

Chapter 1: Introduction

Engaging with corporate responsibility (CR) is a challenge facing the modern organisation and one that poses both risk and opportunity. It is an area that continues to gain momentum within the organisational literature; however it also remains in a “continuing state of emergence” (Lockett, Moon & Visser, 2006: 133). CR is generally understood to be an approach to business practice that balances environmental, social and economic dimensions – sometimes referred to as the ‘triple bottom line’ (Elkington, 1998). The purpose of this thesis is to develop a fine grained understanding of the social dimension of CR and in particular examines the role played by social responsibility as well as the definition and operationalisation of this dimension of CR within an Australian university. The research thus attempts to provide a deeper understanding of the planning and implementation of the social dimension of CR in the university context.

Defining corporate responsibility for this thesis

Corporate responsibility is a term that is used interchangeably with constructs like corporate social responsibility, corporate citizenship, sustainability, business ethics and stakeholder management (Schwartz & Carroll, 2008) or more recent concepts such as ‘corporate sustainability’ (Dunphy, Griffiths & Benn, 2007; Linnenlueck, Russell & Griffiths, 2009) or ‘corporate integrity’ (Maak, 2008). It has also been used to encapsulate ideas such as business and society, social issues management, public policy and business and corporate accountability (Garriga & Mele, 2004) or with practice based conceptualisations such as total responsibility management (Waddock & Bodwell, 2007). There have been a number of scholarly attempts to summarise and critique the history of CR and its various definitions (c.f. Banerjee, 2008; Carroll & Shabana, 2010; Dahlsrud, 2008; Lee, 2008; Lockett, Moon & Visser, 2006) and readers are referred to these analyses for more detailed information on this history.

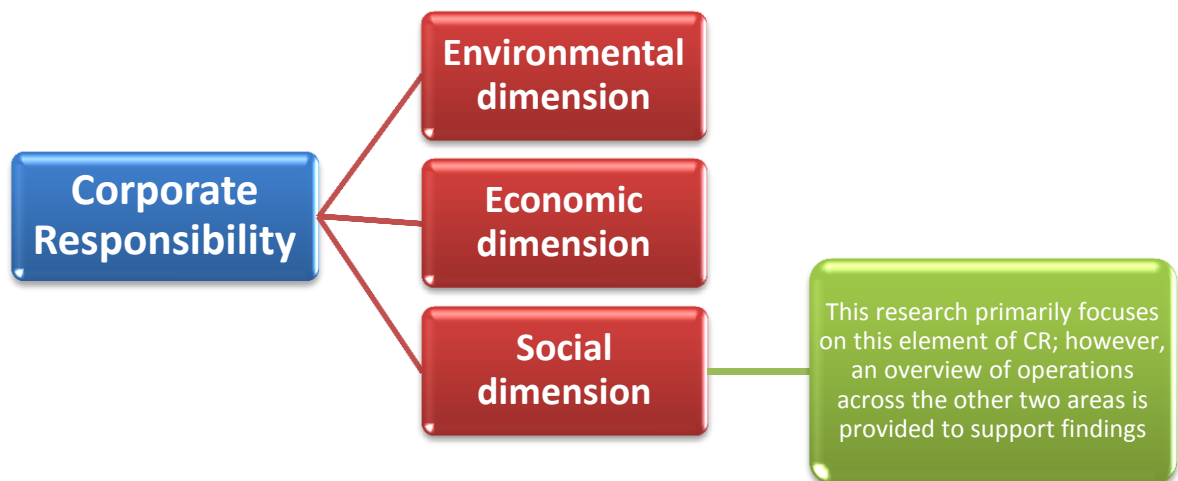
Corporate responsibility is a concept that sits within an ongoing debate around nomenclature (e.g. Banerjee, 2008; Dahlsrud, 2008; Okoye, 2009; Schwartz & Carroll, 2008) and in the literature a number of terms are used interchangeably (van Marrewijk, 2003), particularly corporate responsibility, corporate social responsibility and corporate sustainability. For this research a decision needed to be made about which construct to use and corporate responsibility (CR) was chosen as the term that will be used to represent the virtues and moral responsibilities that organisations have to stakeholders and society that go beyond what is required by law (Alzola, 2008).

Corporate responsibility and its related constructs are generally characterised as needing to find a balance between three broad elements of consideration; economic, environmental and social. The economic argument for CR (or business case) has been the subject of considerable analysis as researchers attempt to demonstrate a link between financial performance and socially and environmentally responsible behaviour (Ambec & Lanoie, 2008; Carroll & Shabana, 2010; Hart & Ahuja, 1996; Kurucz, Colbert & Wheeler, 2008; Margolis & Walsh, 2003; Orlitzky, Schmidt & Rynes, 2003; Russo & Fouts, 1997). The environmental argument, which calls for organisations to pay closer attention to the negative impacts that their business can have on the natural environment (Linnenluecke *et al.*, 2009), is also well advanced. This focus is largely driven by tighter legislative requirements combined with closer media and public scrutiny (Berrone & Gomez-Mejiz, 2009; Zyglidopoulos, 2002) and as such there is a growing recognition that businesses should be taking a leadership role on topics such as climate change and greenhouse gas emissions (Okereke, Wittenben & Bowen, 2009).

The focus of this research, however, is the social dimension of CR. As pointed out by Lockett, Moon and Visser (2006), this dimension has received the least attention in the academic literature and, unlike the environmental and economic elements, is rarely detached from the CR framework in order to be more carefully examined in its own right. As a result, there is a lack of understanding about how the social elements of CR are interpreted and applied at an operational level (Lehtonen, 2004) and it has been suggested that there is a need for researchers to concentrate more on this dimension of the CR taxonomy (Lee, 2008). Social responsibility has important implications given the need to better understand both the social consequences that an organisation has on the society in which it operates, as well as the competitive advantage that certain strategically oriented social initiatives may offer the organisation itself (Porter & Kramer, 2006). It has also been argued that greater progress in understanding CR might be possible if researchers start to focus more on individual, specific dimensions of the concept (Orlitzky, Siegel & Waldman, 2011). For these reasons, the social dimension has been chosen as the area of investigation in this thesis.

Although the social dimension of CR has been chosen as the specific area in which to focus this research, it is nevertheless recognised that some theorists argue that the elements of CR are interrelated and interdependent and therefore cannot and should not be detached from each other (Dunphy *et al.*, 2007; Elkington, 1998; Lehtonen, 2004; Zadek, 2001). Much of the extant CR literature focuses on CR as a holistic concept, without highlighting one specific element over another and in this research some coverage and attention is given in this research to the other elements of CR (particularly environmental, although there is also some discussion of the economic dimension) and how these are interpreted and operationalised in the case organisation. In particular this is done as a way of providing more detailed context for the social dimension of CR in the case study organisation and allows for discussion of how these elements are interpreted by participants in the study and why this impacts on the consideration of the social dimension. For clarity, Figure 1 provides a visual representation of the CR focus of this study.

Figure 1: A visual representation of the CR focus in this research



The research problem

The argument put forward in this research is that the social element of CR has received the least attention in the academic literature (Lee, 2008; Lockett, Moon & Visser, 2006), and because of this there is a lack of understanding about how this dimension of CR is defined and operationalised. In response to recent calls for CR research to examine organisations with different ownership structures (Lee, 2008), the thesis uses an Australian university as the focus under which to study CR. The extant CR research on the university sector reflects an emphasis on two main areas; “education for sustainability”, which is a relatively developed body of research examining the ways that sustainability and CR can be embedded into curricula and teaching (e.g. Benn & Dunphy, 2009; Porter & Cordoba, 2009; Steketee, 2009; Van Dam-Mieras *et al.*, 2008) and “campus greening” which looks at the ways that universities are impacting on the environment, particularly through operational decision making (Bala, Munoz, Rieradevall & Ysern, 2008; Clugston & Calder, 1999; Downey, 2004).

Universities have a strong history of engaging students and stakeholders in key social problems, such as equity, gender equality and indigenous issues. While ‘greening the campus’ is an area where universities have largely focused on the environmental dimension of CR, education for and about CR is one example of a critical social problem of the twenty-first century that many universities have begun to embark upon. The embedding of sustainability and CR into curricula is an example of one way that universities are showing commitment to the social dimension of CR and represents how that knowledge transfer is taking place regarding an important and current social issue (Hales, 2008; Lotz-Sisitka, 2004; Reid & Petocz, 2005; Sammalisto & Lindqvist, 2008; Thomas, 2004).

This thesis therefore does not argue that universities have ignored the social elements of CR, but instead builds on work that is already being done in this area in order to develop a deeper understanding of how the social dimension of CR can be more systematically embedded into the work that universities do. The argument put

forward in this thesis is that there may be a better approach to the implementation of the social dimension of CR, perhaps in a way that is more systematic and 'plan driven'. It appears that in the past many social issues have been implemented and driven by institutional forces, particularly those pushed by government (Campbell, 2006) and this research instead argues for a more proactive approach to the implementation of the social dimension of CR. For this reason it is suggested that the implications for potential trade-offs and balances that organisations in this sector might make between the elements of CR need to be reexamined.

The thesis attempts to make a contribution that helps managers of universities embed the social dimension of CR across the organisation in a way that is sustainable over the long term. In recent years organisational leaders have been taking note of the importance of, and potential to be found in, proactively addressing the core underpinnings of CR and are looking beyond the value to be found in economic management alone. As a result, this thesis looks for ways that CR might be used in universities in a systematic way that aligns with core organisational values and goals as well as stakeholder expectations (Bonini, Gorner & Jones, 2010; Porter & Kramer, 2006). Evidence has suggested that risks associated with organisational operations can be managed and strategically mitigated in companies where employee and organisational values and visions are aligned and where these values are embedded in the "cultural fabric" of the organisation (Collier & Esteban, 2007: 30).

The foundations of the research problem arise from an observation that considerable tensions exist between stakeholder groups in universities, particularly viewed in this thesis through the voices of two key groups: senior management and academics. It appears managers of universities are being driven by a move towards a more corporate mode of operation, while at the same time there remains an ongoing belief that universities have moral responsibilities which remain at the core of what these organisations should stand for. Tensions therefore exist because there appears to be mismatched expectations of what a university should be about and what it should stand for, that is its normative purpose.

It is thus argued throughout the thesis that the corporatisation of the sector is inevitable given institutionalised market pressures and increasing globalisation and internationalisation; however this does not necessarily have to be viewed as negative. Instead it is suggested that corporatisation provides unforeseen opportunities for universities, particularly in paving way for new and more current interpretations of moral responsibility. An aim of the thesis is therefore to develop both the justification as well as suggested strategies for embedding the social dimension of CR into universities.

The methodology used for the thesis sits within a normative research paradigm (Copp, 1995; Turner, 2010) and the research is influenced by positivist theories that are underpinned by normative, human elements (as discussed in Chapter 3). The aim is to look at what ought to be, that is what universities should be aiming for in terms of a 'utopian' ideal of how and why they should behave in certain ways. Although this ideal is unlikely to ever be met, given that universities are constantly changing organisations, the aim is to provide better outcomes for the implementation of the

social dimension of CR. In particular it is suggested that opportunity exists under the CR umbrella to bring together seemingly incongruent expectations of academics and management.

Research questions

To develop an understanding of the research problem outlined above, four research questions are addressed in this study. The first of these questions relates to what is meant by the social dimension of CR. As discussed above, CR is generally defined as having three elements of consideration: environmental, economic and social (e.g. Elkington, 1997); and it is argued that of these the social dimension is the least explored in the literature. No work has been found that has synthesised the literature on the social element of CR and, as a result, it is difficult to provide a definition of this dimension. This leads to the first research question of the thesis:

Research Question 1: How is the social dimension of CR conceptualised in the academic and practitioner based literature?

In order to address this question a substantial qualitative meta-analysis is undertaken of the academic and practitioners' literatures on CR. The outcome of this analysis is the development of an organising framework that represents how the social responsibilities of organisations are defined, as derived from the literature. This framework is an important first step in the research as it provides a structure against which the remainder of the thesis can be based, as well as a context within which the operationalisation and interpretation of CR in universities can be explored.

A small academic literature CR as it relates to universities has emerged focusing primarily on the environmental element through examination of: the use of declarations and charters; 'greening the campus'; and curriculum change for CR and sustainability. No research was found that specifically addresses either the social or economic dimension of CR and how these are interpreted and operationalised in universities, and this is one of the main reasons for choosing an Australian university as the focus of this thesis. However, it is the social, not the economic element of CR that has been chosen as the particular area of study in this thesis. The reason for this choice is that as universities morph to a more corporatised form it appears the role that the social elements of CR play in the sector is becoming increasingly important to stakeholders, even though these stakeholders do not necessarily appear to be identifying these issues specifically as social responsibility. Uncovering how the social dimension of CR is interpreted in the sector is considered important as it is hypothesised that it may be helpful for universities to reconceptualise their notion of moral responsibility. In this way it may provide an opportunity to develop a more coherent and grounded interpretation of what social responsibility means in the university context. This grounding may in turn offer opportunities for more systematic embedding of social responsibility into universities which may help to realign apparent stakeholder conflicts. In addition, taking this kind of systematic and whole of organisation approach to CR implementation may offer competitive

advantage to universities that are seeking to position themselves in the changing (and more competitive) market. This leads to the second research question of the thesis, which asks:

Research question 2: How is the social dimension of CR interpreted, operationalised and strategised in the case university?

The core research aims of this thesis are also associated with understanding the issues that are important during the process of implementing CR in universities. A starting point is in identifying what is specifically driving universities to engage with the social dimension of CR. It will be shown that there is very little research available to address this question, thus leading to the third research question of the thesis:

Research question 3: What is driving change toward the social dimension of CR in the university context?

Three potential hypotheses are suggested. Firstly, it is suggested universities are being driven toward CR because they are using CR as a management or instrumental tool for the purposes of addressing institutional pressures (such as changes to government policy) or as easy ways of improving budgets (e.g. through environmental initiatives that decrease electricity consumption). This might be to create a competitive advantage in the marketplace, provide a point of difference against competitors, be an attraction for new staff and students (or other stakeholders), or perhaps as a public relations or marketing tool. Secondly, there may be institutional pressures that are driving universities to engage in CR, such as government policy. Or thirdly, perhaps the social dimension of CR is being used to balance the corporatisation of universities in order to re-emphasise the importance of moral responsibility and to bring back some of the social goals that have arguably become lost in the recent changes.

In order to understand the issues that are important when implementing CR it is also important to understand where the barriers to change lie. Such an exploration provides insight into what might be holding universities back in terms of the implementation of CR practices and processes and this leads to:

Research question 4: What are the barriers to change in the implementation of the social dimension of CR in the university context?

These questions are empirically examined as part of this thesis and the culmination of findings across each of the questions provides an evidence base that helps to move the literature forward in terms of understanding more about why CR is important for universities and how it might be implemented in the future.

In order to address these questions, the thesis draws on insights from multiple strands of organisational theory including stakeholder theory, organisation development, resistance theory, resource based view and institutional theory. This multidimensional theoretical approach is taken because it has been argued in other research that single theory perspectives can produce a restricted view of organisational reality and that greater theoretical insights may be obtained through

the use of a combination of theoretical perspectives (Ackroyd, 1992; Alvesson, 1987; Das, 1993; Gioia & Pitre, 1990; Pondy & Boje, 1980; Reed, 1985, 1996). As a result, given the complexity of the organisational context and the other issues under study (e.g. CR) as well as the rapidly changing nature of universities, it is suggested that using multiple theories and the way these theories intersect may help to explain data more fully. As argued by Pondy and Boje (1980: 84) a multidimensional theoretical approach helps shift the focus from “truth proving” to a process of “insight seeking” and provides opportunity for greater “insight and understanding [to be] extracted from the entire constellation of theories generated from the several paradigms in use”.

Contributions of the research

This research makes three main contributions. First, it appears to be the first in-depth exploration of the implementation of the social dimension of CR within a university in Australia. As will be demonstrated, there is currently a lack of empirical emphasis in the literature on the implementation of the social dimension of CR, so developing a more detailed understanding of this dimension is considered an important contribution of the thesis.

The second contribution arises out of the qualitative meta-analysis undertaken in Chapter 5, which results in the development of an organising framework for the social dimension of CR. This framework is then applied to the university context in Chapter 6. It is believed that this is the first academic attempt at defining the social dimension of CR in this way, particularly in the context of universities, and the research thus responds to calls for more investigation in this area (c.f. Lee, 2008; Lehtonen, 2004; Lockett, Moon & Visser, 2006). The development of this framework is considered to have benefits for both universities as well as other organisational settings. From an operational perspective it provides a guideline and set of organising principles for social responsibility, which have not been systematically identified previously. However, this enhanced understanding may in turn influence strategy by enabling organisations to better position themselves in terms of social responsibility, strengthen their capacity for CR (as a result of greater awareness and understanding of the issues involved) and allow for enhanced communication between stakeholder groups.

Thirdly, it is believed that to date there has been no formal and comprehensive study of the operationalisation of CR in a university context. The project has led to the emergence of seven recommendations and suggestions that are based in organisational theory yet have practical implications for university leaders and policy makers as they consider the planning and implementation of the social elements of CR within their institutions. These suggestions focus on ideas about how universities might overcome common barriers to change in order to develop a proactive approach to the implementation of CR that is more ‘plan driven’ and systematic and views CR as a potential tool for enhancing competitive advantage.

An important outcome from the research is the recommendation of a reframing of moral responsibility (in the university context) within the paradigm of the social dimension of CR, as on the surface it appears that these two concepts have much in common. It is suggested that by doing this reframing the understanding of the moral responsibilities of universities becomes more tangible, and therefore easier to understand and implement at an operational level.

Overview of the research design

This research is underpinned by a number of organisational theories that are used to help examine why the social dimension of CR might be important in the university context, how it is being defined and how one Australian university is operationalising and implementing this element of CR. To explore the topic a qualitative, case based approach was taken in three research stages, as summarised below.

First stage of inquiry: a qualitative meta-analysis and the first round of interviews

Meta-analysis on the social dimension of CR

The first stage of inquiry involved the development of a normative organising framework that arose from a substantial qualitative meta-analysis undertaken during the early parts of this research. During this period of study the focus was on developing an overarching understanding of how the social dimension of CR was interpreted and defined in the extant literature on CR (and its related concepts).

First round of interviews

Alongside the qualitative meta-analysis, a year or so (2009) was spent developing a detailed understanding of the issues facing the case organisation, Macquarie University (MQ), around the social dimension of CR. This process involved document analysis and a first round of interviews. The purpose of this part of the investigation was to develop an initial understanding of how the social dimension of CR was being operationalised at MQ, where the implementation challenges and successes were lying, and what the cause of these appeared to be. In the interviews during this stage of inquiry, questions were focused around programmes and initiatives that had been read about in supporting documentation such as university policies, websites or other secondary sources.

The outcomes of this first stage of inquiry were two fold. Firstly it involved the development of the organising framework around the social dimension of CR, which was an outcome derived from the qualitative meta-analysis. The second outcome was the collation of a range of data on social responsibility at the organisational level. This cumulative data led to the second stage of inquiry, which explored the different elements of the social dimension of CR in more detail.

One of the conclusions drawn from these findings is that the social dimension of CR is influenced by the sector and organisational context under which it is studied and hence needs to be examined in specific settings. This led to the second area of inquiry that explored how the organising framework developed during this stage of inquiry was operationalised in practice in one such organisational context, the university.

Second stage of inquiry: Second round of interviews and themed studies on each of the identified elements of the social dimension of CR

The second stage of inquiry involved the development of seven themed studies on each of the social dimension categories that were developed in the organising framework during research stage one. There were three reasons for undertaking these issue level studies: firstly they provided an opportunity to document a range of examples of how each of the elements of the social dimension of CR were being interpreted and operationalised in the case universities; secondly, they provided a chance to bring in more of the secondary data used in this research as a form of triangulation, thus adding to validity; and thirdly, the themed studies were used to show how the framework developed in Chapter 5 played out in practice in one Australian university.

The completed studies are presented as part of the findings in Chapter 6 with themes and concepts that emerged between the different elements of the social dimension of CR also being used to inform the thesis outcomes. These themed studies provide practical examples of how the elements of the social dimension of CR are being operationalised at MQ.

Third stage of inquiry: Cross-issue analysis

The final stage of inquiry brought together the learning that had taken place in the earlier phases of inquiry in order to more fully investigate the overarching research aim, which examines the issues that appear to be important during the implementation of the social dimension of CR in universities. This area of inquiry informed the overarching recommendations and implications of the thesis, and brought together areas of commonality from the earlier stages of inquiry in order to make suggestions around how the social dimension of CR might implemented in a more systematic and 'plan driven' way in universities.

Outline of the thesis

A visual representation of the thesis chapters is presented in Figure 2. Chapter 2 provides context for the thesis. In this chapter the social dimension of CR is seen to emerge as an important and understudied part of the wider CR literature. For this thesis an Australian university has been chosen as the context in which to study CR given the changing nature of the university sector and the embedded social responsibilities these organisations appear to have in society. There is a move towards an increasing corporatisation of the sector that appears to be causing conflict and challenges in terms of how to rebalance and stabilise the university's place and

function in society and the relationship between its key stakeholders. In addition, although work is already being done in universities in terms of implementing CR, most of the work is being undertaken on the environmental dimension with very little focus on the social factors that underpin CR.

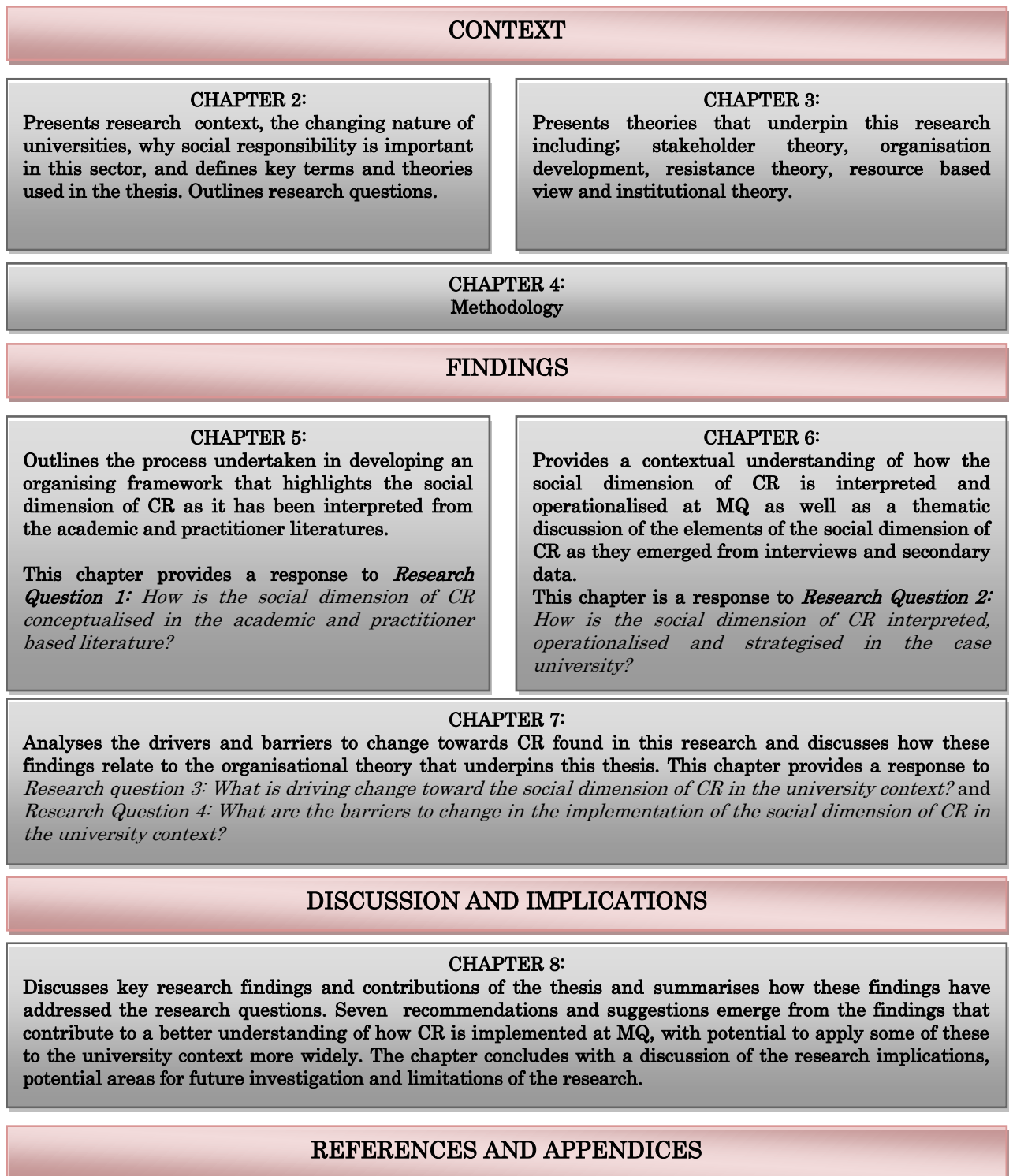
Chapter 3 presents the theoretical framework of the thesis. The study draws on insights from a number of strands of organisational theory including stakeholder theory, organisation development, theory on resistance to change, the resource based view and institutional theory. This multidimensional approach is taken as it has been argued that single theory perspectives can produce a restricted view of organisational reality (Ackroyd, 1992; Alvesson, 1987; Das, 1993; Gioia & Pitre, 1990; Pondy & Boje, 1980; Reed, 1985, 1996) and given the complexity of the organisational context as well and the complex nature of CR itself it is suggested that using multiple theories and the way these theories overlap may help to explain data more accurately.

Chapter 4 concludes the context setting part of the thesis by outlining the methodology used in the thesis.

Chapter 5 presents the first of the findings chapters. In this chapter it is argued that there is currently a lack of emphasis in the academic literature on the social element of CR as a broad descriptor or umbrella concept that provides a clear definition or guiding operational framework. A qualitative meta-analysis is thus undertaken as a way of identifying how the social dimension of CR is defined in the literature, with the aim of developing a guiding framework that can help organisations to better understand what their social responsibilities might be. This organising framework is thus developed in order to provide an interpretation from the literature of how the social dimension of CR is defined and constructed. However, it is argued that in order to legitimise this there is a need to apply it to particular sector contexts in order to understand how it is interpreted and applied in different operational settings. In this research the framework is applied to the university context in order to understand where differences or similarities lie between the theoretical framework and what happens in practice. This clarification is important as stakeholders of universities appear to lack a clear and coherent understanding of what the social dimension of CR means for their organisation.

The purpose of Chapter 6 is to explore how the organising framework developed in the previous chapter is interpreted and applied at an operational level in universities. This exploration is done through the presentation of seven themed studies on each of the elements of social responsibility identified from the meta-analysis undertaken during Chapter 5. The findings of this chapter are multi-dimensional and importantly highlight that there are differences between how the social dimension of CR is interpreted in universities as derived from the analysis of the literature. The chapter concludes by arguing that to shift the culture of universities and realign stakeholder expectations there is a need to consider issues of the social dimension of CR more systematically, but to do so it is important to understand more about the implementation process.

Figure 2: A visual representation of the thesis chapters



Chapter 7 is the third of the finding chapters. This chapter explores the drivers and barriers to change in the implementation of CR in universities and questions whether CR holds potential as a way of realigning key university stakeholders with seemingly different motivations, one of the hypotheses put forward in the thesis. The findings confirm that there is strong potential for CR to be used as balancing tool that might be used by management to realign challenges for universities around corporatisation and socially driven academic values. Indeed, compelling reasons are put forward for why CR is so important to a range of stakeholders and presents a strong argument for the importance of taking a systematic and whole of organisation approach to the implementation of social issues in universities.

Chapter 7 also investigates the barriers to change in the implementation of the social dimension of CR in the university context. This investigation is important as before a programme of change towards engaging with the social dimension of CR can be implemented, it is first important to understand what might be hindering change efforts. The findings of the chapter suggest there are eight key barriers (including lack of funding and resources, competing priorities, fear, prohibitive organisational culture, change fatigue and lack of engagement). A theme running through discussions in this chapter is that there appears there is a genuine interest in the social dimension of CR, largely because of the perceived alignment between the values that should be held by universities and those that underpin CR. This suggests there is potential to be doing more or perhaps better coordinating efforts. However, a lack of understanding of how the social dimension of CR is being interpreted and operationalised within the university context was also found and this indicates the importance of the contribution being made by this research.

Chapter 8 uses the theories that underpin the thesis as a way of further exploring the issues that appear to be important when implementing the social dimension of CR. In this chapter the key research findings and contributions of this thesis are brought together and are substantiated with other data in order to present the theoretical and practical implications of the research. The chapter commences with discussion of eight key theoretical implications and areas for future investigation. Following this discussion seven emergent recommendations and suggestions are put forward that appear to be important in the implementation of CR from a practice-based perspective. The ideas put forward in this chapter draw on stakeholder theory, planned change theory, resource based view and institutional theory to provide recommendations for management to consider during the planning, management and implementation of CR. These findings are pertinent to the case organisation, Macquarie University, specifically but may also benefit other universities that are looking to implement CR strategies in the future. The chapter concludes with a discussion of the limitations of the research and some final concluding remarks for the thesis.

Chapter 2:

Moral responsibility, corporate responsibility and the university context

As has become clear in the previous chapter, CR is an issue of high complexity that can be difficult to implement. Although there are a range of notions that describe CR, most of these fail to guide organisational leaders on how they might manage implementation (Dahlsrud, 2008). Research suggests that the operationalisation of CR is context specific and should therefore be applied to a range of business sectors in order to find practical solutions to CR challenges that resonate particularly with that sector. To date there has been no formal and comprehensive study of the operationalisation of CR in the university sector and the purpose of this chapter is to present definitions and context around this chosen topic. The chapter commences with a description of the changing nature of the university sector in Australia. Following this discussion the literature on CR within the university context is presented where it is argued that currently the focus appears to be more on the environmental dimension of CR than on the social. However, it is suggested that there is a stakeholder expectation for social responsibility within the university sector and as such social responsibility should be the most important part of CR for universities to be concentrating on.

Thesis context

The Australian university sector

The empirical research presented in this thesis is based on a case study of an Australian university. The university sector was thought to be a useful context in which to study the social dimension of CR, given the implicit history universities hold that appears to be being challenged by corporatisation, and the tensions that arise between the role of universities in society and the managerialist focus of the corporate model (Blackmore, 2002; Kolsaker, 2008; O'Meara & Petzall, 2007). However, before moving to a more detailed discussion of this it is important to briefly outline the changing nature of the university sector.

The Australian higher education sector is made up of 39 universities (37 public and 2 private) as well as a small number of self-accrediting institutions and more than 150 non-self-accrediting providers that are accredited by State and Territory authorities. It is worth noting that the discussions in this thesis relate to public universities in

Australia, not to private providers of higher education. Since the mid-1980s Australian universities have faced a period of major change, particularly to the external environment and governance structures which have presented threats to academic culture, values and identity (de Zilwa, 2007). Although a proportion of funding still comes from government, particularly for undergraduate students, there is a need to raise the remaining funds from other sources. As a result many institutions rely heavily on income generated from full fee paying (largely international) students. Academics are placed under increasing pressure to secure research grants at the same time as employment practices are changing to save money in various ways – such as an increasing move towards a more casualised workforce combined with decreased administrative support. The priorities of universities have shifted, and attracting funding and findings ways to increase operational efficiency have become important to long term survival (White, 2007).

Although there are a number of potential benefits in the increasing marketisation and privatisation of universities, such as the chance to turn research outcomes and scientific discoveries into products and services that are useful, beneficial, and potentially profitable (Bok, 2003), there are also problems arising from the pressures that have given rise to this trend. Placing profit making as a core objective for universities has the potential to undermine and jeopardise academic values, thereby leading to the commercialisation of the sector (Susanti, 2011: 210), for example in terms of the way teaching and research is approached (e.g. the choice of courses to run or the profitability that potential research areas might hold) and the impact this approach has on the notion of academic autonomy.

As a result the university community currently grapples with challenges that see historic educative traditions (e.g. traditional research and learning and teaching agendas) working alongside, and often conflicting with, pressures such as competition for staff and students, competition for funding, globalisation and internationalisation, the casualisation of the workforce and the stresses involved in achieving competitive research targets. These pressures see a move away from a traditional academic model to a more corporatised form - a move away from a “professional bureaucracy” where academic autonomy and decentralised decision making is common, towards more of a “machine bureaucracy” where work becomes more formalised, there are more rules and procedures, there are elaborate administrative structures and tasks are grouped by functional departments (Mintzberg, 1983). Those responsible for the management of the university are forced to behave more like their corporate counterparts addressing issues such as market pressures, strategic management and challenges arising from competition that is being driven factors such as “borderless education” (Davies, 2001), internationalisation and casualisation. Although these challenges may not be all that different from the pressures being faced by those managing other large organisations, there are ethical differences, namely that the leaders of universities have been traditionally seen to have a responsibility to lead with virtue because of the role that these organisations play in society (Brown, 2006).

Sinclair (2003:161-2) frames these social versus corporatised pressures in the form of a supply and demand framework. He argues that on one hand universities face public

policy and community driven (supply-side) imperatives such as improving public welfare, protecting social interests, accountability and political priorities. This 'supply-side' evokes visions of universities as altruistic institutions that are carrying out a greater social good with goals of equity and social and cultural difference and diversity. In this thesis the supply side of this equation is framed as their moral responsibility. According to Sinclair (2003), universities also face a range of 'demand-side' factors coming from the market which include: diversification, product demand from stakeholders (e.g. development of education programmes tailored specifically for the purpose of economic gain, Stromquist (2007)), boundary blurring, the 'commoditisation' of students as buyers of a product (Finlay & Finnie, 2002; Lomas, 2007), increased competition, changes to purchasing practices and a widening of purchasers for courses and programmes (Sinclair, 2003). This thesis interprets this demand side of Sinclair's equation as the corporatisation of universities. The pushing and pulling occurring between the supply and demand imperatives of Australian universities are important concepts in the context of this thesis and the following sections detail why this is the case, commencing with a discussion of the moral responsibility of universities.

Moral responsibility and universities

Universities hold a special responsibility in society in terms of educating students to be engaged global citizens and to deal with problems that are of relevance to society. The university sector has traditionally been responsible for setting examples of best practice and providing evidence based research to support policy and industry development. It also prepares and equips graduates with the skills they will need to live and work in a rapidly changing world. Ensuring that organisations produce goods and services responsibly is part of the CR challenge currently being faced by large-scale organisations in general (Baken, 2005; Zadek, 2001) and because universities should exemplify the complex and multi-faceted challenges of responsible management (see Waddock, Bodwell & Graves 2002; Waddock and Bodwell 2007), it is important to develop a deeper understanding of the impact that this sector could have on such issues.

Universities are embedded socially within a multitude of communities with specific demands and needs. But these demands are constantly changing and as a result universities should develop new ways of dealing with these communities and developing lasting relationships. The social responsibilities of universities are shifting and being redefined. There is a greater emphasis on universities' responsibilities towards a range of stakeholders beyond just students, government and the academic community. The corporatisation of the sector also means that business and industry are now key stakeholders, not only because they are the employers of university graduates but also due to the potential they bring in terms of funding sources and support (Benneworth & Jongebloed, 2010). Public accountability arises from the contribution of funding from the state, which means there are responsibilities to both

government as well as the community at large. The sector needs to be responsive to multiple markets and adopt behaviours more akin to a business in terms of seeking out funding and financially beneficial opportunities (Henkel, 2005). This range of demands means individual universities are at cross roads as to their future purpose and direction.

Against this line of argument, universities and the people they educate “should be at the cutting edge of society’s creative response to unfolding future circumstances” (Scott & Gough, 2008: 113). Universities are not only expected to deliver high quality education and research (North 1994) but also to deliver these in ways that are relevant to society and that respond to stakeholder expectations and needs (Jongbloed, Enders & Salerno, 2008). As such, universities are under pressure to provide intellectual and moral responsibility leadership on areas such as economic growth, environmental sustainability and social stability and these external pressures are forcing them to redefine their “direction, purpose, processes and the way they interact with their communities” (O’Meara & Petzall, 2008: 187), what is argued in this thesis to be their moral responsibility.

Although there is recognition of the need for Australian universities to progress this moral responsibility role by being more involved in local communities and other social issues (Maurrasse, 2001), the same institutions are simultaneously being challenged by the move towards a more corporatised form, which sees them being driven by market pressures such as competition, globalisation and profit making. Strong rival institutions are looking for market opportunities in Australia (Cohen, 2005; Davis, 2005; 2006) and new education providers have emerged (Coaldrake & Stedman, 1997; Maiden, 2005; Yerbury, 2005). The sector thus faces increasing uncertainty, instability, competition and resource scarcity. In order to succeed universities need to change their methods of operation to increase competitive advantage and retain market share (Smith, 2008). This research explores the interplay between the social and economic/market goals (each of which are aspects of CR) that are facing universities and argues that a systematic use of the social dimension of CR as a competitive resource may help to simultaneously meet goals of both moral responsibility and of competitive advantage. The argument is that the moral responsibility of universities is a role that is different to other organisations in society because of the intellectual leadership universities are seen to be responsible for. It is this moral responsibility that is at the crux of the argument for a more sustained and strategic move towards the social dimension of CR in the university sector.

Can moral responsibility be reinterpreted as the social dimension of CR in universities?

CR is a concept that is frequently used in business and corporate organisations. Notwithstanding this, clearly the contemporary university emulates many of the characteristics of the ‘modern corporation’ (O’Meara & Petzall, 2007; Jongbloed, *et al.*, 2008); hence this thesis explores the importance of the social dimension of CR within the university environment, something that other researchers have also identified as being important (e.g. Jongbloed, *et al.*, 2008). CR in universities “extends beyond

producing graduates and research outputs. It requires them [universities] to engage in public debates, to enter into close working relationships with private actors and to be part of multiple networks and alliances with multiple actors on various levels” (Jongbloed, *et al.*, 2008: 321). Indeed there have been calls for research that addresses how CR can be framed within the university context and Jongbloed *et al* (2008), for example, argue that more research is needed that explores the relationship and interaction between society and universities.

These are the issues that are the focus of this research. There are strong normative expectations for the university sector but little understanding of how to operationalise these expectations. The sector holds an important role in society, largely stemming from its perceived moral responsibilities to the wider social and public good. Recent discussions about this social contribution are often framed within a debate about the increasing market forces in higher education, the changing systems of management and accountability as well as the perceived decrease in academic autonomy (Breenan & Naidoo, 2008: 295). This debate aligns with the purpose of this thesis, particularly around universities’ contribution to the ideas underpinning corporate responsibility and the fact that change towards social justice and better equity outcomes could well require dramatic cultural change within the academic community as well as the development of more clearly articulated relationships between universities and their various communities and stakeholders (Breenan & Naidoo, 2008). However, despite normative statements having been made with regard to what universities should be responsible for, there is still a lack of practical understanding and empirical evidence about a number of these issues.

The discussion above has provided a detailed account of how the ‘supply’ pressures of universities are interpreted in this thesis (Sinclair, 2003). Pushing against these supply pressures are what Sinclair (2003: 162) refers to as the demand-side factors that confront universities when they face the market. In this thesis these demand pressures are framed in terms of the corporatisation of universities and this framing will be discussed next.

The corporatisation of universities

Within the Australian context the concepts underpinning the corporatisation of universities were largely the result of higher education policy and funding decisions recommended in the late 1990s in The West Report (O’Meara & Petzall, 2007). The West Report took a strong managerialist and neo-liberal approach to higher education and proposed a market oriented framework with an emphasis on low-cost and high return courses (e.g. distance education via IT infrastructure). It also placed greater emphasis on a consumer approach to education, with students being viewed as customers with specific needs and wants (that in turn influenced programmes that should be offered). In a controversial move the report also proposed that public education shift away from a reliance on government funding towards a more self-funded model. The underlying premise of this report was that universities should

compete in the global market on a full cost and competitive basis (Marginson, 2002). This resulted in changes to the way that Australian universities approached their operations and meant that they had to become more entrepreneurial and innovative, particularly with revenue generation (Blackmore, 2002; O'Meara & Petzall, 2007). This has led to a strong trend in Australian public education towards vocationalisation, privatisation, commercialisation and a move towards a 'user pays' system of education (Blackmore, 2002) as well as a greater level of regulation and compliance (e.g. requirements of the Tertiary Education Quality and Standards Agency, TEQSA).

There has been a large body of research undertaken into the corporatisation of higher education, with much of this research framing the discussion in the context of managerialism. Managerialist philosophy is about "the extent to which contemporary business practices and private sector ideas or values have permeated publicly funded institutions and work practices" (Deem, 2001: 7). Kolsaker (2008) argues that for academics, the implication is a reduction in autonomy, closer management scrutiny, competitive bidding for resources and a more structured working environment than has previously been experienced. For management the practice of managerialism implies the introduction of strategies that allow a greater level of control over academics that have traditionally being difficult to manage (Kolsaker, 2008). Confusion about how traditional academic decision making might interact or conflict with "professional" leadership thus arises. In addition, a tension arises between individual academic autonomy (an important notion of the university that goes back as far as the establishment of the *University of Bologna*) and the rise of institutional autonomy at the department, school or university level. What might be seen as opportunity in the form of a broadened professional responsibility (i.e. to those in academic leadership positions) may also be seen to be a narrowing of freedom for those academics left to actually do the teaching and research work of traditional academia (Hellstrom, 2004: 519-20).

Corporatisation is driven by a view that universities are rule bound, over staffed and inefficient and managerialism provides a structure for universities to work within that helps them to be more like private sector organisations and hence have greater organisational efficiency and effectiveness (Szekeres, 2006). Characteristics of managerialism in universities include: performance (employee) management, encouraging the attainment of financial and other targets; the implementation of external accountability programmes such as quality assurance and auditing procedures, the development of external partnerships; and the outsourcing of non-core activities (such as catering or building works). However, there is an emphasis placed on importing ideas and business practices from the private sector with a belief that these are superior to practices previously undertaken in public service organisations (Deem & Brehony, 2005).

Managerialist ideology therefore sees universities developing along corporate lines (Bradley, 1995) where the objective is a search for efficiency, effectiveness, and continuous improvement of the organisation (Deem, 2001). From a leadership perspective, those promoting managerialist approaches to universities view the vice-

chancellor as a CEO who is expected to display competencies in areas such as strategic planning or complex budget management. But these can be difficult for those vice-chancellors who have been promoted through the ranks of academia rather than who come from formal management backgrounds (O'Meara & Petzall, 2007). Indeed the business side of many senior academic positions is increasingly dominated by pressures arising from funding, fundraising, strategic planning, entrepreneurialism and partnership building. Managerialist concerns also exist at faculty and departmental levels (middle management), including concerns for how work is organised, teaching standards, competition for resources and the effective management of budgets (Bradley, 1995).

Despite concerns that the advent of managerialism is producing conflicts between the new corporate culture and traditional academic values, the view taken in this thesis is that managerialism is inevitable for universities. Indeed it is argued that managerialism may provide opportunities for universities that have not yet been realised, particularly in terms of helping leadership and management move these complex organisations forward. This view has been supported by other researchers, such as Kolsaker (2008), who argues that much of the literature on managerialism is overly negative and pessimistic. This author presents empirical evidence to support the fact that there is a willingness to tolerate managerialist forms of operation so long as academic autonomy can be protected Kolsaker (2008). Kolsaker's (2008) research points to the fact that certain stakeholder groups (e.g. academics) may not fully embrace the need for managerialism as they see it as a threat to the reasons why they joined the academic community in the first place. Such stakeholders want to see universities realign their priorities and goals so that the traditional social purpose of these organisations (i.e. their moral responsibility) once again comes to the fore. The review above indicates that there is a special role that universities play in society and this should be balanced against the move towards the corporatised form. The question remains, however, as to how this balance can best be achieved.

The review above presents a range of views about what is driving universities to behave in certain ways. Although there is recognition of the need for universities to be more involved in a range of social problems (Maurrasse, 2001), the same institutions are simultaneously being challenged by the move towards a more corporatised form, which sees them being driven by market pressures such as competition, globalisation and profit making (Sinclair, 2003). Although such institutional pressures could be seen to be in conflict this research aims to ascertain how they may be able to instead complement each other. It is clear that the extant focus in the literature on CR in universities centers on a small number of issues, particularly greening the campus and education for sustainability. Although education for sustainability represents one way that universities are addressing the social dimension of CR, the research on campus greening is particularly directed towards the environmental elements. In addition the social dimension of CR remains understudied and is not well understood (Morris, 2008). In Australia, universities have not, on the whole, embraced a systematic, 'whole of institution' approach to the embedding of CR in all aspects of the organisation (Tilbury *et al.*, 2005). The reason for why this transformative learning

has not occurred remains unclear and there is no evidence of literature currently existing in this area. This thesis focuses on how to implement CR at a whole of institution level, responding to calls for literature to go beyond simply examining 'low hanging fruit' or only one aspect of the CR paradigm (Reid & Petocz, 2006; Thomas, 2004; Wright, 2010).

Overall the thesis examines the question of whether the social dimension of CR is a way that the moral responsibility of universities can be reframed, and may in turn address the tensions that arise between the competing demands of corporatisation and traditional academia. Lotz-Sisitka (2004) argues that change toward CR is a challenge for universities, both from the perspective of internal change within the institutional context as well as through the contributing role that universities have within society more generally. She argues that there is a need for broader socially critical deliberation about the role of universities in enabling CR and that research focused on this issue needs to be more theoretically based, particularly around theories of change or action. This research responds to Lotz-Sisitka's (2004) call for action by viewing CR in universities through the lens of a number of complementary organisational theories in order to address how a systematic, 'plan driven' and whole of institution approach to the implementation of CR in universities might be undertaken and how such change can be used as a way to overcome some of the barriers that have been identified in previous research.

Corporate responsibility and the university sector

Having introduced the research area for this thesis (corporate responsibility) as well as the research context (the university sector), the final part of this chapter brings these two areas together in order to examine the extant research on this combined area. As discussed earlier in this chapter, there have been significant changes to the institutional landscape for universities in Australia which mean universities appear to be reconsidering the way they organise their governance and management structures and the way that they approach their core business of research, teaching and learning (Allen, 2003). Most universities in Australia are now global institutions which extend beyond the territorial limits of national government. As such traditional boundaries as well as an increase in interdisciplinary and international networks can be seen (Marginson & Sawir, 2006).

The concept of CR within universities is difficult and multi-faceted. It is suggested that this is in part because the role and understanding of CR in this sector is poorly defined and research undertaken on the topic tends to lack theoretical underpinnings or careful methodological design. Existing research in this area largely falls into four categories: publications advocating curriculum reform or environmental changes; descriptive projects of CR change in one or more institutions; narrative accounts of particular examples of institutional change for CR in an institution or audit reports of CR projects that have been successful (Fien, 2002). As such the emergent literature is largely practice-based and tends to lack solid theoretical underpinnings. It is

nevertheless considered useful to highlight what is already known about CR in the university sector. What follows is a summary of the three key areas where universities appear to be showing commitment towards CR initiatives. These three areas are: the signing of declarations and charters; initiatives that involve “greening the campus”; and education for and about sustainability (curriculum reform). Each of these will be addressed in turn below.

Declarations and charters

One of the simplest ways that universities can show an initial commitment to the concepts underpinning CR is through the signing or ratification of declarations and charters that relate to CR within universities. There are now a myriad of such declarations and it has been argued that these have become influential frameworks for incorporating CR into the policy and practices of universities (Tilbury, Keogh, Leighton & Kent, 2005). Such influence comes from the fact that they make clear statements around areas such as sustainable research, public outreach, inter-university cooperation, partnerships with government, NGOs and industry and the importance of encouraging literacy in issues about the environment, human welfare and other social issues (Wright, 2002).

Since early examples such as the *Stockholm Declaration*, *Talloires Declaration* and *Agenda 21* there have been a number of declarations and charters that advocate for CR within the higher education sector. These have been summarised in Table 1. Despite the fact this table highlights the significant number of such documents that have been developed and signed over the years, the extent to which these are being operationalised to create change toward CR within universities is debatable (Tilbury *et al.*, 2005). Although it has been argued that there is a need to change the organisational culture and embed sustainability and CR objectives across all elements of the organisation in order to create lasting institutional change (Wright, 2004), most of these declarations and charters do not align with this. The value of such declarations therefore seems to be more in bringing CR to the fore than encouraging inter-institutional collaboration in this area (Tilbury *et al.*, 2004). Some institutions have used such declarations and charters as the catalyst for creating policies relating to the implementation of CR and sustainability (see, for example, changes being undertaken at the University of British Columbia; Gudz, 2004). The signing of such declarations have also met with criticism by those who argue that it is a form of ‘greenwashing’ on the part of universities (see Benn & Bolton, 2011 for description), meaning that statements of environmental intention are made through signing such declarations but follow up action is still lacking (Tilbury *et al.*, 2005; Thomas, 2004; Wright, 2004).

Overall, there is a strong emphasis on environmental elements of CR in the declarations and charters that have been developed for universities, rather than a broader interpretation of the concept that encompasses a wider range of social,

environmental and economic issues and this emphasis may help to explain why universities appear to be giving more weight to the environmental dimension of CR.

Table 1: Declarations and charters: Sustainability/CR in higher education

Year	Declaration	Organisation/Event	Description
1972	The Stockholm Declaration	UNESCO	26 principles outlining ways to achieve sustainability (focus on environmental). Principle 19 particularly relevant to education.
1977	Tbilisi Declaration	UNESCO	Intergovernmental conference on environmental education. Specific discussion of the need for environmental education for all people at all levels – focus on life long learning. Particular focus on higher education. Declaration takes a holistic approach to environmental education.
1990	Talloires Declaration	University Leaders for a Sustainable Future	First statement made by universities administrators specifically committing to sustainability in higher education
1991	Halifax Declaration	Conference on University Action for Sust Dvlp in Canada	Statement about the leadership role universities could play in environmental issues. Challenges universities to rethink and reconstruct environmental policies in order to contribute to local and international challenges.
1992	Agenda 21	UNCED	Global report on sustainability and sustainable development. Chapter 36 specifically addresses sustainability in education and provides practical examples. Advocates for an interdisciplinary and holistic approach to CR education. Addresses social and economic dimensions as well as environmental considerations.
1993	The Kyoto Declaration	Intl Assoc. of Universities	Call for clearer vision of how to achieve sustainability in higher education. Also stressed ethical obligations of universities. Operational issues also stressed as important, along with education.
1993	The Swansea Declaration	Association of Commonwealth Universities	Echoed previous declarations. Universities have significant responsibility in society to help develop environmental and social improvement. Stresses equality as an important factor in achieving sustainability.
1994	CRE-Corpornicus Charter	Association of European Universities	Aims to bring together universities and other sectors of society in Europe to promote a better understanding of the interaction between humans and the environment. Promotes collaboration and leadership of universities. Examines social issues such as public outreach.
1997	Thessaloniki Declaration	UNESCO	Promotes need for social change and interdisciplinary solutions. Environmental issues linked to social problems such as poverty, populations, food security, human rights, peace and health. Curricula needs to be refocused and reoriented toward some of these problems.

Year	Declaration	Organisation/Event	Description
1998	Framework for Priority Action for Change and Development in HE	World Conference on HE (WCHE)	Declaration stating the importance of higher education in change toward sustainable development. A specific focus on social change needed in HE and curricula development
2000	Earth Charter	The Earth Charter Initiative	A declaration of fundamental principles for building a just, sustainable and peaceful global society in the 21st century. Emphasises shared responsibility and specific reference to range of social issues (human rights, democracy, peace).
2001	Lüneburg Declaration	Global HE for Sustainability Partnership	Develop a joint stance on CR issues. Focus on curricula changes, sustainable development, awareness raising, capacity development and research and training.
2001	Joint Declaration on HE and the General Agreement on Trade in Services	General Agreement	Legally enforceable agreement covering international trade in services where education is one of the 12 broad sectors covered. Signatories agree to reduce obstacles to international trade in higher education through improved communications and quality assurance processes.
2002	Ubuntu Declaration	11 education and scientific organisations	Statement regarding the need to integrate issues around sustainable development into curricula at all levels from primary school onwards
2005	The Graz Declaration	Intl conference committing universities to sustainable development	Stresses the moral responsibility held by universities in training future society and economic leaders. Promotes partnerships between universities and stakeholders towards sustainable future. Calls on European Ministers to develop a framework for the enhancement of the social dimension of European higher education.
2006	Declaration on the Responsibility of Higher Education for a Democratic Culture.	Council of Europe Global Network for HE and Democratic Culture	Declaration about education for democratic citizenship and human rights. Explores the public responsibilities held by universities, particularly responsibility of universities towards advancing society.
2008	Sapporo Sustainability Declaration	G8 University Summit	Declaration outlining actions and affirmations for universities specifically in relation to the attainment of sustainability goals and objectives. Addresses issues such as 'knowledge innovation' and networking as pathways for achieving greater levels of sustainability.

(Developed for this research from sources: Tilbury *et al* (2005); Wright (2002); International Association of Universities <http://www.unesco.org/iau/sd/sd_declarations.html> Accessed 30 September 2009)

Greening the campus

One area of CR that is more developed is environmental management, which calls for universities to pay closer attention to the negative impacts that their operations can have on the natural environment, such as waste management and disposal, monitoring of energy emissions, incorporating environmental principles into new

buildings and the development of green procurement policies (Linnenluecke *et al.*, 2009).

There are a number of potential reasons for why this is the case. Firstly, a review of the declarations and charters above show that there is a strong focus on the environmental dimension of CR over the social. As a result it could be argued that such declarations have therefore driven universities towards a greater understanding of the environmental area and have provided greater knowledge and an easier transition towards implementation of environmental programmes (Wright, 2002). Secondly, 'greening the campus' has been argued to be important in order for universities to remain competitive against other universities that are signing declarations and charters or joining associations such as the Association for the Advancement of Sustainability in Higher Education (AASHE) in America (Beringer, 2007). Thirdly, the focus on the environmental dimension also seems to stem from the fact that more people are familiar with this element over the other dimensions of CR (Morris, 2008). And finally, this dimension is more results oriented (particularly compared to the social dimensions of CR). It is easier to operationalise and measure and its outcomes are therefore quantifiable and potentially more accessible to those who lack understanding of the topic.

However the environmental focus taken by universities may also come as a result of tighter legislative requirements combined with closer media and public scrutiny (Berrone & Gomez-Mejiz, 2009; Zyglidopoulos, 2002). National and state/territory level legislation now exist that make it impossible for 'green' issues to be ignored by large businesses (and universities who also are large emitters). In addition, risk management around environmental considerations can in turn lead to financial efficiencies which make the environmental issues more attractive as a starting point than other more socially complex dimensions of CR (Russo & Fouts, 1997). However, there is also a growing recognition that businesses should be taking a leadership role on issues such as climate change and greenhouse gas emissions (Okereke, Wittenben & Bowen, 2009) and universities are no exception to this.

Despite the fact that many universities tackle the environmental aspects of CR as a starting point to become more 'sustainable' there have been calls for a greater focus by universities on the wider range of problems underpinning CR, rather than the 'low hanging fruit' (Reid & Petocz, 2002; Thomas, 2004; Wright, 2010). Some argue that the way that this can occur is through an entire institutional refocusing (Thomas, 2005; Tilbury *et al.*, 2005); however on a smaller scale, it has also been argued that curriculum change and "education for sustainability" are ways of commencing the embedding of more elements of CR within the HE context, which will be turned to next.

Education for and about CR

Education relating to CR takes two forms, education *about* CR – that is education that focuses specifically on gaining an understanding of the issues and how to overcome them, and education *for* CR – which suggests the need for a more holistic and interdisciplinary approach to be taken where the values of CR are embedded across all aspects of the organisation (Tilbury, *et al.*, 2005).

In 2002 the Johannesburg Summit on Sustainable Development highlighted the important and central role that education can play in bringing about change and engaging people in the implementation of sustainability (and CR) into society. The summit highlighted the potential for using education as a means of harnessing global change toward sustainability with an outcome being the launch of the *UN Decade of Education for Sustainable Development*, which started in January 2005 and is due for completion in December 2014. The *UN Decade of Education for Sustainable Development* is a programme that aims to integrate CR and sustainability into all elements of education through the integrated efforts of UNESCO and individual organisations and educators. The aim is to have a high quality body of knowledge and educational resources built up by the end of the decade that can be shared in efficient and effective ways (Garcia, Kevany & Huisingh, 2006). The key theme is that all education and learning should integrate elements of sustainable development in order to encourage long term behavioural change in students that has a positive, long-term effect on the environment and society as a whole as well as on the students themselves. In Australia the *UN Decade of Education for Sustainable Development* was interpreted and contextualised at a policy level by the Federal Government's Department of Environment, Water, Heritage and the Arts (DEWHA, 2009) in a document entitled *Living Sustainably: The Australian Government's National Action Plan for Education for Sustainability*, which outlines the key principles of education for sustainability in the Australian context.

