UTILISATION OF CAPABILITY APPROACH AND EMOTIONAL INTELLIGENCE TO PROTECT THE PSYCHOLOGICAL WELL-BEING OF PERSONS WITHIN SUSCEPTIBLE ORGANISATIONS.

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ABSTRACT

There is an emerging imperative to safeguard a person's emotional and psychological well-being when their occupational, or volunteer, positions in certain organisations may require they manage, or cope, a traumatic or disastrous situation. However, an extensive literature review has provided little evidence that organisations do prepare persons who are likely to be involved with a crisis or traumatic incidents and provide no level of protection of a person's psychological well-being. Protection can be achieved by enhancement of a persons individual 'capabilities' (traits and attributes). This dissertation argues that if intervention occurs before an incident or event as a preventative measure, the effects of exposure to an incident causing damage to a person's psychological well-being would be minimised or eliminated. The alternative is to address the consequences 'after' the event or incident by providing treatment for trauma-related injury such as post-traumatic stress disorder. It is essential to provide 'proof of concept' with a capability framework. A capability framework can be utilised as a foundational structure against which a person's vulnerability to manage trauma can be measured. A three-year case study was undertaken with The Salvation Army New Zealand for the development and implementation of a capability framework for their 2700 personnel. The capability framework was field-tested and evaluated using Stufflebeam's CIPP evaluation process, which was also used as a quality control measure. Central to the research is the identification of organisations that would be 'susceptible' to exposing their personnel to crisis or disastrous situations. These organisations activities may become involved with relief efforts for war-affected countries and zones, civil unrest, earthquakes, tsunamis, or hurricanes. The topic of protection of psychological well-being is becoming an 'duty of care' issue for many Orgainastions and is evinced by court judgements against some organisation in recent cases. It is proposed that a bespoke learning and development program could be developed for a person having to cope with a traumatic event or incident by the enhancement of their individual traits and attributes.

CERTIFICATION OF THESIS

I Martin Herbert Payne declare that the Thesis entitled *Protection of Psychological Well-being: Utilisation of Capability Approach and Emotional Intelligence to Prevent Harm for Persons within Susceptible Organisations* is not more than 100,000 words in length including quotes and exclusive of tables, figures, appendices, bibliography, references, and footnotes. The thesis contains no material that has been submitted previously, in whole or in part, for the award of any other academic degree or diploma. Except where otherwise indicated, this thesis is my own work.

Date: 29th October 2023

Endorsed by:

Principal Supervisor: Associate Professor Steven Goh

Associate Supervisor: Associate Professor Fernando Padro

Student and supervisors' signatures of endorsement are held at the University.

DEDICATION

This thesis is dedicated to the memory of Mitchell Bernard Payne (1987 – 2021).

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CHAPTER 1. INTRODUCTION

A founding principle on which this dissertation is that a person should expect protection for his or her psychological well-being (PWB), from harm or damage, as the result of the involvement of a disastrous or traumatic event or incident, within their professional, vocational or volunteer activities. It is essential that consideration be given to what measures could be taken to prevent damage or harm 'before, during and after' a traumatic incident, with an emphasis given to 'before'.

The researcher's modus opearndi is that of a practitioner, rather than a theorist. Therefore, it is elemental in this dissertation that the arguments for the prevention of damage to well-being must be realistic, achievable and applicable.

This chapter outlines the fundamentals and elements of this research and provides an overview for the reader to obtain a broad concept of the essence of the study. The chapters following this introduction provide a detailed, in-depth exploration of these elements.

The incidence of war, international turmoil and natural disasters are imponderable, but the provision of aid, support and relief for persons affected is vital. Additionally, with the ever-increasing advances in technology, in everyday life, these lead to a higher risk of technology failure, with resulting serious or devastating consequences. In recent years great emphasis has been placed on workplace safety with the development of Occupational Health and Safety (OH&S) standards, which usually have a focus on physical safety, i.e., slips, trips and falls prevention, by the introduction, implementation and enforcement of OH&S policies, procedures, and

practices. Recently, there has been a greater awareness of the imperative to eliminate workplace harassment, bullying, discrimination, and sexism. Yet little consideration has been given to the psychological safety of employees, particularly in '*occupations that have a probability their personnel or volunteers may encounter disaster or trauma'*.

