews would work:

- ◆ When will the first reviews be called in from ACRs?
- ◆ How frequent? There was a fairly strong view - around half of participants - that annual reviews were too frequent to capture significant development, and would cause a focus on more specific or trivial learning. There was some support for planning on an ongoing basis, but reviewing at perhaps 3 year intervals.
- ◆ Would all ACRs be asked for their reviews at the agreed interval (and a selection examined), or would only those to be examined be called in? One proposal was to work through all in a known order every 3 to 5 years so that everyone knew they were working to a 3-5 year cycle.
- ◆ How would reviewers ('assessors') be selected, how many are needed, how would they be trained, and would they be paid? A minority of participants were interested in being reviewers.
- ◆ What criteria would be used for reviewing the reviews? Published guidance was agreed as needed, including details of guidance to be given in the case of 'poor' reviews and how any sanctions system would work.
- ◆ Would the accreditation committees have any involvement in reviews, or would another panel be set up?

Generally, the workshops indicated a need for further consultation before decisions were made about how CPD monitoring would be operated.

CPD activities

There was interest at the SW meeting in regional groups - 'NCCR branches' spanning all member bodies? - to encourage more locally-based events. These might be able to approach regional agencies such as the Museums Councils for funding. In Scotland, a regional network was felt to be achieved informally and through SSCR.

There was a general view that there were not enough relevant, inexpensive short courses. This extended beyond conservation topics, e.g. independent practitioners found a lack of appropriate courses or workshops geared to running their kind of business. Suggestions were made at both workshops that CPD reviews could be used to help identify topics where courses / conferences would be useful.

It was suggested that NCCR / the PBs could seek grant aid for CPD events. One participant suggested that some individual funding might be available through Individual Learning Accounts.

There was support for including a guideline for employers to make time available for specifically for CPD, with a consensus at the Edinburgh meeting that this should be a minimum of 6 days per year. This was to act as a guide for what was needed in employing a professional conservator, not to be interpreted by practitioners that it was quantity rather than quality that counted.

There was one request for having a means of authenticating attendance on courses, conferences etc, e.g. through some form of attendance certification.

Some participants were also interested in exploring the possibility of postgraduate programmes that were accessible to practitioners at work, e.g. through research or work-based learning.

Consultant's recommendations

1. Publish (on web sites and by request) CPD reviews from the people who have volunteered to do them. (SL action)
2. Identify key responsibilities for CPD recall and review - in particular, what lies with NCCR and what with the PBs. (NCCR PSB, participating bodies)
3. Develop, including through a consultation with ACRs, procedures and guidelines for the recall and review of CPD reviews, and when agreed publish them as a companion document to PACR 5. (NCCR PSB Co-ordination Committee, or as agreed in 2 above)
4. Investigate methods of improving CPD events and networking, particularly on a regional basis (participating bodies)
5. Identify how CPD reviews can be used to focus NCCR and PB support on needed areas (participating bodies and NCCR PSB)
6. Explore how postgraduate programmes might be made accessible to practising conservators (NCCR CERT panel?).

NCCR Professional Accreditation of Conservator-Restorers

Feedback from Employing, Commissioning and Funding Organisations

Stan Lester

March 2002

Summary

There appears to be a reasonable level of awareness of accreditation among public and voluntary-sector organisations, with smaller institutions probably less likely to be well-informed. There is however a moderate level of confusion about what PACR covers and the standard of practice it represents, and some indication that better promotion is needed outside the practitioner community.

Support for accreditation is good in principle, with PACR being welcomed as promoting professionalism and ongoing development. In practice, this support is translating into:

- ♦ limited use in recruitment, with an emergent picture of accreditation being desirable but not essential for senior staff
- ♦ limited but growing use as a criterion for selecting conservators for contract work, awarding grants to conservation projects, and directing enquirers to conservators
- ♦ fairly widespread support among employers for staff to become accredited, although less than a third are prepared to pay the full costs.

Lack of a stream for preventive conservators and collections care managers is hampering some organisations' involvement, and there also appears to be a need to clarify the position of groups such as technology conservators and conservation technicians.

Introduction

As part of an outline evaluation of PACR, a number of employing, commissioning and grant-awarding organisations in mainland UK were contacted during February 2002 to gain an impression of the impact of accreditation from the viewpoint of organisations that funded conservation work. Because of the short time accreditation (both Fast-Track and PACR) had been in operation, it was decided to limit contact to organisations and people nominated from within the profession.

A total of 24 semi-structured telephone interviews were held: 8 with representatives of national (including Scottish) organisations, 8 with national institutions, 7 with local institutions, and one with an auction house. Interviewees were generally either heads of conservation departments or curators, archivists, advisers etc. who were in close contact with conservation; the aim in selecting contacts was to choose people who made decisions about employment, contracting or grant aid, while being reasonably close to conservation without having active involvement in PACR. A list of organisations contacted is given at the end of the report.

Awareness and support

All but four interviewees were aware of professional accreditation in conservation, and nearly two-thirds (chiefly but not exclusively people with a conservation background) were able to discuss PACR from an informed standpoint. Of the four who had not come across accreditation, two were aware of the Conservation Register and another knew of SSCR. Generally, the level of awareness was higher in national organisations and institutions than in local institutions; a good knowledge of PACR in the latter tended to coincide with a (or the) conservator being accredited or having had involvement as a committee member or consultee. Just under half the interviewees, including two non-conservators, had been to at least one meeting on accreditation or where it was a major topic of discussion.

It was unclear what level of knowledge existed at the level of heads of organisations, although some were reported as being aware of accreditation and supportive of efforts to promote it. In larger organisations support for accreditation appeared to depend on appropriate 'champions' at middle-level (for instance heads of conservation, senior curators or advisers), influenced more generally by the organisation's overall attitude relating to the qualifications of recruits and contractors, and willingness to fund qualifications, training and subscriptions.

There was no negative feedback on the principle of accreditation, as opposed to matters of detail. Four interviewees could be described as relatively indifferent, either through lack of knowledge or feeling it wasn't particularly relevant to their organisations. However, the majority were strongly supportive and viewed accreditation as variously strengthening the position of conservation as a function, setting a professional standard, and promoting ongoing professional development. Two particularly welcomed the greater awareness of contractual and ethical responsibilities that they regarded accreditation and the associated professionalising process as promoting.

The use of accreditation in recruitment

None of the organisations contacted had yet stipulated accredited status when recruiting conservators. Two indicated that they intended to in the future, and six saw accreditation as being desirable or an advantage where relevant - for instance for senior conservator posts in specialisms where accreditation had a good take-up. The general picture that emerged from these organisations was that while accreditation is unlikely to be a requirement for applicants for the foreseeable future, it might be regarded favourably or seen as additional evidence of commitment and proficiency. Some suggested that non-accredited applicants with sufficient experience would be expected to work towards accreditation if appointed.

Five organisations considered accreditation was likely to be inappropriate to ask of new recruits, three because most of their recruitment was of new graduates or relatively inexperienced staff, and two because they employed mainly preventive conservators or advisers, who it was felt were not catered for by PACR. Two interviewees were unsure whether there were any benefits in asking for accreditation; they felt they were generally recruiting from small, specialist communities of practice, and they were able to gain enough information about potential recruits to make accreditation of little value as a selection tool.

Accreditation as a factor in contracting, funding and directing enquiries

Three national organisations saw a central role for accreditation in awarding contract work and commissioning conservation advice, and were likely to make it a requirement in the near future. These organisations viewed ACR status in a similar way to practising qualifications in for instance architecture or engineering, and regarded it as important to apply similar standards to conservators as to professionals in other fields. In one case there had been some argument about creating closed markets and working against the principles of best value, but this debate appeared to have been won in favour of requiring accredited status. Three further organisations required all contract conservators to be on the Conservation Register, at least for tendered work; these welcomed the position where at least the managing practitioner would need to be accredited, seeing that as adding to the strength of the Register and providing further assurance in the case of previously unknown bidders.

Of the remaining nine interviewees who commissioned conservation work, four felt that they would be unlikely to use accreditation or registration as a criterion, while five had used one or the other where they were not familiar with the conservator's work. All had 'pools' of conservators they could draw on and saw their main priority as getting people who were right for the job; recommendations from trusted colleagues, for instance from other museums, was sometimes seen as more important than having particular qualifications or being on a formal register. Accreditation was viewed as more important when selecting a relatively unknown practitioner, particularly someone from a specialism where the institution had limited expertise. One institution also made a distinction between individuals contracted to do work that was specified and monitored by their in-house conservators, and accredited conservators who took full responsibility for methods and liability.

Four interviewees were involved in grant-aiding conservation projects, three nationally and one on a local basis. Of these one required at least the lead conservator to be accredited, one required registration and would look for accreditation within a year or so, and one was intending to move to this position within two years; the other stated his organisation had no plans to require either, but would refer applicants to the relevant bodies for lists of registered studios and accredited conservators. Two further organisations commented that they referred enquirers to the Conservation Register, but were now recommending that potential clients also checked that the appropriate person was accredited.

Support for staff to become accredited

In summary, of the 17 organisations that employed practising conservators (excluding some with single conservators or conservator / curators), 15 supported staff to gain accreditation or would support them in principle, while two commented that gaining qualifications or joining professional institutions was a private matter and wouldn't be actively supported by the institution. Of the supportive organisations, five had funded or would fund accreditation fully, six were prepared to fund part of the cost, and four would not pay fees or subscriptions but would assist with time and where possible the support of other staff.

As far as could be ascertained, employers' financial attitude to supporting PACR appeared linked to general policy on paying for staff to take qualifications, i.e. there was no particular discrimination for or against conservators in comparison with, for example, support for museums, archives or management

qualifications. In one case the fees set for Fast-Track were thought to be exerting an influence on what the institution was prepared to pay to support PACR candidates, and two interviewees described PACR as expensive with unclear benefits to the employer.

Six interviewees were aware of staff who were intending to apply for PACR, and two had staff assessed in 2001/2. Of the 'supportive' organisations, two were intending that all conservators with sufficient experience would gain accreditation, and three were actively encouraging staff to apply; the main reasons were to encourage professionalism and continuing development, demonstrate that staff were working to national benchmarks, and in one case to increase credibility for grant applications. The remainder were either less proactive or didn't have non-accredited conservators with sufficient experience; in two cases the reason given was that the relevant staff were preventive conservators, and PACR in its current form was seen as inappropriate. In three organisations, all large institutions, some senior staff were described as not being interested in applying because they were established in their careers and didn't expect to move.

Five organisations, all national institutions, had assessors among their staff; one had three PACR and two ICHAWI assessors, and two had an assessor and a committee member apiece. A further, major city institution was keen for a member of staff to become an assessor if a vacancy arose. Two of the assessor-employing organisations regarded the assessor role as time-consuming, and one was not keen for further staff to become assessors; however, two others appeared fully supportive.

PACR: feedback and issues

Interviewees were asked for any general comments they wanted to make about PACR, including any problems they had encountered and suggestions for improvement.

The most common criticism, made by six interviewees, was that the PACR standards do not include an option for preventive conservators. This had caused several organisations to hesitate in their support for PACR as it was not seen as appropriate for their staff. One described this area as "not just an extension of object conservation to advice and environmental monitoring, but perhaps a new profession... preservation managers who advise on and set up protection for collections, decide or advise on conservation priorities, and commission work..." This view was reflected by other comments that included the lack of inclusion in PACR of things such as delegation, specifying and commissioning. There was some discussion about the role of PACR (and the UKIC) in respect of preventive specialists and conservation managers, and whether they were better advised to join the Museums Association. In summary the interviewees who discussed this area felt there was an urgent need for a preventive / collections 'stream' in PACR, with two also raising the need to consider how conservation science fitted in. Three offered to contribute to the development of standards in the preventive area.

A further issue of coverage and positioning was raised by three interviewees in respect of conservation technicians and technology / engineering conservators. To take technicians first, arguments were put forward that the distinction between the professional conservator and conservation technician needed to be made clearer; the latter role was seen as important for instance to allow routine work to be delegated and enable an equitable fee structure to be charged. The professional bodies were thought to be avoiding the issue of conservation technicians, with results

that were potentially damaging to the profession. The level 3 N/SVQ was discussed as having about the right level and coverage for a technician qualification. In respect of engineering and technology, conservators in these fields were regarded as on the periphery of PACR coverage, with difficulties arising because of differences in ethos - what one interviewee described as the difference between preserving the original object and maintaining the object in working condition using authentic skills, techniques and materials.

Lack of promotion and lack of clarity was raised by five interviewees. The extent to which knowledge of conservation accreditation had penetrated in the museums and archives arena was questioned, and confusion about what PACR represents was reported (and was apparent from some of the discussions). In particular, the distinction between programme-based qualifications and PACR as a practising qualification was not always understood, and there was also confusion between the coverage of PACR and that of the Fast-Track schemes. Five interviewees commented that PACR had been 'coloured' by Fast-Track, four in the context of less rigorous standards and one in respect of people being badly advised or turned down. One considered that while PACR represented a high standard, this was not generally appreciated partly because of past history and partly because of the presence of other accreditation schemes in the sector; in his view clarity would be difficult to achieve until a single scheme and designation was adopted. It was suggested that the Museums Association and National Council for Archives might provide good fora in which to promote PACR, while the hope was also expressed that the successor organisation to the Cultural Heritage NTO may take a more strategic role that could assist in promoting and further developing accreditation.

Three interviewees also commented about confusion at a practical level, particularly about the CPD requirements to remain accredited, an area where unfounded rumours had clearly been spreading. One commented that there was still a degree of mystery around PACR and associated CPD, requesting a session to explain what was needed to his staff and answer their questions.

Finally, three interviewees made comments relating to the future development of the standards. One simply included a request for clearer assessment criteria, while the others were interested in encouraging closer collaboration with CHNTO's successor.

Conclusions

The level of awareness and impact encountered is unsurprising given the recent introduction of accreditation and the limited resources put into promoting it.

The findings can be interpreted as indicating that accreditation is gradually gaining acceptance from employers, commissioning and grant-awarding organisations, and beginning to be a factor in decisions about contracting and funding. As the findings indicate, accreditation is likely to be less influential in recruitment both because of lower mobility among experienced conservators, and public-sector employers' reluctance to make a non-statutory qualification a condition of appointment. The intention of some organisations to require accredited status for leading grant-aided projects and contracted work points to accreditation becoming essential for perhaps a minority of conservators, a useful asset for many others, and possibly of limited value to some who have established institutional careers. At this stage it is probably difficult for most individual conservators and employers to assess the benefits of accreditation, particularly in the public and voluntary sectors; this is likely to contribute

to the costs of accreditation and accredited membership being seen as high, and to employers' reluctance to meet the full costs involved.

Overall, the findings appear to be positive given the current stage of development. They suggest there is a need to consider:

- More effective promotion - both to provide clearer information within the profession on the practicalities involved, to raise awareness among employers and client organisations, and provide them with accurate information about what PACR represents, how it is being used and the likely benefits.
- The extension of PACR into the preventive field, and to other aspects of conservation such as collections care management and conservation science. This suggests both a need for up-to-date knowledge of current and emerging roles in the wider conservation field, and critical thinking about the kind of practising qualifications, assessment processes and designations appropriate to them.
- Relationships between PACR and the wider field of conservation and restoration, including conservation technicians, the schemes run by organisations such as ABPR and BAFRA, and areas of work where a restoration ethos applies.

Participating bodies

Aberdeen University
Corporation of London Archives
Doncaster Museum
English Heritage
Glasgow Museums
Hampshire County Council
Heritage Lottery Fund
Historic Scotland (Ancient Monuments)
Historic Scotland (TCRE)
London Metropolitan Archives
Lyon & Turnbull
National Gallery of Scotland

National Museum of Scotland
National Museums & Galleries Merseyside
National Museums & Galleries Wales
The National Trust
The National Trust for Scotland
Natural History Museum
Perth Museum
Resource
Science Museum
Scottish Museums Council
Tate Gallery
Victoria & Albert Museum

NCCR Professional Accreditation of Conservator-Restorers

Practitioner survey 2002

Stan Lester
March 2002

Summary

A survey questionnaire was sent to over 700 practitioners of whom 10% responded. While a broad mix of accredited and non-accredited, private and institutional conservators responded, the survey is more useful as an indicator of perceptions than as a source of statistics.

Half of accredited respondents perceived current benefits from being accredited, and over 80% thought that there would be some advantages from accreditation even if they had not yet been realised. Current benefits were largely restricted to improved standing, rather than practical effects such as promotion, salary increases or getting more work. Most intending applicants also thought there would be benefits, particularly if they moved into private practice; on balance this group was more hopeful of practical gains such as getting work from clients and increased salaries.

Just over a third of non-accredited respondents did not intend to apply. Few of this group saw any advantages in accreditation. Other factors given as influencing the decision not to apply included the time, effort and cost involved, lack of appropriate routes (preventive and managerial conservators), and doubts about the credibility of accreditation. Time and costs were also the principal barriers identified by those who did intend to apply.

Issues highlighted by the survey include lack of promotion and publicity to employers and related professions; the lack of entry routes for conservators who do not work directly on objects; and negative perceptions and misunderstandings among practitioners, partly related to perceptions about the conduct of Fast-Track routes.

Introduction

As part of an outline evaluation of professional accreditation, a substantial sample of UK and Irish practitioners were sent a questionnaire asking principally about the impact, or (for non-accredited conservators) expected benefits, of accreditation. Recipients were given three weeks to return the questionnaire, but were encouraged to reply sooner. Circulation was based on the UK and Irish membership of the web-based ConsDir (conservation directory): a total of 777 emails were sent, of which 43 were undeliverable and two automated 'out-of-office' replies were received. Seventy-four questionnaires were returned by the closing date (22nd March), of which 71 were usable. Two further questionnaires, both from preventive conservators, arrived shortly after the closing date, and two text-only responses were received; these have not been included in the figures quoted, but their comments have been taken into account.

Given the relatively small response (around 10%), statistical inferences should not be made from the survey. While the distribution of respondents does not appear obviously skewed - there were for

instance a mix of professional body membership, accredited and non-accredited conservators, and a range of levels of experience and qualifications - it is impossible to tell whether and to what extent there are differences between people who returned the questionnaire and those who did not. The survey is therefore much more useful in indicating what benefits and barriers are perceived than it is in providing statistical data.

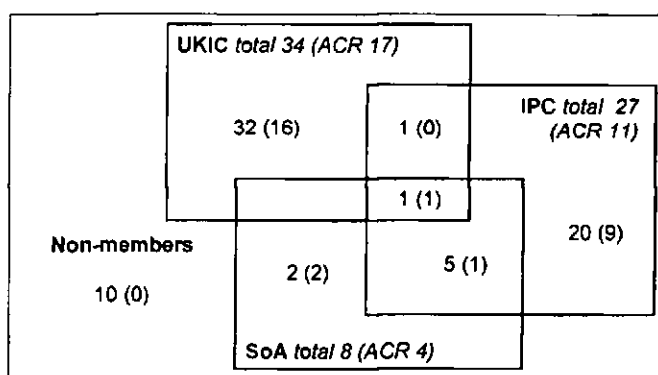
The respondents

Accreditation and professional body membership

Twenty-nine respondents (41%) were accredited (ACR), two via PACR and the remainder through Fast-Track. Sixty-one (86%) were members of one of the three accrediting bodies. Figure 1 below illustrates the split of respondents between the different bodies.

Figure 1. Respondents by professional body

(bracketed figures are ACRs included in the totals)



Location

All but three respondents were located in the UK. Fifty-three were located in England, four in Wales, 11 in Scotland, one in the Republic of Ireland, and two in the USA.

Specialisms

A wide range of specialisms were represented, the most common being: books and / or archives (21 respondents), art on paper (9), archaeology (6), stone (6), structural / wall paintings (6), and paintings (4). Ten respondents indicated that they were generalists, the majority as preventive conservators or conservation managers. Only in archaeology was there any apparent correlation with accreditation, in that only one respondent was accredited; no obvious reason was apparent, although three of the remainder were not intending to apply and were sceptical about the benefits.

Sector / Employment type

The distribution of respondents by sector, including the number of ACRs and numbers not intending to apply, is shown in Table 1 overleaf. The high proportion of private practice respondents who are ACRs is perhaps expected, and the low incidence of or interest in accreditation in the education sector also unsurprising. That five out of the seven non-accredited self-employed respondents do not intend to apply may be significant; four of these felt there were no significant benefits to be gained from doing so.

Table 1. Respondents by employment sector

Sector	All respondents	Accredited (% of respondents)	Not intending to apply (% of non-accredited)
Institutions	33 (46%)	12 (36%)	6 (29%)
Other public / voluntary	8 (11%)	3 (38%)	1
Education	7 (10%)	1	3 (50%)
Private practice, own business	20 (28%)	13 (65%)	5 (71%)
Private practice, employed	3 (4%)	0	0

Job role

Fifty respondents (70%) were practising 'object' conservators or restorers, twenty of these combining this with another role, principally preventive conservator (10), conservation manager (3) or both (6). Outside this group, the main roles were preventive conservator / conservation adviser (9), conservation manager (7) and lecturer / researcher (4). There were no significant correlations between role and accreditation or intention to apply, other than that only one of the four lecturer / researchers was accredited.

Length of experience

Forty respondents (56%) had over ten years' experience in conservation, and of these 73% were accredited. The remaining respondents were split equally between those with up to five years' experience, and those with between 6 and 10.

Qualifications

The highest relevant educational qualifications held by respondents are shown in Table 2 below. Over 80% had qualifications at higher education level, and nearly half of all respondents had postgraduate qualifications. Just over a third of respondents had more than one relevant qualification, most typically a first degree followed by a postgraduate award, or a further education award followed by a higher diploma or degree. A disproportionately low proportion (24%) of postgraduates were ACRs, but this was partly explained by the postgraduate respondents being on average less experienced than other groups: 40% had no more than five years' experience and only 35% were likely to have been eligible for Fast Track.

Table 2. Respondents' highest relevant qualification

No formal qualifications	Further education	Related prof qualification*	Higher diploma	First degree	Postgraduate degree or diploma
2 (3%)	10 (14%)	3 (4%)	7 (10%)	14 (20%)	35 (49%)
		<	< (graduates 69%) >		>
			(higher education or equivalent 83%)		>

* respondents without higher education qualifications only

ACRs' perceptions of accreditation

Of the 29 accredited respondents, 15 saw accreditation as having had benefits and 14 as having produced no benefits. Of those having seen benefits already, over half thought there would be further advantages in the future. Encouragingly, two-thirds of the 'non-benefitting' group thought that there

would be some benefits in the future; overall, out of the 29 accredited conservators, less than a sixth thought accreditation would be unproductive in the longer term.

From the categories given on the questionnaire, all but two of the respondents who indicated current benefits selected 'helped improve your standing with your employer, clients or members of other professions.' Two additionally selected 'helped in career progression, promotion / upgrading or obtaining work from clients,' and one selected this category alone. Four identified other benefits, including cheaper insurance and focusing on training and career needs.

Comments relating to lack of benefits centred on lack of recognition and knowledge about accreditation from employers and clients. A fairly representative comment was:

"Little is known about (accreditation) by employers or other professional groups... I have tried to explain its significance to my employers but there is little interest."

(generalist conservator, institution)

Five respondents commented particularly on the need for further promotion and publicity to create benefits from accreditation, for instance:

"The conservation bodies have not been lobbying the employers or museum bodies and have been a disappointment... we need to be very proactive for the profession to be given the recognition it deserves."

(conservation lecturer)

Two respondents complained about the increased subscription for apparently no benefit, and one about paying for additional insurance through IPC which duplicated their existing insurance.

Future benefits were largely seen as occurring parallel with increased recognition of accreditation from employers and clients. Potential pressures were seen as coming from grant-awarding bodies, major commissioning bodies and insurers, with three expecting accreditation to become a standard requirement in the future; one respondent had personally advertised for two ACRs, and another stated that his employer would increasingly be looking for ACRs for senior posts. The main benefits expected were improved recognition and standing (5 respondents), greater attention given to training and CPD (two), better protection for the public (one) and increased salaries (one). Five respondents viewed accreditation as likely to be necessary or expected for access to work from museums, insurance companies and grant-awarding bodies.

Finally, two respondents commented on factors that in their view are hindering the credibility of accreditation:

"Accreditation has not improved professionalism, as it was wholly undervalued by... recognising too many unqualified people."

(structural / wall paintings conservator, private practice)

"There is... a general feeling amongst colleagues who did not go through the fast track process that fast track accredited anyone who applied, whereas the process now (and quite rightly) is much tougher. This has in effect created a two-class accreditation system."

(stone conservator, institution)

Intending applicants: benefits and barriers

Of 42 non-accredited respondents, 25 (60%) indicated that they intended to apply at some point in the future: four in 2002, nine in 2003, four in 2004, six in 2005 or later, and two unsure about when. The majority of intending applicants would have between four and eight years' experience at the time of application; two may have less than this, and five would have over eight years.

Four-fifths of intending applicants (20 respondents) expected benefits from accreditation. All but one of these selected either 'career progression, promotion / upgrading or obtaining work from clients' (17 respondents) or 'help improve your standing with your employer, clients or members of other professions' (13), and the other added 'will look good on my CV' (archaeological conservator, employed in private firm). Of the remaining five, four selected 'no positive benefits, but will be expected in your area of conservation,' and one didn't anticipate any benefits but was expected to apply by her employer.

Seven respondents commented about benefits. All but one saw accreditation as providing benefits when, or should, they move into private practice (all were currently employed). This included a conservator who was intending to move to the USA to set up a private practice, commenting that:

"While institutional conservators may not recognize or fully understand the credential, American clients most certainly will." (ceramics & stone conservator, educational institution)

Although one respondent intended to apply for a salary increase on the basis of accreditation, there was a common view that accreditation was less recognised and therefore less of an advantage in the public sector than in private practice.

Intending applicants were roughly equally split on whether they perceived barriers to becoming accredited. Twelve identified barriers, of which the most common were putting aside the time (7) and financing the fee (4). Other barriers included the difficulty of developing a wide enough range of skills in a career consisting of short-term contracts, the problem of not doing hands-on conservation work (from a conservation adviser and manager), and the perceived barrier of having changed specialism and not having the recognised training. One respondent, a mature entrant who had completed a master's degree, was under the impression that ten years' experience was needed to apply and saw this as meaning she may not achieve accreditation before retirement; she commented that:

"there is no professional category 'licentiate' or 'associate' to indicate someone who is trained but still working towards the experience required for accreditation; one is without any professional status at all in the eyes of the outside world... a discouraging state to be in."
(book conservator, employed in private practice)

Finally, an experienced conservator with postgraduate qualifications was discouraged to an extent by needing to join one of the professional bodies, and also had concerns that "some people are accredited via fast-track who should not be" (paper conservator, institution).

Non-applicants: reasons and barriers

Of the 42 non-accredited respondents, 15 (36%) stated that they were not intending to apply. Eight of these were not members of any of the accrediting bodies, accounting for all but two of the non-

member respondents. Not unsurprisingly, only three non-applicants saw benefits in being accredited. Benefits that were identified were possibly cheaper insurance, improved standing and career progression, and (at a general level) public protection.

The factors given as influencing the decision not to apply were:

Not perceiving any benefit or value: a primary reason for nine respondents, including a US-based conservator and an art historian. Three respondents commented that they saw no need to prove their credentials, and one suggested that accreditation should be principally for practitioners without formal qualifications.

Perceived lack of credibility of accreditation: a primary factor for two, and contributory for one. Two comments related to people having been accredited who, in the respondents' views, should not have been, viz.:

"I... find others accredited in the book field who are less than capable and this reduces the worth of such accreditation." (conservation manager, institution)

"...the fast track system validated numerous practitioners with very tenuous claims to professional conservation. Consequently I do not aspire to accreditation, and I do not regard accreditation as an indicator of professional excellence." (structural / wall paintings conservator, private practice)

Lack of an **appropriate route**, given as the primary reason by two:

"there are no criteria for... Preventative Conservation, this is despite a number of Preventative Conservators being initially accredited under the fast track scheme. Not only is this a huge disappointment... it also makes one feel less connected to the UKIC as our professional Conservation body." (preventive conservator, private practice)

"one of my main jobs is to be capable of evaluating the work needed and hire specialists to do it. At the moment, I believe that even if I was interested I could not be accredited as as UKIC sees it, it is all to do with bench skills." (conservation manager, private practice)

Both of the late responders were also preventive conservators. One wanted to apply but expected to encounter obstacles, while the other commented:

"As a preventive conservator, I have been advised not to apply... it was explained to me that accreditation was mainly related to practical conservation, and that preventive conservation was not accredited. I find (this) very marginalising of the growing number of specialist preventive conservators." (preventive conservator / conservation lecturer)

In addition an accredited respondent commented:

"I know of a number of conservators who missed the fast track process and are now unable to apply... because there are no assessors available to deal with preventive and more managerial conservators. This has totally disillusioned some of my colleagues and undermines the whole process." (stone conservator, institution)

The **amount of work and time** involved, given by five as a barrier or contributory reason. Two of these also referred to the complexity of the application process.

The **cost of accreditation**: given by two as a primary reason, and two as contributory. One of the former commented that the increase in cost compared with Fast-Track was iniquitous.

The **cost of ongoing membership**, given by two as a contributory reason.

Doubts about the **process**:

"My application for Fast Track was turned down because my sponsors failed to meet the deadline. I do not wish to spend months preparing for accreditation, only to have the application thrown out again because of a small technicality rather than judged on my experience and expertise as a conservator." (archives conservator, private practice)

With the exception of the preventive conservators, the overall picture from non-applicants is of scepticism about the benefits of accreditation outweighing the costs and efforts, together with a minority view that sees accreditation as having been pursued in the wrong way.

Conclusions

The emphasis currently placed on less tangible and longer-term benefits such as improved standing and increased professional status suggest that accreditation is largely perceived as potentially beneficial, rather than as having had a directly practical impact. This fits with the profile of a professionalising occupation where there is an incremental increase first in the regard in which the profession is held, then in the practical rewards that follow. At present practical benefits largely need to be taken on trust, a factor that makes it easy for practitioners to perceive a negative cost-benefit equation if they, or their institutions, are already sceptical about accreditation.

The survey raises perhaps four general issues about accreditation. The need for better promotion and publicity to employers, client and funding bodies, related professions and perhaps insurers is widely accepted and needs no further elaboration. However, some responses indicate confusion on the part of some practitioners about what accreditation is, who it is for, and what it is setting out to do; in particular there appears to be a need to reinforce ACR status as a practising credential based on public criteria (as opposed to a substitute for an academic qualification or a special class of membership). Not unrelated to this, there is still an issue of credibility relating to perceptions about Fast Track accreditation, both in terms of apparent lack of rigour in some areas and perhaps to a lesser extent concerns about the fairness of procedures. Finally, the lack of suitable routes for preventive conservators and conservation managers is widely recognised; comments from the survey suggest that early remedial action is needed if this is not to further affect credibility.

B. Accredited conservator-restorers

7 Which body and scheme are you accredited through?

- Fast-Track: ¹⁰¹ UKIC ¹⁰² IPC ¹⁰³ SoA
- PACR (in 2000 or later): ¹⁰⁴ UKIC ¹⁰⁵ IPC ¹⁰⁶ SoA
- ¹⁰⁷ Other (please state which body):

¹⁰⁸⁻¹¹⁹ Other:

8 Are you a member of any conservation / restoration body other than the one(s) you were accredited through?

¹²⁰ no

other UK or Irish body: ¹²¹ one ¹²² more than one

international or non-UK/Irish body: ¹²³ one ¹²⁴ more than one

9 In your view, has accreditation:

¹²⁵ helped improve your standing with your employer, clients or members of other professions

¹²⁸ helped in career progression, promotion / upgrading or obtaining work from clients

¹²⁷ provided any other benefits (please explain)

¹²⁸ not provided any benefits (please explain)

¹²⁹⁻¹⁶⁰ Further information:

10 In the future, do you expect accreditation to provide benefits other than any you have mentioned above?

¹⁶¹ yes ¹⁶² no

^{163 - 199} Further information:

Finally

Thank you for answering this questionnaire.

Please return it by email to pacr@devmts.demon.co.uk, or fax to 01823 352339, not later than 22nd March. In case of difficulty please ring 01823 333091.

C. Non-accredited conservators

11 How long have you been practising in conservation or restoration? (exclude time on college or university courses, but include internships, sandwich years etc)

²⁰¹ less than a year ²⁰² 1-2 years ²⁰³ 3-5 years ²⁰⁴ 6-10 years ²⁰⁵ over 10 years

12 Do you intend or anticipate applying for PACR accreditation?

²¹¹ yes in 2002 / have applied ²¹² in 2003 ²¹³ in 2004 ²¹⁴ in 2005 or later ²¹⁵ no

If 'yes,' with which body? ²¹⁶ UKIC ²¹⁷ IPC ²¹⁸ SoA

If you do not anticipate applying, please give any reasons you have

²²¹⁻²⁴⁰ *Reasons:*

13 Have you found, or do you expect to find, any barriers or problems in becoming accredited?

²⁴¹ yes ²⁴² no

If 'yes,' what barriers / problems?