One of the challenges of education for sustainability is that, unlike other forms of education that build upon training that students have had in school and previous educational phases, education for sustainability requires a 're-education' and 're-programming' of students in order to help them think and learn new ways of viewing the world and their future professions (Jurez-Najera, Dieleman & Turpin-Marion, 2006). In order to achieve this kind of education, universities need to fundamentally change their own culture and embed and integrate ideas such as ethics, worldviews and collaboration into the wider university culture. Alabaster and Blair (1996: 98) also argue that a reason for the lack of progress in curriculum change toward CR is because academics can be "...ideologically resistant to curriculum changes that emanate from outside the bounds of their discipline".

Reid and Petocz (2006) take a more holistic view of education for CR in their study exploring the ways that academics understand the notion of sustainability within their teaching. They found that the key to embedding the concepts of CR into curricula is to take an interdisciplinary focus, in particular arguing that there is a lack of common "language" around sustainability. These authors argue that a gap

exists in the development of a common understanding of what the concept of CR sustainability means in the higher education context, at both the institutional and discipline specific levels (Reid & Petocz, 2006). This lack of definition and understanding is a key link to this research and highlights a gap in knowledge that is addressed through the development of a fine grained understanding of how the social dimension of CR is understood in universities.

Overall there is increasing recognition that education for CR involves a range of social, cultural and economic dimensions (Reid & Petocz, 2005; Sammalisto & Lindhqvist, 2008) and in order to achieve the integration of all of these elements into the university context there is a need to embed the values and issues underpinning CR within the fabric of the organisation. It is not enough to be educating students about the importance of CR if the organisation is not practising these values itself.

Summary of the chapter

This chapter has provided definitions and context around the chosen topic area for this thesis, that being the study of the social dimension of CR within the university sector. The chapter commenced with a discussion of how CR is conceptualised within the thesis and then provided a review of the changing nature of the university sector in Australia. It was argued that stakeholder tension exists because of different views that are held around the normative purpose of universities. Management on the one hand appear to be taking a more corporatised approach to the way universities are managed and run and other stakeholders appear to strongly uphold the belief that universities should hold a moral responsibility role in society. A question raised in this thesis is whether the social dimension of CR might be a way that the moral responsibility of universities can be reframed in terminology that resonates with this corporatised mode of operation but is also 'acceptable' to the interests of key stakeholders, particularly staff and students. It is suggested that in order to address tensions that arise between the competing demands of corporatisation and moral responsibility CR be viewed through the lens of a number of organisational theories that, when combined, help to address how a more systematic and whole of institution approach to the implementation of CR in universities might be undertaken. The particular theories that underpin this study are presented in the next chapter.

Chapter 3: Theoretical influences

Overview of the chapter

The focus of this thesis is on identifying how the social dimension of corporate responsibility is operationalised and conceptualised within universities in order to make suggestions for the implementation of social responsibility in the sector. The purpose of this chapter is to provide an overview of the theories that underpin the research phenomena in question.

The research draws on insights from multiple strands of organisational theory. These include: stakeholder theory, organisation development, institutional theory, resistance theory, resource based view and institutional theory. This multidimensional theoretical approach is taken because it is argued that single theory perspectives can produce a restricted view of organisational reality (Ackroyd, 1992; Alvesson, 1987; Das, 1993; Gioia & Pitre, 1990; Pondy & Boje, 1980; Reed, 1985, 1996). Given the complexity of the university context, as well as the inherently complex nature of CR itself, it is suggested that using multiple theories and the way these theories intersect may help to explain the data in this research more fully. As argued by Pondy and Boje (1980: 84) a multidimensional theoretical approach helps shift the focus from “truth proving” to a process of “insight seeking” and provides opportunity for greater “insight and understanding [to be] extracted from the entire constellation of theories generated from the several paradigms in use”. Similarly, Stacey (2000) argues that single theory perspectives only provide partial explanations of organisational behavior and change. Extending on these justifications, it is therefore argued in this thesis that combining organisation development theory with a number of complementary organisational theories helps to provide a detailed understanding of how the implementation of the social dimension of CR might be more systematically undertaken in universities.

The chapter commences with an overview of stakeholder theory. Stakeholder theory, it is argued, is an appropriate theoretical foundation in which to explore CR in the university context. Following this a brief overview of the main theoretical perspectives on organisational change are discussed before presenting organisation development (OD) as the main theoretical lens from which change for CR will be viewed. A review of research that has been undertaken on organisational change in universities follows, before moving to a brief discussion of theoretical approaches to the drivers for change towards CR as well as resistance to change. It is further suggested that these literatures have the capacity to assist in identifying why universities might benefit from implementing more systematic change towards CR as well as the importance of identifying where the barriers to change lie in this sector. Following this a brief

overview of resource based view and institutional theory are provided along with discussion about why these theories are important to the research questions under study. The chapter concludes with a discussion about the conceptual links that exist in the theories chosen for this thesis.

Stakeholder theory

In this thesis corporate responsibility is interpreted as a socially constructed process that emphasises an organisation's responsibility to its stakeholders. This is an approach that is often taken in the literature (e.g. Angus-Leppan, 2009; Benn & Dunphy, 2005; Waldman *et al.*, 2006) and indeed 'stakeholder thinking' is one of the central ideas underpinning the notion of CR as a holistic concept incorporating all three elements of social, environmental and economic (Andriof *et al.*, 2001; Moon, Lindgreen & Swaen, 2009). As has been highlighted in the review undertaken in Chapter 2, a range of stakeholders play a critical, yet changing role in the modern university. These organisations need to be able to adapt to the needs of a greater number of stakeholders that have different priorities or conflicting demands. It is for these reasons that stakeholder thinking is an important way of interpreting CR within this thesis.

The fundamental premise behind stakeholder theory is that an organisation should respond to and engage with all those who have a 'stake' in the company's operations (Donaldson & Preston, 1995; Frederick, 2006). Organisations "cannot exist without relationships to stakeholders and these relationships carry with them moral implications" (Waddock 2004: 14). Stakeholder theory thus highlights "the responsibility of corporate leaders to understand what shared sense of values brings the firm's core stakeholders together" (Freeman, Wicks and Parmar 2004: 364). This idea of a shared sense of value highlights the moral argument that underpins stakeholder theory and aligns with the argument that universities hold an important moral responsibility role within society. This concern with alignment of values is one of the main reasons for choosing this theoretical approach to CR in the current research.

Stakeholders are defined as "any group or individual who can affect or is affected by the achievement of the organisation's objectives" (Freeman, 1984: 46). Such stakeholders might have a direct or primary interest (e.g. shareholders, employees or consumers such as students in a university scenario) or an indirect, secondary interest (e.g. the community, NGOs or government). Stakeholder theory implies a two way relationship between stakeholders and the organisation because if stakeholders can influence the achievement of an organisation's objectives then the organisations can, in turn, be affected by the activities and involvement of its stakeholders. This suggests stakeholders can assist organisations in achieving their best possible performance in CR, and highlights the important role they could play. Similarly, if stakeholders are affected by the achievement of an organisation's objectives then the activities of the organisation will have an impact on the interests of its stakeholders.

This in turn legitimates the rights of stakeholders' to information regarding how an organisation's activities are impacting on their wellbeing and interests (Gao & Zhang, 2001).

Waddock and Smith (2000) argue that building good relationships with stakeholders is the key to becoming a socially responsible organisation. They argue that having open and honest dialogues with such stakeholders will lead to better business practices through increased productivity from happy employees and stronger relationships with communities (Waddock & Smith, 2000: 59). There have been high profile examples where unsuccessful management of relationships between business and societies has been detrimental to corporate reputation, such as in the case of Shell, Greenpeace and the disposal of Brent Spar oil rig. In this example Shell's reputation was considerably affected by the environmental concerns publicly put forward by a range of stakeholders. Shell had chosen to take a decision to dispose of Brent Spar without consultation with stakeholders which ultimately led to a longstanding public battle over Shell's actions (Shouten & Remme, 2006: 370). What this, and other similar high profile cases show (e.g. Nike and concerns around labour practices in developing countries), is that one of the important things about engaging in effective stakeholder engagement (and therefore effective corporate responsibility) is to be strategic about this approach (c.f. Porter & Kramer, 2006).

In an attempt to develop stakeholder theory and clarify its significance, Donaldson and Preston (1995) argued that there are three aspects to the theory; descriptive (empirical), instrumental and normative. Descriptive stakeholder theory highlights what the corporation is and presents it as the combination of cooperative and competitive interests that all possess intrinsic value. It describes how organisations or their managers *actually* behave (Jones, 1995). Instrumental stakeholder theory establishes a framework for examining the connections that might exist between the practice of stakeholder management and the achievement of corporate financial performance. The central argument here is that those organisations that focus on the interest of stakeholders will achieve greater organisational and economic performance. This part of the theory describes what will happen *if* managers or organisations behave in certain ways (Jones, 1995). And, finally, normative stakeholder theory states that the interests of stakeholders have legitimate and intrinsic value that merits consideration for its own sake, not only because such interests may result in positive financial outcomes or other organisational benefits (Donaldson & Preston, 1995: 66-67). Normative theory is therefore concerned with how managers *should* behave. It is about the "moral propriety" (Jones, 1995: 406) of the behaviour of organisations and highlights "the assumption that values are necessarily and explicitly a part of doing business" (Freeman *et al.* 2004: 364). The normative approach to stakeholder theory is the approach that resonates with the ideas underpinning this research.

Stakeholders are therefore one of the key links between the ambitions and aims of an organisation and the expectations that society has upon that organisation (Moon, Lindgreen & Swaen, 2009). Theoretical work that has focused on stakeholder theory has moved away from the consideration of stakeholders as institutional constraints

towards engaging them as strategic partners that are seen as a valuable resource to be managed by an organisation in the quest for long term survival (Andriof, 2001). This kind of partnership thinking is important in universities where the pressures of corporatisation are making it more challenging to attract and maintain stakeholder loyalties. Such stakeholders, who often have conflicting agendas that require careful balancing, include staff, students, government, local communities, industry and professional associations. The stakeholders with whom universities should be cognisant are presented in Table 2.

An additional reason why stakeholder thinking is important in developing an understanding of CR, particularly the social dimension, in universities stems from the changing nature of these institutions. Although in the past universities have received generous funding allowances from government (at least in some countries and certainly in Australia) as well as large amounts of institutional and academic autonomy, currently such organisations are more closely scrutinised by both society and government and are expected to be more self sufficient regarding funding and resourcing. Consequently the role of government has reduced creating greater autonomy and an increased focus on market pressures (e.g. through the need to become more self-sufficient). As a result there is a diverse range of stakeholders to whom universities are responsible as the sector as a whole becomes increasingly more integrated in society. The concern is that such market pressures, along with the increasingly fragmented nature of the sector, means that the social and civic responsibilities of education organisations come under threat and gets lost amongst conflicting priorities (Jongbloed, Enders & Salerno, 2008). A pulling and pushing thus occurs because universities are becoming increasingly overrun by competing stakeholder needs and claims. Society's expectations of the sector are changing at the same time as the pool and scope of stakeholders is increasing and important questions arise regarding how stakeholders affect and are affected by the actions of the sector as a whole.

Table 2: The stakeholders of universities

Stakeholder category	Examples of stakeholder in this category
Governing entities	State and federal government; governing board; board of trustees, buffer organisations; sponsoring religious organisations
Administration	Vice-chancellor (President); senior administrators
Employees	Academics (Faculty); administrative staff; support staff; casual teaching staff
Clients	Students; alumni; parents/spouses/family; tuition reimbursement providers; service partners; employers; field placement sites
Suppliers	Secondary education providers; other colleges and universities; food purveyors; insurance companies; utilities; contracted services
Competitors	Direct: private and public providers of post-secondary education Potential: distance providers; new ventures Substitutes: employer-sponsored training programmes
Individuals and Groups	Individuals (including trustees, friends, parents, alumni, employees, industry, research councils, foundations)

Stakeholder category	Examples of stakeholder in this category
Communities	Neighbours; school systems; social services; chambers of commerce; special interest groups
Government regulators	Ministry of Education; buffer organisations; state & federal financial aid agencies; research councils; federal research support; tax authorities; social security; patent office
Non-governmental regulators	Foundations; institutional and programmatic accrediting bodies; professional associations; church sponsors
Financial intermediaries	Banks; fund managers; analysts
Joint venture partners	Alliances & consortia; corporate co-sponsors of research and educational services

(Source: adapted from Jongbloed, Enders & Salerno, 2008: 309)

The underlying assumption of this thesis is that universities are now largely adopting a managerialist structure which appears to be resulting in tensions between different stakeholder groups. In this research the two key internal stakeholder groups that have been chosen for study are the management and academics. Although it is recognised that there are other important stakeholder groups (particularly students), the choice of the management and academics was deliberate as tensions and conflicts are evident between these groups, and it will be demonstrated during the research that this is particularly the case in the university under study. It is nevertheless recognised that this limit on stakeholder groups does place a somewhat artificial boundary around the research problem. However, it is stressed that a deliberate choice has been made in an attempt to keep the research problem contained in order to remain focused on the research problem at hand, which is to provide outcomes around the implementation of the social dimension of CR specifically for management of universities.

Organisational change theory: an overview

Change is a constant in organisational life. The ability to adapt and move with ongoing alterations to economic, social and political environments is critical to an organisation's short term competitiveness and long term survival (Burke, 2011; Lüscher & Lewis, 2008). As a result the ability to manage change is considered a key organisational competence (Burnes, 2005; Dunphy *et al.*, 2007). Although organisations are increasingly attempting to implement major organisational change (Vakola & Nikolaou, 2005), the outcomes are often unsuccessful (Burke, 2011; Pascale, Milleman & Gioja, 1997) with failure rates of up to 70% often reported (e.g. Burnes, 2003; 2005; Cao *et al.*, Miller, 2002). This lack of successful implementation presents a number of managerial challenges which, in the past, have been explored empirically across an extensive array of academic disciplines including (but not limited to) those of relevance to this thesis - higher education, business and corporate responsibility (e.g. Burke, 2011; Gioia & Thomas, 1996; Dunphy *et al.*, 2006; Van de Ven & Poole, 1995). However, from a search of these literatures it is clear that there has not been any research that has brought all of these theories and concepts together

– to explore organisational change towards the social dimension of CR within universities. This is a gap addressed in this thesis.

The study of organisational change management has been stated as “an empirical observation of difference in form, quality or state over time in an organizational [*sic*] entity. The entity may be an individual’s job, a work group, an organizational [*sic*] strategy, a programme, a product, or the overall organization [*sic*]” (Van de Ven & Poole, 1995: 512). There is an abundant academic literature on organisational change, which takes its roots from areas as diverse as industrial and organisational psychology and biological science. There are also a variety of practitioner based approaches, each with a set of assumptions around why, how and when change occurs (ASHE-ERIC, 2001; Morgan, 1986; Van de Ven & Poole, 1995). Although there are a number of change approaches, the complex nature of change and organisational systems means that in reality isolated change theories do not sufficiently explain patterns of behaviour or the context around which organisational change occurs (Graetz & Smith, 2010; Pettigrew, 1985). Some theorists therefore suggest using a combination of models in order to piece together a more realistic picture of how people and their organisations behave (e.g. Benn & Baker, 2009; Burnes, 2005, 2009; Graetz & Smith, 2010; Morgan, 1985; Van de Ven and Poole, 1995). This approach is taken in this thesis, as described in the remainder of this chapter.

Organisation development

As discussed in previous chapters, the topics under consideration in this thesis are complex and multidimensional. For example, research about how CR is socially constructed within specific organisational contexts is lacking in the literature as is an understanding of how the social element of CR is implemented across organisational and sectoral boundaries. There are also issues at play around the changing nature of the external institutional environment in which universities sit. In this study theories of organisational change are used to inform the exploration of how CR is being implemented in universities and as a basis upon which to make recommendations about how this implementation might occur in the future. It is important to note that this is not a longitudinal study of an organisational change process. The implications of taking this approach are theoretical and practical. From a theoretical standpoint the aim is to make a contribution to theory and method particularly at the intersection between stakeholder theory, organisation development and change theory and the implications for this in universities. The other implications are practical and will involve the development of a number of recommendations around how the social dimension of CR could be implemented and operationalised by universities’ in the future. The thesis proposes a practical framework that provides guidance for how the social dimension of CR might be more systematically implemented in the university context.

Taking all of these issues into consideration, the approach taken in this thesis moves away from recent trends focusing on emergent change approaches, which examine

power and politics as influences on change (Burnes, 2005; 2009), towards developing an understanding from the perspective of a planned change approach that is aimed at improving the “operation and effectiveness of the human side of the organisation through participative, group- and team-based programmes of change (Burnes, 2005: 75). Recent research has suggested that reexamining approaches to planned change are important in the new era of business that should be driven less by profit maximisation and self interest and more by ethics and social responsibility (Burnes, 2009). This ethical basis and focus on democratic participation aligns with CR, as well as with the idea of moral responsibility in universities, in that the focus is on bringing about change at individual and organisational levels through changing values and ethical frameworks (Burnes, 2009). It concurrently allows for recognition of the importance of maintaining organisational effectiveness and profit, which might be achieved in order for a business to be sustainable long-term.

The emphasis in the change strategies discussed in this thesis (largely as part of the discussion chapter) is on the practice of organisation development (OD) in particular the legacy of Lewin (1951) – one of the early proponents of this approach to change. OD emerged as a field of practice in the 1950s and early 1960s out of a post-war interest in social change and a sense of community. It grew in popularity because it offered a more humanistic and holistic way of viewing people and organisations than previous change theories, which was felt to be ‘better’ for both the people associated with the organisation as well as the organisation itself (Jamieson & Worley, 2008). Its roots have been connected with a number of theories and practices including:

- t-groups and sensitivity training which brought attention to group behaviour, interpersonal relationships and the importance of self-awareness;
- action research, which highlighted how the use of data and analysis could influence change;
- early work on leadership, particularly participative management and its links to organisational effectiveness (e.g. work of Renis Likert in early 1960s); and
- work on what is now known as sociotechnical systems change, that is based on understanding how environments, structures, systems influence decision making and teamwork (Burke, 2008, 2011; Jamieson & Worley, 2008; Waddell, Cummings & Worley, 2007).

OD is essentially a practitioner based domain of study around planned change that promotes humanistic values, develops leaders and attempts to deal with the organisation as an entire entity, whilst simultaneously recognising the importance of these as elements as drivers for profit maximisation (Burke, 2008). It has been defined as

“...a system wide application of behavioural science knowledge to the planned development and reinforcement of organisational strategies, structures and processes for improving an organisation’s effectiveness.”
(Waddell, Cummings & Worley, 2007: 3).

OD is an adaptive practice that involves the creation and reinforcement of change. OD's primary concern is with change that is oriented to transferring the knowledge and skills needed to build the capability to achieve goals, solve problems and manage change. OD has been chosen in this thesis because as a practice it is concerned with the factors that affect the bottom line but that are also underpinned by social problems and humanistic values (Burke, 2011). There is an inherent contradiction here between human and rational objectives and this contradiction resonates with the current conflict being seen in the university sector between the move towards corporatisation and, as the empirical study suggests, the perceived move away from moral responsibility.

At a rudimentary level, OD involves a number of practical ideas as well as a number of accepted theories and models (see Cummings, 2008; Graetz *et al.*, 2006 or Waddell, Cummings & Worley, 2007 for a review). Since its emergence OD practice has morphed and changed (Greiner & Cummings, 2004) and it is now common for the different changes in approach to be classified as either first, second or third generation OD (Seo *et al.*, 2004).

First generation OD interventions, such as action research, sensitivity training, team building and survey feedback are aimed at helping organisations “do better” without explicit consideration of the history and environment of the organisation (Seo, *et al.*, 2004). As noted above much of the first generation approach was influenced by Lewin's (1951) model of planned change (Seo *et al.*, 2004). This model, consistent with an action research approach, was influential in understanding group-based behavioural change in organisations and society at large (Burnes, 2004a). It involves three phases; unfreezing, moving (or changing) and refreezing (Burnes, 2004a; Burke, 2008; Graetz *et al.*, 2006) and provides a general framework for understanding the diverse approaches of first generation OD. Although Lewin's model became unfashionable in recent decades and has been criticised for taking an overly simplistic view of organisational change (see Burnes, 2004a for a review), it has nevertheless been widely influential within the practice of OD and continues to be foundational to contemporary theory in OD. A summary of each of the phases of this model has thus been provided in Table 3, along with examples of implementation strategies that might be undertaken in each phase.

Second generation OD approaches emerged in the 1980s and were influenced by the complexity that was emerging as a result of globalisation, technological advancement and the resulting increase in organisational change and adaptation required by companies (Seo *et al.*, 2004). The main difference between first and second generation approaches to OD was the attention given in second generation OD to an organisation's external environment and its relationship to it. Approaches in second generation OD include large scale interventions, which moved from individual or group interventions to change across entire organisational systems; and organisational transformation, which involves fundamentally altering an organisation's vision, missions, strategy and operating philosophies (Seo *et al.*, 2004). The main philosophy underpinning second generation OD; however, is on discarding

organisational history in order to move forward with success (Cummings & Worley, 2009).

Table 3: Lewin's (1951) model of planned change

Phase of planned change process	Unfreezing	Moving/changing	Refreezing
What this phase involves	Identifying need and creating motivation to change, making the case for change, esp. to key stakeholders.	Shifting behaviour of the organisation to towards the required outcomes. Goal oriented, emphasises behaviour change	Stabilisation of the organisation. Integration of the new behaviour into daily operations and management.
Examples of how this might be undertaken	Data gathering, consultation, start to make the organisation "malleable" (Burke, 2008: 20)	Diagnosis of the problem, action planning, identify barriers, strategic/vision planning, culture change, HRM interventions	Evaluation/analysis; find ways to reward and sustain newly embedded behaviour to ensure organisation shifts to new state.

(Adapted for this research from: Burnes, 2004a; Burke, 2008; Graetz *et al.*, 2006)

Although first and second generation approaches have an important role to play in the practice of OD, these approaches inhibit the study of CR given the complexity of the topic that requires consideration of both the history of the organisation as well as the environment within which it operates (Benn & Baker, 2009). As such, this thesis draws on third generation interpretations of OD, which have a greater focus on the quality of human relationships as predictors of organisational success (Greiner & Cummings, 2004; Seo *et al.*, 2004). Implementing strong CR strategies in organisations requires change both at organisational and institutional level as well as interaction between actors that require resolution of differences of perspective on issues, options and choices for CR (Room & Wijen, 2006). Third generation OD encompasses planned change approaches that are capable of this change in approach as they build on previous OD philosophies (Benn & Baker, 2009: 386). Third generation OD is influenced by approaches such as organisational learning (Argyris, 2008; Argyris & Schön, 1974, 1996; Huber, 1991; Senge, 1990) and systems thinking (Gharajedaghi, 1999).

For this thesis OD theory, and particularly third generation influences, are expected to play a key role. In particular the values-based nature of third generation OD supports and complements the concepts that underpin the social dimension of CR. OD also offers an approach to change towards CR that provides an opportunity to create a total paradigm shift in the way that business is conducted and perceived (Wirtenberg, Abrams & Ott, 2004: 477). The ethical underpinnings of OD also align with the core social problems under consideration in this research (Burnes, 2004a) and indeed there is an emergent literature which suggests that OD holds promise in the development of social change (Brown, Leach & Covey, 2008). In this study OD will thus be used as a

way of exploring the issues that appear to be important in the implementation of change towards CR in the university context. Lewin's (1951) heuristic model will be used to inform the practice based analysis and recommendations in the concluding chapter.

So far in this chapter consideration has been given to the topic of organisational development and change as discussed in the organisational studies literature. However, prior to moving on it is also useful to explore previous work that has been undertaken on organisational change in universities specifically, and this work will be outlined next.

Organisational change research and theory in the higher university sector

Organisational change in higher education is a topic that has been explored from a range of theoretical and empirical perspectives including: sensemaking and strategic change (Gioia & Thomas, 1996); leadership and change (Dunderstadt, 2000; O'Meara & Petzall, 2007); globalisation and change (Vaira, 2004); continuous change and adaptability (Kondakci & Van den Broeck, 2009); culture and structure change (Bergquist, 1992; Wong & Tierney, 2001); organisational learning and leadership (Boyce, 2003); technology and its influence on change (Shoham & Perry, 2009); institutional transformation and its effect on culture change (Curri, 2002; Eckel & Kezar, 2003) and the management of change (Steeple, 1990). Although organisational change has been explored from a number of angles in universities, no research has been found that specifically explores how it might help in the implementation of CR within universities and this remains a gap in the literature.

Change management is an issue that is faced by all organisations (Burke, 2011). However, there are a number of qualities about universities that make them distinctive and that need to be considered in any quest for change (ASHE-ERIC, 2001). According to the ASHE-ERIC Higher Education Report (2001), universities run the risk of lagging behind change that is occurring in other sectors due to factors such as: its particular cultural environment and values driven approach; the multiple and competing power and authority structures which result in ambiguity around authority and decision making; the (often) differing value systems of professional versus administrative groups; the relatively low employee turnover; and challenges that exist around measuring image and success. As a sector, universities therefore have a range of specific issues that should be considered in any organisational change process.

The institutional environment within which universities lie is also becoming complex and more dynamic (O'Meara & Petzall, 2007) as the sector moves towards a more entrepreneurial and corporatised form (Cullingford 2004; Eckel & Kezar, 2003). Currently academia grapples with challenges that see historic educative traditions (e.g. traditional research and learning and teaching agendas) working alongside (and

often conflicting with) modern market pressures. Such pressures include competition for staff, students and funding, globalisation, the impacts of casualisation of the workforce and the stressors involved in achieving competitive research targets. It has been argued that one way in which universities in the current era will compete more effectively will be to engage with their communities and stakeholders (Jongbloed *et al*, 2008). In addition, social issues such as access to a university education for a wider proportion of the population, particularly students from low socio-economic backgrounds, Indigenous populations or from regional or remote communities, are becoming prominent, and indeed are being driven by legislative requirements.

This thesis uses an empirical case study from the university context together with a review of past research on organisational change towards CR in other organisational environments, particularly drawing on contemporary organisation development (OD) theory. There has previously been some application of OD theory (i.e. not in relation to CR) in the higher education context (see, for example the 2005 special edition on OD and HE in *Advances in Developing Human Resources*). This literature has suggested that further research is needed in order to establish a model of change that will move 'questions of context to questions of practice' (Summerville, 2005: 299). It shows there is a gap remaining between explaining how OD as a theory relates to the actual process of change within the university setting. Past research also points to some clues that are worth considering in the present research context. Torraco and Hoover (2005), for example, discuss a number of issues to think about when applying OD to the university context. These include: ensuring that universities are primed and prepared before change efforts are introduced; the importance of the choice of language used to represent change; and the need to find informal leaders who are interested in change. These authors also discuss how the nature of academic culture means that OD is most likely to be beneficial in situations where stakeholder input and participation is encouraged, but where such participation is balanced with final decision making (Torraco & Hoover, 2005).

The particular focus in this thesis is in discovering how the social dimension of CR is currently being implemented and identifying the issues that contribute to this implementation process. In order to uncover this, questions about why universities are becoming engaged in change towards CR in the first place, as well as where barriers and areas of resistance lie are important aspects of the research. Once again, no research was found that has previously explored these areas, so applying ideas found in other literature streams is necessary. A brief review of what is driving other organisational sectors towards CR will be reviewed, along with literature on resistance and barriers to change.

Drivers of organisational change towards CR

There are a number of elements that influence change and the drive for change in organisations. These are issues that are both powerful in their own right, as well as interrelated (Waddell, Cummings & Worley, 2007). The first of these is globalisation,

which has implications around the rights and responsibilities of organisations and the ways that they run businesses on a global scale. The second set of influences is the rapid rise and development of information technology. E-business and similar concepts are altering the organisational landscape and changing the ways that people work, how they interact and the way knowledge is used. And the final set of influences driving organisational change are those around managerial innovation, where non traditional organisational forms such as networks, clusters, strategic alliances, virtual corporations and the like are creating opportunities for organisations to think about different ways of doing business (Waddell, Cummings & Worley, 2007).

Each of these influences can be linked to drivers for change towards CR. For example, globalisation has seen organisations increasingly operating across international borders which have created a number of challenges in terms of treatment of employees, supply chain responsibilities, human rights and other issues that come under the umbrella of corporate responsibility (Hemingway & MacLagan, 2004). Globalisation has opened markets and grown investment at the same time as it has highlighted inequities that exist around the world, particularly in terms of standards of living and the exacerbation of climate change (Dunphy, *et al.*, 2007). The rise of information technology, on the other hand has created opportunities in terms of CR particularly from the perspective of potential resources savings and opportunities for employee engagement (e.g. through changes in work practices and work/life balance). Finally, managerial innovation has seen an increase in a partnership approach to business, giving organisations an opportunity to strategically collaborate with each other on goals of both a business and social nature. Also, in the university context, managerial innovation is a response to competition.

A recent survey conducted by MIT Sloan Management Review and Boston Consulting Group showed that there is a lack of understanding amongst organisations regarding the drivers for CR, which in turn makes measurement and execution of CR difficult (Berns *et al.*, 2009). Despite this, some research has been undertaken around the drivers for CR. For the purposes of this review, this literature has been divided into four categories:

- instrumental drivers - which examine CR within the context of risk management, cost benefits and market competitiveness
- normative drivers - which argue for CR within moral and ethical boundaries,
- institutional drivers - which examine legislative and externally driven motives for CR, and
- drivers associated with the dynamics of changing stakeholder expectations.

Each category will now be briefly considered below.

Instrumental drivers of CR

The instrumental approach to CR views the social and environmental responsibilities of organisations as strategic tools that can be used primarily to increase profit. Any benefits at a social, environmental or other level should only be undertaken when a cost benefit to the organisation can be achieved (Garriga & Mele, 2004). As such, behaving in an ethically responsible way is undertaken when returns such as profit maximisation, reputation, survival or growth can be achieved (Branco & Rodrigues, 2007; Margolis & Walsh, 2003; Steurer, 2006). This driver is often referred to the business case for CR.

The business case for CR argues that responsible business behaviour leads to improved financial return and is primarily concerned with how organisations benefit tangibly from their CR activities and practices (Carroll & Shabana 2010). The business case can be classified under four approaches: cost and risk reduction, strengthening legitimacy and reputation, building competitive advantage and creating win-win situations through synergistic value creation (Carroll & Shabana, 2010; Lindgreen & Swaen, 2010). Although links have been established between CR and financial gain (e.g. Berman *et al.*, 1999; Jones, 1995; Ruf *et al.*, 2001), other studies examining the correlation between the two have produced mixed and inconclusive results (Andriof & Waddock, 2002; McWilliams & Siegel, 2001; Steurer, 2006). Despite these, the assumption that responsible behaviour can be good for business is a clear driver for CR, based on the fact organisations can potentially create a competitive advantage by integrating economic and non-economic factors (Porter & Kramer, 2006; Lindgreen & Swaen, 2009). There are also strong internal pressures that fall under the business case in terms of cost avoidance and risk mitigation. The “costs” from both a reputational and financial perspective for non-compliance with CR is a risk that most organisations recognise as important (Dunphy *et al.*, 2007).

Taking a different view to instrumental CR, Porter and Kramer (2006) argue that there are four kinds of drivers for CR: reputation, license to operate, sustainability and moral obligation. These authors argue that if CR is not tied to the strategy and operations of an organisation it becomes difficult to identify and prioritise which issues might be most important to the organisation or in which areas it might be able to make the biggest CR contribution. As a result they argue that most organisations tend to approach CR in an uncoordinated way that lacks focus. This in turn reduces the impact of the CR effort and means that any chance for long term competitive advantage is lost (Porter & Kramer, 2006: 83).

Using this line of argument, an instrumental approach to CR is about strategically juggling resources in order to create a niche in the market resulting in increased market share or competitiveness. This is important in the context of the current research as it suggests that the way that universities respond to social and environmental issues could relate to competitive advantage, particularly in terms of attracting the best staff and students. The business case therefore remains a frequently used driver for organisations, particularly organisations that are in the

initial stages of CR implementation and recognise financial benefits from implementing even the most basic of CR strategies (e.g. some 'low hanging fruit' environmental initiatives).

Normative drivers of CR

Normative drivers for CR are those with moral, ethical and philosophical underpinnings and look at the relationship between ethics and value sets of the organisation in relation to its stakeholders (Aguilera *et al.*, 2007; Rupp *et al.*, 2006). In the context of this study, it is anticipated that normative drivers for CR will be important, particularly because of the widely perceived moral responsibility role that universities play in society. The prominent environmental educator, David Orr (2004), argues that much of what has gone wrong with the world (environmentally, socially and economically) is the result of inadequate and misdirected education that separates those being educated from the world in which they live. The education being offered, he argues, focuses too much attention on career and money-making and separates feeling from intellect. He states that "the crisis we face [at a social and environmental level] is first and foremost one of the mind, perception and values; hence it is a challenge to institutions presuming to shape the minds, perception and values" (Orr, 2004: 27). As such, the social and environmental issues that are fundamentally at the core of what CR is about is an educational challenge more than anything else. This type of claim shows that there is potential for further exploration around how the normative drivers for CR impact on the university sector.

Institutional drivers of CR

In recent years CR has begun to be viewed as an outcome of emergent institutional forces (Angus-Leppan, Metcalf & Benn, 2010). Institutions are the informal and formal 'rules of the game', and while some of these rules are easily understood and adopted, others are difficult to interpret and implement at a practical level. Examination of CR through an institutional lens looks at the conditions that might result in an organisation behaving in a socially responsible way. In addition, and of particular relevance to the current research, it helps to understand how meaning is generated around CR, particularly through an exploration of the definitions of CR and how they are constructed and accepted in an organisation, how the concepts associated with CR are developed and operationalised over time, and how they come to have a "rule-like, social fact quality" (Jennings & Zandbergen, 1995: 1016).

Campbell (2006), for example, uses institutional theory to argue that organisations are likely to act in socially responsible ways under institutional conditions that are both regulative (e.g. state regulation or industrial self-regulation) or through behaviour that is more proactive and enabling (e.g. via stakeholder dialogue or as a result of membership of business associations). He argues that CR as an

organisational practice does not emerge and become institutionalised automatically as a result of functional or environmental factors, but instead is constantly “contested and involves struggle, conflict, negotiation and the exercise of power” (Campbell, 2006: 935). In a later piece of research Campbell (2007: 948) suggests there are a number of institutional conditions which could influence the take up of CR including “public and private regulation, the presence of nongovernmental and other independent organisations that monitor corporate behaviour, institutionalized [*sic*] norms regarding corporate behaviour, associative behaviour among corporations themselves, and organized [*sic*] dialogues among corporations and their stakeholders”. The institutional environment in which an organisation operates is therefore not static and there are dynamic ebbs and flows that need to be contended with.

Matten and Moon (2008) take a slightly different approach and frame institutional influences as “explicit” and “implicit” forms of corporate responsibility. Explicit CR are the voluntary programmes and strategic responses undertaken by organisations that combine social and business values and that address matters that are perceived as being part of the social responsibility of the organisation (Matten & Moon, 2008: 409). Implicit CR, on the other hand, refers to an organisation’s role within wider formal and informal institutions that exist for the concern and interest of society. Implicit CR is embedded in the business-society-government relations within a political system and is represented by “values, norms and rules that result in (mandatory and customary) requirements for corporations to address stakeholder issues” (Matten & Moon, 2008: 409). Matten and Moon argue that there has been a rapid global shift from implicit to explicit CR arising from changes to organisational practices resulting from a move away from mandatory and obligatory regulations around CR towards organisations voluntarily taking responsibility for social issues. The findings of this research have been subsequently supported elsewhere (e.g. Hiss, 2009) and ideas around the importance of institutional infrastructures have been raised in other research (e.g. Waddock, 2008).

Institutional drivers for CR are relevant to the current research for a number of reasons. Individual value systems can play a part in guiding an organisation’s commitment to CR which in turn can affect perceptions of the firm’s acceptability and legitimacy (Bansal, 2005; Bansal and Roth, 2000). In addition, actors with differences of opinion on CR will debate to establish norms and common beliefs (Bansal, 2005; Hoffman, 1999). From a regulative perspective a number of elements of CR are becoming institutionalised through legislation, agreements and national and international codes of conduct. In addition, global standards such as the GRI and Social Responsibility Index are becoming institutional forces themselves (Waddock, 2008). As a result practices such as occupational health and safety, climate change, human resource management, pollution and waste management continue to become institutionalised and it becomes increasingly important for organisations to incorporate programmes that take such matters into account (Bansal, 2005). The discussion above indicates that institutional factors are important drivers for CR. A gap in the literature remains whether they also act as drivers for the social dimension of CR in universities.

Changing stakeholder expectations

Theoretical work that focuses on stakeholder theory has moved away from the consideration of stakeholders as institutional constraints towards engaging them as strategic partners that are valuable in the quest for long term survival (Andriof, 2001). Stakeholder expectations become an important driver for CR when a longer term view of value maximisation is taken by a firm that recognises the importance of competitive advantage as a strategic organisational choice involving employee engagement, the development of unique products and services, nurturing a culture of innovation and engagement with other key stakeholders.

As discussed in this chapter, the fundamental premise behind stakeholder theory is that a company should be responsible to more than just its shareholders and should instead respond to and engage with all those who have a 'stake' in the company's operations (Frederick, 2006). In addition, organisations "cannot exist without relationships to stakeholders and these relationships carry with them moral implications" (Waddock 2004: 14). Therefore, stakeholder theory highlights "the responsibility of corporate leaders to understand what shared sense of values brings the firm's core stakeholders together" (Freeman, Wicks and Parmar 2004: 364). These views highlight that stakeholder expectations as a driver for CR really combine the instrumental, institutional and normative drivers discussed above (Donaldson & Preston, 1995).

Building stakeholder partnerships is one way to describe the behaviour of an organisation within its institutional environment (Andriof & Waddock, 2001). Stakeholders are important contributors to organisational performance (Andriof & Waddock, 2001). They are part of the mix to consider in explaining the complex phenomenon of such performance. However the nature of stakeholder expectations can be unpredictable and likely to differ between sectors and organisations. Developing an understanding of stakeholder expectations are highly relevant to this thesis as there are clear drivers for organisations to be responding to and engaging with the concerns of its stakeholders in relation to the social dimension of CR. The relationships and practices that an organisation develops with its stakeholders are vital to long-term organisational effectiveness and "have implicit moral weight" (Waddock, 2004: 25). Given the moral responsibilities of universities, questions around what these organisations 'owe' their stakeholders and what kind of moral obligations exist between universities and their stakeholders come into play (Phillips, 2003).

CR drivers in practice

Despite having categorised the drivers for CR as above, in practice such drivers are not normally able to be succinctly organised into either instrumental, normative, institutional or stakeholder driven motives – and instead there are normally more complicated interrelationships at play, balancing economic, ethical and external

issues (Windsor, 2006). The reality of CR management is that a balance is needed between pure instrumentality, cost driven strategies and ‘intuition and values’ (Waldman & Siegel, 2008). Given that management decision making is frequently undertaken “on the run”, it seems that it can be difficult for managers to weigh and measure all decisions according to their net values (via both actual and opportunity costs). Waldman and Siegel (2008) thus argue that it is important that managers are given the chance to trust their instincts with regard to CR and not be forced to make decisions driven by either instrumental, normative or institutional drivers alone.

Barriers to change

Organisations largely seek stability (DiMaggio, 1991) so in any change attempt resistance is a common feature, particularly amongst employees who prefer routine, structure and predictability (Waddell & Sohal, 1998). Resistance is a complex and multifaceted phenomenon that effects change efforts at all levels of an organisation. However, understanding how resistance and barriers to change manifest themselves within an organisation has been argued to be a critical factor influencing the success or otherwise of an organisational change effort (Waddell & Sohal, 1998). In addition, it has been argued that it is important to understand how barriers to change at individual, organisational and institutional levels influence the adoption of CR initiatives (Garavan, *et al.*, 2010). Understanding where the barriers to change lie in the implementation of the social dimension of CR in universities is a critical element of this study.

A review of the organisational studies literature points to a number of barriers that exist when organisations go about implementing change. Such barriers include ineffective communication, limitations to resources, poor leadership, human resistance, competition priorities and fear of the unknown (Appelbaum *et al.*, 1998; Burke, 2011; Doyle *et al.*, 2001; Graetz, 2000; Kotter, 1996; Paton & McCalman, 2008). Oreg (2003) argues that there are six sources of resistance to change; reluctance to lose control, cognitive rigidity, lack of psychological resilience, intolerance to the adjustment period involved in change, preference for low levels of stimulation and novelty and reluctance to give up old habits. Lack of participation and threats to job security have also been argued to be barriers to change (Qian, 2007).

A breakdown in communication is one of the more commonly cited barriers to change. Research has shown that effective communication by those in leadership positions is critical in gaining commitment to change (Graetz, 2000; Paton & McCalman, 2008). Effective communication involves the right message being accepted by the right people at the right time – which provides opportunity for appropriate behaviour and attitude change to occur (Haut, 2004). Many change initiatives fail because of change leaders’ poor implementation, as well as a lack of consideration given to the emotional impact that such change might have on employees and other organisational stakeholders (Appelbaum, *et al.*, 1998). In the context of change towards CR this is

important as previous research has indicated that the intentions of senior management motivate the socially responsible behaviour of an organisation (Wood, 1991). In addition it has been argued that exemplary leadership and governance are required in order to sustain successful change towards CR (Doppelt, 2003).

Human resistance is another key barrier to change. Such resistance is not necessarily directed towards the changing factor per se, but is more a fear of losing something of value or lack of choice - particularly in terms of being forced to move to a new state of being and acting (Burke, 2011). Nevertheless, study of resistance to change predominantly pits change agents against change recipients and can develop tensions between management and employees (Dent & Goldberg, 1999). It is a view that has seen resistance literature develop a bias towards change agents and their 'unreasonable resisters' rather than view such resistance as "rationally coherent strategies and objectives" on the part of change recipients (Ford, Ford & D'Amelio, 2008: 363). This is in spite of the fact that resistance, confrontation and dissent between organisational groups has been presented as positive aspects of organisational culture in other settings (e.g. Nameth *et al.*, 2001). Within this framework resistance has therefore been defined as: "a reactive process where agents embedded in power relations actively oppose initiatives by other agents" (Jermier, Knights & Nord, 1994: 9).

In the context of organisational change for CR specifically, Garavan *et al* (2010) provide a summary of the range of behavioural barriers that exist towards CR across individual (e.g. psychological and behavioural barriers), organisational (e.g. cultural and structural barriers) and institutional levels (e.g. regulative and normative forces). These authors go on to argue that specific human resource development interventions (i.e. an organisation development intervention approach) may hold the potential to dismantle these barriers, and they conclude by suggesting a number of such interventions that can be affected at the three levels of analysis (Garavan *et al.*, 2010). Competing priorities have been argued to be a barrier to change across all sectors, particularly in the area of CR (Berns *et al.*, 2009). Although this research provides a starting point for understanding barriers to change and how these might be overcome, the current research extends on previous work in the area by specifically exploring the barriers to change towards CR within the context of the university.

There is a link here to the practice of organisation development as well as support for the need to uncover barriers to change in order to implement a programme of planned change. In relation to this research, an exploration of resistance and barriers to change provides insight into what might be holding universities back in terms of the implementation of CR practices and processes. In particular it is an exploration of emotional and intentional responses and whether they exist, and in what form, in participants. Are there elements of the change process that are causing barriers and resistance in participants or in the organisation more widely, for example? This exploration will provide an understanding of the key barriers to change towards CR in universities.

Barriers to change towards CR in universities

There has been limited discussion in the literature on the barriers to change towards CR in universities. Despite this, a number of authors discuss why CR is not yet being successfully implemented in universities, with many attributing the problem to a lack of clear definition around what the concept of CR means for the sector (Reid & Petocz, 2006; Van Dam-Mieras *et al.*, 2008; Wals & Jickling, 2002; Wright, 2010). In addition, an already overcrowded curriculum, the perceived irrelevance of CR by academic staff, limited stakeholder awareness and expertise around CR, and limited institutional drive and commitment have been discussed as barriers (Scott and Gough, 2008). Issues such as a lack of a culture where value or priority is given to CR, the lack of organisational and resource support provided to staff for the implementation of CR activities and the lack of training for academic staff have also been cited (Thomas, 2004).

Barriers to change can be overcome but involve a commitment to change. As highlighted above there has been much discussion about the ways that change might occur or should occur at a normative level: however, there is a lack of empirically derived literature that examines the factors that might be taken into consideration in an organisation's change towards CR. As a result the learning opportunities that can be taken from this are currently constrained. Taking a step back and uncovering where the barriers to change lie in the implementation of CR using a case study from the university sector is one of the contributions made in this thesis.

The theory on organisational change and the drivers and barriers for change towards CR are only part of the theoretical influences informing this thesis. In addition, the study is underpinned by a number of theories as it has been argued elsewhere that single theory perspectives can produce a restricted view of organisational reality (Gioia & Pitre, 1990). So using influences from a range of theories will contribute to the development of more accurate findings and recommendations. The other theoretical influences drawn upon in the study are those of resource based view and institutional theory. A brief account of each of these and the reasons they are influential in this research is provided next.

Resource based view

The resource based view of the firm (RBV) is a theory that looks at the ways that resources and capabilities influence an organisation's competitive advantage and strategy. The examination of organisational resources and capabilities is a valuable aspect of the current research as many of the elements of the social dimension of CR are intrinsically linked to organisational resources.

Within RBV, resources are considered to be both tangible and intangible (Barney, Wright & Ketchen, 2001; Wernerfelt, 1984) and are elements that have semi-permanent ties to a firm (Barney 1991; Daft 1983; Wernerfelt, 1984). Examples of such resources include: patents and intellectual property, processes, information and reputation (Teece *et al.*, 1997) as well as brand, contacts, information technology,

systems knowledge and the skills and qualities of staff (Wernerfelt, 1984). Indeed, they are all the assets, capabilities, processes, attributes, information, knowledge, and so on, that are controlled by a firm and that provide it with the opportunity to improve 'efficiency and effectiveness' (Barney, 1991: 101). Barney (1991) classifies such resources into three categories: physical resources (e.g. equipment, machinery, built environment); human capital resources (e.g. the training, intelligence, relationships and judgment of staff); and organisational capital resources (e.g. systems and processes, policy and planning, informal interpersonal relationships).

Resources are only productive (and a source of competitive advantage) if they are used efficiently within an organisation. As a result, to be a source of competitive advantage organisations need to be able to reproduce, assemble, integrate, and manage such resources (Bansal, 2005; Barney, 1995; Russo & Fouts, 1997: 537) – i.e. have the *capability* to deploy and coordinate their resources effectively (Amit & Shoemaker, 1993; Branco & Rodrigues, 2006).

According to the RBV, when organisations are implementing a value creating strategy which is not being simultaneously implemented by any current or potential competitors they hold a competitive advantage. However, in order to achieve a sustained competitive advantage, where no other firm in the industry is able to replicate the benefits of this strategy four characteristics are needed:

1. *Value* – the resource/capability enables increased efficiency or effectiveness while providing chances to exploit opportunities or neutralise threats in the (organisational) environment;
2. *Rarity* – it does not exist, or has limited existence, in competing organisations;
3. *Inability to be imitated* - organisations that do not possess the resource/capability cannot obtain it and indeed it is costly to imitate; and
4. *Not able to be substituted* – it is not easily accomplished through alternative means (Barney, 1991; Hart, 1995; Hoopes *et al.*, 2003; Peteraf 1993; Peteraf & Barney 2003) or bought or sold on markets (Branco & Rodrigues, 2006).

The underlying premise of RBV is that it “addresses the fit between what a firm has the ability to do and what it has the opportunity to do” (Russo & Fouts, 1997: 536). The theory assumes that an organisation has a bundle of resources and capabilities that have a range of value, rarity, inimitability or substitutability. The task of the CEO (or Vice Chancellor in the context of the research here) and the senior management is to assemble these resources and capabilities in such a way as to create a point of difference from competitors or industry peers. This idea is of relevance to the current study as the increasingly corporatised nature of the university sector means that there is the potential to explore and exploit the role that resources and capabilities play in the implementation of CR in the sector. For example, do participants consider CR a competitive advantage or a point of difference in the university context? And does this have implications for the role they feel CR should play in the sector?

Work complementing the RBV and Corporate Responsibility

The earliest theoretical work using RBV as way of analysing the potential of CR was Hart (1995), who exclusively concentrated on the environmental dimension. By expanding the definition of resources to include elements of the biophysical environment, he proposed a theory of competitive advantage based on an organisation's relationship to the natural environment. Through presentation of three strategies (pollution prevention, product stewardship and sustainable development), Hart (1995) argued that for certain types of organisations there were specific resource requirements and contributions, relating specifically to the natural environment, that organisations can make in order to achieve a sustained competitive advantage.

Extending on this work, Russo and Fouts (1997: 535-6) argued that the RBV offers a way of analysing how corporate responsibility policy decisions can influence the bottom line for two reasons. Firstly, RBV has a strong focus on performance as a key outcome, which complements CR theory in this area. And secondly, the RBV, like the CR literature, places an emphasis on the importance of "intangible" concepts such as corporate culture and reputation. As such, their study used RBV as a way of analysing how CR (again particularly the natural environmental element) can be used as a source of competitive advantage (Russo & Fouts, 1997). They hypothesised that (a) high levels of environmental performance will be associated with enhanced profitability and, (b) the greater the level of industry growth, the greater this positive link between environmental and economic performance will be. In testing these hypotheses on 243 firms over two years they came to the conclusion that "it pays to be green" (Russo & Fouts, 1997: 549) and that indeed this relationship improves along with industry growth. In general the study indicated that the RBV could be applied to the issue of CR as a way of determining whether CR can indeed impact competitive advantage.

Menguc and Ozanne (2005) extended Hart's (1995) research and utilised the natural RBV. Supporting the findings of Russo and Fouts (1997), this research examined the relationship between natural environmental orientation and its three components, which they argued are: entrepreneurship; corporate social responsibility; and commitment to the natural environment. Using data from 140 Australian manufacturing firms, their findings revealed that natural environmental orientation was positively and significantly related to profit after tax and market share; however was negatively related to sales growth. Similarly, Bansal and Roth's (2000) qualitative study of the motivations and contextual factors that create corporate ecological responsiveness also examined the RBV in the context of the natural environment. In relation to competitiveness (i.e. the potential for ecological responsiveness to improve long-term profitability) they found that competitive advantage can be gained through environmental responsibility. Consistent with the RBV, they found that through examination of issues such as electricity consumption and recycling, organisations attempted to develop resources and capabilities that had an environmental perspective, such as green marketing campaigns, process

efficiencies (e.g. switching off lights and recycling programmes) and the purchase of new equipment.

The RBV is also a theory that strongly aligns with the economic or 'business case' for CR (Kurucz, Colbert & Wheeler, 2008) as it focuses on the internal analysis of organisational resources and capabilities and the links that these have to sustained competitive analysis. This 'business case' for CR has been the subject of considerable analysis as researchers attempt to demonstrate a link between financial performance and socially and environmentally responsible behaviour (Ambec & Lanoie, 2008; Hart & Ahuja, 1996; Margolis & Walsh, 2003; Orlitzky, Schmidt & Rynes, 2003; Russo & Fouts, 1997). However, researchers have generally found it difficult to determine the factors that might influence the bottom line and what kind of CR approach might indeed be most fruitfully applied (McWilliams & Siegel, 2001). The RBV perspective offers an approach to examine this unanswered question, in that it is a way of determining which resources and capabilities might be responsible for any competitive advantage resulting from the implementation of CR initiatives. Using the assumption of RBV that firms generate sustained competitive advantages by effectively controlling and manipulating their valuable, rare, inimitable and unsubstitutable resources and capabilities, the argument for CR engagement is that it can help firms to create some of these resources and capabilities (Branco & Rodrigues, 2006).

The studies outlined above provide examples of work that draws attention to the resources and capabilities that are at play in the CR debate, particularly from the natural environment perspective. Hart's (1995) natural resource-based view, in particular, has been used extensively to make and test the case for improving environmental management practices in organisations (Haigh, 2009). However, the RBV has been used less often in the exploration of the social dimension of CR, which indicates a fruitful area for investigation in the current research.

As argued by Litz (1998), there is a lack of research that has examined the social and ethical resources and capabilities of organisations. Litz (1998) sought to overcome this gap by exploring the RBV within the context of corporate social responsibility, corporate social performance and corporate social responsiveness. Specifically, he argued that an organisation's capacity to be socially and ethically responsible may be a resource that can lead to competitive advantage. Such resources that are relevant within this context are those of stakeholder consideration, ethical awareness and the possibilities offered by issues management. He argues that by developing perception, deliberation and response capacities such 'resources' can lead to competitive advantage. Within the context of the current research, this implies that organisations interested in improving the social dimension of CR should strategically consider a range of resources and capabilities that support this social focus. However, there is a lack of exploration of what exactly those resources and capabilities might be.

Some insight is presented in the literature, for example Black and Hartel (2004), who argue that social responsiveness relies on the assumption that social responsibility is not a discretionary activity, but instead arises from the day to day relationship

between an organisation and its stakeholders. They present a model that helps to understand social responsiveness within the context of ethical relationships with stakeholders. Organisations that “pursue genuine dialogue with stakeholders, pay attention to developing a caring atmosphere in the workplace and foster employee beliefs about the value of accountability” may in turn receive substantive benefit both to the company itself as well as its stakeholders (Black & Hartel, 2004: 140). What appears to be absent is research that specifically addresses the link between the social dimension of CR and the RBV or the question of whether the implementation of the social elements of CR may indeed help a organisation (in this case a university) to achieve competitive advantage or a point of difference over rival institutions.

RBV and the current study

Corporate responsibility essentially calls for the use of an organisation’s resources and capabilities to help alleviate a range of social problems, largely as a response to the belief that governments and public policy are unable or unwilling to deal with such problems (Hillman & Keim, 2001). Branco and Rodrigues (2006) argue that taking a resource-based perspective of CR forces a focus on issues that have “an undeniable social nature” (Branco & Rodrigues, 2006: 112). In this research, which takes a social perspective on CR, an application of RBV is around the emphasis and focus that CR may place on intangible resources and capabilities such as reputation, brand management, employee morale, organisational values and culture, or knowledge and experience of employees in the university context. However, intangible resources can be difficult and costly to create and manage, given they are highly socially complex, normally embedded in historical context, accumulated over time and are difficult to imitate and change. This nevertheless provides potential opportunity for universities, as if they are managed and exploited in the right way then they have the ability to create a significant source of competitive advantage over tangible resources, which are more likely to be easy to imitate and substitute, even if they are valuable or rare (Branco & Rodrigues, 2006).

As has been discussed in earlier chapters, increasingly universities need to be thinking about market position, competition for staff and students and the move towards more strategic thinking. As a result there is merit in re-examining the way that resources and capabilities are used in this sector in order to examine how a sustained competitive advantage might be achieved. In particular, from an RBV perspective, universities that acquire tacit resources and capabilities related to the social dimension of CR that have varying degrees of value, rarity, inimitability and substitutability, may in turn create competitive advantages over those that do not acquire such resources and capabilities (Barney, 1991; Penrose, 1959) and this has a link to the process of change that is adopted towards the social dimension of CR.

Interpretations of RBV indicate that strategic resources have the potential to add value: however realising this potential relies on the alignment of RBV factors with other organisational elements (Ketchen, Hult & Slater, 2007) or its use in

combination with other theories (Peng *et al.*, 2009). For example, the RBV tends not to question the effect that the external environment can play on an organisation and in particular disregards the institutional rules and norms that this environment provides. In the pursuit of their activities, organisations also exert influence on and over the environment, resulting in unintended consequences, or externalities (Branco and Rodrigues, 2006). As a result, in the current research context RBV alone is insufficient to explain how CR is being used in the university context.

In this research RBV is thus a valuable theoretical perspective from which to draw because of the emphasis that it places on the social, yet often intangible resources and capabilities of an organisation. To this end it provides a strong platform upon which to inform the examination of the social dimension of CR.

Institutional theory

RBV does not examine the social context within which the selection, management and implementation of resources are embedded (Oliver, 1997) thus institutional theory (IT) complements a resource based view in this research as it emphasises the historical and social contexts under which organisations operate. This is crucial to consideration of the social dimension of CR. IT offers the perspective that organisations exercise strategic choice (as highlighted by the RBV) but goes further by explaining how such choice is made within the constraints imposed by an organisation's institutional environment. Organisations that are conscious of such environments and who develop structures and processes that are "isomorphic" to institutional pressures are rewarded through "increased legitimacy, resources and survival capability" (Greening & Gray, 1994: 470). Institutional theory examines processes, strategies, outlooks and competencies that exist in the internal and external environment of an organisation (Selznick, 1995) and questions how social choices are "shaped, mediated, and channeled" through these environments (Hoffman, 1999: 351).