The initial section of this chapter provides the background to the research problems and begins with the researcher's personal insights into the motivations and imperatives that have led to this inquiry. This personal insight provides the underpinning imperatives into the construct of the research problems, and the research aims and goals, including the identification of the gaps in literature, knowledge, and research, that this study addresses. These items are crystalised in the form of research questions and theories. The choice of the methodology and methods of inquiry are expounded, and argued, to provide the validity and veracity for the essence of the research approach and explain the organisation of the study.

 The summary indicates the outcomes of the study, its relevance to the original precepts and the significant contribution to knowledge this research has made. Included is a glossary of terms, that provide explanations and definitions of special subjects/topics or areas of usage within this study, to provide an understanding and comprehension of the words and terms used.

Background, context and conceptual framework

The importance of the notion of individual well-being is gaining a predominant contemporary focus, both within general society and in an industrial/occupational setting and is germane to this dissertation. Well-being has always been associated with happiness, and has provided philosophers of all ages with the imponderable

question – what constitutes well-being? From an individual perspective, well-being and happiness are highly individualised and personal and should be cherished and protected from harm - for all humans. Psychological well-being is probably one of the least addressed well-being issues in the industrial/occupational arena but should be considered as being of prime importance. A contemporary OH&S focus is on the prevention of unwanted behaviours in the workplace and the prevention of psychological harm that may result from harassment, bullying, aggression and violence, but this is usually a general approach, rather than a focus towards the individual.

In many contemporary workplaces, it is no longer sufficient for a person to be merely competent in their role/position tasks and functions, they also need to be 'capable'. Individual capability is an emergent term, currently being adopted by human resources, with the lens gaining a wider aperture to take into consideration this aspect of social safeguarding. However, the term is ambiguous and is open to varied interpretations and definitions and its application is dependent on the organisational/corporate worldview, through which individual capability is viewed. Also, the level and nature of the individual capability required will be highly dependent on the role/position the person is engaged in and the type of organisation. The notion of individual capability of explored in Chapter 3.

It is argued that an organisation's and corporation's contemporary duty of care should be directly focused on an employee's well-being, though individual capability, to ensure that persons engaged by them do not come to harm or injury, physical or mental, whilst performing their occupational duties or functions. They should reasonably expect that they leave work and return home in the same physical and *mental* condition as when they arrived that morning.

There are some organisations, such as emergency services and defense forces, which expect their personnel to encounter and manage a traumatic or disastrous event, or events, as a part of their occupational/vocational duties. However, there are certainly other organisations, such as 'high-reliability', faith-based or volunteer/charitable organisations, where the expectation of having to deal with major critical incidents or crises may not be so readily apparent. In this study, it has been necessary to collectivise these organisations into a recognisable group, within the range and scope of this investigation. Therefore, for the purpose of this inquiry to focus on a) 'high-reliability', b) faith-based and c) charitable/volunteer organisations with each is identified and collectivised within the term of 'susceptible organisations'.

High reliability and faith-based organisations are challenged by definitional ambiguity due to their role within a national/global social fabric and are part of the social safety net and their influence within the political and social spheres based on the support services they provide to the disadvantaged and needy in times of crisis (S. Goldsmith, W. Eimicke, & C. Pineda, 2006; Khalid et al., 2014; Padró, 2004). FBOs and HROs share some similarities in that they are:

 (1) a sensitivity or mindfulness to change, especially in unforeseen situations, potential danger or failure to discharge their duties (Coutu, 2003; Elizabeth Ferris, 2005; K. E. Weick, Sutcliffe, & Obstfeld, 2008);

(2) how their personnel 'live' their organisation's values to the extent that these values make up part of personal member identities (Hinderaker, 2015);

(3) focus on resilience (Ager, Fiddian-Qasmiyeh, & Ager, 2015; De Crespigny, 2018); and

(4) reliance on religious and secular expertise, with more religious FBOs deferring to religious expertise (Ebaugh, Pipes, Chafetz, & Daniels, 2003).