²⁴³⁻²⁷⁰ *Barriers / problems:*

14 Do you expect accreditation:

²⁷¹ to help improve your standing with your employer, clients or members of other professions

²⁷² to help in career progression, upgrading or obtaining work from clients

²⁷³ to provide any other benefits (please explain below)

²⁷⁴ not to provide any positive benefits, but to be expected in your area of conservation

²⁷⁵ not to provide any benefits at all

²⁷⁶⁻²⁹⁹ *Further details:*

Finally

Thank you for answering this questionnaire.

Please return it by email to pacr@devmts.demon.co.uk, or fax to 01823 352339, not later than 22nd March. In case of difficulty please ring 01823 333091.

NCCR Professional Accreditation of Conservator-Restorers

PACR: issues post-Round 2

Stan Lester

April 2002

Summary

PACR has now been in operation for two years, and 28 practitioners have been accredited through it. It appears to enjoy a reasonable level of awareness from practitioners and stakeholders given the low level of formal promotion, though understanding about what it represents is less widespread. Areas that would benefit from attention include:

- clarity about the scope and coverage of the conservation profession
- clarity about the positioning and role of PACR and of ACR status, including in relation to academic qualifications and registers of practices; its role in the longer-term development of the profession also needs to be considered
- the coverage and nature of the professional standards, including extension to preventive and similar roles
- the assessment strategy, with a view to refining the approach and ensuring it meets the range of applications required
- feedback processes, particularly from and to candidates and to assessors
- support for candidates.

Development towards a common accreditation framework across NCCR may suggest some changes such as including the context of the assessment and supporting optional assessment in business practice to meet the requirements of registers of practices. However, this needs to be set in the context of the longer-term development of the conservation profession and need for systems that promote and support the care of cultural heritage.

Introduction

This discussion paper briefly reviews the current position of PACR in the context of the conservation community, and goes on to examine six areas: the scope of the profession, the positioning of (P)ACR, professional standards, assessment strategy, feedback to assessors and candidates, and support for candidates. It is intended as a review of principles underlying PACR rather than either a formal evaluation or a detailed discussion of implementation practice. While it has been written recognising the possibility of a common accreditation framework being developed across the NCCR member bodies, it does not assume this will be the case.

1. The current position

At the present time professional accreditation has been in operation in the PACR accrediting bodies for three years, with a total of 627 conservators having achieved accredited status. Including the JAG trials, 48 assessments have now been conducted using the PACR methodology; 33 candidates have

undergone assessment in the two rounds of PACR, of whom 28 have so far been accredited. This short history does not allow sufficient time for accreditation to have become ingrained in the consciousness of the profession, and even less its external stakeholders; consequently a comprehensive evaluation is unlikely to be meaningful at present. Feedback has however been gathered through implementation briefings, from assessors and committee members, from a questionnaire survey and from discussions with stakeholders, and some fairly consistent messages emerge.

Given the relative newness of accreditation and low level of promotion, it appears to have attracted a reasonable level of awareness from stakeholder organisations as well as practitioners. Little confusion appeared to be caused by the presence of alternative accreditation schemes, although some comment was made on the need for a single designation across the profession. Smaller employers and client organisations, including small museums and private sector clients, appear much less likely to be aware of conservation accreditation than are the national and regional institutions and agencies. Some hopeful signs are emerging that accreditation is gaining recognition in larger organisations and beginning to enter thinking about contracting, grant-awarding and recruitment decisions. Some employers are giving financial and other support to accreditation candidates, although more could be done in this area to ensure that support is on a par with that for other professional qualifications.

Practitioners do not as yet appear to have gained any significant benefits from accreditation, other than perhaps from perceived status as what might tentatively be described as a 'proper profession' rather than a loosely defined occupation. Support for accreditation is therefore perhaps best described as stemming from anticipated benefits and from more general identification with accreditation as a positive step for the profession as a whole and for the preservation and care of cultural heritage. From a more cynical viewpoint, the cost-benefit equation for accreditation is therefore easy to interpret negatively, and except where organisational or client factors provide incentives, it is not difficult for practitioners to maintain an indifferent stance.

There is confusion among some practitioners and stakeholders about what accreditation actually represents in terms of coverage and level of proficiency, as well as where it fits among other markers of training and competence such as academic qualifications, the Conservation Register and other registers of private-sector practitioners. There is some evidence that Fast Track accreditation has queered the pitch to an extent, with a small proportion of stakeholders and practitioners having misperceptions or negative views brought about by the earlier processes. Lack of access to accreditation for conservators who do not work directly on objects is becoming perceived as a significant shortcoming by some employers and agencies as well as by the practitioners themselves.

Operationally, many of the issues encountered in the first round proper of PACR are being overcome, and the level of discussion about accreditation is moving forward as practical knowledge is being built up and shared. Issues remain about improving the standard and efficiency of assessment, improving communications, and ensuring effective channels for feedback between the different parts of the system. While the professional standards are causing less problems now that they are better understood, they are due for review and also need to be considered in the light of incorporating a wider range of conservation roles. Support for candidates also requires attention given the limited

number of people with a good knowledge of the PACR system and presence in both rounds to date of candidates who have been poorly prepared.

2. The scope of the profession

Part of the process of professionalising involves gaining agreement on the scope and approximate boundaries of the profession. Movement towards mapping conservation can be traced from definitions of art restoration from the 17th century and earlier, through to current statements such as the ICOM-CC definition, ECCO guidelines, and at a detailed level the MTI and FULCO standards, and PACR itself. Scoping is central to accreditation, because without a common understanding of the scope of the profession (or the part of it to which accreditation applies) there is no clear boundary to what is and is not accreditable, and it becomes difficult to convey what accreditation represents. The scope of any profession is subject to change over time, but at any given point a relatively clear idea is needed about the profession's nature and coverage. Conservation is perhaps more difficult to reach agreement on than is the case in some other areas, partly because of factors such as the wide range of materials-based specialisms within conservation, overlapping boundaries with restoration and craft work (with different interpretations in different specialisms), and the variety of conservation roles.

As a starting-point, it may be productive to consider:

- The **ethos** captured in the profession. The ICOM-CC and ECCO work is influential, but it may also be appropriate to consider, for instance, what differences might apply in specialisms where functionality is a principal requirement (e.g. engineering, buildings, furniture).
- The **breadth of roles** covered by the profession. On the one hand this suggests revisiting boundaries between craft work, restoration and interventive conservation, and on the other considering how the profession embraces areas such as preventive conservation, preservation / collections care management, and possibly conservation science - as well as those conservators who advise on treatments or manage 'hands-on' conservators, but do not undertake interventive work directly.
- Whether and how different **roles and levels** are captured in the way the profession is described. This might include, for instance, discussion and agreement on ideas such as conservation technicians, professional conservators and possibly 'associate professionals' in the sense of practitioners who are between initial training and accreditation.
- How **conservation specialists within other occupations** can be recognised - e.g. architects, engineers, surveyors, chemists, materials scientists, stonemasons, builders, furnituremakers, etc. A distinction might be made between the conservation *profession*, to which accreditation is applicable, and the wider conservation *community*.

Greater agreement in these areas is likely to make it easier to clarify the scope of accreditation, and any supplementary measures that may be needed such as accreditation categories or recognised technician qualifications.

3. The positioning of PACR / ACR

The positioning of PACR rests partly on how the profession's boundaries are viewed, as discussed in section 2. Any lack of clarity about positioning will hinder effective promotion both within the profession and to employers, clients, funding bodies and others who have an interest in professional conservation work. Clear positioning is also central if it is intended to work towards a unified system of accreditation in conservation.

Current feedback suggests that positioning is not as clear as it could be, either in terms of what it represents functionally (i.e. what an accredited person should be able to do), or in the sense of where it fits in the training and qualification of practitioners. The functional issue is largely an extension of the discussion in section 2, and involves consideration of factors such as whether there need to be separate routes or classes of accreditation for different conservation roles, and whether (for interventive conservators) there is benefit in stating the specialism(s) or context in which the practitioner was assessed, without necessarily following the pattern adopted by ICHAWI of predefining specialisms.

Positioning in terms of stage in practitioners' processes of developing and qualifying might also benefit from being made clearer. Feedback suggests that accreditation is still being seen by some as another form of registration, an alternative to an academic qualification (with the perception that it should not be necessary for the academically well-qualified), and as an elite category of membership. More explicit positioning as the final stage of gaining fully qualified status may assist in overcoming these misunderstandings. A possible approach to describing this might be:

Professional accreditation is the final stage in qualifying as a professional conservator-restorer, parallel to the professional practice examination or practising certificate in some other professions. Accreditation will increasingly be expected of all conservator-restorers who have reached the appropriate point in their careers, and is required of heads of conservation practices for admission to the Conservation Register. Accreditation is distinct from registration - it is a personal qualification and does not make a statement about the accredited person's studio, workshop or business.

Depending on the practitioner's specialism and stage of career at which accreditation is sought, a candidate for accreditation is likely to have one of:

- a) a first and a postgraduate degree in conservation, or an extended master's degree, plus three to five years' further relevant experience
- b) a first degree or higher diploma in conservation, plus at least five years' relevant experience
- c) eight to ten years of relevant experience, backed by structured training at college or in a studio or workshop supervised by an accredited conservator-restorer
- d) a verifiable record of at least ten years practising as a professional conservator-restorer.

In the majority of specialisms it is expected that (a) and (b) will become the primary routes to accreditation, and (c) and (d) will provide exceptional entry routes for mature candidates or in specialisms where university-level education does not exist.

A longer-term view also needs to be kept in mind where the establishment of conservation as a credible profession - potentially with chartered status - will require demonstration of at least graduate-level understanding coupled with the type of professional practice proficiency and ethics associated with PACR. A future 'chartered conservator-restorer' or equivalent is therefore likely to need both a graduate or postgraduate qualification and the practising qualification currently represented by PACR. In the future this points to greater involvement of the professional bodies with educational institutions, as well as potentially with encouraging the development of routes to academic qualifications for experienced practitioners. In the shorter term it supports the positioning of PACR as a post-experience practising qualification as described above.

Finally, the rather general term 'accreditation' has been used unquestioningly to denote the process and credential represented by PACR. A recent review by the Qualifications and Curriculum Authority identified that it has at least six different meanings in relation to qualifications and assessment, and another, more descriptive term such as professional practice assessment may be worth considering. The question of a free-standing certificate might also be considered in this context, so that for instance professional practice assessment leads to the award of a non-revocable certificate of professional practice or similar, which provides entry to ACR status.

4. The professional standards

Professional standards are a formalised and static expression of 'good' professional work and conduct, that stem from an understanding of the coverage and ethos of the profession. The kind of standards used in PACR reflect views of what the profession is (see the discussion in section 2), and the standards and ethics of work within it. When applied via 'entry-gates' such as PACR they exert a subtle influence on the shape of the profession, to a much greater extent than do for instance the majority of occupational standards as used in NVQs. The kind of decisions expressed through the standards - representing what conservation is, and what constitutes good conservation work - need to be robust, as they are effectively attempting to define practitioners' professionalism, and therefore put in a position where they are open to challenge.

The JAG project that produced PACR did not allow for developing new professional standards, and the current standards were quickly cobbled together from MTI and FULCO with some adaptation (e.g. to simplify structure, remove unnecessary statements and improve clarity), but there was minimal additional research about how well they fitted their intended purpose. The forthcoming standards review might therefore usefully look at what conservation work involves in practice, how functions group together in the actual and emerging roles of practitioners, and how conservation work can be expressed in a way that is valid across the different specialisms - as well as being clear about the qualitative standard of work expected of a professional conservator. The statements as used in the PACR specification also need to be clear about what candidates are expected to demonstrate, and the standards (i.e. qualitative levels of judgement) that assessors will assess to.

In the early stages of implementation there were requests from some assessors for detailed discipline-specific checklists relating to practical skills, for instance as used by BAPCR and BAFRA. The need for these does not appear convincing following the first two assessment rounds, and interest in them appears to have decreased. Contextual interpretations of what is currently area 3 of the standards could result in more consistent assessments and a clearer basis for discussion between

assessor and candidate, but they could also produce a narrower approach to assessment particularly if they specify detailed techniques. Further exploration of this area may be appropriate as part of the standards review, particularly if there is a positive outcome to NCCR's exploration of a common accreditation framework.

In terms of structure of the professional standards, the extension of PACR suggests revisiting the question of whether a 'core and options' structure is appropriate, or whether routes need to be specified for particular roles. There are dangers in taking either approach to its extreme, in that specified routes can assume a uniformity to roles that don't exist in reality, and therefore lead to pressures for an ever-increasing number of routes; while on the other hand the core and options approach can lead to vagueness about what is being accredited as well as to inappropriate 'one size fits all' professional standards. Part of this debate is linked to whether there is any desire to formalise different roles within the profession into categories of accreditation or membership.

Since the inception of PACR there have been various views expressed on whether or not the professional standards should be developed in partnership with the sector standards body (until recently CHNTO). Despite efforts towards co-operation from within both CHNTO and NCCR, the dominant view has tended towards development independently of CHNTO. At the current time the need to extend PACR is likely to outweigh any considerations about waiting for the new sector standards body to complete its standards review. For the longer term, it might be considered whether it is appropriate to work towards convergence (or at least create transparent links) between PACR and the sector body's occupational standards, or whether it is appropriate for the conservation professional standards to develop along separate lines.

5. Assessment strategy

The assessment methods currently used in PACR were developed through consultation and trialling during the JAG project. In summary, they were regarded more valid than indirect methods of assessment such as written assignments or examinations, and more robust and acceptable to practitioners than asking for portfolios of documentary evidence. On the other hand, experience with assessment suggests that there are potential issues concerning the length of assessments, continuing with a full visit when there are early indications of problems, and in some cases consistency of standards and approaches between assessors. When PACR is expanded beyond conservators who work directly on objects, the proportion of evidence that needs to be examined *in situ* may be less, suggesting a potentially different balance of methods within the overall assessment strategy.

With further experience, different and possibly more varied approaches might be taken to assessment depending on what is appropriate in different cases. Some of the possibilities include:

- A document-based preliminary assessment ('part 1 assessment') that has to be passed before the main visit. This may be an extension of the current accreditation committee role of scrutinising applications and advising the candidate, but with explicit criteria and the possibility of rejecting or referring the application at that stage, and possibly with a requirement for fuller explanations of the projects put forward or a limited amount of supporting evidence. If this approach is adopted,

care is needed to focus on practical rather than presentational criteria, beyond the obvious need for clear communication and accurate records.

- Use of 'professional' secondary assessors to reinforce consistency. A small number of assessors might be recruited who would between them cover all the assessments, accompanied by appropriate primary assessors as at present. These assessors might also sit on the accreditation committees, playing an active role for assessments they were not involved in, and responding to any queries on their own assessments.
- Agreement between candidate and assessors of what will be available on the day before it is agreed that the visit will go ahead. While there are often valid reasons that evidence is not available for all the projects described in the application, it may prevent wasted visits if the assessors are able to agree in advance that there is sufficient quantity of evidence available.
- Use of off-site locations where it is not relevant to visit the candidate's place of work. Some advisers and managers may be able to assemble all the relevant evidence for a meeting at an agreed location to reduce travel.
- Inclusion of a category of 'insufficient evidence to make a decision' to be used both by assessors and accreditation committees. This will avoid the need to 'fail' a candidate under these circumstances (and therefore incur an appeal), and allow the committee to decide whether the candidate could remedy the situation by sending documentary evidence, needs a limited further visit by a single assessor, or requires full reassessment.

Whatever modifications are made, it is important to ensure that assessments follow general good practice and are *valid* both at a surface level (assess what it is intended to assess, and no more) and at a deep level (reflect what is actually needed in professional practice), *consistent* (apply the same standards to all candidates, regardless of assessor or the candidate's context, specialism or role), *robust* (result in trustworthy decisions about candidates' proficiency and professionalism), *fair* (do not impose barriers on candidates that aren't justified by the criteria being assessed), and cost-effective.

6. Feedback, complaints and appeals

The first two rounds of accreditation brought to light weaknesses in the processes for giving feedback to candidates on their results, monitoring and giving feedback to assessors on their assessments, dealing with feedback and complaints from candidates, and handling appeals.

Feedback to candidates currently takes the form of the assessors' comments on the application form, and a letter from the professional body should the candidate have been referred or unsuccessful. In some cases making the assessors' comments open to the candidate appears to have inhibited clarity, and in at least one instance provoked an argument during the assessment about what was being written. This level of openness requires a professional and direct approach from the assessors; the preferable course of action is to be to maintain the current approach but improve assessors' confidence and comments. If problems continue to be encountered an alternative might be that assessors report only to the accreditation committee, but candidates receive a summary on each area of the professional standards after a decision has been made.

Feedback to assessors is currently only provided at a general level, e.g. through updated documents and through the annual review conference. This provides little opportunity to draw weak areas to individual assessors' attention, or deal with more serious complaints other than by quietly dropping the individual from future assessments. A more open and informed system of feedback might be adopted, for instance drawing on accreditation committees' feedback on assessor comments and judgements (e.g. inconsistencies between comments and grades), candidate feedback, and possibly self- and peer- review by pairs of assessors, possibly according to a standard format. Accreditation committees might also consider not giving new assessors primary assessor responsibilities for their first assessment (unless perhaps accompanied by a highly experienced secondary). The question of accrediting or validating assessors might also be revisited.

The official route for feedback from candidates is currently to the accreditation committee, which may inhibit candidates from providing honest feedback about their assessments. It is likely to be fairer and more productive to request the candidate to provide (a) any comments that s/he wants to be taken into account in the accreditation decision, made to the accreditation committee, and (b) any comments about the process, assessors / accreditation committee, or the paperwork, made to an independent party such as the PACR co-ordinator or training officer, who can then feed back any information anonymously.

Finally, while a process is documented for making appeals, there is no guidance on how to handle an appeal and what criteria should operate, and this could usefully be developed and added to the accreditation committee document.

7. Support for candidates

Some PACR candidates have been poorly prepared for assessment, and in some cases appear to have been misadvised possibly by sponsors and colleagues who may be basing their advice on the fast track processes. Although workshops and clinics were offered to candidates in 2000-01, mentor support has been lacking and there is no central source of potential mentors. While this is currently problematic given the small number of people who have been through PACR, candidates need to be made aware of the differences between PACR and fast-track, and the benefits of advice from a successful candidate or possibly an assessor. In the medium term, a list of potential mentors might be set up, drawn from successful candidates, trial assessors, and others with a good knowledge of the system but who are preferably not current assessors.

National Council for Conservation-Restoration

Towards a common accreditation framework summary from the accreditation focus meeting, V&A 22.5.02

Stan Lester
May 2002

Summary

The participants agreed that it was feasible to work towards a common NCCR accreditation framework, and sufficient points of principle were agreed to enable a specification and action plan to be drawn up. The framework initially assumes that the current accreditation systems will operate within it to common standards and principles, and with parity of recognition. Subject to agreement by the accrediting bodies, it appears feasible to have common principles in place by September 2002, a professional standards framework by December or early 2003, and the full framework in operation by Spring 2003.

Participants

Mike Barrington - BAFRA	Lizzie Neville - PACR Co-ordination
Kate Colleran - IPC	Jane Pudsey - SoA
John Kelly - ICHAWI	Stuart Sanderson - BAPCR
David Leigh - UKIC	Trevor Waddington - BHI
Stan Lester - chair / consultant	Alexandra Walker - BAPCR
Ian Moor - PhMCG	

Introduction

The meeting was convened in order to examine the possibility of a common accreditation framework, following on from the proposal by NCCR Council members to explore the feasibility of forming a single conservation-restoration professional body.

The meeting's specific objectives were to (a) reach agreement on an accurate representation of the current accreditation systems - and therefore the important similarities and differences between them; (b) identify the main things that the conservation / restoration profession needs to achieve through its accreditation framework (including any requirements specific to particular parts of the community), and (c) make a start for a 'specification' for an accreditation framework that meets these needs, and identify some options for ways forward. The development of an outline action plan was added.

These notes are not a detailed record of the discussion, but summarise the main points of agreement and issues to be resolved.

1. Similarities and differences

The four current conservation-restoration schemes (PACR, BAFRA, BAPCR and ICHAWI) were recognised as representing extensive work and accumulated experience, which could be built upon in the development of a common accreditation framework. BHI operates an accreditation system that is not specifically conservation / restoration based, and it was recognised that further discussions would be needed to bring BHI into the NCCR accreditation framework.

The meeting indicated that it would be feasible to work towards a common accreditation *framework* in the short to medium term, potentially with practical results in place by early 2003. Participants were less comfortable with working towards a common *system* in this timescale, given the differences in purpose, practices and operational detail between the current schemes. Features of a common system would be more likely to evolve as joint practices emerged and trust was built up between the various practitioner communities about the detail and operation of the various schemes.

Key differences between current schemes (see the appendix for more detail) centred on:

- purpose (particularly whether accreditation also served as registration as a firm or business principal), and associated with this whether professional proficiency only, or professional proficiency, business practice and studio or workshop facilities were assessed
- coverage: most obviously in terms of the difference between specialist schemes and those open to any conservation-restoration discipline; beyond this, a broad consensus was becoming apparent concerning the boundaries of the conservation-restoration profession
- the professional standards, in particular the presence of detailed discipline-specific criteria in the specialist schemes, and the extent to which requirements for practical skills were made explicit
- differences in operational practices and cost structures.

There was a lengthy discussion on the relative functions of (personal) accreditation and (business) registration. While agreement was reached on what was appropriate for each to cover (see section 2), opinions differed whether specialisms should be stated on accreditation or registration or both, and the extent to which the disciplinary context of the accreditation assessment should influence the specialisms that practitioners could be registered under. It was generally agreed that this issue was concerned with providing accurate information to potential clients, but views varied on what it was feasible for professional bodies to control and what needed to rest with the professionalism of the individual.

Current systems were felt to be potentially in competition, particularly where practitioners had a choice and would compare costs, perceived ease of achievement, and likely benefits. It was felt that a common framework would not resolve this until it had also taken on more of the characteristics of a single system, including comparable cost structures and assessment processes.

Overall, there was sufficient agreement to enable the principles of a common framework to be agreed (see section 2), as well as some longer-term goals for future development. The framework was

thought worthwhile and achievable whether or not a single conservation-restoration body emerged from the discussions in NCCR.

2. A joint accreditation framework: outline specification

The following requirements were agreed as the basic specification of a joint framework. 'FUTURE' indicates an aim or aspiration that it was felt could not be achieved immediately, but was seen as a target to work towards. I have added 'ACTION' at the end of each section to indicate the output needed for each aspect of the framework (not including 'future' aims) to be realised, along with a proposed timescale for each action.

(a) Function and designation

Clear distinction between *accreditation* as a personal qualification, representing professional proficiency including essential self-, project and workflow management, and *registration* as a firm or business principal and the associated assessment of business practices and studio / workshop facilities. While practitioners should have the opportunity to achieve accreditation without registration, it should be permissible to combine both in the same assessment where this is relevant and practicable (e.g. as currently done by BAFRA).

A common designation as a qualified practitioner, e.g. ACR, in addition to the appropriate class of membership of the accrediting body (as is currently done in the 'PACR' bodies, and in engineering). This need would disappear if a single institute is formed.

Acceptance of the status of practitioners currently accredited by the six accrediting bodies, i.e. no need for current ACRs or accredited members of BAFRA, BAPCR or ICHAWI to undergo further assessment in order to be considered qualified under the common framework.

ACTION:

(A) A joint statement reflecting the above, approved by the accrediting bodies and NCCR. *By September 2002 (accepting that formal approvals may be later).*

(b) Coverage and entry requirements

Taking the framework as a whole, accreditation to be available to all practising conservator-restorers, including preventive conservators, collections care managers, and restorers who work to a conservation ethic. A conservation ethic should be required across all schemes within the framework, with acceptance that candidates need not work exclusively in conservation-restoration. (Note: the position of managers was not discussed, but it is probably safe to assume that conservation managers should only be accredited if they can demonstrate appropriate conservation skills, whether in the treatment or preventive fields).

No compulsory requirement for academic or other qualifications - though recognising that in some disciplines the normal entry route is now via degree or postgraduate qualifications.

FUTURE A common entry standard or recommendation for pre-accreditation experience.

ACTION:

(B) A statement of coverage of the joint framework and the individual schemes. *By September 2002.*

(c) Professional standards

A common framework of professional standards, underpinned by common ethical / practice principles. The standards and their interpretation must maintain a high practical standard of work as required by each conservation-restoration discipline or practitioner community; where practitioner communities judge it necessary, the standards may include detailed requirements or guidance in order to interpret the standards into the relevant discipline or specialism.

ACTION:

(C) A common framework of professional standards applying across the framework, to which accrediting bodies may add their specific criteria or guidance. *By December 2002 or early 2003.*

(d) Assessment and accreditation

Common principles to apply to the assessment and accreditation process:

- the application, assessment and accreditation process must be fair and transparent
- the assessment and decision-making process must be valid and robust
- appropriate checks and balances - such as verification, moderation and appeals processes - included to ensure that the above principles apply in practice.

FUTURE A common approach to assessment and accreditation processes and practices to be developed across the profession.

Common standards of assessment to be applied across the framework, backed by common guidance, benchmarking and shared practice.

FUTURE Common assessor training and updating, leading to a shared pool of assessors.

ACTIONS:

(D1) A common statement of assessment and accreditation principles backed by associated guidance, to be interpreted into specific practices by the accrediting bodies. *By December 2002.*

(D2) Practical processes agreed and operating between all the accrediting bodies to achieve benchmarking and shared practice. *By early 2003.*

(e) Ongoing requirements

Requirements for accredited practitioners (a) to practise in accordance with a code of ethics and practice, and (b) to take responsibility for personal updating and ongoing development.

FUTURE A common code of ethics / practice, and a common approach to CPD.

ACTION:

(E) A common statement relating to requirements for codes of practice and CPD, agreed by the accrediting bodies and NCCR. *By September 2002 (accepting that formal approvals may be later).*

(f) Administration and management

A joint body ('Professional Standards Board for all', here called Professional Standards Council to distinguish its new function), appropriately resourced within the limits available, to oversee aspects of the framework that are agreed as common, with authority delegated from the accrediting bodies.

FUTURE Comparable cost structures and approaches to financial issues (e.g. assessor payments / expenses).

ACTION:

(F) Constitution and funding of the Professional Standards Council (see page 6) to accommodate the requirements outlined above. *November 2002, agreed at NCCR meeting*

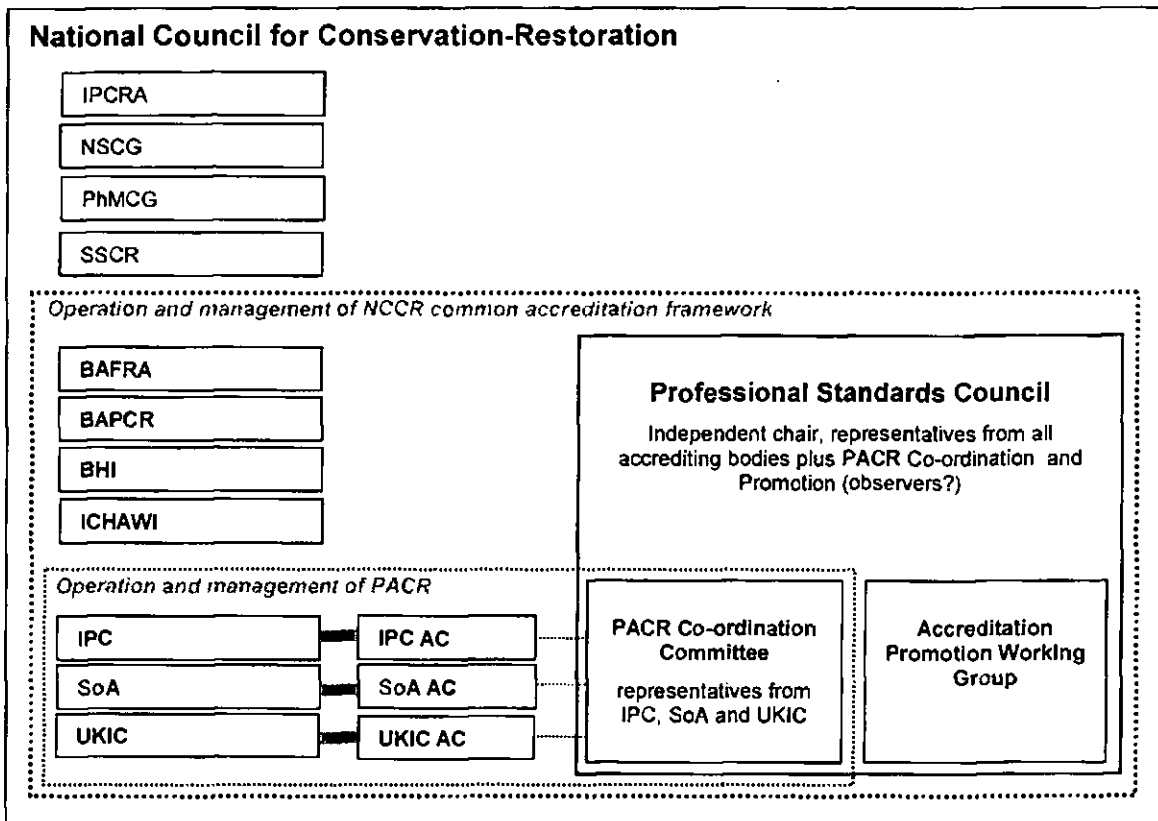
3. Proposed action plan to achieve a common framework

Date	Action	By
by 22 July	This framework and action plan to be agreed in principle by the accrediting bodies (may require more time for formal approval)	accrediting bodies (ABs)*
22 July	Action plan and funding to be agreed in principle by NCCR Council	NCCR
by end Aug	Agree (a) a joint statement of principle (actions A, B and E), and (b) actions needed by the accrediting and standards bodies (includes PACR Co-ordination) to ensure their schemes meet the requirements of the common framework.	SL, ABs
Sept	Meeting to identify and agree joint actions and interdependent timescales, and agree the joint statement of principle.	SL, ABs, provisional PSC
Sept	Accrediting and standards bodies to finalise plans and timescales for implementing the actions agreed above.	ABs, provisional PSC
Sept	Progress report to NCCR Council.	SL, ABs
Sept - Dec	Development of common professional standards framework and assessment and accreditation principles, guidance and shared practices (actions C and D1)	ABs, SL, provisional PSC
12 Nov	Progress report to NCCR Council	SL, ABs
	Establishment of Professional Standards Council to oversee framework (action F)	NCCR
Early 2003	Processes for sharing assessment standards operating between accrediting bodies (action D2) - may require further meeting	ABs
Spring 2003	Accrediting bodies' systems conform with common framework	ABs, PSC, approved by NCCR

* Includes PACR Co-ordination for operational purposes

(Note: SL away 1-9 June, 14 July - 4 August and 12 November - 8 December).

Figure 1 Proposed interim organisational arrangements



(AC = accreditation committee)

Appendix: Summary of professional accreditation frameworks operated by NCCR member bodies

As agreed 22 May 2002

Organisation/s	IPC, SoA, UKIC (PACR)	BAFRA	BAPCR	ICHAWI	BHI
Designation	Accredited Conservator-Restorer (ACR) + appropriate grade of membership of individual body	Full or Specialist Member of BAFRA	Fellow of BAPCR	Member of ICHAWI	Member / Fellow of BHI
Number of accredited practitioners	627 (28 through PACR)	104	60	28	Approx 1000 in total (not all operating in conservation-restoration)
Scope of accreditation	Indicates that the practitioner is fully qualified as a practising conservator-restorer - does not differentiate specialism.	Indicates that the practitioner is fully qualified as a furniture conservator / restorer (or a specialist in a particular aspect). Includes details of specialism/s within this field.	Indicates that the practitioner is qualified in paintings conservation / restoration and sufficiently proficient for BAPCR to put forward in response to public enquiry.	Indicates that the practitioner is fully qualified as a practising conservator-restorer in a given specialism.	Indicates that the practitioner is a fully qualified and experienced horologist but does not currently include a conservation-restoration specialism.
Candidate population	Practising conservator-restorers in all specialisms covered by the participating bodies. At present PACR is only open to practitioners who can demonstrate proficiency in work on objects; it is intended to develop criteria for preventive, advisory, managerial etc conservators.	Practising furniture conservator-restorers who are business principals and have relevant artistic and craft skills.	Practising paintings conservator-restorers. Specialisms in paintings, liners and panels.	Practising conservator-restorers in all specialisms, including preventive conservation.	Practising horologists engaged in modern and/or antiquarian horology.