Institutions are "...multifaceted, durable social structures, made up of symbolic elements, social activities, and material resources." (Scott, 2001: 49). They are both the formal (e.g. laws and regulations) and informal (e.g. culture, habits, norms) elements which underpin the social transactions of an organisation (Peng *et al.*, 2009). IT adds value driven dimensions to the question of how organisations can enhance or protect their legitimacy (Berrone & Gomez-Mejia, 2009; Oliver, 1997). Institutions have been argued to have three aspects or what Scott (2001) refers to as 'pillars', these being; cognitive, normative and regulative. These can coexist and are interconnected (Hoffman, 1999) and are elements that "...together with associated activities and resources, provide stability and meaning to social life" (Scott, 2001: 48). The literature defines each pillar in a range of ways as described below.

The cognitive (or cultural) pillar refers to a shared framework of interpretation (Marquis, Glynn & Davis, 2007), the legitimised assumptions, scripts or meanings

(Scott, 2001) or the unconscious behaviours that are taken for granted in organisations (Hoffman, 1999). In other words they are the underlying beliefs and assumptions that are undertaken without conscious thought. They might be symbolic (words, signs and gestures) or frameworks that guide understanding (Hoffman, 1999). The cognitive pillar is potentially influential to the current research as social initiatives become successful in organisations when they are aligned with core culture and organisational values because “culture guides both *what* issues get attended to and *how* they get acted upon” (Howard-Grenville & Hoffman, 2003: 70).

The normative pillar defines the standards of appropriateness and evaluation (Marquis *et al.*, 2007). They are the social elements of institutions and include standard operating procedures, occupational standards and educational curricula (Hoffman, 1999) as well as pressure from media (Bansal, 2005; Greening & Gray, 1994) and public opinion (Greening & Gray, 1994). Indeed, as argued by Luoma and Goodstein (1999), such normative forces can often be responded to through more careful stakeholder engagement, an area that will be dealt with later in the thesis.

The regulative pillar refers to the regulations and legislation that underpin organisations (Scott, 2001). This element includes government regulations around occupational health and safety or environmental management practices, for example (Oliver, 1997), or other policy and sanctions that control the activities of the organisation (Jennings & Zandbergen, 1995). Bansal (2005) argued that regulative institutional processes (in the form of fines or penalties) can work through coercive pressures imposed by institutions that have a direct influence on an organisation. She argued that failing to respond to such pressures may result in loss of earnings, a damaged reputation or even loss of license to operate.

Despite the fact there are different types of institutional pressures that influence organisations, the key argument that binds the three pillars is that organisational practices change and become insitutionalised because they are considered legitimate (Matten & Moon, 2008). Indeed, management and other key stakeholders can often orient decisions towards what they believe is seen as legitimate (DiMaggio and Powell, 1983). In contrast to the RBV focus on firm heterogeneity, institutional theory questions “why there is such startling homogeneity of organizational [*sic*] forms and practices” (DiMaggio & Powell, 1983: 148). Institutional theorists argue that organisations within the same industry tend to become similar over time because they are confronted with, and adapt to, common influences, knowledge and understandings (Oliver, 1997) and as such tend them toward homogenous structures and strategies (DiMaggio & Powell, 1983; Oliver, 1997).

According to institutional theorists, institutions are responsible for creating pressures on an organisation’s ability to seek legitimacy and strive for social conformity (Hoffman, 1999). Organisations operate within certain institutional constraints and choose to conform to such constraints at their own discretion. However, failure to conform can threaten an organisation’s ‘legitimacy, resources, and ultimately its survival’ (Bansal, 2005: 202). Conformity, on the other hand, leads to legitimacy, which in turn creates competitive advantage (Powell & DiMaggio, 1991; Scott, 2001).

Institutional norms can become so embedded in day to day operations of an organisation that such organisations are not even aware that they are conforming to them. In addition, in the face of uncertainty, one management approach may simply be to copy others in the sector (DiMaggio & Powell, 1983). On the other hand, institutional pressures may be approached strategically, with clear recognition of conformation, which in turn can result in improved access to resources or increased legitimacy (and therefore competitive advantage).

Although this is one perspective relating to why an organisation might conform to institutional pressures, Oliver (1991) presents a different view by arguing that the reasons may actually be less about competitive advantage and instead be driven by self-interest and recognition of the importance of accepting institutionalised values and practices. This kind of approach, that focuses on organisations being internally motivated to respond to institutional issues, complements the argument presented in this thesis that universities are driven toward engaging in CR because of the moral responsibility role that they hold in this area. IT thus offers a guide to thinking about CR as it puts aside profit maximisation and short-termism in order to address matters of social concern (Selznick, 1996).

Institutional theorists see institutions as the informal and formal ‘rules of the game’, and while some of these rules are easily understood and adopted, others are difficult to interpret and implement at a practical level. There is a wide range of definitions and interpretations regarding the social dimension of CR along with how this dimension is operationalised. Previous research argues that pressures from stakeholders influence organisations to strategically respond to social issues while simultaneously maximising profit and legitimacy (Hess & Warren, 2008; Oliver, 1991) and the examination of CR through an institutional lens allows the examination of the institutional conditions that might result in an organisation behaving in a socially responsible way. In addition, and of particular relevance to the current research, institutional theory helps to understand how meaning is generated around CR, particularly by helping to understand how definitions of CR are constructed and accepted in an organisation and, as a follow on from this, how the concepts associated with CR are developed and operationalised over time – that is, how they come to have a “rule-like, social fact quality” (Jennings & Zandbergen, 1995: 1016).

Work complementing IT and corporate responsibility

Campbell (2006) uses institutional theory to argue that organisations are likely to act in socially responsible ways under institutional conditions that are both regulative (e.g. through negative sanctions or punishments, state regulation or industrial self-regulation) or through behaviour that is more proactive and enabling (e.g. via stakeholder dialogue, through adopting a pro-responsibility institutional environment or as a result of membership of business associations). He argues that CR as a management practice does not emerge and become institutionalised automatically as a result of functional or environmental factors, but instead involves “struggle, conflict,

negotiation and the exercise of power” (Campbell, 2006: 935). The institutional environment in which an organisation operates is not static and there are dynamic ebbs and flows that should be contended with. Institutional issues such as stakeholder activism, political decision making and power play are capable of altering perceptions and assumptions of managers, which in turn can change institutions and ultimately the propensity for organisations to behave in socially responsible ways (Campbell, 2006). The relationship between economic conditions and corporate behaviour is mediated by a range of institutional conditions including; public and private regulation, the presence of organisations that monitor corporate behaviour (e.g. NGOs), institutionalised norms around what is considered appropriate corporate behaviour, associative behaviour among corporations and, dialogues that exist between organisations and their stakeholders (Campbell, 2007).

In other work that takes an IT perspective on CR issues, Marquis, Glynn and Davis (2007) focus on institutional pressures that exist at the community level and how these shape corporate social action, which they define as behaviours and practices that extend beyond profit maximisation and are intended to increase social benefits or mitigate social problems for communities in the areas where the organisation is headquartered. Drawing on Scott’s (2001) three pillars to explain how geographic communities influence the social action of organisations, they present a model that analyses social action in terms of its focus (i.e. the target of the efforts such as arts and culture, education or health and human welfare), its form (i.e. cash donations, volunteerism or noncommercial sponsorship) and the level or amount of corporate social action undertaken (i.e. funds donated, hours of volunteering). They argue that normative institutional pressures exist across different communities and that community level social factors have an influence on the behaviour of organisations with respect to social responses at the local level.

Matten and Moon (2008) take a neo-institutional approach to CR to examine why there are differences in CR behaviour between US and European contexts. They frame these institutional influences as “explicit” and “implicit” forms of corporate social responsibility (Matten & Moon, 2008). Explicit CR refers to the voluntary programmes and strategic responses undertaken by organisations that combine social and business values and that address issues that are perceived as being part of the social responsibility of the organisation (Matten & Moon, 2008: 409). Implicit CR, on the other hand, refers to an organisation’s role within the wider formal and informal institutions that exist for the concern and interest of society. Implicit CR is embedded in the business-society-government relations within a political system and is represented by “values, norms and rules that result in (mandatory and customary) requirements for corporations to address stakeholder issues” (Matten & Moon, 2008: 409).

Although CR strategies and programmes implemented in an organisation may appear to be the same, Matten and Moon’s (2008) implicit and explicit CR framework explain such activities as different through both language and intent. Firstly, organisations use specific language when they address their relationship with society. Organisations that practice explicit CR use the language of CR in communicating

their policies and practices to their stakeholders (e.g. through CR annual reports), whereas those practicing implicit CR normally do not describe their activities this way. Similarly, with organisation's levels of intent, those that practise explicit CR see it as the result of a deliberate, voluntary, and often strategic decision whereas an implicit CR perspective see it as a reaction to, or reflection of, the institutional environment (Matten & Moon, 2008: 410).

Matten and Moon (2008) thus argue that there has been a rapid global shift from implicit to explicit CR as a result of the emergence of 'new institutionalism' where organisational practices change and become institutionalised because they are considered legitimate. Waddock (2008), for example, suggests there is an emerging institutional infrastructure around CR that has resulted in the creating of initiatives such as the Global Reporting Initiative (GRI) and other social movements that have placed an increasing focus on CR, sustainability, accountability and transparency. She uses broad categories of institutions, such as state/government, market/economic and civil society to develop a framework of the new institutional infrastructure that is driving organisations to be more socially responsible.

Overall it is clear that IT is relevant to the discussion of CR for a number of reasons. Individual value systems can play part in guiding an organisation's commitment to CR which in turn can affect perceptions of the firm's acceptability and legitimacy (Bansal, 2005; Bansal and Roth, 2000). In addition, actors with differences of opinion on CR will dialogue and debate to establish norms and common beliefs (Bansal, 2005; Hoffman, 1999). As has been argued earlier, CR is becoming institutionalised through regulations, agreements and national and international codes of conduct and of course global standards such as the Global Reporting Initiative (GRI) and Social Responsibility Index are becoming institutional forces themselves (Waddock, 2008). As matters such as occupational health and safety, climate change, human resource management, pollution and waste management continue to become institutionalised through law, workers unions, and national and international frameworks it becomes increasingly important for organisations to incorporate programmes that take such issues into account (Bansal, 2005).

The importance of IT in the current research

Universities in Australia have recently faced large scale change that has "threatened core aspects of academic culture, values and identity: autonomy collegiality and their status as professional experts" (de Zilwa, 2007: 560). The sector, it has been argued, has been characterised by "dynamism" rather than "stasis" which stems from the pushing and pulling of different stakeholder groups and their expectations (de Zilwa, 2007). To date, little research has specifically studied the impact of the university sector's institutional environment on the development of CR practices. Investigation of this issue would provide insight into the external pressures being faced by these institutions and how they react and adapt to such pressures.

In this thesis IT is thus viewed as complementing organisational change theory in relation to examining the social dimension of CR. IT is not normally considered a theory or model of change (Greenwood & Hinings, 1996) but it can be applied in a change setting and provide a starting point against which the contextual dynamics that underpin organisational adaptation can be measured. This thesis argues that implementation of the social dimension of CR in the university sector needs to be more systematically undertaken using a planned approach. Elements of institutional theory complement organisational change theory to help explain the organisational issues that appear to be influential in the implementation of the social dimension of CR in a university setting.

Institutional theory also provides a framework around which relationships between an organisation and its stakeholders can be understood. Oliver (1990), for example, argues that an organisation is likely to conform to various institutional pressures when that organisation is dependent in some ways on the source of such pressures. This argument is valuable to the current research given that the university sector is dependent on a range of external sources, such as the regulative institutional pressures being imposed by government (e.g. laws and regulations) or of the institutional pressures from sources such as international student populations, which provide a significant proportion of funding. To obtain government funds or achieve success in attracting international student populations, universities should consider showing they are meeting institutional demands being placed on them by such actors. What these exact pressures are and how (or whether) they relate to the social dimension of CR is an area that is yet to be explored.

Conceptual links between theories in this thesis

This research examines the implementation of the social dimension of CR in universities using a case study approach and bases this examination within the context of a combination of complementary organisational theories including stakeholder theory, organisation development and change, resistance to change theory, institutional theory and resource based view. The purpose is not to pull the theories together but instead to draw upon different aspects of each of them to explain the findings in the research. The previous review chapters have brought together the literatures on the university sector, the social dimension of CR and the theories that are being used in this thesis. A number of conceptual links exist between these literatures, and these have been summarised in Figure 3. One element that each of these literatures have in common is they are traditionally seen as positivist theories that are united by normative underpinnings and a focus on the human element. A common area in each of the theories, for example, is a focus on organisational culture, values and norms, and the impact that these influences can have on change processes. Within universities it has been argued that there are a range of opinions regarding the role of universities in contemporary society, with a strong theme emerging about the moral responsibility of the sector, as well as differences that exist between expectations of stakeholders and this idea ties in with the normative issues in the

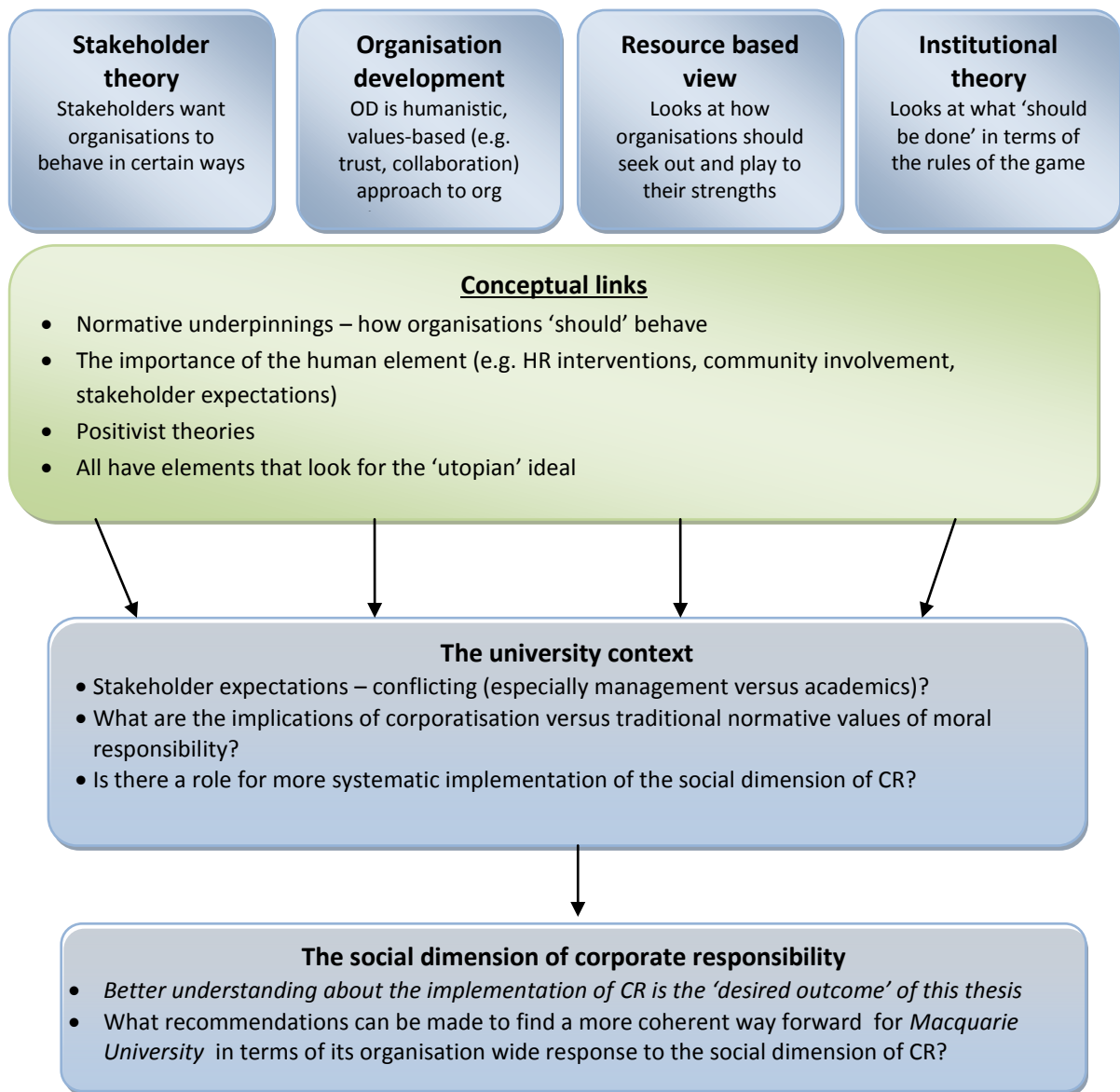
theories. An additional link that exists at the intersection of institutional theory, resource based view and stakeholder theory is the focus in these theories on the concept of value creation. A number of previous studies have combined these theoretical perspectives (c.f. Bansal, 2005; Hilman & Keim, 2001; Oliver, 1997) but the question that arises in this research is whether competitive advantage and value creation might be reconceptualised in the university context.

Social concerns appear to be important to the sector so the question arises of whether a focus on these brings an element of non-financial value creation – i.e. a competitive advantage of some sort. Such exploration may present an opportunity in terms of extending the link between RBV, IT and stakeholder to a non-financial focused sector in the quest for understanding strategic behaviour in such an environment (Branco & Rodrigues, 2006).

It should be mentioned that other theories could have been chosen in this thesis in order to research the issues and questions from different perspectives. One such theory, for example, may have been that of organisational power and politics (Bolman & Deal, 2008; Clegg, 1989; Clegg, Kornberger & Pitsis, 2011), particularly given the focus in the research on the views of the particular stakeholder groups chosen; management and academics. But this theory was not chosen because instead of the focus of the thesis being on the notion of strategic choice, politics and power struggles, the focus was on positivist theories that view power in a different way. In particular a greater emphasis was placed on the social dimension of CR as an issue that is determined by the situation and context within which it is embedded and as an issue that has the potential to serve the interests of the whole organisation.

In addition to links between theories, gaps have also been identified in each of these literatures which, when combined, give rise to the research questions being addressed in this thesis. In particular, the intersection between the literatures on the social dimension for CR, the university sector and organisational change are underexplored. The argument put forward in this thesis is that the social dimension of CR has a powerful role to play in universities, given the relationship that this sector has within society as a moral leader and standard setter in this regard. As discussed in Chapter 2, universities are morphing and changing as a result of factors in the external environment including globalisation, casualisation of the workforce and managerialism and as such there are now competing values and stakeholder expectations that are at play. CR is an issue that has started to be explored in relation to universities and there is a nascent literature examining largely environmental elements of CR: however research that brings together the combination of theories being used in this research is nascent. An additional identified gap in the literature is around organisation development and change and its application to the implementation of the social dimension of CR programmes in universities. This gap has been recognised by others who have suggested that future research about universities and social responsibility is needed (e.g. Brennan, 2008).

Figure 3: Conceptual links between theories of the thesis



(Developed for this research)

These preceding literature review chapters have contextualised the research problem being addressed in this thesis, which is looking at why the social dimension of CR appears to be important for the university sector and the issues that appear influence the planning and implementation of this element of CR.

To address this problem a number of research questions have been identified, as described more fully in Chapter 1. These questions are as follows:

Research Question 1: How is the social dimension of CR conceptualised in the academic and practitioner based literature

- Research question 2: How is the social dimension of CR interpreted, operationalised and strategised in the case university?*
- Research question 3: What is driving change toward the social dimension of CR in the university context?*
- Research question 4: What are the barriers to change in the implementation of the social dimension of CR in the university context?*

The methodology used for the empirical investigation of these questions is the subject of the next chapter.

Chapter 4:

Methodology and research design

This research explores the understudied social dimension of corporate responsibility (CR) and in particular examines the interpretation and operationalisation of this element of CR within universities. The purpose of this chapter is to outline the philosophical framework that has shaped the research and the methodological approach that is taken for exploring the research problems under consideration.

Philosophical assumptions and research paradigms

A method of inquiry is always underpinned by a set of assumptions around the nature of knowledge, the topic in question and the way this topic might be studied (Guba & Lincoln, 1994; 2005; Morgan & Smircich, 1980). This set of assumptions defines the basic belief system or world view that guides the researcher and thus defines the research paradigm (Denzin & Lincoln, 1994; Guba & Lincoln, 1994; 2005). A statement of the philosophical approach to study helps to outline the ontological and epistemological assumptions as well as defend the chosen method of inquiry (Guba & Lincoln, 1994).

Social constructivism

The ontological view taken in this research is that reality is socially constructed and is built up over time through interactions with others, institutions and symbols (Burr, 2003; Morgan & Smircich, 1980). Reality thus does not exist per se, but is co-constructed via experiences that are intangible, socially based and local and specific in nature (Guba & Lincoln, 1994; 2005). Taking a social constructivist perspective on organisational studies, Morgan (2006), for example, states that organisations are “...socially constructed realities that are as much in the minds of their members as they are in concrete structures, rules, and relations” (Morgan, 2006: 137).

In an epistemology based in social construction the research process is subjective and the researcher and participants are assumed to be interactively linked to the point where findings are created as the research process proceeds (Burr, 2003; Guba & Lincoln, 1994; 2005). The researcher and respondents bring their own interpretations and outlooks into a situation and consensus is reached through findings and realities that are co-created (Denzin & Lincoln, 2000). Such an epistemology is adopted in this thesis.

The research is also enhanced through the process of reflexivity. Taking a reflexive approach has been argued by many authors to be a key part of qualitative research (e.g. Alvesson, 2003; Alvesson & Sklödberg, 2000; Bourdieu & Wacquant, 1992; Johnson & Duberley, 2003; Koch & Harrington, 1998; Woolgar, 1988). The thesis was influenced by reflexivity in that data collection, interviews and writing up of the thesis were an iterative process that allowed for self-reflection and critique on the part of the researcher. Rather than ruthlessly following a theoretical position the research process was left to evolve naturally. The view taken is one that is in agreement with Stablein (2006) who argues that research and data collection is not concrete but instead is an interactive experience that evolves and changes throughout the research period and is influenced by the interpretations and reflection of the researcher.

Qualitative methodology

In this study a view is taken that corporate responsibility is socially constructed and thus impacted by a range of social, economic, institutional and political pressures. Taking this view implies that in order to gain a full appreciation of the range of pressures and social implications a methodological strategy should be chosen that considers the context and complexity of everyday life (Denzin & Lincoln, 2000; Morgan & Smicich, 1980). Qualitative methods have the ability to provide this level of understanding and also are appropriate for studying dynamic processes within the context of the organisational environment (Gephart, 2004).

There are a number of reasons why a qualitative approach is appropriate in this research. Firstly, qualitative methods are more sensitive to complex environments than quantitative methods (Bryman, 1984) and offer a more holistic perspective (Marshall & Rossman, 2011; Patton, 1987) which is influential given the complexity of both the issue of study, CR, as well as the context of study, the university sector. Secondly, such methods allow for the study of these complex phenomena in real time and with real examples (Silverman, 1989), drawing on the “humanity” of participants in the study (Marshall & Rossman, 2011: 2). The flexibility of qualitative methods also allow for the discovery of “unanticipated” findings (Bryman, 1984: 78), which allows the research process to remain iterative. And finally, a qualitative approach involves a closer relationship between the researcher and the area of study, which presents opportunities to engage and reflect on the research as it unfolds (Bryman, 1984; Marshall & Rossman, 2011).

In terms of implementing qualitative research a number of strategies can be chosen including: in-depth interviews, focus groups, case studies, questionnaires, storytelling and narrative inquiry (Marshall & Rossman, 2011). In this research two main approaches have been taken: a qualitative meta-analysis of the literature on CR; and a case study. The reasons for choosing these methods will be discussed next.

Stages of inquiry

This research was undertaken in three stages of inquiry. The first involved a substantial qualitative meta-analysis where the research on CR, and its related concepts, was reviewed and synthesised in order to develop a fine grained understanding of how the social dimension of CR is defined and conceptualised in the extant literature. A second area of inquiry involved a case study, supported by a number of themed studies, undertaken in a university in Australia. And the final stage of inquiry brought together the data collated during the research to make recommendations around the implementation of the social dimension of CR in universities. Each of these stages of inquiry will be described in detail below.

First stage of inquiry: a qualitative meta-analysis

Part A

The first stage of inquiry involved the development of the normative organising framework discussed in detail in Chapter 5. This framework was an outcome that arose from a substantial qualitative meta-analysis, the methodology of which is described throughout this chapter. This stage of inquiry was undertaken throughout 2009 and into early 2010. During this period of study the focus was on developing an overarching understanding of how the social dimension of CR was interpreted and defined in the extant literature on CR (and its related concepts).

Part B

Alongside the meta-analysis, a year or so (2009) was spent developing an initial understanding of the issues facing the case organisation, Macquarie University, around the social dimension of CR. This process began with a major documentation analysis of past annual reports, sustainability reports, policies, procedures and other university documents of relevance. The outcomes of this paper based investigation informed the interview questions used for the first round of interviews which were undertaken in September/October 2009 (see interview protocol in Appendix A). The researcher also observed a number of meetings and workshops during this period. At this point in the study the nomenclature being used to describe the phenomenon under consideration was 'social sustainability'. This term was replaced with the idea of the 'social dimension of CR' later in the study after it was discovered that 'social sustainability' was not a concept that was easily being understood by participants (a finding in itself).

The purpose of this part of the investigation was to develop an initial understanding of how the social dimension of CR was being operationalised at MQ, where the implementation challenges and successes were lying, and what the cause of these appeared to be. In the interviews during this stage of inquiry, questions were focused

around programmes and initiatives that had been read about in supporting documentation such as university policies, websites or other secondary sources.

The outcomes of the first stage of inquiry were two fold. Firstly it involved the development of the organising framework around the social dimension of CR, which was an outcome derived from the qualitative meta-analysis. The second outcome was the collation of a range of data on social responsibility at the organisational level. This cumulative data led to the second stage of inquiry, which explored the different elements of the social dimension of CR in more detail.

One of the conclusions drawn from these findings is that the social dimension of CR is influenced by the sector and organisational context under which it is studied and hence needs to be examined in different settings. This led to the second area of inquiry that further explored each of the seven categories developed in the organising framework in terms of how these are operationalised in one such organisational context, the university.

Second stage of inquiry: themed studies on each of the identified elements of the social dimension of CR

The second stage of inquiry led to the development of seven themed studies on each of the social dimension categories that were defined in the framework in Chapter 5. There were three reasons for undertaking these issue level themed studies: firstly they provided an opportunity to document a range of examples of how each of the elements of the social dimension of CR were being interpreted and operationalised in the case university; secondly, they provided a chance to bring in more of the secondary data from the study as a form of triangulation, thus adding to validity, and thirdly, the studies were used to show how the framework developed in Chapter 5 played out in the case university – i.e. were the concepts identified in the organising framework also seen in practice in this sector? What areas of the framework should universities be concentrating on? What issues fell into the ‘other’ category of social issues for this sector? These were some of the questions that were considered.

Data used to inform the themed studies was largely taken from a second round of interviews which were undertaken in July/August 2010: however, the themed studies were also informed by data from some of the first round interviews. The themed studies also relied heavily on secondary data, particularly about programmes and initiatives that were being undertaken in the case organisation. These documents were used to support and triangulate interview data and to find out more about initiatives and programmes that were discussed by participants. Once again, meetings and workshops were observed and the data from these (including notes and verbatim transcripts where available) were also fed into the data pool.

The completed themed studies are presented as part of the findings in Chapter 6 with themes and concepts that emerged between the different elements of the social

dimension of CR also being used to inform the thesis outcomes. These studies provide practical examples of how the elements of the social dimension of CR are being operationalised at MQ.

Third stage of inquiry: developing the recommendations

The final stage of inquiry brought together the learning that had taken place in the earlier phases of inquiry in order to more fully inform the investigation of the overarching research aim, which was to identify issues that could influence the planning and implementation of the social dimension of CR in universities. This area is largely presented in the final chapter of the thesis where a number of theoretical and practice based recommendations are made around how the social dimension of CR might implemented in a more systematic and ‘plan driven’ way in universities.

Method

Qualitative meta-analysis

A qualitative meta-analysis is a methodology that is used to synthesise the outcomes of a range of studies related to the same topic or research question (Hunter, Schmidt, & Jackson, 1982; Timulak, 2009). It is sometimes referred to as a qualitative meta-synthesis (e.g. Thorne *et al.*, 2004; Walsh & Downe, 2005) and indeed there is some debate in the literature regarding which term is more appropriate (e.g. Finfgeld, 2003). However, in this research the term qualitative meta-analysis has been chosen as a way of describing an interpretive approach to the synthesis of a large body of literature (Walsh & Downe, 2005). Meta-analyses are a commonly used technique in quantitative research, but have more recently become a method used in qualitative research as well (e.g. Fifka, 2011; Park & Gretzel, 2007; Rohr & McCoy, 2010; Thorne *et al.*, 2004; Timulak, 2009; Walsh & Downe, 2005). In contrast to quantitative meta-analyses where the focus tends to be on examination of effective practices across contexts and a type of ‘aggregation to achieve unity’ (Thorne *et al.*, 2004: 1346), the goal of qualitative and interpretive syntheses is to inform readers about the actual contexts themselves (Noblit & Hare, 1988) through a process that has the capability to retain complexities inherent in qualitative research (Thorne *et al.*, 2004).

As with any other research activity, a meta-analysis is framed by a particular question or purpose that grounds the study (Walsh & Downe, 2005; Park & Gretzel, 2007). The purpose here was to provide an overview of existing publications in relation to CR in order to determine how these publications interpreted and defined the social dimension of CR. In particular the objective was to respond to the first research question of the thesis:

Research Question 1: How is the social dimension of CR conceptualised in the academic and practitioner based literature?

A qualitative meta-analysis has been argued to be a ‘study unto itself’ (Thorne *et al.*, 2004: 1346) and because of this the approach used in this research was carefully planned and systematically followed certain methodological ‘rules’ (Thorne *et al.*, 2004). The process that was followed during this analysis is outlined throughout this methods chapter and is further elaborated on in Chapter 5.

Themed studies

In the second stage of inquiry an approach was utilised with the goal of making an in-depth analysis (Denzin & Lincoln, 1994; Yin, 1994) of how the social elements of CR are interpreted and applied in universities and how the implementation of this dimension of CR might be undertaken in a more systematic way. These themed studies were based on the idea of a short case study, although they did not strictly adhere to the expected format of a case study, hence they have been called ‘themed studies’ instead. It is common in the social constructivist paradigm to use case studies as a method as it allows for deep understandings of the social world to occur through talking and listening between researcher and participants.

In this research a case study approach was chosen due to the complexity of the phenomenon under study (Gillham, 2000; Yin, 1994). A case study is “an empirical inquiry that investigates a contemporary phenomenon within its real life context; when the boundaries between the phenomenon and context are not clearly evident” and when there are multiple sources of evidence (Yin, 1994: 13). Case studies are an appropriate choice of methodology in situations where dynamic and complex situations need to be captured (Eisenhardt, 1989) or where context needs to be retained (Naumes & Naumes, 1999). In the literature review chapters it was demonstrated that the social dimension of CR is not yet fully understood at an operational level for organisations and a normative organising framework about the social dimension was developed that guides the empirical research. The themed studies developed for this research have been undertaken with an aim of augmenting this framework through the provision of an in-depth understanding of how the social dimension of CR is currently operationalised and interpreted in the case organisation. The process was iterative (Eisenhardt, 1989) and provided a flexible way of exploring the broad research questions through the gathering of a variety of data sources (Eisenhardt & Graebner, 2007; Sigglekow, 2007; Yin, 1994). The research took an iterative approach to data collection where the framework development, first round of interviews and theoretical linking of stakeholder theory, resource based view, institutional theory and organisation development theory impacted on interview questions in later parts of the research, as well the writing up phase. This is an accepted approach in qualitative research (Gephart, 2004) and this kind of inductive approach has been used in other studies (e.g. Isabella, 1990).

Case study design

Case studies can be designed as either single case or multi-case design (Eisenhardt, 1989; Yin, 1994). Although multiple site case studies present potential for a greater level of generalisability, a single site case study is considered appropriate in situations where the case is critical or unique (Yin, 1994). This study adopts a single case study design with a university chosen as the investigation site. Although only one case study will be used, evidence can be found that supports the persuasive power of single case research (e.g. Sigglekow 2007). It is nevertheless recognised that generalisability is difficult to justify with a single case study approach (Flyvbjerg, 2006; Yin, 1994) so to overcome this potential issue, an embedded case study approach will be adopted, informed by other sources of data and evidence. Embedded case studies involve using more than one unit, or object of analysis and provide an opportunity for extended exploration and different insights into a case site (Scholz & Tietje, 2002). In this research a single site has been chosen, supported by a number of embedded subunits of analysis. A range of methods were also utilised to test the “goodness” of the research (Peshkin, 1993) and these will be discussed later in the chapter.

Why the university sector?

Corporate responsibility and its related concepts are increasingly important for all organisations and are concepts that are gaining momentum as stakeholders understand and demand more from organisations in terms of their social, community and ethical contributions. Against this line of thinking, it seems unnecessary to particularly justify why the university context has been chosen over others as it could be asked whether one sector is inherently in need of becoming better at CR over others. Despite this, there are a few specific reasons for why the university context was chosen for this study. In particular universities have an implicit history in the area of social responsibility, particularly recognised in terms of the moral responsibility role they have traditionally held in society. However, because there has been a period of change in the sector with regard to its purpose, values and culture, this also makes it an interesting sector in which to explore the social dimension of CR.

From a methodological standpoint three other specific reasons for choosing the university context as the focus of this research are relevant. Firstly the sector was chosen as a response to recent calls for CR research to examine organisations with different ownership structures (Lee, 2008). Secondly, it was chosen because extant CR research on this sector reflects a lack of emphasis on the social dimension. Although “education for sustainability” (e.g. Benn & Dunphy, 2009; Porter & Cordoba, 2009; Steketee, 2009; Van Dam-Mieras *et al.*, 2008) does represent one way that universities are showing commitment to the social dimension of CR through educating students about a critical current social concerns, it is argued that there does not appear to be a systematic or ‘plan driven’ approach to implementation of the social dimension of CR. In addition, “campus greening” (e.g. Bala, Munoz, Rieradevall & Ysern, 2008; Clugston & Calder, 1999; Downey, 2004) has been shown to have a

particular focus on the environmental dimension of CR. As was argued earlier, this thesis recognises that universities address social concerns as part of the work they do (e.g. social inclusion, equity, gender and indigenous issues and ‘education for sustainability’), but it is argued further that the work that is done currently would seem to be driven by institutional forces such as government funding or changes in policy. This has resulted in what could be suggested as ad hoc implementation of the social dimension of CR rather than a systematic, plan driven approach. The third reason the sector was chosen as the focus for this research was because of the moral responsibility role that it plays in society, with an argument being put forward that reimagining this moral responsibility role as the social dimension of CR may help to bring a more strategic focus to this issue. This in turn may help to realign conflicts that appear to currently exist between stakeholder groups in the sector, particularly explored in this thesis through the voices of university management and academics.

Data

Qualitative meta-analysis

A starting point for the qualitative meta-analysis was to define how the literature included in the analysis would be chosen. Articles were found using two main search processes. The first was to begin by identifying articles from the reference lists of recent, notable and commonly cited reviews of CR including: Banerjee (2008), Carroll and Shabana (2010), Dahlsrud (2008), Lee (2008), Lockett, Moon and Visser (2006) and Montiel (2008). From this point a snowball sampling technique was used where new papers were sourced from the reference lists of the other papers already reviewed. After this process had been exhausted and all commonly cited papers appeared to have been included, a second approach was taken by searching in ‘Google Scholar’. Search terms included different combinations of *corporate responsibility*, *corporate social responsibility*, *corporate citizenship* and *sustainability* (the main terms used to represent CR issues) along with *defin** (which was a specific way of searching so that all papers that had ‘define’ or ‘definition’ in them were found) and *review* (to capture other literature review papers that might include definitions). Several additional papers were sourced using this technique. Papers published until mid 2010, that is until the meta-analysis and framework development process was completed, were included.

In total 301 articles, books and practitioner based reviews were found. Because the question that underpinned the meta-analysis was open and leading (i.e. *Research Question 1* of this thesis), and one that appeared to not have been explored previously in the literature, the scope of the analysis was broad and erred on being inclusive of as many papers and book as possible, rather than taking a precise and narrow approach (Walsh & Downe, 2005). Only publications in English were considered and it should also be noted that the review does not claim to encompass the exhaustive literature that has been published on CR as this would be impossible to collate and summarise.

The resulting collection of papers and books also inevitably included a range of different methodological approaches. Although in more traditional quantitative meta-analyses this is often considered not to be good practice, in a qualitative paradigm where knowledge is constructed it is considered legitimate to include a variety of approaches (Walsh & Downe, 2005).

The themed studies

The empirical research was undertaken at a large research based university in Sydney, Australia - Macquarie University (MQ). MQ was established in 1964 and in 2010 ranked 9th in Australia in the Shanghai Jiao Tong rankings of world universities (262nd in the world). MQ is not one of the 'group of eight' universities in Australia, which are a group made up largely of the oldest universities in Australia that market themselves as 'Australia's leading universities' (www.go8.edu.au): however, MQ is nevertheless considered one of the more well respected universities in Australia and prides itself on high levels of academic achievement and quality research outputs (www.mq.edu.au).

MQ offers courses across its four faculties of arts, business and economics, human sciences and science. In 2010 the university enrolled 31,286 students. Around one third of these enrolments were full fee paying international students, which is a relatively high proportion compared to other Australian universities (Bradley *et al.*, 2008 and statistics available at www.deewr.gov.au). In this same year there were 2118 members of staff, 960 academic and 1158 professional. The university has a strategic goal of becoming one of Australia's leading research universities by 2014, its 50th anniversary, particularly through achieving a top 200 world ranking. Central to this goal, which has been marketed as '*Macquarie@50*', is the implementation of 'concentrations of research excellence', which are research areas within the university that have focused on hiring top international researchers. As part of the '*Macquarie@50*' vision, the university has also invested heavily in learning and teaching, new buildings, new teaching facilities and in developing relationships with industry.

MQ was chosen as the research site for two key reasons. The first relates to MQ being a rich source of data due to there being significant change currently underway and the second reason relates to access. These will be discussed next.

Macquarie University

The first reason why MQ was chosen as the case study for this research was because the organisation is currently in a state of major change towards sustainability (the terms MQ uses to represent CR issues – see discussion in Chapter 2 about interchangeable nature of terminology around CR) at both its core business (learning and teaching) as well as operational levels, with examples being found of both planned, top-down managerialist programmes of change as well as examples of

emergent programmes being implemented at individual and faculty levels within the organisation. The university has a very active professional sustainability department (i.e. run by professional not academic staff). There are also academic units within the university that are devoted to the study of sustainability and CR (e.g. the Australian Research Institute for Environment and Sustainability – ARIES, Climate Futures and the Centre for Research on Social Inclusion), although these have little to do with the implementation of specific programmes of change within MQ itself and instead are focused on research and policy change across all sectors of society.

In 2008 sustainability was identified as a core strategic direction for Macquarie and through the organisation's professional sustainability office (Sustainability@MQ), there has been a formalisation of the change processes required to achieve this direction. Such change has been occurring across the entire campus, including; considering how to reduce waste and emissions, the embedding of sustainability principles within curricula and governance (policies and procedures), increasing engagement of staff and students within the local community and the enhancement and protection of biodiversity. Because of the strategic focus that has been given to environmental sustainability at MQ it currently has a strong reputation as one of the leading universities in Australia in this area. For example, in 2010 it won the Public Sector Sustainability Award at the 2010 Green Globes for its commitment to sustainability initiatives (Cambourne, 2010). These ongoing changes towards CR coincide with a large number of other planned programmes of change in the organisation and together, the changes provide a rich tapestry of data around the issues that arise during the implementation of CR in the sector.

The second reason why MQ was chosen as the case site was due to ready access to research data that was provided. In particular, the researcher was a student at MQ and had access to staff and information that may not otherwise be possible. Prior to commencement the researcher did not know about the changes occurring around CR in the organisation and did not know any of the participants. As a result it is believed that no conflict of interest existed. The researcher remained conscious of any potential for bias that might arise from being a student of the organisation under study during the course of data collection, analysis and reporting and techniques were put in place to actively manage this (as discussed below).

Support and approval for the project was sought from the Deputy Vice-Chancellor (Provost) at MQ (verbally granted in July 2009). Ethics approval was granted by the university's Human Ethics Committee in August 2009.

Multiple sources of data

Data collection took place between mid 2009 to late 2010. A qualitative, case based approach was undertaken in this research using both primary and secondary data (Yin, 1994). In addition, multiple sources of data were collected in order to triangulate evidence (a technique commonly used to improve validity, Yin, 1994). The primary

evidence was gathered through in-depth interviews undertaken in two rounds – the first in September/October 2009 and the second in July/August 2010. Observation of a small number of meetings and workshops was also undertaken at opportunistic times throughout the research period which formed another primary data source. Secondary evidence was gathered from publicly available reports, speeches and written documents from or about the university. A full list of all primary and secondary evidence is available Appendix B and a description of each data collection method is described below.

Semi-structured interviews

Semi-structured interviews are an accepted method in qualitative research and allow for the development of a set of consistent questions across participants combined with the opportunity for flexibility or elaboration as required (Hammersley & Atkinson, 1995; Yin, 1994). The specific purpose of these interviews was twofold. Firstly, to understand how CR is interpreted and operationalised at MQ and secondly to uncover specific issues about the management and implementation of change towards CR at the university. This was done through gaining an understanding about participants' perceptions, observations, concerns, reactions and thoughts in relation to specific projects and programmes of change towards CR at the university. To do this, a set of open-ended questions was developed that guided the interviews but also allowed a degree of flexibility to explore matters of interest that arose. The interview protocol can be found in Appendix A.

The majority of the data was gathered from interviews with staff (and a small number of students) from Macquarie University. In total 55 interviews were undertaken with 53 participants (two participants were interviewed twice). This was done in two phases, 33 interviews in phase one (September/October 2009) and 22 in phase two (July/August 2010). Each interview was about one hour duration, with the average being 49 minutes. Interviewees included members of the Council, the Vice-Chancellor, the Deputy Vice-Chancellor and Provost, a number of other Deputy Vice-Chancellors and Pro Vice-Chancellors, all but one of the Deans of the university, a range of employees holding positions as Directors and Heads of Department across the university, a number of the general (administrative) staff and a few students.

It should be pointed out that the voices that are strongest in this research are those of the leadership of MQ as well as the academics. It was nevertheless considered valuable to include some evidence from lower level general staff, in order to hear how issues were portrayed by other members of the MQ community. A complete interview schedule and list of participants is available in Appendix C.

In order to ensure confidentiality participants were categorised according to a number of levels of position (from Executive Management to Student) and a summary of this information is provided below in Table 4. It should be noted that where quotes are presented throughout this thesis instead of the real names of participants pseudonyms have been used in place in order to maintain confidentiality of interviewees. Interviews were undertaken face to face and were audio recorded. Audio

recordings were used primarily for accuracy of data transcription and analysis but also allowed the opportunity to use direct quotes in research publications (as suggested by Saunders, Lewis & Thornhill, 2003).

Table 4: Summary of participant information by position

Position category	Description of Category	# of interviews
Senior Management and Directors	Councillors, Vice Chancellor, Deputy Vice Chancellors, Pro-Vice Chancellors, Directors of operational units	15
Academic Management	Deans, Heads of Department, Heads of School	10
Academic	Professors, A/Professors, Senior Lecturers, Lecturers	13
General (Support) Staff	School administrative officers and senior operational staff	13
Students	Students of the university	3
External to university	Consultants and others external to university	1
TOTAL		55

Although informants were initially chosen based on their job function being involved (at some level) in the university's CR agenda, a snowballing technique was used to identify a wider range of participants (Babbie, 2004). Participants were initially approached by email, with a request for interview and an information sheet explaining the purpose of the study (see Appendix D), research procedure and other details. Participants either agreed or declined based on this email. Of the 61 emails sent out, 53 people agreed to participate, one formally declined as she was concerned about a conflict of interests and seven people did not respond to the email (despite one reminder being sent). The high response rate is believed to be for three reasons: firstly because the research was endorsed and approved by the Provost, secondly as there appeared to be a genuine interest across the campus in the area of research, and thirdly as good will towards the PhD student doing the research. Participation was voluntary and people were advised they could withdraw from the study at any time. At the time of interview participants signed a consent form stating their willingness to participate and their understanding of the purpose of the study and the use of results (see Appendix D for the information sheet sent as part of the initial introductory email as well as the consent form they were required to sign). Participants were also advised that all information would remain anonymous in any publication, which was important as some interviewees felt uncomfortable at potentially being able to be identified by comments made in the interview.

Observations and meeting notes

At opportunistic times throughout the study period the researcher attended meetings, information sessions and workshops considered relevant. A full list of these observation sessions and what they were about can be found in Appendix E. At such

observations, in order to satisfy ethical concerns (and where relevant), participants were made aware that the researcher was observing the event. Field notes were taken at all observations and included details about what happened at the event, who was present and notes about what was said. During such note taking the researcher was cognisant to not confuse observation and interpretation by recording exactly what was seen and heard and not deviating from it (Brewer, 2000; Hammersley & Atkinson, 1995). However, a different set of notes and observations were kept that recorded the thoughts and feelings of the researcher throughout the research process in a document similar to a research reflection diary.

Document review

To support and triangulate the interview and observation data, analysis of relevant written policies and procedures was also undertaken as a source of secondary evidence. Such documents included annual reports, policies, procedures, newspaper articles, reports, speech transcripts and other relevant documents. A full list of these documents can be found in Appendix B. The analysis of these documents continued throughout the research period, starting in early 2009 and finishing in late 2010. The documents reviewed were helpful as they initially provided background and institutional context around issues regarding social responsibility in the case organisation. As the research continued the documents were used to support or refute evidence that was being uncovered during interviews and other observations. As with the interviews and observations, the purpose of collecting the data from the document review was to corroborate findings or find areas of contradiction.

Data analysis

Qualitative meta-analysis

The final phase of the meta-analysis was to synthesise the findings to elucidate a more refined conception of the social dimension of CR by identifying core themes or definitions that arose (Walsh & Downe, 2005). A number of steps were taken to do this. The first step was to identify any exact definitions that were found of the social dimension of CR in particular. As only a very limited number of these exact definitions were able to be found of the social dimension of CR (which in itself further reinforced the need for this review) a second step was to extract conceptualisations of the social dimension. This was a subjective approach where the ways that the social dimension was discussed by authors was interpreted and if an acceptable definition of the social dimension of CR appeared to emerge then this was also included.

Next a more detailed process of synthesis was undertaken where the definitions were recategorised and shaped into an organising framework. The detailed process that was undertaken during these steps is described in detail in Chapter 5.

Interviews and other data collected

In qualitative research, data analysis is not a distinct stage of the research but instead begins at the pre-fieldwork stage and continues to the writing up period (Yin, 1994). Data analysis has therefore been part of the larger process of inquiry in this study (Jorgensen, 1989). Gephart (2004) argues that much qualitative research falters in the way that concepts are analysed and drawn together. As such, specific steps have been undertaken to ensure careful data coding and analysis. The approach taken to data analysis broadly followed the steps recommended by Marshall and Rossman (2011), although each phase was repeated many times throughout the courses of the research due to the iterative nature of the analysis. For example, as data was collected it was coded according to categories that emerged; however, as expected the list of categories underwent considerable change over the course of the research period (Hammersley & Atkinson, 1995). Organising and reorganising data was an ongoing part of the process. The specific phases of this process that were adopted will be briefly described below.

Organising and coding the data

The first step in organising data was to arrange for interviews to be transcribed verbatim, a task undertaken by an external transcription service. Once transcripts were emailed back to the researcher from the transcribing service they were checked twice by the researcher against the original recording of the interview and any corrections or amendments were made.

One of the challenges with qualitative research is that large amounts of data can accumulate very quickly and become difficult to accurately code and manage (Yin, 1994). With the 55 interview transcripts, observation notes and large number of written documents accumulated in this research, the volume quickly became impossible to manage manually. As a result, *NVivo 8* (QSR International), a computer-supported qualitative analysis software was used. Gephart (2004: 459) states that this is a helpful way to ‘systematically, comprehensively, and exhaustively analyze [*sic*] a corpus of data’. As data was collected or transcribed it was uploaded into *NVivo 8* ready for analysis.

Content analysis was used in this research as a way of analysing text, images, expressions and so on, within the contexts of their usage. This is a common analytic tool used within social science research (Krippendorff, 2004). *NVivo 8* allows coding to be undertaken in what is known as either ‘free nodes’ (independent concepts without hierarchy or relationships) or ‘tree nodes’ (that group concepts together).

Identifying emerging categories, themes and patterns

To identify the categories (or nodes) a thematic coding process was used (Miles & Huberman, 1994). Before commencing the first round of interviews the main themes and concepts that were emerging from the literature review were identified and prepared as a template. This template was then added to with categories that related

to questions from the interview template (e.g. background information that related to the first few questions of the interview template). This basic template formed the ‘node’ framework that was initially uploaded to *NVivo 8*. Categories that were considered isolated issues, without relationship to other areas were classified as ‘Free Nodes’ and those where hierarchy or relationship to another category were classified as ‘Tree Nodes’ (with ‘Child Nodes’ representing related categories that fell under the main ‘Tree Node’ category).

Over the course of the study the researcher developed a detailed understanding of the data and instinctively added new categories as new themes emerged from this data. In instances where it was possible, data from interview transcripts were compared to other sources of documentation to validate the information from participants (triangulation) and where variations between these sources differed, alternate sources of evidence were sought (e.g. questions in future interviews, newspaper articles or other written policies/documents) in an attempt to test validity (Yin, 1994). Because of this iterative approach, throughout the course of the study period the node framework in *NVivo 8* changed considerably. The final sets of nodes (i.e. free and tree) can be found below in Tables 5 and 6 along with the final number of references (i.e. ‘quotes’ or chunks of data) that were coded to each of these categories. This coding gives the reader a sense of the most frequently coded categories, themes and patterns.

Table 5: Final set of free nodes and number of references coded

Free Node	References coded
At risk student policy	2
Campus engagement	5
Comments about senior management	5
Corporatisation of universities	17
How students choose universities	1
Leadership in universities	4
Not coded but perhaps something	13
Private universities	1
Purpose of universities	21
The hospital	3
Trade-offs	23

Table 6: Final set of tree nodes and number of coded references

Tree Node	Child Node	References Coded
Background information	Description of roles/responsibilities	36
	Feelings/emotions about role	1
	Professional background	16
Barriers and areas of resistance (to change for social CR)	Already too much change	6
	Built environment	3
	Communication	12
	Conflict with funding issues	4
	Confused identity	5
	Engagement	4
	Fear	7

Tree Node	Child Node	References Coded
	Finding ways of engaging people	2
	Funding and resources	18
	Institutional versus personal values	1
	Isolation and lack of community	2
	Lack of knowledge or understanding	6
	Lack of time	20
	Leadership	1
	Missed opportunities	1
	Not my problem	8
	Organisational culture	4
	Other barriers	13
	Risks	0
	Size and scope of task	2
	The need for better industry linkages	1
	The status quo is easier	2
	Walking the talk	1
Curriculum change	Background to changes	15
	Barriers	10
	Examples of things being done	3
	Sustainability as graduate capability	22
	Teaching and Learning booklet workshop	8
Definitions of “social CR”	Community of scholars	1
	Diversity	1
	Don’t know	1
	Equity	6
	OH&S	1
	Other	1
	Social inclusion	8
	Staffing issues	8
Definitions of CR/Sustainability	Brundtland definition	3
	Conservation of environment	11
	Dealing with uncertain future	2
	Difficult to define	6
	General discussion definitions of sustainability	2
	Holistic term	8
	Impacts	1
	Justice	1
	Lifelong education	1
	Other	5
	Personal behaviour	3
	Social and cultural construct	8
	Strategic long term planning	4
	Sustainable development	1
	To keep something going	2
	Viable	5
Drivers for social CR	Changing stakeholder expectations	
	- industry expectations	2
	- staff asking for it	10
	- students asking for it	13
	Institutional drivers	
	- globalisation	5
	- legislation and government policy	21
	- shifting funding models	6

Tree Node	Child Node	References Coded
	Instrumental drivers <ul style="list-style-type: none"> - competition between universities - competitive advantage - PR potential - reputation - the business case 	11 9 11 8 15
	Normative drivers <ul style="list-style-type: none"> - because right thing to do - critic and conscience - moral responsibility of universities - moral 	20 3 38 7
Emotions about change	Cynicism	5
	Enthusiasm	4
	Negativity	3
Most important area of CR for HE sector	All three	6
	Economic	4
	Environmental	5
	Other combination of three	5
	Social	17
Organisational change towards CR	Evidence of things being done	46
	Leadership of change	18
	Problems that need changing	51
	Problems with current change efforts	7
	Ways to manage change	4
Partnerships	Australian Volunteers International	4
	Environmental partnerships	1
	Fair Trade	3
	Indigenous partnerships	6
	MU International scholarship	1
	Other partnerships	8
	Panasonic	2
	Partnerships with schools	5
PPPs model	Participation strand	5
	People and Planet strands	0
	Philosophy behind PPP model	3
	Value of PPP model	3
Social elements according to literature framework	Discussion about model generally	23
	Engagement of community	23
	Equity diversity and human rights	59
	Health & Safety	16
	Health & Safety of employees	2
	Marketing	28
	Other issues	22
	Philanthropy	24
	Research ethics and learning and teaching functions	3
	Stakeholder capacity building	36
	Treatment of employees	58
	Treatment of students	12
Social inclusion	Definitions of social inclusion	4
	How to better engage low-SES	14
	Indigenous issues	12
	International students	26

Trustworthiness, authenticity and ‘goodness’ of the research

In a constructivist paradigm, the ideas of trustworthiness and authenticity (Denzin & Lincoln, 2000), or the “goodness” of the research (Peshkin, 1993) should be a consideration. In particular a number of limitations of the case study design needed to be thought through for this research in order to maintain the objectivity and credibility of the findings (Flyvbjerg, 2006; Perakyla, 2004; Patton, 1987; Yin, 1994). Limitations identified included: potential for research bias and interpretation of data (Allan, 1991; Creswell & Miller, 2000; Golafshani, 2003) as well as inherent bias in the interviews, given that ethics approval had to be sent out with each interview request and thus the title of the research was provided to participants prior to interview, indicating that the topic of interest was the social dimension of CR (potentially creating bias in views around CR going into the interviews). In addition, credibility and aspects of validity needed to be considered as well (Patton, 1987; Yin, 1994). There are a number of ways limitations can be addressed in qualitative research and in this study a range of techniques have been used. Most of these have been discussed throughout this chapter and they are also summarised in Table 7.

Table 7: Measures of trustworthiness, authenticity or “goodness” of the research

Approach	Description
Researcher assumptions disclosed	Researcher reveals ontological and epistemological assumptions to disclose biases and explain how/why methods were chosen
Triangulation	Multiple sources of data used to search for consistency between sources and strengthen the study. Triangulation particularly important for constructivist approach (Golafshani, 2003)
Open-ended interview questions	Participants not led by questions or researcher in order to reduce researcher bias.
Detailed descriptions of the case and participants	Credibility can be improved where rich descriptions of aspects of the case are provided
Personal reflection and questioning (c.f.Schön, 1995).	Ongoing questioning throughout study, continued reflection on data analysis (Guba & Lincoln, 1994)
Record interviews and transcribe verbatim	Tape record interviews and transcribe these verbatim to ensure data captured accurately and to avoid researcher bias.

(Source: developed for this research)

Summary of the chapter

The purpose of this chapter was to describe the methodological approach taken in this study, underlying the philosophical assumptions that underpin the methods as well as the specific case study design chosen. The next two chapters present the research findings from the first and second stages of inquiry.

Chapter 5:

Findings 1: A meta-analysis of the social dimension of corporate responsibility

Overview of the chapter

The purpose of this chapter is to address the first research question of the thesis;

Research Question 1: How is the social dimension of CR conceptualised in the academic and practitioner based literature?

This question is addressed through a substantial qualitative meta-analysis that examines the academic and practitioner literatures for how the social dimension is discussed and defined. The chapter commences with a discussion of why it appears that the social dimension is being given less attention than the other elements of CR. Following this the methodology behind the qualitative meta-analysis and the subsequent organising framework that is developed as an outcome of this meta-analysis is discussed. This organising framework highlights the elements for organisations to be focusing on with regard to the social dimension of CR. The development of the framework, presented at the end of the chapter, is the first major contribution of this thesis, as it definitively adds to a better defining and refining the social dimension of CR from an academic perspective. The framework also provides a basis upon which the remainder of the thesis is based. One of the conclusions drawn from these findings in this chapter is that the social dimension of CR is influenced by the sector and organisational context under which it is studied and hence needs to be examined in different settings. This leads to Chapter 6 which examines the operationalisation of the organising framework in one such organisational context, the university.