FBO Traits and Qualities (S. Goldsmith, W. B. Eimicke, & C. Pineda, 2006)	HRT/HRO Traits and Qualities (Roberts & Rousseau, 1989)
Self-identity: values are based on faith and/or beliefs, which has a mission based on social values of the particular faith, and which most often draws its activists (leaders, staff, volunteers) from a particular faith group.	Self-identity: operate in complex, high-hazard domains for extended periods without serious accidents or catastrophic failures. Cultivate resilience by relentlessly prioritizing safety over other performance pressures.
Personnel: organisational staff, volunteers, clients, constituents and others adhere to and share religious convictions.	Personnel: employees with high level of competence in their professional/ vocational fields. Diverse skills sets with continual skills enhancement
Resources: the sources of the organization's resources and the extent to which religion explicitly assists or hinders resource acquisition. Usually resource poor.	Resources: usually commercial or government supported within a budget. Resources are usually not a large consideration
Aims and objectives: individualised to the extent to which religion shapes the organization's purposes, and how these purposes are implemented.	Aims and objectives: strive to achieve error-free performance and safety in every process, every time — all while operating in complex, high-risk or hazardous environments
Decision-making procedures: The extent to which religion determines the processes of decision-making.	Decision-making procedures: large numbers of decision makers in complex communication networks – characterised by redundancy in control and information systems.

FBO Traits and Qualities (Stephen Goldsmith et al., 2006)	HRT/HRO Traits and Qualities (Roberts & Rousseau, 1989)
Power and authority: The extent to which religious values determine who has power and authority and how they are exercised.	Power and authority: Extreme hierarchical differentiation – multiple levels, each with its own elaborate control and regulating mechanisms.

Table 1-1 FBO/HRO Traits and Qualities Comparison

The protection of a person's psychological well-being will become an imperative consideration in the future with persons being exposed to higher risk to a distressing/traumatic events and incidents, as the world becomes ever more complex and troubled.

In 2020 the San Mateo Superior Court, California, ordered Facebook to pay $52 million to their current and former 'moderators' to compensate them for mental health issues developed on the job. The moderators were, and still are, required to regularly view photos and images of rape, murder, and suicide before a post can be published, and 11,250 moderators developed some form of trauma-related conditions as a result.

It is a sad fact that organisations and corporations will not recognise the seriousness of an issue until there is a financial burden attributed, or imposed, to it. As more organisations and corporations are penalised for failure to protect their employee's psychological well-being, the more attention it will be given. This study explores how people can be safeguarded against harm by preparing them before traumatic events.

1.1 Researcher position

The researcher's early career was as a seagoing marine engineer on a large array of vessels and latterly in the training and competence arena with national and international oil and gas sectors and has been an advisor globally to national governments and multi-national companies, relating to training, competence and human development. He has been responsible for developing and implementing competency-based frameworks for operations and maintenance personnel working in large 'greenfield' and 'brownfield' projects worldwide. He experienced peripheral involvement with the Deepwater Horizon oil spill in 2010 (Hopkins, 2012) brought him to the understanding of the importance of integrating Sen's concept of capability and the notions of High Reliability Theory into corporations and organisations. At the time of the Deepwater Horizon disaster, his organisation provided Major Emergency Management (MEM) training to the senior personnel who were actually on board the platform on the day of the accident. The disaster emanated from one decision made by one employee (not on the platform), who failed to follow the safe practices and procedures that were in place, the principal justification being the cost that would be incurred by a delay. If the procedures had been followed (A. Hopkins, 2012) this disaster could have been avoided. This catastrophe was the initiator of the author's Master's thesis, which investigated developing decision-making abilities for oil and gas managers. The tragic event could have been averted if this person had possessed certain capability traits and attributes, which would have had emphasis on individual well-being as well as concerns for the well-being of the broader community's environment and safety. The investigation identified the failure was in part attributable to personal decision-making (Anand, Hunter, & Smith, 2005; Arneson, 2012, pp. 101-128; Nussbaum, 2001) by the decision maker, along with an in principal understanding

of high-reliability theory and practice. The platform owners shared with the researcher's senior director of the researcher's company, that they believed that the MEM training which was given prior to the incident resulted in there being no further loss of life or injury after the initial incident during the abandonment of the platform.