Organisation/s	IPC, SoA, UKIC (PACR)	BAFRA	BAPCR	ICHAWI	BHI
Sector coverage	Institutional / organisational and private; PACR ACRs split approximately evenly.	Members are almost all in private practice; must be running own practice to be eligible, but stay accredited if move into employment.	Private and institutional / organisational.	Institutional / organisational and private.	Members are almost all in private practice.
Relationship to register of practices	Not intended to be used as a register. IPC runs a register of ACRs who undertake private work (practical work or advice). The Conservation Register will in future require heads of studios / workshops to be ACRs or equivalent.	Used directly as a register. An annual register of members is made available to the public, indicating areas of specialism within or associated with furniture conservation / restoration. Also accepted for inclusion on the Conservation Register.	An associated register is operated following assessment of the studio. Also accepted for inclusion on the Conservation Register.	Any accredited members can be put forward to enquirers.	BHI maintains a register of professional members available to the public (website / telephone enquiry), indicating areas of specialism.
Associated code of practice/ethics	ECCO	BAFRA	Under review	ICHAWI	BHI Code of Practice
Entry requirements	Practising conservator-restorer	Business principal with 5 years' relevant experience or 4 years' if previously student member. Cabinet-making skills required to at least C&G level 3 or equivalent.	Practising paintings conservator-restorer with at least 7 years' experience including training	Graduate of approved course plus 2 years' experience, or 7 years' experience and training for others	GradBHI (3 year BHI course or 1 year West Dean diploma course) plus 5 years' full-time experience to achieve MBHI
Entry recommendations	Conservation graduate with minimum 4-5 years' postgraduate experience, or non-graduate with training and experience totalling 10 years	Approved courses at HND or degree level	--	--	Approved courses at HND or degree level

Organisation/s	IPC, SoA, UKIC (PACR)	BAFRA	BAPCR	ICHAWI	BHI
Assessment criteria	<p>Six functional areas (each with 2 or 3 subsections) and 5 general professional criteria (there are no discipline-specific skills checklists).</p> <p><i>Functional:</i></p> <ol style="list-style-type: none"> 1. evaluating conservation problems 2. conservation strategies 3. interventive treatment 4. preventive procedures 5. managing work inc health & safety 6. contributing to the profession <p><i>Professional:</i></p> <ol style="list-style-type: none"> A. professional values B. intelligent practice C. reflection & development D. sensitivity to context E. communication 	<p>Checklists for the following areas (note inclusion of business as well as conservation criteria):</p> <ol style="list-style-type: none"> 1. cabinet work 2. finishing 3. metalwork 4. upholstery 5. carving & gilding 6. oriental lacquer 7. design & history 8. conservation of materials 9. condition of workshop 10. health & safety 11. security & insurance 12. business practice 13. reports 14. sources of reference 15. old materials (breakers) 16. CPD 	<p>Four professional criteria and 10 practical criteria, most with short questions for guidance.</p> <p><i>Professional:</i></p> <ul style="list-style-type: none"> • studio • attitude • approach to tasks • documentation / records <p><i>Practical (for C-R):</i></p> <ol style="list-style-type: none"> 1. context, technique & materials 2. examination of painting 3. detailed examination 4. informing client / empr 5. reframing, packing, etc 6. preventive / advice 7. storage 8. preparing for loan 9. disaster planning 10. record keeping 	<p>Includes (a) organisation of studio, health & safety, environmental factors, documentation, professional development and approach; (b) investigative techniques, ethics of conservation, knowledge of materials, manipulative skills, rationale, managing work.</p>	<p>Application to upgrade from GradBHI to MBHI:</p> <ol style="list-style-type: none"> 1. Satisfactory depth and breadth of experience checked against record of work for past 5 years. 2. Assessment visit to candidate's workshop to check: <ol style="list-style-type: none"> a. Workshop facilities b. Business practices c. Health & Safety d. Insurance cover

Organisation/s	IPC, SoA, UKIC (PACR)	BAFRA	BAPCR	ICHAWI	BHI
Application format	Detailed application stating how work meets the assessment criteria, authenticated by two 'sponsors' who are ACRs	Personal application with two references from approved referees	General application plus details of approx. 6 projects	Application form. Referees nominated by candidate, references taken up after assessment	Personal application with 2 references from approved referees (MBHI/FBHI)
Pre-assessment	Scrutiny of applications by prof body accreditation committee - incomplete applications returned, weak applications given appropriate advice but can go against this if they wish	References checked	Scrutiny of forms by assessors prior to carrying out a visit; the candidate may be contacted at this stage.	Check to ensure minimum requirements are met	References checked
Assessment format	One-day work-based assessment by two assessors (primary in candidate's specialism, secondary from public/private sector as appropriate)	Half or one-day work-based assessment by one assessor	3-4 hour work-based assessment by two assessors	Studio or site visit by three assessors	Half-day assessment by one assessor
Assessment coverage	Completed objects and work in progress, records and reports, materials & equipment etc, discussion with candidate	Completed objects and work in progress, records and reports, materials & equipment etc, discussion with candidate	Practical abilities and overall approach: examine work, studio and records	Examination of portfolio of work, studio etc and interview	Completed objects and work in progress, records and reports, materials & equipment etc, discussion with candidate
Assessment marking	Competent, knowledgeable or not conversant against each subsection and general professional criterion, plus detailed comments	Numerical grade against each detailed point in checklist, plus general report			Satisfactory / Unsatisfactory on checklist plus detailed comments and general report by assessor

Organisation/s	IPC, SoA, UKIC (PACR)	BAFRA	BAPCR	ICHAWI	BHI
Final decision	Accredited, referred (reassess in selected areas only), not accredited. Made by professional body's accreditation committee, referring back to assessor and / or candidate if needed.	Approved or not approved; can be referred for selective reassessment. Made by Executive Committee in discussion with assessor.	Approved or not approved; can be accepted subject to a requirement to improve facilities.	Approved or not approved	Recommendation by Membership Committee, endorsed by Council.
Appeals	Initially to professional body accreditation committee, finally if needed to NCCR Professional Standards Board.	None.	Need has not arisen.	None	Appeal against workshop assessment failure could result in a repeat assessment by another assessor
Reassessments	For referrals and appeals, possible within short period; reapplications must be at least 12 months later.	Reapplications allowed after a specified time or when candidate has developed further competence.	If the candidate is borderline, two other assessors will visit.	Reapplications allowed after 2 years.	Reapplication encouraged when candidate considers areas of shortcoming rectified.
Ongoing requirements	Membership of IPC, SoA or UKIC CPD (self-managed, reviews recalled at intervals) Observance of ECCO code Insurance: IPC - compulsory for all through IPC scheme (under review)	Membership of BAFRA CPD (self-managed, no recall) Observance of BAFRA code Specified insurance cover	Membership of BAPCR CPD (self-managed) Insurance requirements under review	Membership of ICHAWI CPD (checked at intervals) Observance of ICHAWI code	Membership of BHI and observance of BHI Code of Practice

Organisation/s	IPC, SoA, UKIC (PACR)	BAFRA	BAPCR	ICHAWI	BHI
Assessor selection and training	Assessors must be ACRs, selected by accreditation committees to fill spaces allocated by PACR co-ordination committee, attend 2 days training, initial posting as secondary assessor	Assessors selected on basis of suitability and experience, trained by BAFRA assessment officer	Assessors are drawn from BAPCR Council	2 accredited members who are directors of ICHAWI, plus an external from outside ICHAWI	Assessors selected on basis of specialism and suitability
Assessor allocation to candidates	Primary assessor by accreditation committee, has same specialism as candidate; secondary assessor by PACR co-ordination committee, different specialism but normally same sector (public / private)	On basis of suitability, experience and location			On basis of suitability and location. Assessor should not be from candidate's own BHI branch (post-code based).
Accreditors	Accreditation committee nominated by professional body (section in UKIC), attends induction day or handover period	Standing committee (BAFRA council)	Standing committee (BAPCR council)	Standing committee (ICHAWI board)	BHI Membership Committee - standing committee
Oversight of framework and standards	NCCR Professional Standards Board	BAFRA	BAPCR	ICHAWI	BHI
Fee	£400	£90	£100	£70 approx	£150
Differential annual fee	+ £20	+ £60	+ £18	£70	+£25
Payments to assessors	Field assessors £100 per assessment + expenses, accreditation committee expenses only	Expenses	Expenses	Expenses	Expenses

Annex C.

The PACR documents

The following documents and supplementary guidance are the versions which were used in cycle 3. As described in the main narrative, documents 1-5 were initially finalised for June 1999, with some details being revised after cycle 2. Documents 6 and 7 were first produced in 2001.

Ref	Title	Principal author	Date	Pages
C1	Introduction to the PACR scheme	S Lester	April 2001	20
C2	Candidate guide	S Lester	April 2001	18
C3	Assessor guide	S Lester	April 2001	16
C4	Application and assessment record (including the professional standards)	S Lester	April 2001	49
C5	Continuing professional development	S Lester	April 2001	11
C6	Implementation regulations	C Woods	August 2001	
C7	Accreditation Committee guide	S Lester	March 2001	16

National Council for Conservation-Restoration
Professional Accreditation of Conservator-Restorers

PACR 1

Introduction to the
Professional Accreditation Scheme

April 2001

For 2001 applications

Introduction to the Professional Accreditation Scheme

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Contact details

The first point of contact should be your professional body, i.e. one of:

Institute of Paper Conservation, Leigh Lodge, Leigh,
Worcester WR6 5LB tel 01886 832323 fax 01886 833688
email clare@ipc.org.uk

UKIC, 109 The Chandlery, 50 Westminster Bridge Road,
London SE1 7QY tel 020 7721 8721 fax 020 7721 8722
email ukic@ukic.org.uk

Conservation Accreditation Sub-Committee, c/o Society of
Archivists, 40 Northampton Road, London EC1R 0HB
tel 020 7278 8630 fax 020 7278 2107
email societyofarchivists@archives.org.uk

Details of the scheme, its standards, guidance for candidates and assessors and an introduction to CPD can be downloaded from your professional body's web site, or from www.nccr.org.uk

For other queries, write to:

Professional Standards Board
National Council for Conservation-Restoration
106 The Chandlery, 50 Westminster Bridge Road,
London SE1 7QY

1 Background

The material cultural heritage of the United Kingdom is held by a wide variety of custodians: museums, churches, private individuals, public, private and voluntary bodies. All these need access to reliable conservation advice and services. Modern methods of placing work to achieve 'best value' require that custodians use transparent and accountable measures of quality assurance and pricing in sourcing conservation services. Increasing flexibility in working patterns requires that comparisons are made on equal terms between conservator-restorers within public institutions and those in independent practice.

Conservator-restorers (see appendix 4) act on behalf of the public when they treat cultural heritage so it is important that the public have confidence in and ready access to high quality conservation services. The establishment of the Conservation Register by the former Museums and Galleries Commission (now operated by the UK Institute for Conservation in partnership with NCCR and the Scottish Conservation Bureau) has been one of the most significant developments in the last ten years, providing a national list of conservation studios. Alongside this, several of the professional bodies active in the field of conservation and restoration have developed accreditation schemes for individual members. However, the profession has lacked a single widely-recognised professional designation comparable, for instance, to the chartered engineer status which applies across the different specialisms of engineering.

The purpose of the accreditation framework is to apply an explicit common standard across the profession, regardless of the route taken to reach a professional level of capability, the discipline or specialism of the conservator-restorer, or the context he or she practises in. The framework is designed to establish a common benchmark for conservation practice, applicable both as a standard to be achieved by developing practitioners and as a baseline for the care and conservation of cultural heritage. The scheme is being publicised to the heritage sector and the general public, and it enables accredited practitioners to use the designation 'Accredited Conservator-Restorer' (ACR) in promoting their services. It is anticipated that accredited status will increasingly be a requirement in grant-aided projects and tendered work as well as for senior employed posts.

There has been considerable development during recent years in refining the scope, standards and methodology for assessing conservator-restorers, nationally and internationally. The accreditation system reflects modern standards of professionalism and competence on a par with other professions such as engineering and architecture with which conservator-restorers work.

The system will also aim to achieve direct correlation of accredited status across international boundaries, particularly within the EU. Differences in the philosophy and practice of professional accreditation between different countries mean that this will be a longer-term enterprise, but in the short term it is important that the UK has a robust system for identifying conservator-restorers of professional standing which bears comparison with the systems used in established professions.

The scheme is operated by the Institute of Paper Conservation (IPC), the Society of Archivists (SoA) and the United Kingdom Institute for Conservation of Historic and Artistic Works (UKIC), and overseen by the National Council for Conservation-Restoration (NCCR) through its Professional Standards Board (PSB).

2 Principles

The Professional Accreditation of Conservator-Restorers (PACR) framework seeks to make public an explicit standard - the 'accredited conservator-restorer' (ACR) - applicable to all specialisms. The purpose in doing this is to increase awareness of conservation as a highly skilled and knowledgeable activity of similar standing to other recognised professions as well as providing assurance to the public and potential clients of the standard and professionalism of conservator-restorers.

At present the framework applies to conservator-restorers who can demonstrate proficiency in working on objects, whether through their current practice or by providing convincing evidence of recent experience. The Professional Standards Board is actively exploring the development of a complementary route or routes for conservation advisers, scientists, managers and preventive or environmental specialists. It is expected that a decision will be made as part of the professional standards review to be undertaken in 2001-2.

The accreditation framework applies a common standard across the profession, regardless of the route taken to reach a professional level of capability, the specialism of the conservator-restorer, or the context he or she practises in. The framework is geared towards being of a standard and assessed with a degree of rigour which is comparable with that applied in the chartered professions, and recognises professional standing at a level which is applicable internationally.

The accreditation framework consists of three components:

- 1) a process for accrediting professional capability against explicit standards which are owned by the profession (the assessment and accreditation process)
- 2) a system for ensuring maintenance and enhancement of professional capability through ongoing learning and development (continuing professional development)
- 3) a means of removing accredited status from practitioners who fail to maintain a minimum standard of practice and ethics (the disciplinary procedure).

Accreditation is available to all individual conservator-restorers who satisfy the accreditation requirements, whether in institutional or other employment or in private practice; it is therefore distinct from the Conservation Register, which registers conservation studios. The scheme recognises that the profession of conservation and restoration involves an amalgam of different traditions and disciplines drawing on science, technology, art, artistry, and the humanities, as well as embodying the reflective practitioner tradition in which professional knowledge is generated by individual conservator-restorers through their practice.

3 Eligibility and routes to accreditation

The PACR framework recognises that while there is now a trend towards graduate and postgraduate training, many conservator-restorers will have entered the profession via higher technical qualifications or work-based training in institutions or with established practitioners. PACR recognises these differences while requiring all candidates for accreditation to demonstrate a common standard of professional competence and capability regardless of entry route or previous qualifications.

The accreditation process is rigorous and designed to stand on its own. Substantial knowledge and experience are needed to meet the requirements for accreditation. Applicants should be aware that in most professions accredited status is achieved after at least six or seven years' structured training and experience, including a degree and a period of post-qualification training. The knowledge and understanding expected is pitched at postgraduate level, and while this does not debar non-graduates from applying it does mean that applicants will need to have an in-depth knowledge of the principles which underpin conservation practice.

Conservator-restorers coming forward for accreditation must be members of one of the participating bodies. They might expect to have followed one of the following routes:

- a directly relevant first degree followed by perhaps four or five years of relevant experience
- a less relevant first degree or period of practical training, followed by a full- or part-time postgraduate qualification and further experience
- a substantial period of experience backed by practical training and continuing professional development.

While there are no exemptions from meeting the standards for holders of higher education or other qualifications, some of the evidence of professional capability could be derived from project, dissertation or similar work undertaken for qualifications.

4 The accreditation process

Details of the accreditation process are shown in Figure 1. In outline:

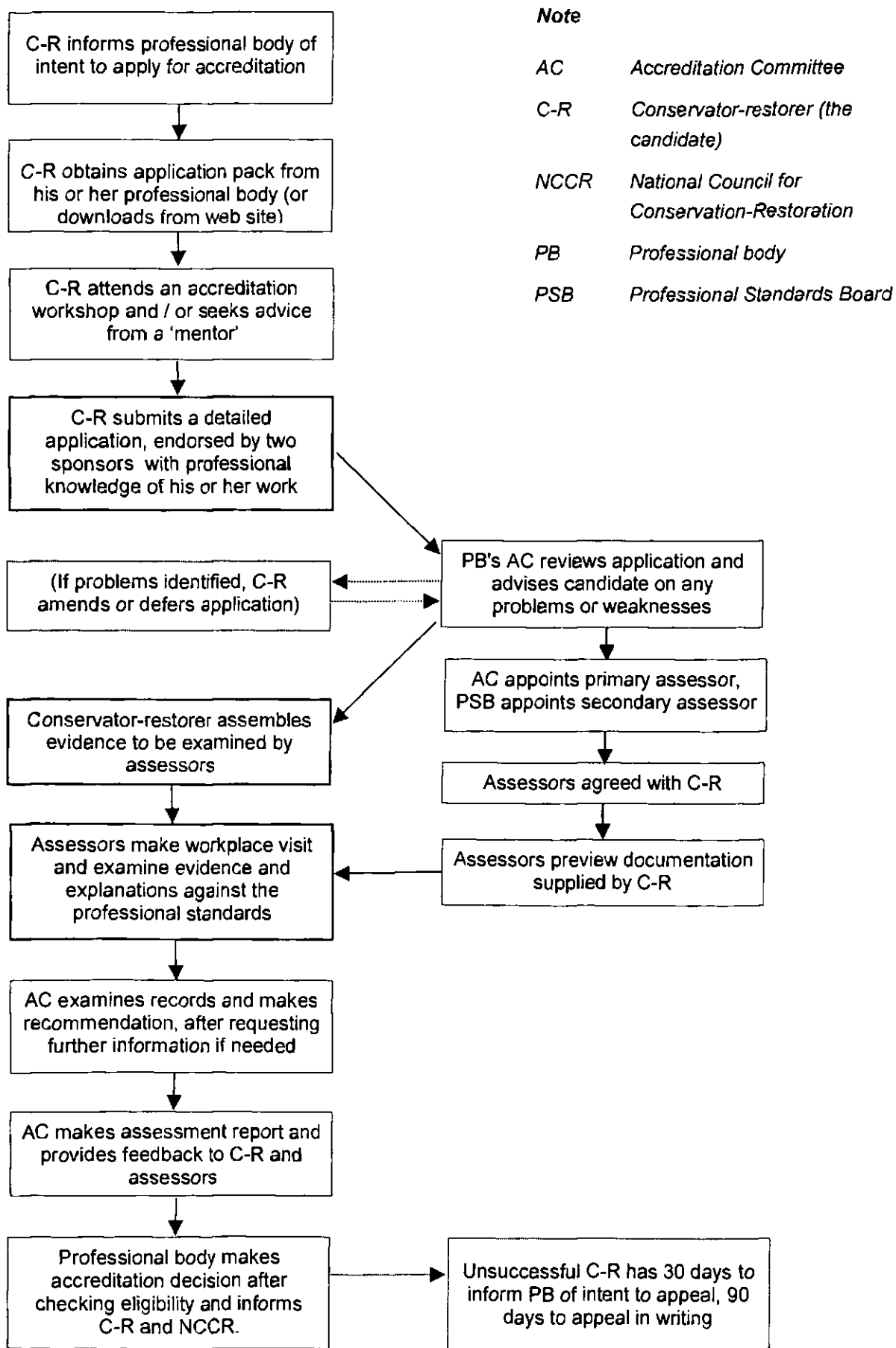
- Accreditation application details are available from the professional bodies which subscribe to the PACR scheme (currently IPC, SoA and UKIC). Conservator-restorers who are interested in applying for accreditation can obtain an application pack from their professional body or its web site, or from www.nccr.org.uk. Conservator-restorers should initially indicate their intent to apply with their professional body. This does not commit them to payment of a fee at this stage, but enables the professional body to provide details of workshops (meetings) and potential mentors.
- Potential candidates will be invited to attend an accreditation workshop. They are also advised where possible to find a mentor, preferably someone who knows the scheme (e.g. by having previously been a candidate), to advise on their application.
- The candidate will prepare their application for accreditation to a standard format using an application booklet, which must be verified by two experienced and qualified conservator-restorers ('sponsors'). This should be submitted to the candidate's professional body along with a registration fee (£50 in 2001). Application forms now require a review of continuing professional development for at least the past two years, and plans for development over the coming year.
- On receiving the application, the professional body will first check that there are no circumstances (such as disciplinary proceedings) which would debar the candidate from accreditation. The professional body's Accreditation Committee will then examine the application to ensure it is complete. The Committee will also advise any candidates whose applications it considers are weak; the candidate then may choose to amend or defer the application, or proceed in the knowledge that he or she is unlikely to be successful.
- The Accreditation Committee will allocate a primary assessor who will be from the same specialism as the candidate. The NCCR Professional Standards Board will allocate the secondary assessor, who will normally be from a different specialism. At least one of the two assessors will have experience of the same kind of working environment (institutional or private / commercial practice) as the candidate. Within reason candidates can object to individual assessors if they think there is a conflict of interest.
- The assessors will contact the candidate to arrange a full-day assessment visit in the candidate's place of work, and discuss any points that appear to be unclear from the application.
- The visit will involve a balance of examining objects and documents, discussion with the candidate, and where relevant (and with the candidate's permission) discussion with colleagues. The final part of the visit will involve feedback and discussion between the assessors and the candidate. The assessors report their findings to the Accreditation Committee, but do not make an overall decision about whether the candidate is eligible for accreditation.
- The Accreditation Committee examines the assessors' report and the candidate's application, and makes a decision as to whether the candidate meets the professional standards. In certain cases

the candidate can be referred and reassessed within the current round, or asked to provide further evidence.

- The professional body will accredit candidates approved by the accreditation committee, subject to other factors (such as disciplinary proceedings or unpaid subscriptions) which affect eligibility. The candidate's professional body informs the candidate and the NCCR of its decision.
- A candidate who is refused accreditation can reapply 12 months after the date of the assessment or referral visit.
- There is also an appeals procedure which can be invoked within 3 months of receiving the decision of the professional body to refuse accreditation (the candidate must inform the professional body of an intent to appeal within four weeks of the decision, and submit an appeal in writing within three months of the decision). An unsuccessful candidate, after exhausting appeal procedures within the professional body, may appeal to the Professional Standards Board which will establish an appeals sub-committee to determine the matter.

A registration fee must be forwarded with the application, and is not returnable if the candidate subsequently decides to withdraw. The balance of the accreditation fee is invoiced when assessors have been appointed and agreed; it is payable when the assessment visit has been agreed.

Fig 1. The accreditation process



5 Professional standards

The professional standards framework consists of **functional criteria**, which describe conservation work, and **professional criteria**, which concern working at a professional level (see page 11). The standards framework has been informed by the work of the FULCO project and the occupational standards developed by the Cultural Heritage National Training Organisation, as well as substantial consultation and trialling within the profession. The standards are due to be reviewed at the end of 2001.

The assessment process is designed to interpret the standards in the candidate's working context. Provided the principles outlined in the standards are met, there are no barriers based on the candidate's specialism, or whether he or she is working in an institutional or private practice context. Generally, the standards will be applied in a way which reflects the conservator-restorer's current job and where necessary draws on his or her previous experience. However, ability is required across all the areas of the standards, and applicants who have a limited range of experience may need to gain further experience before being able to meet the requirements of the complete framework.

Some applicants for accreditation will be experienced in conservation but no longer carry out practical conservation tasks - for instance conservation managers, consultants, scientists, trainers and lecturers. In these cases the standards can be met through evidence which demonstrates the candidate's judgements and decisions - for instance in commissioning and evaluating conservation work - provided that this is backed by evidence that the candidate has trained as a conservator-restorer and practised competently on objects. The possibility is currently being explored of setting up a pathway for advisers, scientists, managers and others who are professionals in the field of conservation-restoration but do not work directly on objects.

The functional criteria

The six functional criteria describe 15 key activities involved in conservation work:

- | | |
|---|---|
| 1 Evaluating conservation problems in context | 1.1 Examine and describe items or collections |
| | 1.2 Identify risk factors for items or collections |
| 2 Developing conservation strategies | 2.1 Explore options for conserving items or collections |
| | 2.2 Develop conservation strategies |
| 3 Developing and implementing interventive treatment | 3.1 Test and develop conservation procedures |
| | 3.2 Undertake interventive conservation or restoration |
| 4 Developing and implementing preventive and handling procedures | 4.1 Specify or recommend environmental conditions |
| | 4.2 Set up and manage environmental protection |
| | 4.3 Provide guidelines for handling |

5 Managing work, resources and projects	5.1 Manage your own time and resources
	5.2 Manage project activities
	5.3 Maintain health and safety
6 Contributing to the interests of the profession	6.1 Promote the care and use of items
	6.2 Develop an area of expertise
	6.3 Promote the work of the profession

The professional criteria

The professional criteria concern principles and values which run through the work of the professional conservator-restorer. They are less tangible than the functional criteria, and therefore less easy to make 'yes/no' judgements about. Assessment will look for:

- Evidence of the criteria being met. This might be through the way in which functional work is carried out and managed, or through specific instances described by the candidate.
- A working understanding of the principles involved. This could be apparent from evidence, or from discussion.
- An absence of any evidence of bad practice - for instance evidence of unethical practice or use of clearly inappropriate or outdated techniques.

The professional criteria are:

- A Demonstrating professional values and management of value-conflicts**
- B Demonstrating intelligent practice and professional judgement**
- C Demonstrating reflection, enquiry and personal professional development**
- D Demonstrating sensitivity to the cultural context of materials and the values of people**
- E Demonstrating effective, appropriate and sensitive communication.**

THE PROFESSIONAL CONSERVATOR-RESTORER

knowledge, skills and values

PROFESSIONAL CAPABILITY

STANDARDS

Conservation practice

Functional criteria

1. Evaluating conservation problems in context
2. Developing conservation strategies
3. Developing and implementing interventive treatment
4. Developing and implementing preventive procedures
5. Managing work, resources and projects
6. Contributing to the interests of the profession

Professionalism

Professional criteria

- A. Demonstrating professional values and management of value-conflicts
- B. Demonstrating intelligent practice and professional judgement
- C. Demonstrating reflection, enquiry and personal professional development
- D. Demonstrating sensitivity to the cultural context of materials and the values of people
- E. Demonstrating effective, appropriate and sensitive communication

6 Ongoing requirements

Professional membership carries with it a responsibility to maintain professional standards through acting ethically, adhering to a code of practice, and keeping knowledge and competence up-to-date through ongoing development. These responsibilities are included in the accreditation framework through a requirement for continuing professional development (CPD) and through the professional bodies' codes of ethics and disciplinary procedures.

Continuing professional development

The PACR scheme requires that accredited conservator-restorers carry out an annual review of their ongoing learning and development and identify areas for further development. Evidence of development and review will be called in for examination periodically. This examination is to ensure that relevant updating and development is going on, not to make specific judgements on its content. Further details are provided in document 5 *Continuing professional development*. The process aims to promote learning rather than add unnecessary bureaucracy, and not restrict the type of activities which can 'count' - provided they lead to useful learning.

The focus of the learning need not be on core conservation activities, and could include for instance wider aspects of culture and heritage, management, business development, teaching and training, and so on, depending on the conservator-restorer's current work and future aspirations. However, evidence will be expected of keeping up-to-date with developments in the area(s) of conservation in which the practitioner is active.

Disciplinary matters

A professional member is subject to the disciplinary process of their professional body. The disciplinary process will be activated when concern has been raised about a member's activity, perhaps by an unsatisfied client or the professional body itself. The professional body will carry out an examination using evidence from the complainant and the conservator-restorer (including the CPD review).

Appendix 1

Roles in the PACR scheme

National Council for Conservation-Restoration (NCCR)

Appoints members of the Professional Standards Board.

Professional Standards Board (PSB, of NCCR)

Sets, reviews and maintains the professional standards and the accreditation framework. Acts as a final point of appeal for decisions to refuse accreditation.

Participating professional bodies (PB)

Establish Accreditation Committees; administer applications from candidates and make final accreditation decisions for candidates approved by their Accreditation Committees; investigate and make decisions on disciplinary matters.

Accreditation Committee (AC, of each participating professional body)

Oversees the assessment of conservator-restorers against the professional standards through the process approved by the Professional Standards Board; moderates assessment decisions and makes recommendations about accreditation.

Appeals Sub-Committee (ASC, of PSB)

Hears, investigates and reports on appeals against decisions to refuse accreditation.

Assessors

Undertake assessment of candidates for Accredited Conservator-Restorer status according to the process approved by the PSB, and report back to the Accreditation Committee. Assessors are accredited conservator-restorers who are approved by the PSB following appropriate training.

Mentors

Assist candidates to prepare their applications. Mentors will normally be experienced conservator-restorers, not necessarily from the same discipline as the candidate, but who are familiar with PACR (e.g. through having been PACR or trial candidates or assessors).

Sponsors

Validate candidates' applications as being authentic and truthful. Sponsors are chosen by candidates but must be qualified and experienced (from 2002 accredited) conservator-restorers who know the candidate's work. Sponsors do not make recommendations about accreditation.

Witnesses

Comment on specific aspects of candidates' applications. Witnesses may be laypeople provided they are not asked to comment on areas outside their area of competence or expertise.

Candidates

A candidate is a conservator-restorer who is applying for assessment for Accredited Conservator-Restorer status.

Appendix 2

Acronyms

ABPR	Association of British Picture Restorers
AC	Accreditation Committee (of PB)
ACR	Accredited Conservator-Restorer
ASC	Appeals Sub-Committee (of PSB)
BAFRA	British Antique Furniture Restorers' Association
BSMGP	British Society of Master Glass Painters
CHNTO	Cultural Heritage National Training Organisation
CPD	Continuing / continuous professional development
C-R	Conservator-restorer
ECCO	European Confederation of Conservator-Restorers' Organisations
EU	European Union
FULCO	Framework of universal levels of competence
HS	Historic Scotland
ICHAWI	Institute for the Conservation of Historic and Artistic Works in Ireland
ICOM	International Council for Museums
IIC	International Institute for Conservation
IPC	Institute for Paper Conservation
IPCRA	Irish Professional Conservators and Restorers Association
JAG	Joint Accreditation Group, formerly composed of members of TCF, HS, IPC, SoA and UKIC (now succeeded by the Professional Standards Board of NCCR)
MGC	Museums and Galleries Commission (now Resource)
MTI	Museum Training Institute (now CHNTO)
NCCR	National Council for Conservation-Restoration, currently composed of representatives of ABPR, BAFRA, BSMGP, ICHAWI, IPC, IPCRA, NSCG, PhMCG, SoA, SSCR and UKIC
NVQ	National Vocational Qualification
NSCG	Natural Sciences Conservation Group
PACR	Professional Accreditation of Conservator-Restorers
PB	Participating Professional Body
PhMCG	Photographic Materials Conservation Group
PSB	Professional Standards Board (of NCCR)
QA	Quality assurance
SCB	Scottish Conservation Bureau (of Historic Scotland)
SoA	Society of Archivists
SSCR	Scottish Society for Conservation and Restoration
SVQ	Scottish Vocational Qualification
TCF	The Conservation Forum (now NCCR)
UKIC	United Kingdom Institute for Conservation of Historic and Artistic Works

Appendix 3

Glossary of terms

Accreditation	In terms of the PACR scheme, the process of approving an individual as meeting the requirements of the profession as defined by the PACR professional standards and the professional bodies' codes of practice.
Accredited conservator-restorer	A conservator-restorer who has been approved as meeting an agreed professional standard and conforming to the professional bodies' code of practice.
Applicant	See ' candidate .'
Assessment	The process of deciding whether evidence put forward by a candidate meets the PACR professional standards .
Assessor	In terms of the PACR scheme, an accredited conservator-restorer approved by the Accreditation Committee to assess candidates against the professional standards.
Candidate	A conservator-restorer putting themselves forward for assessment and accreditation .
Capability	Capability is used here to refer to an overall set of qualities which include professional competence, judgement, and the ability to operate effectively in new and unknown situations.
Competence	The ability to carry out a job, function or task to an appropriate or agreed standard.
Complex	<p>In the professional standards, 'complex' refers to situations which:</p> <ul style="list-style-type: none">• require choices between options which lead to significantly different outcomes• present dilemmas and value-conflicts, or require significant value-judgements• present substantial technical problems, for instance in relation to unstable or degraded materials• require a deep level of practical understanding to be applied to the situation• require the marshalling and management of a wide range of resources. <p>To be 'complex' a situation need not contain all these factors, but it is likely to include more than one or have one present to a high degree.</p>
Conservator-restorer	The term 'conservator-restorer' has been used throughout for consistency. See 'The conservator-restorer' (appendix 4).
Continuing professional development	Ongoing development which is relevant - directly or in a more general sense, e.g. by enhancing general skills and personal capability - to a practitioner's professional activities and career.
Discipline	In academic terms, a recognised area of study with a tradition of literature, perspectives and paradigms. In professional terms, a distinct specialism or area of practice.

Disciplinary procedures	The procedures used by professional bodies to take action against members who breach the professional bodies' code of practice.
Fast-track	Fast-track accreditation schemes for experienced practitioners were formerly operated by IPC, SoA and UKIC. PACR has replaced the fast-track schemes.
Functional	The functional criteria refer to specific work activities: for instance preparing a conservation plan or applying interventive procedures.
Further education	Post-school education up to the level of NVQ 3, National Diploma or GCE A-levels.
Higher education	Education at degree or Higher National level or above.
Object	'Objects' (or 'items') include any articles regardless of size, material or composition which are the subject of conservation or restoration.
Occupational standards	Standards of competence developed by a Government-recognised standards-setting body (usually a National Training Organisation), on which National and Scottish Vocational Qualifications are based. Occupational standards for the conservation sector are developed by the Cultural Heritage National Training Organisation, formerly the Museum Training Institute.
PACR scheme	The scheme for Professional Accreditation of Conservator-Restorers, as described in this and the accompanying booklets.
Practitioner	A general term used to describe a person working in a particular field or occupation.
Profession	In a broad sense, any identifiable remunerated occupation, particularly applied to occupations which require a high level of understanding and judgement in order to practice effectively. In a narrow sense, an occupation which is governed by a common code of practice, ethics and standards, often regulated by a professional body.
Professional	A <i>professional</i> , used in the sense of a person who is a member of a profession in the wider or more specific sense (see above), or has a professional approach to their work; <i>professional</i> (in the sense of professional practice), indicating practice which is to a professional standard.
Professional body	An organisation of professionals which promotes professional practice, sets its own standards of entry, and may set professional standards and codes of conduct and ethics applicable to entering and remaining a member of the profession.