The social dimension of corporate responsibility

Some theorists argue that the elements of CR are interrelated and interdependent and therefore cannot and should not be detached from each other (Dunphy *et al.*, 2007; Elkington, 1998; Lehtonen, 2004; Zadek, 2001). The reality is that in many instances parts of the CR framework are detached and explored in their own right, increasingly through a focus on the environmental and ethical responsibilities of business (Lockett, Moon & Visser, 2006). Despite increasing and wide-ranging

pressure upon organisations to integrate CR across their operations (Waddock, 2008), as well as an acceptance of the need to be cognisant of a complex and ever changing group of stakeholders, an area that lacks specific attention within the CR literature is that of the social dimension (Lee, 2008; Lockett, Moon & Visser, 2006).

To date, academic literature on the social dimension of CR has largely been focused on ideas such as corporate giving or community based support (e.g. Brammer & Millington, 2005; Campbell, Moore & Metzger 2002; Dyllick & Hockerts, 2002; Wulfson, 2001) or more global problems such as human rights violations or the conduct of multi-nationals in developing countries (e.g. Eweje, 2006; Wilburn, 2009; Yu, 2008). There are also well-developed bodies of research on specific issues that would come under the overarching concept of the social dimension of CR, such as occupational health and safety, concerns about minority groups, stakeholder demands or employee volunteering (Linnenleucke *et al.*, 2009). An alternate approach has been taken through a research stream that applies practical CR databases and indices to social problems (e.g. Hillman & Keim, 2001 and their use of the KLD database). However, there is very little, if any, critical debate about what should constitute the social dimension of CR as a broad descriptor or ‘umbrella’ concept, with a number of scholars identifying this as an area that requires further investigation (e.g. Lee, 2008; Lehtonen, 2004; Lockett, Moon & Visser, 2006).

Although some authors make statements about CR in terms of it being about ethical conduct (e.g. Collier & Rafael, 2007), integrating social concerns in operations (e.g. Van Marreijk, 2001), treating employees and stakeholders well (e.g. Dunphy *et al.*, 2007) or occupational health and safety (e.g. Montiel, 2008), there is limited practice based evidence regarding how to implement programmes in these areas. But understanding what it means to treat stakeholders well can have an impact on an organisation’s performance financially, so it is an issue that leaders are becoming cognisant of (Steurer, 2006). Further, the answers to these questions are likely to be sector (Dahlsrud, 2008; Timonen & Luoma-aho, 2010) or organisation (van Marrewijk & Were, 2003) specific. This gap in knowledge means it is difficult to determine what might be a comprehensive definition of what the social dimension of CR encompasses in a specific sector and/or how it might be implemented in an individual organisation. Not only is our theoretical understanding of the CR concept thus constrained, but guidelines for practical implementation are also limited.

Because there is this gap between knowledge and practice with regard to the social dimension, a significant contribution of this thesis is the investigation of this aspect of CR in more detail including developing an organising framework which systematically unpacks the individual elements that make up the social dimension of CR. The process used to develop this organising framework is described in the remainder of this chapter.

Developing an organising framework from the literature

The purpose of the organising framework developed in this chapter is to bring together definitions of the social dimension as found during a qualitative meta-analysis in order to develop a normative account of what this dimension entails, that is an idea of how the social dimension should (or ought to be) interpreted by organisations.

There are four main reasons for developing this framework. Firstly, it provides a précis of the main themes found in the literature. Secondly, the resulting organising framework provides a point of departure for debate and discussion around what the social dimension involves (an important point given that no scholarly model or framework was found in the literature that fully captures the social dimension of CR); thirdly, it provides practical notions about how organisations that are looking to embed CR policies and practices across all aspects of their business might go about it, and finally, the framework provides a theoretical grounding for the remainder of the thesis. The following sections describe the phases undertaken in the development of this framework.

Qualitative meta-analysis Phase 1: the data collection and analysis

The first phase in the framework development was to undertake a substantial qualitative meta-analysis in order to synthesise the CR literature on the social dimension of CR and extract examples of the way that this dimension of CR is interpreted and defined. A detailed methodology of this meta-analysis was described in Chapter 4 and included an analysis of 301 papers, books and reports on the subject of CR or its related constructs (e.g. sustainability, corporate social responsibility). A list of the articles reviewed can be found in Appendix F.

Because the question that underpinned the meta-analysis was open and leading (i.e. *Research Question 1* of this thesis), and one that appeared to not have been explored previously in the literature, the scope of the analysis was broad and erred on being inclusive of as many papers as possible (Walsh & Downe, 2005). However, because the focus was on third party analysis, a deliberate decision was taken not to include definitions provided by individual corporations (e.g. on their websites or through their CR reports) to avoid bias from self-promotion or public relations exercises. Instead, a practice base was obtained through definitions made by well respected reporting indices and scales, given their increasing acceptance over recent years as frameworks against which organisations can present and rate their CR performance. In particular, four such indices chosen were those that currently hold high profile, pre-eminent reputation and profuse usage in terms of social accounting and reporting, those being the Corporate Responsibility Index (www.bitc.org.au), the Global Reporting Initiative (GRI) Reporting Guidelines, Social Accountability 8000 (SA8000) and the KLD database.

Definitions drawn from these areas of CR analysis and commentary were then extracted to form Table 8. Surprisingly, of the 301 documents reviewed only a

relatively small number of definitions of the social dimension were found. This gap provided further evidence that this is not a dimension of CR that has been given a large amount of attention in the literature.

Qualitative meta-analysis Phase 2: Developing the framework

Several steps were followed during the process of synthesising the articles, books and reports that were found during Phase 1 of the qualitative meta-analysis. First, the constituent elements from each definition found during Phase 1 were extracted, collated and regrouped to form the table of precise definitions of the social dimension of CR (Table 8).

Following this, the next step was to bring concepts and ideas that were similar in each definition together in a framework that more succinctly and thematically summarised key themes and concepts. This summation was undertaken via a content analysis (Krippendorff, 2004) where definitions within emerging themes were recategorised and similar ideas were grouped together under categories and subcategories.

In the end 92 different labels for the social dimension of CR were identified, which were classified in eight emerging categories (as summarised in Table 9): employee relations; equity, diversity and human rights; community engagement; health and safety; stakeholder capacity building; responsible marketing; and philanthropy. A further category of “other social issues” was included in the framework to cover concepts that were mentioned only once or twice by authors but were still of relevance (e.g. in Elkington’s 1998, Triple Bottom Line definition). The inclusion of this category also provided an area in the framework for participants in the interviews to be able to discuss issues they believed might be missing from the framework in the context of universities.

Table 8: Number of definitions under each category of social issues

Category of social issues identified	# labels in each category (%)	
Employee relations	23	(24)
Equity, diversity and human rights	21	(22)
Community engagement	16	(17)
Health and safety	8	(9)
Other social issues	8	(9)
Stakeholder capacity building	7	(7.5)
Responsible marketing	7	(7.5)
Philanthropy	4	(4)
TOTALS	92	(100)

Table 9: Definitions of the social dimension of CR

Social label (<i>reference</i>)	Defining parameters
Social responsibility (<i>Crawford & Gram, 1978</i>)	The ethics and values of the manager, the philosophical and legal bases of the corporation, the development of community self awareness and identity, the social consciousness of the corporation and its personnel
Pyramid of CSR (<i>Carroll, 1979; 1991</i>)	Philanthropic responsibilities: Contributing resources to the community, improving quality of life, provide assistance to sectors such as fine arts or education, undertaking education programmes using skills and resources of company.
Triple bottom line (<i>Elkington, 1998</i>)	Social bottom line: Community relations, product safety, training and education initiatives, sponsorship, charitable donations (time and money), employment of disadvantaged, poverty alleviation, women's rights, wages and working conditions, human rights observance, child labour issues, consideration of indigenous peoples, involvement in nuclear power, irresponsible marketing.
Corporate citizenship - the ripple effect (<i>Andriof & McIntosh, 2001</i>)	Social impact: Equal opportunities, human rights, educational development of staff and stakeholders, social exclusion, community regeneration, organisational culture, employee volunteering
Sustainable development (<i>Zadek, 2001: 110</i>)	Social dimension: The quality of people's lives and in particular equity between communities, people and nations
Sustainable development (<i>Bansal, 2002; 2005</i>)	Social equity principle: Everyone be treated fairly and all members of society have equal access to resources and opportunities. A focus must be placed on current as well as future generations.
Global Reporting Initiative (<i>G3 Sustainability Reporting Guidelines 2006</i>)	Social performance: The impacts of the organisation on surrounding social systems. Four key "performance aspects": labour practices (employment, labour/HRM relations, occupational health and safety, training and education, diversity), human rights, society (community relations, corruption, anti-competitive behaviour, compliance) and product responsibility (marketing, labelling, customer privacy, customer health and safety).
Corporate sustainability (<i>Dunphy et al., 2007</i>)	Human sustainability: Treatment of employees, health & safety, social inclusion/exclusion, diversity, education/upskilling of staff, human resource management, community engagement
CSR (<i>Montiel, 2008</i>)	Corporate social performance: Consumerism, discrimination, product safety, occupational safety, stakeholder relationships, community development and health and safety
Corporate social initiatives (<i>Hess & Warren, 2008</i>)	Meaningful social initiatives: Marketing based activities (e.g. sponsorships, cause-related marketing, social marketing), employee volunteering, alliances with non-profits and NGOs, adoption of new business practices that support community initiatives

Social label (<i>reference</i>)	Defining parameters
CSR (<i>Dahlsrud, 2008</i>)	Social dimension: The relationship between business and society
Corporate sustainability (<i>Linnenluecke et al., 2009: 434</i>)	Social sustainability: Internal staff development, proactive engagement with its community base and other stakeholders
Triple bottom line (<i>Hubbard, 2009</i>)	Social performance: The impact a firm (and its suppliers) has on the communities in which it works
Social Accountability International SA 8000 (<i>www.sa-intl.org: accessed Nov 2009</i>)	Social sustainability: Set of standards about workplace conditions, child/forced/compulsory labour, health & safety, discrimination, disciplinary practices, working hours, remuneration, management systems and freedom of association
Corporate Responsibility Index (<i>www.bitc.org.uk: accessed Nov 2009</i>)	Social impact areas: Health safety & wellbeing, employee development, equality diversity and inclusion in workplace, community investment or "self selected social impact"
KLD database (<i>accessed March 2010</i>)	Social ratings: Criteria by which KLD measures the social dimension of CSR; community, diversity, employee relations, human rights and product development

This table was then developed into the framework, found in Figure 4, as a collection of the main themes and definitions found in the literature about what the social responsibilities of organisations should be. To further highlight how this framework was developed, red circles have been drawn on Table 9 to show examples of the ideas that were collated to form the category of “community engagement” in the framework.

The framework is also hierarchical, i.e. the topic of ‘employee relations’ (and its subcategories) was the most frequently cited group of issues within the literature (24%) with philanthropy (4%) being the least frequently discussed element of social CR. It is also worth noting that there is an element of unavoidable overlap in the contents of each of the categories given that some concepts do fall within more than one area. For example, employee volunteering was described in the literature as both a value adding for employees, as well as a way for an organisation to contribute to the community. Employee volunteering therefore falls within both the “treatment of employees” category as well as the “engagement with community” category and is an example of the fluidity of the categories that emerged.

One final point to make about the framework relates to how it differs from the practitioner based indices already mentioned. Although these indices and databases already provide a range of practical examples of what the social element of CR entails, the purpose of extending on these is to offer more detail and provide a more comprehensive set of examples of issues that should be considered by organisations that are interested in improving their levels of social responsibility, particularly in the context of universities. No practical index was found that culminated in as comprehensive a list of issues as was uncovered during the development of this framework.

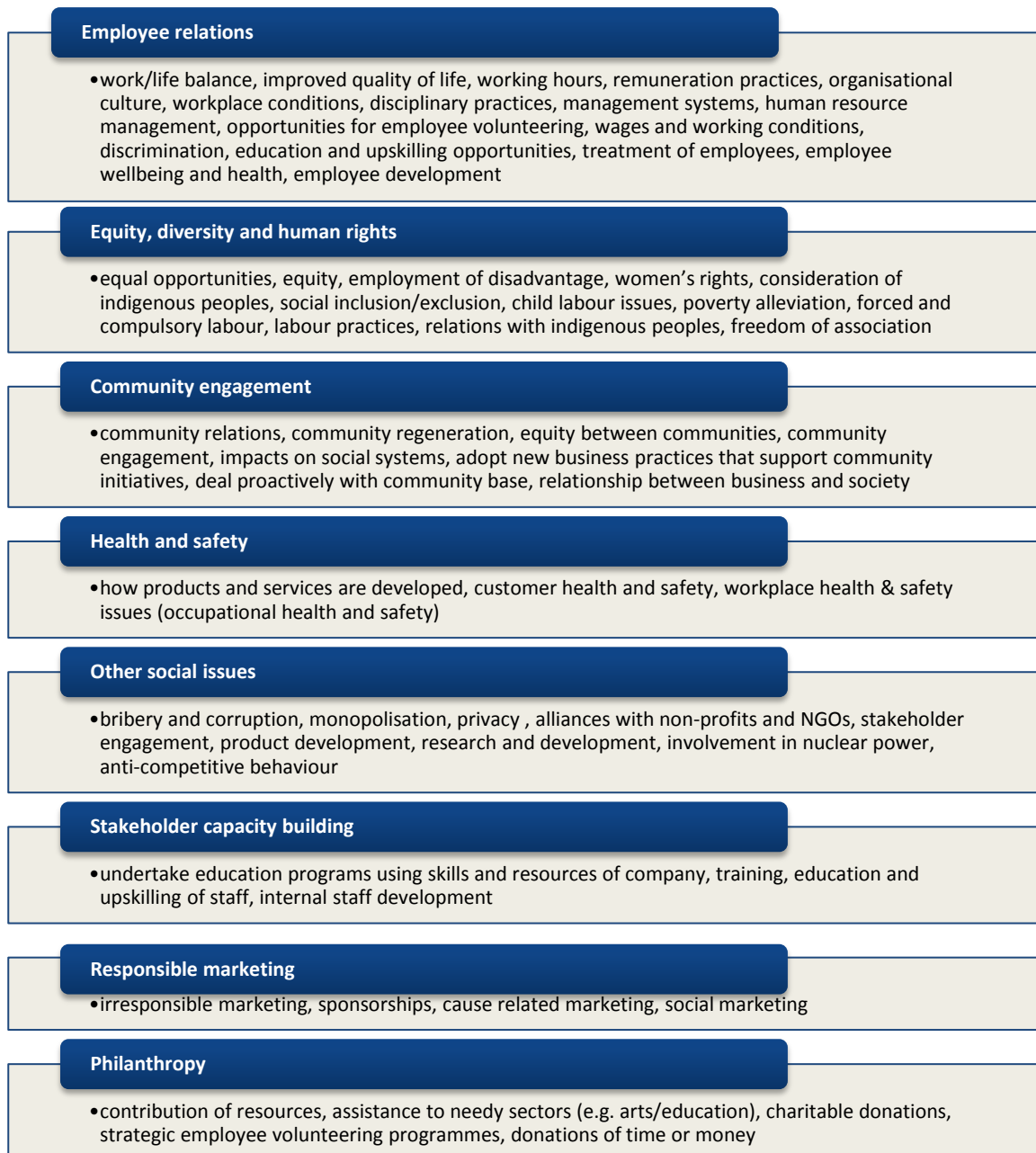
Qualitative meta-analysis Phase 3: Expanding the categories

From the framework a picture emerges of what the social dimension of CR might involve. However, to evaluate whether this understanding relates to what happens in practice requires a comparison between theoretical frameworks and practical examples. This comparison proves difficult as there is a dearth of scholarly case study examples of how the social elements of CR are operationalised beyond self description by corporates. Some exceptions to this include Fossgard-Moser’s (2003) case study of The Shell Group which provides practical examples of how organisations can strategically engage in the enhancement of local employment and supply chain development. Schouten and Remmé (2006), also using Shell as an illustrative case study, outline the ways that Shell has operationalised the social elements of CR in a number of the countries within which it works. Similarly, Enquist *et al* (2006) show how CR adoption at Swedbank has been reflected in a shift from a shareholder-focussed strategy to a social harmony strategy.

While these studies are informative there nevertheless remains a lack of comprehensive information available as to what the social dimension of CR might refer to in specific industry sectors or types of organisations. In addition, although companies which engage with CR provide numerous practical examples in the forms

of sustainability reports or company websites that indicate how they operationalise the social elements of CR, there is a lack of attention given to the critical review of the social element, a gap also acknowledged by others (e.g. Lee, 2008; Lockett, Moon & Visser, 2006). Hence more scholarly and in-depth case based study needs to be done on how the social element of CR plays out in reality. That is, the effect of CR on organisational practice. This thesis addresses this gap by focusing on the operationalisation of the social dimension of CR in universities.

Figure 4: Reconceptualisation of the social element of CR



Source: developed for this research

The framework developed in this chapter will form part of the interview inquiry with participants, in terms of questioning how these participants interpret and compare the framework to what in their view is happening in universities. In order to provide some basis for the discussions that occur later in the thesis, it was therefore considered valuable to briefly explore each of the eight newly identified categories of the social dimension of CR in more detail. The purpose here was to provide some background information on each social category and a brief discussion of how each category currently is interpreted within universities.

Category 1: Employee relations

The way that employees are engaged in their workplace is important for organisations given that employee psychological wellbeing and job satisfaction have been linked to job satisfaction and retention, which in turn leads to a maximisation of organisational outcomes (e.g. Wright, 2007). It is also an issue that has strong social underpinnings given the relationship between personal and organisational values. Some research has also shown a link between the success of CR initiatives within an organisation and employee involvement in CR, particularly arguing that when employees are motivated and engaged with their organisation's CR programme it is more likely to be successful (Collier & Esteban, 2007). As a result it was unsurprising to find that employee relations was a frequently discussed aspect of the social dimension of CR within the literature reviewed. Although employee relations are often considered a human resources (HR) matter, the finding here that employee relations are a topic of frequent discussion in the CR literature shows there are important social underpinnings. Indeed, organisations are beginning to recognise the link between the level and quality of employee engagement undertaken and the resulting influence this has on competitiveness and profitability (Benn & Bolton, 2011).

There is a vast literature on HR and employee relations which is beyond the scope of this thesis to exhaustively review here. Instead the purpose is provide a very brief overview of how employee relations are interpreted as a social concern in the CR and organisation studies literature reviewed for this thesis. Treating employees well is about promoting the rights and values of employees, ensuring job security and safe working conditions and generally ensuring that employees feel valued through the appropriate use of their skills and abilities (Montiel, 2008). It can also involve ideas that enhance and improve the conditions of an employee's working life beyond what is required by law – particularly their work/life balance. According to Gregory and Milner (2009) when work-life balance needs are met by employees there is increased organisational commitment and job satisfaction, greater sense of employee wellbeing and reduced absenteeism (Gregory & Milner, 2009). Arthur (2003) has also provided evidence of a positive relationship between announcements of work-family initiatives and shareholder returns, implying that this is an issue for organisations to consider. Briner (2005) argues that there are two key reasons why the treatment of employees is important. The first is ethical in that employees should expect to get some satisfaction out of their job while at the same time not be subjected to physical or

psychologically damaging environments. The second issue is economic, and is largely centred around the idea that a happy worker will be more productive which in turn has a positive financial implication for the company.

Employee relations in universities

There are a number of reasons why people choose to work in universities, such as for job security, generous workplace benefits and conditions and a large degree of autonomy (Jo, 2008). Recently however, the approach to treatment of employees has been changing, for reasons described earlier in this thesis, largely related to the changing nature of the university sector and the move towards a more corporatised structure. The organisational environment has shifted from one where traditional academic values, driven by research and teaching for 'its own sake' has been replaced with a more corporatised approach to operations, with greater expectations that research and outcomes will be beneficial to society and contribute to enterprise, economic growth and international competitiveness. This drive to a more corporatised form has resulted in uncertainty in the sector, which in turn has meant that some employees, particularly academics, have become dissatisfied and disillusioned and recruitment and retention of staff has become more problematic. Experiences in Europe, for example, have shown that this uncertainty has impacted on the chances of young people pursuing an academic career and has resulted in the perception of life in universities as being unappealing (Huisman *et al.*, 2002). Reports have also emerged of stress, burn out, discrimination and bullying (Woods, 2010), resulting in a range of negative personal and health consequences (He *et al.*, 2000). In addition, the nature of academic autonomy, an issue seemingly inherent in satisfaction among employees in universities (at the academic level at least) is changing. Academics must embrace a loosening and blurring of organisational boundaries and work within more complex relationships (Henkel, 2005).

The move toward the more corporate form of the higher education institution has also impacted on the general staff, where there is a demand for more skilled employees to fill more professional roles in student services, international operations, alumni services, marketing and public relations, human resource management, information sciences, research commercialisation and research management (Berman & Pitman, 2010). This is creating what Berman and Pitman (2010) refer to as an 'academic/general staff divide' which is characterised by clear differences in the roles of academics and general staff and, as a result, clear differences in the value and importance that different types of staff place on the purpose and role of the university. Although academics are often dissatisfied with some of the administrative arrangements within their institutions, they still remain largely satisfied with their intellectual working lives, their students, the courses they teach and their relationships with colleagues. Research has shown academics are largely dedicated to their work and their research interests, but due to some of the issues above, can lack a general sense of satisfaction towards their institutions and profession as a whole (Johnsrud & Rosser, 2002).

As with the general literature discussed above on work/life balance, there is also argument for better understanding the effectiveness of flexible working policies for employees (particularly women) who are juggling family and career responsibilities, particularly as a way of retaining such employees. Academic staff, and particularly women, prefer flexible working options and are more likely to leave their academic organisation if such policies are not in place (Jo, 2008). Policies that can be easily implemented, with little cost to the organisation include flexitime (e.g. working normal hours but at varying times) as well as compressed working weeks (working week compressed and restructured). However, simply having such policies in place and implemented at the discretion of managers is not enough. Instead they should be institutionalised and accepted as part of the way the organisation operates (Jo, 2008). Indeed, previous research has indicated that issues around work/life balance can greatly impact on the morale and satisfaction of staff in universities and can be a determining factor in their decisions to remain at, or leave, their organisation (Rosser, 2004).

Despite all these issues, there has been little research attention given to personnel and human resource management in universities (Jo, 2008), even though it is a major employment sector in Australia. Nevertheless the question of how employees in universities are treated is a critical social problem for such institutions as the loss of attraction to an academic career means there is a greater need now for universities to be creating opportunities for young researchers and young administrators to develop rewarding careers in the university sector. However, inherent in making such a career more attractive are the promotion of equal opportunities for women, improvement of facilities and working conditions and a general embracing of more flexible work/life arrangements (Huisman *et al.*, 2002).

This very brief summary highlights that there are issues at play here within both a normative and instrumental interpretation of employee relations as a CR concept (Donaldson & Preston, 1995; Jones, 1995). Research has shown that organisations that are able to build successful relationships with primary stakeholders, like employees, are able to use this relationship as an intangible asset, in order to increase competitive advantage (Hillman & Keim, 2001). Given universities are looking for new ways to compete in the changing market, the approach these organisations take to the treatment of staff is therefore influential. An additional issue relates to the fact that previous research has suggested that the social aspects of academic life (e.g. academic autonomy, relationships with students and other colleagues) are considered a source of satisfaction for employees. However, despite this the same research suggests that the pressures university leaders face because of bureaucratic and financial goals in a more competitive market mean that there may be an erosion of academic work conditions and, as a consequence, negative effects on the motivation and performance of academics. It is therefore this aspect of employee relations, as a social concern for leaders of universities to be cognisant of, that will be explored further in this research.

Category 2: Equity, diversity and human rights

There are a wide range of issues at play when considering equity, diversity and human rights. In Australia there is a complex mix of legislation and policies relating to discrimination, equity, sexual harassment and equal opportunities (Strachan, Burgess & Henderson, 2007) and national and cultural differences abound, even across sectors. As such there are specific institutional factors that need to be considered. Legislation only covers a small amount of what this dimension of CR is about and there is still considerable room left for organisations to make their own judgments about what is equitable for employees and profitable for business. As a result, many organisations are left uncertain about how to interpret their responsibilities in relation to this issue, outside of the policies and practices that are clearly spelt out by legislation (Strachan, Burgess & Henderson, 2007: 535). In addition organisations often take an ad hoc approach to the implementation of policies and practices around organisational equity and diversity, often determined by work force demands and influenced by the values and ethics of the organisation itself (Burgess & Strachan, 2005). This indicates that there is significant scope remaining for investigation into how specific sectors are indeed approaching the notion of equity, diversity and human rights. Collating practical examples of how this element of CR is being operationalised will be beneficial for those organisations looking to be more proactive in this area and move beyond simply what is required by law.

Equity, diversity and human rights in universities

In universities the two stakeholder groups normally being considered with regard to equity and diversity are students (i.e. how to support students with a variety of backgrounds and differences – and indeed increase student numbers in particular areas) and staff (e.g. in terms of workplace discrimination, rights and equal opportunities). Ellis (2009) discusses the need for universities to develop specific services, policies and educational materials based on a widening participation agenda.

Education and training plays a critical role in improving and supporting social and economic change for society at large and is influential at an individual level, given that educated people tend to have better life chances in the long term (Brennan & Naidoo, 2008). There is a strong link, for example, between the knowledge and skills that education can provide, economic and professional returns for individuals who participate in education, productivity of organisations that employ educated people and the economic status of the nation (Long, Carpenter & Hayden, 1999). Access to education has also been directly linked to outcomes in other areas, such as better health, less likelihood of imprisonment, higher social status and personal rewards that come from making positive contributions to society (Long *et al.*, 1999). Education has the capacity to enhance social inclusion and reduce social and economic disadvantage through its teaching and research agendas. Such capacity is achieved through the development of a deeper understanding of health and social concerns and through the engagement of people from other countries and a broad range of communities (Bradley *et al.*, 2008). In addition, providing equal opportunities for

people from all types of background provides more equitable educational outcomes for a wider and more representative proportion of society (DEET, 1990).

Issues around equity, diversity and social inclusion in universities have been the focus of considerable policy and legislative attention in recent years, which in turn has driven much of the discussion and change in this area. In addition, it has been argued that in order for universities to make progress in this area they need to themselves change at a cultural and value based level before they will be capable of meeting the needs of a more diverse range of stakeholders. Such change is required across the entire organisation, from more diverse staff representation, to structures and processes, curricula content and the nature and forms of programmes and delivery systems (Brennan & Naidoo, 2008).

In 1990 a set of national government objectives and targets were set around the notion of equity in universities, with a particular focus on six groups of disadvantaged people: those from low socio-economically disadvantaged backgrounds; Aboriginal and Torres Strait Islander people; women; those from non-English speaking backgrounds; people with disabilities; and people from rural and remote areas. The objective of this policy document, *A Fair Chance for All*, was to ensure that Australians from all groups in society had the opportunity to participate successfully at university (DEET, 1990). The outcomes were that a number of programmes and initiatives were developed by higher education (HE) organisations that addressed how to increase access, participation and retention at university to a wider proportion of the population. Despite this, mixed results have been reported around the success of the programmes (James, 2001).

Since this time there have been a number of government changes and, as a result, a number of policy shifts in relation to equity and diversity in universities. However in 2008, coming out of a review of the higher education sector in Australia, equity and social inclusion were once again firmly back on the federal policy agenda. In a report prepared by Bradley *et al* (2008), it was stated that the most under-represented groups in universities are those from remote parts of Australia, Indigenous populations and people from low socio-economic backgrounds. This was seen as a problem given the need for suitably qualified people to meet workforce shortages in the future. Their argument was that failing to capitalise on the abilities of people from a wide proportion of the population results in significant economic issues for the nation. They also raised concern about the lack of economic and social opportunities provided to people from disadvantaged communities as a result of the ongoing discouragement of participation in university (Bradley *et al.*, 2008). The outcomes of the report resulted in a range of recommendations and national targets that need to be met by education institutions. Most importantly in relation to the equity and diversity dimension of CR is the target of achieving 20% of undergraduate enrolments from students of low socio-economic backgrounds by the year 2020. In addition there are other clear institutional drivers for universities to engage in this issue as in the future funding models from the government are now tied to the number of disadvantaged students that are being brought into the university (Bradley *et al.*, 2008).

The problem of access, participation and retention of under-represented populations in universities is a complex issue that has a range of possible causes. However one problem that is commonly reported are the low Year 12 (i.e. high school) completion rates for students from rural and remote areas, of Aboriginal or Torres Strait Islander descent or from disadvantaged socio-economic communities (James, 2001). The location of university campuses is also a contributing factor, particularly for students from rural and remote areas. This is obviously due to the vastness of the Australian continent, along with the somewhat unique cultural aspect of Australia where students tend to live at home while attending university rather than on campus, which is a much stronger tradition in countries such as the United States and United Kingdom (James, 2001). Other barriers towards participation at university for students of disadvantaged populations include: some students see a university education as unattainable or beyond their intellectual ability; some are influenced by family (e.g. parents do not value the benefits of education); entry qualification requirements are too high; the cost of participation is out of reach; a lack of flexible learning opportunities; a lack of support services and some students simply live too far from university campuses and see it out of their geographical reach (Brennan & Naidoo, 2008; James, 2001).

There is also an argument that just increasing the representation of diverse students is not enough, instead there needs to be more effective implementation approaches that lead to an increase in equity for educational outcomes. Such an argument starts from the premise that creating equity involves challenging organisational and personal assumptions, as normally people do not consciously choose to treat others in inequitable ways (Kezar *et al.*, 2008). This brings in the issue of increasing the diversity and equity within the staff profile of the university as well (in order to create role models for students from disadvantaged communities), and also of developing programmes and initiatives that improve the organisational commitment to equity, diversity and social inclusion. Universities are probably ahead of some other sectors in their response to issues of equity and diversity, yet the different ways these are interpreted and operationalised in the context of a CR approach are not yet definitively documented and this is an aim of the current research.

Category 3: Community engagement

Community engagement is largely about interactions that take place between the organisation and its range of communities. Marquis, Glynn and Davis (2007: 926) define community engagement as “behaviours and practices that extend beyond immediate profit maximisation goals and are intended to increase social benefits or mitigate social problems for constituencies external to the firm”. Such engagement might take the form of collaboration, decision making, action, formal and informal partnerships, consultation or provision of information on issues in the arts, housing, education, human welfare, poverty, disease or improvement in the quality of life (Marquis, Glynn & Davis, 2007). It might be planned or unplanned and normally

involves working with specific groups of people to address issues that are of concern or that they lack the resources to be able to deal with on their own.

Often community engagement is a change initiative that assists the community organisation alone, but in certain instances there are opportunities for learning and information exchange to work between both the community partner and the “helping” organisation itself. In these instances organisational benefits might include improved reputation, increased access to markets, improved organisational culture and recruiting strategies, benefits to employees and opportunities for boundary spanning (Hess & Warren, 2008). From an institutional perspective, organisations might also undertake social initiatives that support local communities in an attempt to gain legitimacy with external stakeholders (Hess & Warren, 2008). Boehm (2002) argued that there were two key issues to consider in relation to community engagement initiatives. Firstly, collaboration between the organisation and the community should be based on reciprocity, emphasising the importance of strategic partnerships that both organisations can benefit from. And secondly, when planning community engagement initiatives Boehm (2002) argues that long term benefits for the organisation should be considered, rather than just the short term gains. As such, it is recommended that careful strategic planning for community engagement is undertaken and that a partnership approach is taken to such engagement. Such partnership models might include learning communities, public-private partnerships or communities of practice.

As universities are fundamentally social organisations who have an intrinsic connection to and responsibility for their range of communities, it is expected that community engagement will be considered a key social responsibility within this sector. In addition, examples of how the sector is implementing community engagement strategies and what kinds of tools they are using to go about this will be areas for exploration.

Community engagement and universities

For universities the practice of community engagement is inherent to the future of universities. Clearly this practice is also linked to the moral responsibility role that such organisations have in society (Boehm, 2008). There are a number of ways that such engagement with the community might occur in the university context. The first is through student participation in the community, via student learning programmes that have community engagement elements. Secondly, there is the contribution of organisational resources towards community endeavors. And thirdly there are the contributions made by individual staff of the organisation, such as through research processes, committee contributions, pro-bono consulting work or similar activities. Underpinning engagement with the community in universities is a necessity for top down leadership support that emphasises the value of community engagement. Jones and Hill (2003) argue that for universities to accomplish positive outcomes associated with community engagement then they need to take intentional steps towards encouraging academics and general staff through the provision of opportunities to engage in meaningful programmes and initiatives.

Such community engagement can have positive outcomes on the community as well as internal stakeholders of the organisations. Staff of the university, for example, may benefit from such engagement via a sense of achievement of personal social responsibility, gaining additional knowledge and experience, gaining direct experience of a diverse range of populations as well as the complexities of society and, at a practical level, developing interpersonal, management and organisational skills (Boehm, 2008). Research has shown that staff of universities are motivated to support community initiatives due to a commitment they feel to personal and organisational social responsibilities (rather than as a result of there being some benefit to the organisation for doing so) (Boehm, 2008).

Overall engagement of the community is a key social concern for universities as it opens up opportunities for staff or students to engage in activities that provide them with a sense of personal satisfaction and achievement. In addition, there can be mutual benefits to both the community and, if undertaken strategically, then to the organisation itself (Austin, 2000).

Category 4: Health and safety

Health and safety is about ensuring that the conditions under which people work are safe and that measures are put in place to avoid risk associated with potentially dangerous jobs, which more traditionally include working with machinery, chemicals or in mines but more recently also involve psychologically based health concerns such as stress arising from workload (although for a more comprehensive review see Benn & Bolton, 2011). Organisations are largely regulated for health and safety by legislation and, more recently, voluntary codes and standards and as such there are strong regulative and institutional drivers for engaging in health and safety. Increasingly however, there is recognition that the health and safety of an organisation has a strong social basis and risk prevention across all elements of a product's life cycle is becoming a feature of responsible organisations (Benn & Bolton, 2011).

Dunphy *et al* (2007) specifically refer to the idea of health and safety as an issue that forms part of their 'human sustainability' concept. Montiel (2008) also discusses the importance of health and safety in the category of 'corporate social performance'. Although these references therefore indicate the understanding of health and safety as an element of CR, the issues of health and safety as key parameters of CR come to the fore in the practical indices. For example, the Corporate Responsibility Index (www.bitc.org.au), KLD database, Social Accountability International SA8000 (www.sa-intl.org) and the Global Reporting Initiative (G3 Sustainability Reporting Guidelines 2006) all refer to the importance of giving consideration to how products and services are developed and health related impacts they have over their whole life cycle.

Health and safety in universities

In Australia, all businesses are legislated by the government for issues that relate to occupational health and safety (OH&S), workers' compensation and general well being of staff and stakeholders in the workplace. States and Territories are responsible for the development of laws about OH&S and for legally enforcing these laws and each state or territory has an OH&S Act that spells out the duties of responsible to implement that ensures that workplaces are safe and healthy. Under OH&S legislation organisations are obliged to provide: safe premises, safe machinery and materials, safe systems of work, information, instruction, training and supervision and suitable working environments and facilities. Organisations that fail to comply with face fines and potential prosecution.

Health and safety appears to be implemented as a result of institutional and regulative requirements rather because of recognition of its social implications. Although health and safety is recognised as a key concept for corporate responsibility (e.g. Benn & Bolton, 2011), no specific literature was found that focuses on health and safety as a 'social responsibility' per se. and there is no literature that examines how health and safety is perceived within the context of CR in universities, which provides an opportunity for further investigation.

Category 5: Other social issues

'Other social issues' is a category put together in the framework to reflect a range of ideas that were discussed only once or twice in the definitions extracted from the literature, but nevertheless were considered to have social implications. Such issues included: bribery and corruption, monopolisation, privacy, alliances with non-profits and NGOs, stakeholder engagement, product development, as well as research and development. It is not expected that all of these ideas will be likely to be of relevance to universities. However, the category of "other social issues" provides a platform upon which interviewees in the next phase of the research can discuss issues they believe might be missing from the framework but which are of relevance or importance in the university sector specifically.

Category 6: Stakeholder capacity building

The idea of stakeholder capacity building was one underpinned by the idea that organisations should be responsible for using their skill and influence to enhance the knowledge and skill of its stakeholder groups. Training and education, upskilling of staff and staff development were all seen as issues that fell into this category. Although there is some clear overlap here between this category and that of 'community engagement' the two were separated as it was considered that the concept of 'stakeholder capacity building' related more to the concepts of upskilling and education of stakeholders, than specifically about the range of other contributions

that an organisation might make in the community (such as provision of services or financial assistance). The other reason it was separated was because 'stakeholder capacity building' is also seen to relate to the upskilling, training and education of staff and other internal stakeholders, which is not an issue that is well captured in 'community engagement'.

One way that stakeholder capacity building is conceptualised within the notion of CR is through the idea that organisations have an obligation and duty to develop the capacity of stakeholders in their local and international markets. Research in developing countries has shown that educational programmes undertaken on the part of multi-national corporations in local communities are frequently seen as the most important development initiatives at the local level (e.g. Eweje, 2006). Indeed there can be strategic advantages for organisations to undertake such development and education programmes. Not only can they assist in the education, skills training, youth training, infrastructure development and general community development at a local level (Eweje, 2006) but such programmes can also benefit organisations by providing a pool of educated and trained future employees, thus impacting on training costs or costs of having to bring in groups of trained employees from other places.

Stakeholder capacity building in universities

Boehm (2008) discusses stakeholder capacity building in the form of the contribution that academics play in contributing to society, due to their knowledge and experience in research processes that enable them to systematically and objectively study different types of social and environmental situations. Apart from this research, the concept of stakeholder capacity building in universities is not one that is specifically discussed and as such there is very little literature upon which to base this case study. Despite this, universities have much to offer in terms of education and upskilling for a wide range of stakeholders and as this is a core strategic focus of all universities the way that this dimension of the social element of CR is interpreted and operationalised in the sector will be important.

Category 7: Responsible marketing

As discussed earlier in the thesis, changes to the external environment of universities means there is necessity for business models for universities to be created and within this model marketing is highly relevant. Education is increasingly being marketed as a product, where the aim is to convince students and their families to buy this product and then set prices that are competitive yet sustainable for the organisation (Susanti, 2011).

Responsible marketing is about looking at the ways that marketing is undertaken, the truthfulness of what is represented in marketing campaigns, the choice of sponsorship opportunities and more generally the social responsibilities that are inherently embedded in a marketing approach (Benn & Bolton, 2011). According to the management literature marketing, in the context of social responsibility is an

instrumental approach to corporate responsibility, meaning that it is about using the reputation of an organisation as a way of improving brand value (i.e. the business case for CR).

Examples such as Nike and its problems with child labour and other similar high profile incidents have placed a strong emphasis on the management of reputation and the role that CR can play in improving or maintaining brand value. In addition, the reputation of an organisation exists within the boundaries of the various stakeholders who surround the firm (Zyglidopoulos, 2002). Zadek (1999: 3) refers to this kind of motive for CR as the 'managerialist rationale', where in order to survive in the market an organisation needs to know what is happening, what people think of them and how best to respond to these perspectives. This notion aligns with stakeholder theory (the lens of CR being taken in this research) in that in order to understand what people think, the needs and views of various stakeholders should be consulted and responded to (Zadek, 1999). For instance, Jones (1995: 422) argues that "firms that contract with their stakeholders on the basis of mutual trust and cooperation will have a competitive advantage over firms that do not". To this end, building and maintaining good relationships with stakeholders creates a competitive reputational resource, which could affect the financial position of the organisation (Cennamo *et al.*, 2009). This has implications for reputation and brand management and hence all aspects of organisational risk management.

Responsible marketing in universities

Although marketing as a social concern in terms of brand, PR and reputation management might not be considered relevant to universities, some research has found evidence for the importance of value perception, brand and customer satisfaction to student loyalty (Brown & Mazzarol, 2009). In Australia the importance of brand is likely to play out in terms of how one university differentiates itself from the others. Often the older universities appear to be the most prestigious in Australia and as a result, younger universities, like Macquarie University (the case organisation in this research), need to try and find ways of making themselves stand out and be recognised. Brown and Mazzarol (2009) suggest that reputation and brand are likely to be more complex constructs than just simply which university is more prestigious. They argue that for universities to enhance their market position they need to adopt a number of specific marketing strategies. Firstly, they need to create a clear brand position within their chosen market that shows how they are different to other institutions. This obviously provides a real opportunity in terms of showcasing strengths that might exist in relation to social responsibility and indeed the importance of image management campaigns focusing on emotional factors that shape student satisfaction and loyalty were discussed by Brown and Mazzarol (2009). Findings from this research also suggested that universities that pursue a strategic marketing campaign that is strongly directed towards target markets may gain a competitive advantage over other institutions, even those considered more prestigious in terms of age. Such differentiation has been found to occur through dealing with specialist issues such as different types of student cohorts, specialised courses and degree niches or specialised modes of delivery, such as expertise in flexible delivery

modes or online learning (Brown & Mazzarol, 2009). It could be argued that social and environmental responsibility may also be a set of such specialist issues that may create a competitive advantage and could indeed provide a point of difference in marketing and PR campaigns.

As a result of some of these issues, branding has become an increasingly common concern for universities: however in order to create a relevant marketing campaign the organisation needs to first define the essence of “what” and “who” it is and what it “stands for” in terms of the organisational values and characteristics that makes it unique. This message should be precise and consistent and delivered consistently to key stakeholders. In addition it should not be something held solely by senior managers but instead be embedded throughout the organisational culture (thereby encouraging all employees to, in a sense, become brand managers). In the context of the increasing corporatisation of universities, marketing and branding becomes important in terms of improving competitiveness and reputation in order to attract customers (i.e. students) and other stakeholders. This has meant that many have recognised the value of ‘corporate identity’ as a powerful, yet somewhat intangible source of competitive advantage (Waeraas & Solbakk, 2009).

It is expected that marketing will play a role in universities as the sector moves towards a more marketised approach to business and where the need to attract students and staff within an international environment becomes critical. What will be explored further is whether there may be potential in universities tackling marketing and public relations within a framework of social responsibility rather than simply as a brand or PR strategy. Thinking of marketing in this way may be a way one university could set itself apart from competitors, and this is something that will be explored further.

Category 8: Philanthropy

Philanthropy can be conceptualised as the voluntary contribution of financial or skill based resources and/or assistance to needy sectors through charitable donations. It is normally considered to be a one way donation of corporate support to charitable organisations in the form of cash donations, employee time or the donation of other organisational resources (e.g. free use of office space). Carroll (1991) argues that philanthropy encompasses the corporate responses to society’s expectation that businesses should be good corporate citizens. He argues that philanthropy is about the desire for community and stakeholders to see corporations contributing in terms of resources or employee time, but that such organisations would not be seen as unethical if they do not do so. As such philanthropy is more a discretionary or voluntary responsibility on the part of business rather than a particular societal expectation (Carroll, 1991). This kind of voluntary gesture often comes as the result of a request from a charitable organisation followed by a donation of money or resources of some kind from the corporate organisation. Traditionally there has been little interaction between the two companies beyond the gesture alone and the gesture

generally lacks strategy in terms of whether the contribution aligns with the strategic objectives of either organisation (Austin, 2000).

Since Carroll's (1991) interpretation of philanthropy, there has been a shift in perspective about how organisations should be undertaking CR activities, with a move towards such contributions being more tightly coupled with organisational strategy. Taking a strategic approach to CR activities has indeed been argued to provide a firm with a competitive advantage and point of difference over others (Porter & Kramer, 2006), which in turn has had an impact on the way that philanthropy is conceived in the literature. Although many organisations still contribute to charitable causes in a non-strategic way there are now other ways of conceptualising philanthropic giving.

One way of viewing philanthropy more strategically is through the lens of it as a transactional arrangement that presents mutually beneficial opportunities for both the giving organisation and the community partner (Austin, 2000). Such philanthropy might take the form of employee volunteerism, for example, which offers a win-win situation for all stakeholders involved, the charity, the employer and the employee (Peloza and Hassay, 2006). The charity benefits by having extra skills and resources upon which to draw, the employer benefits through increased brand recognition, reputation enhancement, employee morale and customer loyalty and the employee benefits, while employees also benefit from a personal sense of achievement in having undertaken a social good, a sense of having done something beneficial for their organisation, as well as potential benefits in the form of learning new skills such as management, creative thinking and interpersonal skills. In addition, as many organisationally arranged employee volunteer programmes are undertaken in teams, there are opportunities for morale and teambuilding to occur, resulting in a more productive workforce and increased efficiencies and effectiveness for the donating organisation (Peloza & Hassay, 2006). Adopting a strategic approach to philanthropic activity means organisations should limit themselves to a small number of charitable organisations so that a closer relationship can be formed between the two parties in order to maximise opportunities (Austin, 2000; Peloza & Hessay, 2006; Porter & Kramer, 2006).

Philanthropy as a social issue for universities

Philanthropy is not an issue that is frequently discussed within the context of universities. When it is discussed, it is largely framed within a notion that would most closely be related to the management literature's conceptualisation of employee volunteering. This relates specifically to the role of academics in the community and pro bono work they might undertake such as; participation on committees, pro bono research work, pro bono lecturing and community engagement or participation on editorial panels or working groups. Although it could be argued that such work could in fact be thought of as part of the responsibility (at a cultural level) of being an academic and therefore not a social responsibility per se, as discussed above, there is a clear sense from the academic community that they are already stretched for time,

thus meaning that much of this kind of community volunteering work is indeed undertaken after hours or on weekends.

As philanthropy is not an issue that would be instinctively recognised as one that is vital within universities (i.e. it would not be normal for a university to freely give money to other organisations), an area for exploration is how this element of the framework is interpreted within the case organisation and how philanthropy is interpreted, or if indeed it has a role in the sector at all. It is anticipated that philanthropy is likely to be discussed more in relation to universities being the recipients of philanthropy (rather than the giver of resources and funding to other organisations). Universities are fundraisers and receive philanthropic money in the form of research grants, bequests, donations and sponsorships. Nevertheless, what will be explored is whether participants in this research feel there is any other role or interpretation of philanthropy for the university sector beyond being the receiver of monetary gifts.

Discussion of findings from this chapter

This chapter has involved the development of an organising framework for the social dimension of CR. This has been undertaken via a process of qualitative meta-analysis and has provided a response to the first research question of the thesis:

Research Question 1: How is the social dimension of CR conceptualised in the academic and practitioner based literature?

Due to the absence of a research-based definition of the social dimension of CR, which was a gap identified in earlier parts of this thesis, the chapter commenced with a substantial qualitative meta-analysis of 301 papers, books and reports. The aim of this analysis was to extrapolate how the empirical and practitioner based literatures defined the social dimension of CR. The findings suggest that there is a strong scholarly focus on the environmental dimension of CR (particularly) as well the financial aspects (e.g. the business case), with very little empirical work being undertaken on the social dimension. Where the social dimension had been studied it has been found that the focus is largely based at two ends of the social spectrum – the micro level, such as through the investigation of corporate giving, community based support or similar (e.g. Brammer & Millington, 2005; Campbell, Moore & Metzger 2002; Dyllick & Hockerts, 2002; Wulfson, 2001) or at the macro level, exploring global problems such as human rights violations or the conduct of multi-nationals in developing countries (e.g. Eweje, 2006; Wilburn, 2009; Yu, 2008). Very little, if any, critical debate was found about what should constitute the social dimension of CR as a broad descriptor or ‘umbrella’ concept, and this was identified as an area that required further investigation. This need has been supported in other research, such as Lee (2008); Lehtonen (2004) and Lockett, Moon & Visser (2006).

Because a gap was identified between knowledge and practice with regard to the social dimension, a contribution of this thesis has been in the investigation of this

aspect of CR in more detail. In particular, this first research question has been addressed through the development of an organising framework that more fully investigates the individual elements that make up the social dimension of CR from an academic perspective.

The normative organising framework for the social dimension of CR developed as part of this chapter shows that there are seven categories of social issues that the current literature review and research in this area suggest organisations should be addressing: employee relations; equity, diversity and human rights; community engagement; health and safety; stakeholder capacity building; marketing and philanthropy. A further category of “other social issues” was also included to cover ideas that were only raised a few times but were also considered to be of relevance to the framework.

Undertaking the qualitative meta-analysis and subsequent development of the framework as presented in this chapter is considered to have benefits for both universities as well as other organisational settings. From an operational perspective it provides a guideline and set of organising principles for social responsibility, which have not been available previously. However, this enhanced understanding may in turn influence strategy by enabling organisations to better position themselves in terms of social responsibility, strengthen their capacity for CR (as a result of greater awareness and understanding of the issues involved) and allow for enhanced communication between stakeholder groups. In addition, the discussion of this framework has emphasised the complex and interrelated nature of the issues that are at play. It is clear that many of the social concerns cut across a number of parts of the organisation and that contextual factors can strongly affect which social issues might be more or less important to an organisation (e.g. human rights is a major concern for multi-national corporations, but less likely to be relevant to a small locally operated business). It has therefore become clear that, in order to be useful at a practical level, this normative, theoretical account of the social responsibility of CR needs to be applied to a range of organisational and contextual settings, and the university sector has been chosen for this thesis.

The framework developed in this chapter is a key contribution of this thesis. Arguably it is the first attempt to synthesise the scholarly and practitioner literature on CR in order to provide a detailed account of the issues of significance in relation to the social dimension of CR specifically. However there remains a need for the practicality and applicability of this framework to be tested within a range of sectoral contexts. In particular questions remain about how this framework might be applied and operationalised by organisations and it is recognised that different types of organisations and sectors will no doubt interpret the framework in different ways. As was discussed earlier, in this thesis the Australian university sector has been chosen as the specific context under consideration in this research given that this sector has an inherent social and moral responsibility within society. The review in this chapter, derives from the corporate sector, will be used to predict and suggest how CR might be operationalised in the university sector and the framework developed here was presented and discussed in interviews with the participants in this research. In

particular the area of interest is how the university sector (and particularly the case organisation for this thesis) interprets the elements of the social dimension of CR and why participants feel this is an influential (or not) area for the sector. How the organising framework developed in this chapter is interpreted by participants in this thesis is the subject under consideration in the next chapter. In particular the aim of the next chapter is to explore how the categories identified in this chapter play out in practice in a university context.

Chapter 6:

Findings 2: The operationalisation of the social dimension of CR in the university context

Introduction

The purpose of this chapter is to address the second research question of the thesis:

Research question 2: How is the social dimension of CR interpreted, operationalised and strategised in the case university?

The analysis presented in this chapter provides a contextual understanding of how the social dimension of CR is interpreted and operationalised at MQ, as well as a thematic discussion of the elements of the social dimension of CR as they emerged from interviews and secondary data analysis. This is an area that requires clarification given the lack of widely accepted definitions or descriptions that are available for the social dimension of CR, particularly within the university context.

The chapter begins with a discussion of findings relating to how the concept of corporate responsibility was interpreted by participants in this research. The aim here was to see whether a clear definition of the social dimension of CR was able to be articulated and it was found that this was not the case. Having established that there is no widely accepted definition, the chapter goes on to discuss findings from more detailed questions asked of participants regarding each of the categories of the social dimension of CR (as developed during the development of the organising framework in the previous chapter).

The findings are presented in the form of seven themed studies on each of the elements of the social dimension identified in the previous chapter (i.e. each category in the organising framework). To develop these themed studies interview participants were presented with the framework (developed in Chapter 5) and asked to comment on the extent to which they felt it represented what the social responsibilities of universities are, particularly from their perspective as stakeholders of MQ. This data was then combined with other findings from the analysis of written policies and procedures in order to provide practical examples as well as opinions from participants. The aim here was to take findings about each of the elements of the social dimension of CR in order to show how the organising framework developed in Chapter 5 differs (or is similar) to what happens in practice in a university context, particularly through identifying how the social dimension is interpreted and

operationalised at MQ. A number of practical examples are thus presented regarding social responsibility as a way of highlighting how each element might be operationalised. The chapter concludes with a discussion on the implications these themed studies have on the application of the framework to a university.

Interpreting the different elements of CR in the university context

The notion of corporate responsibility in the university context was interpreted in a range of ways by participants in this research. Some people found it difficult to think of CR as a concept applicable to universities, particularly because of the application of the word 'corporate' to a sector that *"is really a hybridised structure, but definitely skewed more to the public arena than private sector"* (Zoe, Academic), but this was a small minority. A number of people defined CR as a social and cultural construct based around *"values, ideas, mindsets and ways of looking at the how universities are run"* (Rebecca, Consultant), other interpretations included CR as a way that universities can address an *"uncertain future"* (Abby, Director), or as *"lifelong education"* (Michael, Senior Management). Although a number of participants defined CR as a holistic concept, such definitions were given by those who had jobs that were directly involved in elements of CR on campus, such as academic appointments in sustainability or administrative roles within functional areas that administer CR implementation at MQ. As such it was unexpected that they provided more current interpretations of how CR is being viewed in the literature, an example being Zoe's definition, an academic, who defined CR as a concept that *"integrates challenges at environmental, social, economic and cultural levels"*. Policy documents from MQ referred to CR in the context of strategic long term planning and the embedding of CR across all aspects of the organisation as well as through challenging existing work patterns and structure (MQ's Sustainability Strategy, 2009; MQ's Annual Sustainability Report, 2009).

It is clear there were people at MQ who could clearly articulate what CR means, beyond the widely accepted view that it is largely concerned with the implementation of environmental 'fixes' such as improved energy usage. But despite this, observations at the meetings and university planning sessions indicated that more often people seemed to be more comfortable discussing the environmental element of the CR paradigm than the social or economic, or viewing it as a holistic concept. For example, in workshops attended the focus was heavily skewed to discussion of how MQ might improve the environmental dimension of CR (e.g. a lengthy discussion in one workshop on whether selling water bottles on campus should be banned). This focus appeared to be because many people viewed environmental initiatives as quick wins because they are *"the easiest for people to get grasp of"* (Nathan, Senior Management). A few people stated that the environmental aspects of CR are where many universities start their CR journey and the concept of "campus greening" was discussed at a number of the meetings and workshops attended. This supported ideas that were found during the literature review that suggested there was a strong focus

on the environmental dimension of CR within the university sector. As stated by one participant:

“Well one of the early ideas... is all to do with making the campuses green, making sure there’s enough plants around, making the thing look nice, making sure the buildings are energy efficient and so on. And of course that is part of it, but many places seem to have taken that as the only idea and be focusing on that alone without thinking how else it [CR] impacts the sector.” (Samuel, Academic)

In general, the findings suggested that there was no widely agreed upon definition or notion of CR for MQ. However, those who were directly involved with CR, such as academics working in sustainability areas or managers responsible for areas such as social inclusion in the university were more easily able to provide detailed and articulate definitions of what CR stands for that align more closely with definitions found in the literature. On the other hand, those for whom CR does not appear to directly impact found it more difficult. This finding supports previous research (e.g. Reid & Petocz, 2006) that has also found that people who are involved with work in CR are more likely to be able to succinctly define and articulate what the concept means.

Personal choices around the environmental elements of CR

Other participants took a more personally reflective approach to the way they discussed CR. Some talked of how personal choices in and around the home regarding travel, energy consumption, food and so on had spilled over into how they approached their job in the university. A few, for example, discussed the major impact that international air travel has on the carbon footprint of a university. One aspect that was mentioned, for example, was the travel of international students to and from their home countries. A number of participants also expressed concern about the significant amount of air travel academics undertake by attending conferences and meetings (particularly internationally). Several people stated they had purposely limited travel to conferences because of the associated environmental impact, as seen in this quote:

“Personally I’ve really fought against that [air travel for conferences] through my academic career... I just think it’s quite an unrealistic model on so many levels. I mean is the benefit to the world of this 20 minute conference paper for me actually going to outweigh the amount of fossil fuels I consumed to get there and get back again?” (Abby, Director)

But some participants also talked of how CR influenced their professional roles because of expectations they felt were placed upon them to represent the university at conferences and the resulting impact that not doing this can have on career progression and promotion. This notion was often seen to be an “*ethical dilemma*” for

the academic community in terms of how to balance professional development and research activities while also being cognisant of the environmental impact such travel has.

Findings such as this present an interesting challenge for universities in terms of balancing environmental and social elements of CR. An idea that emerged from the research was how an organisation is able to engage in one of its key social responsibilities - that being to provide support to staff who wish to continue with professional development and research activities while also considering how this support impacts on the environmental footprint of the organisation as a whole. This was an example of how trade-offs were raised in this research, an area discussed in detail in Chapter 8 and that has been supported in research undertaken elsewhere (e.g. Angus-Leppan *et al.*, 2010; Husted & Salazar, 2006).