Major Emergency Management (MEM) training provides personnel with formal training in command, control, communications and stress-related factors in the management of major emergencies, enacted in simulated, real-time scenarios with a physical replication of a control centre, using role players to create a credible, realistic environment. This method of training and development is highly effective and the connection to protection of psychological well-being protection is made in Chapter 7.

1.2 Personal story - one

The researcher was first woken to the concept and precept of the curious nature of well-being whilst on a ship in a dry dock over Christmas and New Year in Vizagapatam in India. On Christmas night all the officers were on the boat deck, looking over the side of the ship into the dry dock, in all their resplendent gold braid, with full stomachs of wine, beer and food, in air-conditioned luxury. The ship had been out from our home port for seven months - everyone was glum, nar a smile to be seen - everyone thinking of home and loved ones. However, living in the bottom of the dry dock - in the mud and dirt, was a family of four; husband, wife and two children. They were living under a single sheet of corrugated steel, with a little fire cooking food. The two young children were playing with a puppy dog. These children were rolling around with the puppy, and the parents were in hoots of laughter, watching the antics of the children and the puppy. This was a life-defining moment. The ship's crew had everything modern society could offer - but were unhappy, but the family, with seemingly little creature

comforts, were blissfully happy then - but had, from a western lens nothing tangible. This speaks directly to the conundrum of what constitutes well-being and happiness.

1.3 Personal story - two

The researcher was a 3rd engineer on a passenger ferry between Devonport, Tasmania and Melbourne, Victoria. Just prior to arrival into Melbourne he was requested to remove the filters on a generator for cleaning. At the time the vessel had over 2000 passengers and 800 crew. There were several contributing factors to an accident that resulted in the release of heavy fuel oil at 130°C at 10 bar (1000 kPa), covering him and the adjacent generator in the volatile fuel. He managed the situation in a state of terror and prevented the fuel from igniting and a major accident was averted. He was burnt on his hands and arms and was given a commendation for bravery. However, in the months that followed the accident he developed Post-Traumatic Stress Disorder (PTDS), which resulted in his loss of his profession as a sea-going engineer and he became an adult educator. He underwent several years of counselling to overcome and minimise the effects PTSD. As a result of the counselling sessions, he developed and understanding of his own cognitive processes and became aware of Dual Process Theory (DPT), where two processes consist of an implicit (automatic), unconscious process and an explicit (controlled), conscious process.

Both the accident and the acceptance, and utilisation, of DPT contributed to his belief that the protection of individual psychological well-being is achievable with an individualised growth and development program.

1.3.1 Context

The slow recognition and acceptance of individual capability is partially due to the lack of identification and measurement. This thesis argues that individual capability can be quantified and utilised through the construction of individual capabilities based on the theory of emotional intelligence.

Central to the investigation is the exploration of the synthesis between capability approach, individual capability and emotional intelligence and their strategic application within a framework. A capability framework identifies the capability qualities and characteristics that are aligned and ascribed to an occupational role /position within an organisation or corporation. It must be remembered that the fundamental premise is that humans are individuals, and all will respond differently when faced with a traumatic or disastrous situation. A capability framework will provide them with the identification of the required 'tools' to perform effectively to manage and process information during an event or incident in a particular role /position. This allows for growth and development, at an individual level, in the processing of their emotions and feelings during and post the event or incident to ensure the preservation of long-term personal well-being.