Professional standards	<p>In a general sense, the standards of practice expected by a professional community (and its stakeholders including clients and the wider public) of those practising in that community. In a specific sense, the standards agreed from time to time by a professional body as pertaining to accredited members, which normally aim to codify the more general professional standards.</p> <p>In this document 'the professional standards' refers to the standards approved by the Professional Standards Board for the PACR scheme.</p>
Proficiency	The ability to carry out an activity to a recognisable standard, often also with the implication of speed, accuracy etc. Often used interchangeably with competence.
Quality assurance	Ensuring that a process produces outcomes of the standard and quality required.
Reflective practitioner	A practitioner who reflects on his or her practice both 'in the moment' and at a distance, continually learning and developing through a cycle of action and reflection. The reflective practitioner philosophy views professional knowledge primarily as a dynamic product of individuals' practice and theorising, rather than as a static knowledge-base.
Reliability	In terms of assessment, reliability concerns the extent to which an assessment process or strategy is consistent over time and between different candidates, assessors, assessment centres, etc.
Sponsor	A sponsor is a person who verifies a candidate's application for accreditation. Sponsors for the PACR scheme must be experienced and qualified (from 2002 accredited) conservator-restorers who know the candidate's work and can attest that his or her application is authentic and truthful. Sponsors do not provide references or recommend accreditation.
Validation	Generally, the approval of a course by an awarding institution as leading to a qualification. In professional body terms, usually used to denote approval that the course or qualification supports the profession's entry or other requirements. (Frequently also referred to as accreditation; 'validation' is used here to avoid confusion with accrediting individual conservator-restorers).
Validity	In terms of assessment, validity concerns whether assessment achieves its stated aims. 'Surface' validity concerns immediate measures, e.g. whether a test actually assesses the knowledge or skill it is intended to assess; 'deep' validity concerns wider issues, e.g. whether an assessment strategy assesses things which in practice make a difference to a practitioner's professionalism and capability.
Witness	A person who is asked to verify a specific aspect of a candidate's application for accreditation. A witness should be asked to comment only where he or she is competent to do so.

Appendix 4

The conservator-restorer

Extract from ECCO Professional Guidelines

I. Role of the Conservator-Restorer

The fundamental role of the Conservator-Restorer is the preservation of cultural property for the benefit of present and future generations. The Conservator-Restorer contributes to the understanding of cultural property in respect of its aesthetic and historic significance and its physical integrity.

The Conservator-Restorer undertakes responsibility for and carries out the diagnostic examination, conservation and restoration treatments of cultural property and the documentation of all procedures.

Diagnostic examination consists of the determination of the composition and condition of cultural property; the identification, extent and nature of alterations; the evaluation of the causes of deterioration; the determination of the type and extent of treatment needed. It includes the study of relevant documentation.

Preventive conservation consists of indirect action to retard deterioration and prevent damage by creating conditions optimal for the preservation of cultural property as far as is compatible with its social use. Preventive conservation embodies correct handling and use, transport, storage and display.

Remedial conservation consists mainly of direct action carried out on cultural property with the aim of retarding further deterioration.

Restoration consists of direct action carried out on damaged or deteriorated cultural property, the aim of which is to facilitate its understanding, while respecting as far as possible its aesthetic, historic and physical integrity.

Furthermore, it is within the Conservator-Restorer's competence to:

- develop conservation-restoration programmes or surveys
- provide advice and technical assistance for conservation-restoration of cultural property
- prepare technical reports on cultural property excluding any judgement of their market value
- conduct research relating to conservation-restoration
- develop educational programmes and teach conservation- restoration
- disseminate information gained from examination, treatment or research
- promote a deeper understanding of conservation-restoration.

II. Distinction from Related Fields

The Conservator-Restorer is neither an artist nor a craftsman. Whereas the artist or the craftsman is engaged in creating new objects or in maintaining or repairing objects in a functional sense, the Conservator-Restorer is engaged in the preservation of cultural property.

Appendix 5

Accreditation framework documents

The documents which form part of the PACR framework are:

<i>Document</i>	<i>Required by</i>	<i>Latest version</i>
1 Introduction to the Professional Accreditation Scheme (this document)	candidates, assessors and committee members	this document
2 Candidate Guide	candidates	March 2001
3 Assessor Guide	assessors	March 2001
4 Application and Assessment Record	candidates, assessors and committee members	March 2001
5 Continuing Professional Development	candidates and all accredited conservator-restorers	March 2001
6 Implementation: Responsibilities and Management	committee members	
7 Accreditation Committee Guide	committee members	March 2001
ECCO Codes of Practice and Ethics	all	http://palimpsest.stanford.edu/byorg/ecco/

In addition to these formal documents, various guidance documents, question-and-answer documents and current information are made available from time to time by the Professional Standards Board and the participating professional bodies.

Appendix 6

Further reading

The following list is drawn from a broad spectrum to illustrate different viewpoints.

Reference material and profession-specific

Barron, Anne-Marie (1997) *Museum Training Institute professional body - NVQ/SVQ harmonisation project* Newcastle-under-Lyme, Parameter Research Ltd

Cronyn, Janey & Foley, Kate (eds) (1996) *A qualified community: towards internationally agreed standards of qualification for conservation* International Council for Museums / Northampton, English Heritage

Cultural Heritage NTO (1999) *Occupational standards for the cultural heritage sector* (Bradford, CHNTO)

ECCO Professional Guidelines <http://palimpsest.stanford.edu/byorg/ecco/library/guidel.html>

Foley, Kate & Scholten, Steph (1998) *FULCO: a framework of competence for conservator-restorers in Europe* Amsterdam, Netherlands Institute for Cultural Heritage

Lester, Stan (1999) "Professional bodies, CPD and informal learning: the case of conservation," *Continuing Professional Development* 2 (4), 110-121 (or at www.devmts.demon.co.uk/pacr/)

Lester, Stan (2000) "The Professional Accreditation of Conservator-Restorers: developing a competence-based professional assessment system," *Assessment & Evaluation in Higher Education* 25 (4), 411-423 (or at www.devmts.demon.co.uk/pacr/)

White, Robert (ed) (1991) *Archaeological conservation: training and employment* London, UKIC

Professions, competence and professional development

Hodkinson, Phil & Issitt, Mary (eds) (1995) *The challenge of competence: professionalism through vocational education and training* London, Cassell

Gear, J, McIntosh, A & Squires, G (1994) *Informal learning in the professions* University of Hull, Department of Adult Education

Larson, Magali S (1977) *The rise of professionalism: a sociological analysis* Berkeley, University of California Press

Madden, Clare & Mitchell, Valerie (1993) *Professions, standards and competence: a survey of continuing education for the professions* University of Bristol, Department for Continuing Education

Mansfield, Bob & Mitchell, Lindsay (1996) *Towards a competent workforce* Aldershot, Gower

O'Reilly, Dave, Cunningham, Lynn & Lester, Stan (eds) (1999) *Developing the capable practitioner* London, Kogan Page

Schön, Donald A (1991) *The reflective practitioner: how professionals think in action* Aldershot, Avebury

Winter, Richard & Maisch, Maire (1996) *Professional competence and higher education: the ASSET programme* London, Falmer

PACR 2

Candidate Guide

April 2001

For applications in 2001

Candidate Guide

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4 Completing the application document	10
5 The assessment visit	14
6 Assessment, decisions and appeals	16

You should also have the following documents:

- Introduction to the Professional Accreditation Scheme (PACR 1)
- Application and Assessment Record (PACR 4)
- Continuing Professional Development (PACR 5).

Contact details

The first point of contact should be your professional body, i.e. one of:

Institute of Paper Conservation, Leigh Lodge, Leigh,
Worcester WR6 5LB tel 01886 832323 fax 01886 833688
email clare@ipc.org.uk

UKIC, 109 The Chandlery, 50 Westminster Bridge Road,
London SE1 7QY tel 020 7721 8721 fax 020 7721 8722
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Conservation Accreditation Sub-Committee, c/o Society of
Archivists, 40 Northampton Road, London EC1R 0HB
tel 020 7278 8630 fax 020 7278 2107
email societyofarchivists@archives.org.uk

Details of the scheme, its standards, guidance for candidates and assessors and an introduction to CPD can be downloaded from your professional body's web site, or from www.nccr.org.uk

For other queries, write to:

Professional Standards Board
National Council for Conservation-Restoration
106 The Chandlery, 50 Westminster Bridge Road,
London SE1 7QY

1 Welcome

This Guide provides information for conservator-restorers who are intending to apply for accreditation through the Professional Accreditation of Conservator-Restorers (PACR) scheme. PACR applications may only be made by conservator-restorers who are both (a) members of the professional bodies participating in PACR and (b) currently practising as conservator-restorers (see page 7 and the definition of 'conservator-restorer' in PACR 1, appendix 4).

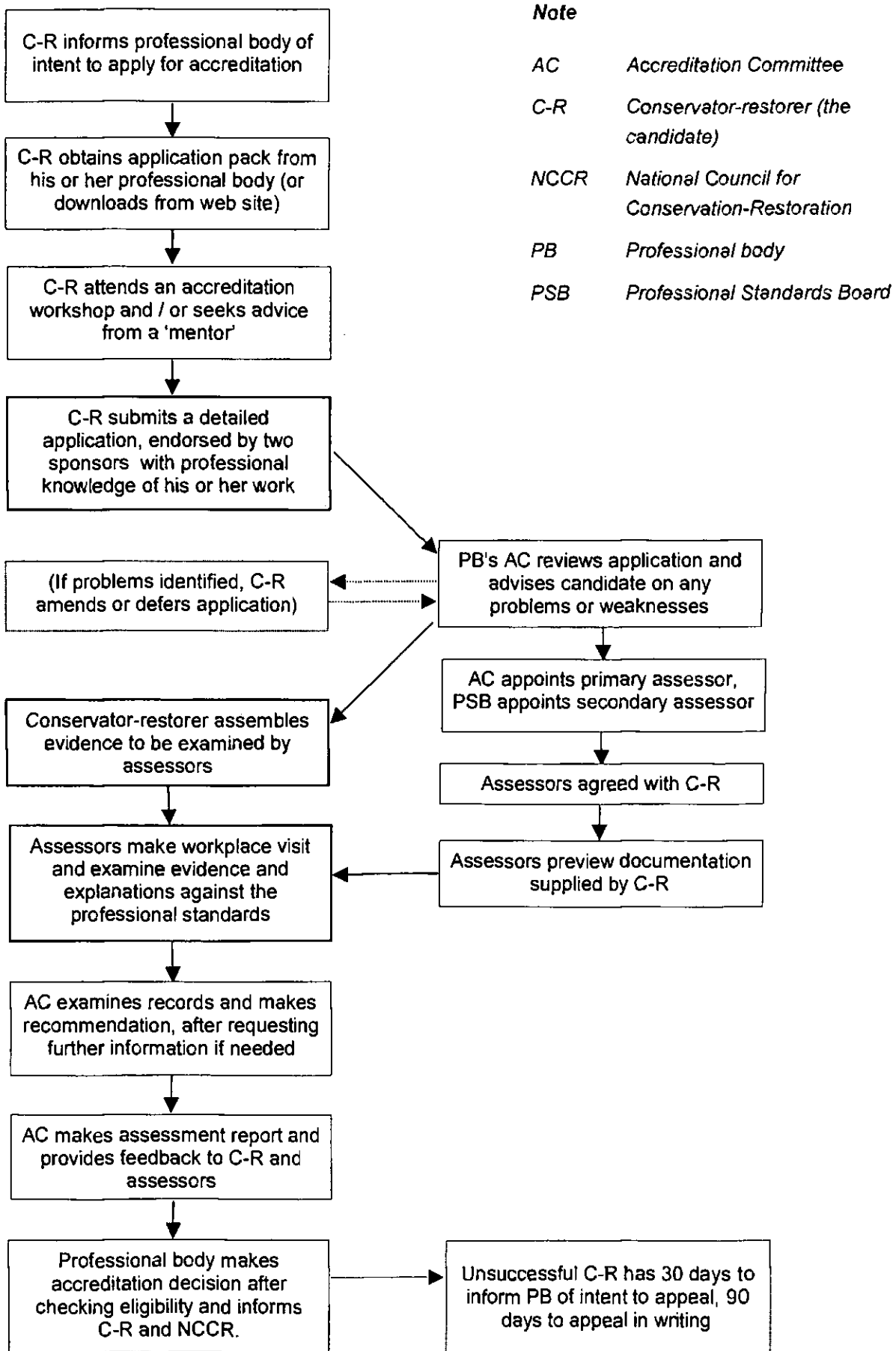
Professional accreditation is a demanding and rigorous process which reflects the high level of competence and professionalism required of conservator-restorers. It is therefore likely to require a significant investment of time and commitment to undertake. However, it is also a worthwhile process which has professional rewards as well as providing an audit against nationally recognised professional standards.

This Guide is geared to making the process as straightforward as possible. If you have any further queries about the scheme, your professional body will be able to assist or refer you to someone who can.

Please check you have the additional documents referred to on the contents page of this booklet. While some of the information is repeated in this booklet, you are advised to read document PACR 1 'Introduction to the Professional Accreditation Scheme' first.

A registration fee (currently £50) has been introduced for 2001, and needs to be enclosed with the application document (PACR 4). Details of current fees for registration, accreditation, referrals and appeals can be obtained from your professional body.

2 Overview of the accreditation process



Summary

Pages 2.5 and 2.6 summarise the accreditation process. Each section is explained in more detail in the later parts of this document.

First steps (page 2.7)

Before applying for accreditation you should first check whether you are eligible and ensure you have the level of knowledge and experience needed to meet the accreditation requirements (page 7).

If you have not already done so, you should register your intention to apply for accreditation with your professional body (see page 8) by returning page 4.7 of the application form. At this stage you are not committed to completing accreditation or paying a fee, but it will ensure that you receive details of any meetings which are being organised for potential accreditation candidates.

At this point you should think about identifying a mentor who can help with your application (page 8). Your mentor might be someone who has successfully completed the PACR scheme, an assessor from a different area of conservation, or possibly your manager or another colleague who understands the scheme well enough to help you with it. You will need two qualified and experienced conservator-restorers to verify that your application is a true and accurate statement, and your mentor may be able to be one of these sponsors if he or she is an experienced conservator-restorer.

When you send in your application form (document PACR 4) you will be allocated two assessors, one from your area of specialism and one from a different area of conservation. At least one of your assessors should have experience of a similar work context to your own, e.g. private / commercial practice or institutional. You will be able to object to either of the assessors if there is a conflict of interest or other valid reason why they should not assess you (page 8).

Completing the application document (PACR 4) (page 2.10)

Your application will take the form of a fairly lengthy document in which you will need to describe your work and relate it to the professional standards. It requires you to:

- provide an **overview of your experience and training** (page 4.7-4.8)
- complete a **review of your professional development** over the past two years, and identify how you will pursue your development over the next year (pages 4.9 - 4.12); further guidance is in booklet PACR 5
- identify key **projects and activities** you are, or have been, involved in which are relevant to accreditation (page 4.13-4.16)
- identify how you meet the **professional standards**, as well as what you will show the assessors and discuss with them to provide evidence of this (pages 4.19-4.39)
- obtain **endorsement** from 'sponsors' and 'witnesses' who can verify what you have written (pages 4.40-4.42).

Help in completing your form should be available from your mentor. The workshops organised by the professional bodies will also provide assistance. You will need to send your completed form to your professional body along with the current registration fee.

After receiving your form, your professional body will check it for completeness; incomplete applications will be returned. Your professional body's accreditation committee will then examine it and advise you if

clarification is needed or if your application appears particularly weak. This will enable you to provide further information, or if necessary defer your application, before assessors are appointed and a visit arranged.

The assessment visit (page 2.14)

After receiving your application, your assessors will contact you to arrange a full-day assessment visit to your workplace or other agreed site where they can examine a range of evidence of your work.

On the day of the visit you will need to make sure that what you have agreed with the assessors is in place - for instance you have available the objects and records they want to see, and have arranged and timetabled any site visits that are needed.

The assessment visit is likely to take up to 6-7 hours, including time for the assessors to discuss what they have seen and agree their findings. The assessors will normally discuss their findings with you before they leave, or will contact you within a week of the visit. If you disagree or want to comment you will be able to record this on PACR 4 before it goes to the Accreditation Committee; if you prefer, this can be done after the visit and forwarded to the Committee separately.

Accreditation decisions and appeals (page 2.16)

After the visit your PACR 4 document is sent to the Accreditation Committee of your professional body. The Committee will consider your application along with the assessors' comments and findings and any comments you have added. The Committee will normally follow the assessors' findings, but can moderate assessments where difficulties have occurred.

The Committee's job is to decide whether you have met the requirements of the professional standards, based on the assessors' findings. It can:

- Agree that you meet the requirements of the professional standards. Unless there are grounds (such as disciplinary matters or non-payment of fees) to withhold accreditation, the professional body will write to you to confirm that you are accredited.
- Contact you for additional information or explanations before they make a decision. (Equally, the Committee may contact your assessors if there are any queries about their findings).
- Require reassessment in up to two out of the eleven areas of the professional standards. In this case you will need a further assessment visit (for which a fee may be payable) or be asked to provide additional evidence for assessment before you can be put forward for accreditation.
- Decide that you have not met the requirements of the professional standards.

Following the Committee's decision a copy of your PACR 4 will be returned to you, including comments made by the assessors and the Committee. If your application is not successful you will be able to reapply after 12 months of your assessment or referral visit. If you disagree with the final decision, you can appeal first to your professional body and then to the Professional Standards Board of NCCR (see page 2.16).

3 First steps

Am I eligible?

To be eligible for accreditation you need to be, or have been, a practising conservator-restorer, and be a member of one of the professional bodies which subscribes to the PACR scheme (currently the Institute of Paper Conservation, Society of Archivists and UK Institute for Conservation).

Accreditation is designed to be open to graduates and non-graduates. As a general guide, you are likely to need four to five years' of relevant experience in addition to a degree or postgraduate qualification, or around ten years' experience backed by practical training and continuing professional development. The knowledge and understanding expected is pitched at post-degree level, and while this does not mean it is essential to have a degree or postgraduate qualification, you will need to have an in-depth knowledge of the principles which underpin conservation practice.

Before applying formally you are strongly advised to check your experience and knowledge against the professional standards in PACR 4, preferably with a mentor who knows your work and can help you assess whether you are ready to go forward for accreditation.

If you are a manager, consultant, scientist or lecturer

Because the designation 'accredited conservator-restorer' implies an ability to practise to a competent standard, people who operate in a managerial, advisory, research or teaching role are currently only eligible for accreditation if they are also proficient as conservator-restorers, i.e. able to demonstrate current or past proficiency in area 3.2 of the professional standards.

If you no longer undertake some of the functions described in the professional standards you will need to provide evidence which demonstrates relevant knowledge, judgements and decisions - for instance in commissioning and evaluating conservation work - backed by evidence that you have trained as a conservator-restorer and undertaken practical conservation work to a proficient standard.

The Professional Standards Board is actively exploring the development of a complementary route specifically for conservation advisers, scientists, managers and preventive or environmental specialists. It is expected that a decision will be made as part of the professional standards review to be undertaken in 2001-2.

What level of ability is expected?

Accreditation is pitched at the level of an **experienced practitioner capable of working on their own initiative**, making independent professional judgements, managing their work and professional development, and taking responsibility for their decisions. This means that you will be expected to be capable of working unsupervised across all the areas described in the professional standards. You do not need to be in a managerial or team leadership role, but will need to show the ability to take responsibility for personal actions and judgements and if necessary those of others.

If you are involved in working on objects, your work must be fit for purpose and meet the standard expected of a competent practitioner working in their own right in your discipline (i.e. not absolute perfection, but a 'mainstream' professional standard that would be fully acceptable across institutional or commercial practice).

Note that the depth of understanding required is described as at a 'post-graduate' level - this doesn't refer to detailed academic knowledge, but does require depth of understanding, intelligent practice and professional judgement. PACR implies more than an expert technician - professional judgement and taking responsibility for your own decisions are also critical.

The assessors will accept that you may not be able to provide evidence of practical proficiency in all areas: for instance, some conservator-restorers in private practice may have little involvement in preventive conservation, while in institutions the way job roles are defined may limit involvement in certain areas. In these cases a working level of knowledge (not just theoretical knowledge) is likely to be acceptable provided it convinces the assessors that you could act competently if required. As a general rule no more than one of the six functional areas (1-6) should be demonstrated through knowledge alone, and accreditation is unlikely to be approved if the candidate is unable to demonstrate proficiency or practical experience across a substantial proportion of each of the remaining areas. **Current or past practical proficiency must be demonstrated in area 3.2: it is not sufficient just to show knowledge.**

Registration

As soon as you decide you are intending to go forward for accreditation, you are advised to register with your professional body by returning a copy of the candidate details (page 4.7) from document PACR 4. Do not forward your registration fee at this stage.

This is not a final commitment on your part, but it alerts the professional body that you are intending to apply. This enables it to invite you to any events which are being run to support accreditation candidates, and provide assistance if you are unable to find a suitable mentor.

Sources of help

You are advised to make use of support from a knowledgeable colleague (a 'mentor') in completing your application, or at least attend one of the meetings organised by your professional body or the Professional Standards Board.

A suitable mentor might be someone who has successfully completed the PACR scheme, an assessor from a different specialism (your mentor cannot also be one of your assessors), or possibly your manager or another colleague who understands the scheme well enough to help you with it. If you can't find an appropriate colleague, your professional body will be able to help with a list of people who are willing to act as mentors.

Details of accreditation meetings should be sent to you when you register, or you can find out about them from your professional body. You may also wish to discuss your application with other candidates, and your professional body may be able to put you in touch with other people who are going forward for accreditation.

Assessors

When your full application is sent in you will be allocated two assessors who will be experienced and accredited conservator-restorers. One should be from your specialist field of conservation, although not necessarily from the same professional body, while the other normally will not be. At least one assessor will have experience in a similar setting (private / commercial or institutional) to your current work.

Assessors are required to declare any conflict of interest with the candidates they are allocated to, and are required to refuse candidates where they think their judgement may be unduly influenced by prior knowledge of the candidate. Equally, you may object to either of your assessors if you have reason to think they will not assess you fairly or if there is a conflict (including one relating to commercial confidentiality). You should make your objection in writing to your professional body, stating your reasons; it need not be detailed and will not be discussed with the assessor, unless you ask for it to be. However, if you object to more than one primary (specialist) assessor this may result in your application being delayed until additional assessors have been trained.

4 Completing the application document

The application and assessment record (PACR 4) requires you to provide an overview of your experience, identify key projects and activities which are relevant to accreditation, and identify how you meet the professional standards, as well as indicate what you will show the assessors and discuss with them to prove this. It also requires verification by 'sponsors' and 'witnesses.'

Handwritten applications should be completed legibly in black ink, and secured together in a way that enables the pages to be separated for photocopying. **UKIC and SoA applicants** should send one copy to their professional body; **IPC applicants** should send one complete copy plus two further copies which can exclude the pages that do not need to be filled in (include the pages to be completed by the assessors and accreditation committee).

Word processed applications can be forwarded on disk in Word for Windows or another format acceptable to your professional body, **accompanied by one printed copy** (with signatures). Do not create additional pages or make the text boxes run over on to new pages.

Do not forward additional evidence or pages with your application form.

Candidate details

Other than providing contact and other essential details, the main purpose of the section is to give the assessors a picture of the range and depth of your experience. It will also provide them with a context for more detailed information you will provide later. Before completing this section make sure you are familiar with the professional standards so that you can emphasise relevant areas of experience.

Continuing professional development

Continuing professional development is all your ongoing development relevant to your work from the time you start to practise. It can come from experience, personal research or investigation, courses or seminars, reading, discussion with colleagues, work-based training, voluntary work etc.

As part of your application you will need to provide a reflective account of your learning and development over at least the two years up to the time of your application, and an indication of how you will continue your development over the next year. There is further guidance on continuing professional development in document PACR 5.

Key projects and activities

This section calls for more specific information about significant projects and activities which you intend to discuss and provide evidence of during the assessment visit. Providing details here will help the assessors understand the work you are putting forward, and save you repeating points later in the application.

Projects and activities could involve, for instance:

- examining, discussing, treating and advising on a particular object
- developing a conservation strategy or recommending conservation options
- dealing with a particular client or collection
- undertaking a research or development project
- general notes on running a conservation-restoration practice or section.

There is space for up to six projects, but less may be sufficient if they are significant projects which demonstrate substantial breadth and complexity. Give each a clearly identifiable name or reference which you can refer to later in the document.

Use the matrix following the projects pages to map your projects and activities against the standards. This will help you identify any gaps so that you avoid concentrating on a limited number of areas. You will not be limited to drawing on the projects you have described, but it will avoid repetition later on in the document if you have already described some of the major pieces of work which demonstrate your capability as a conservator-restorer.

Interpreting the professional standards

The main part of the application involves indicating how you meet the professional standards. The standards are printed on the left-hand pages of the document, with a space on the facing page for you to indicate how you meet them. Use this space to state briefly how you meet the criteria, and indicate activities or examples which demonstrate your proficiency or understanding (referring back to your projects where appropriate). You need to show that you understand what is being asked, and show - inasmuch is practical in the space provided - that you are competent in the area concerned. While the detail will be covered in the assessment visit, remember that the accreditation committee will only see what is on the form.

Read the notes below and the section on evidence in section 5 before completing this part of your application.

You will need to interpret the standards into the context of your work. The standards are designed so that they should be capable of application regardless of your specialism or whether you work in a private or institutional context. The standards should be applied in the context of your job, for instance:

- As described earlier, if you are a conservation manager, scientist, trainer or lecturer, practical competence may need to be evidenced through previous experience and communication of understanding: it may be unrealistic to expect you to be able to produce current examples.
- If you are currently involved in practical conservation, examples of your work - not just descriptions and records - will be expected. This must be conservation work, e.g. not the crafting of replacement parts or new objects.
- In private practice, evidence may be weighted more towards records and successfully completed contracts rather than objects which are available for inspection, although the assessors will still expect to see objects - while recognising that the projects you are working on at the time of the visit may be different from what you have described in your application.
- If you do not normally undertake preventive work or set up environmental protection, you will need to demonstrate that you can advise clients, collection managers etc. on the ongoing care of objects as appropriate to your specialism, and show that you have a knowledge of the underlying principles involved.

The functional criteria

The professional standards are divided into six functional criteria (1-6) and five general professional criteria (A-E).

The functional criteria are each divided into two or three activities (1.1, 1.2 etc). Each of these activities is described in two parts. The first part ('This involves...') outlines what is essential about the activity: you will need to demonstrate that you can carry out this function to a professional standard. The second part ('You will need to...') enlarges on this by adding further detail or explaining what you might be expected to demonstrate. The activity title and 'This involves..' describe the **essential** activity which is being assessed; 'You will need to...' provides elaboration and guidance which should **normally** be followed.

You will need to demonstrate that you can carry out the functions to the standard expected of a professional practitioner, whether in an institution or in private practice: you will be expected to show sound independent judgement and an ability to deal with complex conservation problems. The aim is to demonstrate fitness for purpose, not perfection.

The professional criteria

The professional criteria concern principles and values which run through the work of the professional conservator-restorer. They are less tangible than the functional standards, and therefore less easy to make 'yes/no' judgements about.

Much of what you demonstrate or discuss in relation to the functional standards will also provide evidence for the general criteria, although it will be useful to indicate specific instances, for example where you have dealt with value-conflicts or undertaken professional development. The assessors will also check that there is no evidence of bad practice in your work - for instance evidence of unethical or reckless practice or use of clearly inappropriate or outdated techniques.

The criteria are divided into *understanding of...* (general principles and knowledge) and *evidence of...* (specific instances). Your understanding may be apparent from evidence of what you do, or from discussion with the assessors. 'Evidence of...' could be apparent from the evidence you put forward to meet the functional criteria or from related discussion, or you may need to describe or illustrate specific instances. Tangible evidence for some of the general criteria may be difficult or impossible to assemble, so discussion and possibly the testimony of colleagues may be the only way of demonstrating them.

What does 'complex' mean?

The functional standards frequently ask for evidence of dealing with 'complex conservation problems.' Complex situations are typically those which:

- require choices between options which lead to significantly different outcomes
- present dilemmas and value-conflicts or require significant value-judgements
- present substantial technical problems, for instance in relation to unstable or degraded materials
- require a deep level of practical understanding to be applied to the situation
- require the marshalling and management of a wide range of resources.

To be 'complex' a situation need not contain all these factors, but it is likely to include more than one or have one present to a high degree. In particular the assessors will be looking for evidence of a considered approach when dealing with complex situations.

Validation

Your application must be validated by two 'sponsors' who know your work, are qualified and experienced conservator-restorers, and can verify that your application is a true and accurate statement. They should be able to read your application from an informed, professional, standpoint, whether this is through having been familiar with your work over time, or having recently examined your work and studio or workplace. One sponsor should normally be from the same conservation discipline as yourself, or from a cognate discipline that uses similar materials. Note that PACR assessors and accreditation committee members will normally refuse to act as sponsors for candidates from the same discipline as themselves, to avoid a conflict of interest later in the process.

Non-specialists, including private clients, can verify specific aspects of your work as 'witnesses.' Your sponsors can act as witnesses if they have direct experience of the areas they are being asked to initial. **Sections D and E of the standards must be verified by sponsors or witnesses**, but witness signatures are optional elsewhere; they are helpful if your other evidence for a particular area is limited.

Sponsors should complete and sign the appropriate section in PACR 4, after reading the 'Notes for sponsors and witnesses' in the document. . Note that sponsors are not being asked to assess your application: you may need to stress this as the fast-track accreditation schemes operated by the professional bodies effectively asked the sponsor to assess the application.

Finally

When you have completed and checked your application document, send it to your professional body and keep a copy for reference in preparing for (and during) the visit. Enclose your registration fee (£50 for 2001 applications) payable to your professional body.

5 The assessment visit

Arranging the visit

When your assessors have read through your form they will contact you to agree when and where the assessment will take place and what they will look at. They may also ask for clarification or additional information before the visit.

You will need to reserve the whole day for the visit and ensure that you can avoid interruptions: there will be a lot to fit in to the time available. If you have arranged for the assessors to meet colleagues (as witnesses), this needs to be carefully scheduled unless they will be available at any time in the day. As a rule do not plan for more than 20 minutes in total for assessors to talk to your colleagues.

Assembling your evidence

Using your application document as a reference-point, you will need to make sure that the objects, documents, records, equipment and any other evidence you need will be available for the assessors to see and for you to draw on in discussion with them. The assessors will recognise that some objects outlined in your application may not be available at the time of the visit, but you should have substitutes available.

Check that your evidence actually demonstrates things which are relevant to the professional standards and criteria, and avoid taking up time on trivial or minimally relevant matters. However, avoid too much of the same kind of evidence, for instance several objects which demonstrate the same thing: different types of evidence are often more valuable in providing a convincing 'case' than repetition of the same type of item.

The evidence should also show that you are currently competent. This will generally mean that evidence should be fairly recent, although for instance practical evidence will not be expected if you do not now handle objects (you will need to demonstrate relevant understanding and judgement, backed by evidence - such as records, photographs and references from former employers or clients - that you have practised competently). The basic principle is that your evidence needs to be convincing for what you are claiming.

If any of your evidence relates to activities you have undertaken as part of a team, you will need to make clear your role in them.

During the visit

On the day of the visit you will need to ensure that what you have agreed with the assessors is in place - for instance you have available the objects and records they want to see, and have arranged times to meet colleagues if relevant.

The assessment visit is likely to take up to six or seven hours, including time for the assessors to discuss what they have seen and agree their recommendations. Different assessors will have different preferences for how they approach the day, but ensure you agree a timetable at the beginning which will enable you to get over what you want. While the assessors will aim to see and discuss everything they need, it is up to you to make your case.

A suggested format for the visit is:

- A short discussion (no more than half an hour) on your work and experience, based on your statement in your application, plus any relevant information about your role, institution, or practice.
- A longer period discussing the projects and activities which you included in your application, backed by your evidence. This should avoid repetition caused by going through the standards one at a time. Following this the assessors may want to confer in order to identify which areas of the standards need further discussion and examination of evidence.
- A session discussing and examining evidence to follow up these queries.
- Towards the end of the day the assessors will confer privately to agree their findings, followed by a discussion with you to raise any final queries and give their feedback. It may not be possible for the assessors to make decisions on all points during the day; if this occurs they will contact you within a week of the visit.

Wrapping up

Having discussed their findings with you, the assessors will ask you to read their comments and sign the document. If you disagree with their findings or anything which has affected them, or have any comments you would like to draw to the attention of the Accreditation Committee, make a note of this in the space provided on the form. If you prefer you can forward your comments directly to the Accreditation Committee via your professional body; they will not be shown to the assessors before their assessment decisions have been made.