The economic dimension of CR

There were also discussions about the economic dimension of CR that generally focused on the corporatisation of universities and the impact this was perceived to be having on the delivery of teaching and learning. Again trade-offs were raised but here participants raised problems associated with balancing the economic and social elements of CR. An observation made by one participant was around a *“lack of accountability”* which was perceived to be creating a system that sees some people heavily overworked with others taking advantage of the flexibility inherent in academic life. This highlighted an issue that was seen a number of times during this research around how universities might balance bureaucratic and management control associated with economic elements of CR with social concerns such as equity or work life balance (e.g. how financial sustainability can be considered in conjunction with flexibility, creativity and scholarly independence). This is highlighted in the following quote from Janet (Senior Management):

“The corporatisation of universities have included things like casualisation, which have, in some areas, been detrimental to aspects of the university... So competition has increased and that’s fuelled a sort of settling back to a re-reading of social contract whilst keeping an eye on a business like operations and levels of efficiency. There’s no fat in any universities, you know workloads are massive and no one sits around pontificating on their academic freedom anymore, there’s so much to get on with.” (Janet, Senior Management)

Having considered the range of ways that the different notions of CR were interpreted by participants, the remainder of the chapter focuses specifically on the social dimension of CR and examines how this dimension of CR is operationalised and defined by participants in this research.

Interpreting the social dimension of CR

As part of the early stages of the interview process, each of the 53 participants in this research were asked which element of corporate responsibility (i.e. environmental, social or economic) they considered were important for universities to be responding to and implementing. It emerged that the social dimension of CR was seen as a key aspect of the core business of universities, as can be seen in Table 10, with 64% of participants naming this as the most important responsibility the sector holds. Nineteen percent (19%) of participants suggested all of three elements of CR were equally important. 11.5% thought the environmental was most important and only 5.5% thought the economic dimension was the most important part of CR for universities. This is a salient finding given that the literature review undertaken for this research showed that the current research focus in CR research is on the environmental dimension of CR, rather than the social dimension. However, it should also be noted that participants had been advised in initial email communication requesting interview that the research project being undertaken was looking at the social dimension of CR and as such this may have influenced the findings here.

Table 10: Importance given by participants to each CR dimension

Dimension of CR	# participants who considered this the most important dimension in the HE context (%)	
Social	34	(64)
All three equally important	10	(19)
Economic	6	(11.5)
Environmental	3	(5.5)
TOTAL	53	(100)

Having established that the social dimension was the element of CR that appeared to be the priority for participants in this study, the question then turned to how this dimension was interpreted and defined. It was clear that many participants found it difficult to articulate exactly what the social dimension of CR means for universities, even though they stated that they felt it was an issue for the sector to be grappling with. One participant stated, *“I’m thinking that actually I’m not sure what it [social dimension of CR] is”*. Others stated that: *“I imagine it can be a whole range of things”* or *“I struggle with this”* or *“It means nothing, it means a number of different things”*.

Participants were presented with the organising framework developed in Chapter 5 and were asked a number of questions about the extent to which this framework was considered useful for universities in terms of defining its social responsibilities. They were also asked whether they could think of specific examples of projects or initiatives being undertaken at MQ that might illustrate particular categories elicited in the framework. The other purpose was to ‘test’ the applicability of the framework within the university context. The findings of these interviews, along with analysis of written

documents and policies, are written up in a series of themed studies as presented in this chapter. These descriptive studies use data from interviews, as well as analysis of written documents from MQ to provide specific examples of how each of the social elements are being operationalised at MQ and the way each category was exemplified by participants. One value of these themed studies is that they provide a range of practical suggestions that managers and change agents of other universities might use as ideas for how elements of the social dimension of CR could be implemented.

In general, it was suggested that the framework participants were shown accurately represented the social responsibilities of universities, although many provided suggestions of additions or subtractions that would make the framework more applicable to the university context. These will be discussed in detail later in this chapter. A number of people talked about the social responsibilities of universities as a set of interrelated issues that embrace ideas across a number of the categories, including ethical behaviour, social inclusion and taking a partnership approach to business. This idea can be seen in the following quote from Annabel, an academic:

"I guess my thoughts about it [the framework she was presented with] were that there's a lot of cross over between the categories... The key things are how the organisation treats its employees, how it treats its students, how it treats the community, how it treats its other customers, like research partners and also how it treats its suppliers. Within that, there are some common themes, or common values, or principles. Things around ethical behaviour, inclusion, partnership approach and I guess that's how I would conceptualise social responsibility broadly in the higher education sector." (Annabel, Academic)

However, for some there was a lack of awareness of how individual universities might interpret these issues within a more socially responsible agenda – i.e. with an idea of moving beyond simply what is required by law to the inclusion of issues that might in turn provide the organisation with a point of difference or higher levels of stakeholder satisfaction and engagement.

"As a university, we were created to engage with the community. But we need to also use some of that to provide a point of difference between us and other universities." (Karen, Senior Management)

In general there was agreement that the organising framework developed in Chapter 5 provided them with a deeper understanding what "social CR" stands for and highlights issues that universities are engaging with, but do not necessarily recognise as CR. A few participants suggested that being able to frame the social responsibilities of universities in this way could be a helpful way of starting to embed social concerns more strategically into university business, rather than continuing to implement initiatives in ad hoc ways where a range of diverse plans and projects exist across various faculties or operational areas. This was seen in the following comment by Veronica (Director):

"I think universities are generally making inroads in the treatment of employees, community engagement, equity and diversity, stakeholder capacity

building, but I think that a lot more could be done to put more strategy and coordination around what they're doing, it seems to be generally very adhoc and a little bit disorganised and the communication of what's going on isn't great... so I don't think universities generally are very good at coordinating... I think generally we, the sector, is a little bit disorganised.” (Veronica, Director)

The above commentary has provided insight into the various ways that the social dimension of CR was interpreted by participants in this research. What follows are seven themed studies that examine in more detail how each category from the organising framework (Chapter 5) was interpreted and defined for MQ by participants and through analysis of written documents and policies.

Themed studies on each of the categories of the social dimension of CR

The seven themed studies presented here make up the second level of inquiry in the thesis. There were three reasons for undertaking these issue level studies. Firstly, they provide an opportunity to document a range of examples of how each of the elements of the social dimension of CR are being interpreted and operationalised at MQ. Secondly, they provided a chance to bring in more of the secondary data from the study as a form of triangulation. And thirdly, the themed studies shows an example of how the framework developed in Chapter 5 is tested in practice in one particular sector, in this case the university context. For example, did the issues identified in the organising framework emerge in practice in this sector as well? Was the hierarchy of the model suggested in the meta-analysis applicable? What ideas fell into the ‘other’ category of social issues for this sector?

Each study presents some practical examples of how the theme is being operationalised at Macquarie University, some data and evidence from interviews and supporting documentation, as well as a short discussion of the findings with supporting evidence from other literature (where applicable).

Theme 1: Employee relations

Interviews with some staff showed that there is a sense of unhappiness and cynicism about the way they are being treated by senior management. This was particularly found to be the case for academic staff. As stated by Zoe (Academic) “... *one of the reasons I do this job is because of the social side, because you can actually have a half decent work life balance... but the concern is that that's changing*”. This unrest appeared to stem from what could be perceived to be the ongoing struggle between academic autonomy and traditional academic values on the one hand and the move to corporatisation of universities and the resulting change in management approach. This was highlighted by Donald, a member of the general staff, who discussed how “*there seems to be this great intention to treat employees well and have that as a key*

thing... but it just isn't happening like that in reality". Rachel, an academic, supported this when she said:

"I would love to know if we are even conceptualised by the university management as a critical factor, especially from a socially responsible perspective... I think it is more lip service than real belief in work/life balance." (Rachel, Academic)

A number of similar comments were made by other academics, and in general the sense was that on the one hand academics are told to work 35 hour weeks and maintain a level of 'work/life balance' and on the other they need to continue to meet certain research and academic criteria in order to move up the academic career ladder. Conversely, there was a strong sense from management in this research that work/life balance and a happy workforce are key assets for the organisation. According to universities policies, MQ exceeds legislation around issues that promote work/life balance, such as maternity leave, award salaries, volunteer leave, cultural leave, leave loadings, superannuation and flexibility of working conditions (see MQ 2011 Enterprise Agreement). Whilst such working conditions are not uncommon in universities there was a perception from senior management that some academics and support staff seem to have unrealistic expectations of what being an employee in the "modern" HE sector involves:

"... I think the issue is unrealistic expectations of what being an employee is and of what reward you should be given comparatively... Yes we want work/life balance but equally we want work to get done and a fair reward to be given for that, but some people are wanting an unfair reward which is the problem" (Penny, Senior Management).

Ironically it is the generous workplace conditions provided by MQ that were considered to be contributing to this problem. Although such conditions initially attract people to the sector, it means a number of people have not worked outside universities and therefore have no corporate comparison against which to compare their workloads or levels of stress. The suggestion by senior managers (many of whom had worked within a corporate environment) was that universities were a much less stressful environment than other sectors.

"I've worked in corporate environments where I was basically on call 24/7, like 60 hour weeks, no overtime... people don't know how good they've got it here" (Juliet, Senior Management).

Another issue that was raised by senior management related to problems associated with the processes and systems around employment. For example, recruitment, employee training, induction and succession planning were considered to be undeveloped policy areas at MQ. An additional concern related to the diversity of the workforce, particularly around the employment and retention of indigenous people as well as concerns about how many female employees held senior academic roles at MQ. This was discussed by Patrick:

“HR is a bit of a mess. We do some things really well... the big projects, you know the change management and moving new faculties around and industrial relations. But the day to day operational work we do is inefficient. We’re bureaucratic and process driven rather than customer focused. So we need to fix that up. That has a sustainability link. You know let’s get rid of paper, rework the waste of energy and those sorts of things, they all link together. But my view of social responsibility for the University is in trying to improve HR functions to promote diversity and access to low SES groups so that we’re supporting the broader society as much as we can.” (Patrick, Senior Management)

An additional issue raised related to an ongoing restructuring that was happening at MQ at the time that had resulted in the feeling of disempowerment for many staff, particularly in terms of a perceived lack of consultation and participation. Restructuring was attributed by participants to the perceived increase in workload, particularly around paperwork and administration for academic staff as well as an encouragement to take on new learning and teaching skills and to embed more and more topics and ideas within their course curricula, from “indigenisation” to internationalisation, sustainability, web-based learning and new technologies. From the perspective of academics, this work was seen to be needing to be done with less resources and support than has previously been provided, and at the same time they were required to continue to publish in order to move up the academic career ladder and to align with MQ’s strategic vision of becoming a leading research based university. This seemed to cause a level of stress amongst those interviewed, as summarised by Sienna (Senior Management):

“The morale of many academics is quite low... they’re creating a reputation for the university and don’t feel valued or rewarded for what they are putting in. Academics are people who are intrinsically motivated but when they have people who are not experts in their field telling them when they can and can’t go on leave it makes it difficult.” (Sienna, Senior Management)

In addition to this, academic staff (in particular) and support staff (in some instances) perceived they were undervalued by senior leadership at the time of the research. An ongoing and increasing divide was seen and academics, in particular, felt they were working towards different values and goals than those being promoted by the university. This divide appeared to be producing mixed messages about where priorities lie at the university:

“I really think we need to make sure there’s consistency in our approach and methods and messages. We don’t tend to have that. We say we’re embracing it but then we do something opposite. So I think consistency is critical.” (Emma, Director)

There was a strong sense, largely from academics, that universities are being increasingly driven by instrumental motives and corporate values that go against what the traditional notion of what academia is about. However, the reality is that

the institutional context within which universities now sit mean that there is an imperative to run business models that will maintain ongoing organisational sustainability. One participant, Penny (Senior Management), felt that to develop this organisational sustainability there was a need to increase the “*sense of collective priority*” for this issue, she went on to say:

“To get a community of this size to agree what a priority would be is the difficulty. We’re not very mission driven but we do have this money imperative and we need to work out how this can be incorporated into more traditional notions of how universities should be run.”

The findings presented here suggest that good ‘employee relations’ is interpreted as a key social responsibility for MQ and that although there is a perception that employee relations is being considered by the organisation, as evidenced by policies and processes that exceed legislation, the perception of staff does not appear to match this. These findings support research undertaken elsewhere including in the literature on employee wellbeing generally, as well as in the literature on the university sector more specifically. For example, the literature on universities discusses increases in stress and job dissatisfaction among staff, particularly academics (e.g. He *et al.*, 2000; Johnsrud & Rosser, 2002) as a result of changes that are occurring in the external policy environment. Academic autonomy is argued to be under threat as a result of such change, and the findings of this research suggests that this is causing increased tensions within the academic community.

There are two key points to make in relation to these findings. Firstly, previous research has suggested that the social aspects of academic life are frequently referred to as a source of satisfaction for academics (e.g. Adams, 1998). From this perspective the findings suggest that the social dimension of CR underpins the greater social purpose that universities hold in society and also builds a case for the importance of social morals and values to the job satisfaction of employees in this sector. Brennan (2008: 385) discusses how universities have an increasing “social embeddedness” within a multitude of regional, national and international communities. The findings presented here, along with this research by Brennan suggests that a specific focus on social responsibility may help universities build stronger ties with stakeholders.

The second implication of the findings presented here relates to the fact that there are clearly concerns around the way staff perceive the approach taken to employee relations at MQ. Although this research does not aim to specifically address why or how employee relations can be improved, the finding is noteworthy given that previous research has suggested the centrality of employees as stakeholders in the adoption of CR initiatives (Garavan *et al.*, 2010). Such research has suggested that effective human resource management can play a role in influencing organisational change towards CR. For example, employees who are more likely to understand and value CR are in turn more likely to support change towards such initiatives (Fenwick & Bierema, 2008). But what has been suggested by the findings presented here aligns with research by Willard (2005), who argues that although organisations might have sophisticated CR policies implementation is not successful because those below the

level of senior management, who are setting such agendas, are not aware of what is happening within the organisation. Overall, the findings lead to the suggestion that employee buy-in and engagement in CR could be a factor in the implementation of social initiatives in universities. Interviews with senior management and other staff involved in CR at the university highlight the range of CR initiatives that are occurring at the organisation, hence suggesting it is an important area for the university; however, there remains a lack of buy-in and acceptance of these initiatives in individual perceptions of how these issues play out in practice.

Theme 2: Equity, diversity and human rights

Social inclusion has been formally stated as a strategic priority for Macquarie University (e.g. Annual Report, 2009). Those working in social inclusion at the university are engaged in social and cultural inquiry and collaborative and interdisciplinary research on key social concerns such as work reform, globalisation, cities, migration, multiculturalism, racism and welfare (www.mq.edu.au).

MQ is one of the universities in Australia with the lowest participation rates from disadvantaged socio-economic communities, and this creates external and institutional drivers for why social inclusion is such a prominent agenda item at the university. It is also a critical issue to address given national targets that have been set by the Australian government that require student enrolments from low socio-economic (SES) backgrounds to increase to 20% by the year 2020 (Bradley *et al.*, 2008). MQ currently has one of lowest participation rates of people from low-SES backgrounds, at six percent of enrolments, so there is obviously a significant increase required to meet the national target. However, as the university is located in one of Sydney's more affluent communities, and it is known that students largely choose the university they attend based on geographical location and its distance from home (Brown & Mazzarol, 2009), it is clear that MQ faces challenges in its attempts to increase these participation rates.

In an attempt to overcome these challenges, and as recognition of the importance of social inclusion to MQ, the university was the first in Australia to appoint a Pro Vice-Chancellor in Social Inclusion, who has a growing staff and portfolio responsibility within the university. The university has also identified social inclusion as one of its 'concentrations of research excellence' (CORE), meaning that it has identified it as an area of research strength for the university. It is worth noting that, although government targets for social inclusion were set for Australian universities in 2008, social inclusion was implemented strategically at MQ in 2006 as part of the then Vice-Chancellor '*Macquarie@50*' agenda (see Chapter 4 for a description of this). This suggests that although there are institutional drivers for equity and diversity as set by government, that MQ has also been proactive in recognising problems in this area and has attempted to implement a range of initiatives to begin to overcome these problems (see www.mq.edu.au for detailed information of strategic initiatives described here).

MQ defines social inclusion as “... *giving everyone who has the potential to benefit from higher education, the opportunity to study at university, participate in campus life and flourish in their chosen field*” (www.mq.edu.au). Those working in MQ’s social inclusion area talked about the strategic agenda around providing and orchestrating opportunities to attract and integrate students from diverse cultural backgrounds as well as enhancing the university’s commitment to local students, whose circumstances might otherwise prohibit attendance at university. The implementation of this agenda is being undertaken in a number of ways, including through equity based scholarships and alternate entry pathways. Some such initiatives are briefly described in Table 11 below.

Table 11: Summary of some of the social inclusion initiatives at MQ

Name of initiative	Brief description
Warawara – Department of Indigenous Studies	Indigenous advocacy area both for teaching and policy/research. Promotes and supports education for Indigenous people in the community and within MQ
Indigenous Science Education Programme	Support and engagement of Indigenous youth in local high schools in the area of science and technology. Since programme inception in 2009 14 Indigenous students have graduated from Year 12 (compared with only 4 in 2007). MQ offers scholarship support to Indigenous students coming out of the programme.
Scholarship support	MQ offers a number of scholarships to school leavers and undergraduate students based on financial need or other hardship.
Alternative entry pathways	Provide access to prospective students who may not otherwise gain entry to MQ (e.g. those who have experienced disadvantage during high school).
Mature Age Jubilee Scheme	MQ offers a small number of places to mature aged undergraduate students who have not yet previously studied
Educational Access Scheme	Opportunities provided to school leavers who have suffered serious social disadvantage or other circumstances beyond their control.

The examples presented in Table 11 show some of the ways that MQ is attempting to implement social inclusion at a practical level from the perspective of those working in the area of social inclusion as well as from organisational documentation. However, during interviews it was also found that the issues around social inclusion, equity and diversity were some of the most passionately and profusely discussed by participants. There was a strong sense that MQ has a responsibility to assist and improve its engagement with marginalised people from poor communities or areas of other social disadvantage, yet it appears that people not were sure how this might best be implemented.

Social inclusion and equity was interpreted in a range of ways, but largely was considered to be about creating real opportunities and pathways for participation in

society. This idea was summarised well by Patrick (Senior Management). *‘We have a responsibility to promote quality in terms of access of information and resources for all, but also to promote peace and understanding in the community’*. This finding has positive implications for the ongoing implementation of social responsibility at MQ and demonstrates that there is support for the social inclusion agenda that has been set.

Participants felt that MQ has done a few things that signal a particular commitment to social inclusion, equity and diversity. The first one that was recognised by almost all participants was the appointment of the Pro Vice-Chancellor of Social Inclusion, which was seen as an indication that Macquarie is committed to social inclusion and the issues that fall under that agenda. However, some cynical participants felt this was more likely to have been a commitment made because of the fact that government funding will soon be linked to the types of disadvantaged groups that are being serviced by a university. The other idea mentioned was around the strategic basis upon which social inclusion was being addressed in the university. For example, not only is it clearly stated as a core strategic direction for the university, as well as a centre for research excellence, the issues are also being embedded into academic plans and other learning and teaching documents. Statements like the ‘acknowledgement to country’ on the front page of the website (an acknowledgement to the traditional owners of the land upon which the university lies) were felt to be a sign of commitment to such issues.

Another idea raised was that support needs to be extended to students’ families. Many low-SES students or students from Indigenous backgrounds have not had family members who have attended university. As a result, universities are often seen as intimidating environments and even if the student has performed well academically at school there is reluctance to send them to university. So there is a need to work with parents and the community in order to overcome and break down perceived barriers. This might involve working and partnering with local community groups and organisations and ensuring they understand what attendance at university means, how students can apply (often even these simple issues are key barriers) and even literally bringing people to campus and showing them that it is a real and viable option. Mentoring programmes were another suggested way of achieving these kinds of goals.

Support and resources was a strong theme in social inclusion discussions, with many participants stating that although there is a strong rhetoric from senior management about the importance of social inclusion and equity, there is a lack of resources being provided to actually support real and meaningful change on the ground.

“... there’s an inherent tension isn’t there if you’re an institution and on one hand is trying to scramble its way up all the research excellence measures and on the other hand is trying to reach out to students who require a higher level of input from the teaching and in order to succeed there’s no way around the fact that it just requires putting a lot more resources into supporting those students, it’s the right thing to do” (Kate, Academic)

As the university has such a large international student population, the way that equity and diversity impacted this community was also discussed, particularly with regard to the treatment of international students once they arrive at MQ. There was the sense that the recruitment of all students, but especially international and those from disadvantaged backgrounds, needs to be undertaken on a sustainable basis. It is about improving the numbers of these students so that government targets can be met, but then about ensuring that appropriate resources are made available for these students to adequately support them through their studies. Donald (general staff) stated that:

“I’m not a great believer in targets around this stuff... too often we end up taking people for the wrong reasons and tokenistic gestures without looking at whether they really are the top people for the jobs, or whether we can support those students properly once they get here.” (Donald, General Staff)

It should be noted that in the months that followed the interview stage of this research, a number of media articles emerged about the poor living conditions in student housing around MQ, with many MQ international students quoted discussing safety and health concerns (e.g. Narushima, 2011a; 2011b). Although it is unknown whether these were university endorsed houses, it nevertheless was a tarnish on MQ’s reputation regarding the way international students are seen to be treated by the university.

The findings of this study suggest that equity and diversity should not be responded to as a reactive response to institutional drivers, but instead should continue to be a priority area as appears to be the case at MQ. Participants talked about how people from disadvantaged groups, be they students or staff, need to be given the support and resources to allow them to succeed. They discussed how MQ is facing a difficult challenge in the recruitment and retention of low-SES students and the location of the university means it attracts some of the wealthiest (local) students in the country. A few participants talked about how the university might overcome this difficulty, particularly through challenging the entire notion of how students use a university, how they attend, and how they are selected in the first place.

It is clear that although a strategic social inclusion agenda has been set at MQ, and a number of apparently effective programmes are underway, there does seem to be a lack of recognition of how social inclusion might relate to other organisational or social issues. Social inclusion and equity/diversity appears to be driven by a government policy agenda, rather than proactive internal motivation. Nevertheless, the efforts being made at MQ with regard to social inclusion do appear to be considered by participants as an area of strength for MQ. This is perhaps a result of senior management of MQ having made this a strategic priority of the university.

Theme 3: Community engagement

Community engagement was seen as a key social responsibility for universities and there was the sense that in order to demonstrate a commitment to social responsibility the concept needs to be embedded into all aspects of HE – from operations, through to teaching and learning. This was a point clearly stated across all levels of the organisation, from the Vice Chancellor through to general staff and students. Community engagement was an area that appeared to have a strong focus at MQ and two specific community engagement activities exemplify this: MQ's partnership with Australian Volunteers International and a project that sees MQ partnering with local high schools with the aim of improving HSC outcomes and participation rates in higher education for indigenous and low-SES students.

MQ's Partnership with Australian Volunteers International

The first example comes in the form of a partnership between MQ and Australian Volunteers International (AVI). AVI is a not for profit organisation that focuses on people centred development, particularly through volunteering. MQ is partnering with AVI as part of a new curriculum model that is being progressively implemented over the next few years and that focuses on what the current generation of students will require to become engaged global citizens.

Underpinning these curricula changes is a set of graduate capabilities, one of which is sustainability. These graduate capabilities are supported by four core values of Scholarship, Ethical Practice, Sustainability and Engagement, which are presented as the guiding principles within which the curriculum is based. These guiding principles have led the university to define its curricula within the boundaries of 'People, Planet and Participation', which sees all undergraduate students of all degrees being required to undertake a course in humanities ("people"), in science ("planet") and in some kind of learning or experience outside the university, i.e. the participation strand.

It is the "participation" strand that is of most relevance to the discussion of community engagement. This part of the model requires all undergraduates to partake in some kind of community work outside the university as part of their degree (this was implemented from 2011). This is a flexible requirement providing students with a range of local and international opportunities, such as assisting in a community development project in the developing world, mentoring within the local community, undertaking a local or national consultancy project or working with the local council.

Through participation in a mutually beneficial partnership between Macquarie and AVI the outcomes of this new model can be implemented. Finding community engagement placements for around 15,000 students is too difficult a task for the university to achieve on its own, so this partnership is mutually beneficial and strategic (c.f. Austin, 2000) as it sees Macquarie benefit from the skills and experience of AVI in working and volunteering in national and international environments and

where AVI benefits by having a significantly larger number of volunteers to send to its growing list of projects and opportunities.

What distinguishes this programme from traditional volunteering is the link to learning outcomes. The experience is about learning in context and provides opportunities for MQ to strategically use its core knowledge, skills and capacity not only to engage and assist in issues that are affecting its communities, but at the same time be enhancing the 'real world' applicability of its degrees and courses. The programme has local, national and international implications and therefore crosses boundaries in at least all of these areas. Although this is a very brief overview of this project, it does provide a good example of a community engagement activity that is being undertaken at MQ, and thus an example of how MQ is currently implementing an element of social responsibility.

Partnerships with local high schools

Another community engagement programme worth highlighting here is MQ's partnerships program with local high schools that are focused on assisting indigenous students and students from low socio-economic backgrounds to complete high school and have the opportunity to attend university.

A specific project that is part of this programme is The Science Partnership; a collaboration between MQ, state government and a group of four local schools that have particularly low numbers of students who go on to attend university. By using innovative teaching a learning practices, the collaborators in The Science Partnerships strive to positively influence young people's attitudes towards the study of and careers in science, technology, engineering and mathematics. Such learning models include:

- Research projects such as; 3D computer games imaging, sedimentation analysis and astronomy
- A tutoring programme for school students provided by Macquarie University undergraduates
- Professional learning programmes for science teachers; and
- A major research project around best practice in science teaching and learning,

The two projects outlined above provide examples of how MQ is strategically using its skills and resources in order to develop a greater sense of community engagement. The examples also highlight the overlap that exists between the social dimensions of CR, particularly between the dimension of 'community engagement' and the dimension of 'equity, diversity and human rights'.

In terms of findings from the interviews, on the whole participants commended the proactive approach that MQ is taking to community engagement. Indeed examples were found across all levels of the organisation, from general staff: *"The participation strand [of the new curriculum] is interesting. It is such a key strategic initiative and cuts across the whole university. It's fundamental to our relationship with our*

stakeholders both inside and outside the university” (Aaron, general staff) - to senior management:

“I think engagement with the community is high, and particularly around industry links and the research side of things... their aim is to be thinking about engaging with the internal Macquarie university community and also then with the external community.” (Andrea, Senior Management).

Participants generally believed that the university has a responsibility and obligation to society and internal university communities to ensure it is contributing to the enhancement of environmental and social conditions. A strong argument for this arose from the fact that universities in Australia are partly publicly funded. Because facilities and research is, to some extent, funded by tax payers, universities in turn have a duty back to society, as highlighted by Rachel, an academic when she stated; *“We have a responsibility to the tax payers”* and in this quote:

“I think for our operations, our learning and teaching and research, we have a responsibility to society and to our own internal community to make sure that we’re doing something to improve the environment and the social conditions given that they are really paying us for this in a roundabout way” (Emma, Director)

The way that universities might go about such engagement was also considered. Many participants suggested that making use of the core skill of the sector – that of learning and teaching – was a way of ensuring a lasting and meaningful commitment in this area. An issue raised here was one of reciprocity and mutual benefit (Austin, 2000) and this was framed in a number of ways. Firstly, it was around ensuring the ethical production and application of research and ensuring a reciprocal relationship between university and community via partnerships with businesses, partnerships with organisation and partnerships with individuals. But it was also framed as the idea of students and staff being privileged members of society who have a responsibility, and even obligation, to give something back to their communities, locally as well as nationally and internationally. There was a general sense from participants that engagement with the community at MQ was high, particularly regarding industry links and ethical research practices. There was also agreement that engagement with local communities, including internal communities such as students, was high.

Questions were raised about who the communities of relevance are to MQ, and universities in general, and how to choose which communities to assist. The comment was made that universities have huge and diverse community bases with different needs and demands. How to resolve which communities are supported and in what order relates to the importance of stakeholder theory to the current research problem and in particular careful stakeholder identification and management (Donaldson & Preston, 1995; Frederick, 2006; Waddock, 2004) was a question that perplexed a number of participants, as seen in the following quote:

"I think we have to listen to our stakeholders. We have to look at where the issues are in society and pinpoint places where we can make a difference and work out which of these stakeholders are more or less important. If we see it is our responsibility to help fix that problem then it's really working with government or industry or private individuals to develop resources to help them. I think as a sector it's a shame that we've become so competitive with one another when we all serve an important role and of course we should all be striving for excellence... I guess that's part of what the massification of education has done, one would think it would open up for more cooperation, I think we should be looking more to cooperate and maybe a university like Macquarie which is situated in quite a wealthy part of the state, perhaps we should partner with some university that's in a poorer place and help them develop new programmes that they don't have that we might have." (Stephanie, Senior Management)

Community engagement was thus seen as a key social concern for the university sector. It is an idea that brings together the concept of stakeholder identification and management with the management of implementation models such as partnerships. Analysis of what is happening at MQ finds support for such models, as indicated here:

"How do universities engage with local communities, and national and international communities? That engagement could be through some sort of cultural initiatives, or an educational initiative that's not necessarily award-bearing, or it could be through some sort of consultancy to improve an element of a community issue. A council might want the university to do some research for them, for example. That idea of the university and the community working together in a sense of reciprocal arrangement is really important too. I guess I see the university at its best as being the centre of the community, and fostering relationships, and its worse when the university is separate from the community, and does not engage in those relationships. What we're wanting to do at Macquarie is have the university very much at the centre of the community and operating at a number of levels: partnerships with businesses, partnerships with organisations, and partnerships with individuals." (Karen, Senior Management)

In terms of the organising framework from Chapter 5, the main implication that has arisen with regard to community engagement is that this is a key issue for the university context and as a result this dimension is perhaps one around which the other social dimensions of CR in the framework might coalesce. There are obviously strong ties between this dimension and that of equity, diversity and human rights and there is also a strong reliance on staff and students in order for initiatives around engaging with the community to be implemented. This has implications for how the organising framework is adapted for the university context, as considered later in the chapter.

Theme 4: Health and safety

Health and safety was not an area that was identified as readily by participants as a core social responsibility for universities. However, as it had been identified during the qualitative meta-analysis as an area that was considered important to consider as part of social responsibility for organisations and, for the sake of completeness, a themed study was still undertaken on MQ's approach to this area.

As an organisation in the state of NSW, MQ is required to conform to the requirements of the Occupational Health and Safety Act (NSW) 2000 and the Occupational Health and Safety Regulation 2001, as well as other relevant Australian standards. The responsibility for providing a healthy and safe workplace falls to University Council and the Vice-Chancellor who are accountable for ensuring that all activities conducted at MQ are done so in a safe manner and are compliant with relevant legislation. Indeed, Councilors of the university hold personal liability in terms of OH&S issues and therefore take great interest in this area. At an operational level, the health and safety unit of the university falls within the Human Resources department which is responsible for implementing the organisational wide health and safety direction, structures and policies for the whole institution. This unit aims to achieve a working environment that minimises risks and injury by:

- Setting the University's OH&S Management direction.
- Establishing Key Performance Indicators for the University.
- Reviewing the University's OH&S Management System
- Measuring the University's OH&S performance.
- Assisting managers and supervisors to manage health & safety, and injury management as an part of their day to day operational practices;
- Developing and reviewing OH&S policy, procedures, guidelines and tools;
- Delivering OH&S training programmes for managers, supervisors and employees;
- Coordinating durable return to work for injured employees
(Source: www.pers.mq.edu.au/HealthAndSafety.html)

These aims are operationalised via a number of sub-unit areas focusing on: occupational health and safety (policies and procedures around the university's commitment to health and safety of employees and students); workers compensation (assistance for employees returning to work following a work place accident or illness); training (covering workplace induction, office safety, office ergonomics and manual handling of dangerous equipment); employee assistance programme (helping employees deal with work and/or personal issues that can have a negative impact on their quality of life, general sense of wellbeing and work performance); first aid (the provision of emergency treatment for people suffering injury or illness at work) and staff wellbeing (a set of support services around mind, body, spirit and family for staff of the university).

It is thus clear that there are a number of legislative, and thus institutionally driven, issues that need to be addressed by MQ in order to maintain the appropriate levels of

health and safety on campus. However, the description of the sub-units above also indicates that there are a number of issues under consideration by the health and safety unit that have the potential to be a matter of social significance due to underlying issues around staff and student wellbeing and emotional health.

As discussed above, few participants recognised health and safety as an issue of social importance in and of itself. A number of participants suggested that health and safety was an issue that should fall under the concept of ‘treatment of employees’. As stated here:

“I would stash the two together [treatment of employees and health & safety] because any organisation needs to treat its employees with respect and courtesy and a part of doing that is making sure that their workplace is a healthy place to work, both in a physical and emotional sense.” (Alex, Senior Management)

In addition, those working in or around the area of health and safety (e.g. members of human resources teams or senior managers) felt that the issue was one that was not given high enough priority in universities and it was believed that health and safety of the workforce is a key problem that needs to be brought to the attention of managers in this sector. Tom (Academic Management), for example, stated; *“I do think health and safety is important and ought to come higher up your framework.”* And Donald (General Staff) talked about how:

“OHS is often seen as it’s purely work related, but its intentions come from a health and safety and a welfare aspect. I’m not big on using the word welfare because I think it has connotations of paternalism, but a lot of what OHS is about is actually about making people feel well at work. There’s a legislative side, but then there’s a social side of people being involved in making an environment which is safe, but also healthy psychologically and that’s why maybe the welfare side is becoming pre-eminent in terms of where resources are pushed, just because bullying, harassment or stress are so important to levels of workplace health.” (Donald, General Staff)

This quote leads to another idea discussed by a number of people regarding how health and safety are often seen purely as workplace safety issues (e.g. in terms of operating dangerous machinery or set up of desks and chairs for workers) rather than being seen holistically and embracing the idea of welfare and wellbeing of stakeholders. So health and safety was perceived as having a strong social focus in universities in terms of ensuring that people feel they work in an environment that is physically safe, but also healthy in an emotional sense and free from bullying, harassment or stress. It was in this way that the issue was particularly framed as a social concern. A few participants talked of how they felt that people in management positions in universities lack the skills to be able to deal with complex concerns such as bullying or harassment. Anecdotal stories were told of situations where covert bullying and harassment were used as ways of pushing people towards redundancy or retirement. This was felt to be a particularly unpleasant side to the sector and one

that needed institutional reform in terms of the culture and dynamics that exist. After the interview period concluded, a number of examples of such bullying occurring at MQ were cited in the media, which supported findings from interviews that there may have been an underlying culture of bullying being tolerated in some parts of the university (e.g. Pemberton, 2011; Steketee, 2011).

The other issue that was raised a number of times in terms of health and safety was around students. This was framed in two ways. The first was regarding the implementation of the 'participation' strand of the new curriculum model (see Themed Study 3 for details). Although this programme is influential in terms of improving the university's engagement with local, national and international communities, a number of risks are involved that were raised as serious concerns. These included risks to the emotional and physical wellbeing of staff and students involved in the programmes (particularly for those who might participate in programmes in the developing world or politically unstable environments).

"We're sending students overseas to build houses in Peru as part of it [participation programme]. What risk assessments have we done?... I think certainly the university is wanting to engage more with the community and I think that's a good thing. We need to be out there and we need to be doing more... But these things have to be moderated by reality and making sure that the students and staff involved are kept safe." (Donald, General Staff)

Some participants commented on the safety and wellbeing of students while they are on campus. People talked about how students spend a significant proportion of their time on campus and how this results in a range of responsibilities for the university that are not held by other types of organisations, as discussed here:

"I'd probably put health and safety up a little bit higher. The reason that I say that is based on the question of 'do I feel safe?' Pretty simple question, and for a lot of students they don't feel safe, and they don't feel safe not just because of what we're doing here but it's their ability to get here from wherever it is that they live. So what do we have control over? We have control over this environment here. Now this university was built at a time when most of the classes were held during the day so as soon as it got dark the place was a black hole. Well that's not the case anymore so you've got the whole physical environment that needs to be looked at so I do feel safe. So it's lighting and it's where you put vegetation and pathways and meeting points and alarm regress buttons and all those things and then it's the security. We had security guards typically at a university that lock the buildings and book you. So do they make me feel safe? Not really. As an international student seeing a guy with a uniform and you need help, you're not necessarily going to go to them." (Penny, Senior Management)

The reading of policy and procedure documents indicated that MQ offers a range of services for students (as detailed in Themed Study 1). However there was a perception from some participants that a key social responsibility exists in identifying

and meeting the specific needs of the student base and that this was not being done. In particular people talked about how the physical environment on campus needed to be safely maintained both during the day as well as over weekends and in evenings, for example through effective path lighting, having emergency alarm points and maintaining security presence for students who attend classes outside normal teaching hours.

Theme 5: Stakeholder capacity building

The concept of ‘stakeholder capacity building’ was interpreted by participants as being closely linked to the idea of ethical teaching and learning within universities, and in particular was often associated with the idea of the ethical dissemination of knowledge by universities. So the concepts of ethical research, the way research is undertaken, the types of partnerships that are made to fund research and the way that teaching activities were undertaken were all areas of discussion here. Participants frequently expressed the view that the way that learning, teaching and research functions are undertaken should be understood as one of the fundamental social responsibilities of a university. These findings were supported in policy documents reviewed, which made statements about education playing a key role in social responsibility development through providing examples of best practice, educational activities and research direction (MQ’s *Sustainability Strategy*, 2006).

Participants across all levels of the organisation discussed how a key social responsibility for universities, as learning, teaching and research institutions, is to ensure that students and staff are engaged with issues that are relevant to the society they will be living and working in. One of the administrative staff summed up this view, stating that it is:

“... about teaching and about research in terms of creating a more global consciousness, in terms of thinking about global citizenship, thinking about all the systemic linkages that we have throughout the whole world, really opening people’s minds to those [and then] linking that with communities so that we’re not just these ivory towers and places of learning, but it’s real, but it’s grounded.” (Fiona, General Staff)

Indeed one of the academics also stated that:

“There’s a moral responsibility for universities to be outspoken on social and political and environmental issues, drawing from its learned reflection and its research.” (Kate, Academic)

Due to the fact that elements of the social dimension of CR are really about the contribution an organisation is making to society, in ways that go above and beyond the regular business of that organisation, it is tempting to argue here that the ‘core business’ of learning, teaching and research cannot be considered a social responsibility, given that this is what universities are meant to be doing anyway. Nevertheless it was definitely seen as an element of responsibility for universities in

relation to stakeholder capacity building. Indeed, a quote by one of the participants neatly sums this up:

“Stakeholder capacity building is about striving to provide opportunities for as many people within the University community as possible and also about giving the students coming into the university the chance to achieve their best reality, which in a sense is about giving back to the community but is also about the chance we have to do our learning and teaching work in a way that makes a real and valuable contribution.” (Samantha, Academic Management)

Another idea raised in relation to teaching and learning and the role of capacity building was in opportunities that universities have to upskill people through offering cheaper degrees and courses to specific stakeholder groups (e.g. staff), essentially offering *“education at reduced prices”*. This was seen as a simple way that the sector might increase its level of social responsibility, without it being a significant cost or impediment to the business model, and it was recognised that this was something that MQ was already doing quite well. This kind of idea provides a mutually beneficial arrangement for both the person and the organisation as the university benefits from having more highly qualified staff members and the person benefits from having a higher academic qualification. This is an example of the type of strategic social responsibility that is talked about by authors such as Porter and Kramer (2006).

Stakeholder capacity building was thus interpreted by a number of participants as ethical teaching and research and was considered a key social priority and responsibility for universities.

“We’re a learning and teaching institution, we are a higher education institution and therefore we have a responsibility to make sure that we teach our staff and our students about the issues that are relevant to society and help them make more informed, more clear or even critical decisions when they leave this university. We’re also a research-based institution and I think if you’re going to undertake any kind of research it needs to be something relevant to society.” (Emma, Director)

This was an idea that was raised in the context of the inherent tension that exists in the university context between institutions trying to reach research excellence while at the same time trying to support a growing body of students. Ethical teaching and research was also raised in terms of universities having a responsibility to be teaching staff and students about issues that are relevant to society. There was a perception that universities have a social custodial role in this way, in that they are *“custodians of past, present and future knowledge”* (Karen, Senior Management) and the dissemination of that knowledge is a critical social responsibility. This leads to the another issue that was raised by participants which was around the need for better succession planning in universities.

Given that there is a high proportion of the academic community who are getting close to retirement age, some participants raised questions about how the sector more

generally is preparing for this problem and what could be done about it. Stakeholder capacity building for staff was considered a proactive solution to this problem, perhaps through encouraging further study or by implementing better career pathways for junior academics. One participant discussed how they had created a deputy position to their role as Dean so that there was a better trajectory that academics could follow within that department, rather than have them move to another university when they want to move up the ranks. This same participant had also encouraged all professional staff to commence or complete study to at least undergraduate level and offered support (e.g. flexible working conditions) to be able to do this. There was also a sense that capacity building for staff was about using specific areas of expertise (e.g. in research or teaching and learning) to assist and transfer knowledge to other parts of the organisation, so this might involve sitting on committees in other parts of the university or teaching in courses in other faculties or departments.

Stakeholder capacity building within the student population was also raised, and this again related back to the idea of ethical teaching and research. Although a number of people spoke about this in a similar way to how they spoke about 'engagement with the community' showing the blurred boundaries between these two categories, there was a sense that the university was putting programmes and initiatives in place to upskill students and to provide students with opportunities outside the more traditional learning pathways. As part of the university's 'participation' programme in the undergraduate curriculum, for example, students are given opportunities to work in developing countries as well as local communities and this provides them with a range of practical skills that they would not have otherwise received from a traditional coursework programme.

Overall, the conceptualisation of stakeholder capacity building in the university context aligns with how it was defined in the organising framework from Chapter 5, that being about the upskilling, mentoring and education of various community stakeholders. However, a number of differences were also noted that are different in the university context. One of these is around the social responsibility that universities have to undertake ethical learning and research and to make value driven decisions about corporate partnerships and sponsorships that support research and progression at the university (e.g. MQ has a policy that it will not accept funding from tobacco companies for research, no matter what the research project or how much money is offered). Given the core business of organisations in this sector is learning and teaching, prompting awareness raising and increasing wider social engagement through education play a special role. The findings from this research suggest that there are significant opportunities for MQ to use the combined resources of staff, students and the university community as a whole to make a contribution to CR in society, and that indeed there are examples of the university already doing so to some extent. Ethical teaching and research, succession planning, career pathway development and promotion of ethical research partnerships and sponsorships are some of the issues raised.

Theme 6: Responsible marketing

There was general agreement that marketing and advertising activities at MQ are ethically undertaken, representing an ‘*authentic student voice*’ (Veronica, Director). For example, the marketing department uses commissioned photos of students from around campus (versus stock images) as well as quotes of actual students talking to other students about their experiences.

Participants suggested that marketing and branding have become areas of increasing importance in universities resulting from the increasing corporatisation of the sector and competition from other higher education providers. Responsible marketing was largely considered to be beneficial in the university setting as untruthful and unethical marketing were considered to be potentially dangerous and destructive to the reputation of universities. There was a sense that current marketing efforts in the sector are focused on ‘*recruitment not retention*’ (Penny, Senior Management), that is getting students through the door rather than supporting them once they arrive. A few participants felt that marketing in universities needs to be broadened to include consideration of issues around retention, longevity and connectivity between the university and its students, such an idea was suggested here:

“I think marketing needs to broaden its responsibility to working really closely with people on retention and longevity and connectiveness with students in a continuum. So alumni is an example, it shouldn’t start when you graduate, it should start when you’re recruited. That’s why I think alumni programmes don’t work very well.” (Penny, Senior Management)

Marketing was also discussed in terms of the ethical approaches that need to be taken when marketing the university to potential students and stakeholders, particularly international students or students from low SES or Indigenous backgrounds. In Australia the higher education sector is heavily legislated in this area by a body of legislation called the Education Services for Overseas Students (ESOS). Under the ESOS Act (2000), universities have a responsibility to accurately describe courses offered to international students in a truthful way and with integrity. Marketing and communication materials are not to contain false or misleading comparisons between universities, there cannot be inaccurate claims of associations with other university providers and advice and information (including photos) about the local community environment, provision of local accommodation, cost of living and fees and course content should not be misleading to potential international students. Overall, it is about being truthful, and managing the expectations of students before they arrive and carefully explaining the experience they will have in Australia. In accordance with the ESOS Act, those interviewed from the marketing area at MQ believed that marketing to international students was being undertaken in an ethical way. For example, material developed clearly states that the campus is thirty-five minutes away from the centre of the city and therefore not an inner city university. Photographs of accommodation rooms are realistic and the cost of accommodation and availability are accurately described. In addition, truthful descriptions of part time job

opportunities and pay rates are given so as not to increase student expectations about what might be possible in terms of part time employment.

Although participants believed that universities are good at spreading the word about their research or work in the community, there was the perception that marketing has been used to get *'butts on seats and numbers through the door'* (Imogen, General Staff) rather than specifically about targeting the needs of key groups and spelling out why they might choose MQ over other universities. Participants felt that universities were not good at this as they do not gather the appropriate information and data about what students want and how they would want this presented.

"I think there's a lot of work that we still need to do around the specific marketing for equity groups... universities are very good at spreading the word about their good work and about their research and that's all fine, but it's how you get that part of the university to be talking to us to be working on stuff, to encourage people who are not white anglo rich kids or international kids, so it's about scholarships and it's about familiarity, it's about aspiration building." (Andrea, Director)

As a result the perception was that marketing campaigns ended up being more about how senior management see the university and less about what would attract a wide range of students and stakeholders. Despite this, some practical solutions were put forward for how this might be improved, including this suggestion about how marketing might be improved to Indigenous students:

"Indigenous students might be a quite specific thing and something that hasn't really been done in any systematic way by the central marketing people... Macquarie [University] are trying to address the issue of diversity when they put their brochures and things together, but they do it by putting a picture of an Asian looking student here, or a woman here, or that kind of thing. They're doing the best that they can I guess but I've seen other institutions that have very specific marketing practices for indigenous students. So they will have brochures that are visibly Indigenous specific. They'll have logos, those sorts of things. They'll have the flags on them so that they really speak straight away to Indigenous students so that the students recognise themselves in it and feel less alienated and isolated at the idea of attending university." (Samantha, Academic Management)

Internal marketing was also raised as a weakness, presented in terms of *'selling ourselves to ourselves'* (Emma, Director). This was particularly seen to be the case in relation to improving internal communication processes and engaging more people in changes happening in the university, therefore helping to create buy-in for issues such as social responsibility.

"... it comes down to how you engage with the employee when they first get here. It's not for improving turnover as that is already so low it's almost inconsequential, instead it's so that people understand why they want to work for the organisation in the hope they will want to improve it and engage with

it. So I actually think marketing is an area requiring real improvement if social responsibility is to be improved. I don't think we've realised that yet, or if we have, we're not doing it very well." (Emma, Director)

It was suggested that such marketing needed to start when an employee first started work at an institution, which then turned into an ongoing process of helping people understand why they work for the organisation, what the organisation stands for (values) and the ways they might be able to help improve or contribute to development. The literature indicates that brand management and the statement of "what" a university is and what it "stands for" is important (Waeraas & Solbakk, 2009). This should come from a clear set of values and a consistent message being put forward to all stakeholders. Participants suggested that MQ lacks an understanding of what the organisation stands for (*"we don't know what we are as an organisation"*) resulting in mixed messages being put forward from different parts of the organisation. In addition, it was indicated that although a message was being put forward from senior management (around the university as a research institution of excellence), that in actuality this rhetoric was not being translated to a set of values and aspirations that were being understood and operationalised within the larger organisational community. As such the university lacks a certain brand association which means there is no *"value proposition"* to put forward.

These findings support work that has previously been undertaken in the area of marketing and branding in universities. In their study of a regional university in Northern Norway, for example, Waeraas and Solbakk (2009) found that there were considerable difficulties in defining the university's identity and "essence". They argued that there were two main reasons for this, which may also be applicable in this context. Firstly, they found there were diverging conceptions about the university's central values and characteristics. Their data indicated that the organisation they studied lacked a single identity and instead were a collection of individual units that had different purposes and who defined the meaning of the university in different ways. In addition, they found that although managers made an effort to define strategy in terms of values and essence this was not well translated across the university.

The implications are that although some participants felt that marketing was an issue of low importance in universities, there are a number of elements to marketing that are particularly related to an agenda around social responsibility. The findings here support Waeraas and Solbakk's (2009) assertion that universities need to take a more pragmatic approach to their marketing and branding opportunities that take into account the complexity of the sector and the difficulty that exists in defining core values. Universities are loosely coupled organisations (Weick, 1976) and thus have different purposes for different stakeholder groups; they attract and retain students and resources in the search of self sufficiency while also protecting and maintaining a core set of beliefs and values. The complexity of this task makes defining a brand difficult and this is evidenced in the difficulties suggested here around marketing the sector to stakeholders.

Theme 7: Philanthropy

In the corporate sector philanthropy is normally considered to be about the donation of money, time or other resources from one organisation to another that has a particular need. Participants in this research did not perceive philanthropy in this way for the university. Instead, participants discussed how; *“... universities are looking for people to be philanthropic towards them but they’re not very philanthropic in other directions”* (Matthew, Senior Management). Instead there were three key ways that philanthropy was conceptualised.

The first of these viewed philanthropy in universities as a contribution of organisational resources, (e.g. financial support, time, skill and knowledge) to various community activities. This was perceived by participants to be a key strength of MQ under previous leadership where there was particularly strong support for the arts (e.g. through support of art galleries and classical music ensembles).

“It’s interesting, because Macquarie [University] used to have quite a commitment to philanthropy, particularly through an involvement in the arts and there’s been a really big change in that - I think a conscious one. I mean the art gallery is still here, but it in itself is a problem because it is one of the most inaccessible places on campus. You try and have an exhibit down there that people need wheel chair access to and it’s a miles away and barely accessible, so it’s a social dichotomy. Also the big focus on the Aboriginal art collection has gone so I think that’s been quite conscious and up-front and it hasn’t been tried to be hidden. I’d be shocked if the vice-chancellor said that the university was interested in philanthropy though, I just don’t think it is.” (Annabel, Academic)

People also talked about the contribution of academics’ time and expertise to various causes as a form of philanthropy for universities:

“Philanthropy for universities is about sharing expertise, serving on these committees, and assessing grants, and you’re doing all that because you’re part of a community where you know that others will be doing the same for you and it’s part of your responsibility as an academic. People get a reputation, the ones who don’t, the selfish ones if you like. So it’s like philanthropy but it’s also part of the role, part of the culture that you do these things.” (Sienna, Senior Management)

The second way philanthropy was conceived for universities was as outreach to other organisations and members of the community.

“Philanthropy in the higher education sector means something completely different than in the corporate world. But there are opportunities. Universities can provide services in kind - like they can offer a space free of charge or they can say; set up a scheme for staff whereby staff mentor kids who basically haven’t got a hope of going to university, things like that, kids in care for

example. So I think there is a role for philanthropy in that way.” (Tom, Academic Management)

So this kind of philanthropy was perceived as being about universities putting resources behind projects and initiatives that have an innate benefit to various stakeholders, but that might not actually see a financial (or other) return for the organisation itself. A particular example given here was the relationship that MQ currently has with the Peninsula Community of Schools.

“To me it’s about outreach to other organisations and other members of the community so where the university would put its resources behind projects like the Peninsula Community of Schools for which the university funds a small group of 13 public schools that wouldn’t be able to do what they do without the university’s commitment to engaging with these young people” (Alex, Senior Management)

In this way philanthropy was thus conceived as a way of supporting students from low SES backgrounds, either through scholarships or donations or through supporting them by providing free accommodation or text books or even travel passes to get them to and from campus. It was also framed in terms of the potential in providing mentoring opportunities to such students.

“I think there’s opportunity for philanthropy in terms of using our resources not our money. So, for example, using the art gallery as a space for up and coming artists or making things available... I think more and more with the need to bring in more students from lower socio-economic backgrounds, that philanthropy then is about how we resource those students, whether it’s in things like accommodation paid for or text books or even their travel pass. They’re all small things which don’t cost a great deal to the university. But then there’s also mentoring. For example I don’t think we are making the most of our alumni, we don’t do it very well compared to other universities, and there are opportunities there that could be taken up.” (Donald, General Staff)

Finally, the main way that philanthropy was conceptualised was in terms of universities actually being the targets of philanthropy rather than the giver of resources and funding to other organisations.

“We’re good targets for philanthropy but I don’t think we engage in philanthropy. We don’t engage in it yet it’s, in a sense, our whole mission is one that isn’t alien to that idea.” (Andrew, Senior Management)

There was a perception that universities need to be good fundraisers in order to survive financially, and part of this was driven from universities needing to be creative about where these funding sources come from. Such funding might come from alumni, bequests, research grants or corporate ‘Chair’ sponsorships and donations.

“Most universities are getting smarter about it [fundraising] in Australia now, they’re starting to realise that they do have to engage, they do have to ask for money.” (Juliet, Senior Management)

Overall, universities are fundamentally organisations of social good that exist to provide a social service by the nature of what they do, but a number of people felt philanthropy was an area that required improvement:

“I think that we’re not doing very well in the area of philanthropy, but I think that that’s an historical and a cultural artefact and a legacy that we’re having to deal with. The Americans have a long history of philanthropy but I think we’ve got to do some work in philanthropy.” (Karen, Senior Management)

The findings suggest that there needs to be review of the conceptualisation of what philanthropy, as a social responsibility, means in the university context. Although it seems that the contribution of resources to needy sectors or, in part, charitable donations, do seem to be part of what philanthropy is about in the sector, there are other issues that need to be captured that are not necessarily a concern for other sectors. In particular, the issues that were identified as part of the interviews for this research were; outreach to the community, contribution of skill and expertise by staff to community ventures, support of disadvantaged stakeholders and, finally, the idea that universities are the beneficiaries of philanthropic support in the form of bequests, research grants or corporate donations.

Other social issues identified

In addition to the seven themed studies presented above, a major issue that was discussed by participants in terms of being key social responsibility for the university sector, that was not already covered in organising framework developed in Chapter 5, was about the importance of students as a key priority stakeholder group.

Students as a key stakeholder for consideration

One way that students as stakeholders for universities was raised was in terms of how the ‘customer’ role differed to what might be seen in other service organisations.

“Treatment of students is one of the strongest things that we do – I mean, if we treated our students poorly, it can have massive consequences. Students can invest years of their life and have a poor outcome if we don’t act in an ethical, socially responsible way.” (Andrew, Senior Management)

Over the last few decades there has been a massification of HE that has seen a shift from the sector being an elite system to one providing greater universal and multicultural access. This in turn has meant that a university education has become accessible to a greater number of people and university students now not only represent the elite of society. Such changes have seen shifts in students’ attitudes and

engagement levels as well as a wider range of teaching and learning hours for universities. This has resulted in there being a range of new needs for students as described here by Donald (General Staff):

“... and at the same time the university has grown, we’ve got more and more students coming in, we’ve got to supply for those. Just look at food and beverage and access to other simple services after hours, we just don’t have a capability to do it and we’ve spoken quite considerably about this. Also we have postgrad and higher degree, they’re coming in after hours for a couple of hours and we have to provide support and safety for them as well - but how do we deliver that? I think there’s key corporate responsibilities for students about upholding certain values, being flexible in delivery, ensuring the best education and to some degree a social interaction, but recognising that our markets are fluid. They’re going to have differing needs than what we are used to.” (Donald, General Staff)

In addition it appears students have a greater awareness and expectation for moral and societal responsibilities of universities and have a desire to make contributions to matters of social importance. This was suggested below in a quote by Fiona (General Staff) but has also been supported in other research as well (e.g. Reid & Petocz, 2006; Solbrekke & Karseth, 2006):

“So I actually believe that students do want to be engaged and they do care about the social issues and I think Macquarie’s got a really good opportunity to respond to that, especially in terms of the global, seeing that we’ve got so many international students as well, but I don’t see it happening at the moment.” (Fiona, General Staff)

Another issue was around how student engagement can be improved, particularly given the rapid use of technology in universities. This was discussed by Alex (Senior Management):

“International students appear to be more visible, spend more time on campus. But local students seem more likely to log on at home and download the lectures. The two groups don’t interact with each other. Local students use the library online but they also go and work, they’ve got part time jobs, friends, another life, so I think there is a real issue about what we want universities to look like and if we want to be socially responsible then a sense of being with other people and working in teams is a key part of that. We’ve got to find ways to actually make them come back and be a part of it. We’ll never get them all the way back like I had when I was at university because I had to go there because the library was there. I couldn’t get it any other way unless I photocopied the book and you couldn’t do that. So you’d sit there and read. You would do your group work there and you’d write it all up. Well now that’s so different, so that’s an issue and we have to be clear that students don’t work in the same way that we did when we were there. We can’t impose that idea of community on them anymore.” (Alex, Senior Management)

Both of these above quotes highlight another idea frequently discussed in relation to the engagement and support of the student population, the responsibility that the university has to international students, who form about 30% of MQ's student population. MQ is unusually reliant on overseas student income (which was recognised as a serious organisational risk by some participants); however, the main issue that was raised that needs consideration in this context is around how these students are treated and engaged once they arrive on campus.