For the purposes of this research individual capabilities comprise traits, attributes, skills, abilities, knowledge, and experience that a person possesses, either intuitively or by acquisition, through training, education, growth and development or life experiences. The determination of capability within this research is derived from the theory of capability approach (Sen, 1979, pp. 680-701). The capability approach has two normative claims: first, The claim that the *freedom to achieve well-being is of primary moral importance* and, second, that *well-being should be understood in terms of people's capabilities and functioning's* (sic). A key dimension in this research is the

relationship between capability and emotional intelligence (John D. Mayer, Peter Salovey, & David R. Caruso, 2008), where emotional intelligence is most distinctly described as the *capacity to be aware of, control, and express one's emotions*, *and to handle interpersonal relationships judiciously and empathetically*. These capabilities are essential in the performance of a person's roles and responsibilities during and following a traumatic or disastrous event. Emotional intelligence enhancement and development for an individual will broaden their traits and attributes and enhance their effectiveness.

The concept of the utilisation of the capability approach as a foundation of this dissertation was seriously challenged as to its feasibility, and literature indicated that the capability approach could not be 'operationalised', in a 'real life' situation. To disprove this notion, it was considered essential to undertake a 'real life' case study, which was conducted in conjunction with the Salvation Army New Zealand, Fiji, Tonga and Samoa Territory. This involved the design, develop and implementation of a Capability Framework for 2700 officers and employees in New Zealand, Fiji, Tonga and Samoa. Whilst the aims of the project and research were achieved, an unexpected phenomenon became apparent which was the creation of a capability framework, that as a standalone entity, was not in itself a practical solution. Occupational and vocational roles and positions require more than a focus purely on the capability of a person to effectively perform their tasks and functions. Two additional elements were required. Firstly, a 'generic' capability profile aligned to a role or position must be initially aligned with occupational competencies and aligned with capabilities that would support and enhance the competence. Secondly, a 'trigger' was required to initiate a process that incurred engagement between the person and their line supervisor or manager, to provide an 'individualised' capability profile that reflects the

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innate or acquired traits and attributes a person possesses and the development of a mutually agreed development plan to enhance the person's capabilities and be more effective in the tasks and functions of the role or position. This phenomenon is explained and expanded in Chapter 4 – Methodology.

In industry generally, there is a contemporary move to gain more capacity from fewer resources, predominantly due to ever-tightening financial implications and restraints. The effect is to place ever higher workloads, pressure and demands on the remaining personnel, with the primary focus on product and production, not people. A common solution is to 'shoehorn' people into jobs/roles they may not be suited or prepared for. It was previously mentioned that the evolution of 'duty of care' is accelerating and emerging as a greater onus being placed on organisations/corporations with the imperative to protect the employees' psychological well-being as well as their physical well-being. Their physical well-being is safeguarded and protected, as far as is reasonably practicable by Health and Safety initiatives, but psychological well-being has been considered as less of an imperative, other than the effect of inappropriate workplace behaviours by co-workers. However, organisations and corporations are having damages awarded against them for failing to protect their employees from contracting stress-related illnesses and conditions, such as Post-Traumatic Stress Disorder and trauma-related disorders by exposure to events and situations that are beyond an accepted norm.

This study investigates specifically identified organisations and corporations, where their employees can reasonably be expected to deal with trauma or disaster and what measures can be taken to protect and safeguard them.

1.4 Conceptual framework

A central principle within this inquiry is that humans are diverse. Sen (1992) stated, *'Human diversity is no secondary complication (to be ignored, or to be introduced 'later on'); it is a fundamental aspect of our interest in equality'*. The notion that humans are uniquely discrete and distinctive is the essence of individual capability. There can be no uniform, 'one size fits all' approach, as every person has a unique set of traits, attributes skills, abilities, knowledge, and experiences, either innate or acquired, which must be considered and included.

Establishing a conceptual framework for this study requires an initial premise, which is: 1) *individual psychological well-being must be protected*, and 2) the *ability to live a life that a person has a reason to value.* To achieve this requires bringing together three different phenomena that have not been previously conjugated, these being:

(1) Individual Capability (2) Emotional Intelligence (3) Susceptible Organisations (where there is a likelihood that persons may be exposed to traumatic incidents or events).