Whether or not you write anything at this stage does not commit you to (or prevent you from) appealing against the Committee's decision.

Sometimes it will not be possible to complete all the formalities on one day, and the assessors will write up their decisions after the visit and send them to you for comment within a week of the visit. You should respond quickly so that the completed document can be sent to the Accreditation Committee within a further week. The assessors may also agree that you can provide additional information before they send the document to the Committee; again this should be completed within two weeks of the visit.

Comments please

The Professional Standards Board of NCCR will review the professional standards and the accreditation process periodically. Any comments you have on the standards, documents or process of assessment will be welcomed by the Board: please convey them via your professional body.

6 Assessment, decisions and appeals

Assessment principles

The assessment process is intended to be consistent, fair and open, and to enable you to discuss anything which you think is not being assessed fairly.

Assessment should be:

Valid. Assessment decisions must be based on the professional standards and criteria - not for instance on the assessors' personal standards or preferences, or your background, length of experience or qualifications. Assessment should concentrate on central issues rather than trivial detail.

Fair. Assessment must not discriminate against candidates on grounds other than that they don't meet the professional standards and criteria.

Consistent. The process is designed to ensure that the same standards are applied to different candidates and by different assessors.

Open. The assessment process should be as open as possible, involving you in discussion throughout. Assessors must be prepared to state why they think a standard or criterion hasn't been met, and allow you to explain if you differ; if any difference in opinion can't be overcome, the assessors must make a note of it. You must read the assessors' comments and sign the assessment record. While there is an appeals procedure you should aim to resolve any minor differences with the assessors on the day.

Justifiable. The assessment findings should withstand external scrutiny and be backed by sufficient information to show why the assessors arrived at the decisions they did.

Effective and efficient. There will be limited time to complete the visit, requiring the assessors - and the candidate - to be organised and efficient.

If you don't think these principles are being applied during the visit, you are entitled to raise your concerns with the assessors on the day or if they are substantial with the Accreditation Committee.

The assessors' findings

During the visit the assessors will mark each area of the standards with a C (where you have provided evidence of practical competence), K (where your capability has been demonstrated through your knowledge), or X (if they are not convinced of your capability in the area concerned). The Accreditation Committee is likely to approve you as meeting the professional standards if you have Cs throughout or a mix of Cs and Ks, provided that (as a guide) no more than one of the six functional areas 1-6 have all Ks, and the functional areas as a whole have more Cs than Ks. An 'X' on any page or a 'K' in section 3.2 means referral in the whole of the area covered on the page: e.g. an X in 2.1 means referral in the whole of 2.

The Accreditation Committee's decision

Final decisions about accreditation rest with your professional body. The professional body will normally grant accreditation if the Accreditation Committee judges that you meet the professional standards, provided there are no reasons (such as disciplinary breaches or non-payment of subscriptions) to withhold accreditation.

You will be informed of the decision via your professional body. This will be one of:

- Formal confirmation of your accreditation.
- Notification of referral, including the areas in which you have been referred and any advice on what you need to do.
- Notification that accreditation has not been approved. Again, you will be provided with the reasons and feedback to assist you in meeting the standards.

What to do if you are referred or accreditation is refused

If you are referred, you can be reassessed once in the area(s) of referral by the same assessor/s (or by different assessors if the Accreditation Committee deems it necessary for a fair assessment) before a final decision is made. If another visit is required there may be a (reduced) referral fee, although your professional body may choose to waive this. You will be advised to help you address the issues leading to referral. You need not be assessed immediately; you can decide to defer reassessment for a up to a year if needed to gain additional experience or training.

If you are asked to undergo a further visit due to referral, you can discuss with the Accreditation Committee alternative ways of demonstrating that you meet the standards in question, e.g. by submitting a portfolio of evidence. The Committee will be open to alternative methods provided they enable a valid and reliable assessment to be made.

A rejected application will be regarded as closed, and you will need to reapply at least twelve months after the date of the assessment visit (or referral visit if applicable). Reapplications are treated in the same way as new applications, and attract the same fee.

Appeals

If your application has not been approved, you have right of appeal via your professional body.

- In the first instance you should aim to resolve any differences with the assessors during, or immediately after, the assessment visit.
- If you are not satisfied with your professional body's decision, your first point of recourse for formal appeal is your professional body. A fee may be charged for a formal appeal; it will be refunded if your appeal is successful.
- If your application has not been approved and your appeal cannot be resolved within your professional body, the NCCR Professional Standards Board will set up an appeals sub-committee to investigate your appeal initially through reviewing records and discussion with you and with your assessors. You may

submit additional written evidence at this stage, and in some circumstances the sub-committee may arrange a visit.

Please note that if you are referred you cannot invoke the formal appeals process, but you can approach the Accreditation Committee as discussed above.

You should address queries, or register your intention to appeal, with your professional body, within 30 days after receiving the decision of the Accreditation Committee. A formal appeal, with full details of the grounds for the appeal, should be lodged with the professional body within 90 days after receipt of the Accreditation Committee's decision. Extensions to this period will only be made for exceptional reasons, for instance if you are outside the UK at the time of the decision or your professional body has not followed your instructions regarding where to contact you.

National Council for Conservation-Restoration
Professional Accreditation of Conservator-Restorers

PACR 3

Assessor Guide

April 2001

for assessments in 2001

Assessor Guide

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You should also have the following documents:

- 1 Introduction to the Professional Accreditation Scheme
- 4 Application and Assessment Record
- 5 Continuing Professional Development.

You should also be familiar with the other scheme documents including PACR 7 Accreditation Committee Guide, and any additional guidance provided for assessor training and updating.

Contact details

The first point of contact should be your professional body, i.e. one of:

Institute of Paper Conservation, Leigh Lodge, Leigh,
Worcester WR6 5LB tel 01886 832323 fax 01886 833688
email clare@ipc.org.uk

UKIC, 109 The Chandlery, 50 Westminster Bridge Road,
London SE1 7QY tel 020 7721 8721 fax 020 7721 8722
email ukic@ukic.org.uk

Conservation Accreditation Sub-Committee, c/o Society of
Archivists, 40 Northampton Road, London EC1R 0HB
tel 020 7278 8630 fax 020 7278 2107
email societyofarchivists@archives.org.uk

Details of the scheme, its standards, guidance for candidates and assessors and an introduction to CPD can be downloaded from your professional body's web site, or from www.nccr.org.uk

For other queries, write to:

Professional Standards Board
National Council for Conservation-Restoration
106 The Chandlery, 50 Westminster Bridge Road,
London SE1 7QY

1 Introduction

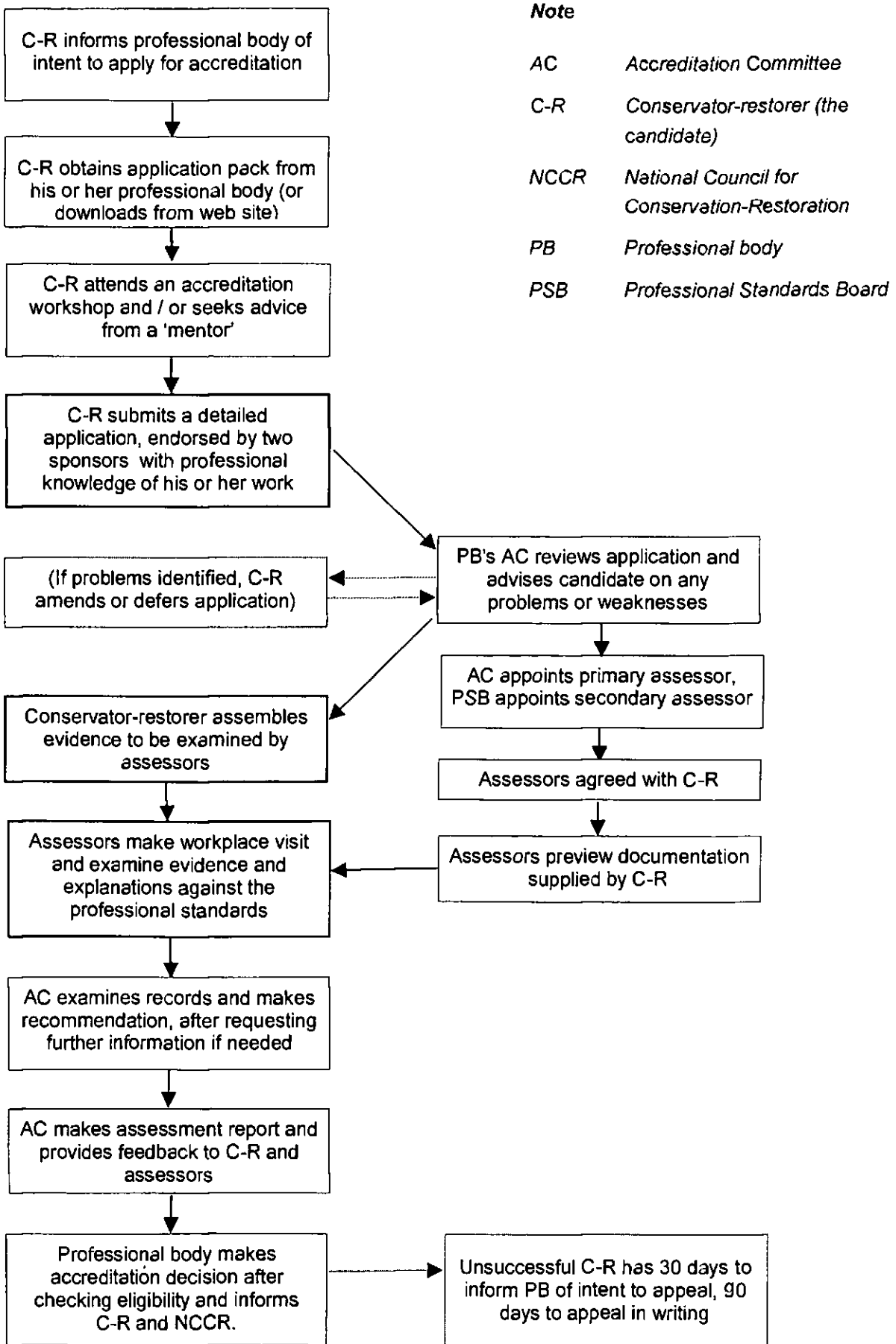
This Guide highlights key points for assessors working in the PACR scheme. It should be used in conjunction with the guidance in the assessment and application document (document 4) and guidance provided during assessor training and updating workshops.

Assessors are also strongly advised to familiarise themselves with documents 1 (the introduction to the scheme), 2 (the candidate guide), 5 (continuing professional development) and 7 (accreditation committee guide). The documents are available from your professional body or on-line at www.nccr.org.uk/accredit.htm.

Comments please

The Professional Standards Board will review the professional standards and the assessment and accreditation process periodically. Any comments you have on the standards, documents or process will be welcomed by the Board, either at the annual scheme review or via your professional body.

2 The accreditation process



Taking on a candidate

Before you become involved with a particular candidate, he or she will have completed the application for accreditation (the candidate's sections of document PACR 4) and obtained endorsements from two conservator-restorers (sponsors) who can vouch that the document is a true statement. The application will have been checked by the professional body office and the Accreditation Committee before it reaches you; if it is incomplete, illegible or in your view so weak that the candidate has little chance of passing the assessment, please refer it back to the office immediately.

Primary (lead) assessors are allocated to candidates by the Accreditation Committee of the candidate's professional body, and secondary assessors by the Professional Standards Board of NCCR. You will be informed whether you are being asked to act as lead or secondary assessor. The lead assessor should be from the same specialism as the candidate, while the secondary assessor normally will not be (and need not be from the same professional body). At least one assessor should have recent experience of the same working environment - private / commercial practice or institutional - as the candidate. An effort will also be made to avoid excessive travel, although this may not always be possible.

If you know of any reason why you should not assess the candidate - for instance a conflict of interest, previous knowledge of the candidate which you think may prejudice your judgement, or (as a primary assessor) you do not consider yourself competent in the candidate's specialist area - you should contact the Accreditation Committee immediately via the professional body office. The candidate can also object to assessors on similar grounds.

Checking the application

Before contacting the candidate you should read through the application form and discuss it with your colleague assessor. The form will have been checked by the Accreditation Committee, but check that:

- all sections have been filled in, including details of training and experience, CPD, details of key projects and activities, and the candidate column of the professional standards section
- the application has been signed by two sponsors, and the sponsors are qualified and experienced conservator-restorers
- sponsor or witness endorsement has been obtained for sections D and E.

Preparing for the visit

Assuming the application is acceptable the primary assessor should contact the candidate and arrange a mutually convenient time for a full-day visit. At this stage do not enter into detailed discussion about the content of the application form, but check with the candidate that the evidence you will need to see will be available on the day. Note that the objects detailed on the form may not be available on the day.

Both assessors need to read through the application in depth before the visit. You may find it helpful to make notes about areas where you want to see evidence or discuss points to back up the application,

as well as any areas where what is written on the form is less convincing and needs to be investigated more deeply. Time will be at a premium on the visit, and you will need to be reasonably clear in advance about what you expect to see and need to ask, and what your priorities are. However, be prepared for some changes, as during the period between the candidate completing the application and the visit taking place the evidence which is physically available for you to see may have changed.

Most visits are likely to be to the candidate's workshop or studio, but you may need to make a site visit in addition if this is feasible. If you can only visit one location because of time, ensure this provides the best opportunity to see what you need to see - for instance, a site visit may be preferable to a studio visit if there is little work in the studio, and records etc can be brought to the site. The visit must not be just an interview.

If you are visiting an institution or practice where the candidate is not in charge, please also check with the principal or head of section before arranging the visit, and confirm your arrangements in writing or by email.

The visit

The assessment visit is likely to take around 6-7 hours, including time for you discuss what you have seen, agree your findings and give feedback to the candidate.

The visit will involve a balance of examining documents and objects, discussion with the candidate, and possibly a short discussion (no more than 20 minutes) with the candidate's manager or colleagues (with the candidate's permission). As a guide expect to spend four hours on discussion and examining evidence, allowing two hours for review, queries and feedback.

The following format for the visit has been found to be generally successful:

- A short discussion (no more than half an hour) on the candidate's work and experience, based on the information in the application, plus any relevant information about his or her role, institution, or practice.
- A longer period discussing the key projects and activities described in the application, backed by examining relevant evidence. This will avoid the excessive repetition caused by going through the standards one at a time. Following this you may want to confer with your colleague in order to identify which areas of the professional standards have been covered already and which need further discussion and examination.
- A session discussing and examining evidence for any remaining areas of the standards, dealt with one at a time.
- Towards the end of the day you will need to confer privately to agree and record your findings, followed by a discussion with the candidate to raise any final queries and give your feedback.

Ideally you should be able to agree your findings on the day. However, if this will result in a rushed and poorly considered decision, it is acceptable to leave it until afterwards provided you inform and discuss it with the candidate as soon as possible, normally within one week.

Recording and wrapping up

Ensure your decisions on each section of the form are recorded clearly (see the sample records based on PACR 4), and you have made clear how you arrived at each decision: it is important that the Accreditation Committee can see that your decisions were based on reasoned judgement about things you saw and discussed. You will also need to complete the summary on page 4.44, complete the queries section (page 4.45) if relevant, and add any feedback you have for the candidate (page 4.45). This can be done on the day or, if this is not possible, by sending the document to the candidate shortly afterwards. However, anything written afterwards should not contradict any feedback you gave on the day.

At the end of the visit (or afterwards if necessary), discuss your findings with the candidate and ask him or her to read your comments and sign the document. If the candidate disagrees with your findings, or has any comments s/he would like to draw to the attention of the Accreditation Committee, ensure s/he records this in the space provided on the form. Whether or not the candidate writes anything at this stage does not affect his or her right of appeal.

If the candidate prefers to give feedback directly to the Accreditation Committee, he or she can photocopy the 'Candidate's Feedback' page and send it on separately. You will have an opportunity to see it after the Committee has made its decision.

If there are areas where you cannot make a decision because of lack of information, you can ask the candidate to provide additional information or evidence after the visit. However, you should be in a position to return the document to the Accreditation Committee within two weeks of your visit.

After the visit

After the visit the Accreditation Committee will consider the candidate's application along with your comments and findings. The Committee's role is to moderate assessments, i.e. ensure that candidates are being assessed to the same standard by different assessors, and to recommend an overall result based on your decisions for the individual sections. It can:

- Contact the candidate for additional information or explanations before a decision can be made. (Equally, the Committee may contact you if there are any queries about your findings).
- Refer the candidate - i.e. require reassessment in up to two out of the eleven areas of the professional standards. In this case the candidate will need a further assessment visit or be asked to provide additional evidence before a final decision is made. These will normally be areas you have marked 'X' or where there are a high proportion of 'Ks.'
- (A) Agree that the candidate meets the requirements of the professional standards. The Committee will pass the application / assessment document to the candidate's professional body with its recommendations. Unless there are grounds (such as disciplinary matters or non-payment of fees) to withhold accreditation, the professional body will write to the candidate to confirm that accreditation has been successful.
- (B) Decide that the candidate has not met the requirements of the professional standards. In this case the candidate will not be able to reapply within twelve months of the visit date.

3 Assessing to the professional standards

The professional standards and criteria are contained in the application / assessment document, with space on the facing pages for the candidate's explanation, any witness signatures, and your comments. The professional standards consist of **functional criteria**, which describe conservation work, and **professional criteria**, which concern working at a professional level.

The assessment process requires the standards to be interpreted in the candidate's working context. Provided the principles outlined in the standards are met, there should be no barriers based on the candidate's specialism, or whether he or she is working in an institutional or private practice context. Generally, the standards should be applied in a way which reflects the conservator-restorer's current job and where necessary draws on his or her previous experience. For instance, this means that:

- where the candidate is a conservation manager, scientist, trainer or lecturer, competence may need to be evidenced through previous experience and communication of understanding: it may be unrealistic to expect the candidate to be able to produce current examples, but you must be convinced that he or she has practised to a competent level (e.g. through documentary evidence, references and discussion)
- where the candidate is currently involved in practical conservation, examples of work - not just descriptions and records - would be expected
- in private and commercial practice, the physical evidence available for the visit may not relate to the projects describe by the candidate. You may therefore need to look at records and details of successfully completed contracts rather than objects for these projects, although you will also need to examine object-based evidence.

An accredited conservator-restorer is expected to be able to act competently across all the functions described in the standards, even if some of this competence is evidenced through practical understanding rather than physical evidence or records. **Note that section 3 cannot be passed unless the candidate has experience of practical conservation and has reached a proficient standard**, whether this is demonstrated through current work or evidence and witness statements relating to a previous role.

The functional criteria

The functional criteria are each divided into two or three activities (1.1, 1.2 etc). Each of these activities is described in two parts. The first part ('This involves...') outlines what is essential about the activity: the candidate will need to demonstrate that s/he can carry out this function to a professional standard. The second part ('You will need to...') enlarges on this by adding further detail or explaining what might be expected. The activity title and 'This involves..' describe the **essential** activity which is being assessed; 'You will need to...' provides elaboration and guidance which should **normally** be followed.

The candidate will need to demonstrate that s/he can carry out the functions to the standard expected of a professional practitioner, whether in an institution or in private practice: you should look for sound

independent judgement and an ability to deal with complex conservation problems. The aim is to demonstrate fitness for purpose (i.e. a mainstream professional standard), not absolute perfection.

The professional criteria

The professional criteria (A-E) concern principles and values which run through the work of the professional conservator-restorer. They are less tangible than the functional criteria, and therefore less easy to make 'yes/no' judgements about.

Much of what the candidate demonstrates or discusses in relation to the functional criteria will also provide evidence for the general criteria, although specific instances might also be highlighted, for example where the candidate has dealt with value-conflicts or undertaken professional development. You will also need to check that there is no evidence of bad practice in the candidate's work - for instance evidence of unethical practice or failure to keep up-to-date - without trying to catch the candidate out or attempt a comprehensive trawl through his or her work in the limited time you have available.

The criteria are divided into *understanding of...* (general principles and knowledge) and *evidence of...* (specific instances). Understanding may be apparent from evidence of practice or from discussion. 'Evidence of...' could be apparent from evidence put forward to meet the functional criteria or from related discussion, or from evidence or discussion of specific instances. Tangible evidence of meeting some of the general criteria may be difficult or impossible to assemble, so discussion and possibly the testimony of colleagues may be the only way that the candidate can demonstrate them.

Openness and dialogue are particularly important when assessing the general criteria. If you disagree with the candidate about how the criteria apply, this should be explored and any differences which can't be resolved are recorded.

What level of ability is expected?

Accreditation is pitched at the level of **an experienced practitioner capable of working on their own initiative**, making independent professional judgements, managing their work and professional development, and taking responsibility for their decisions. This means that the candidate will be expected to be capable of working unsupervised across all the areas described in the professional standards. Using the Dreyfus model of skill acquisition (see appendix), the general standard needed is into the 'proficient' category, with evidence of 'expert' in areas where the candidate is most experienced. He or she does not need to be in a managerial or team leadership role, but will need to show the ability to take responsibility for personal actions and judgements and if necessary those of others.

If the candidate is involved in working on objects, their work must be fit for purpose and meet the standard expected in their discipline of a competent practitioner working in their own right (i.e. not absolute perfection, but a 'mainstream' professional standard). Note, as previously stated, that current or past proficiency in object-based work is required; where there are doubts about this, you should contact relevant sponsors or witnesses.

Note that the depth of understanding required is described as at a 'post-graduate' level - this doesn't refer to detailed academic knowledge, but does require depth of understanding, intelligent practice and professional judgement. PACR implies more than an expert technician - professional judgement and responsibility for own decisions are also critical.

Note that the candidate may not be able to provide evidence of practical proficiency in all areas: for instance, some conservator-restorers in private practice may have little involvement in preventive conservation, while in institutions the way job roles are defined may limit involvement in certain areas. In these cases a working level of knowledge (not just theoretical knowledge) is likely to be acceptable provided it convinces you that the candidate could act competently if required. As a general rule no more than one of the six functional areas (1-6) should be demonstrated through knowledge alone, and accreditation is unlikely to be approved if the candidate is unable to demonstrate proficiency or practical experience across a substantial proportion of each of the remaining areas. **Current or past practical proficiency must be apparent in area 3.2; it is not sufficient for the candidate just to show a working knowledge.**

What does 'complex' mean?

The functional criteria frequently ask for evidence of dealing with 'complex conservation problems.' Complex situations are typically those which:

- require choices between options which lead to significantly different outcomes
- present dilemmas and value-conflicts or require significant value-judgements
- present substantial technical problems, for instance in relation to unstable or degraded materials
- require a deep level of practical understanding to be applied to the situation
- require the marshalling and management of a wide range of resources.

To be 'complex' a situation need not contain all these factors, but it is likely to include more than one or have one present to a high degree. In particular you will need to look for evidence of a considered approach when dealing with complex situations.

Continuing professional development

As part of his or her evidence the candidate will need to show evidence of ongoing learning and development, including the 'CPD review' which forms part of the application. This provides a reflective account of his or her learning and development over the year two years up to the time of the application, and evidence of identifying further areas for development and planning to take action to meet them. **Please note that for PACR, CPD is described in terms of learning and development, not attendance on courses or conferences;** refer to section C of the professional standards in PACR 4, and the guidance on continuing professional development in PACR 5 for further details. Do not make a separate assessment of the CPD review: it forms part of the evidence for section C.

For 2001 applications, the CPD review is now incorporated in the application document.

If the candidate is a manager, consultant, scientist or lecturer

Because the designation 'accredited conservator-restorer' implies an ability to practise to a competent standard, people who operate in a managerial, advisory, research or teaching role are **only eligible for accreditation if they are also proficient as conservator-restorers.**

Where candidates no longer undertake some of the functions described in the professional standards they will need to provide evidence which demonstrates relevant knowledge, judgements and decisions - for instance in commissioning and evaluating conservation work - backed by evidence that they have trained as a conservator-restorer and undertaken practical conservation work (i.e. section 3) to a proficient standard.

There is no limit on the age of evidence that can be used, although recent projects are encouraged and in any case you need to be sure that the candidate still has the abilities you are assessing. You will probably need to question more carefully for older projects. If the techniques used on the project are out-of-date, check how the candidate would approach it now.

It is possible that a different approach may be taken for applications from 2002/3 onwards, possibly with streams for practising conservator-restorers and for advisory and similar roles. The interpretation above must be applied to all current applications.

4 Assessment principles and findings

While the professional standards form the basis for assessment, an acceptable quality of assessment will only take place through assessors exercising their professional judgement in a way which is consistent, fair and open. You must give candidates the opportunity to discuss anything they think is not being assessed fairly; you must not attempt to 'catch candidates out' or conduct the assessment or ask questions in a way that creates unnecessary pressure. Professional competence and understanding, not exam technique or ability to respond under pressure, is being assessed.

Equally, the assessment is about where the candidate is now, not the route taken to arrive there. Length and breadth of experience, presence or otherwise of formal training etc can be indicators of potential areas of strength or weakness, but they must not influence your decisions, which are based on the professional standards alone.

Assessment must be:

Valid. Assessment decisions must be based on the professional standards and criteria - not for instance on the assessors' personal standards or preferences, or the candidate's background, length of experience or qualifications. Assessment should concentrate on central issues of professional competence, understanding and judgement rather than trivial detail.

Fair. Assessment must not discriminate against candidates on grounds other than that they don't meet the professional standards and criteria.

Consistent. The process is designed to ensure that the same standards are applied to different candidates and by different assessors.

Open. The assessment process should be as open as possible, involving the candidate in discussion throughout. You must be prepared to state why you think a standard or criterion hasn't been met, and allow the candidate to explain if s/he differs; if any difference in opinion can't be overcome, you must make a note of it either opposite the relevant professional standard or on page 47 of the assessment document.

Justifiable. The assessment findings should withstand external scrutiny and be backed by sufficient information and comment to show why you arrived at the your decisions.

Effective and efficient. There is limited time to complete the visit, requiring you - and the candidate - to be organised and efficient. You must not make poor-quality decisions on the grounds that you didn't have enough time, but equally candidates do not have a valid complaint if relevant evidence was not examined or discussed due to their own lack of organisation.

If the candidate doesn't think these principles are being applied during the visit, s/he is entitled to raise his or her concerns with you on the day or if they are substantial with the Accreditation Committee.

Your findings

During the visit you will mark each area of the standards with a C (where there is evidence of current or past practical competence), K (where the candidate's capability has been demonstrated through knowledge), or X (if you are not convinced of the candidate's capability in the area concerned). The Accreditation Committee is likely to approve the candidate as meeting the professional standards where s/he has Cs throughout or a mix of Cs and Ks, provided that (as a guide):

- no more than one of the six functional areas 1-6 has all Ks
- the functional areas as a whole have more Cs than Ks
- area 3.2 has a C.

An 'X' on any page means referral in the whole of the area covered on the page: e.g. an X in 2.1 means referral in the whole of 2. Note that this means that an X anywhere in the document, or a **K** in **section 3.2**, will automatically result in referral.

You do not make an overall decision about whether or not the candidate should be accredited.

5 Evidence

The assessment process is based on examining 'evidence.' The evidence you are likely to have available includes:

- the candidate's application
- endorsements from sponsors and witnesses
- objects and other visible evidence of practical activity
- paper-based products or evidence of the candidate's work, e.g. records and documentation, conference or similar papers, records from training
- discussion with the candidate

and possibly

- discussion with others who know the candidate's work
- video or audio recordings.

You will need to check that the evidence you are examining is:

Relevant to the professional standards and criteria. Some evidence e.g. the application booklet and objects being conserved will be directly relevant, while others such as a relevant qualification might act as supporting evidence.

The candidate's **own work** or relating to the candidate's work. In particular, be sure to check the candidate's role in any projects which were completed as part of a team.

Sufficient to indicate that the candidate can act competently and professionally at will. Different types of evidence, including intelligent discussion, are often more valuable in providing a convincing 'case' than repetition of the same type of evidence.

At a broad level, you are looking for evidence which gives you confidence that the candidate meets (or could meet) the standards consistently - not just on a good day or with assistance.

The amount of evidence can vary depending on the candidate's experience and level of competence. For instance, you may need more evidence from someone you felt was just meeting the standards than from someone who clearly knows what they are doing or has plenty of experience to back up their claim.

Current. The evidence needs to show that the conservator-restorer is currently competent. This will generally mean that evidence should be fairly recent, although for instance recent practical evidence should not be expected in the case of conservator-restorers who do not now handle objects (the relevant understanding and judgement should be sought instead).

Note

The professional criteria are likely to be demonstrated across a range of functional activities - and therefore are likely to be inferred from discussion and looking at a wide range of evidence, rather than being demonstrated conclusively by specific items of evidence.

6 Questioning and feedback

Before, during and at the end of the visit you should be aiming to put the candidate at ease and if necessary draw out evidence and discussion. The visit is not a 'test' - the aim is to find out whether the candidate can meet the standards, not put obstacles in his or her way.

Questioning

- Questioning and discussion can take place unobtrusively while examining products of work or similar evidence, or separately
- Asking the candidate to talk through their reasoning is a particularly effective way of gathering evidence.
- In all cases aim to make the discussion as natural as possible and least like a test.
- Don't ask questions to check things which are already apparent from written evidence or the candidate's work, unless you have doubts about them.
- People who can comment reliably on the candidate's work can be useful sources of evidence if the candidate is happy for you to talk to them.

Feedback

- Plan for at least an hour at the end of the day for discussion and feedback: up to 20 minutes between assessors privately, the rest with the candidate. If you are unable to provide feedback at the end of the day, you will need to do it by telephone within a week of the visit.
- Ensure the candidate understands the reasons for your decisions, and feels able to challenge them if he or she wants.
- Ensure the candidate is clear about whether you are giving feedback about (a) failure to meet an area of the standards, (b) further information or evidence which is needed, or (c) general feedback and advice on strengths and areas for development.
- At this stage the decisions are your judgement - don't represent them otherwise.

The candidate will be given the final decision and feedback from his or her professional body. It is important at this stage not to speculate on the decisions of the Accreditation Committee or the professional body.

Appendix: Levels of competence and expertise (from the Dreyfus model of skill acquisition)

<i>Level</i>	<i>Stage</i>	<i>Characteristics</i>	<i>How know- ledge etc is treated</i>	<i>Recognition of relevance</i>	<i>How context is assessed</i>	<i>Decision- making</i>
1	Novice	Rigid adherence to taught rules or plans Little situational perception No discretionary judgement	Without reference to context	None	Analytically	Rational
2	Advanced beginner	Guidelines for action based on attributes or aspects (aspects are global characteristics of situations recognisable only after some prior experience) Situational perception still limited All attributes and aspects are treated separately and given equal importance	In context			
3	Competent	Coping with crowdedness Now sees actions at least partially in terms of longer-term goals Conscious, deliberate planning Standardised and routinised procedures				
4	Proficient	Sees situations holistically rather than in terms of aspects Sees what is most important in a situation Perceives deviations from the normal pattern Decision-making less laboured Uses maxims for guidance, whose meanings vary according to the situation		Present	Holistically	
5	Expert	No longer relies on rules, guidelines or maxims Intuitive grasp of situations based on deep tacit understanding Analytic approaches used only in novel situations or when problems occur Vision of what is possible			Intuitive	

Adapted from: Dreyfus, S E (1981) *Four models v human situational understanding: inherent limitations on the modelling of business expertise* USAF Office of Scientific Research, ref F49620-79-C-0063; Dreyfus, H L & Dreyfus, S E (1984) "Putting computers in their proper place: analysis versus intuition in the classroom," in D Sloan (ed) *The computer in education: a critical perspective* Columbia NY, Teachers' College Press.

National Council for Conservation-Restoration
Professional Accreditation of Conservator-Restorers

PACR 4

**Application and
Assessment Record**

April 2001

For 2001 applications.

Candidate
Daytime telephone number
Email
Professional body (circle) IPC SoA UKIC
Candidate state any periods when unavailable for assessment
Office use only: Primary assessor Secondary assessor

PAPER C4

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NOTE If you are printing this document from a downloaded file, it should be printed in 'landscape' (horizontal) format and stapled down the short edge. If you print it double-sided, the even pages must be on the left. There are 49 pages in total: if there are more in your copy you will need to adjust the margins of your page layout (in Word, File - Page setup - Margins) to prevent overrun.

Application and Assessment Record

- **Candidates:** Complete page 7 NOW and send a copy of it to your professional body at least a month before the application deadline. Read 'Notes for Candidates' on page 4 and complete pages 8-16 and the 'Candidate' column on facing pages 19-39. When you have obtained sponsor and (if appropriate) witness details, forward this form to your professional body with your registration fee of £50 (2001). IPC candidates only should send two further copies that can exclude the pages that do not need to be filled in by you or the assessors / committee. If you complete your application in Word, also send in one printed copy that includes sponsor, witness and your own signatures.
- **Sponsors and witnesses:** read 'Notes for Sponsors and Witnesses' on page 5, read the (relevant parts of) the candidate's application, complete the details on page 40 or 41/42, and sign the relevant parts of the 'Witness' column on facing pages 19-39.
- **Assessors:** read 'Notes for Assessors' on page 6, and complete the details on page 43 before the assessment visit.

All: use black ink when filling out the form, or complete it electronically. Do not write outside the boxes provided, or create or run on to extra pages.