"And from a social responsibility perspective, one of the things I think is about is the fact that the international students do bring in such a large proportion of the revenue, but with that comes a level of responsibility around looking after the students once they're here." (Fiona, General Staff)

Anecdotal stories emerged about the low levels of English language proficiency that some international students have and how this can create problems in classes. The high number of international students in some courses (e.g. 60% of the international student body are in the Faculty of Business and Economics) could potentially lower the standards of such courses as well as introduce cultural challenges. In addition, media articles were found that talked about problems with accommodation and housing for international students (e.g. Narushima, 2011a; 2011b). Overall a number of issues were raised about the treatment of international students and many of these are summarised here by Penny (Senior Management):

"Part of the challenge is in how diverse the international population is, they come from a wide number of countries. But I think any community has a sense of diversity attached to it. So the real challenge is that we get international students here and we assume that they then want to have an Australian experience. We put them all into the one classroom. If we can accommodate them we put them into the one area, fly them over and backwards and forwards with each other, and we set up societies, like the Chinese Society, and as a consequence I don't really think we embrace their difference and the culture that they've come into enough. So part of our challenge has been to recognise that. Religion is another one. If you take the Muslim group as an example, their prayer rooms require a different sort of setup than what the Christian prayer rooms would have so the question we needed to answer was do we want to be a secular or non-secular campus? So that's what we are looking at and we're hoping as a consequence we will build a stronger community and a sense of connectiveness. The other challenge is around providing basic human needs for these people, bedding and accommodation for example. So often they're taken for granted by boarding houses. Also we have about 2,500 beds available for international students but we have about 8000 students, so that's another thing, there isn't enough support. This might be their first time away from home and we have to understand the implications for them around going from a fully structured environment into a totally unstructured environment. So what is that transition experience and how do we help with that?" (Penny, Senior Management)

To try and address some of these concerns, MQ has implemented a number of initiatives such as additional safety buttons around campus, better lighting and security, wellbeing and housing services and a 'Students at Risk' policy which provides some basis against which to analyse when a student is in trouble either personally or academically. But a perception still remains that the university lacks a sense of inclusion of the international population or a feeling of embracing the differences in culture and experience that they bring to the university. As discussed above by Penny, an assumption seems to have been made by the university that international students want to have an '*Australian experience*' yet MQ appears to segregate and minimise the opportunities for international students to achieve this by housing them together, flying them to and from their countries together and setting up societies that encourage them to socialise together (e.g. the Chinese society).

These findings resonate with research undertaken by others as well. Russell and her colleagues (2010) for example, identify two broad areas of need for international students. First, are issues around the academic needs of these students and particularly around assistance with English language proficiency. The second is around the physical and psychosocial health of these students. The combination of the findings from this research along with the research undertaken elsewhere raises a number of issues regarding MQ's responsibility to international students; firstly, it is around marketing and ensuring that what is said to international students in terms of their educational and personal experience during their time at university is accurate. But there also appears to be issues around ensuring that there are sufficient services, especially for housing and wellbeing that mean that international students remain safe and well while undertaking their degrees. The quotes above suggest that this is an ongoing problem at MQ, as the international student population remains largely unengaged with the wider university community. It appears they spend most of their time socialising within their own racial groups and spend a large proportion of their time on campus. As such, their needs in terms of health and safety and mental health and support differ to local students who tend to live locally, largely with support of family or friends and who come to campus only to attend lectures.

The social dimension of CR in universities

The findings from this chapter suggest that the organising framework developed in Chapter 5 does, to some extent, resonate with how social responsibility is interpreted by participants in this research and indeed the way it is implemented at MQ. Examples were found of programmes and activities that clearly fit into the social responsibility categories identified during the meta-analysis and to some extent the hierarchy that was identified during this analysis was seen to be largely representative of the priority of social concerns for the university context as well. However, the findings do also suggest that as it currently exists, the framework does require some adaptation in order to be able to capture the complex relationships that exist in universities between the different social responsibility categories (e.g. cross over that was identified between the 'equity, diversity and human rights' category and

‘community engagement’) and the expectations that exist about social responsibility between stakeholder groups (e.g. differences that were seen between the way social responsibility was interpreted by those in senior management positions versus academic positions, for example). In particular the findings suggest that aspects of the framework need revision and adaptation when applied to the university context. For example:

- Some categories need to be nuanced for the sector, such as the philanthropy category, which was interpreted very differently for the university context (i.e. universities are more benefactors of philanthropy rather than donators) and equity, diversity and human rights had a strong social inclusion dimension to them that was not captured in the framework from Chapter 5.
- Some elements of the framework need a stronger focus (e.g. health and safety was seen as a key social responsibility for universities and was an issue that was closely tied by many to employee relations for many participants).
- There needs to be a stronger focus on the importance of specific stakeholder groups. In particular, many participants noted that the social responsibilities that universities hold to students was not something that was captured in the framework, and
- New categories were yet to be added for the university context. For example, ethical teaching and learning was seen by some as a social responsibility that universities undertake but is not relevant to other sectors and therefore was not currently captured well in the framework.

This suggests that in order to be applicable to the university context the framework needs to be revised in order to take the issues raised in this chapter into account. As a result, the framework from Chapter 5 has thus been nuanced in order to reflect the suggested findings from this research (see Figure 5). The changes made to the original framework are as follows:

- *Community Engagement:*
 - This category was considered to cut across all the different elements of social responsibility for universities and was considered to resonate across the entire institution (from learning and teaching through to operations). As such, it has been moved to the top of the framework so as to highlight the role of community engagement in the university context.
 - Changes were also made to the issues that fell under community engagement for universities; including highlighting the role of partnerships between universities and industry, schools, likeminded organisations (e.g. NGOs) and research partners.
- *Employee relations:*
 - Changes have been made to the different types of social responsibilities that fall under employee relations as suggested by participants (see Theme 1).
- *Equity, diversity and human rights:*

- Changed the title of this category to ‘Social Inclusion’. This appears to better reflect that way that equity and diversity is approached at MQ and is a term that appears to be more familiar in this context. In addition, the findings from the research suggested that human rights was not an issue that was considered as high a priority to the university sector as it might be to other sectors (e.g. multinational corporations that work across country borders).
- Changes to the types of issues that fall under social inclusion category also made. For example, how to improve access and retention of low-SES and Indigenous students and staff was seen as a key social responsibility in university context.
- *Treatment of Students:*
 - This is a new category added to the revised framework for the university context. A major omission identified by participants in the research was the recognition of students and their specific set of expectations. The issues that fell under this category include; developing a sense of community, understanding needs of different student populations (e.g. international versus local).
- *Health and Safety:*
 - This was considered an issue not only to staff, but to students as well. For participants health and safety in the university context was less about the way products and services are developed (like might be the case in corporate organisations) and more related to health and safety from a physical and psychological perspective for students and staff of the organisation. A number of changes were made to the category of issues that fell under health and safety as a response to the findings of Themed Study 4.
- *Stakeholder capacity building:*
 - The title of this category is changed to ‘Stakeholder capacity building and ethical teaching and research’ given that the findings in Themed Study 5, which suggested that many participants interpreted stakeholder capacity building as ethical teaching and research and that this was considered a key social responsibility for universities. Stakeholder capacity building was also talked about in terms of succession planning, development of career paths for junior academics, support for further study, upskilling staff and students through training and support and mentoring.
- *Responsible marketing:*
 - This category were changed to reflect how participants in this research felt that marketing was an issue of social importance in university context.
- *Philanthropy:*
 - Philanthropy was interpreted very differently for the university sector than in other sectors, most particularly because participants discussed how universities are more recipients of philanthropy than donators of

money and resources. As a result, the range of issues that fell under philanthropy were changed quite considerably to reflect the different notion of this social responsibility in the university sector.

These changes can be seen in the revised and adapted framework that follows (Figure 5). It is worth keeping in mind that the revision of this framework has been undertaken from the outcomes of this research which involves data from only one university. Despite this, there are elements of the revised framework (Figure 5) and findings from this chapter that may be relevant to the wider university context. However, testing and consideration in terms of the applicability of this revised framework to a wider number of universities beyond the case example used in this research is necessary and recommended. This framework provides a useful starting point for understanding what the social responsibilities of universities are from an academic perspective and how they are related. It is also a point of departure for research that might consider further testing of the framework in other universities.

Discussion of findings from this chapter

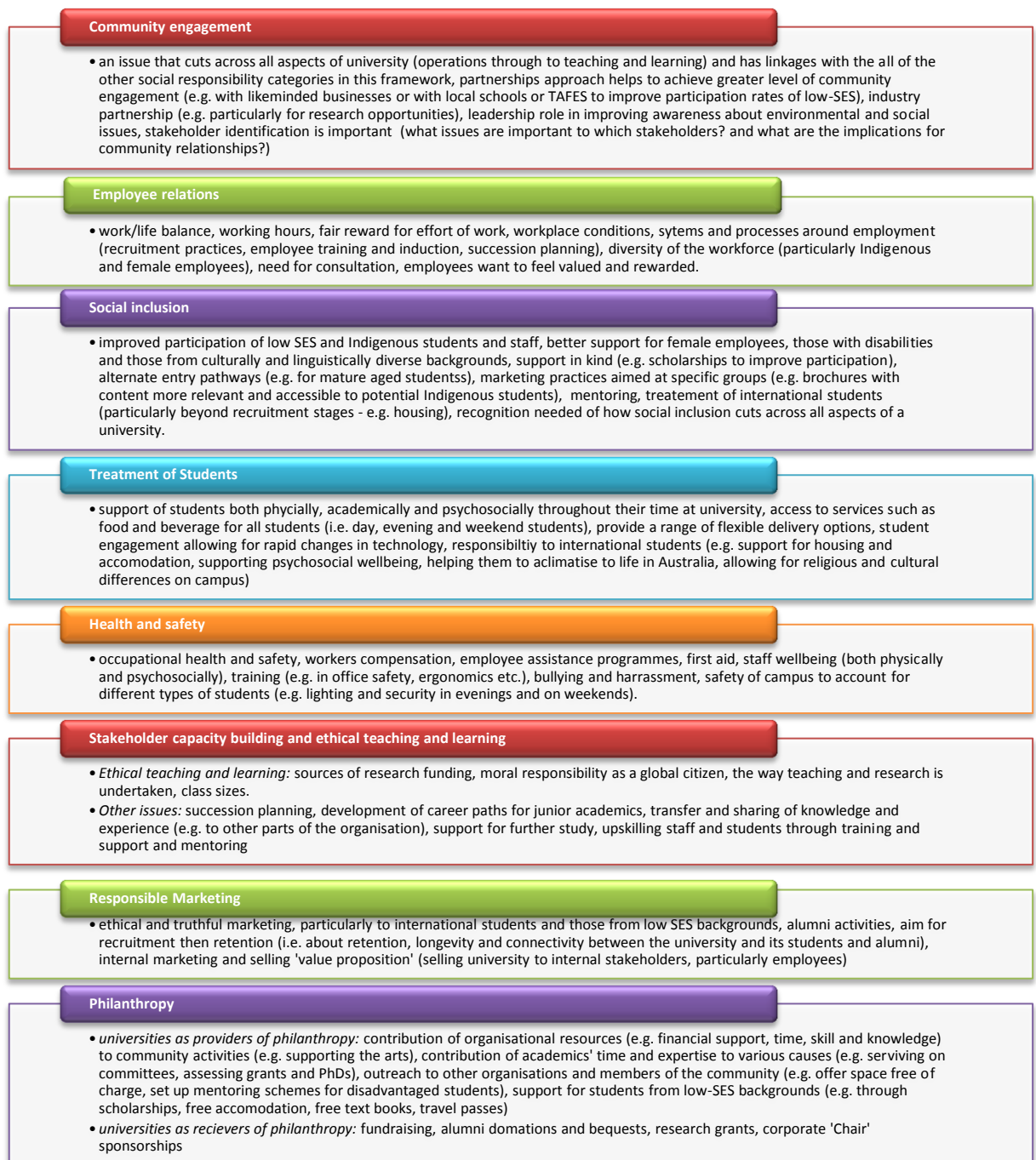
This chapter has presented findings that examine how the organising framework developed in Chapter 5 is responded to in terms of the experience of participants in this study. In addition, examples have been provided of ways that MQ has operationalised this dimension of CR and suggests how some of these findings might relate to the university context more widely. The chapter has addressed:

Research question 2: How is the social dimension of CR interpreted, operationalised and strategised in the case university?

The findings have helped to develop a deeper understanding of each of the social issues from the organising framework developed in the previous chapter, particularly in relation to how each of these elements is interpreted and operationalised at MQ, as well as some discussion of how participants perceive it to relate to the university context more widely. The aim of the chapter was to examine how the organising framework developed in Chapter 5 operated in practice in universities and how the social dimension of CR is interpreted at Macquarie University.

The literature reviewed in an earlier part of this thesis suggested that there is a lack of comprehensive information available as to what the social dimension of CR might refer to in specific sectors or types of organisations, or the issues that might need to be considered in relation to the social element of CR. This gap was addressed by focusing on an Australian university as an example, thus providing potential insights for other universities seeking to engage more strategically with the social aspects of CR.

Figure 5: The social responsibilities of universities (revised from Chapter 5)



The literature review also suggested that the role of CR in universities is not well defined and lacks a solid empirical basis and the complex nature of universities makes a coordinated and systematic approach to CR implementation problematic. This finding from the literature was largely supported by the empirical findings of this chapter. An additional premise put forward at the beginning of this thesis was that this lack of understanding and definition of the social dimension of CR has

resulted in universities generally tackling only one or two aspects of CR (e.g. environmental concerns) rather than embedding of all the facets of CR across all aspects of the organisation (i.e. from learning and teaching, research agendas and leadership behaviour, through to management practices, funding models and policy setting). This was certainly seen to be the case at MQ where a number of strategic examples of different types of CR were found (e.g. social inclusion as a strategic agenda or the strong focus on the environmental dimension of CR); however, what was not found was the embedding of CR in a structured way across all parts of the organisation against some kind of planned agenda.

The findings presented in this chapter suggest that the social dimension of CR was seen as an aspect of the core business of universities and was considered the priority dimension of CR for the sector. Thus a greater emphasis should be placed on the social dimension of CR than is currently the case. The implication is that trade-offs and balances need to be made towards the social dimension of CR perhaps in favour of the other dimensions, as is currently perceived to be the case at MQ. More detailed discussion of this point will be made in the concluding chapters. Given that role that the social dimension of CR appeared play for participants in this study, the question then turned to how the organising framework developed in Chapter 5 appeared to play out in practice in the chosen organisational sector – the university context.

Redefining the organising framework for the university context

As part of the interviews, participants were asked a number of questions about the organising framework developed in Chapter 5. The purpose of these questions was to determine the extent to which this framework was considered applicable to universities and to find examples of projects or initiatives that might illustrate particular parts in the framework. The outcomes of this analysis was written up in seven themed studies that were presented as part of this chapter. The outcomes posit that the social responsibilities of universities were perceived as a set of interrelated issues that embrace ideas across a number of the categories from the organising framework, including ethical behaviour, moral responsibility, social inclusion and taking a partnership approach to business. However, the findings also suggest that there is a lack of awareness of how individual universities might interpret these ideas within a socially responsible framework, particularly in terms of how organisations might move beyond simply doing what is required by legislation to instead implementing an approach to social responsibility that gives the organisation a point of difference or higher levels of stakeholder satisfaction and engagement.

The chapter concluded with the presentation of a revised organising framework that has been adapted and revised to more accurately represent what the social responsibilities are for MQ specifically, with some room for interpretation in other universities as well. This revised framework (Figure 5) provides an emergent way forward for universities that might be interested in improving their level social responsibility (although further testing is recommended). In addition, such a framework highlights the issues that stakeholders of universities should be engaged

with, but do not necessarily recognise as CR. The findings from the chapter also suggest that social responsibility should be thought of more systematically as a sustainable way of approaching the management of universities instead of as an 'add on' or a 'nice to do'. Although there was general consensus that most of the social concerns in the original organising framework were being considered and addressed, there was also agreement that a lot more could be done in terms of the strategy and coordination of efforts. Currently there is the view that MQ approaches social initiatives in an ad hoc and seemingly at times haphazard way, although people did recognise and appreciate that work was being done in the area of social responsibility at MQ.

The findings presented in this chapter have therefore resulted in the development of a more fine grained understanding of how social responsibility is interpreted and operationalised at MQ and have suggested that social responsibility is a key element of a university's mandate. Nevertheless, it has also been suggested that the approach to the implementation of social initiatives at MQ do not appear to be 'plan driven' and currently lack coordination. There is a perception that social responsibility plays an influential role in universities and as a result, coming to an understanding of the issues that are affecting the implementation of CR is important. The question thus turns to what these issues might be, and this is the area that is addressed for the remainder of the thesis. As a starting point the next chapter looks at what the drivers and barriers for change towards social responsibility are. It is argued that these are valuable issues to understand prior to being able to recommend an implementation plan for the future and the reasons for this will be detailed next.

Chapter 7:

Findings 3: Drivers and barriers to change towards CR in universities

Introduction

One of the topics under consideration in this thesis is how organisational development and change theory might inform the implementation of the social dimension of CR in universities. In the previous chapter it was suggested that although social responsibility is considered a key issue, that there is currently a lack of coordination and strategy being placed around the implementation of social initiatives. As a result, the perception is that there is room for improvement in this area.

This chapter investigates the drivers for CR in the university context as well as where the barriers to change lie. This is done in order to address gaps that currently exist in the literature with regard to the implementation of social responsibility in universities (as identified in earlier chapters), but also as a way of further developing a more fine grained contextualised understanding of CR in the sector. In particular, the purpose of this chapter is to respond to third and fourth research questions of the thesis:

Research question 3: What is driving change toward the social dimension of CR in the university context?

Research question 4: What are the barriers to change in the implementation of the social dimension of CR in the university context?

Drivers for change towards CR in the university context

This section reports on how drivers for CR were classified and interpreted by participants, particularly looking at how the drivers for participating in CR in the university sector are compared with those that were identified and described in detail in Chapter 3. During data analysis quotes were identified then categorised according to the four identified driver categories that were found during the literature review phase of the research. The purpose of summarising the data in this way was to find examples of each of the four main types of drivers for CR that were identified in the organisational literature: normative drivers, instrumental drivers, institutional drivers and stakeholder expectations.

Although examples were found of each type of driver identified during the literature review, what was also found was that the ways that each of the “driver” categories were talked about in relation to MQ, and in some instances the university sector more generally, differed to the organisational literature. As a result, a number of sub-categories emerged under each driver heading, as summarised in Table 12. This table provides an overview of the drivers for socially responsible behaviour in universities as interpreted by participants from MQ. As can be seen in this table, a hierarchy emerged of which drivers appeared to be more or less important to participants, as suggested by the number of references coded to each category (i.e. how many times each driver was discussed by participants). In addition, a breakdown has been provided of coding by two main categories of staff, academics and non-academics.

Table 12: Summary of the drivers of CR in universities as interpreted by participants

Drivers of CR in Universities	# of references coded to each driver (%)	Breakdown of codes by type of staff *
Normative Drivers	68 (38)	Academic 35 Non-academic 33
1. The moral responsibility of universities	68	Academic 35 Non academic 33
Instrumental Drivers	54 (30)	Academic 15 Non-academic 39
2. Competitive advantage and competition between universities	20	Academic 4 Non academic 16
3. PR potential and reputation	19	Academic 6 Non academic 13
4. The business case	15	Academic 5 Non academic 10
Institutional Drivers	32 (18)	Academic 7 Non-academic 25
5. Legislation and public policy	21	Academic 6 Non academic 15
6. Shifting funding models	6	Academic 1 Non academic 5
7. Globalisation	5	Academic 0 Non academic 5
Stakeholder Expectations	25 (14)	Academic 9 Non-academic 16
8. Student expectations for CR	13	Academic 5 Non academic 8
9. Staff expectations for CR	10	Academic 3 Non academic 7
10. Industry expectations	2	Academic 1 Non academic 1
TOTAL # of references discussing drivers for CR:	179 (100)	Academic 66 Non-academic 88

*Key: Academic = Academic (Lecturer, Snr Lecturer etc) or Academic Director

Non-Academic = General Staff, Non-Academic Director, Senior Executive, Consultant

Although this is a rather crude way of summarising the information, it does help to provide an overview of how the drivers were viewed by participants and which group appeared to find each issue more or less important. In reviewing the data it should be remembered that many more non-academic staff were interviewed in this research than academic staff. As a result most categories have more coding to non-academic staff than academics. It nevertheless also helps to show clearly which drivers the academic staff consider most important, for example the normative drivers have a similar amount of coding to them across academic and non-academic staff, which suggests that this is an area of particular importance to academics (given that there were far less academics interviewed in the research overall). What this table does not show so well is the complexity in the way these drivers were interpreted and discussed by participants and as a result each driver will be discussed in more detail below.

Normative drivers for CR in universities

Normative drivers were those that were discussed in terms of the ideal or even ‘utopian’ reasons for why universities might engage in socially responsible behaviour. As can be seen in Table 12, this was the most discussed driver by participants, representing 38% of coded references and in particular appears to be a driver that is of particular importance to academic staff. Under this category one clear driver emerged that relates specifically to expectations of moral responsibility for universities.

Driver 1: The moral responsibility of universities

The moral responsibility role of universities with regard to setting standards and expectations around CR was a strong theme that ran throughout discussions with many of the participants in this study, as succinctly summarised here:

I think as a whole, universities should be focused on greater societal good, and on being leaders in moral and ethical considerations.” (Lauren, Director)

A similar set of ideas around the values and aspirations of graduates of the case university was found in a curriculum policy document, which states (see www.mq.edu.au/lte/projects/curriculum_renewal/docs/PACE_criteria.pdf):

“We want our graduates to have respect for diversity, to be open-minded, sensitive to others and inclusive, and to be open to other cultures and perspectives: they should have a level of cultural literacy... Our graduates should be informed and active participants in moving society towards sustainability.” (Criteria for participation units and activities: p.4)

This view was supported in interviews undertaken with members of the senior management. For example:

“The university should be a leader in the development of social cohesion and that means that our graduates have got to come out with a clear understanding of the important role they have as privileged members of our society.” (Alex, Senior Management)

And this senior manager who expressed an espoused view of the importance of moral responsibility for universities:

“Most universities would still see that ultimately we have a social contract and that’s a transformative one I think at the end of the day, saying ‘this is what we should be doing’.” (Janet, Senior Management)

It was unsurprising to find senior management views echo policy documents that were likely endorsed or prepared by them. So what was more encouraging was to find that in interviews with participants from middle management, academia and even in general administrative staff, similar views were expressed, supporting the idea that this is an influential driver for CR across all levels of the organisation (as suggested by the large number of coded references to this issue, see Table 12). It also suggests this is an area of interest for the wider university community, as stated by one of the academics:

“Universities, one would like to think, have a responsibility to be leaders in these sorts of ideas. They shouldn’t be following behind businesses, universities should actually be showing the way.” (Samuel, Academic)

Another way that this normative driver of moral responsibility was expressed was in terms of social responsibility being ‘the right thing to do’ for universities.

“Well I don’t think we’re doing it because we feel that we have to. It’s really more because it is the right thing to do.” (Janet, Senior Management)

This view was supported by a number of participants. For example:

“I certainly hope it [corporate responsibility] is to do with being the right thing to do... Well there’s a kind of inherent tension isn’t there if you’re an institution that on one hand is trying to scramble its way up all the research excellence measures and on the other hand is trying to reach out to students who require a higher level of input from the teaching and in order to succeed there’s no way around the fact that it just requires putting a lot more resources into supporting those students, it’s basically just the right thing to do.” (Abby, Director)

Or this comment from Juliet, another senior manager:

“On the social side of things I think it’s really important for us to be a good citizen in the community and you can’t monetise everything you do, it has to be mostly because it [corporate responsibility] is the right thing for the organisation to do.” (Juliet, Senior Management)

Some interviewees framed the idea of moral responsibility as being about universities being the ‘critic and conscience’ of society, as highlighted in these quotes by Abby (a director) and Janet (one of the senior managers):

“I think being the critic and conscience of society is quite a good summary of the universities social responsibility... to make the gift of education available to as many people as possible.” (Abby, Director)

“Well I don’t think we’re doing it because we feel that we have to...we also have a role of being the critic and conscience of society so we should be able to hold national governments to account on what they’re doing and why, or any institution actually publicly.” (Janet, Senior Management)

This idea of universities having a role as ‘critic and conscience’ of society has been supported in other research, for example:

“Even in an era of budget reductions and intensified competition from ‘fast-food’ education providers, higher education remains our society’s conscience – institutions that are empowered to question and challenge, they are expected to instill values and character, and they are perceived as standing for more than the pursuit of a healthy bottom line.” (Albert Yates, quoted in Brown, 2006: 4).

The normative driver for CR was therefore interpreted by participants in this research in terms of moral responsibility and the role that universities hold in society. Universities were seen to be responsible to a wide range of stakeholders and for setting standards and providing leadership on issues that are important in the wider community. The findings here suggest that the social dimension of CR is an area where it is felt that universities have a strong moral responsibility role, largely defined by participants as the ‘critic and conscience’ of society.

In his book exploring the relationship between universities and its communities, Maurrasse (2001) argues that universities are key community assets and in particular he states that “the fate of communities is the fate of higher education” (Maurrasse, 2001: 5). Maurrasse states that universities are key players in the community and that they can therefore make a contribution to the uplift of the local community, particularly from a social perspective. In addition, Maurrasse (2001) argues that universities have a role in providing learning and engagement opportunities for students and academics involved in the higher education system and that the sector is being required to become more connected to everyday problems that people face (Maurrasse, 2001).

It has been suggested in the findings above that the way universities achieve this normative driver for social responsibility is largely about the role that they have within their communities. This is an idea supported by other research as well, such as in this work by Bradley *et al* (2008):

“By deepening understanding of health and social issues, and by providing access to higher levels of learning to people from all backgrounds, [higher education] can enhance social inclusion and reduce social and economic disadvantage. By engaging with scholars from other countries and educating people from other countries, it helps create a nation confident and engaged both with its geographic region and the wider community of nations. By helping sustain and renew other institutions through its capacity to develop knowledge and skills, higher education acts as a cornerstone of the institutional framework of society.”(Bradley *et al.*, 2008, p.5).

The findings here suggest that the moral responsibility driver for the social dimension of CR is a central part of the conception of social responsibility for participants in this research, as evidenced by the number of references that were coded to this topic. The normative driver was also expressed in terms of social responsibility being the ‘right thing to do’ for universities, which was less about CR from a leadership perspective and more about it being an issue of importance to all staff and other stakeholders who see CR as something they want their organisation to be engaging with.

The findings here align with the literature reviewed earlier in the thesis (see Chapter 2) that argued that universities should exemplify the complex and multi-faceted challenges of responsible management (see Waddock, Bodwell & Graves 2002; Waddock and Bodwell 2007) due to the fact they are socially embedded within a multitude of communities, each with differing demands and needs. The challenge, however, is that universities are constantly changing and are being pressured by institutional forces such as competition, globalisation and profit generation which means that there are more complex issues at play and a range of other drivers that are influencing change, as discussed next.

Instrumental drivers for CR in universities

The instrumental drivers for CR were the second category discussed most frequently by participants (with 30% of references coded to this set of drivers). During analysis of the quotes and references an emergent similarity between the drivers discussed in the organisational studies literature and the issues that arose as instrumental drivers for CR in universities emerged. In general the findings here resonate with the large body of literature that suggests there can be financial benefit for organisations that behave in socially responsible ways (e.g. Berman *et al.*, 1999; Carroll & Shabana, 2010; Ruf *et al.*, 2001) and in the context of this research participants particularly talked about the instrumental drivers of CR in three ways, competitive advantage, PR and reputation enhancement and the business case.

Driver 2: Competitive advantage and competition between universities

The instrumental driver discussed most frequently by participants was the perception that a competitive advantage or point of difference from other universities was a key

driver for universities to become involved in the social dimension of CR. Twenty individual references about competitive advantage as a driver for CR were made in NVivo (see Table 12). This suggests that competitive advantage and competition between universities was seen to be a driver for social responsibility, as stated by one participant:

“I think one of the drivers is because it [corporate responsibility] can provide a significant competitive edge...” (Alex, Senior Management)

This competitive advantage was framed slightly differently by another participant:

“It's that sense of here we've got a strength, here we've got something that differentiates us from other universities and even almost provides a competitive advantage. As a university, we were created to engage with the community. But we need to also use some of that to provide a point of difference between us and other universities.” (Karen, Senior Management)

Participants who discussed competition and competitive advantage as drivers for CR were exclusively people holding senior management positions at the university. Although this may be a coincidence, it does suggest further support for the issues raised above around the perceived difference in the objectives of staff holding senior management positions (who are seen to be driven by instrumental objectives and running the university more in corporate way) and academics and general staff who often expressed their concern about the move away from more traditional academic values. This kind of concern is highlighted in the following quote:

“I think there's competition between the universities, so I actually have become more cynical and I don't think they're doing it [corporate responsibility] because it's the right thing to do. There's part of that there, and there are certainly people who do it because of that. But I think as a university as a whole institution, we are doing it because they [senior management] see it as a way of making us more attractive and competitive against other universities.” (Fiona, General Staff)

Driver 3: PR potential and reputation

In the literature the potential of CR as a public relations (PR) tool was discussed as a key instrumental driver, particularly from a risk mitigation perspective given the potential reputational and financial “costs” that exists if a path of non-compliance with CR is chosen (e.g. Dunphy *et al.*, 2007). Similarly, in this research participants saw PR as being influential because of the marketing potential that engaging in the social dimension of CR can bring the organisation, as evidenced in this quote:

“I think that the marketing potential of these sorts of things is definitely a driver and I don't think that that's always bad, because I have a philosophy that marketing isn't always trying to sell you something that you don't want to buy.” (Annabel, Academic)

For one participant the driver here was about the importance of MQ to be seen to be engaging in the environmental element of CR in particular:

"I think that there's an external perception imperative, I think that there has to be a promotion of some form of environmental sustainability, particularly."
(Karen, Senior Management)

Some participants took a more cynical view about the use of CR as a marketing or PR tool, such as this academic:

"For some of our colleagues and some branches of the university, corporate responsibility is all about PR, making sure that we carry on importing overseas students so that we can charge them high fees and make lots of money, and that's an aspect of social responsibility that we have to consider."
(Samuel, Academic)

The other area of discussion was around the reputation of the university, particularly in terms of the profile that engaging in the social dimension of CR might give the university:

"Our reputation is an interesting one because you know universities' reputation is, like all organisations, critical to the future of the institution. So you're very careful about your reputation... But I think we can benefit from that, I think that we can say, it [the social dimension of corporate responsibility] will give us a profile that's going to help us get more students and more faculty, more staff and hire people." (Rohan, Senior Management)

One participant also saw the ideas of PR potential and reputation as being linked:

"I think reputation can also be a driver. I tend to think that professional staff are happy to have a really good job in a good place. But academics, yeah, I think probably the reputation, of the university would be important for them. But then I guess it comes back to marketing. The whole issue of corporate responsibility could be important to anyone if it's marketed well." (Emma, Director)

In relation to the promotion of CR, public relations can be undertaken either reactively or proactively (Daugherty, 2001). Research undertaken elsewhere has identified that organisations who engage in a strategic and proactive use of PR to communicate CR initiatives have been rewarded with competitive advantages such as a positive corporate identity, increases in employee productivity and levels of satisfaction, improved share prices and better stakeholder relations (Daugherty, 2001; David, Kline & Dai, 2005). The findings here suggest that PR is a driver for the social dimension of CR as it does have the potential to highlight social responsibility as a priority area for the university.

Driver 4: The business case

The business case was discussed as a driver for CR in universities and this driver is clearly linked to both the competitive advantage and PR drivers discussed above. However, as it was also independently mentioned by some participants it is discussed as a separate subsection here. In particular the business case tended to be framed in terms of trying to ‘sell’ the concept of CR as one that can have cost benefits to the university. The financial benefits were discussed in terms of the environmental dimension of CR in particular, as in this quote:

“I think that there's a financial imperative to be doing this [corporate responsibility]. We know that it can have significant impacts on the bottom line, especially when it comes to environmental issues.” (Karen, Senior Management)

As well as more generally across the university:

“I think the biggest driver [of corporate responsibility] is funding, and the easiest way to get it forward is if you can demonstrate that there's a cost improvement, because I think this can come across as a nice-to-do rather than an absolute-need-to-do. Sometimes you can provide evidence for the business case and it helps those institutions to take the leap when they might not otherwise have done it.” (Lauren, Director)

As noted earlier, there was generally more discussion about the instrumental drivers and benefits of CR by members of the senior management who, in this case university at least, are often perceived by other staff members to be more committed to a corporate business model. Given this apparent agenda it is unsurprising that these executives see CR in an instrumental way that might enhance future business models or increase competitive advantage (Porter & Kramer, 2006; 2011).

These findings have implications for the wider concepts being considered in this research. What has been suggested so far in this thesis is that there are tensions running throughout the case university between senior management and other staff, particularly academics. What has been argued is that part of this tension is arising because there is the perception that management and academics are being driven by non-aligned values and aspirations for the university. Academics appear to want their organisation to be aspiring to a more integrated socially responsible future and they want the leadership of the university to redefine and implement such an approach. What these staff do not appear to recognise, however, is that in some ways senior management of the university want these same outcomes, yet the way they come to this (i.e. the way they interpret the drivers for these outcomes) are “different”. Although academics and other staff appear to frame social responsibility more in normative ways, talking of the utopian ideal for universities and their social responsibility, senior management appear to be more pragmatic and instrumentally driven. They appear to also be driven by a socially responsible agenda but instead of talking about this in a normative framework they frame social responsibility in

instrumental terms that align more with a corporatised agenda, underpinned by a goal to ensure a financial sustainability over the long term. This finding highlights the differences that appear to exist between these two stakeholder groups at MQ in terms of the way they prioritise social responsibility.

An explanation for these findings may be found in research undertaken by Jones (1995). Jones took an instrumental view of stakeholder theory in an attempt to link the stakeholder model of corporate responsibility to instrumental economic theories (e.g. transaction cost economics). His core theory applied ethical principles such as trust, trustworthiness and cooperativeness to organisational strategy which he argued could result in significant competitive advantage for a firm. He argued that relationships between an organisation and its stakeholders that are based on trust and cooperation help to solve problems that relate to opportunism and in turn lead to a competitive advantage over organisations that do not adopt such relationships. This theory goes against traditional neoclassical economic theory by stating that behaviour that is trustworthy and cooperative, not opportunistic, will lead to competitive advantage (Jones, 1995). This perspective also aligns with resource based views (e.g. Russo and Fouts, 1997) that argue that corporate social performance can result in competitive advantage under certain circumstances, for example when it is used as an intangible asset for an organisation (Barney, 1991, Wernerfelt, 1984). Combining the findings of this research by Jones (1995) with the findings from this research it is clear that the instrumental drivers for social responsibility play a key role for the two key stakeholders consulted in this research in emphasising and legitimising CR as a source of competitive and economic advantage.

Institutional drivers for CR in universities

The third most discussed set of drivers for CR in the HE sector were around the institutional drivers with 32 references being coded to this category of drivers. Here a number of sub-categories emerged including legislation and public policy, changing funding models and globalisation.

Driver 5: Legislation and public policy

A number of participants, particularly those in senior management or senior academic positions, recognised the role that legislation and government policy played in steering universities towards more socially responsible behaviour.

“There are government imperatives. They’re setting the drivers for becoming more responsible.” (Stephanie, Senior Management)

It was also suggested that such legislation and policy setting was causing universities to take a more reactive approach to social responsibility rather than being proactive in developing initiatives and programmes, as seen in the following quotes:

“Australian universities tend to respond to government policies, as opposed to being proactive determiners of our own fate... Each education minister does some tinkering and we tend to just respond. So I’m not sure that we’ve ever really sat down and said well the right thing to do is this...” (Paul, Senior Management)

“I think governments have a role to play in this, and higher education policy has tended, over the last few years to steer universities, for example towards more inclusiveness which they may or may not have done if they’d be left to themselves... so there’s definitely an external factor.” (Tom, Academic Management)

Examples of this kind of reactive approach included reference to requirements that existed within the environmental dimension of CR and also requirements about increasing student numbers from low socio-economic backgrounds and Indigenous populations that will come into effect in coming years (Bradley *et al.*, 2008). This was highlighted by Lauren:

“We have a number of government obligations around corporate responsibility, particularly looking at the environmental issues and increasingly around issues of equity and diversity, so there’s a number of requirements that we need to meet.” (Lauren, Director)

Some participants recognised that legislation was one of a number of drivers that were pushing universities to be more cognisant of their social responsibilities. One participant talked about the link with community expectations:

“I think Government policy actually requires us to do this [social responsibility], but I think there’s also community expectations and I think the people that work in universities want them to be honest, places of honesty, equity, and integrity. But overall I think the broader driver is external government policy. (Karen, Senior Management)

While another participant discussed how:

“... at the higher level there are particular things that drive actions towards our responsibility agenda. So for example there are state and federal government expectations of public organisations, so equal opportunity for women in the workplace agency, community relations commission on multi-cultural stuff, the disability legislation. So you’ve got drivers by legislation, you’ve got drivers by reporting obligations and then you’ve got a sense of ‘well what’s best practice?’” (Andrea, Director)

These findings resonate with the literature reviewed earlier in the thesis where it was seen how from a regulative perspective a number of elements of CR are institutionalised through legislation, agreements and national and international codes of conduct. Global standards such as GRI and the Social Responsibility Index are becoming institutional forces themselves (Waddock, 2008) and this appears to be

resulting in issues such as occupational health and safety, climate change, human resource management, pollution and waste management continue becoming institutionalised forces in and of themselves. The findings above suggest that in the university context policies around how to improve low-SES and indigenous student numbers are influential institutional drivers (e.g. links to government funding) that are pushing universities to become engaged in the social dimension of CR and that such policies are resulting in a reactive response to CR implementation.

Driver 6: Shifting funding models

Another institutional factor relates to funding for universities. In Australia, funding models for universities are constantly shifting.

“I know that funds are stretched but if the University is serious about investing in our future as we hear, then things like engagement in the community and environmental initiatives are things that it needs to address I think in terms of a diversified university, that is an international university, I think we could be doing more.” (Imogen, General Staff)

Although funding used to come largely from federal government sources, there is an increasing move away from this towards seeing universities required to develop self supporting funding models. This, of course, is another reason that Australian universities are moving towards a new corporatised structure as they are required to act more like corporate “businesses” in order to remain viable and competitive. For some, this move towards a more corporatised structure has resulted in less socially responsible behaviour, as suggested below:

“So certainly I think that corporatisation has driven – has meant that we’ve walked away from some of the notions of corporate responsibility.” (Andrew, Senior Management)

In contrast there was also the notion that corporatisation and shifting funding models actually mean the university needs to strive for more in the CR area, as argued below:

“Well the biggest external driver of course is the lack of government funding and the progressive reduction in the share of our funding that comes from government. But we could still survive and continue to grow as a university through increasing our corporate responsibility. We just have to face the reality that we can’t do that from other sources of funding and need to find other ways of doing that.” (Juliet, Senior Management)

This finding aligns with ideas put forward by Campbell (2007) who argues that one of the institutional factors that influence participation in CR is economic viability. He argues that those organisations that are experiencing relatively poor financial performance or who are operating in unhealthy economic climates are less likely to act in socially responsible ways, given that they are less likely to have superfluous resources available to put towards social initiatives. What is being suggested here, however, is that despite the fact that universities are currently facing economic

uncertainty (e.g. looming decreases in international student numbers because of increased overseas competition that will result in lower income) continuing to implement social initiatives may be a way of ensuring long term sustainability, given normative expectations for social responsibility and the fact that stakeholders are clearly looking for universities to be setting standards in this area.

Driver 7: Globalisation

Globalisation is about the global spread of business and services to the world market, often via the internet and multinational corporations (Deem, 2001). Globalisation did not emerge as a specific driver for CR in the organisational studies literature that was reviewed in Chapter 3 but it was considered a driver for CR in the case study organisation as discussed by a few participants. One example is below:

“I think the thing that’s most obviously missing from this discussion is the whole question of globalisation and the place of the university in an international competitive setting as well as an international co-operative setting.” (Tom, Academic Management)

Education services are now Australia’s third-largest export industry and 60 percent of the earnings from this industry come from higher education in particular (Bradley *et al.*, 2008). International student numbers have risen from 21,000 in 1989 to around 240,000 in 2010 (www.abs.gov.au) and in Australia, where skilled labour shortages are problematic in some sectors, international education is recognised as a source of such skilled labour. This presents a number of economic and trade opportunities for Australia such as staff and student exchange, increases to skill base, greater global awareness among Australian graduates (as well as greater awareness of Australia in overseas markets), increased international research collaboration as well as improved international business and diplomatic relationships (Bradley *et al.*, 2008). As stated by one participant:

“We are being driven by globalisation without a shadow of a doubt and that is not a bad thing. You know David Suzuki called it a long time ago, “think globally and act locally” and really he was a visionary in terms of his time and we need to think as a more global society... So we’ve got to do is we’ve got to be producing our graduates that are highly competitive, that are ethical, that are global citizens and are strong in being research driven. So that’s the international driver.” (Alex, Senior Management)

At a global level, universities are facing substantial change as a result of globalisation, which highlights new market pressures and the impacts that these have on educational decision making (Stromquist, 2007). For example, global markets for online as well as on-campus education are growing as it becomes increasingly easy for people to move around and communicate (Marginson, 2002). Globalisation is therefore a driver within the university context and there are a number of implications for socially responsible behaviour. For example, the way that international students are recruited and then supported upon arrival at university has been a contentious

ethical issue for some time now and has implications for social responsibility (see previous chapter for a fuller discussion on this).

Stakeholder expectations

The final set of drivers for CR that were considered important for participants in this research were those relating to changing stakeholder expectations. As discussed earlier in the thesis the social dimension of CR had potentially wide reaching implications for value creation, accountability and a reinterpretation of moral responsibility within the university context. These implications are underpinned by complex demands and expectations of different stakeholder groups (Duagherty, 2001). In this research participants particularly referred to the expectations of three groups of stakeholders as being drivers for CR in the university context, those being students, staff and industry.

Driver 8: Students expectations for CR

A number of participants expressed the view that students were increasingly expecting or asking for issues around CR to be addressed, as discussed in this quote:

“Young people are becoming more socially responsible and, I mean, we talk social justice in kindergarten now whereas 20 years ago you wouldn't. As a result they understand about global issues and for us as a university we used to think we were driving all that. In fact it's being driven by the students - if we don't actually adjust to the need of our client, which are these kids, then we aren't going to survive.” (Alex, Senior Management)

Because of these expectations a small number of participants argued for the importance of CR given that students are starting to use it as part of their selection criteria for which university they might attend:

“Universities have to compete in a marketplace, we go out and we pitch for students and there is no doubt in my mind that there are elements of what we do that we are trying to look to be good corporate citizens because we know that we have to play in a marketplace and, if we were seen to be poor corporate citizens, then students wouldn't want to be here.” (Andrew, Senior Management)

Because university education is increasingly becoming available to a wider selection of society (e.g. large international populations and increasing numbers of students from less advantaged backgrounds), this broader range of students also comes with changes in attitudes, expectations and levels of engagement towards their academic institutions and a greater awareness of both their moral and societal responsibility as well as the responsibilities that organisations they are involved with have (Solbrekke & Karseth, 2006). In this context the ability for a university to be able to demonstrate socially responsible behaviour becomes a point of difference and potentially provides

competitive advantage against other universities that a student might be contemplating attending, thus linking back to the instrumental drivers for CR discussed above.

Driver 9: Staff expectations for CR

Another stakeholder group that was considered to be driving CR forward in universities was that of staff.

“Most people who choose to work in universities do so because they want to be part of something meaningful.” (Veronica, Director)

Many participants, for example, talked about how they chose an academic career they felt universities were places committed to doing something that is influential in society:

“I also think a staff commitment and engagement to doing it is potentially a driver, most staff want to work in an organisation because they share values around social responsibility.” (Annabel, Academic)

Staff were also considered ‘lobbyists’ for the notion of CR and social responsibility within their institution:

“I think it’s largely committed people who lobby for some sort of change to happen, to get the commitment of the senior management in a university. There’s a lot of people at the grass roots level I think who are very interested in doing something in this area, particularly in the social area.” (Matthew, Senior Management)

Still others stated that the issues of CR were key because they were part of what employees look for in potential places of employment. This was talked about in terms of work/life balance issues:

“The fact that they tend to be family friendly places and there is flexibility of working hours and conditions, and you can work from home if you want to and you can salary sacrifice, and there are a lot of examples of good practice I guess for employees, so that’s a driver and it is all part of being a good corporate citizen.” (Sienna, Senior Management)

But it was also considered to be important as employees look for their potential employers to be behaving in an ethically responsible way:

“I think for some, having an institution that has a gold standard for ethical behaviour, will make it attractive. In the same way as another institution that has demonstrated unethical behaviour makes it unattractive. I think it adds to the suite of factors that make people decide they want to work here.” (Karen, Senior Management)

These findings show that there is an increasing expectation from staff of universities to be demonstrating socially responsible behaviour. The changing expectations of staff show that being able to demonstrate employment practices and conditions that provide more perks and that support work/life balance may make one university more attractive to staff than another. As highlighted in the themed study on employee relations presented in Chapter 6, MQ states that it exceeds legislation around issues that promote work/life balance, such as maternity leave, award salaries, volunteer leave, cultural leave, leave loadings, superannuation and flexibility of working conditions (see MQ 2011 Enterprise Agreement). However despite this, some levels of staff (academic staff and general staff in particular) talked of how they felt undervalued and that this was an area for improvement at MQ. It does not appear that MQ is isolated in this; however, as other research has also discussed increases in stress and job dissatisfaction among staff, particularly academics (e.g. He *et al.*, 2000; Johnsrud & Rosser, 2002).

Driver 10: Industry/Employer expectations

The final stakeholder group that was discussed in terms of its ability to influence universities to build on socially responsible practices was industry. Although only mentioned twice in interviews; it nevertheless appeared to be considered a driver for social responsibility.

“One driver is industry as they are really interested in this issue and they’re worried about it finally... so they’re looking for graduates who understand what it [corporate responsibility] means.” (Patrick, Senior Management)

The other quote regarding industry expectations also suggested that universities have a responsibility to be educating the next generation of the workforce, and as such there are specific skills and attributes that industry now expects such graduates to hold:

“I think the people that work in industry want university’s to be places of honesty, equity, and integrity... and to survive we have to produce graduates for the needs of business.” (Karen, Senior Management)

Research elsewhere proposes that organisations will be more likely to act in socially responsible ways if they operate in environments where normative calls for such behaviour are institutionalised in, for example, business school curricula or other educational venues (Campbell, 2007: 959). The findings above suggest that because industry are now expected to behave in more socially responsible ways, they are in turn expecting this of universities as well and want to receive graduates who have an understanding of these issues. Although not specifically stated in the quotes above, another reason why taking note of industry expectations could be important is because universities rely on industry for funding and other support. Because they are expected to produce graduates who will have relevant and transferable skills and the ability to work in an interdisciplinary way (Parker, 2010), it is perhaps in a

university's best interests to be responding to the expectations being placed on it by industry.

Summary: drivers for change for CR in a university context

The review of the literature undertaken in Chapter 3 showed that there are a number of contributing factors that are influencing the drive for change in organisations including globalisation, the rise and development of technology and managerial innovation. However, there was a lack of understanding about what was driving organisations to engage in more socially responsible behaviour, which in turn can make measurement and execution difficult (Berns *et al.*, 2009). To address this identified gap in the literature and as an initial step in understanding the issues that influence the implementation of social responsibility in the university sector it was considered valuable to find out what was driving universities to be engaging in CR at all. The findings presented in this part of the chapter have helped to develop an understanding of this gap and in the next a discussion of these findings is presented in order to address:

Research question 3: What is driving change toward the social dimension of CR in the university context?

Because research elsewhere has argued that there was a lack of understanding about what is driving organisations to engage in more socially responsible behaviour, which in turn makes measurement and execution difficult (Berns *et al.*, 2009), coming to an understanding of the drivers for socially responsible behavior in universities was considered valuable before any suggestions can be made regarding the areas that appear to be priorities for university management to consider when implementing social initiatives.

In this research the normative drivers of CR emerged as the most important to participants in this research, as suggested by the number of references that were coded to this topic in NVivo (see Table 12). In particular it appears that this was the set of drivers that was considered most important to academic staff. Instrumental drivers were also found to be important, particularly to those in senior management positions, and were largely framed in a similar way to what was found in the literature review undertaken in Chapter 3; with competitive advantage and competition between universities, public relations and the business case all also being discussed as key drivers for CR. Institutional drivers for CR included legislation, government policy, changing funding models and globalisation and again people in senior management level were more likely to recognise these as drivers for CR in the university context. Part of the problem appears to be that the reasons for why senior management feel CR is an issue do not appear to be aligning with the reasons why other staff interviewed believe it is important, thereby creating the sense that not enough is being done in the area. So despite the fact the external perception of CR at MQ might be that there are things happening, the internal interpretation is that

although things are being done it is not enough, it is in the wrong areas or it is being done in an ad hoc way that lacks alignment with other organisational objectives. These were some of the issues discussed in the drivers around changing stakeholder expectations.

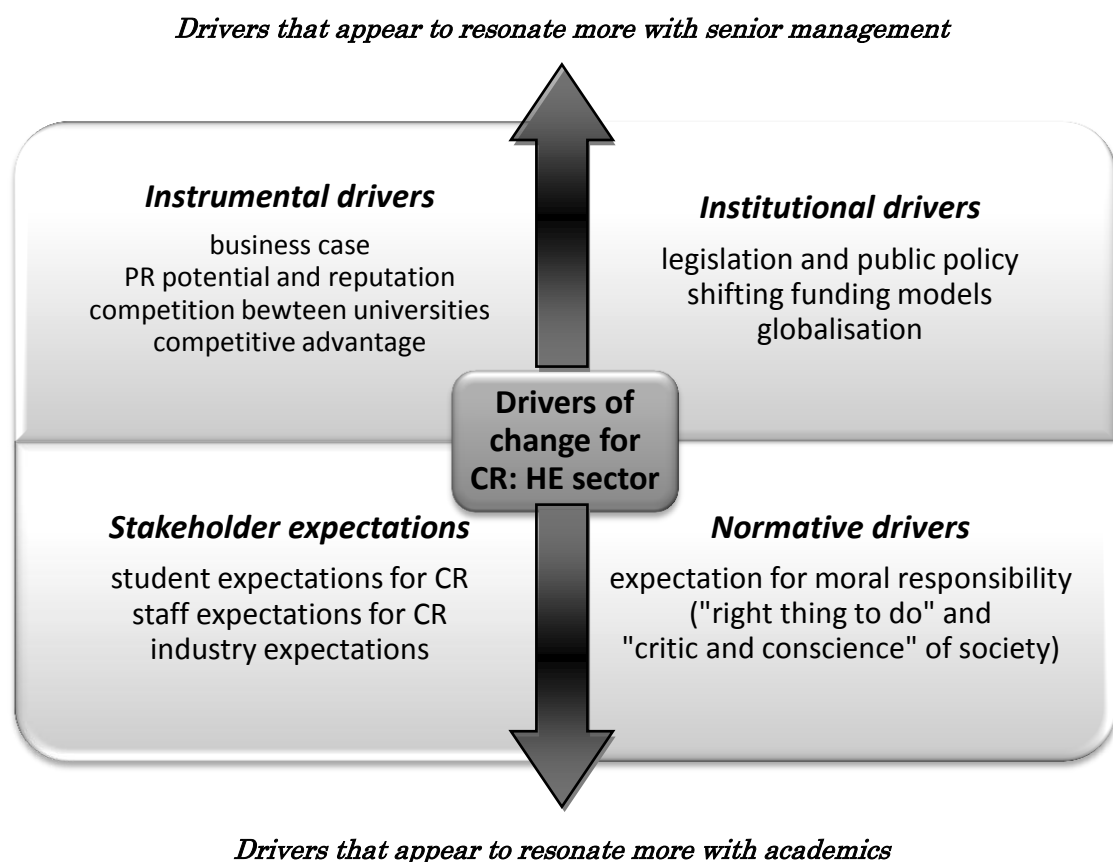
In 1999, Jones and Wicks developed a 'convergent stakeholder theory' which brought together the ethical (normative) and social science (instrumental) approaches to stakeholder management and examined the differences and similarities between them. Recognising that these approaches complement each other, Jones and Wicks (1999) argued for a convergent stakeholder theory that demonstrates how managers can create morally sound approaches to business and then ensure that these approaches work in terms of instrumental objectives (Andiof & Waddock, 2001; Jones & Wicks, 1999). Jones and Wicks' research, combined with the findings here on the drivers for CR suggest the importance combining instrumental and normative approaches as a way of balancing the different expectations of stakeholders. The changing nature of universities appears to be one of the key factors determining the way that CR is interpreted and operationalised in the sector. What has been suggested is the normative issues that underpin CR at a moral and ethical level are those that are currently perceived to be the most important in terms of driving the sector to behave in a more socially responsible way. Despite this, the increasing move towards the corporatisation of the sector could result in CR being used more as an instrumental device by those in decision making roles, as is more commonly seen within corporate organisations. Instrumental drivers, particularly around the competitive advantage that CR might give universities were considered important to senior managers in this research. The higher education sector is increasingly moving towards a more corporatised form and strategic management is now a vital tool that can be used to set one institution apart from others. Taking an instrumental approach suggests that there may be a competitive advantage to be achieved by strategically identifying and managing CR in universities. However, research undertaken elsewhere suggests that a normative perspective underlines the importance of morality and helps to complement the instrumental view by stating that even if no competitive advantage can be proven, strategic management of CR, combined with an understanding of differing stakeholder interests are of vital importance as they can add legitimate and intrinsic value to the organisation from a moral and values based level (Donaldson & Preston, 1995).

These findings lead to another theme that ran throughout the findings presented above and that is that some participants in the research, particularly those who are not in senior management positions, believe that their organisation should be aspiring to some sort of integrated and sustainable future. The findings also suggest they are seeking a way forward from senior leadership to re-imagine this for the university community. They seem frustrated at what they see as the tradeoffs, particularly around the seemingly competing interests of corporatisation and social and moral responsibility. One potential explanation for this is that perhaps this aspiration for moral responsibility is actually a metaphorical response to the disaffection with the trend towards corporatisation. There are obvious conflicts here but one lesson is that

CR does indeed appear to be being interpreted as a priority for participants in this research, both for senior managers and other staff of the university. Another point is that CR holds different priorities for different stakeholders and thus is interpreted in a non-coherent way across the university.

From this analysis emerges what can arguably be considered a critical first step forward in documenting the key drivers of CR in the university context. The findings have been summarised in Figure 6 which provides an illustration of how different stakeholder groups are driven towards engaging with CR for different reasons. For example, senior managers appear to largely driven by instrumental objectives, whereas academics appear to respond more to normative drivers that are underpinned by the idea of moral responsibility of universities. The implications are that decision makers, policy setters or those just wanting to improve aspects of CR within their own department or faculty could use these as the basis for developing and framing an argument for CR within an agenda that may resonate with the particular type of decision maker they are approaching. Figure 6 also provides a succinct visual representation of all of the drivers for CR in universities that have been identified in this research.

Figure 6: Drivers for CR in Universities



Barriers to change towards CR in universities

The next area of investigation in this research is in uncovering where barriers to change and areas of resistance lie in the implementation of CR within universities. Previous studies have highlighted the need to understand how barriers to change influence the adoption of CR initiatives (e.g. Garavan *et al.*, 2010) and because universities are often characterised as being highly resistant to change (Van Loon, 2001), having an understanding of where barriers lie are considered valuable in order to be able to identify the issues that appear to influence the implementation of change towards the social dimension of CR. In total 113 references were found and coded in NVivo where participants discussed barriers to change. These references were subsequently classified into eight sub-categories, as summarised in Table 13. The remainder of this chapter provides a brief summary of how each of these sub-categories were conceptualised.