The visual representation of the conceptual framework provides the relationship between the various aspects and elements.
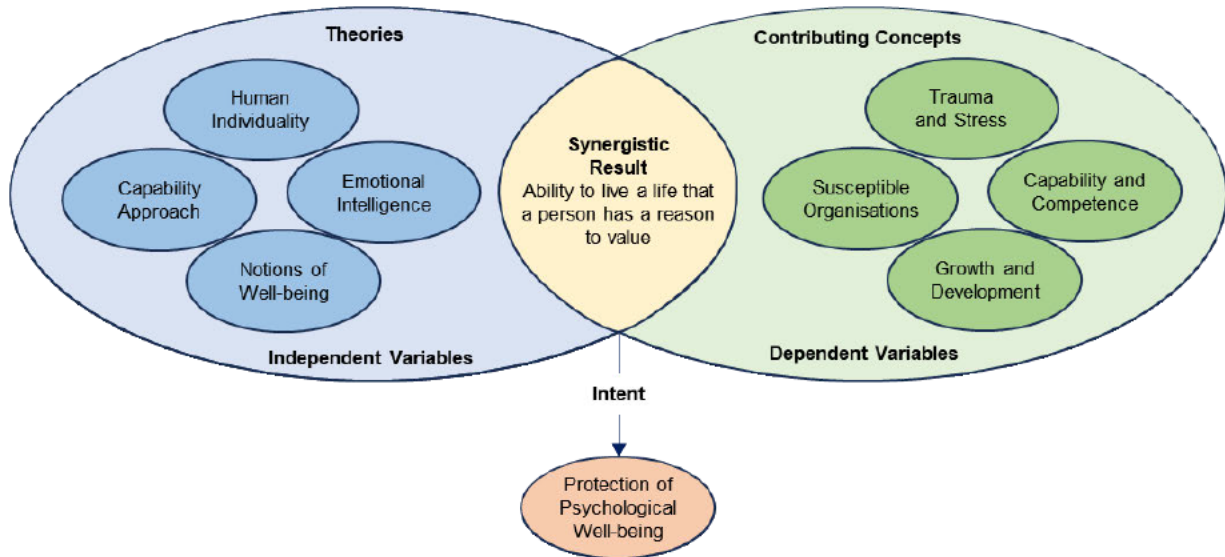
Figure 1-1 Conceptual framework

The theories and contributing concepts within the conceptual framework must be viewed from the perspective of the intent of the research. The paradigm applied to the elements of the theories and contributing concepts of the framework as they relate to the core construct of the thesis must be explained to provide context and understanding.

Theories

Theory	Description
Uniqueness of Humans	Central to the thesis argument is that to protect psychological well-being it is fundamental to consider each a person as being exclusive, exceptional, and distinctive.
Capability Approach	The capability approach purports that freedom to achieve well-being is a matter of what people are able to do and to be, and thus the kind of life they are effectively able to lead
Emotional Intelligence	Daniel Goleman's emotional intelligence theory outlines five components of EI: self-awareness, self-regulation, motivation, empathy, and social skills.
Notion of Well-being	Well-being can be described as judging life positively and feeling good.

Table 1-2 Theories

Individual capability, based on the notions propounded by Almaty Sen (Sen, 1979) and Martha Nusbaum (Nussbaum & Sen, 1993) and emotional intelligence, (P. Salovey & J. Mayer, 1990) based on the Salovey and Mayer concepts, that provides a foundation for utilisation of emotional intelligence within a capability framework, to establish a personalised individual capability profile.

This notion has been explored in the case study to investigate the possibility of 'operationalising' Sen's Capability Approach/Theory. Within susceptible organisations some front-line personnel are actors in extreme circumstances, emergencies and disasters, such as a major earthquake, tsunami, or nuclear malfunction and need to immediately take control of themselves, and in some cases, others, and react instantly to the situation.