Contact details

The first point of contact should be your professional body, i.e. one of:

Institute of Paper Conservation, Leigh Lodge, Leigh, Worcester WR6 5LB
tel 01886 832323 fax 01886 833688 email clare@ipc.org.uk

UKIC, 109 The Chandlery, 50 Westminster Bridge Road, London SE1 7QY
tel 020 7721 8721 fax 020 7721 8722 email ukic@ukic.org.uk

Conservation Accreditation Sub-Committee, c/o Society of Archivists, 40 Northampton Road, London EC1R 0HB
tel 020 7278 8630 fax 020 7278 2107 email societyofarchivists@archives.org.uk

Details of the scheme, its standards, guidance for candidates and assessors and an introduction to CPD can be downloaded from your professional body's web site, or from www.nccr.org.uk

For other queries, write to:

Professional Standards Board
National Council for Conservation-Restoration
106 The Chandlery, 50 Westminster Bridge Road, London SE1 7QY

Notes for candidates

This booklet consists of an accreditation application form and a complete set of the professional standards with spaces to provide relevant information and indicate sources of evidence.

You will need to:

- Complete the details on pages 7-8, and send a copy of page 7 to your professional body at least a month before the application deadline.
- Complete your review of professional development on pages 9-12, after reading document PACR 5.
- In the section headed 'Projects and activities' (pages 13-15), outline any significant projects or work activities which you want to use as evidence and bring to the assessors' attention. This will save you repeating information later on: you can simply refer back to the project by name.
- Map the projects against the professional standards, using the matrix on page 16. This enables you to see areas where there might be gaps, and is also useful to tell the assessors what areas to look for when discussing each project.
- Use the first column opposite each page of standards (facing pages 19-39) to outline your experience in the relevant area (and refer to projects or activities which you can produce evidence for or discuss with the assessors). The second column can be used by a sponsor or witness to endorse your claim; **it must be completed for sections D and E**, but is optional for the other criteria. Don't write on the standards pages.
- Obtain signatures from two sponsors and where applicable any further witnesses (the professional body reserves the right to ask for additional sponsors). Sponsors are experienced and qualified (preferably accredited) conservator-restorers who are capable of understanding the whole of your application and verifying it as a true and fair statement as far as their knowledge permits, while witnesses verify specific statements you have made; they could include non-specialists such as clients. Specific endorsements are not essential other than in sections D and E (these could be made by sponsors or other witnesses), but they can strengthen your application particularly in areas where your evidence is limited.
- **Send the completed document to your professional body with your registration fee of £50.**
- Following the assessment visit you can use the space on page 46 to comment on the assessment or the assessors' findings.

For further guidance please consult document PACR 2 'Guidance for Candidates.'

Notes for sponsors and witnesses

A **sponsor** is a person who knows the candidate well enough on a professional basis to **make an informed judgement about whether the information s/he has provided in this application document is truthful**. You should either be familiar with the candidate's work, or make a visit to his or her studio or workplace. To be a sponsor you **must** be an experienced and qualified conservator-restorer. Sponsors do not assess the application or recommend accreditation.

A **witness** is someone who can testify to specific statements which the candidate has made. Witnesses need not have expertise in conservation or restoration, particularly if they are endorsing non-technical areas such as D and E. **Sponsors can also endorse specific statements using the 'witness' column.**

If you are a sponsor:

- Complete the sponsor's declaration on page 40. You are being asked to verify the candidate's application as providing a true and fair statement of his or her work and ability. Your role is not to assess the application or recommend accreditation. However, if you believe the application is weak in any areas, you are encouraged to discuss this with the candidate.
- Initial any of the candidate's statements on pages 19-39 that you are able to verify specifically, e.g. because you have seen the candidate's work or direct evidence of it.

If you are a witness:

- Complete your details in the space provided on page 41 or 42 (unless you are also a sponsor).
- Initial any of the candidate's statements on pages 19-39 where you have personal knowledge that the statement is true. The candidate may ask you to endorse a particular area or set of statements.

Notes for assessors

You will need to:

- fill in your details on page 43.
- if you are the lead assessor, ensure your colleague assessor also has a copy of this document at least ten working days before the assessment visit (this should have been provided by the candidate's professional body)
- on the assessment visit, complete the records against the professional standards, giving enough information to show how your decisions were made (see below).

In the final column, each 'box' should be marked with one of the following:

- a 'C' if you are happy that the candidate has demonstrated that s/he is currently competent in this area, whether from current work or convincing evidence of past work
- a 'K' if s/he **has not demonstrated relevant experience** but has sufficient **working** knowledge and understanding (not just theoretical or background knowledge) to convince you that s/he could act competently in the relevant area
- an 'X' if you are not convinced about the candidate's ability in this area.

In the third column add notes to show how you arrived at each decision: it **must be clear that your decisions are based on reasoned judgements**. There is a separate document available via your professional body which gives examples of assessor comments. Do not write on the even pages of the professional standards as these will not be photocopied.

At the end of (or within a week of) the visit, summarise your decisions on page 44, complete the feedback information (page 45) and discuss it with the candidate. **Ensure that page 47 is signed and dated by both assessors and by the candidate.**

For guidance on assessment please consult booklet PACR 3 'Guidance for Assessors.'

Candidate details

Name	Current employer or name of practice
Address for correspondence	
Telephone (daytime)	
Fax	Sector e.g. private / commercial or public / institutional?
Email	Your job title or work role
Location for assessment visit if different	Please give a brief outline of your current work responsibilities and activities
Application round (e.g. June 2001)	
I declare that all statements which I have made in this document are to the best of my knowledge truthful. I undertake to comply with the PACR standards and the professional body's code of ethics in my work. I accept that in the case of an appeal against an accreditation decision, the decision of the NCCR Professional Standards Board's Appeals Sub-committee is final. Deliberately making a statement which is false or calculated to mislead will result in disqualification from accreditation.	
Signed	
Date	

Candidate details (continued)

Qualifications

Please list any qualifications or training certificates you hold.
Exclude school qualifications.

Experience

Please outline your previous experience. Indicate if any posts were training posts or internships,
and give the name of your principal supervisor.

<i>Qualification and awarding body or university</i>	<i>Year</i>	<i>Post, organisation / practice and brief description of activities</i>	<i>Dates from / to</i>

Continuing professional development

1. **Write a summary for the past two years** reflecting on:

- how your knowledge and understanding has changed,
- how you have kept up-to-date,
- any new skills you have developed or things you now do differently,
- and if appropriate, whether you approach things differently in any way.

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<p>2. How do you anticipate using the learning described in section 1 in the future? How will it benefit your professional activities, other people, and the profession in general?</p>	<p>3. Are there any areas for further development that you can identify as a result of your review?</p>

4. What are the main challenges, needs, changes, opportunities and threats you expect to encounter over the next year, two years or five years? Do you need to update your knowledge or skills for particular projects or areas of work, or to keep abreast of developments in your field? Do you have any plans or aspirations?

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5. What will you do to meet the needs and changes you have identified? Give most attention to specific actions you will take over the next year or 18 months.

Area	Actions	Area	Actions

Projects and activities

Use the space below to outline significant projects and activities which you will be using for evidence and discussion for your assessment visit. Include a balance of activities to demonstrate your proficiency across the range of areas covered by the standards (see page 16).

Brief name of activity, project or object	Brief name of activity, project or object
Dates from / to	Dates from / to
Your responsibility (e.g. team leader, sole responsibility, team member)	Your responsibility (e.g. team leader, sole responsibility, team member)
Description of project	Description of project

Projects and activities (continued)

Brief name of activity, project or object	Brief name of activity, project or object
<p data-bbox="129 269 315 296">Dates from / to</p> <p data-bbox="129 349 972 376">Your responsibility (e.g. team leader, sole responsibility, team member)</p> <p data-bbox="129 429 389 456">Description of project</p>	<p data-bbox="1070 269 1256 296">Dates from / to</p> <p data-bbox="1070 349 1912 376">Your responsibility (e.g. team leader, sole responsibility, team member)</p> <p data-bbox="1070 429 1330 456">Description of project</p>

Projects and activities (continued)

Brief name of activity, project or object	Brief name of activity, project or object
<p data-bbox="188 258 383 303">Dates from / to</p> <p data-bbox="188 334 1041 379">Your responsibility (e.g. team leader, sole responsibility, team member)</p> <p data-bbox="188 409 459 455">Description of project</p>	<p data-bbox="1122 258 1317 303">Dates from / to</p> <p data-bbox="1122 334 1975 379">Your responsibility (e.g. team leader, sole responsibility, team member)</p> <p data-bbox="1122 409 1393 455">Description of project</p>

Table for relating projects and activities to the professional standards

<i>Activity or project name</i>							
Professional standards							
1	1.1 Examine items / collections						
	1.2 Identify risk factors						
2	2.1 Explore conservation options						
	2.2 Develop conservation strategies						
3	3.1 Test procedures						
	3.2 Interventive treatment						
4	4.1 Environmental conditions						
	4.2 Set up / manage protection						
	4.3 Guidelines for handling						
5	5.1 Manage own time & resources						
	5.2 Manage project activities						
	5.3 Health & safety						
6	6.1 Promote care & use of items						
	6.2 Develop area of expertise						
	6.3 Promote work of the profession						
A Professional values							
B Intelligent practice							
C Reflection & development							
D Sensitivity to context							
E Communication							

Suggested notation: use a solid mark or tick where the activity clearly demonstrates the standard, a circle where the activity contributes to the standard.

The Professional Standards

The following pages contain a full set of the professional standards with spaces for application and assessment details. If you cannot demonstrate current proficiency against any of the standards, you must be able to demonstrate a working level of knowledge e.g. the ability to give appropriate advice and demonstrate an understanding of the principles involved. Standards 1-4 need to be interpreted in the context of your specialism. Note that current or past proficiency (not just a working knowledge) is required in 3.2.

Complexity

In sections 1-4 of the functional criteria 'complexity' or 'complex conservation problems' are referred to. Complexity can be inherent in the situation itself or in the approach taken by the conservator-restorer.

Complex situations are typically those which:

- require choices between options which lead to significantly different outcomes
- present dilemmas and value-conflicts, or require significant value-judgements
- present substantial technical problems, for instance in relation to unstable or degraded materials
- require a deep level of practical understanding to be applied to the situation
- require the marshalling and management of a wide range of resources.

To be 'complex' a situation need not contain all these factors, but it is likely to include more than one or have one present to a high degree.

Candidates must demonstrate that they can appreciate the issues inherent in complex situations and use intelligent, reasoned judgement in dealing with them. Assessors must indicate that candidates are able to deal with complexity.

1. Evaluating conservation problems in context

This is about making an examination of objects or collections with a view to identifying their conservation needs, both in terms of interventive treatments if applicable and environmental conditions. It also includes assessing potential risks to the object posed by treatment or alteration to conditions.

1.1 Examine and describe items or collections

This involves examining items and providing descriptions of their significance, condition and conservation needs. At least some of the items examined must present complex conservation problems. If appropriate to the conservator's job, assessment should apply to a collection or group of items.

You will need to show:

- you have agreed the purpose of the assessment with the holder of the object or collection and any other relevant people
- use of appropriate assessment techniques
- your knowledge of the physical nature, structure and composition of the items
- either reports or written records of examining a range of items, or demonstrate examining an item
- that you have avoided threatening the integrity or condition of the item(s).

1.2 Identify risk factors for items or collections

This involves identifying risks in relation to items or collections, some of which should present complex problems. It includes assessing the general condition of items along with any instability, weaknesses, agents of deterioration and other actual or potential problems relevant to the type of items you work on.

You will need to show:

- your understanding of potential risks which may affect the object
- knowledge of appropriate examination techniques for the type of objects you work on
- an appropriate level of investigation, including if needed consulting others and gaining a second opinion
- how you have used your assessment (e.g. in a report, giving advice, or by taking direct action)
- that you have avoided threatening the integrity or condition of the item.

1 Evaluating conservation problems in context

Candidate

Briefly describe your experience in each area. Where applicable, state which projects or pieces of work the assessors can refer to for evidence, or outline what you want to discuss with them.

Witness (optional)

Initial to indicate that you have direct knowledge of the candidate's work and agree with his / her statement

Assessors

Briefly indicate what you examined or discussed for this area, and show your reasoning in arriving at your assessment decision. Indicate how the candidate has handled complexity.

Assessors' decision

*C - Competent
K - working knowledge
X - not conversant*

			1.1
			1.2

2 Developing conservation strategies

This is about developing strategies for the conservation (interventive and / or preventive) of objects or collections. While some conservator-restorers need to produce written options and strategies, for instance in proposing work to be undertaken on a collection or valuable object, others will carry out this process more intuitively as part of deciding on the treatments to undertake. In either case, you should make your thinking and reasoning explicit to the assessors on the day.

2.1 Explore options for conserving items

This involves identifying a range of options for conserving items or collections which you have previously examined. The options need to be appropriate to the items' condition and current and intended use, and take into account present and future environmental factors likely to affect the items.

At least some of the items to which the options relate must present complex conservation problems.

You will need to show:

- your knowledge of relevant materials and treatment methods
- knowledge of the resource implications or costs of the different options
- that you have assessed the health and safety implications of the different options
- that you have taken into account the limitations, risks and likely effects of the different options.

2.2 Develop conservation strategies

This involves developing a strategy for the conservation of an object or collection, balancing its conservation needs with the requirements of the holder. At least some of the items to which the strategy relates must present complex conservation problems.

The strategies can take the form of recommendations, plans for others to put into action, or plans for you to carry out.

You will need to show that you have:

- considered how to achieve your objectives in a way which minimises intervention and maximises reversibility
- developed an appropriate conservation strategy or plan, including recommendations for re-evaluating the plan at a later date
- ensured that the plan balances the requirements of the objects, the context, and the holder
- checked that the outcome, risks and resource implications are understood by the holder of the object(s)
- taken account of relevant health and safety precautions and any other relevant legal requirements.

2 Developing conservation strategies

Candidate

Briefly describe your experience in each area. Where applicable, state which projects or pieces of work the assessors can refer to for evidence, or outline what you want to discuss with them.

Witness (optional)

Initial to indicate that you have direct knowledge of the candidate's work and agree with his / her statement

Assessors

Briefly indicate what you examined or discussed for this area, and show your reasoning in arriving at your assessment decision. Indicate how the candidate has handled complexity.

Assessors' decision

*C - Competent
K - working knowledge
X - not conversant*

				2.1
				2.2

3 Developing and implementing interventive treatment

This concerns practical conservation work, including both the professional judgement involved in undertaking appropriate treatments, and the technical knowledge and skill involved in producing a proficient standard of work. The standard of work expected is that of a proficient practitioner in the specialism or discipline concerned, capable of making independent judgements and assessing the quality of his or her work; it is not looking for absolute perfection but for a mainstream professional standard of work. The results must be fit for purpose in terms of the objects involved and the needs of the client or institution.

3.1 Test and develop conservation procedures

This involves evaluating and testing existing conservation procedures and treatments as well as developing and testing new or modified approaches to solve specific conservation problems. You should be able to demonstrate examples of testing and modifying existing procedures, as well as where appropriate developing and testing new ones.

At least some of the items to which the procedures apply must present complex conservation problems.

You will need to show:

- what the tests aimed to achieve
- how you went about testing
- the results of the tests and your conclusions from them.

3.2 Undertake interventive conservation

This involves intervening and applying treatments to stabilise items and aid their presentation and interpretation. It includes (a) removing, reducing or neutralising agents of deterioration, (b) minimising any physical weakness, (c) minimising further deterioration for instance by applying protective or preservative agents, (d) removing accretions and (e) undertaking reconstruction.

At least some of the objects must present complex conservation problems.

You will need to show:

- appropriate and effective treatment which does not compromise the integrity of the items
- that any additions made to the item are wherever possible reversible and capable of identification
- an understanding of the health and safety requirements (including COSHH assessments) relating to the materials and techniques you have used
- your records of treatments and interventions.

You must have achieved a good level of practical proficiency in this section, preferably demonstrated by objects that the assessors can inspect; if these are not available you must provide evidence (including witness statements) of having completed work to a professionally acceptable standard in the past.

3 Developing and implementing interventive treatment

Candidate

Briefly describe your experience in each area. Where applicable, state which projects or pieces of work the assessors can refer to for evidence, or outline what you want to discuss with them.

Witness (optional)

Initial to indicate that you have direct knowledge of the candidate's work and agree with his / her statement .

Assessors

Briefly indicate what you examined or discussed for this area, and show your reasoning in arriving at your assessment decision. Indicate how the candidate has handled complexity, and for 3.2 comment on the quality of the candidate's work.

Assessors' decision

*C - Competent
K - working knowledge
X - not conversant*

			<p style="text-align: right;">3.1</p>
			<p style="text-align: right;">3.2</p> <p>NOTE Practical proficiency must be, or have been, achieved for this section: it is not sufficient to achieve a 'K.'</p>

4 Developing and implementing preventive and handling procedures

This concerns undertaking or providing advice on preventive conservation. It needs to be interpreted in the context of the specialism or discipline involved. Where appropriate, it can be completed through evidence of giving appropriate advice and showing a working knowledge and understanding of the principles of environmental protection relating to the objects being worked on. You must be able to provide considered professional advice on the ongoing care of objects on which you work.

4.1 Specify or recommend environmental conditions

This concerns assessing and specifying (or making recommendations for) environmental conditions for the storage or display of objects. While some of your recommendations may be of a routine nature, specifications **must** be included for situations which present complex problems.

You will need to show:

- your recommendations, including how you have taken (or would take) account of access, protection, security and fire requirements
- that you have take account of any technical, space and resource or financial constraints
- that you can make recommendations relating to temperature, humidity, light, air quality, shock, vibration, pests, biological and chemical agents as appropriate to your area of work

4.2 Set up and manage environmental protection

This involves setting up, monitoring and evaluating systems for accommodating items and maintaining environmental protection. It includes ensuring that the components and materials used are suitable for the items to be accommodated, monitoring the condition and stability of items, and taking remedial action as necessary.

You will need to show:

- how you have (or would) set up a system for maintaining environmental protection
- how you have (or would) carry out ongoing monitoring
- working knowledge of the kinds of remedial action you might need to take and their implications.

4.3 Provide guidelines for handling

This involves assessing the risks associated with handling items and specifying appropriate handling requirements. Risks may be (a) of damage to or deterioration of the object, (b) of damage to surroundings, and (c) of danger to handlers.

You will need to make handling recommendations for objects. The recommendations should be accessible to the intended user.

The guidelines or recommendations for handling items need to specify:

- information on conservation and environmental requirements
- any risks associated with handling the item
- any equipment, materials and protective materials which are required
- any relevant health and safety requirements and procedures
- action to be taken in the event of emergencies or unforeseen problems.

4 Developing and implementing preventive and handling procedures

Candidate

Briefly describe your experience in each area. Where applicable, state which projects or pieces of work the assessors can refer to for evidence, or outline what you want to discuss with them.

Witness (optional)

Initial to indicate that you have direct knowledge of the candidate's work and agree with his / her statement

Assessors

Briefly indicate what you examined or discussed for this area, and show your reasoning in arriving at your assessment decision. Indicate how the candidate has handled complexity.

Assessors' decision

C - Competent
K - working knowledge
X - not conversant

			4.1
			4.2
			4.3

5 Managing work, resources and projects

This involves managing personal time, resources and projects, and maintaining health and safety in the immediate workplace and relative to any operations in which the you are involved (e.g. the transport of objects or work on site). It does not require the management of others where this is not part of your job, although the level of organisation demonstrated should reflect an independent professional able to direct and guide others if required.

5.1 Manage your own time and resources

This involves managing your workload through planning, prioritising, reviewing and where appropriate delegating.

You will need to show that you manage your workload effectively. This could be demonstrated through evidence that you:

- plan and prioritise your workload to meet organisational and personal requirements
- monitor progress and adjust or reschedule activities if necessary
- minimise unhelpful digressions
- make effective and efficient decisions.

5.2 Manage project activities

This involves managing project-type work whether undertaken alone or by a team. It involves checking the project's progress, monitoring its use of resources, checking that the results are as agreed, and completing relevant records.

'Projects' are activities which have a clear objective and a defined finish-point. They need not be large-scale activities.

You will need to show that you can manage projects effectively. This could be demonstrated through some or all of:

- records or descriptions of how you have monitored the project's progress and use of resources
- details of any adjustments you made to keep the project on track
- relevant conservation or project records
- evidence that the project has been completed to the satisfaction of the client or manager.

5.3 Maintain health and safety

This involves managing your working environment to meet legal requirements and minimise risk to yourself and others who have, or may have, access to it.

You will need to demonstrate:

- that your workplace is maintained in a condition which meets legal (and where appropriate institutional) guidelines and promotes health and safety
- that you take appropriate precautions when undertaking potentially hazardous procedures or using chemicals
- knowledge of hazards present in your workplace including COSHH hazards
- evidence or understanding of how to carry out on-site risk assessments.

5 Managing work, resources and projects

Candidate

Briefly describe your experience in each area. Where applicable, state which projects or pieces of work the assessors can refer to for evidence, or outline what you want to discuss with them.

Witness (optional)

Initial to indicate that you have direct knowledge of the candidate's work and agree with his / her statement

Assessors

Briefly indicate what you examined or discussed for this area, and show your reasoning in arriving at your assessment decision.

Assessors' decision

*C - Competent
K - working knowledge
X - not conversant*

			5.1
			5.2
			5.3

6 Contributing to the interests of the profession

This is about promoting professional conservation-restoration, either to people outside the profession with whom you work, or more widely. It needs to be interpreted in the context of your work.

6.1 Promote the care and use of items

This involves promoting the care, conservation, use and handling of items in a way which encourages respect for their aesthetic, historical, scientific and cultural significance.

You will need to show:

- professional standards of care for items
- promoting methods of handling, using and examining items to minimise risk.

6.2 Develop an area of expertise

This involves developing and communicating personal expertise in an area of conservation or in relation to a specific class of items which is relevant to current work or identified aspirations.

You will need to show:

- communicable expertise in your chosen field
- evidence of relevant research and updating in your field
- evidence of communication and sharing of your knowledge with professional and non-professional audiences
- appreciation of the significance of your field in relation to your work context, the conservation profession, and cultural heritage more generally.

6.3 Promote the work of the profession

This involves describing and promoting the work of your institution or practice or of conservation-restoration in general.

You will need to be able to give examples and if appropriate evidence (e.g. articles, leaflets or notes from talks, letters to clients or prospective clients) which demonstrate promoting good conservation-restoration practice.

This should include reference to:

- the contribution and role of conservation-restoration
- the aims, breadth and depth of activities within the profession
- achievements, activities and examples.

6 Contributing to the interests of the profession

Candidate

Briefly describe your experience in each area. Where applicable, state which projects or pieces of work the assessors can refer to for evidence, or outline what you want to discuss with them.

Witness (optional)

Initial to indicate that you have direct knowledge of the candidate's work and agree with his / her statement

Assessors

Briefly indicate what you examined or discussed for this area, and show your reasoning in arriving at your assessment decision.

Assessors' decision

C - Competent
K - working knowledge
X - not conversant

			6.1
			6.2
			6.3

A Demonstrating professional values and management of value-conflicts

This section concerns demonstrating an ethical approach to work, including adherence to professional codes of conduct, the ability to apply them in context, and the ability to manage ethical dilemmas and value-conflicts. It applies throughout your practice.

This involves demonstrating a working understanding of:

- the professional and legal guidelines and codes of conduct and practice applying to your area of work
- the underlying ethics and principles underpinning these guidelines
- your responsibilities to the profession as a whole, both in terms of upholding professional standards, values and ethics and contributing to the development of the profession
- your responsibilities as a professional conservator-restorer to cultural heritage and to wider society
- situations in which professional values and ethics may come into conflict with employment, client, personal or other interests
- methods of resolving or managing value-conflicts, including availability of sources of advice and support.

It requires evidence of:

- adhering to and upholding professional guidelines and ethics in your work
including legal requirements and any applicable national and international conventions and codes of practice
- managing - or knowing how to manage - value-conflicts which may occur in your professional context.

A Demonstrating professional values and management of value-conflicts

Candidate

Briefly describe your experience in each area. Where applicable, state which projects or pieces of work the assessors can refer to for evidence, or outline what you want to discuss with them.

Witness (optional)

Initial to indicate that you have direct knowledge of the candidate's work and agree with his / her statement

Assessors

Briefly indicate what you examined or discussed for this area, and show your reasoning in arriving at your assessment decision.

Assessors' decision

*C - Competent
K - working knowledge
X - not conversant*

			<p style="font-size: 2em; margin: 0;">A</p>
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B Demonstrating intelligent practice and professional judgement

This section concerns drawing on depth and breadth of understanding, demonstrating intelligent, reflective practice and professional judgement, and demonstrating flexible thought and rigorous analysis in the resolution of problems requiring judgement between difficult options. It applies throughout your practice, and should be particularly in evidence in functional areas 2 and 3.

This involves demonstrating an understanding of:

- the principles and professional knowledge underpinning practice in your area of work
(the assessment visit will not attempt to examine knowledge directly, but you will need to provide evidence that you have acquired a substantial foundation of knowledge and understanding through your training or professional experience and know how to find relevant information)
- using analysis, critical thinking and professional judgement to overcome issues and dilemmas in relation to your work

It requires evidence of:

- depth of knowledge when discussing and giving examples of your work
for instance when discussing the treatment of an object detailed knowledge of the object and the principles and practicalities of treatment methods would be expected
- making reasoned (as opposed to procedural) decisions based on expertise, analysis, experiment and professional judgement
- interpreting and evaluating conservation problems in a way which demonstrates awareness of different perspectives and approaches
- undertaking small-scale investigation and research to inform your work.
- referring problems to colleagues when additional judgement is needed

B Demonstrating intelligent practice and professional judgement

Candidate

Briefly describe your experience in each area. Where applicable, state which projects or pieces of work the assessors can refer to for evidence, or outline what you want to discuss with them.

Witness (optional)

Initial to indicate that you have direct knowledge of the candidate's work and agree with his / her statement

Assessors

Briefly indicate what you examined or discussed for this area, and show your reasoning in arriving at your assessment decision.

Assessors' decision

*C - Competent
K - working knowledge
X - not conversant*

			<p style="text-align: center;">B</p>
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C Demonstrating reflection, enquiry and personal professional development

This section concerns ongoing development through and in support of your practice. It includes reflection and enquiry in the course of professional work, reviewing personal professional learning and development, and further development of professional practice and capability. It applies throughout your practice.

This involves demonstrating an understanding of:

- different methods you can use to learn, keep up-to-date and develop your professional practice

It requires evidence of the following, **including your CPD review** on pp 4.9-4.12.

- exchanging information and advice with professional colleagues (including from other professions), and keeping in touch with the activities of other people and organisations.
- reflecting on and learning from your work, both on a day-to-day basis and over longer periods
- using formal or informal enquiry or investigation to develop your knowledge and improve your practice
- taking adequate action to keep up-to-date in your field and to ensure you can meet evolving work objectives
- reviewing your development with regard to your current role and longer-term intentions
- making available knowledge you have gained to assist the development of colleagues and the profession as a whole
(this could for instance be through discussion, coaching, training or writing articles or information notes)

C Demonstrating reflection, enquiry and personal professional development

Candidate

Briefly describe your experience in each area. Where applicable, state which projects or pieces of work the assessors can refer to for evidence, or outline what you want to discuss with them. You may be able to refer just to your CPD review on pp9-12, or you may need to add further explanations and details of evidence.

Witness (optional)

Initial to indicate that you have direct knowledge of the candidate's work and agree with his / her statement

Assessors

Briefly indicate what you examined or discussed for this area, and show your reasoning in arriving at your assessment decision. The candidate's CPD review on pp9-12 will form an important part of the evidence for this section, but you may want to examine or discuss further evidence on the visit.

Assessors' decision

C - Competent
K - working knowledge
X - not conversant

			<p style="text-align: center;">C</p>
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D Demonstrating sensitivity to the cultural context of materials and the values of people

This section concerns demonstrating sensitivity to the public, to colleagues and towards cultural material in the course of professional practice. It requires empathy with others and sensitivity to the cultural significance of materials and objects. It applies throughout your practice, and should be particularly evident in functional areas 1 and 2.

This involves demonstrating an understanding of:

- your responsibilities towards materials and objects in terms of their cultural significance, heritage value and material integrity
- the implications of the cultural and historical context of objects and materials in terms of your work as a conservator-restorer
- the implications of other people's differing values and traditions for the way in which they approach cultural material

It requires evidence of:

- sensitivity towards the cultural and historical context of objects through your work
- showing respect for values and perspectives which differ from your own

D Demonstrating sensitivity to the cultural context of materials and the values of people

Candidate

Briefly describe your experience in each area. Where applicable, state which projects or pieces of work the assessors can refer to for evidence, or outline what you want to discuss with them.

Witness (required)

Initial to indicate that you have direct knowledge of the candidate's work and agree with his / her statement .

Assessors

Briefly indicate what you examined or discussed for this area, and show your reasoning in arriving at your assessment decision.

Assessors'

decision

*C - Competent
K - working knowledge
X - not conversant*

			<p style="text-align: center;">D</p>
--	--	--	---

E Demonstrating effective, appropriate and sensitive communication

This section concerns clear and sensitive communication with others who have an interest in a professional issue or a role in resolving a professional problem. It applies throughout your practice, and should be particularly evident in functional areas 2 and 6.

This involves demonstrating an understanding of:

- how to communicate effectively with people with different backgrounds, perspectives, cultures and levels of knowledge

It requires evidence of:

- communicating effectively both verbally and in writing with other professionals, clients and members of the public
(evidence should be provided of effective communication with professionals from a different field and members of the public or other non-specialists)
- taking others' views into account in making decisions
(this may be through formal or informal processes)
- engaging in dialogue in a way which maintains respect and integrity and does not impose on others
(dialogue can be with colleagues, clients and others you interact with in the course of your work)

E Demonstrating effective, appropriate and sensitive communication

Candidate

Briefly describe your experience in each area. Where applicable, state which projects or pieces of work the assessors can refer to for evidence, or outline what you want to discuss with them.

Witness (required)

Initial to indicate that you have direct knowledge of the candidate's work and agree with his / her statement .

Assessors

Briefly indicate what you examined or discussed for this area, and show your reasoning in arriving at your assessment decision.

Assessors' decision

*C - Competent
K - working knowledge
X - not conversant*

			<p style="text-align: center;">E</p>
--	--	--	---

Sponsors' details

Name (sponsor 1)		Name (sponsor 1)	
Occupation		Occupation	
Place of work and contact details		Place of work and contact details	
Qualifications		Qualifications	
Conservation-restoration specialism and brief details of experience		Conservation-restoration specialism and brief details of experience	
Relationship to the candidate		Relationship to the candidate	
For how long have you known the candidate?		For how long have you known the candidate?	
When did you last see the candidate's work?		When did you last see the candidate's work?	
<i>I have read the information provided by the candidate in this application document, and to the best of my knowledge it is a true statement of his or her experience and competence as a professional conservator-restorer.</i>		<i>I have read the information provided by the candidate in this application document, and to the best of my knowledge it is a true statement of his or her experience and competence as a professional conservator-restorer.</i>	
Signed	Date	Signed	Date

Witness details

Name	Occupation
Place of work and contact details	Relationship to candidate and perspective from which commenting
Signature	Date

Name	Occupation
Place of work and contact details	Relationship to candidate and perspective from which commenting
Signature	Date

Name	Occupation
Place of work and contact details	Relationship to candidate and perspective from which commenting
Signature	Date

Witness details

Name	Occupation
Place of work and contact details	Relationship to candidate and perspective from which commenting
Signature	Date

Name	Occupation
Place of work and contact details	Relationship to candidate and perspective from which commenting
Signature	Date

Name	Occupation
Place of work and contact details	Relationship to candidate and perspective from which commenting
Signature	Date

Assessor details

Primary assessor (first point of contact) Name	Second assessor Name
Address	
Specialism	Specialism
Public / institutional or Private / commercial	Public / institutional or Private / commercial
Telephone	Telephone
Fax	Fax
Email	Email

Assessment visit

Date	Time from to
Place(s) of assessment visit	

Assessors' findings

Section A 1 Summary

Summarise your decisions for each section below.

Functional criteria

Subsection	Decision (C, K or X)
1.1 Examine and describe items or collections	
1.2 Identify risk factors for items or collections	
2.1 Explore options for conserving items	
2.2 Develop conservation strategies	
3.1 Test and develop conservation procedures	
3.2 Undertake interventive conservation	
4.1 Specify or recommend environmental conditions	
4.2 Set up and manage environmental protection	
4.3 Provide guidelines for handling	
5.1 Manage your own time and resources	
5.2 Manage project activities	
5.3 Maintain health and safety	
6.1 Promote the care and use of items	
6.2 Develop an area of expertise	
6.3 Promote the benefits of conservation-restoration	

Professional criteria

Area	Decision (C, K or X)
A Professional values	
B Intelligent practice	
C Professional development	
D Sensitivity to context and values	
E Communication	

When you have completed sections A1 and A2/A3 if needed and resolved any queries outlined in section A2, the document must be forwarded to the candidate's professional body.

The candidate must have the opportunity to comment on the completed form using page 46. If he or she wishes, page 46 may be sent to the accreditation committee independently; you will be able to see it after your assessment decisions have been made.