Table 13: Summary of barriers to change towards CR in universities

Barrier/area of resistance	# of references coded to each barrier (%)		Breakdown of codes by type of staff (academic/non academic)	
Competition for funding and resources	21	(19)	<i>Academic</i>	10
			<i>Non-academic</i>	1
Lack of time	20	(18)	<i>Academic</i>	10
			<i>Non-academic</i>	10
Lack of individual motivation or engagement	18	(16)	<i>Academic</i>	7
			<i>Non-academic</i>	11
Fear and lack of understanding	16	(14)	<i>Academic</i>	4
			<i>Non-academic</i>	12
Competing priorities and confused identity	16	(14)	<i>Academic</i>	7
			<i>Non-academic</i>	9
Poor communication	13	(11.5)	<i>Academic</i>	2
			<i>Non-academic</i>	11
Change fatigue	6	(5)	<i>Academic</i>	2
			<i>Non-academic</i>	4
Built environment	3	(2.5)	<i>Academic</i>	2
			<i>Non-academic</i>	1
TOTAL	113	(100)	<i>Academic</i>	44
			<i>Non-academic</i>	69

*Key: Academic = Academic (Lecturer, Snr Lecturer etc) or Academic Director

Non-Academic = General Staff, Non-Academic Director, Senior Executive, Consultant

Competition for funding and resources

The most frequently discussed barrier to change towards CR was that of funding and resources. Participants talked about how higher education is a time and resource intensive venture and one that leaves the managers, educators and general staff with

little time to look beyond immediate day to day challenges and cyclical annual demands. As stated by Samuel (Academic), “...there’s always resource implications. It costs money to do things and choices have to be made between one thing and another. This prevents socially oriented things happening that would otherwise be good”. As discussed in early chapters, there are conflicting priorities and stakeholder interest groups that are competing for attention at MQ, which in turn means competition for funding and resources. As such, the implementation of the social elements of CR competes with other resource requirements.

Specifically in relation to the implementation of CR, funding and resources were discussed by participants in terms of there being a difference between “*walk and talk*” (Andrea, Director) or between “*rhetoric and reality*” (Fiona, General Staff), meaning that there was the perception that the importance of CR was discussed publicly by universities, but the resourcing required to implement meaningful programmes of change was lacking. This was discussed as both a problem for the sector generally - “*at the end of the day, finding money for social programmes is a problem for every university*” (Karen, Senior Management) - as well as a problem specifically being found at MQ, as discussed by Imogen:

“I think there probably needs to be a lot more in terms of the support. I’m talking about some numbers, human capital, but also some real money... where is the funding to help implement some of this stuff?” (Imogen, General Staff)

There was also recognition that choices and tradeoffs had to be made in order to progress the levels of social responsibility within an organisation, an idea articulated by Zoe (Academic):

“Obviously money is always a barrier, I mean ultimately you can’t do everything you want, but to be genuinely more socially responsible requires the input of real resources, real funding. It is a choice that has to be made every time.” (Zoe, Academic).

These comments were supported in policy documents that were reviewed, for example, MQ’s *Sustainability Strategy* states that:

“Funding constraints may constrict the successful implementation of the Sustainability@MQ programme [CR strategy at Macquarie University]. However, rapidly increasing energy, water and waste costs, impacts of natural disasters as a result of climate change, and social /political value shifts add weight to the argument that sufficient funding is necessary to address each of these areas.” (Sustainability Strategy: 20)

It was clear that participants were keen to see a better implementation of the social dimension of CR, particularly because of the normative reasons outlined earlier in the chapter. But social responsibility was perceived to be under resourced and unless more plan driven resource allocation is made towards the social responsibility it may continue to be seen as a tokenistic add on rather than a part of core business and

strategy. The idea of tradeoffs was a recurring theme here, as it showed that choices have to be made and resources have to be diverted from other areas (e.g. away from environmental aspects of CR) in order for this to be achieved. Alternatively savings that are made from other CR initiatives (e.g. financial savings that might be made by, for example, implementing policies around savings power – lights off, computers off) could be put towards the development of social initiatives.

An additional link exists between the problems identified here around resource allocation and resource based view (RBV), one of the theories informing this thesis. RBV resonates with the findings here as it reinforces the potential value to be held in taking a more strategic approach to the allocation of resources for social responsibility. RBV research suggests that organisations that develop the capability to deploy and coordinate resources effectively may be rewarded with a competitive advantage (Amit & Shoemaker, 1993; Branco & Rodrigues, 2006). As discussed in the earlier parts of this thesis, RBV theory assumes that an organisation has a range of resources and capabilities that hold varying levels of value, rarity, imitability or substitutability (Branco & Rodrigues, 2006). The task of senior management is to assemble these resources and capabilities in such a way as to create a point of difference in the market. Research elsewhere has suggested that an organisation's capacity to be socially and ethically responsible may be a resource in and of itself that can lead to competitive advantage (Litz, 1998). In particular Litz (1998) argues that by developing deliberate response capacities to resources such as stakeholder consideration and ethical awareness competitive advantage can be harnessed.

Lack of time

Many changes to the structure of the university are occurring simultaneously. A number of participants talked of feeling overwhelmed at the level and amount of change that is being undertaken, and how this stress over change is compounded when social responsibility and CR are added. In this category it was interesting to note that there was the same amount of coding against academic and non-academic staff, suggesting that this may be an area that academic staff found particularly problematic (given that there were less academic staff interviewed in the research and as a result the balance here was disproportionately high).

Participants were concerned about a perception that specific programmes of change for social responsibility (e.g. curriculum changes, stakeholder consultation processes) were going to be onerous and time consuming and would add to already pressured workloads, as highlighted here:

“There’s no fat in any universities to be doing this, you know workloads are massive and no one sits around pontificating their academic freedom anymore, there’s already so much to get on with. I think people worry about where they would fit anything else in, that’s why this can be seen as something that falls in the too hard basket” (Janet, Senior Management)

But despite this, some participants recognised that some of the elements of social responsibility may indeed reduce constraints on time, as discussed by Michael:

“People are snowed under and this is just another thing. However this is just another thing that is going to reduce their snowed-underness, it’s going to cut down on the problems that are ripping into their time. The current problem is that the people who are not going above and beyond in this area are also not seeing the benefits of it and what it could offer in terms of payback.” (Michael, Senior Management)

Although it is noted that there is a likely bias of interviewees (e.g. age, level of seniority), some participants also discussed how lack of time is being used as an excuse; *“...there is a sense of grief and loss that comes with change and that is what is causing people to make excuses like having no time to fit it [development or support of social initiatives] in” (Karen, Senior Management)*. Some participants showed frustration that lack of time continued to be used as the excuse to avoid engaging in CR programmes, as can be seen here:

“You know, life could be a lot worse and sometimes you just want to slap them across the face and say, “Look, wake up. Wake up and see what you’ve got and the conditions in which you work”. Yeah, I know there are a lot of people who are overworked, unnecessarily overworked, and mainly due to staff cuts but I know a lot of people who are overworked and you just get on with it as well and realise that you know basically we’re here to try and educate students and give them a better opportunity and better understanding and - when they leave and go and take over the professional roles and the leadership roles and all of those kind of roles it is so so important that we have taught them the right values and have been showing those values in what we do at the same time.” (Emma, Director)

But participants also recognised that the way that social responsibility and CR is implemented is part of the key to whether it is successful. One participant felt that it was important to *“build it into the way we do things rather than advertise it as another extra thing” (Patrick, Senior Management)*.

Lack of time appears to be a legitimate concern for staff at MQ who feel pushed and pulled in many directions. Kanter (1985) suggests that people often resist change because they feel it will require more work for them in the short term, and this appears to be what is happening at MQ as well. Academics are being told to include more and more topics and ideas (e.g. sustainability, web-based content) within their course curricula and this appears to be resulting in feelings of stress and loss of academic control. In addition, cost cutting and the casualisation of the workforce has meant that academics are required to take on a greater administrative load, which also takes up time that was previously spent on teaching or personal research. From the perspective of academics, this work is to be done with less resources and support than has previously been provided, and at the same time they need to continue to publish in order to move up the academic career ladder. Although social responsibility

is an issue that participants appear to have an interest in pursuing, the reality is they feel they do not have the time to implement any other new programmes or initiatives, thus meaning this was perceived as a key barrier towards change.

Lack of individual motivation or engagement

As discussed in Chapter 3, individual motivation is often an area of resistance in the implementation of any organisational change programme (e.g. Waddell & Sohal, 1998) and this emerged as barrier within the university context as well. In particular what was found was that although the social elements of CR were considered influential for HE organisations, and participants were supportive of the programmes that were being put in place at MQ, there was a perception that there was a lack of incentive for individuals to change behaviour in order to make such programmes more successful, as discussed here:

“Well the barriers would be that it’s the individual nature of this. There’s always going to be an issue with this. You’ve got an institutional driver and yet you’ve got individuals that might not subscribe to that view of the world. “Don’t talk to me about riding my bike here, I want to be able to park my car.” So again that’s the kind of dilemma that somehow you’ve got to be able to deal with. Why would we bother trying to change if we are given no reward or incentive to do so?” (Nathan, Director)

Some participants talked about how of this lack of motivation was because of the narrow expertise of many academics who are focused specifically on their niche research area and lack the ability or desire to see how the social dimension of CR might relate to them or their subject area.

“How many colleagues do we know in their teachings who say well yes, sustainability is important but I actually teach such and such, I don’t want to do anything with sustainability in my classes... And yet there are some aspects of our situation in the world at present that are important enough that they should be discussed and debated and mentioned in all university subjects.” (Samuel, Academic)

Other people talked about how the idea of CR is met with cynicism, particularly when discussed within the context of HE, as people don’t see the relevance or opportunity of CR for the sector. But, as discussed by Samuel:

“I guess the university is made up of people from the community and people have particular views about things, some of them much more appropriate to the previous millennium rather than this one, and changing people’s views about things is probably the biggest problem... It’s a natural thing for people to stick with old ways of doing things and many of these old ways of doing things are overdue for a revision let’s say.” (Samuel, Academic).

This quote highlights how the choice to behave in a more socially responsible way is an individual choice, yet if the organisation is to be more successful in implementing socially responsible initiatives across the organisation, individual buy-in and support is vital (Fenwick & Bierema, 2008; Garavan *et al.*, 2010). Perhaps the answer to increasing individual motivation therefore lies in changing people's perceptions, thus moving the organisation forward with a commonly agreed upon set of values, as suggested by this participant:

"The aim should be to get people to buy into socially responsible behaviour as a common set of values. Everybody wants to work in an organisation that has integrity and that is ethical. It's then, how do you make sure that these things are sustainable, supported and connect with peoples aspirations and values. So there has got to be that link at the head and heart level." (Karen, Senior Management)

A related issue raised was that of lack of engagement. *"How do you engage people in social sustainability?"* (Chloe, General Staff). This was a question asked by a number of participants who were showing frustration about how to engage a wider proportion of the university community in CR. It was discussed how *"the same faces"* come to all the events and initiatives held by the university, leading to a feeling that *"we are preaching to the already converted"*. But there was a desire to want to understand how to get the attention of those who *"don't want to be engaged and just want to come and study or work and then go home"* (Chloe, General Staff). In addition it was felt that:

"A lot of the times we're doing stuff, it's just that people aren't taking any notice. You know, it doesn't matter what kind of method of communication we try to utilise to get the message out there, they're just not taking any notice because they're not engaged and they don't care." (Emma, Director)

It worth noting that frustrations felt here were largely those of participants whose jobs at the university were predominantly involved in driving some aspect of the CR agenda forward. Although the findings do not indicate that there is a complacency or lack of compassion towards social responsibility, the problem is that participants appear to feel a lack of individual responsibility or ownership over the issues and this in turn is being seen as a barrier for change. Turning to the literature to explore what might be happening here, it suggests that individuals may resist change because they feel a loss of control over their life situation and that changes are being imposed on them rather than being self initiated (Oreg, 2003: 680). This idea aligns with other problems seen around a feeling of loss of control over academic autonomy and a sense of feeling over managed. The literature suggests that one way of overcoming this is to encourage employee involvement and participation in organisational decision making (e.g. Sagie & Koslowsky, 2000) and this idea of stakeholder consultation is an issue that appears to be influential in the implementation of social responsibility at MQ, as suggested and discussed in detail in the next chapter. An additional point, however, is that change takes a lot of energy and perseverance and because there can be many

detractors to change, stakeholders do need to be highly motivated and persistent about the change process in order for it to be successful (Torraco & Hoover 2005).

Fear and lack of understanding

Due to the ongoing change occurring in universities, and most particularly relating to the casualisation of the sector, there was a fear identified by participants around job security and the way that the change and progress of the sector is impacting on this. One participant talked about how *“the difficult behaviour we are seeing from those who are against this really come from a premise of fear... fear of their job, fear of having to justify themselves”* (Abby, Director).

Fear was also discussed in terms a lack of understanding, where CR was a topic that made people uncomfortable:

“We talk about social responsibility and communication and exchange of ideas. Some people can’t do that very well. As soon as you start to talk to them about that they just get scared and don’t know how to react to it... They’ve never done it before, they’re terrified and don’t know what it is” (Rebecca, external consultant)

In addition there was a sense of people feeling fear of change in general. This was an issue mentioned a number of times, for example:

“The VC is making a lot of changes... everybody’s terrified” (Rebecca, external consultant)

“The main problem is the fear, it’s a fear of any change” (Michael, Senior Management)

Related to the idea of fear, is the fact that there is a general lack of knowledge and understanding about exactly what CR is and particularly how it might be relevant to the university context. This creates a sense for some people that *“it is too hard so I don’t have to deal with it”* (Nathan, Director). In addition, one participant felt this was because *“... corporate responsibility makes people very uncomfortable”* (Rebecca, external consultant). This finding was supported in policy documents, for example:

“[There is a] lack of understanding as to what ‘sustainability’ means. General tendency is to see it as ‘green’, focusing on operational aspects thereby missing the social aspect.” (Sustainability Strategy: 20)

Participants showed a lack of understanding about what the social dimension of CR meant, particularly for universities (e.g. *“I’m thinking that actually I’m not sure what it is”*). In addition there was a feeling that a lack of experience in the management team was holding the university back in terms of making progress towards social responsibility, as suggested by Nathan (Senior Management), who stated: *“... there’s nobody [on council] that has good experience on corporate responsibility”*. These

findings lead to a suggestion that there is a need for a more comprehensive understanding of how the social dimension of CR is understood in universities and this is discussed in detail in the final chapter of the thesis.

Competing priorities and confused identity

Universities are large and complex organisations and it can therefore be difficult to implement change (ASHE-ERIC, 2001; O'Meara & Petzall, 2007; Torraco & Hoover, 2005), with such change involving a lot of bureaucracy and *"lots of cogs turning"* (Fiona, General Staff). As discussed throughout the thesis, the university sector is changing and becoming more corporatised and this appears to be creating tensions between different parts of the organisation. These tensions create a number of competing priorities for universities and social responsibility gets caught up in an argument about whether it is a *"nice to do, rather than an absolute need to do"* (Lauren, Director).

Competing priorities was thus perceived to be related to, and driven by, the diverse range of pressures being placed on universities by stakeholders, as discussed by Paul:

"I don't think there's a university anywhere in Australia that says they don't want to be socially responsible. But there are so many competing priorities. All the stakeholders, I mean there's the government, students and even their parents, they all have their own desires and they're not necessarily all concurrent, some of them are conflicting. And so universities find themselves going in lots of different directions, trying to appease a lot of different stakeholders who may not have consistent views about what universities should be doing. And so it's often difficult for universities to plot a straight course, they kind of buffered themselves around. So the employers want one thing, the students want another, the graduates want a third, the government wants a fourth, and we try to accommodate them all. So I suppose the main impediment to being more socially responsible is just trying to please everybody really and it's not possible." (Paul, Senior Management)

The barrier of competing priorities once again raises the question of tradeoffs, particularly around which elements of CR should be considered more or less important for universities. Previous research in the corporate context has suggested that tradeoffs are often made in organisational decision making for CR, and are mostly biased towards tradeoffs benefiting financial gain (Angus-Leppan, Benn & Young, 2010).

A number of participants also talked about how there is a need for consistency and approach in the methods and messages that are being given about CR in order for it to be more successfully implemented. It was suggested that this was a particular weakness of MQ. For example:

"I think we would be much better off if we had a strategic focus at the university about where we wanted to invest our efforts in social responsibility because for me I see lots of activity going along in various directions with an end result that might either clash with work happening elsewhere or might not even be measurable, it could be so small. But there is an opportunity to make a big difference and build real relationships in certain communities and within the university community itself. Although there are lots of examples of it going on around the university that we all know about I think the university would be better to coordinate that kind of thing a little bit better so efforts are a bit more coordinated. This would then create more valuable outcomes." (Veronica, Director).

It was also discussed how at MQ the senior management team put out a message regarding the importance of embracing ideas around social responsibility, but that policies and practices that go against this message are then implemented. There was also a sense that the university had a confused identity and *"had lost its way"* (Penny, Senior Management), which was considered another barrier, as discussed by Emma:

"We don't know what we're about. And if we don't know what we're about, how can we communicate that to ourselves externally? So I think our barriers are just not taking the time to understand what we are and what we want to be and then getting a consensus or an alignment on that as much as we can. I think there's also this legacy about how a university should be and those conditions that surround that particularly with academics and this almost right that they have that comes from being an academic and that's something that is difficult to break down." (Emma, Director).

These findings suggest that there is a need for a more systematic and plan driven approach to be taken in the implementation of the social dimension of CR. The core priorities of the organisation need to be more clearly stated as there is a current perception that social responsibility is an ad hoc 'add on' that is being largely driven by individual members of the organisation, rather than an issue being driven by a planned organisation wide change agenda.

These findings highlight a recurring idea that has emerged regarding the organisational change approach that appears to be being undertaken at MQ with regard to the implementation of social responsibility. What the findings here and in other parts of the chapter suggest is that at MQ change appears to be being driven by senior management (Torraco, 2005) as a response to changes to the institutional environment, most particularly the corporatisation of the sector, as well as for instrumental reasons (e.g. potential competitive advantage). Senior management appear to be driving change based on a vision that has been developed by the Vice-Chancellor (*Macquarie@50*). However the problem is that this vision does not appear to be resulting in change efforts that are meeting the needs and expectations of other stakeholders, particularly academics and other staff interviewed for this research. It appears that these stakeholders would instead prefer there to be a more emergent and consultative approach undertaken at MQ, which aligns more with an

organisation development approach to change. Torraco (2005) discuss and compare senior management driven change with organisation development based change in the context of universities. A summary of the differences between the two approaches have been outlined in the table below (Table 14), as adapted from Torraco (2005). What can be seen from this table is that at the moment MQ appears to currently be taking an approach to change that would align with senior management-driven change but what appears to be wanted by other stakeholders is an approach to change that aligns more with organisation development-based change, and is thus suggested as a way forward for MQ.

Table 14: Comparison of current and proposed theories of change at MQ

Area	Senior Management-Driven Change	Organisation development-based change
Leadership	top down	participative
Purpose	maximise economic value	develop organisational capabilities
Focus	structure and systems	culture and processes
Planning	structured and programmatic	emergent
Locus of responsibility for change	management	organisational members and stakeholders
Assumptions underlying change	top leaders are in the best position to know what change is needed and how it should occur	long-term organisational effectiveness is best achieved through developing stakeholders' abilities to identify and solve own problems
Motivation	incentives lead in the change process	incentives lag in the change process
Change consultant(s)	knowledge driven (from large firms)	process driven (from small firms)

Source: Adapted from Torraco (2005)

Poor communication

Research has suggested that those responsible for change (i.e. senior management in this instance) can often contribute to resistance to change through breakdowns in communication. Ford, Ford and D'Amelio (2008), for example, argue that a number of factors can contribute such communication problems including:

- a failure to legitimise change resulting in problems regarding readiness to change and a lack of acceptance
- intentional or unintentional misrepresentation on the part of change agents so as to avoid losing face or looking bad
- not calling people to action, meaning that change agents often assume that action will just happen as a result of people understanding and accepting the need for change.

As in the research above, communication was also one of the challenges identified by participants in this research in terms of implementing change for social responsibility. For example one of the policy documents states “... *communication with staff and students needs attention as current systems do not allow for adequate interaction*” (*Sustainability Strategy: 19*), and some participants supported this view, as suggested by Emma (Director):

“I think the biggest challenge that anyone in our sector deals with in trying to make some kind of organisation change is the communication and engagement level... whether that’s because of staffing arrangements and the systems and processes in place.” (Emma, Director).

Other participants talked about how communication can break down depending on how messages are produced and delivered, as discussed below:

Universities are very complex and dynamic institutions, they need creative solutions for how to communicate both with their internal and external communities. There are physical impediments but also mediums and target marketing of messages and message/audience mix. Communication is rarely done in a corporate way here or at most unis, but they need it just as much as corporates...getting messages to students is the biggest problem at this campus... we have to look at targeting different audiences at different times through audio, visual, print, virtual stuff and just see what happens” (Ryan, Director).

This quote suggests that there is scope for management to tailor messages to suit the disperse stakeholders of universities, but also shows there is a general lack of understanding on the part of management of how to effectively go about doing this. In addition, because so many participants saw communication as a specific barrier to change, it shows that it is a problem that needs attention in terms of the implementation of social responsibility at MQ. “*Communication is a real barrier – how do you communicate effectively with 6,000 staff let alone 30,000 students – especially as each of those expect it in a different way*” (*Emma, Director*).

There are two issues at play here. The first is content of the message that is being delivered by the organisation around the importance of CR and the second is the way that this message is being delivered. It seems that role and position within the organisation has a strong influence on the perceived success (or otherwise) of CR initiatives. It is clear that the way that certain levels of staff see what the university is and is not doing in terms of social responsibility directly informs how they construe the university’s direction in this regard. Poor communication and information flows were found to be key constraining factors in change towards social responsibility at MQ. Some participants discussed that poor internal communication was a result of the inherent tension that existed between senior management and other areas of the organisation. Difficulties around communication also created a perception that there was a lack of consultation about major change at MQ, which was linked to the notion of poor stakeholder consultation. Both stakeholder consultation and communication

are identified as being influential in the implementation of social responsibility in the university context, and the implication of this finding is discussed in detail in the next chapter.

Change fatigue

Change fatigue was perceived as another barrier towards change for social responsibility:

“There’s a lot of change being undertaken simultaneously at this university, without doubt, which is you know a major pressure and challenge.” (Emma, Director)

Despite recognition that change fatigue is a potential cause for a lack of enthusiasm over the implementation of CR, some participants discussed the positive outcomes of such change, for example, “... everything is up for change. It is such a great opportunity, particularly for something as important as social sustainability” (Lauren, Director). For the few people who discussed change as a positive for the organisation, it was put forward as an opportunity for everything to be “up for discussion”.

Change fatigue was also discussed in terms of embedding the concepts of social responsibility into curriculum and teaching:

“It’s the overcrowded curriculum. When it comes to teaching, internationalisation is important, student diversity is important, and now we’ve got social responsibility, and how do they fit it all into their subjects?” (Karen, Senior Management)

These findings align with research undertaken by Szekeres (2006) who explored the lives and workloads of staff in universities particularly focusing on how moves toward corporatisation of universities have influenced the working lives of these staff. She found that such changes have resulted in increases in stress, intensification of workloads, reduced resources and increased expectations, which are all partly a result of the corporatisation of universities (Szekeres, 2006).

Overall change fatigue appears to have emerged as a barrier for change because the amount of change currently being undertaken at MQ and a sense from staff of not feeling supported by management. Some deeply rooted academic values would seem to be being challenged as a result of a move towards a different way of managing universities. This appears to be resulting in a lack of support for change which in turn has an impact on other issues that underpin the notion of social responsibility such as responsible workloads and work/life balance (Andriof & McIntosh, 2001; Dunphy *et al.*, 2007; Linnenluecke *et al.*, 2009).

Limitations of the built environment

The final barrier to change discussed by participants was the physical environment of university campuses and the way these inhibit change towards CR. A number of the problems here related specifically to the environmental dimension of CR, such as the waste of resources (e.g. use of air-conditioning and water wastage). There was also discussion about the 'green star' rated buildings currently being built at MQ, particularly the new library. Discussion about the library was both positive, *"the library is at least something they are doing well in the CSR space"* as well as cynical: *"I mean, that library is costing so much more than one that isn't trying to be so politically correct. Those resources could go into providing better support for our low SES students and I think that would be so much more valuable"*. Indeed comments like the latter show how there is still a perception of the tradeoff that exists between the elements of CR. For some the social dimension of CR (e.g. as manifested as helping those from low SES backgrounds) outweighs the impact of the environmental outcomes associated with the new library. The idea of tradeoffs is a theme that has run through many of the barriers, and is an area that appears to be impacting on the implementation of social responsibility. This idea is considered in detail in the next chapter.

From a social perspective there was also an issue raised with regard to the sense of community in universities. This was particularly about how academics spend so much time in individual offices, which is part of academic culture and the way the built environment is arranged in most universities. However, what was discussed was how this creates a silo effect and a lack of shared sense of community, which was an issue that a few participants tied in strongly with the social dimension of CR. For example:

"I strongly blame the physical space. The built environment here is poor and it's old and it congregates and separates; it congregates small groups of admin staff, certainly. But it separates and segregates academics in silos and it's no doubt that the figures on depression and loneliness are up here...buildings aren't that good and people are just feeling they are doing it all on their own. Even in [the Vice Chancellor's building] it's the same. In my opinion the way academics work, and particularly work together, needs to have a real shake up." (Ryan, Director).

Although the built environment was not a challenge that was discussed by many participants, it nevertheless aligns with findings in other research that has identified it as a potential barrier to change in universities (e.g. Pollack, 2006; Waddell & Sohal, 1998). For example Pollack (2006) found that changes to working conditions, including office space and the physical environment, influenced decision making regarding the promotion of change. This finding therefore suggests that the way the physical environment in universities are set up may be inhibiting progress towards social responsibility and, although it may be an unrealistic suggestion, the need for rethinking how staff can be provided with physical spaces that encourage collaboration, teamwork and group interaction may have an influence on the implementation of social responsibility.

Discussion of barriers to change for CR in universities

The findings discussed in the second part of this chapter have outlined the perceived barriers to change for CR in the university context. This next section provides a discussion of these findings in order to address the final research question of the thesis:

Research question 4: What are the barriers to change in the implementation of the social dimension of CR in the university context?

This question was considered valuable to answer given previous research that has highlighted the need to understand how barriers to change influence the adoption of CR initiatives (e.g. Garavan *et al.*, 2010). In addition, universities are highly political organisations and resistance to change is a frequently discussed problem (Van Loon, 2001). Also, having an understanding of where such barriers lie help to provide insight into the issues that appear to influence the implementation of the social dimension of CR in the university context, and particularly at MQ. In total, eight barriers were identified:

- there is a lack of funding and resources being committed to the implementation of CR;
- staff are concerned about how the implementation of CR might impact on already pressured workloads;
- there is a lack of motivation and incentive for individuals to change behaviour as well as a lack of engagement, with a sense that there are a small number of people doing the bulk of the work in this area and not knowing how to engage a greater number of people in the problems;
- there is a fear change, particularly arising from how the implementation of CR might impact on job security as well as a lack of knowledge or understanding about CR and how it impacts universities or be relevant to an individual's job;
- there are concerns around communication, firstly in terms the content of the message being delivered about the implementation of CR and secondly in terms of the effectiveness of the actual delivery of the message;
- there are too many competing priorities and pressures already being placed on stakeholders and there is concern about how to also fit in CR implementation (e.g. into curricula). There was also concern that the university is giving conflicting messages and people talked about needing more consistency in approach and messages around CR;
- staff feel change fatigued, particularly in terms of the amount of change being asked of them but also in the management of change. There is a resulting reluctance from people to fully engage in change programmes;
- the built environment at universities, but at MQ in particular, were not considered conducive to the implementation of CR, particularly the social elements.

A common theme running through discussions with participants on these barriers was one of time, support and resources. Most participants noted the need for

universities to respond to changes in the external environment. However there was a sense that staff, particularly academics, are just managing to keep up with the day to day demands of teaching, research and administration. Having said that, people showed a genuine interest in CR and in the social dimension in particular, largely because of the perceived alignment between the values of higher education and those of CR. This leads to a suggestion that there is potential to be doing more or perhaps better coordinating efforts, so long as some of these barriers can be addressed.

Given the perceived lack of communication and inhibition towards change, a suggested recommendation from these findings is that more focus and time should be spent on helping stakeholders to reduce perceived barriers to change rather than spending time on highlighting the benefits of change. Research elsewhere suggests that breaking down the perceived barriers may cause better buy in, a better sense of people feeling their voice is being heard, while also making it clear that some of the barriers are not really barriers at all but indeed may be benefits (e.g. Grant, 2010; Grant & Franklin, 2007 in the area of skills building). By approaching barriers in this way it allows for people to express and deal with frustrations and then be actively involved in finding ways to overcome barriers, rather than through negative behaviour or leaving the organisation.

Another theme running throughout the discussion of barriers to change was once again that of tradeoffs. Participants talked about how there is a need to make specific choices to engage in the social dimension of CR. This might be around diverting funding and resources away from other programmes, or through shifting attention away from other elements of CR, particularly the environmental dimension (which is currently where most organisations commence CR engagement due to political and media attention around climate change and global warming). Tradeoffs were also discussed in terms of making choices between conflicting priorities and time and resource allocations. Further discussion of these issues will be undertaken in the next chapter.

Indeed, the information gained through identifying the barriers presented here may provide opportunities for MQ and uncovering where the barriers lie is the first step in moving forward with the implementation of CR in an approach that lies less with personal choices made by individual staff (as it seems is the case currently) and more through decision making across the organisation as a whole. Another issue to consider is how resistance to change can be harnessed in a positive way so as to improve the implementation of social responsibility at MQ. As argued by Ford, Ford and Damelio (2008), resistance to change is often perceived in terms of change agents that are doing the right thing with change recipients putting forward unreasonable obstacles and barriers in the way of change. Instead of taking this approach, what Ford and his colleagues suggest is approaching resistance to change through a process of effective change agent-recipient relationship management, particularly through dialogue and conversations around change and the implications of change. This kind of suggestion supports an argument for MQ to build more strategic stakeholder consultation processes into their change programmes and this is a suggestion that is argued for more fully in the next chapter.

Summary of chapter

This chapter has presented findings around the drivers for change towards CR in universities, along with where areas of resistance and barriers to change lie. As such the chapter provides a response to:

Research question 3: What is driving change toward the social dimension of CR in the university context?

Research question 4: What are the barriers to change in the implementation of the social dimension of CR in the university context?

The chapter commenced with a discussion about the drivers for change towards social responsibility in the university context and it was suggested that drivers for CR could be categorised into normative, instrumental, institutional and stakeholder expectations. Although there are similarities between these drivers and those found in the review of the literature (Chapter 3), differences were also found, largely because of the moral responsibility that universities have that should provide motivation towards engaging in socially responsible behaviour. The social dimension of CR was identified as an issue given this perceived mandate of moral responsibility and is one that should have importance to both senior managers and other staff, particularly because of the normative social drivers.

Discussion of the barriers to change followed. Eight barriers were identified from the empirical research that covered a range of perceived issues that are currently inhibiting change towards CR at MQ. A common thread running through discussions with participants on these various barriers was one of time, support and resources. It was recognised that MQ needs to respond to changes in the external environment. However there was a sense that staff, most particularly academics, are just managing to keep up with the day to day demands of teaching, research and administration. Having said that, people showed a genuine interest in CR and in the social dimension in particular, largely because of the perceived alignment between the values of higher education and those of CR. This means there is potential to be doing more or perhaps better coordinating efforts, so long as some of these barriers can be addressed.

Having now addressed all four of the research questions for this thesis, the next chapter presents a number of suggested implications and observations around what the findings appear to be suggesting are elements to consider when planning and implementing CR in the university context.

Chapter 8:

Discussion and Conclusion

Introduction

The preceding chapters have presented the analysis and findings of this thesis. The thesis has sought to examine the various ways that the social dimension of CR is being interpreted and operationalised at Macquarie University, as well as where the drivers and barriers to change lie. The discussion sections included in these chapters developed a number of insights that contribute to a greater understanding of how the social dimension of CR is implemented at MQ. These chapters have also addressed the core research questions of the thesis. One of the contributions that has been made is the organising framework developed in Chapter 5, and its revised version for the university context developed in Chapter 6. The other contributions include the development of a detailed understanding of the drivers for change and barriers to change that exist when implementing social responsibility in a university context. This contribution is considered valuable as it has the potential to assist managers of universities and those working in CR in the sector to understand where implementation might be going wrong or where potential problems might arise.

A number of insights and recommendations arise from the application of the organisational theories used in this study to the examination of the findings from the earlier parts of this thesis. The purpose of this concluding chapter is to discuss the implications of these findings. The chapter commences with a discussion of the theoretical research implications as well as a number of areas that have emerged for future investigation. Following this, seven emergent recommendations and suggestions are put forward that, although largely practice based, acknowledge the theoretical frameworks that have underpinned the research. The outcome of these recommendations is the development of a suggested implementation model that MQ might consider as it continues to build on the policies, practices and processes around social responsibility that have already commenced. The chapter concludes with a discussion of limitations of the research before making some final concluding remarks to the thesis.

Theoretical research implications and areas for future investigation

In this thesis, a definitional understanding of the social dimension of CR has been developed. Examples of how one university has interpreted the social dimension of CR and has attempted to implement it have also been presented. The insights gained

from this research have a number of implications for future theory, policy and practice, many of which relate to there being a need to place a greater emphasis on the role that social responsibility should and could play in universities to meet stakeholder expectations at both normative and instrumental levels. There are eight theoretical implications of this research which also give rise to a range of avenues for future research.

Firstly, the conceptual model showing normative interpretations of the social dimension of CR (see Chapter 5) provides a more comprehensive interpretation of the elements that should be taken into account when an organisation is implementing the social dimension of CR than has been found in any previous theoretical or practitioner based literatures. As was discussed in the early chapters of this thesis, there has been little attention in the academic literature on the social dimension of CR (Lee, 2008; Lockett, Moon & Visser, 2006), and as a result there is a lack of understanding about how this dimension of CR is defined and operationalised. Although a few practitioner based frameworks were found during the research that provide detailed accounts of what the social dimension of CR might entail (e.g. Social Accountability International SA 8000), the qualitative meta-analysis and subsequent framework development makes a strong contribution to the literature as it combines these practitioner based ideas with conceptualisations of social responsibility found in the academic literature. In particular this framework adds to existing research (such as Andriof & McIntosh, 2001; Carroll, 1979, 1991 or Elkintgon, 1998) in that it offers an applied set of examples of issues that should fall under the social dimension of CR and highlights the complexity and interdisciplinary nature of the relationships between the different social elements. It is argued that these findings indicate a need for universities which are seeking to improve their levels of social responsibility to take a systematic and plan driven approach to social responsibility that ties in with both the normative and instrumental expectations of different stakeholder groups. The framework developed here is currently limited, however, as it has only been applied in the context of one university (and subsequently adapted to create the framework found in Chapter 6). Despite this it provides potential for future application in terms of assessing its applicability to a wider range of organisational and sector contexts. Additional collaborative research across a greater number of universities and countries may help to provide greater clarification of how the framework could be applied in a wider range of contexts.

The second implication of this research comes in the form of the application of the normative organising framework from Chapter 5 to the university context. The outcome of this work, undertaken in Chapter 6, is a more applied and context specific version of the framework that may be applicable in the university context and identifies the range of social responsibilities that this research has identified as being important for universities to be considering in the changing organisational environment that was discussed in detail at the beginning of the thesis. At MQ these changes appear to have resulted in tensions that are causing disaffection of academic staff towards decisions currently being taken by the senior management team. But the current institutional and environmental pressures that are being faced by

universities (e.g. reduced public funding and a reduction in international students resulting in a need to find creative income sources) are a reality and require these organisations to be operating in more 'business like' ways. As a result motivations for leaders of universities to be behaving in more socially responsible ways appear to be driven by instrumental (e.g. cost reductions/business case) and institutional (legislation) drivers. Yet in order to continue to attract the best staff and students the same senior management needs to remain cognisant that a large proportion of the academic community appears not to recognise how these institutional pressures are affecting the viability of the sector going forward. These stakeholders instead appear to remain driven by more traditional normative academic values and continue to see social responsibility as a core part of the values of the sector, particularly because they see these values as a moral responsibility for universities. The implications of these findings lead to a suggestion that the moral responsibility of universities might be more helpfully reinterpreted as the social dimension of CR. This suggestion is discussed later in the chapter where it is argued that if moral responsibility is interpreted in a way that is more systematic and plan driven and aligns with vision and expectations of key stakeholders (rather than undertaken in silos and without genuine consultation as appears to be the case in MQ), then it may more successfully meet both the normative expectations of the academic community while simultaneously meeting instrumental 'realities' that are faced by senior management.

The third implication of this research comes as a result of the application of a combination of organisational theories (specifically stakeholder theory, organisation development, resource based view and institutional theory) to develop an understanding of the issues that appear to influence the implementation of CR in universities. This multidimensional theoretical approach was taken because it was argued earlier in the thesis that single theory perspectives can produce a restricted view of organisational reality (Ackroyd, 1992; Alvesson, 1987; Das, 1993; Gioia & Pitre, 1990; Pondy & Boje, 1980; Reed, 1985, 1996). Given the complexity of the university context, as well as the inherently complex nature of CR itself, it is believed that by using multiple theoretical approaches and exploring the way these theories might intersect has helped to explain the data in this research more fully. In particular, combining organisation development theory with a number of intersecting theories has assisted in providing a detailed understanding of how the implementation of the social dimension of CR might be more systematically undertaken in the university context.

A fourth implication concerns the role of stakeholder input and decision making in the process of change in the university context and the importance of communication during change processes. The findings of this research have suggested that stakeholder consultation is a key component of the implementation of CR in universities, which appears to stem from the traditional academic organisational ideas that exist in this sector. These findings support work done elsewhere (e.g. Torraco & Hoover, 2005) where it has been suggested that the nature of academic culture means stakeholder input and participation should be encouraged, but also balanced with final decision making. Later in this chapter some further ideas about

how more comprehensive stakeholder consultation (studied particularly with internal stakeholders in this research) might be undertaken during the implementation of CR in this sector.

The fifth implication concerns the application of stakeholder theory to the problem of CR implementation in universities. The findings suggest the dominant role that internal stakeholder pressures have on decision making, particularly viewed in this research as the academic community pressuring for one ideal versus management for another. Such pressures drive the organisation towards seemingly different CR outcomes. However this research has argued that the outcomes sought are largely the same, yet are interpreted in different ways by different stakeholder groups. The inference here is that those who hold management positions can use their salience (i.e. power, legitimacy and urgency – see Zyglidopoulos, 2002) to influence organisational decision making according to their own social values and expectations. In MQ's case, given the background senior academics share with the wider academic community, management should be well positioned to ensure such social values and expectations are aligned.

The sixth implication concerns the way that competitive advantage has been reconceptualised in the university context. The findings have suggested that social concerns are a priority for the sector both from normative and instrumental perspectives. Viewing this from the perspective of resource based view and institutional theory it has been argued that a focus on these factors highlight the non-financial value creation (i.e. competitive advantage) that may be harnessed by universities who effectively implement social responsibility. This creates an area for future investigation in terms of how a theoretical approach that combines resource based theories (e.g. resource based view), institutional theory and stakeholder theory might be extended to non-financial focused sectors like higher education (i.e. a sector where shareholder return is not the primary objective).

The seventh implication concerns the findings that the social dimension of CR was a pivotal element of CR for universities to be focusing on by participants in this research. Although some theorists argue that the elements of CR are interrelated and interdependent and therefore cannot and should not be detached from each other (Dunphy *et al.*, 2007; Elkington, 1998; Lehtonen, 2004; Zadek, 2001), the reality is that in many instances parts of the CR framework are detached and explored in their own right, increasingly through a focus on the environmental and ethical responsibilities of business (Lockett, Moon & Visser, 2006). The research here has suggested, however, that in the university context the element of CR that is considered more important to be focusing on is the social over environmental and economic. This has implications for the development of future programmes of change towards CR in this sector given the current focus appears to be directed more towards environmental programmes than to those of a social nature. The findings of this research suggest that this current focus is largely affirmed because there is greater policy attention on the environmental dimension (e.g. extensive deliberations around

the carbon tax in Australia). It is also the dimension of CR that is easier to quantify and hence more easily operationalised than the other dimensions of CR.

The eighth and final implication of this research concerns the different approaches that a university appears to be able to take towards the three traditional elements of CR; environmental, economic and social. This thesis has attempted to provide examples of how social elements do sometimes conflict with optimal environmental concerns (e.g., community outreach versus carbon footprint) and with economics. While not the stated purpose of the research, it does raise the question of how organisations try to deal with these conflicts and boundary issues of politics, meaning and identity and what future studies would be valuable here along the lines discussed above. The research also suggests, however, that the rhetoric of CR from management may influence the way CR is interpreted by organisational policy, practices and personnel. Further work on CR motives could explore this finding further as well as compare the issue across sectors. Comparative studies across campuses to confirm the case analysis conducted here and a cross-sectoral study that would compare case organisations from each sector in terms of the CR social dimension categories as set out in Chapter 5 would also be beneficial. An additional area of investigation would be to further examine the apparent fluidity of these categories and the overlap that appears to exist across some of the elements. For example, there may be merit in conducting quantitative research, in the form of surveys for example, with Vice Chancellors or senior managers across a range of universities in order to examine more closely how each of the elements of the social dimension plays out in practice.

Emerging recommendations and suggestions for organisational practice

While the purpose of the first part of this chapter was to discuss the theoretical implications of the research, this next part of the chapter is more practice based. In particular the following section uses the findings from earlier chapters and, taking inspiration garnered from the organisational theories that underpin the research, makes seven practice based recommendations and suggestions about the implementation of social responsibility in the university context. These recommendations seek to provide a contribution in terms of building on existing work that has been undertaken with regard to the implementation of the social dimension of CR as well as offering some ideas about planning and managing this element of CR in the university context. Some of these emergent issues are particularly relevant to MQ alone while others may have relevance or applicability to other universities in the sector. Each of the seven recommendations are summarised below.

1: Tradeoffs are necessary between CR elements and need to be weighed accordingly

From this thesis it emerged that a key part of CR for universities is the social dimension. Despite this, it appears that the actual focus in universities (as discussed earlier in the thesis) is much more on the environmental dimension of CR. Environmental and climate change are a current focus internationally and there is increasing media and political attention on global symposia around climate change or on national and international policies that aim to reduce global environmental impacts (Berrone & Gomez-Mejiz, 2009; Zyglidopoulos, 2002). Many organisations view environmental management as a crisis and risk management area, thus committing resources to solve problems around how to reduce impacts in areas such as energy usage, waste management and so on. The increasing focus on the environmental issues means that this is becoming a comprehensively researched and much better understood area of CR. Moreover, the environmental dimension is generally more readily quantifiable and specifiable. This growing awareness and understanding means there are now many 'low hanging fruit' activities that universities are willing and able to implement in the bid to improve their environmental impact (and examples of this were found at MQ, for example through policies relating to water and energy usage). Small wins are easily achieved towards a greater good while at the same time improving corporate reputation and responsibility, providing an environmental brand and motivating additional change (Dunphy *et al.*, 2007).

This scenario, as the research suggests, is being played out at MQ. Attention being placed on the environmental aspect appears to have led to the social dimension being seen as a tradeoff in favour of the environmental and economic dimensions. This aligns with previous research undertaken that has shown it is difficult to maximise more than one CR dimension at a time, implying that profits and social performance cannot be simultaneously increased (Husted and Salazar, 2006). Zadek (2001, p.127), for example, presents a case from the manufacturing industry of where GAP Inc. made tradeoffs between financial returns and issues of social performance, particularly relating to factory ownership (and thus control of worker rights and associated ideas) versus labour outsourcing (and therefore loss of this control) in third world environments. In addition, recent in-depth studies of the financial sector found that environmental aspects of CR were downplayed or traded off against social elements of CR (e.g. Angus-Leppan *et al.*, 2010). Clearly there seem to be a number of sectoral issues at play and the risks associated with these tradeoffs need to be identified for each sector.

Although it has been argued that "...the best solutions are based not on tradeoffs or 'balance' between these [social, environmental and economic] objectives but on design integration achieving all of them together" (Hawken *et al.*, 1999: xi), what has been suggested in this research is that there is a pushing and pulling that occurs for resources, time, and between competing priorities. In practice this means that at MQ choices (or tradeoffs) need to be made between different elements of CR, or between whether to engage in CR at all over other organisational priorities. This finding aligns

with other research that was dominated by the idea that organisations do tradeoff between the elements of CR, particularly when one element is considered to be more financially viable than another (Angus-Leppan, Benn & Young, 2010).

Although the findings here support previous work which suggests that attention being placed on environmental aspects of CR are leading to tradeoffs against the progress of the social and/or economic dimensions (Angus-Leppan *et al.*, 2010; Husted & Salazar, 2006), an alternative argument that has arisen from the findings is that the social dimension of CR may hold potential to advance a mutual benefit equation, rather than reinforcing tradeoffs. For example, from an institutional perspective, findings here have provided examples of how MQ has innovated its business models through the creation of partnerships and collaborations with the private sector in order to benefit the community whilst simultaneously ensuring growth for itself. It is clear there is potential for such collaborations to bring together stakeholders holding different interests (Reay & Hinings, 2009) and through the process of managing these interests, partnerships and other collaborations may result in changes to institutional norms and values (Gray, 2000; Reay & Hinings, 2009).

In summary, what the findings from this research point to is the idea that at MQ tradeoffs appear to be being made with the environmental dimension of CR more at the fore. However, it is suggested that if more weight were given to the social dimension of CR, as stakeholders appear to want, then MQ may in turn have the chance to rebuild moral responsibility via a framework of the social dimension of CR. This is a message that could be taken from this thesis for the leaders and managers of universities. The emphasis placed on ethics and socially responsible behaviour by stakeholders leads to a suggestion that the organisation take an approach to change that is based within Lewin's model of change, where ethics and democratic participation are key elements (Burnes, 2009; Lewin, 1951). Such a perspective leads to the next recommendation of the thesis which is based on the finding that the concept of moral responsibility in the university context could be an important driver for change towards social responsibility.

2: Stakeholders hold expectations around “moral responsibility” as a driver for change

The second recommendation emerging from the findings of this thesis relates to the notion of “moral responsibility” and how for some participants this was an underplayed yet influential driver for CR in universities. Participants talked of the role that universities have as the ‘critic and conscience of society’ and this was a theme that ran throughout both interviews as well as in documents and policies of the university. However, throughout the research a range of tensions were uncovered at MQ between the stakeholder groups studied; management and academic staff. A recurring finding was that although these two groups viewed the expectations and motives of the other group in certain ways, they actually both believed that universities hold a similar responsibility and purpose in society, that having a moral

responsibility role that involves teaching and modeling socially responsible behaviour. However, the findings further suggest managers are often motivated to pursue the social dimension of CR for instrumental reasons but that academic staff are motivated by the normative values that underpin this dimension. In this way the research resonates with findings elsewhere (e.g. Ditlev-Simonsen & Midttun, 2011) that suggests that there are often discrepancies between management and other stakeholders regarding the motivation for participating in CR. Although in arriving at this view it is useful to note that the majority of academic leaders have moved to these roles from a traditional academic background.

This theme of moral responsibility as an aspiration is one that came through in the interviews. The concept of moral responsibility has been discussed elsewhere (e.g. Carroll, 2001), but more in the context of the characteristics and traits required in the owners and leaders of 'moral' or ethical companies. The issue here is in recognising the opportunity and responsibility that universities have to be addressing the social dimension of CR and the potential moral responsibility might hold as a lever to action this. The findings have suggested that CR should be considered beyond just the 'right thing to do' and instead be used as an opportunity for educating and challenging students to think about and address CR as a key social concern they will face in their careers and lifetime.

These findings lead to a suggestion that moral responsibility might be more helpfully reframed in the university context as the social dimension of CR. This idea is put forward for two reasons. Firstly, given that universities are now being run in a more corporatised way, reimagining moral responsibility within a framework that is widely accepted within the corporate arena may help to build and strengthen buy-in for the social dimension of CR from the management of universities who are increasingly driven by improving operational efficiency (particularly in a monetary sense).

A second reason why this reframing of moral responsibility is suggested, however, relates to an underlying argument put forward in the research that posits that the values underpinning CR are a priority area for universities as they give them relevance and a sense of purpose that is currently felt by staff to be undermined by corporatisation (Cullingford 2004). It is suggested that developing a systematic and plan driven approach to change towards the implementation of social responsibility, including a clear definitional and operational understanding of this, may resonate with those stakeholder groups who appear to be pushing against the move towards corporatisation. In particular the findings lead to a recommendation that an approach based on Lewin's (1951) planned change model, rather than a more emergent approach to change that has been prevalent in more recent years (Burnes 2004b; Burnes, 2009), may be appropriate. Research elsewhere has suggested that the challenges faced by organisations in relation to social responsibility are unlikely to be met without returning to the ethically based approach to change that underpinned Lewin's research (Burnes, 2009: 359, Lewin, 1951).

3: Further refine what is meant by social responsibility in the university context

As discussed in the previous recommendation the social responsibility of CR was emphasised as an important issue for consideration by participants in this research. Indeed, the recommendation above suggested that social responsibility may nonetheless be a helpful way to reinterpret this application via the notion of ‘moral responsibility’. Despite this finding, there appeared to be uncertainty around what initiatives and programmes of change could be undertaken to develop more socially responsible behaviour at MQ. In particular the perception from participants was that the social dimension was already considered the priority area of CR for universities, compared with the environmental and economic dimensions. Yet what the research uncovered at MQ was that the current operational focus regarding CR appears to be on the environmental dimension, not on the social dimension. One reason for why the social dimension may be lacking focus could be related to the finding that most participants are unable to clearly articulate what the social dimension of CR actually means (e.g. *“I’m thinking that...actually I’m not sure what it [social dimension of CR] is”*) so the ability for the organisation to articulate a vision for social responsibility, and subsequently implement this, is thus constrained.

As noted, the university community studied here revealed a shared uncertainty around the operationalisation of the social elements of CR in comparison to other aspects, i.e. the environmental or economic dimensions. Although MQ is obviously undertaking some innovative work in the quest for more socially responsible engagement in the community (e.g. its curriculum reform that involves a large community engagement programme), the direction of social responsibility is still to emerge with clarity. This appears to stem largely from the fact that the initiatives that are currently being implemented at MQ are been done so in an ad hoc way, often through programmes that are developed by small groups of committed staff (e.g. the Indigenous science program), rather than through a planned programme of change that has been developed through stakeholder consultation and endorsed by the leadership of the organisation. This idea is supported by Annabel:

“... the opportunities for genuine consultation and involvement in the strategic directions of the university is something that's missing there and arguably something missing in the entire place.” (Annabel, academic)

This in turn leads to a broader suggestion for universities seeking to be more socially responsible and that is to develop a clear understanding of what the social dimension of CR might mean for that organisation.

One recommended way of going about this might be to adopt the organising frameworks developed in this research as templates (see Chapters 5 and 6) that might guide an organisation to develop to better articulate what issues are involved in the social dimension of CR. The suggestion is that these frameworks form the underpinning of a stakeholder consultation process that identifies what issues are seen to be particularly important to key stakeholder groups such as staff and

students, with engagement and dialogue being key to planned change aligned to Lewin's ethically based model (Burnes, 2004a; Burnes, 2004b; Burnes, 2009).

Lewin's (1951) research suggested that an important element in resolving social problems was in facilitating an environment where individuals could understand and restructure their perceptions of the world around them, thereby creating greater buy-in for change (Burnes, 2004b: 981). It appears that this kind of process has not been undertaken at MQ. Academic staff, for example, appear to be disenfranchised from the process of change towards CR at MQ and say they have not been consulted about the issues they see as priorities. Lewin's ideas may provide some way forward here. Lewin suggested that there are two key elements to creating behavioural change within organisations. The first is to develop an understanding of how social groups are formed, motivated and maintained and the second is to then implement methods and initiatives that will change the behaviour of these groups (Burnes, 2004b). At MQ, it appears that neither of these steps are being formally considered or undertaken. It was clear that in particular stakeholder consultation around change programmes were not considered to be undertaken well at MQ. It is suggested that an initial step in overcoming this is to address Lewin's first requirement for behavioural change, which is about understanding group motivation and how this might be maintained. In particular this leads to the fourth recommendation from this thesis, which argues that a more planned and staged approach to stakeholder consultation may be needed so as to develop a greater understanding of where motivations of stakeholders lie, thus creating greater buy-in for change.

4: Stakeholder consultation is important in order to gain buy-in for change

Another identified problem found around the current manifestation of social responsibility at MQ was that there was a sense of community or shared values around this area was lacking within the university. The sense of community that was referred to, particularly by academic staff, was akin to David Orr's conception of 'sense of community' and its relationship to virtue and values (Orr, 2004: 62). The perception in this research was that MQ, as an organisation, lacks a sense of how its actions impact on, and affect, current and future generations. Participants talked about how a clear statement about the value base of MQ was critical. This is where the idea that universities have moral responsibility role in society could be useful to the defining of social responsibility.

Orr (2004) argues that large scale social change at an organisational level requires a deep concern at the individual level and recognition of the mutual dependence that we all hold in society. The findings of this research suggested that individuals at all levels in MQ had a strong concern around the individual impacts they have on their environments, as well as the impact that the university, as a group of like-minded individuals, might be able to make within society. Despite this, there was a sense that MQ was not succeeding in terms of its engagement with social initiatives. The reasons

for why this was the case were varied but many people, particularly academic staff, talked about how there was a lack of a sense of collective ownership over the issues that appeared to be priorities to people at an individual level. This finding resonates with research that has shown that in order for people to feel fulfilled in their professional role they need to feel that their skills and talents are being put to use in a meaningful and significant way, their workplace has a sense of community and belongingness and that what they are doing in their role has real purpose (Kauanui *et al.*, 2010).

A point of leverage for the future direction of MQ is the recognition that participants appeared to want social responsibility to be a priority area for MQ even though they expressed scepticism about the success of the social responsibility change programmes underway. Examples of micro and macro levels of both planned and emergent change were found for social responsibility, as detailed in earlier parts of the thesis (particularly the themed studies in Chapter 6). However, a coherent and systematic approach to change towards social responsibility was not evident (as suggested by Porter & Kramer, 2006). On the one hand some of the social initiatives being developed at MQ were programmes of change being planned and driven by senior management, for example the social inclusion agenda or the new curriculum model for undergraduate students. These initiatives appear to be driven, to some extent, by instrumental and institutional forces such as ties to government funding or legislation. Alongside these examples of planned change a range of social initiatives that are being developed more organically were also found. These emergent programmes of change are being driven from the bottom up by individual staff members or small teams at MQ that have a research passion or feel an innate sense of wanting to 'do the right thing' (normative drivers). The findings suggested that it is the emergent programmes of change (e.g. the science project with indigenous students, which was discussed frequently) that are perceived by stakeholders to be more successful than those driven from the top-down. Research undertaken elsewhere suggests that because universities are complex, loosely coupled and largely decentralised (Weick, 1976), the implementation of change is more successfully undertaken in a more informal and flexible way, often from "bottom-up experiments" (Fumasoli & Lepori, 2011: 176). The central role of senior management, they argue, should be on facilitating the integration of organisational goals into the wider organisation, rather than solely in the development and management of top-down planning.

This lends further support to the recommendation that MQ implement more formalised stakeholder consultation. At MQ the importance of the social dimension of CR was evident by most participants consulted for this research, but it appears that senior management are the group that take the responsibility for how to improve participation in social initiatives. However, applying the findings discussed above it is suggested that instead of change activity being tightly held by a small group of people (i.e. senior management), the process might be more successful if it is dispersed amongst a greater proportion of the academic community, perhaps through engaging a greater number of stakeholders in more formalised consultation, thereby

encouraging more of the “bottom-up experiments” (Fumasoli & Lepori, 2011: 176). In addition it is suggested that stakeholders with differences of opinion on issues relating to CR should dialogue and debate in order to establish norms and common beliefs (Bansal, 2005; Hoffman, 1999), thereby increasing the chance of social responsibility becoming more institutionalised across the organisation (Campbell, 2006). Such consultation may provide triggers for opinion leaders with a commitment to social responsibility to feel enthusiastic and engaged to develop programmes that align with an overarching vision for social responsibility, thus creating a greater capacity for change.