Section A 2 Queries / Not conversant

If there are any areas where you have (a) not made a decision because you have had insufficient information or evidence or (b) judged that the candidate is not conversant, give details below. Include sufficient information so that this can help the candidate provide additional evidence or undertake further development. You can also use this section to highlight any specific strengths you observed on your assessment, as well as any further advice for the candidate.

Area of standards	Details	Area of standards	Details

Candidate

Candidate's feedback

The Accreditation Committee welcomes any comments you have about the assessment process or the assessors' comments or decisions. Please add these below. You may photocopy this page and return it to your professional body independently; if you do this it will be shown to the assessors after they have made their assessment decisions.

Please sign and date if forwarding separately.

Signatures

Assessors and candidate should add any comments they want to bring to the attention of the Accreditation Committee below, and sign at the bottom of the page.

Signed (primary assessor)	date	Signed (second assessor)	date
Signed (candidate)	date		

This document should now be forwarded to the Accreditation Committee via the professional body through which the application was made.

Accreditation Committee's report

Section AC 1 Unresolved queries and referrals

(if there are no outstanding queries **ignore this section** and go straight to section 2)

A final decision on accreditation cannot be made until the following queries have been answered or reassessments carried out:

Query or area to be reassessed	Action to be taken	By whom	Latest date

If reassessment is required:

This application is **referred** and reassessment is required in the following areas (circle a maximum of one from 1-6 and one from A-E):

Functional standards 1 2 3 4 5 6

General professional criteria A B C D E

Signed (on behalf of Accreditation Committee)	Date
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PACR 5

**Continuing professional
development**

April 2001

Continuing Professional Development

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PACR professional standard C	6
Appendix: CPD review and planning form	

Contact details

The first point of contact should be your professional body, i.e. one of:

Institute of Paper Conservation, Leigh Lodge, Leigh,
Worcester WR6 5LB tel 01886 832323 fax 01886 833688
email clare@ipc.org.uk

UKIC, 109 The Chandlery, 50 Westminster Bridge Road,
London SE1 7QY tel 020 7721 8721 fax 020 7721 8722
email ukic@ukic.org.uk

Conservation Accreditation Sub-Committee, c/o Society of
Archivists, 40 Northampton Road, London EC1R 0HB

tel 020 7276 8630 fax 020 7276 2107

email societyofarchivists@archives.org.uk

Details of the scheme, its standards, guidance for candidates and assessors and an introduction to CPD can be downloaded from your professional body's web site, or from www.nccr.org.uk

For other queries, write to:

Professional Standards Board
National Council for Conservation-Restoration
106 The Chandlery, 50 Westminster Bridge Road,
London SE1 7QY

Continuing professional development

Introduction

Professional membership carries with it a responsibility to maintain professional standards through acting ethically, adhering to the profession's code of practice, and keeping up-to-date through ongoing development. Experienced professionals should also be developing broader capability and 'extended professionalism,' characterised by independent judgement, involvement in a community of practice and the demonstration of practical or intellectual leadership.

The PACR scheme requires that accredited conservator-restorers carry out an annual review of their ongoing learning and development and identify areas for further development. Evidence of development and review will be called in for examination on a periodic basis. This examination is to ensure that updating and development is going on, not to make judgements on its content. The process aims to promote learning rather than add unnecessary bureaucracy, and not restrict the type of activities which can 'count' - provided they lead to useful learning.

The focus of the learning need not be on core conservation activities, and could include for instance wider aspects of culture and heritage, management, business development, teaching and training, and so on, depending on the conservator-restorer's current work and future aspirations. However, **evidence will be expected of keeping up-to-date with developments in the conservator-restorer's current area of work.**

Candidates for accreditation will need to provide a reflective account of continuing development over the last year or two years, as well as evidence of identifying areas for future development and planning to meet them. General criterion C from the professional standards provides a benchmark for CPD, and is included in this booklet.

Principles

'CPD' embraces all learning which is relevant to your professional life. It includes learning from informal and unplanned activities as well as from courses, reading, meetings, new projects etc. There is no requirement to undertake particular kinds of activity, although it is expected that all conservator-restorers will be taking an approach to their work which produces learning through action.

You may find it useful to consider three kinds of learning (after Gear *et al*, 1994):

Specific learning concerns particular cases or problems, typically 'finding out as you go along:' reading up regarding specific objects or problems, asking colleagues about treatments, checking sources of supply, and so on. This kind of learning is important for day-to-day practice but often becomes out of date quickly. It should not normally be included in your CPD review, unless it has a longer-term impact on your work or leads to findings which are of more general interest.

General learning concerns keeping up-to-date and abreast of trends and developments in the profession and affecting it. This kind of learning might involve reading journals and email discussions,

networking and discussion with colleagues, and attending courses and conferences. Your CPD review should show that you are keeping up-to-date in your field, without needing to cite every example in detail.

Developmental learning is learning which takes forward your practice, creates new opportunities and develops extended professionalism. It may involve undertaking a major study, advanced course or programme of research, be generated through a new job or major project, or stem from becoming involved in activities outside your normal work. Although it is useful to plan developmental activities, the value of developmental learning is often only apparent on reflection.

Completing the CPD review

Complete a review of your learning and development on an annual basis. Forms are provided to assist with this, but you may use alternatives - such as the Museums Association's form or a computer-based record - which achieve the same objectives.

Reflection and review

The aim of reflection is to identify what you have learned and where relevant identify how you have used, or will use, the learning. For general learning you may find it useful to briefly reflect on specific learning events, topics or episodes, while for developmental learning it can be more appropriate to consider your learning more broadly without being constrained by particular events or activities. In some cases it can be informative to look back over a longer period than a year to reflect on your longer-term development, particularly if you are contemplating a significant change in the future.

In either case you should consider

- how your knowledge and understanding has changed
- what you can do that is different
- if appropriate whether your perspective or approach has changed in any way;

and how you can use this in your professional activities.

After the first year of carrying out a CPD review, part of this reflection should involve reviewing the previous year's action plan and identifying any learning points arising from it. This doesn't mean that you are expected to have followed your action plan exactly: new needs and opportunities may have been identified, and on reflection planned actions may have not been appropriate.

Planning

The aim of planning is to identify areas where you know or anticipate you will need to develop your knowledge, understanding or skills or gain different perspectives, and to identify how you will go about this. As well as immediate requirements which can be met in the following year (general learning), you may also want to plan longer-term for career development or to anticipate more distant changes (developmental learning).

The plan should indicate

- what you want to develop or learn,
- the method(s) you anticipate using,
- how you intend to use it, and
- a realistic target date for completion and review.

It should also include a space for review.

The plan is useful in setting targets which may otherwise slip or lose out to more urgent needs, but it should recognise that you may want to modify it as circumstances change and make use of unplanned learning opportunities as they occur.

References:

Gear, J, McIntosh, A & Squires, G (1994) *Informal learning in the professions* University of Hull, Department of Adult Education

Lester, S (1999) "Professional bodies, CPD and informal learning: the case of conservation," *Continuing Professional Development* 2 (4), 110-121 (or at www.devmts.demon.co.uk/pacr/)

C Demonstrating reflection, enquiry and personal professional development

This concerns ongoing development through and in support of your practice. It includes reflection and enquiry in the course of professional work, reviewing personal professional learning and development, and further development of professional practice and capability. It applies throughout your practice.

This involves demonstrating an understanding of:

- different methods you can use to learn, keep up-to-date and develop your professional practice

It requires evidence of the following:

- exchanging information and advice with professional colleagues (including from other professions), and keeping in touch with the activities of other people and organisations.
- reflecting on and learning from your work, both on a day-to-day basis and over longer periods
- using formal or informal enquiry or investigation to develop your knowledge and improve your practice
- taking adequate action to keep up-to-date in your field and to ensure you can meet evolving work objectives
- reviewing your development with regard to your current role and longer-term intentions
- making available knowledge you have gained to assist the development of colleagues and the profession as a whole

(this could for instance be through discussion, coaching, training or writing articles or information notes)

National Council for Conservation-Restoration

CPD review

Name:

Period covered:

Briefly describe the context of your practice and the main areas of work, responsibilities and projects you have been involved in, as well as any events significant to your development.

Write a summary for the past year (or longer period if chosen) reflecting on

- how your knowledge and understanding has changed,
- how you have kept up-to-date,
- any new skills you have developed or things you now do differently,
- and if appropriate, whether you approach things differently in any way.

How do you anticipate using this learning in the future?

How will it benefit your professional activities, other people, and the profession in general?

Notes / Areas for further development

What will you do to meet the needs and changes you have identified? Give most attention to specific actions you will take over the next year or 18 months.

Area

Actions

Review and add to your plan at intervals throughout the year.

National Council for Conservation-Restoration
Professional Accreditation of Conservator-Restorers

PACR 6

Guidance for participating bodies

August 2001

Guidance for Participating Bodies

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1. Introduction and Principles of the PACR scheme

The National Council for Conservation-Restoration (NCCR) is a group of conservation membership bodies that have been for some years co-operating to promote the cause of conservation and to raise standards. Clients and regulators have often expressed to NCCR members the need for a system of quality assurance applicable across the different conservation disciplines. In April 1998, three¹ of the member bodies of NCCR came together to develop a joint system for accrediting professional conservators. Financial support was granted from the Museums and Galleries Commission, Historic Scotland, the Pilgrim Trust and the Radcliffe Trust, in addition to the finance provided by the three initiating bodies, in order to enable NCCR to develop a generic system that would apply to all conservation specialisms.

The outcome of this development is the accreditation scheme and standards called Professional Accreditation of Conservator-Restorers (PACR). The PACR scheme is owned by NCCR and is implemented on its behalf by those bodies that have incorporated PACR accreditation into their membership categories. The bodies currently participating in the scheme are IPC, SoA and UKIC and are referred to as Participating Bodies. It is hoped that other NCCR member bodies will, in time, choose to operate the PACR scheme and become Participating Bodies. This document describes the requirements under which suitable bodies may become PACR Participating Bodies and the policies and procedures under which they operate the scheme. It also provides a guide to the different roles and responsibilities in operation and should be read along with the other PACR documents in the series 1 to 7.

The PACR scheme was developed using modern professional definitions and was introduced after trials and extensive consultation within the conservation community and with conservation users. Concurrent with this development work, the three participating bodies simultaneously carried out an assessment of their senior members, called "fast track" accreditation, using a set of standards developed from the same base standards as the PACR procedure. This established a core of acknowledged professional conservators who could be trained to act as PACR assessors and mentors, ready to be called upon when the PACR system began to be implemented from January 2000.²

PACR is designed to assess the competence of practising conservators. Its standards cover all aspects of conservation, including the management of projects and the maintenance of professionalism. Its assessment is based on evidence gathered by the applicant to demonstrate that the standards and their criteria are met. Those who wish to be accredited need to demonstrate evidence of competence and knowledge in the areas covered by the criteria. It should be noted that the scheme at present is designed specifically to assess those who are or have recently been carrying out remedial conservation treatment (see Document 3 for further details of assessment).

Many of the standards also cover the work of people undertaking similar activities as those of the practising conservator, such as preservation managers, advisors and conservation scientists. These people can also apply for PACR accreditation but should be aware that the existing set of standards

1 Institute of Paper Conservation (IPC), Society of Archivists (SoA), United Kingdom Institute for Conservation (UKIC)

2 Conservators accredited by the PACR Participating Bodies are designated ACR (Accredited Conservator-Restorer).

requires evidence of competent remedial treatments carried out concurrently or in the reasonably recent past. It is hoped that, in time, further sets of standards will be developed for such parallel professional activities but until then, the PACR scheme is intended to assess conservators as defined by the European Confederation of Conservator-Restorer Organisations' Guidelines (see Appendix IV).

The ECCO Guidelines have been adopted by the Participating Bodies as the single definition and code of ethics recognised for the purposes of PACR and which can, where necessary, sit alongside a Participating Body's existing code where there is no conflict. The term conservator-restorer in this context is intended to assist translation in those countries in Europe where the word conservator is used for someone that we in the UK would refer to as a curator or archivist. In the PACR standards, the terms restorer and restoration are not used outside of the principles of conservation as defined by ECCO, i.e. the PACR scheme is not intended to assess restoration work on its own, only restoration work that is a part of the conservation process. In addition to understanding this definition, bodies wishing to participate in the PACR scheme must agree formally to adopt the ECCO Code of Ethics as the code by which their accredited members are bound.

The PACR scheme is inclusive, offering the opportunity for individuals involved in the conservation of historic and artistic works to have their professionalism recognised. It is understood that there are different independent bodies currently representing regional or specialist groupings of conservators and the scheme is therefore designed to provide a mechanism for these different bodies and their members to participate collectively in the system and its joint management. Participating Bodies are not permitted to operate the scheme in isolation but must commit to collaborate with the other Participating Bodies in all those aspects of the scheme which require consensus and standard procedures. The different constitutions of separate conservation bodies are recognised and wherever possible accommodated. In the interests of consistency and of the accredited community, and to assist the maintenance of the scheme, collective agreement between the Participating Bodies is frequently found to be essential. The structures and modification of PACR allow for the evolution of the standards and methodology of assessment, so enabling response to changes in expectations of the conservation community and increased collaboration in the future.

2. Participating Body Requirements

In order to participate in the PACR scheme, a body must enter into current agreements under which a Participating Body is licensed to operate the scheme (see also Appendix II). These agreements can be summarised as follows -

Agreement 1. The Participating Body acknowledges that the scheme is owned by NCCR and that it will abide by reasonable requirements placed upon it in the operation of the scheme.

Agreement 2. The Participating Body joins the other Participating Bodies in agreeing that, in the event that NCCR ceased to exist, they would use their reasonable endeavours to procure agreement that the PACR scheme is continued.

The reasonable requirements referred to in Agreement 1 are subject to revision from time to time in agreement between the Participating Bodies and with NCCR. Currently these requirements are as follows:

- a. bodies wishing to participate should be full members of NCCR.
- b. participating bodies must introduce a membership category into their constitutions, normally to be referred to as Accredited Membership.
- c. participating bodies must adopt the ECCO Code of Ethics, require that their accredited members abide by the ECCO Code and ensure that any existing code intended to remain does not conflict with the ECCO Code
- d. participating bodies are required to collaborate in the operation of the scheme by providing a representative for the Professional Standards Board who is willing to become a Director of NCCR for that purpose, and by providing representatives for the PSB's operational sub-committees.
- e. participating bodies are required to maintain a disciplinary policy and procedure covering accredited members, to be enacted in response to reasonable complaints made against a member and empowered with the ultimate sanction of removal of membership or of accredited membership status.
- f. participating bodies must require their accredited members to commit to continuing professional development (CPD) procedures agreed collectively by PSB from time to time.
- g. all assessors nominated by participating bodies are required to undertake approved training directed by PSB before carrying out assessment.
- h. participating bodies must form or use a suitable committee of nominated individuals to oversee and recommend accreditation of members and these individuals must, wherever possible,

undertake suitable training for this purpose.

- i. Participating bodies' governing councils must ratify their Accreditations Committee's recommendations for accreditation of members
- j. all individuals nominated by new participating bodies for training as assessors of their own members must be PACR accredited individuals. *If for reasons of geography or specialism no member of a new body can be found who is already an Accredited Conservator-Restorer, proposed assessors should either be drawn from the pool already established by existing participating bodies or be assessed through the PACR scheme by assessors supplied from the pool (participating bodies must understand that accredited conservators put forward for training as assessors may be found not to be competent as assessors, despite being competent conservators, and so may not necessarily be used for assessment).*
- k. participating bodies are required to follow joint operational procedures agreed collectively from time to time by the PSB and described in Appendix III below.

APPENDIX I Definitions, Roles and Responsibilities

1. National Council for Conservation-Restoration

- 1.1 Mission - National Council for Conservation-Restoration is the collective voice of the UK and Irish professional organisations working together on matters of common concern, to provide guidance on professional issues and standards to government, client bodies and members of the public.
- 1.2 Role in relation to PACR - owns copyright of PACR documents. Approves the term "Accredited Conservator-Restorer" and acronym "ACR". Defends (legal and financial) NCCR rights. Appoints PSB. Ratifies recommendations of PSB.

2. Professional Standards Board (PSB)

- 2.1 Mission - The PSB directs the operation of the PACR scheme, gaining agreement between the Participating Bodies and between them and the NCCR. PSB ensures that professional standards of conservation embodied in the PACR system are set and maintained.
- 2.2 Membership - appointed by NCCR. Chairman, who shall be a Director of NCCR and normally representing a non-participating body, the NCCR Directors of each Participating Body (PB), the Convenor of the Liaison & Marketing Sub-committee, the Convenor of the Co-ordination Sub-committee. Whilst acting as member of PSB, a person may not act as an assessor.
- 2.3 Constitution - PSB is an executive committee of NCCR.
- 2.4 Policy Role - proposes criteria for PB status. Prepares documents for PACR. Submits annual report and recommendations on PACR. Prepares criteria for transfer of professional status between PBs.
- 2.5 Standards - revises standards and methodology for PACR. Publishes PACR documents on behalf of NCCR. Reviews standards using external audit and evaluation as necessary. Establishes regular audit for compliance of each PB with PACR system. Sets criteria for CPD monitoring and selecting ACRs.
- 2.6 Existing accreditation - Confirms the acceptance of those accredited by PBs using existing schemes employed before implementation of PACR.
- 2.7 Financial control - Constructs a business plan agreed by the PBs. Determines an agreed application fee for candidates to PBs for accreditation, and the fee's expenditure. Determines a subscription fee from ACRs and its collection and expenditure. PSB's activity is resourced by PBs.
- 2.8 Appeals - Receives appeals channelled through PBs. Sets up and oversees ASC (see below). Acts as final appeal body for decisions relating to accreditation status.

3 Appeal Sub-Committee (ASC)

- 3.1 **Mission** - ASC carries out the investigation and reports on appeals alleging that the accreditation process has not been carried out accurately and that affect accredited status. The investigation is initiated by PSB as a result of a request by a PB, failed candidate or disciplined ACR.
- 3.2 **Membership** - *ad hoc*. Nominees (though not members) of PSB who have no previous involvement in the case.
- 3.3 **Role** - Processes appeal from e.g. failed candidates, disciplined ACRs, following established methods of good practice. Receives submissions from affected persons and bodies. Submits reports to PSB, which in turn conveys its considerations to the Participating Body concerned.

4. Co-ordination Sub-committee

- 4.1 A sub-committee, appointed by PSB, which co-ordinates implementation by PBs of PACR standards and methodology. Chooses and approves assessors chosen from list of nominees supplied by PBs. Trains assessors and ensures that they are appropriately experienced for the task. Maintains and supplies to PBs a list of approved assessors. Monitors quality of assessors. Trains members of PBs' assessment committees. Receives reports from PBs on assessments

5. Liaison & Marketing Sub-committee

- 5.1 A sub-committee, appointed by PSB, which carries out the implementation of PSB policy on external liaison and marketing. Provides point of contact with professional groups in UK, Europe etc. Negotiates with government and regulatory bodies. Notifies list of ACRs to outside bodies, e.g. Conservation Register. Determines the corporate image, logo etc. Markets and promotes NCCR as the umbrella organisation for PACR.

6 Participating Professional Body (PB)

- 6.1 **Mission** - A PB accepts and implements the PACR system as a means to protect the users of conservation services provided by its members.
- 6.2 **Constitution** - A PB is a member body of NCCR.
- 6.3 **Role** - responsible for the proper conduct and outcome of accreditation process. Is responsible for disciplinary process and implementation. Is responsible for implementing appeal decisions of PSB. commits to uphold its Code of Ethics and that defined by the European Confederation of Conservator-Restorers' Organisations.
- 6.4 **Resources** - Provides adequate numbers and quality (preferably ACRs) of nominees for PSB, ASC and assessors. Provides resources in support of the agreed PSB business plan. Receives fee agreed by PSB from candidate. Resources processes relating to ACRs.

- 6.5 Accredited status - Establishes a professional membership grade appropriate for ACRs. Notifies NCCR of those currently accredited. In the event of a lapse of membership, PB (in consultation with PSB) decides conditions of reinstatement of professional status.
- 6.6 Accreditation process - Establishes an accreditation committee (AC - see 4.10 below) to oversee the PACR process in co-operation with other PBs. Provides appropriate support for potential candidates. Distributes documentation, receives, and processes applications. Checks suitability for assessment of candidate and if not refers back to candidate. Agrees assessors with PSB. Receives report from assessors. Considers report and any other relevant matters in making an accreditation decision. Notifies candidate of decision and issue relevant certificate. AC provides feedback to assessors and PSB.
- 6.7 Discipline - Establishes a disciplinary process. Receives complaints relating to ACRs of the PB. Decides on accreditation status.
- 6.8 CPD - AC Selects ACR and approaches ACRs for monitoring. Resources process. Receives and processes documentation from ACR. Makes recommendation.
- 6.9 Appeals - Receives appeals relating to its own members' accreditation, CPD and disciplinary decisions. Receives in the first instance and forwards to the PSB any further appeals against its own decisions and which allege that the accreditation process has not been carried out accurately. Co-operates with ASC in compiling a report for PSB. Receives and implements the recommendations from PSB. Decides on course of action. Notifies relevant parties of decision. Implements decision.
- 6.10 Accreditation Committee (See also Document 7) - determines the accreditation status of members under suitable terms of reference, such as the following suggested:
- to provide representatives to work with PSB's operational sub-committees
 - to co-ordinate consultation amongst the participating body's members on developments initiated by PSB
 - to receive applications for accreditation assessment, review application forms and advise candidates
 - to review assessors' recommendations and recommend accreditation or manage referrals as required, in association with PSB
 - to develop an agreed CPD record review strategy and to identify a suitable panel to analyse the CPD record selection
 - to maintain and provide a list of assessors and liaise with the Co-ordination Sub-committee in the identification of external assessors of different disciplines to those of applicants
 - to promote a mentoring network within the body's membership
 - to consult and advise the body's governing committee on the level and administration of the PACR subscription or other sources of income

7. Accredited Conservator-Restorer (ACR)

- 7.1 A conservator who has been accredited by the PB to the standards of the PACR scheme and who maintains the professional standards as defined from time to time by the NCCR. Is a n Accredited Member of a PB.
- 7.2 Discipline - Commits through PB membership to operate within the Code of Ethics defined by his/her PB and that defined by the European Confederation of Conservator-Restorers' Organisations and to practice in a professional manner. Accepts the disciplinary process and the finality of its outcome.
- 7.3 CPD - Complies with the requirements for maintaining CPD and supporting evidence. Makes this evidence available to the PB with reasonable notice upon request.
- 7.4 Professional Indemnity Insurance - PII is considered necessary for those acting in a professional capacity. An ACR will be expected to ensure that appropriate cover is in place. Failure to maintain appropriate cover will usually be a disciplinary matter.
- 7.5 Designatory Letters - Accredited members of PACR Participating Bodies are permitted to use the designation ACR (Accredited Conservator-Restorer). Individuals who have not been accredited through the PACR scheme or have lost their accredited member status are not permitted to use this designation. NCCR has lodged an application with The Patent Office to register its logo for use by ACRs as a Collective Mark. If this registration is successful, those found to be using the logo who are not Registered Proprietors under the Act may be prosecuted.

8. PACR Candidate (or 'Applicant')

- 8.1 Eligibility - any practising conservator is eligible to apply. However, it is likely that a candidate will have at least 5 years experience post training in order to have accrued sufficient suitable evidence that meets the criteria. Some applicants may be able to meet the criteria sooner and some may need more time.
- 8.2 Membership - has appropriate membership of a PB.
- 8.3 Application - undertakes to supply the PB with all relevant details. Agrees to the process of assessment and to accept its outcome (subject to the right of appeal).

9. Sponsor

- 9.1 Role - provides assurance to the PB that the candidate's application is a true statement of his or her experience and competence as a professional conservator-restorer. A sponsor verifies a candidate's application for accreditation but does not provide references or recommend accreditation.
- 9.2 Responsibility - a sponsor holds no liability for the outcome of the candidate's assessment. A

sponsor does not assess the candidate's competency. If also acting as a mentor, a sponsor may assist the candidate to decide readiness or eligibility for application but cannot be held responsible by either the candidate or the accreditation committee for decisions made by themselves or the assessors.

9.3 **Procedure** - Sponsors are chosen by a candidate and must be experienced and qualified conservator-restorers who know the candidate's work and can attest that his or her application is authentic and truthful. A sponsor examines the application form in detail and signs to confirm its veracity (as 9.1 above). A sponsor may also act as a mentor for the candidate if mutually agreed.

9.4 PSB has agreed that Accreditation Committee members shall be discouraged from becoming sponsors but that if it were not appropriate to refuse such a role, the potential sponsor shall inform his/her committee and take no part in the consideration of the respective candidate's application.

10. **Witness**

10.1 **Role** - a witness provides the assurance in specified areas of activity to the PB that the candidate has made a true statement. A witness is asked by the candidate to verify specific statements in the application for accreditation where he/she is the appropriate person to do so.

11. **Assessor**

11.1 **Role** - the assessor provides an expert opinion in detail on the competence of the candidate. Is required to be an ACR. Potential assessors are drawn from a list of nominees submitted to PSB by the PBs and their sub-sections where appropriate.

11.2 Undertakes mandatory 2 days of initial training and evaluation before being approved by PSB. Undertakes an annual refresher/briefing session. Assessor appointments are made annually, and can be renewed.

11.3 For each assessment visit, AC allocates the primary assessor from the candidate's own discipline. AC then informs Co-ordination Sub-committee and the latter allocates the secondary assessor, who must be from a different discipline. Wherever possible, the two assessors must have contrasting backgrounds, i.e. one from private practice and one from public employment. AC gives feedback to the assessors on the assessment report after its evaluation.

11.4 Assessors are paid a fee and are reimbursed for expenses. The amount of the fee and expenses calculation is determined from time to time by PSB.

Schedule - Professional Accreditation of Conservator-Restorers

1. Introduction to the Professional Accreditation Scheme
2. Candidate Guide
3. Assessor Guide
4. Application and Assessment Record
5. Continuing Professional Development
6. Accreditation Committee Guide
7. Guidance for Participating Bodies

SIGNED

on behalf of [name of Participating Body])

SIGNED on behalf of NCCR)

AGREEMENT 2. DATED 7 FEBRUARY 2000

THIS AGREEMENT is made on 7 February 2000 BETWEEN THE NATIONAL COUNCIL FOR CONSERVATION RESTORATION a company limited by guarantee (registered number 3514982) ("NCCR") and the bodies listed in the Schedule ("Professional Bodies").

WHEREAS -

NCCR has established a scheme for the Professional Accreditation of Conservator-Restorers ("PACR Scheme") which is implemented in collaboration with the Professional Bodies

IT IS AGREED as follows -

1. DISSOLUTION OF NCCR

If NCCR goes into liquidation or otherwise ceases to be able to carry out its activities -

- i. the Professional Bodies will use their reasonable endeavours to procure agreement that the PACR scheme is continued. and
- ii. NCCR will, if so required by the Professional Bodies, transfer to a body designated by them all contracts, engagements, intellectual property rights and other rights and assets vested in NCCR or its nominees and which are attributable to the PACR Scheme, and will take all such other steps as the Professional Bodies may reasonably require to assist with such continuation.

2. CHANGE IN THOSE BEING PROFESSIONAL BODIES

- i. Any Professional Body ceasing to implement the PACR scheme shall thereupon cease to be a "Professional Body" for the purposes of this Agreement.
- ii. Any body which agrees with NCCR to undertake the implementation of the PACR scheme shall, on signing the form set out in Schedule 2 (which shall also be signed by NCCR), become a "Professional Body" for the purposes of this Agreement.

Schedule 1

Institute of Paper Conservation, Leigh Lodge, Leigh, Worcester ("IPC")
United Kingdom Institute for the Conservation of Historic and Artistic Works, 109 The Chandlery, 50 Westminster Bridge Road, London SE1 7QY ("UKIC")
Society of Archivists, 40 Northampton Road, London EC1R 0HB ("SoA")

Schedule 2

We [Name] of [address], being a participating Professional Body implementing the PACR scheme of The National Council for Conservation Restoration, agree to become a party to the Agreement dated 7

February 2000 and to assume the rights and obligations of a Professional Body (as defined in the Agreement).

SIGNED on behalf of [name)
of Professional Body])

SIGNED on behalf of The)
National Council for)
Conservation Restoration)

APPENDIX III Joint Policy & Procedures

The following are policies and procedures jointly agreed by the Participating Bodies for the administration of the PACR scheme. These may be amended or revised from time to time by agreement amongst the Participating Bodies at the Professional Standards Board. They are not exhaustive and other procedures can be introduced. If a Participating Body requires confirmation of the extent to which any other procedure is being carried out consistently amongst the other Participating Bodies, the subject should be raised first at the appropriate sub-committee. If there remains uncertainty or disagreement about the matter, it should be referred to the Professional Standards Board. In cases of doubt, a formal agreement may be appropriate.

1. Joint Recognition of Fast Track Accreditation Schemes

- 1.1 The Professional Standards Board approves the three Fast Track accreditation schemes implemented by the participating bodies UKIC, IPC and the SoA and agrees to confer on the members of those bodies who are successfully accredited thereby the status of ACR (subject to the bodies being a party to the NCCR Agreement to implement the PACR Scheme.) *(Agreed 7 December 1999, minute ref. - 2/4.iii)*

2. Candidate Assessment Fee

- 2.1 The candidate assessment fee (covering the costs of application and assessment exclusively) is £400. *(Agreed 8 March 2000, minute ref. - 4/5.ii)* A standard procedure for calculating the fee will be followed by the Participating Bodies (see also below).
- 2.2 The candidate should send in a non-refundable registration fee of £50 with their application. This fee is only refundable at the discretion of the Participating Body, for instance if there are no suitable, trained assessors for the candidate in the year of application or problems with the scheme administration. Candidates whose applications lead to an assessment are required to pay the remaining £350 at least a week before the assessment takes place. Candidates whose applications do not lead to an assessment will not be required to pay the £350 assessment fee (minute ref: 11/3.)
- 2.3 Any surplus arising to the Participating Body from candidate assessment income should be paid to PSB. *(Agreed 18 April 2000, minute ref. - 5/4.iv.c)*

3. CPD Record Recall and Analysis

- 3.1 Participating Bodies are required to collaborate in the periodic recall of Accredited Members' continuing professional development records (CPD - see also Document 5). In addition the following should be observed. *(Agreed 18 April 2000, minute ref. - 5/3.iii)*
- 3.2 Each Participating Body shall undertake to examine a minimum of 10% of the CPD records recalled

3.3 To assist the Participating Bodies in ensuring consistency across the sector, the examined records will be sent to PSB and a random selection considered by a CPD working party convened for this purpose

4. Transfer of Accredited Membership Status

Transfer of status between participating bodies can be carried out only under the following terms:

4.1 Dismissed ACRs cannot transfer their ACR status into a new body without re-assessment

4.2 The respective Accreditation Committee of the body to which the person wishes to transfer must deal with applications for transfer of ACR status. This process will be operated by having the applicant submit information on a standard transfer form (to be drawn up by PSB). The form will ask the applicant to indicate the following -

- i. The specialisms that were assessed for his/her ACR accreditation
- ii. The reasons for applying for a transfer
- iii. Any changes to specialism since being accredited, with details of any relevant training that had been undertaken to support such a change
- iv. A declaration of any outstanding or successful disciplinary decisions or complaints against the applicant
- v. Presentation of all CPD records produced while a member of the original accrediting body

4.3 The body to which an applicant has applied to transfer will make the decision whether or not to allow the transfer of ACR status. The applicant can only appeal about a negative decision to that body, not to PSB.

4.4 The applicant can only appeal to PSB if s/he believes that the target body had not operated the transfer process correctly.

5. PACR Subscription

5.1 The Participating Bodies are required to pay an annual subscription to PSB based on a calculation of an amount per ACR member. This income pays for such costs as assessor training, committee training, CPD reviewers' training, applicant briefings, stationery and meeting costs, periodic review of the standards and the documentation and administrative co-ordination of the application and assessment process.

5.2 The subscription calculation is based on £20 per ACR member. This figure was identified on 22 May 2000 and the Participating Bodies' respective Councils subsequently approved the payment of the annual subscription. The calculation should be made on the basis of the total ACR membership at 1 January each year and payment made to PSB, on presentation of invoice, in two instalments during the following year. (*Agreed 23 November 2000, minutes ref. - 9/3.iv*)

APPENDIX IV ECCO Guidelines (Definition of Profession & Code of Ethics)

THE PROFESSION

Promoted by the European Confederation of Conservator-Restorers' Organisations E.C.C.O. and adopted by its General Assembly Brussels, 11 June 1993)

Preamble

The objects to which society attributes a particular artistic, historic, documentary, aesthetic, scientific, spiritual or religious value are commonly designated "cultural property"; they constitute a material and cultural heritage to be passed on to forthcoming generations. Since these are entrusted to the care of the Conservator-Restorer by society, he has a responsibility not only to the cultural property but to the owner or legal guardian, the originator or creator, the public and posterity. These conditions serve to safeguard all cultural property, regardless of its owner, age, state of completeness or value.

I. Role of the Conservator-Restorer

The fundamental role of the Conservator-Restorer is the preservation of cultural property for the benefit of present and future generations. The Conservator-Restorer contributes to the understanding of cultural property in respect of its aesthetic and historic significance and its physical integrity.

The Conservator-Restorer undertakes responsibility for and carries out the diagnostic examination, conservation and restoration treatments of cultural property and the documentation of all procedures.

Diagnostic Examination:

consists of the determination of the composition and condition of cultural property; the identification, extent and nature of alterations; the evaluation of the causes of deterioration; the determination of the type and extent of treatment needed. It includes the study of relevant documentation.

Preventive conservation:

consists of indirect action to retard deterioration and prevent damage by creating conditions optimal for the preservation of cultural property as far as is compatible with its social use. Preventive conservation embodies correct handling and use, transport, storage and display.

Remedial Conservation:

consists mainly of direct action carried out on cultural property with the aim of retarding further deterioration.

Restoration:

Consists of direct action carried out on damaged or deteriorated cultural property, the aim of which is to facilitate its understanding, while respecting as far as possible its aesthetic, historic and physical integrity.

Furthermore, it is within the Conservator-Restorer's competence to:

- develop conservation-restoration programmes or surveys,
- provide advice and technical assistance for conservation-restoration of cultural property,
- prepare technical reports on cultural property excluding any judgement of their market value,
- conduct research relating to conservation-restoration,
- develop educational programmes and teach conservation- restoration,
- disseminate information gained from examination, treatment or research
- promote a deeper understanding of conservation-restoration.

II. Distinction from Related Fields

The Conservator-Restorer is neither an artist nor a craftsman. Whereas the artist or the craftsman is engaged in creating new objects or in maintaining or repairing objects in a functional sense, the Conservator-Restorer is engaged in the preservation of cultural property.

III. Educational Training

To maintain the standards of the profession, the Conservator-Restorer's professional education and training shall be at the level of a university degree or equivalent.

CODE OF ETHICS

Promoted by the European Confederation of Conservator-Restorers' Organizations E.C.C.O. and adopted by its General Assembly (Brussels, 11 June 1993)

I. General Principles for the Application of the Code

Article 1: The Code of Ethics embodies the principles, obligations and behaviour which every Conservator-Restorer belonging to a member Organisation of E.C.C.O. should strive for in the practice of the profession.

Article 2: The profession of Conservator-Restorer constitutes an activity of public interest and must be practised in observance of all pertinent national and European laws and agreements, particularly with those concerning stolen property.

Article 3: The Conservator-Restorer works directly on cultural property and is personally responsible to the owner and to society. The Conservator-Restorer is entitled to practise without hindrance to his liberty and independence.

The Conservator-Restorer has the right in all circumstances to refuse any request which he believes is contrary to the terms or spirit of this Code.

Article 4: Failure to observe the principles, obligations and prohibitions of the Code constitutes unprofessional practice and will bring the profession into disrepute.

II. Obligations towards Cultural Property

Article 5: The Conservator-Restorer shall respect the aesthetic and historic significance and the physical integrity of the cultural property entrusted to his care.

Article 6: The Conservator-Restorer, in collaboration with other professional colleagues involved with cultural property, shall take into account the requirements of its social use while preserving the cultural property.

Article 7: The Conservator-Restorer must work to the highest standards regardless of any opinion of the market value of the cultural property. Although circumstances may limit the extent of a Conservator-Restorer's action, respect for the Code should not be compromised.

Article 8: The Conservator-Restorer should take into account all aspects of preventive conservation before carrying out physical work on the cultural property and should limit the treatment to only that which is necessary.

Article 9: The Conservator-Restorer shall strive to use only products, materials and procedures which, according to the current level of knowledge, will not harm the cultural property, the environment or people. The action itself and the materials used should not interfere, if at all possible, with any future examination, treatment or analysis. They should also be compatible with the materials of the cultural property and be as easily and completely reversible as possible.

Article 10: Documentation of a cultural property should include records of the diagnostic examination, conservation and restoration interventions and other relevant information. This documentation becomes part of the cultural property and must be available for appropriate access.

Article 11: The Conservator-Restorer must undertake only such work as he is competent to carry out. The Conservator-Restorer must neither begin nor continue a treatment which is not in the best interest of the cultural property.

Article 12: The Conservator-Restorer must strive to enrich his knowledge and skills with the constant aim of improving the quality of his professional work.

Article 13: Where necessary or appropriate, the Conservator-Restorer shall consult historians or specialists in scientific analysis and shall participate with them in a full exchange of information.

Article 14: In any emergency where cultural property is in immediate danger the Conservator-Restorer, regardless of his field of specialisation, shall render all assistance possible.

Article 15: The Conservator-Restorer shall not remove material from a cultural property unless this is indispensable to its preservation or it substantially interferes with the historic and aesthetic value of the property. Materials which are removed should be conserved, if possible, and the procedure fully documented.

Article 16: When the social use of cultural property is incompatible with its preservation, the Conservator-Restorer shall discuss with the owner or legal custodian, whether making a reproduction of the object would be an appropriate intermediate solution. The Conservator-Restorer shall recommend proper reproduction procedures in order not to damage the original.

III. Obligations to the Owner or Legal Custodian

Article 17: The Conservator-Restorer should inform the owner fully of any action required and specify the most appropriate means of continued care.

Article 18: The Conservator-Restorer is bound by professional confidentiality. In order to make a reference to a specific cultural property he should obtain the consent of its owner or legal custodian.

IV. Obligations to Colleagues and the Profession

Article 19: The Conservator-Restorer must maintain a spirit of respect for the integrity and dignity of colleagues and the profession.

Article 20: The Conservator-Restorer should, within the limits of his knowledge, competence, time and technical means, participate in the training of interns and assistants.

The Conservator-Restorer is responsible for supervising the work entrusted to his assistants and interns and has ultimate responsibility for the work undertaken under his supervision.

Article 21: The Conservator-Restorer must contribute to the development of the profession by sharing experience and information.

Article 22: The Conservator-Restorer shall strive to promote a deeper understanding of the profession and a greater awareness of conservation-restoration among other professions and the public.

Article 23: Records concerning conservation-restoration for which the Conservator-Restorer is responsible are his intellectual property (subject to the terms of his contract of employment).

Article 24: Involvement in the commerce of cultural property is not compatible with the activities of the Conservator-Restorer.

Article 25: To maintain the dignity and credibility of the profession, the Conservator-Restorer should employ only appropriate and informative forms of publicity in relation to his work.

ECCO Acknowledgements

The European Confederation of Conservator-Restorers' Organisations (E.C.C.O.) has prepared the E.C.C.O. Professional Guidelines based on the study of documents from national and international conservation or non-conservation Organisations. The "Conservator-Restorer: a definition of the profession" (ICOM-CC, Copenhagen 1984) was the first document adopted by E.C.C.O.

NCCR Acknowledgements

NCCR is grateful for permission to use the above extracts from the ECCO Guidelines

National Council for Conservation-Restoration
Professional Accreditation of Conservator-Restorers

PACR 7

Accreditation Committee Guide

April 2001

For 2001 applications

subject to final approval by NCCR

Accreditation Committee Guide

Contents

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Principles and interpretations	13
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You should also have the following documents:

- 1 Introduction to the Professional Accreditation Scheme
- 4 Application and Assessment Record
- 5 Continuing Professional Development.

You should also be familiar with the other scheme documents, and any additional guidance documents provided for assessor training and updating.

Contact details

The first point of contact should be your professional body. This will be one of the following:

Institute of Paper Conservation, Leigh Lodge, Leigh,
Worcester WR6 5LB tel 01886 832323 fax 01886 833688
Email clare@ipc.org.uk

UKIC, 109 The Chandlery, 50 Westminster Bridge Road,
London SE1 7QY tel 020 7721 8721 fax 020 7721 8722
Email ukic@ukic.org.uk

Conservation Accreditation Sub-Committee, c/o **Society of Archivists**, 40 Northampton Road, London EC1R 0HB
tel 020 7278 8630 fax 020 7278 2107
Email societyofarchivists@archives.org.uk

Details of the scheme, its standards, guidance for candidates and assessors and an introduction to CPD can be downloaded from your professional body's web site or www.nccr.org.uk

For other queries, write to:

Professional Standards Board
National Council for Conservation-Restoration
106 The Chandlery, 50 Westminster Bridge Road,
London SE1 7QY

1 Introduction

This Guide highlights key points for accreditation committee members working in the PACR scheme. It should be used in conjunction with the guidance provided during committee training and updating workshops.

Committee members are also strongly advised to familiarise themselves with the other documents relating to the schema, and any other documents provided for training and updating purposes. Documents are available from your professional body or on-line at www.nccr.org.uk/accredit.htm or www.ukic.org.uk/pacr/

Comments please

The Professional Standards Board will review the professional standards and the assessment and accreditation process periodically. The Board will welcome any comments you have on the standards, documents or assessment process.

2. The Accreditation Committee's role and functions

Each professional body participating in PACR must set up an Accreditation Committee, which should be a formal committee of that professional body. The Committee operates within the rules agreed by the NCCR Professional Standards Board (PSB), and must work closely with the PSB Co-ordination Committee.

The Accreditation Committees act as the guardians and interpreters of the profession's standards within the national framework set by NCCR. They are expected to act with fairness and integrity, and ensure that their actions and decisions are consistent with the statements in the PACR documents (which form part of the contract between the applicant or candidate and the professional body).

PACR represents one of the public faces of the professional bodies to its members, and the profession to the public. The Accreditation Committees therefore have an important role in maintaining the credibility of both.

Functions

The functions of the Committees as required for PACR are outlined below. The Committees may carry out additional functions provided these do not conflict in any way with their role in PACR, or create conflicts in the roles of individual committee members.

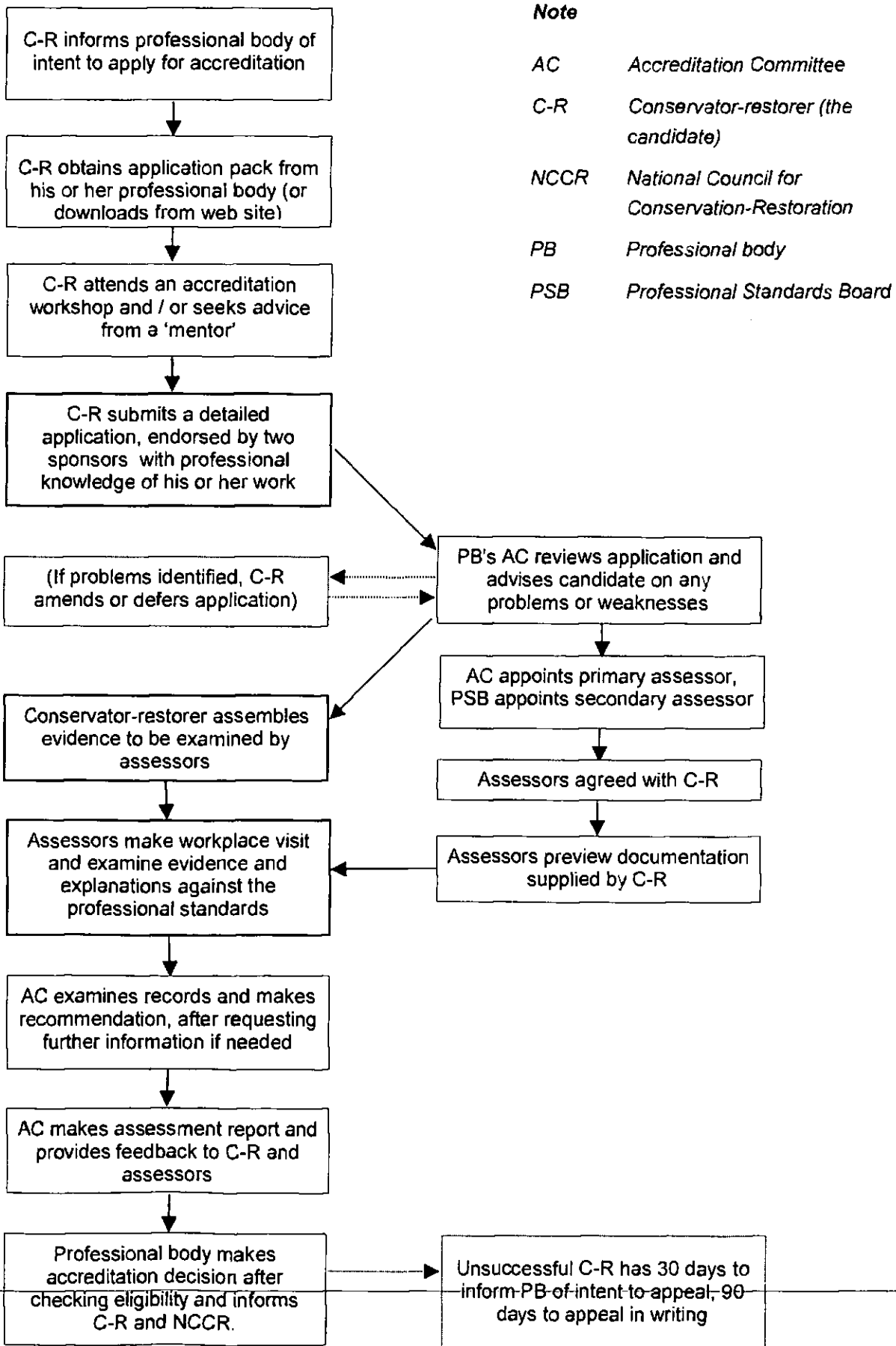
- Select potential assessors for training, and approve their appointment.
- Carry out initial vetting of applications and where necessary correspond with the candidate (e.g. to return incomplete applications, highlight weaknesses or advise candidates to amend or delay application).
- Allocate the candidate's primary assessor, and resolve any objections from the candidate or assessor.
- Following the assessment visit, examine the assessors' report and records and the candidate's application, request further information or clarification as necessary, and make a decision as to whether the candidate meets the professional standards (the committee effectively performs the role of a moderation board). The candidate's professional body will accredit candidates approved by the accreditation committee, subject to other factors (such as disciplinary proceedings or unpaid subscriptions) which affect eligibility.
- Act as the first point of appeal, and where appeals cannot be resolved within the professional body, refer them to the Professional Standards Board of NCCR.
- Consider applications from ACRs accredited by other professional bodies subscribing to PACR, who wish to transfer their accredited status to the Committee's professional body, under the procedures described in PACR 6, Participating Bodies' Guidance.

Constitution

There are likely to be differences in the way each participating professional body sets up its Accreditation Committee, and the rules of constitution need to be worked out by the professional bodies individually. However, there are some basic principles with which all committees need to comply:

- The committee must be set up so that it can deal confidently and competently with all the conservation-restoration disciplines within the scope of the professional body. This should include provision for the incapacity of any committee member, or their withdrawal from a decision due to conflicts of interest.
- All committee members must be accredited conservator-restorers, have attended at least one accreditation committee briefing or workshop before they take part in the business of the committee, and have a good understanding of the standards and working principles of PACR.
- Where committee members are aware of conflicts of interest, they must declare them and if necessary step down from any decision where a conflict is present. Where committee members are also current PACR assessors, they must step down from decisions relating to their own assessments.
- Committee members should also avoid agreeing to act as sponsors for applicants. If a committee member is the most appropriate or only available sponsor for an applicant, he or she should report this to the committee and stand down from the sitting at which the application is being considered.

3 The accreditation process



Initial vetting of applications

PACR is designed to provide an open and fair process whereby any practising conservator-restorer (see PACR 1, appendix 4) who is a paid-up member of a participating professional body can apply to be assessed for accreditation. However, it is important that (a) factually incomplete applications are not allowed to proceed to the assessment stage, and (b) candidates whose applications appear weak - e.g. in terms of their breadth of experience or depth of knowledge - are made aware of the fact and given an opportunity to revise or withdraw their application. All applications are at the candidate's risk, but the Committee should give impartial advice where applications do not look likely to succeed.

The Committee (or the professional body's office) should initially check that:

- the registration fee has been paid (£50 for 2001)
- the form has been signed and all sections have been filled in, including details of training and experience (pages 4.7-4.8 of form PACR 4), a review of continuing development (pages 4.9-4.12), details of key projects and activities (pages 4.13-4.15), and the candidate column on odd pages 4.19-4.39.
- the application has been endorsed by two sponsors, and the sponsors are accredited conservator-restorers or of equivalent standing (it is advisable that at least one of these is from the same conservation-restoration discipline as the candidate, though where different disciplines involve the same materials, this may not be essential) (page 4.13)
- sponsor or witness endorsement has been obtained for sections D and E (pages 4.39 and 4.41)
- the candidate is not debarred from applying for some other reason such as non-payment of membership fees or disciplinary action.

Applications that do not meet these basic standards must be referred back to the candidate.

The Committee, or one of its members who is competent to do so, should also check that the information provided by the candidate suggests that the application stands some chance of being successful. As a minimum, the candidate should understand what is required by each of the professional standards, and either refer to relevant projects or other evidence, or indicate a working level of knowledge and understanding. The projects or activities described should be appropriate to the candidate's work and to the level of work expected for accreditation. They should also show that the candidate has current or previous experience of practical conservation-restoration.

If there are concerns that the application is weak, this should be discussed with the candidate before assessors are allocated. It is important that this is done in the spirit of an open and mature dialogue, and does not become perceived as prejudging the candidate's competence or professionalism. It is also important that individual committee members confer with and gain the agreement of at least one other colleague before talking to the candidate.

Various ways forward may be found in the case of a 'weak' application, for instance:

- ~~the candidate decides to withdraw from the current round of applications~~
- the candidate revises and resubmits his or her application in time for assessment

- the candidate convinces the Committee that he or she has a reasonable chance of meeting the accreditation requirements, and proceeds with the current application form
- the candidate decides to proceed against the advice of the Committee.

In the last case the Committee must provide clear guidance in writing that, in their view, the application is insufficiently strong to go ahead for assessment and the candidate will be acting against this advice.

Allocating the primary assessor

Primary (lead) assessors are allocated to candidates from the professional body's list of assessors (or shared assessors, if a sharing arrangement has been agreed with another professional body). The assessor must be competent to make specialist judgements in the candidate's discipline or area of work. In some cases where the candidate is particularly specialised, this is likely to mean more than simply checking that the broad disciplines match. Equally, generalist candidates (e.g. collections care managers) need assessors who also have generalist knowledge and experience. In general, you will need to consider who the most appropriate lead assessor is for each individual candidate.

Having identified an appropriate assessor, the Accreditation Committee must:

1. ensure that the assessor is available and is willing to act as that candidate's assessor
2. inform the candidate
3. inform the Professional Standards Board.

The candidate can object to the assessor if there is a good reason for doing so, e.g. if he or she is aware of a conflict of interest or believes that previous contact will prejudice the assessor's judgement. If the objection is on other than trivial grounds a different assessor should be sought. Candidates may object to more than one assessor, but need to be made aware that this could prevent the assessment being carried out in the current round if there are insufficient trained assessors available.

Secondary assessors are allocated by the NCCR Professional Standards Board Co-ordination Committee and are drawn from all participating professional bodies. They not be from the same specialism as the candidate, and will be chosen so that all candidates have at least one assessor with experience of working in a similar context (e.g. institutional or commercial / private practice) as themselves. If candidates have more than one main specialism, it may be possible to select assessors so that they cover two specialisms as well as the private / institutional context.

The assessment visit

The Accreditation Committee will not normally be in contact with the assessors between allocating assessors and the completed assessment records being returned. The main exception is likely to be where the assessor(s) are concerned that the application, and subsequent discussion with the candidate, suggest substantial weaknesses likely to prevent accreditation. Provided any weaknesses apparent from the application have already been brought to the candidate's attention, the assessor should deal with minor problems at this stage, although the Committee may advise the assessor.

Within two weeks of the visit, the assessors should return a copy of the completed form PACR 4 to the Committee. The candidate may choose to send feedback (page 4.46) under separate cover, so that the assessors do not see it before they make their decisions.

Basic decisions

Your job is to examine the form and decide whether the candidate has met the requirements of the professional standards. The assessors will have recorded their comments against each area of the standards, and marked the area with a C (competent), K (has a working knowledge), or X (not competent or adequately conversant). In brief:

An application that **does not have a 'C' in section 3.2**, or has an 'X' in any part, cannot normally be approved for accreditation without at least limited reassessment. If it has an 'X' in more than one of the professional criteria, or in more than one of the major functional areas (1-6), it must normally be rejected rather than referred for reassessment in the current round. The Committee may exceptionally refer applications that are marginally 'worse' than this, provided they are strong elsewhere and the rejected areas do not run through the candidate's practice (e.g. unethical practice or lack of professional judgement).

Other than section 3, one of the functional areas may be marked with all 'K's without the application being rejected or referred. However, applications that have more 'K's than 'C's across the functional areas should normally be referred. An application that would have been referred because it has one or two 'X's, but also has more 'K's than 'C's in the remaining areas, should normally be rejected.

In making decisions between approval and referral, the following point is relevant:

- Could the practitioner act competently in the questioned areas of the standards with a minimum of further experience and without further guidance (possible approval if the candidate is strong across the remaining areas), or would it be risky to assume this (referral)?

In making decisions between referral and rejection, the Committee should normally consider:

- Is this a basically competent practitioner whose knowledge or experience in one or two areas is insufficient (referral), or are there doubts about the candidate's overall competence and professionalism (rejection)?
- Could the gaps be made up reasonably quickly, e.g. through independent study, changes to practice or some form of secondment or project (referral), or does this require significantly more experience or a shift in attitude (rejection)?

Queries and moderation

The Accreditation Committee's role is also to verify and moderate assessors' decisions, i.e. to ensure ~~that decisions are consistent with the evidence the assessors examined, and adjust any decisions~~ which were particularly harsh or lenient in order to even out the standard being applied.

- What is the overall 'feel' of the form? Does this look like, for instance, a competent applicant who has been given plenty of 'C's, a competent applicant criticised on trivial points or where the assessors' preferences are different, a less competent applicant assessed accordingly, or a less competent applicant 'let through' despite what appear to be significant gaps or questionable practices? If your appraisal suggests changing the overall result from that suggested by the assessors, what specifically would you base this decision on?
- Do the candidate's statement, the assessors' comments, and their decision, correspond? If not, is this an isolated case or does it occur in more than one place? If the assessors appear unduly harsh (or pedantic), or lenient (or careless), discussion with the assessors may be useful.
- If there are any 'X's, what is the justification? Do they look to be justified by the assessor's comments and the applicant's statements?
- Are there any areas that appear weak but have been marked 'C,' without adequate explanation?

If you have doubts about the assessment or agree it may need moderation, ensure you query it with the assessors and if necessary the candidate.

The decision

Following any queries you need to make, your decision can be:

- To refer the candidate, i.e. to put the application on hold pending reassessment, normally in up to two out of the eleven areas of the professional standards. In this case the candidate will need a further assessment visit or be asked to provide additional evidence before a final decision is made. Referred candidates are not being asked to reapply; their current application stands, although supplementary information may be required.
- Agree that the candidate meets the requirements of the professional standards (decision A, page 4.49). Unless there are grounds (such as disciplinary matters or non-payment of fees) to withhold accreditation, the professional body will write to the candidate to confirm that accreditation has been successful and that a recommendation to this effect will be passed to the body's governing board or council for ratification.
- Decide that the candidate has not met the requirements of the professional standards (decision B). In this case the candidate will not be able to reapply for a further twelve months following the assessment or referral visit.

It is important that the Committee's decision is consistent with the principles and rules stated in the PACR scheme documents, as these provide the reference-point for all parties involved in the scheme.

Decisions should concentrate on critical issues ('is this person a competent professional, as represented by the standards'), not on trivia such as the quality of form-filling.

Decisions must be consistent, rigorous (i.e. based on all the available evidence), **open and confident**:

- it is in no-one's interest to accredit candidates who do not meet the standards
- candidates who are not accredited have a right to know why, and what they need to do to meet the standards; this should be clear from the comments in the application / assessment form
- the committees should have confidence in their decisions, and communicate this to candidates by being straightforward and clear without being either defensive or negatively critical.

Following the Committee's decision a copy of the application / assessment document must be returned to the candidate, to include the comments made by the assessors and the Committee. If the candidate's feedback page has not previously been seen by the assessors, it can be released to them at this stage.

Referrals and rejections

If the candidate is referred, he or she can be reassessed once in the area(s) of referral by the same assessor/s (or by different assessors if the Committee deems it necessary for a fair assessment) before the Committee makes a final decision. If another visit is required there may be a (reduced) referral fee, although the professional body may choose to waive this. While there is no specific period before reassessment, the candidate should be advised to ensure that he or she has addressed the issues leading to referral. The candidate can decide to defer reassessment for a up to a year if needed to gain additional experience or training.

A referred candidate who is asked to undergo a further visit can approach the Accreditation Committee to discuss alternative ways of demonstrating that he or she meets the standards in question, e.g. by submitting a portfolio of evidence. The Committee needs to be open to alternative methods if they will enable a valid and reliable assessment to be made.

A rejected application will be regarded as closed, and the candidate will need to reapply at least twelve months after the date of the assessment visit (or referral visit if applicable). Reapplications are treated in the same way as new applications, and attract the same fee.

Other reasons for reassessment

In some circumstances it may be necessary to require reassessment or additional evidence for reasons that are not the fault of the candidate, e.g. the candidate has followed official advice which has been incorrect or misleading, or the assessment was not carried out correctly and there is not enough evidence to moderate it reliably. If this occurs all steps should be taken to minimise the inconvenience for the candidate, without compromising the validity and reliability of the assessment.

Appeals

Where applications have not been approved for accreditation (as opposed to referred), the candidate has a right of appeal via his or her professional body. Intentions to appeal should be lodged with the professional body within 30 days of the decision being communicated, and formal appeals made in writing within 90 days of the decision being communicated. Extensions to these timescales may be made in exceptional circumstances (e.g. serious illness or absence from the UK), or if the professional body has not followed the candidate's instructions about his or her point of contact.

- The first stage of the appeal may simply be a request to check the decision the Accreditation Committee has made, possibly in the light of further information provided by the candidate.
- Formal appeals will be made in writing to the professional body. A fee can be charged for a formal appeal, and must be refunded if the appeal is successful.
- If the candidate is not satisfied with the Accreditation Committee's response, the appeal must be referred to the Professional Standards Board, which will set up an appeals sub-committee to investigate.

4 Principles and interpretations

As stated in section 2, it is important that the Committees' decisions and actions are consistent with the PACR scheme documents, as these form the public set of rules and guidelines to which the scheme operates. The points are included to assist with interpretation of the standards and assessment process; they are consistent with the guidance given to candidates and assessors.

What level of ability is expected for accreditation?

Accreditation is pitched at the level of **an experienced practitioner capable of working on their own initiative**, making independent professional judgements, managing their work and professional development, and taking responsibility for their decisions. This means that the candidate will be expected to be capable of working unsupervised across all the areas described in the professional standards. Using the Dreyfus model of skill acquisition (see appendix), the general standard needed is into the 'proficient' category, with evidence of 'expert' in areas where the candidate is most experienced. He or she does not need to be in a managerial or team leadership role, but will need to show the ability to take responsibility for personal actions and judgements and if necessary those of others.

If the candidate is involved in working on objects, their work must be fit for purpose and meet the standard expected in their discipline of a competent practitioner working in their own right (i.e. not absolute perfection, but a 'mainstream' professional standard that would be fully acceptable across institutional or commercial practice).

Note that the depth of understanding required is described as at a 'post-graduate' level - this doesn't refer to detailed academic knowledge, but does require depth of understanding, intelligent practice and professional judgement. PACR implies more than an expert technician - professional judgement and responsibility for own decisions are also critical.

The assessors must accept that the candidate may not be able to provide evidence of practical proficiency in all areas: for instance, some conservator-restorers in private practice may have little involvement in preventive conservation, while in institutions the way job roles are defined may limit involvement in certain areas. In these cases a working level of knowledge (not just theoretical knowledge) is likely to be acceptable provided it convinces the assessors that the candidate could act competently if required. As a general rule no more than one of the six functional areas (1-6) should be demonstrated through knowledge alone, and accreditation is unlikely to be approved if the candidate is unable to demonstrate proficiency or practical experience across a substantial proportion of each of the remaining areas. **Current or past practical proficiency must be demonstrated in area 3.2.**

Managers, advisers, scientists and lecturers

Because the designation 'accredited conservator-restorer' implies an ability to practise to a competent standard, people who operate in a managerial, advisory, research or teaching role are **only eligible for accreditation if they are also proficient as conservator-restorers.**

Where candidates no longer undertake some of the functions described in the professional standards they will need to provide evidence which demonstrates relevant knowledge, judgements and decisions - for instance in commissioning and evaluating conservation work - backed by evidence that they have trained as a conservator-restorer and undertaken practical conservation work to a proficient standard.

It is possible that a different approach may be taken for applications from 2002/3 onwards, possibly with streams for practising conservator-restorers and for advisory and similar roles. The interpretation above must be applied to all current applications.

What does 'complex' mean?

The functional standards frequently ask for evidence of dealing with 'complex conservation problems.' Complex situations are typically those which:

- require choices between options which lead to significantly different outcomes
- present dilemmas and value-conflicts or require significant value-judgements
- present substantial technical problems, for instance in relation to unstable or degraded materials
- require a deep level of practical understanding to be applied to the situation
- require the marshalling and management of a wide range of resources.

To be 'complex' a situation need not contain all these factors, but it is likely to include more than one or have one present to a high degree. In particular the assessors should be looking for evidence of a considered approach when dealing with complex situations.

Continuing professional development

As part of his or her evidence the candidate will need to show evidence of ongoing learning and development, including the 'CPD review' which forms part of the application. This provides a reflective account of his or her learning and development over the year two years up to the time of the application, and evidence of identifying further areas for development and planning to take action to meet them. **Please note that for PACR, CPD is described in terms of learning and development, not attendance on courses or conferences; refer to section C of the professional standards in PACR 4, and the guidance on continuing professional development in PACR 5 for further details.**

The CPD review is now incorporated in the application document.

Assessment principles

The assessment process is intended to be consistent, fair and open. Assessors must give candidates the opportunity to discuss anything they think is not being assessed fairly; they must not attempt to 'catch candidates out' or conduct the assessment or ask questions in a way that creates unnecessary pressure. Professional competence and understanding, not exam technique, is being assessed.

Equally, the assessment is about where the candidate is now, not the route taken to arrive there. Length and breadth of experience, presence or otherwise of formal training etc can be indicators of potential areas of strength or weakness, but they must not influence the final decision, which is based on the professional standards alone.

Assessment should be:

Valid. Assessment decisions must be based on the professional standards and criteria - e.g. not on the assessors' personal standards or preferences, or the candidate's background, length of experience or qualifications. Assessment should concentrate on central issues of professional competence, understanding and judgement rather than trivial detail.

Fair. Assessment must not discriminate against candidates on grounds other than that they don't meet the professional standards and criteria.

Consistent. The process is designed to ensure that the same standards are applied to different candidates and by different assessors. This implies moderation by the Accreditation Committee if assessors have applied different standards.

Open. The assessment process should be as open as possible, involving the candidate in discussion throughout. Assessors must be prepared to state why they think a standard or criterion hasn't been met, and allow the candidate to offer further explanation; if any difference in opinion can't be overcome, the assessors must make a note of it.

Justifiable. The assessment findings should withstand external scrutiny and be backed by sufficient information to show why the assessors arrived at the decisions they did.

Effective and efficient. There is limited time to complete the visit, requiring the assessors - and the candidate - to be organised and efficient. Assessors must not make poor-quality decisions on the grounds that they didn't have enough time, but equally candidates do not have a valid complaint if relevant evidence was not examined or discussed due to their own lack of organisation.

If a candidate doesn't think these principles have been applied during the visit, he or she is entitled to raise concerns with the assessors on the day or if they are substantial with the Accreditation Committee via the professional body.

Appendix: Levels of competence and expertise (from the Dreyfus model of skill acquisition)

Level	Stage	Characteristics	How knowledge etc is treated	Recognition of relevance	How context is assessed	Decision-making
1	Novice	Rigid adherence to taught rules or plans Little situational perception No discretionary judgement	Without reference to context	None	Analytically	Rational
2	Advanced beginner	Guidelines for action based on attributes or aspects (aspects are global characteristics of situations recognisable only after some prior experience) Situational perception still limited All attributes and aspects are treated separately and given equal importance	In context			
3	Competent	Coping with crowdedness Now sees actions at least partially in terms of longer-term goals Conscious, deliberate planning Standardised and routinised procedures				
4	Proficient	Sees situations holistically rather than in terms of aspects Sees what is most important in a situation Perceives deviations from the normal pattern Decision-making less laboured Uses maxims for guidance, whose meanings vary according to the situation		Present	Holistically	
5	Expert	No longer relies on rules, guidelines or maxims Intuitive grasp of situations based on deep tacit understanding Analytic approaches used only in novel situations or when problems occur Vision of what is possible	Intuitive			

Adapted from: Dreyfus, S E (1981) *Four models v human situational understanding: inherent limitations on the modelling of business expertise* USAF Office of Scientific Research, ref F49620-79-C-0063; Dreyfus, H L & Dreyfus, S E (1984) "Putting computers in their proper place: analysis versus intuition in the classroom," in D Sloan (ed) *The computer in education: a critical perspective* Columbia NY, Teachers' College Press.