Although interviews with management indicated they had attempted to engage in consultative processes in order to open a two way dialogue about potential change programmes that would fall under the social dimension of CR (e.g. through green and white papers about the community engagement programme being implemented in undergraduate curricula), the perception from other staff interviewed was that major change was occurring without adequate discussion, consultation and consideration of how proposed changes fit in with workloads and courses that were already considered overloaded. Torraco and Hoover (2005) talk about how participation and collaboration are key elements for consideration when implementing change within the university sector, particularly when taking an approach informed by organisation development (as is suggested here). However, they also talk about how this can be difficult because of the different approaches that academics and administrators take, specifically because academics appear to look for autonomy and administrators seek equity. University leaders may be sceptical about what value is found in involving other stakeholders in decision making and may be reluctant to slow down change processes so as to accommodate the views of others (Torraco & Hoover, 2005: 431-2). These authors also argue that because of the decentralised structures of universities these different professional perspectives and frames of reference can create problems with, for example, creating a shared sense of urgency for change.

A potential starting point for overcoming these problems might be for MQ to take a more structured approach to stakeholder consultation. In particular it is suggested that MQ look to setting norms for best practice in this regard with the view that other universities interested in implementing change towards social responsibility might follow. Although people may be sceptical about the success of such initiatives, if done well consultation can directly engage stakeholders by providing them with the opportunity to have their say and be challenged on issues that affect them (Fung, 2004). What appears to be happening at MQ is a break down in what Lewin calls ‘group dynamics’ (Burnes, 2004b; Burnes 2009; Lewin, 1947). Lewin argued that developing an understanding of these group dynamics are a vital part of planned change and in shaping the behaviour of group members (Lewin, 1947). He stressed that group behaviour, rather than the behaviour of individuals, should be the main focus of change (Burnes, 2004b: 982-3). Because participants stated that there is a lack of understanding of collective priority at MQ it is suggested that going forward the university would benefit from placing a greater emphasis on developing a better understanding of what is motivating group behaviour within the organisation.

The findings of this research have further suggested that particular stakeholder groups at MQ, heard particularly in interviews with academic staff, feel disengaged from decision making processes at MQ. Indeed, it could be argued decisions are “almost inevitably made by a small and frequently self-interested elite” (Melville, 2005: 108). What appears to be happening is that MQ is being driven towards the social dimension of CR under regulative institutional conditions (e.g. in response to government policy and decision making) and what is missing is the institutionalisation of proactive and enabling behaviour (e.g. through stakeholder dialogue) that has been argued to be a key component in change towards the implementation of social responsibility (Campbell, 2006).

Campbell (2006: 935), for example, argues that CR will not automatically become institutionalised in organisations but instead involve “struggle, conflict, negotiation and the exercise of power”. Part of the problem identified in this research regarding the lack of success in the implementation of social responsibility appears to be stemming from the fact that there are tensions between management and academic staff and this may be impacting on the ability for the social dimension of CR to become institutionalised across the organisation (Campbell, 2006; 2007). For example, there are many critics of the existing decision making systems at MQ and although this can spark energetic debate, the problem that appears to be occurring at MQ is that too much focus and effort appears to be being placed on critiquing current systems and processes, and not enough effort is being made in suggesting or creating alternatives (Martin, 2002). People, by nature, tend to avoid conflict and confrontation and drive actions through emotion, which was a problem that was highlighted during interviews (the “*not my problem*” attitude which was found in a number of interviews). However, these are the very factors that have the potential to open the dialogue around alternative solutions. Therefore it is suggested that more formalised stakeholder consultation may hold the key to more productive engagement in change and, as a result, the social dimension of CR becoming integrated and institutionalised across the organisation.

One of the key aspects of an effective consultation process is in ensuring that the people who are being consulted make up a representative proportion of the community (Carson & Martin, 1999) and that a mix of stakeholders with different expectations is consulted. At MQ Town Hall meetings are already being conducted. However these do not appear to be resonating as a genuine attempt at consultation with academic staff (indeed a number of academics interviewed were very cynical about these meetings), so a different consultation approach that would better capture the expectations of this stakeholder group needs to be considered, again going back to developing a better understanding of ‘group dynamics’ (Burnes, 2004b). Stakeholder consultation can take many forms (e.g. citizen’s juries, democratic deliberation, deliberative polls, town hall meetings) with the particular process chosen depending on the scope and importance of the issue being deliberated. In the case of MQ, where there is a complex mix of stakeholders with different expectations, a consultation framework that combines these approaches would be recommended.

In addition, a number of participants in this research discussed their frustration that the people who turn up to events, meetings and other public forums that are put on to discuss CR at MQ are normally all the same. One of the people directly involved in trying to move the CR agenda forward at MQ talked about how “... *it doesn't matter what kind of method of communication we try to utilise to get the message out there, they're just not taking any notice because they're not engaged*” (Emma, Director). This shows that there is a need for MQ to be trying a different method of engaging a wider portion of the university community in the notion of CR. Stakeholder consultation holds the potential for this; however the literature on consultation indicates that a number of issues need special consideration (see, for example, Levine & Nierras, 2007). In order to ensure everyone has a voice, for example, consultation initiatives should be conducted at helpful times and locations and it should be ensured the environment is not confrontational (Fung, 2004). Concerns around bias and representation can be avoided if a process such as random selection is used (Carson & Martin, 1999). Representation can be assured if participation in consultation is made mandatory (e.g. like jury duty) (Gallop, 2002). And to ensure people feel the time they put into the process is worthwhile. Gallop (2002) recommends that organisations should be bounded to the outcomes or recommendations made during consultation processes. Although these are approaches that appear to be being undertaken by MQ in other business areas (e.g. with regard to curriculum development, quality assurance and timetabling) there appears to be a lack of recognition of the importance of a carefully planned stakeholder consultation when it comes to the implementation and development of social responsibility at the university. Although there is evidence of the destabilisation necessary in order to create change (i.e. the unfreezing stage of Lewin's three stage model of planned change) there appears to be problems in enabling stakeholders to move from “a less acceptable to a more acceptable set of behaviours” (Burnes, 2004b: 986) and this means that the other required stages of change are not happening (i.e. moving and refreezing). The findings suggest that one of the reasons this might be the case is because stakeholders feel untrustworthy about the motivation and success of change and do not feel engaged with the change process.

In sumation it is argued that taking a more structured and comprehensive approach to stakeholder consultation may be helpful at MQ. Consultation gives stakeholders a chance to understand policy decisions relating to them and their organisation and research indicates that a decision of many minds is better than that of a small group of individuals (Gastil, 2000; Fung, 2004) What seems to be vital, however, is in ensuing that a genuine attempt is made to actively engage a representative sample in the process. If the process appears more like a public relations exercise then this creates scepticism amongst both critics of the consultation process as well as the community it is trying to engage with.

5: Change needs to occur across the whole organisation – not in silos

As discussed in the previous section social responsibility is not an area that appears to be integrated and institutionalised across MQ and implementation has largely happened in an ad hoc way across the university. This is an important finding given that it has been suggested MQ may benefit from taking a more structured and plan driven approach to social responsibility implementation going forward. Torraco and Hoover (2005) argue that organisation development initiatives may be difficult to implement and be accepted in universities when they are put forward as stand-alone change initiatives, as has been seen at MQ. These authors instead suggest an approach is taken that builds on, links to and leverages off change efforts that are already underway in the organisation (Torraco & Hoover, 2005). In addition, they argue that more successful change programmes grow out of existing change initiatives and build on the change efforts of others. This is a relevant piece of research in the context of what has been found in this study regarding the range of ad hoc and localised change programmes (for social responsibility) that have been identified at MQ. In particular the change process towards the implementation of the social dimension of CR appears to be “insidious and organic” rather than being formalised and strategic (Torraco & Hoover, 2005). The question remains as to why this is the case.

As in many other organisations, social responsibility at MQ has been assigned as a separate functional unit within the university and thus appears to be being interpreted as a type of special project, rather than as an issue that affects all parts of the organisation (see Doppelt, 2003). In addition, the research has shown that the members of the functional unit responsible for CR (or sustainability as it is known at MQ) are of the view that other units (e.g. social inclusion) are responsible for certain parts of the social responsibility agenda. This confusion in leadership responsibility has created a siloed approach to implementation of CR at MQ and appears to be causing problems with the embedding of social responsibility across all processes, courses, products and structures of the university. This in turn means that although social responsibility programmes and initiatives are evident, change is slow and frequently stagnated and there is a duplication of effort across a number of parts of the organisation.

The findings therefore suggest that MQ may benefit from taking a whole of institution approach to change towards social responsibility, instead of the piecemeal approach that appears to be currently underway. It is argued that taking such an approach will encourage a broader and deeper engagement in CR issues, thus sustaining and embedding change into the university over the longer term (Campbell, 2006; Tilbury *et al.*, 2005). This is an idea that has been suggested in other research as well. Haugh and Talwar (2010), for example, argue that action around CR that is not organisation wide tends to address only operational issues, such as purchasing and supply chains, and is less likely to change the collectively shared values of the organisation than if companywide programmes and approaches are taken. According to these authors results will therefore be short term and tactical rather than embedded as integral to

the organisation as a whole, as appears to be the case at MQ. For example, this research identified a number of 'small wins' with regard to CR implementation, such as changes to supply chain and purchasing policies, and changes around social inclusion, but there was no overarching sense from participants that MQ was taking an organisation wide approach to social responsibility.

Research undertaken by Thomas (2004) may provide some insight here as he argues that the complex nature of universities makes the task of embedding CR difficult and argues that real and lasting change occurs when a systematic and strategic approach to organisational change for CR is underpinned by change management practices and supported by staff development. At MQ one reason for why such systematic implementation may not be happening is because the organisation appears to largely be taking a compliance (Muijen, 2004) or regulative (Campbell, 2006) approach to the implementation of social responsibility rather than one that is also supplemented by a "strategy stimulating a transformation process on the corporate culture level" (Muijen, 2004: 236). Muijen (2004) finds that dialogue, representing the social context in which new social narratives can be created, is fundamental to the success of culture change in organisations towards CR and MQ does not appear to be dialoging in this way. The research of Wals and Jickling (2002) may help to explain why this could be difficult to achieve. They discuss the idea of change for CR at the core institutional level, stating that the embedding of CR across all aspects of a university offers the potential for such organisations to make significant improvements in the implementation of CR. However they also argue that the complex and often ill-defined nature of CR offers universities opportunities to redefine the way that it is interpreted as well as a chance to confront "their core values, their practices, their entrenched pedagogies, the way they programme for student learning, the way they think about resources and allocate these resources and their relationships with the broader community" (Wals & Jickling, 2002: 230).

This kind of defining and institutionalisation of the social dimension of CR does not appear to be happening at MQ and provides a point of departure for management to think about how the implementation of the social dimension of CR may be more structured going forward. In particular it is suggested that a starting point is to consider the implications of institutional theory, as changes to the internal and external environments of universities are creating opportunities for CR to become a more strategic priority. Regulative institutional drivers such as changes in government policy, internationalisation and technological advancement, have been identified as key driving factors for change towards social responsibility in this research (Campbell, 2006). Instrumental drivers such as the business case or reputation enhancement even seem to be underpinned by institutional forces, an example being that resource implications have resulted from a reduction in government financing for universities. Although this appears to contradict other findings that suggest that social responsibility implementation should be underpinned by normative drivers, the reality is that senior management need assurance that programmes of change are going to align with changes arising out of

the corporatisation of the sector, which mean they must take a more instrumental and institutionally driven approach.

6: The social dimension of CR appears to hold potential in terms of competitive advantage and value creation for universities

The next emerging recommendation is based on the finding that the management of MQ appear to have identified an aspirational focus on ‘moral responsibility’ as its interpretation of the social dimension of CR and appear to be using elements of this as a competitive resource that they use in the Australian higher education market. Examples such as changes to the curricula that require all students to undertake community work experience as part of their degree show that MQ is attempting to acquire tacit resources and capabilities related to social responsibility that have some degree of value, rarity, inimitability and substitutability and this in turn appears to be being used as a way of creating competitive advantage over universities who are not undertaking similar social initiatives (Barney, 1991; Penrose, 1959). Other research indicates that whether or not this kind of competitive advantage is achieved depends on the extent to which the organisation is able to harness perception, deliberation and response capacities in relation to social responsibility (Litz, 1998) and some of the factors being discussed here provide a platform upon which MQ might think further about some of these issues.

The examination of organisational resources and capabilities highlights that many of the elements of social responsibility appear to be intrinsically linked to intangible organisational resources. This suggests that the outcomes of the research can be viewed within the context of resource based theories (Barney 1991; Wernerfelt, 1984). For example the organising frameworks developed in this research (Chapters 5 and 6) highlighted the range of resources that need to be considered when addressing the social dimension of CR. In particular, the outcomes of the research have emphasised that there may be potential to be found in placing emphasis and focus on intangible resources and capabilities that support the idea of social responsibility. Some examples include; moral responsibility, reputation, brand management, employee morale, organisational values and culture, knowledge and experience of employees, as well as loyalty and commitment and internal and external partnerships.

Branco and Rodrigues (2006) specifically state that taking a resource-based perspective of CR forces a focus on issues that have “an undeniable social nature” (Branco & Rodrigues, 2006: 112), which is critical to universities where there appears to be a desire from all parts of the organisation to be taking a strong stance on social problems. Intangible resources and capabilities can be difficult and costly to create and manage, given they are socially constructed, normally embedded in historical context, accumulated over time and are difficult to imitate. In addition, if such resources are managed in the right way then they have the ability to create a source of competitive advantage in terms of tangible resources, which are more likely to be easy to imitate and substitute, even if they are valuable or rare (Branco & Rodrigues,

2006). This argument suggests there is opportunity for MQ to harness the social dimension of CR as a competitive resource and point of difference. The findings here have shown that the organisation has already implemented a range of programmes that fall under the social dimension of CR and stakeholders interviewed for the research appear to be interested in exploring the potential to be found more systematic implementation of social responsibility (and its associated intangible resources) further.

However, as discussed in Chapter 3, the resource based view does not examine the social context within which the selection, management and implementation of resources are embedded (Oliver, 1997). To this extent combining a resource based view with that of institutional theory may be useful in further examining the outcomes of this thesis. As discussed earlier in the thesis, institutional theory provides a framework around which relationships between an organisation and its stakeholders can be understood. Oliver (1990), for example, argued that an organisation is likely to conform to various institutional pressures when that organisation is dependent in some ways on the source of such pressures. MQ appears to be dependent on a range of external sources, such as the regulative institutional pressures that could impact on the implementation of the social dimension of CR, such as those being imposed by government (e.g. policy changes and laws) or institutional pressures from sources such as international student populations, which provide a significant proportion of higher education funding, especially to MQ which has a very high number of international students. To obtain government funds or achieve ongoing success in attracting international student populations, MQ needs to show it is meeting institutional demands being placed on it by such actors.

This kind of argument provides direction for applying the theories of resource based view and institutional theory to the notion of social responsibility in the university context, particularly in terms of suggesting that social responsibility may hold some benefit in terms of non-financial value creation and competitive advantage for non-financially driven organisational contexts (such as universities). The findings suggest that the drivers for the social dimension of CR are going to differ according to which stakeholder group is being considered. As noted earlier while management are largely driven by instrumental arguments for CR, such as the business case or as a public relations tool, academics adhere more closely to social responsibility as being important for normative reasons.

A recent McKinsey & Company report examined what drives value for organisations when implementing corporate responsibility in general (Bhattacharya, Korschun & Sen 2011). The authors of this report argue that one factor that can increase the likelihood that stakeholders will interpret CR initiatives positively is for leaders to not hide market motives for CR. The report argues that stakeholders are normally open to the business case for CR being a core driver as long as the company also genuinely pursues and achieves its social value at the same time. What this appears to imply is that CR has the potential to play several roles in the organisation that might appeal to different stakeholder groups according to how it is interpreted

and communicated. This leads to the final recommendation around improving communication and information flows around social responsibility.

7: Communication and information flows around social responsibility may be constraining factors

Poor communication and information flows were found to be key constraining factors towards change that cut across many of the findings in this research. Some participants discussed that poor internal communication was a result of the inherent tension that existed between senior management and other areas of the organisation. Previous research has concurred with the finding that change in the university setting can produce tensions between senior management and academics (Torraco & Hoover, 2005). These authors argue that this tension can be a useful part of the change process, but if not managed carefully it can become destructive, which appears to be what has happened at MQ. There was a perception that poor communication was a deeply entrenched issue at MQ and perhaps could be traced back to there being insufficient *'management style training'* (Rohan, *Senior Management*) for people in senior roles. Such people may have moved up academic ranks and therefore have not had specific training that provides them with the skills and ability that is needed to manage the complex communication needs for such a large organisation.

The internal image and identity of the organisation was also raised as a concern, as discussed in other parts of this thesis. From the perspective of the staff interviewed there was a lack of there being a sense of identity or community at MQ resulting in there being a lack of commitment and ownership over change. Participants, both management and academic staff, talked about how the social responsibilities of the organisation are too difficult and *'not my problem'*, which shows there are issues in the culture of the organisation and its capacity to be able to adapt and cope with the change required to embed social responsibility as well as a lack of individual ownership over the issues.

The findings, however, point to there being opportunity to be able to improve the channels of internal communication, which may have a strong impact on future change programmes for social responsibility at MQ. Despite the findings here suggesting that MQ lacks understanding about how to communicate with its large and diverse stakeholder base, there are ways that this is managed by other organisations, particularly those in the corporate sector. In particular it is suggested that MQ is currently missing opportunities for engagement with key stakeholders as a result of communication techniques used, particularly through online technology or consultation processes. For example, social media is now used by organisations as a way of communicating with different stakeholder groups (Waters *et al.*, 2009; Wright & Hinson, 2008), including about CR (Du, Bhattacharya & Sen, 2010). A few faculties and functional areas appear to be engaging in social media to get messages to stakeholders, for example the area 'Campus Life' uses both twitter and facebook to communicate with students, the Vice-Chancellor has a regular blog, the library and

sustainability areas both have twitter accounts, the Faculty of Business and Economics has a facebook page and a number of other areas use RSS feeds or email newsletters to get news and messages out to followers. However it appears that communication strategies lack coordinated focus and participants talked about how they believed more could be done in this area. Suggestions were put forward, for example, in the development of more sophisticated communication approaches, online education and knowledge transfer. Implementing programmes and initiatives in some of these areas may enhance offerings to students, support staff and allow greater engagement with the community, all ideas that resonate with the social dimension of CR.

In addition to these suggestions some other practical recommendations for how communication channels might be improved were suggested by participants in this research (that have not yet been mentioned previously). Particular examples that were quoted by participants include:

- Developing a clear and coherent communication plan that cuts across the entire organisation. Do this using theoretical, practical and institutional frameworks that people in academia recognise and respond to.
- Identifying people who have an interest in CR and strengthen their ability and approach towards communication through training and support.
- Developing competitions around new and innovative ways of communicating to an academic audience (e.g. people within the organisation may be able to come up with new and innovative ideas for how communication might be improved).
- Improving channels of communication both vertically and horizontally so as to avoid duplication of effort in different parts of the organisation.
- Some participants also talked about how the physical environment of universities and how people physically work in the spaces needs to be re-imagined in order to encourage a greater sense of community.

A key issue that was raised by participants around communication was that there was a need for resources to be put towards the creation of more sophisticated communication techniques at MQ. Such resources might go towards training key individuals, improving technology or implementing consultative processes (see earlier sections). Another issue raised was that of developing a vision that better reflects the values of the organisation more widely (rather than just the values of senior management). Vision statements are a part of establishing direction and focus within an organisation (Sidhu, 2003; Slack, Orife & Anderson, 2010). Graetz (2000) talks about how implementing and sustaining the momentum required for organisation wide strategic change requires a long term strategic leadership approach that combines both “hard” (strategy, structures, technology and systems) and “soft” (vision, values, attitudes and behaviour) issues. Although senior management at MQ developed what they considered to be a clear vision for the university, *Macquarie@50*, and have put a range of structures and strategies in place to try and support this (thus using both hard and soft initiatives), participants in this research did not express real engagement with this vision and instead evoked the view that the

university lacked a common understanding about what it stood for. There was a theme running throughout the research around the lack of synergy that existed between espoused and enacted values being put forward by senior management (Collins & Porras, 1991; 1995; 1996, Eisenbach, Watson & Pillai, 1999; Schein, 2010). At MQ the values of *Macquarie@50* are obviously understood by stakeholders, as evidenced by the fact that participants talked about this vision and what it stood for, but this does not appear to align with the normative priorities and values they see for the organisation, particularly in relation to social responsibility. In addition many participants (particularly academics) appeared sceptical about the impact this vision has had on change. The problem appears to be that the core ideology that underpins the *Macquarie@50* vision is not perceived as authentic (Collins & Porras, 1996; 1995). The vision appears to be based on an ideology triggered by external institutional pressures that are enforced by senior management rather than one that has been developed by looking inside the organisation itself. While the vision appears to have been set by asking questions like “what core values should we hold?” a more relevant approach in an organisation like MQ where social concerns seem to be of paramount importance to stakeholders might have been to ask “what values do we truly and passionately hold?” (Collins & Porras, 1996: 71). Such an approach may have resulted in a vision that more accurately represented the true values stakeholders, who appear to hold social responsibility as an important priority area for MQ, thus having a greater potential impact on the uptake of change (Collins & Porras, 1995; 1991).

Overall different parts of the organisation do not appear to be meaningfully communicating with one another around what is and is not happening with regard to the implementation of social responsibility and this means that there are gaps in implementation as well as areas where duplication of effort appear to be occurring. There are clear tensions between management and academic staff on this issue. One reason for why this might be the case relates back to the work of Matten and Moon (2008), and their ‘implicit’ or ‘explicit’ framework that attempts to explain why there are differences in behaviour between certain organisations when it comes to CR implementation. In the case of MQ, there appears to be an explicit approach to CR being implemented but the tensions that have been seen in this research suggest that perhaps what is needed is a move towards a more implicit approach where CR is represented by “values, norms and rules that result in (mandatory and customary) requirements for corporations to address stakeholder issues” (Matten & Moon, 2008: 409). This aligns with the normative expectations of stakeholders (particularly academic staff) that have been highlighted throughout the research and may help to provide a greater level of confidence that CR is being undertaken for the reasons these stakeholders consider to be legitimate (i.e. not only as a result of instrumental or institutional pressures to conform to CR).

A suggested way forward for Macquarie University

This thesis has provided an appraisal of how one university has sought to operationalise the social dimension of CR and has put forward a framework within which these issues might be understood. From the findings presented in the preceding chapters, including the themed studies in Chapter 6, it is clear that concrete attempts have been made at MQ to implement elements of the social dimension of CR in order to address pressures that are arising from a range of sources, both internally and externally to the university. From discussion with participants it is clear that many of these programmes of change are considered valuable and appear to be resulting in positive changes for some social problems (e.g. the Indigenous science programme or progress being made in the area of social inclusion). Nevertheless it is also clear that the stakeholders consulted in this research (mainly senior management and academic staff) are asking for a better and more fine grained understanding of the social responsibilities of universities.

The findings also indicate that there are social initiatives being undertaken at MQ (e.g. education for sustainability/CR or the development of the community participation programme for undergraduate students) but that these lack structure and coordination in terms of how they are being implemented as well as how they relate to the other objectives of the organisation. Indeed what the findings of the research suggest is that a more systematic, coordinated and plan driven approach should be undertaken in the implementation of the social dimension of CR. In addition, the findings suggest there may be opportunities for the university in terms of value creation both in financial terms (as found to be a driver for management) as well as in terms of meeting normative expectations of other stakeholders (e.g. moral responsibility), as defined in this research through the voice of academics. An additional finding has been that there is an apparent lack of understanding and agreement about what the social responsibilities of universities are.

This leads to the suggestion that although there has been success in some areas of social responsibility implementation at MQ there have also been a number of specific problems in MQ's attempts to implement social initiatives across the university. As a result the seven emergent recommendations and suggestions outlined above suggest a number of areas in which MQ might focus attention in order to continue to build on the effective processes and practices around social responsibility that have already commenced. One question that remains, however, is how such a change process might be envisaged as a result of the findings of this research. What outcomes can be suggested from the emergent recommendations that have been made? And how might social responsibility implementation be undertaken at MQ going forward?

Taking inspiration from an approach put forward by Maon, Lindgreen & Swaen (2009), where they attempt to map an implementation process for change towards CR against Lewin's model of change, what follows (Table 15) is an attempt at providing a normative implementation process that MQ might considered going forward in its attempts to further refine and build on social responsibility initiatives that have already commenced. In particular what is suggested is an eight step process that

draws on Lewin's (1951) three stage model of change encompassing the elements of unfreezing, moving and refreezing.

Table 15: Suggested implementation plan for MQ based on research findings

Lewin's model		Suggested implementation process or practice
Unfreeze	Step 1	Raise awareness for social responsibility in the organisation. Recognise that stakeholders hold expectations around 'moral responsibility' as a driver for change. Develop a reinterpretation of this traditional notion as social responsibility (<i>see Recommendation 2</i>). Highlight that social responsibility holds benefits from both instrumental and normative perspectives, thus covering expectations from a range of stakeholder groups. Understand that tradeoffs are necessary between CR elements and need to be weighed carefully (<i>see Recommendation 1</i>)
	Step 2	Develop and implement a more formalised approach to stakeholder consultation in order to gain buy-in for change. (<i>see Recommendation 4</i>)
Move	Step 3	Refine what is meant by social responsibility through adopting the frameworks developed in this research as templates for change processes, programmes and initiatives (<i>see Recommendation 3</i>).
	Step 4	Develop a change strategy for social responsibility. This would involve deliberate stakeholder consultation that results in a suggested suite of change programmes and initiatives for social responsibility (see Steps 2 and 3).
	Step 5	Implement the change strategy. Do this across the whole organisation, not in silos (<i>see Recommendation 5</i>).
	Step 6	Develop clear communication and information flows around social responsibility and progress of change programmes as these have been suggested as potentially constraining factors towards the success of change (<i>see Recommendation 7</i>).
Refreeze	Step 7	Evaluate the change programmes and processes. Draw on the finding that the social responsibility appears to hold potential in terms of competitive advantage and value creation for universities (<i>see Recommendation 6</i>) and use this as a basis upon which evaluation might take place. There is currently unmet potential for MQ to use social responsibility, and the inherent intangible resources implied by this, as a competitive resource. Successfully resolving this may help to alleviate tensions that have been seen between different stakeholder groups.
	Step 8	Amend the chosen change strategy according to findings of the evaluation undertaken in Step 7 and implement any alterations in an attempt to institutionalise social responsibility across the organisation over the longer term (<i>see Recommendation 5</i>).

Source: developed for this research

Limitations of the research

There are four main limitations to this research.

Firstly, this research stems from the findings of a single case study design which arguably means that these findings cannot be generalised to other organisational

contexts, although some authors have provided discussion on the persuasive power of single cases (e.g. Siggelkow, 2007). For this research a single case study design was the preferred and chosen method because the research was focused on gaining an in-depth understanding how the social dimension of CR was being undertaken and implemented in a single institution. As has been observed elsewhere “the general is always present in the particular” (Arksey & Knight, 1999: 58) and readers are therefore encouraged to consider whether there are issues and findings from this research that may be relevant to their own organisational settings. As discussed earlier in the thesis, MQ has embarked on a wide ranging change programme of social responsibility implementation and in that respect it was considered an interesting case in which to conduct this research. However, there was some difficulty in obtaining objective information from senior management directly involved with CR. For example, many of the informants interviewed were change agents responsible for social responsibility programmes at MQ and as such have a strong investment in the success and promotion of the programmes. To attempt to overcome this limitation interviews were conducted widely across MQ from administrative staff through to academia and into middle and senior management. It was encouraging to find that in many cases administrative staff were echoing the sentiments of executives in the senior management team. In addition, in order to overcome bias that may occur in discussions with staff other policy and procedure documents that were publicly available were consulted in the research, and detailed notes were made on meetings attended.

The second limitation of the research lies in the ability to generalise the findings to organisational contexts outside the university sector. For example, the potential tradeoffs between environmental, social, and economic challenges may not be the same in another sector and whether the evidence gained from this study of one university will offer the same recommendations or findings in other sectors or organisations is an issue that merits more research in the future. Some findings that may be worth further consideration in other organisational contexts include ideas around competitive advantage, resource usage, institutional drivers and global strategy and how these are linked to CR (Peng & Pleggenkuhle-Miles, 2009). Coming to a greater understanding of the role that the social dimension of CR plays within other organisational settings will no doubt benefit not only universities, but other organisations as well.

Thirdly, the use of interviews as the main source of data for this research was another limitation. In particular the research has been based on a limited number of in-depth interviews, which may have resulted in a limited range of views. Another issue is that interviews are socially constructed and thus are open to interpretation and complexity. Participants cannot be assumed to be telling the truth and have the potential to only say what they think wants to be heard. In addition, there can be problems with memory recall beyond the recent past (Czaja & Blair, 1996) or problems in that the interviewer may lead the interviewee to answer questions in a specific way (Fontana & Frey, 2000). It is recognised that some bias may have been inherent in interviews undertaken as senior management, for example, may have

been representing themselves from the perspective of their professional position (perhaps from fear of being identified through the research or because they felt this was their professional duty) whereas academics may have been more inclined to offer richer personal insights given they are less able to be identified by their role or comments. In order to overcome this a range of strategies around validity and reliability were put into place in this research, as described in Chapter 4. In particular triangulation was used as a key factor to try and overcome the reliance solely on interview data, thus providing a way of challenging, refuting or supporting assumptions that emerged during the course of the interviews. In many instances it was encouraging to find that the issues reported or raised in such documents were echoed by interview participants and also that sentiments of interviewees were often similar across both senior management down to general staff level.

The fourth potential limitation of the research stems from the fact that this study was set in a public university in Australia whose focus is on developing a greater international research profile. The findings may therefore be specific to this particular kind of institution and further research should therefore consider the possible differences between public and private universities or higher education providers as well as comparing research based institutions with those devoted to teaching.

Despite these limitations, this research provides evidence for understanding why a university should, could or would become involved in CR. The findings developed from the research gives senior managers and CR managers of universities evidence that can be used to argue for engagement in social matters and has identified a number of issues that appear to be influential during the planning and implementation of social elements of CR. Within an environment of scarce resources and competing demands (e.g. research development, profile building, internationalisation, attracting staff and students etc.) the need for evidence for why corporate responsibility is important is vital.

Concluding remarks to the thesis

The findings from this thesis have attempted to provide suggestions for how the implementation of social responsibility might be improved at MQ, with some thoughts given to how this might apply to the university context more generally. The thesis has suggested that there are a range of issues that influence the implementation of the social dimension of CR in universities and a number of recommendations and suggestions have been made regarding how these issues might be addressed. The thesis has also provided a fine grained understanding of the social dimension of CR and has identified where the drivers and possible barriers to change might lie for universities. It is believed that these findings will be helpful for managers or policy makers of universities who are looking to implement change in this area.

This research represents an attempt to empirically study the implementation of the social dimension of CR within the university context. It is argued that the approach

taken to do this is novel in its orientation towards a practice based way forward which draws on multiple theoretical ideas from organisation theory.

Hence the research has taken a particular viewpoint for studying this topic in that it has:

- moved away from research undertaken in the corporate sector in response to calls for CR research to examine organisations with a different ownership structure (Lee, 2008), thereby highlighting the importance of understanding CR within a range of organisational contexts;
- viewed the implementation of CR, and in particular the social dimension of CR, as a structured way of how the concept of moral responsibility might be reframed in the university context;
- taken a multi-dimensional theoretical approach to examine the implementation of social responsibility within the university context. The purpose of this has been to try and avoid producing a restricted view of organisational reality by developing greater theoretical insights through the use of a combination of theoretical perspectives (Ackroyd, 1992; Alvesson, 1987; Das, 1993; Gioia & Pitre, 1990; Pondy & Boje, 1980; Reed, 1985, 1996);
- taken a holistic view of the social dimension of CR that views it as a complex web of interrelated issues, rather than using isolated examples of social problems (e.g. human rights or community engagement) as the focus of the study.

The objectives of the research have been to develop a more fine grained and contextualised understanding of the social dimension of CR within universities, with the specific purpose being to develop practical, evidence-based strategies that might enhance the effectiveness of future implementation and management of social responsibility.

In Chapter 5 an organising framework was developed through a qualitative meta-analysis and this framework has evolved during the course of this research. First, it became clear that elements of the framework needed to be adapted in order to identify how the framework might be interpreted in a range of organisational settings. Having then chosen the university context for this examination the data from the case study and themed studies in Chapter 6 suggested that the normative organising framework did not account for all factors of CR implementation in universities. It was clear the framework needed adaptation in order to be applicable to the sector. In particular the framework was revised to more clearly highlight the way that the different social categories were interpreted by participants in this research. One such issue identified included the recognition that students played an important and special role in universities, beyond simply that of 'client' or 'customer' and indeed were a key stakeholder group that required consultation and consideration when thinking about the social responsibilities of universities.

Another contribution of the thesis has been the findings from Chapter 7 which provided a detailed understanding of the drivers for change and barriers to change

that exist when implementing social responsibility in a university context. This is considered valuable as it has the potential to assist managers of universities and those working in CR in the sector to understand where implementation might be going wrong or where potential problems might arise.

The purpose of this concluding chapter has been to discuss the implications of the research findings from Chapters 5, 6 and 7 and to refer back to the early agenda setting chapters of the thesis. The chapter commenced with a discussion of the theoretical research implications as well as a number of areas that have emerged for future investigation. Following this, seven emergent recommendations and suggestions for organisational practice were put forward that, although largely practice based, draw on the range of theories that informed the research; resource based view, institutional theory, planned change theory and stakeholder theory. The purpose was to provide a contributions about how the implementation of the social dimension of CR might be improved, with an emphasis on explaining how management might address this in the future. These findings are pertinent to MQ specifically but may also benefit other university leaders that are looking to implement CR strategies.

Seven practical recommendations have thus emerged out of this research around issues that appear to have been influential during the implementation of social responsibility at MQ. Some examples include; the formalisation of stakeholder consultation processes as a way of improving communication and buy-in for change towards the social dimension of CR, the importance of taking a holistic approach to social responsibility and moving away from a 'silo' approach to implementation, developing a vision as a way of encouraging and inspiring innovation towards change towards social responsibility, and finally the potential that more systematic and plan driven implementation might play in terms of simultaneously increasing both competitive advantage and non-financial value creation.

There are also a number of tensions that have been seen throughout this research particularly in relation to the fragmented picture that has emerged in terms of perceived roles, responsibilities and expectations of stakeholders in universities. It is suggested that these tensions arise in part because of the different role that universities are perceived to hold in society in comparison to other large businesses. Participants talked of their expectations for a more socially responsible organisation and at the heart of the problem is how to help universities to achieve this, particularly through engaging the multiple and diverse stakeholders who all have different interpretations and expectations around social responsibility. The work undertaken in this thesis shows there is a shared understanding of the importance of the concept of social responsibility but there is a messy interpretation of what it actually is, as well as a range of different drivers and motivations for engaging with it. The finding that there are multiple levels that organisations need to work at is thus a key element and there is a need to work across levels of meaning as well as organisational responsibilities. The thesis has offered a number of suggestions regarding the role that structures, policies and practices may be able to play in forging a more coherent organisational interpretation of social responsibility going forward.

Overall, however this thesis has suggested ideas about the role that social responsibility holds in universities and has argued that there are a range of influences that should be considered when implementing social responsibility in the sector. A key message is that the notion of social responsibility is one that cuts across all parts of the university and should therefore be embedded into strategy, planning and evaluation over time in order to ensure it remains central to the core functions and values of the sector as it continues to change and evolve.

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APPENDICES

Appendix A: Interview protocol (sample)

Interview Questions – Round 2

Questions for: Staff of Macquarie University

Interviewer: Clare Le Roy, Candidate for PhD

Introduction (for researcher to discuss with participant):

- *Briefly explain project and the fact this is the 2nd Round of interviews. This interview explores some of the issues that have come out of Round 1 e.g. defining social dimension of CR, how organisational change for CR plays out.*
- *Explain this is a semi-structured interview and what this means.*
- *Are you comfortable with the interview being audio recorded for the purposes of accurate data transcription and analysis?*

Interview questions:

1. Can you please start by briefly telling me about the role you hold at MQ and what this involves?
2. My research is about corporate responsibility and how this plays out in the HE context. As you are no doubt aware, CR is normally assumed to involve three broad areas of consideration – environmental, social and economic. Which of these three elements would you say is the most important for universities to be thinking about/acting on?
3. How would you say your role interacts with these elements of CR, if at all? Are any of the elements more or less important to you (professionally)?
4. And more generally, would you say that your perception of the implementation and operationalisation of CR issues at MQ was balanced across all the three elements of social, environmental and economic – or would you say that one (or more) elements were demanding more attention/focus?
 - Why might this be in your opinion?
5. Show the social dimensions framework. Explain this is a normative account of what the literature indicates are the main areas that are important for organisation's to be considering in this area and ask interviewee:
 - Is this a good representation of what is happening at MQ?
 - Which area do you feel the university is working most strongly on?
 - Which area is not as strongly in focus (and their perception of why this is the case?)
 - Can you think of examples of programmes that the university is doing in some/all of the areas?
6. Now moving to some questions more generally about universities – and less specifically about what is happening at MQ.
 - What do you think is driving HE organisations to be involved in the social dimension of CR (if you feel this is happening) – are they internal or external drivers – or both?
 - Do you think that giving more attention to these social issues would provide a university with a competitive advantage or point of difference over others? Or don't you think it would matter? For example – would any of these issues be things that you would be specifically looking for evidence of if you were to apply for a job at a different university/organisation?
 - In your opinion, what are the factors critical to successfully implementing the social dimension of CR (or why does it fail?)

- What are the barriers/areas of resistance in your opinion? Is this about one specific element of the framework or about the whole issue combined?
- Are there any aspects of the social framework that stand out that you particularly would like to comment on (e.g. university's approach to "engagement with community" or "OH&S" categories for example).
- Is there anything being done particularly well or poorly? This might be at MQ specifically or within the sector more generally. What is influencing this (i.e. what is the difference between those programmes of change that are being done well and those being done badly?)
- Which area of the framework is most important to you – i.e. what would be the most important area for you to see your organisation focusing on? Why is this?
- And from a professional point of view, which area of the framework would most resonate with in the work that you do at MQ? Where does your work most clearly fit in? If it does?
- Can you provide any specific examples of change programmes within MQ or within universities more generally that would specifically fall into any of these categories? (if they answer yes and the answer to this question isn't obvious also ask....Would you say that these were programmes that were planned in a strategic way – e.g. by faculty or senior management? Or are the change programmes that are being driven by individuals or smaller functional areas within the organisation?)

Show participant the framework and explain this.

Now thinking more generally about the framework and how the issues relate to each other:

7. When considering the social dimension and the elements that it is made of (in theory) - do you think this framework plays out in such a clear cut way in practice?
 - Are all of these categories relevant?
 - Are some not important in this context or not undertaken?
 - Can the 8 be collapsed to a fewer collection in the HE context? (i.e. is there overlap or room to cluster some elements together?)
8. What are the priority areas for universities - in your opinion? (i.e. in relation to the social issues)?
9. With regard to the operationalisation/implementation of the social dimension of CR - are there any aspects that you think universities are doing particularly well or particularly badly?
10. Overall – and in conclusion – how do you think that universities might implement change programmes for CR more successfully?
11. Final question - if we once again accept that corporate responsibility has three broad areas of consideration – environmental, social and economic – which would you argue is most important for universities to be focusing on and why?
12. Is there anything else you would like to say that we haven't already covered?

Thank you very much for your time

Appendix B: List of documents reviewed as part of this research

Document Title	Publication date (if known)	Comments
Documents from Macquarie University		
Macquarie University Annual Report: 2007	2008	
2008	2009	
2009	2010	
2010	2011	
Campus Experience 2009-2014: Incorporating campus engagement, campus wellbeing, campus faculties, accommodation and services	2009	
Annual Sustainability Report: 2009	2010	
2008	2009	
Macquarie University: Sustainability Strategy (Target 2014)	2009	
Macquarie University: Sustainability in the Curriculum Project	2009	
Sustainability office e-newsletters	Quarterly throughout research period	
2008 Report on progress against the Learning and Teaching Plan 2008-2012	2008	
2009 Report on progress against the Learning and Teaching Plan, 2008-2012	2009	
2010 Report on progress against the Academic Plan 2010-2014	2010	
Vice-Chancellor's Reports to Council 2008-2010 (17 Reports consulted)	2008-2010	
VC's Report to Council	1 February 2006	Steven Schwartz, VC
"Your Say" Staff Feedback Results	20 July 2006	MQ survey
People Planet Definitions	July 2008	Part of analysis of PPP programme
Participation Definitions	July 2008	Part of analysis of PPP programme
Macquarie University Review of Academic Programmes: High Level Implementation Plan	August 2008	
Review of Academic Programmes White Paper (Macquarie University)	October 2008	

Document Title	Publication date (if known)	Comments
Minutes from Provost's Strategy Group (Macquarie University)	May 2009	Part of analysis of PPP programme
Australian Universities Quality Agency: Report of an Audit of Macquarie University	July 2009	
Vice-Chancellor's Oration: "Re-Moralising the University" (Macquarie University)	August 2009	
Participant Group Notes: Sustainability in the Curriculum Workshop	September 2009	
Review of Graduate/Postgraduate Curriculum Green Paper (Macquarie University)	September 2009	
The quest to re-moralise the modern university	6 June 2011	VC's annual speech
PACE Case Studies (5 case studies)	not known	Collection of case studies from a range of disciplines designed to support those designing and running PACE courses at MQ
Criteria for Participation Units and Activities	not known	Part of analysis of PPP programme
Newspaper articles		
Schwartz's big picture view for an ethical future	8 February 2006	Campus Review (Jacqui Elson-Green)
Farewell to all that	14 February 2006	Guardian, London (Steven Schwartz)
Wall Street comes to campus	1 October 2005	Sydney Morning Herald (SMH) (author not known)
Uni legal action only the first shot, says Yerbury	7 May 2007	SMH (Matthew Moore)
Macquarie Uni to run hospital alone as it splits with partner	7 August 2009	SMH (Heath Gilmore and Louise Hall)
We're failing to nurture wisdom, uni chief asserts	27 August 2009	SMH (Heath Gilmore)
Loneliness of the university Liberal	12 September 2009	SMH (Paul Sheehan)
Cracking open the academy	3 April 2010	SMH (Heath Gilmore)
Is the education system too dumb to create a smart nation?	28 July 2010	SMH (Steven Schwartz)
Change is purely academic	28 July 2010	SMH (author not known)
Universities have knowledge but lack wisdom	26 August 2010	SMH (Heath Gilmore)
Universities set to conquer over divided unions	22 September 2010	SMH (Paul Bibby)
University students face delay for results	15 October 2010	SMH (Paul Bibby)
Uni students get a free ride too long with the HECS debts	21 March 2011	SMH (author not known)
Training is easy, not so the getting of wisdom	8 February 2011	SMH (Steven Schwartz)

Document Title	Publication date (if known)	Comments
Sydney uni staff to end four-day strike	2 March 2011	SMH (author not known)
Landlords 'demanded sex' from students	12 April 2011	SMH (Yuko Narushima)
It's like we are a different class of people here'	12 April 2011	SMH (Yuko Narushima)
Growth in uni places good for economy, says Labor	23 April 2011	SMH (Dan Harrison)
When universities go begging	30 April 2011	SMH (Yuko Narushima)
Student fury over published letters	9 November 2006	The Australian (Tony Koch)
Former uni chief may sue over breach	9 February 2007	The Australian (Justine Ferrari)
Learning the hard way	12 February 2007	The Australian (Dorothy Illing)
Caught up in the Macquarie mire	21 February 2007	The Australian (Bruce Williams)
Macquarie science heads says cuts will spell the end of research ambitions	24 November 2010	The Australian (Bernard Lane)
US students living on easy street	26 January 2011	The Australian (Andrew Trounson)
Macquarie and its 'malcontents' under scrutiny	9 March 2011	The Australian (Mike Steketee)
Ex-minister Peter Anderson bullied staff, hired mates, ran 'fiefdom': ICAC	9 March 2011	The Australian (Mike Steketee)
Culture of ignoring complaints	16 March 2011	The Australian (Greg Pemberton)
Standard tactics of the bully	16 March 2011	The Australian (Editors letters)
Climate chief denies conflict of interest	19 April 2011	The Australian (Caroline Overington)
Green teaching site a first	13 April 2011	The Australian (Bernard Lane)
Universities rate well on research	6 April 2011	The Australian (Jill Rowbotham)
Macquarie University facing looming China crisis	27 April 2011	The Australian (Michael Sainsbury and Verity Edwards)
Campus butts out smokers	25 November 2010	The Daily Telegraph
His style might be better suited to Wall Street	20 September 2005	Times Higher Education Supplement (Faisal al Yafai)
Competition is the healthiest option, no really	10 February 2006	Times Higher Education Supplement (Steven Schwartz)
A hashtag for the head: v-c tweets to keep in touch	22 July 2010	Times Higher Education Supplement (Sarah Cunnane)
Leader: it makes the world go round...	14 April 2011	Times Higher Education Supplement (Ann Mroz)

Document Title	Publication date (if known)	Comments
Personal notes		
Personal notes from Vice Chancellor's Town Hall meeting	18 March 2009	
Personal notes from meeting with Director of Sustainability	21 April 2009	
Notes and observations from attendance at the Sustainability Fair	10 September 2009	
Personal notes from Sustainability in the Curriculum Workshop	21 September 2009	
Notes and observations from Sustainability Town Hall meeting	18 February 2010	
Notes and observations from "Sustainability as HE's core business"	25 March 2011	
Other documents		
Should universities have moral goals?	22 September 2009	VC's Inaugural Annual Oration
Blogging and communication	9 September 2009	VC's address to Marketing Higher Education Symposium 2009
Self-Discipline and Social Commitment	23 April 2011	VC's Keynote to Tsinghua School of Continuing Education
The challenge of change: is the academy prepared for future shock?	24 May 2011	VC's address to The National Tertiary Education Leadership Summit

Appendix C: List of participants

	Title	Department/Faulty/Functional Area	Category	Gender	Interview date	Length (mins)
1	Member of Council	University Council	Management (executive)	M	20/07/2010	66
2	Vice Chancellor	Office of the VC	Management (executive)	M	20/07/2010	27
3	DVC and Provost	Office of DVC and Provost (Interview 1)	Management (executive)	F	27/10/2009	55
4	DVC and Provost	Office of DVC and Provost (Interview 2)	Management (executive)	F	16/07/2010	17
5	DVC Chief Operating Officer	DVC Chief Operating Officer	Management (executive)	M	29/07/2010	92
6	DVC Development and External Relations	Executive Team	Management (executive)	F	27/07/2010	45
7	PVC (Social Inclusion)	Executive Team	Management (executive)	F	10/09/2009	37
8	Executive Director	Campus Experience	Management (executive)	F	9/07/2010	52
9	Executive Director	International Office	Management (executive)	F	27/10/2009	49
10	Director	Human Resources	Management (executive)	M	24/09/2009	31
11	Director	Director of Marketing Unit	Management (executive)	F	13/10/2009	41
12	Director	Sustainability Office (Interview 1)	Management (executive)	F	22/09/2009	30
13	Director	Sustainability Office (Interview 2)	Management (executive)	F	27/07/2010	31
14	Director	Campus Engagement	Management (executive)	M	22/09/2009	41
15	Director, Student Wellbeing	Student Wellbeing	Management (executive)	F	10/09/2009	54
16	Vice President	Academic Senate	Academic Management	F	30/07/2010	40
17	Executive Dean	Faculty of Human Sciences	Academic Management	F	13/10/2009	56
18	Executive Dean	Faculty of Science	Academic Management	M	23/07/2010	47
19	Executive Dean	Faculty of Arts	Academic Management	M	30/07/2010	45
20	Dean of Students	Office of the Dean of Students	Academic Management	M	24/09/2009	77
21	Director	Learning & Teaching Centre	Academic Management	M	8/10/2009	51
22	Director	Centre for Research on Social Inclusion	Academic Management	F	27/10/2009	37
23	Director	Warawara (Indigenous Unit)	Academic Management	F	23/07/2010	40
24	Associate Dean, Research	Graduate School of the Environment	Academic Management	M	13/10/2009	33
25	Head of School	Head, School of Biological Sciences	Academic Management	F	23/07/2010	25
26	Professor	Centre for Research on Social Inclusion	Academic	M	22/09/2009	51

27	Professor	Human Geography	Academic	M	25/08/2009	36
28	Professor	Department of Chemistry	Academic	F	8/09/2009	52
29	Associate Professor	Department of Statistics	Academic	M	15/09/2009	45
30	Senior Lecturer	Law, Environmental Law	Academic	F	1/09/2009	46
31	Senior Lecturer	Faculty of Arts	Academic	F	10/09/2009	35
32	Senior Lecturer	Faculty of Science	Academic	M	2/07/2010	53
33	Senior Lecturer	Faculty of Arts	Academic	F	6/08/2010	49
34	Lecturer	Faculty of Human Sciences	Academic	M	1/09/2009	43
35	Lecturer	Learning & Teaching Centre	Academic	F	25/08/2009	23
36	Lecturer	Graduate School of the Environment	Academic	M	15/09/2009	37
37	Lecturer	Faculty of Science	Academic	F	24/09/2009	44
38	Lecturer	Human Geography	Academic	F	23/07/2010	58
39	Manager, Equity and Diversity	PVC (Social Inclusion) office	Support Staff	F	23/07/2010	39
40	Manager, Indigenous Employment	PVC (Social Inclusion) office	Support Staff	F	23/07/2010	40
41	Manager, Staff Health	Human Resources	Support Staff	M	13/10/2009	77
42	Social Sustainability Manager	U@MQ (University facilities)	Support Staff	F	27/10/2009	57
43	Executive Officer	Global Futures Programme	Support Staff	M	8/09/2009	39
44	Programme Coordinator	Graduate School of the Environment	Support Staff	F	8/09/2009	71
45	Senior Administrator	Faculty of Arts	Support Staff	F	15/09/2009	88
46	Sustainability Support Officer	Sustainability Office	Support Staff	F	15/09/2009	38
47	Administrator	Faculty of Science	Support Staff	F	1/09/2009	36
48	Administrator	Faculty of Science	Support Staff	F	1/09/2009	75
49	Administrator	Human Resources	Support Staff	F	2/07/2010	62
50	Administrator	Marketing	Support Staff	F	2/07/2010	60
51	Administrator	Sustainability	Support Staff	M	16/07/2010	46
52	Student	Graduate School of the Environment	Student	M	29/07/2010	65
53	Student	Graduate School of the Environment	Student	F	30/07/2010	67
54	Student	Graduate School of Management	Student	F	25/08/2009	67
55	Consultant to MQ	Consultant to MQ	External to university	F	25/08/2009	52

Appendix D: Letter to participants

Exploring the social dimension of corporate responsibility (CR): A higher education focus

What is the study about?

This research addresses the question: “How can universities be more “socially” responsible and why does it matter?” The overarching aims of the research are:

- (i) to determine how the social element of CR is interpreted and operationalised in universities
- (ii) to discover the drivers for universities to be involved in the social dimension of CR
- (iii) to explore why the social dimension of CR lacks the same attention being granted to other dimensions (e.g. environmental)
- (iv) to determine the factors critical to successfully implementing elements of the social dimension as well as barriers or areas of resistance.

The empirical evidence for the study will be drawn from a case study of Macquarie University, which is currently implementing a range of CR issues at both its core business (i.e. teaching and learning) and operational (i.e. tendering and purchasing) levels. Macquarie is in a state of major organisational change in the sustainability area and along side this is implementing a number of social initiatives. This research explores and documents this change.

It is anticipated the results will provide practical and theoretical insights that will be of relevance to both the academic and business communities. In particular it is hoped that the research will provide a better understanding of the social dimension of CR in this sector. This in turn will ideally help more organisations become empowered to make change towards this dimension of CR.

How are you involved?

The study will draw on the experiences and evidence from people who are working closely with the implementation of a range of CR initiatives at Macquarie University (or one of its partner organisations). You may have been asked to participate in an interview (which should last around one hour), or you may have been provided with this information letter due to researchers observing a meeting or workshop that you are attending. With your permission, interviews will be audio recorded in order to ensure that data can be accurately transcribed and analysed.

Can you withdraw from the study?

Participation in this study is voluntary. You are free to withdraw from the study at any time without giving reasons and without penalty. There are no foreseeable risks related to participation in this study.

Who is carrying out the study?

The study is being conducted by Clare Le Roy and forms the basis of her degree of Doctor of Philosophy. The research is being undertaken through the Graduate School of the Environment at Macquarie University under the supervision of Professor Suzanne Benn, Director of ARIES (sbenn@gse.mq.edu.au or 02 9850 7993). For more information about the research please contact Clare at clareleroy@gmail.com or 0422 501 989.

Will anyone else know the results?

All aspects of the study will be strictly confidential and only the researchers will have access to information on participants. Aspects of the study may be submitted for publication, but individual participants will not be identifiable and explicit permission will be sought from you before using any quotes from your interview(s)

What if I have a complaint or concerns?

The ethical aspects of this study have been approved by the Macquarie University Human Research Ethics Committee. If you have any complaints or reservations about any ethical aspect of your participation in this research, you may contact the Committee through the Director, Research Ethics (telephone (02) 9850 7854; email ethics@mq.edu.au). Any complaint you make will be treated in confidence and investigated, and you will be informed of the outcome.

Thank you for your participation. This information sheet is for you to keep.

Appendix E: Meetings attended

Date	Meeting/Event	Duration
18 March 2009	Vice Chancellor "Town Hall Meeting"	1 hour
9 April 2009	Sustainability in supply chain workshop	3 hours
21 April 2009	Meeting with Director of Sustainability (MQ)	1 hour
8-9 September 2009	Sustainability Fair (incl. talking with attendees about sustainability at MQ)	3 hours
21 September 2009	Learning and Teaching Workshop - Embedding sustainability in the curriculum (run by Dept of Climate Change)	2 1/2 hours
22 September 2009	Vice Chancellor's annual oration	2 hours
18 February 2010	Sustainability "Town Hall Meeting"	1 hour
25 August 2010	Vice Chancellor's annual lecture and panel discussion – "Wise up: Restoring wisdom to universities"	2 hours
13 October 2010	Vice Chancellor's annual debate – "Australia is producing too many university graduates"	2 hours
24 March 2011	"Sustainability as HE's core business" Seminar at USYD	2 hours

Appendix F:

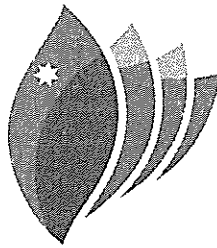
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Appendix G: Final ethics approval letter



4 August 2009

Ms Clare le Roy
11a Remuera Street
Willoughby
NSW 2068

Reference: HE31JUL2009-D00071

Dear Ms le Roy,

FINAL APPROVAL

Title of project: The role of partnerships in organizational development and change towards social sustainability: a higher education focus

Thank you for your recent correspondence. Your response has addressed the issues raised by the Ethics Review Committee (Human Research) and you may now commence your research. This approval is subject to the following condition:

1. Please forward details of the partnerships to be involved in the second phase of the research and how these partners/collaborators will be approached. Please forward all relevant documentation to be used in the second phase of the research that have not already been reviewed by the Committee.

Please note the following standard requirements of approval:

1. Approval will be for a period of twelve (12) months. At the end of this period, if the project has been completed, abandoned, discontinued or not commenced for any reason, you are required to submit a Final Report on the project. If you complete the work earlier than you had planned you must submit a Final Report as soon as the work is completed. The Final Report is available at: http://www.research.mq.edu.au/researchers/ethics/human_ethics/forms
2. However, at the end of the 12 month period if the project is still current you should instead submit an application for renewal of the approval if the project has run for less than five (5) years. This form is available at http://www.research.mq.edu.au/researchers/ethics/human_ethics/forms. If the project has run for more than five (5) years you cannot renew approval for the project. You will need to complete and submit a Final Report (see Point 1 above) and submit a new application for the project. (The five year limit on renewal of approvals allows the Committee to fully re-review research in an environment where legislation, guidelines and requirements are continually changing, for example, new child protection and privacy laws).
3. Please remember the Committee must be notified of any alteration to the project.
4. You must notify the Committee immediately in the event of any adverse effects on participants or of any unforeseen events that might affect continued ethical acceptability of the project.
5. At all times you are responsible for the ethical conduct of your research in accordance with the guidelines established by the University http://www.research.mq.edu.au/researchers/ethics/human_ethics/policy

If you will be applying for or have applied for internal or external funding for the above project it is your responsibility to provide Macquarie University's Research Grants Officer with a copy of this letter as soon as possible. The Research Grants Officer will not inform external funding agencies that you have final approval for your project and funds will not be released until the Research Grants Officer has received a copy of this final approval letter.

Yours sincerely



Dr Karolyn White
Director of Research Ethics
Chair, Ethics Review Committee (Human Research)

Cc: Professor Suzanne Benn, Graduate School of the Environment