Within high-reliability organisations (K. M. Sutcliffe, 2011) it could reasonably be expected that personnel may encounter major critical incidents or crises, where the impact of an error on their behalf may lead to devasting disaster or destruction resulting in multiple losses of life and serious social and financial chaos and long term environmental damage, examples being the Chernobyl and Deepwater Horizon disasters. The persons making critical decisions under stressful circumstances (e.g., time constraints, decisions under emergency, unexpected, or rapidly changing situations, information overload and agency constraints, may be subject to traumatic impact, both at that time, in the aftermath, and may even surface many years later.

An exhaustive literature review reveals almost no research or narrative specifically concerning the protection of well-being, especially psychological well-being, within organisations that might put employees in traumatic or disastrous situations. There is also a dearth of dialogue or narrative relating to preventative measures being in place for persons prior to engagement with a traumatic event or incident.

1.5 Problem statement

The problem statement for this research is:

There is an ever-increasing potential for persons to become involved with, or to manage, a disastrous or calamitous event. Therefore, it is an imperative for susceptible organisations to safeguard an individual's well-being from damage or harm.

A literature review has provided little evidence that persons are prepared to cope with, or manage, other than to provide occupational competences in crisis management. Whilst there is much literature on how to deal with the aftermath, little is done to protect the individual well-being before, during and after the incident or event.

The capability approach, also sometimes referred to as Capability Theory (Robeyns, 2017b), has its origins in the precepts of Sen (A. Sen, 1979) and Nussbaum (Gasper, 1997; M. Nussbaum, 2011) and surrounds the notions of the capability approach, which is grounded in the theory that the people live lives that they have reason to value and is defined in terms of the set of valuable 'beings and doings' (S. Alkire, 2002) that will support their short- and long-term welfare and well-being.

Sen's (1979) capability approach can provide a basis to pursue a systems-based and agency-focused approach to organisational performance under crisis and normal conditions. Nussbaum extended the capability approach by framing it as a quality-of-life issue through her ten central capabilities (Gasper, 1997; Nussbaum, 2001; M. C. Nussbaum, 2011; Robeyns, 2005). The core capability approach characteristic is its attention to what people are effectively able to do and be with their capabilities (J.-M. Bonvin, 2012; Robeyns, 2005), "*The crux of the capability concept lies in the*

combination of various meanings of "can", which refer to: (i) being able to; (I & F) having opportunities; and (I & F) being facilitated and allowed (Van der Klink et al., 2016, p. 74).

As previously mentioned, it is becoming no longer sufficient for a person to be just competent within the tasks and functions, they also need to be 'capable'. One of the perceived failures of the capability approach is that it is difficult to operationalise (Chiappero-Martinetti, 2015), therefore it is necessary to align capability with occupational competence for it to make sense in occupational/vocational settings. This is achieved by the development of a capability framework, with the flexibility to be adapted to meet the needs of the individual and the organisation and through a tailored development plan, which the case study has proved.

Knowles (Knowles, 1973) indicated that learning is a change in self-concept. According to Teece (D. Teece, Pisano, & Shuen, 2017, p. 695), '*capabilities arise in part from learning'* (p. 695), but as Hase and Davis (Stewart Hase & Davis, 1999, p. 7) noted, capable people are more than just competent. Hase and Davis argued that capable people "*know how to learn; are creative; have a high degree of self-efficacy; can apply competencies in novel as well as familiar situations; … work well with others and are more likely to be able to deal effectively with the turbulent environment in which they live by possessing this 'all-round' capacity*". Capability is about "*taking effective and appropriate action within unfamiliar and changing circumstances*" (J Stephenson, 1992, p. 2; John Stephenson, 1998). Control of emotions is an important capability (Nussbaum, 2001; M. C. Nussbaum, 2011), as emotions represent a group of interrelated abilities (John D Mayer, Richard D Roberts, & Sigal G Barsade, 2008, pp. 503-517), shaping personal self-confidence, ethics and judgments underpinning decisions to take a risk and a willingness to learn from the experience (J Stephenson,

1992; John Stephenson, 1998), in personal and/or work settings (R Bar-On, 2006b, pp. 13-25; C Cherniss, Goleman, Emmerling, Cowan, & Adler, 1998). Sen's CA and Nussbaum's expansion align these characteristics with improving personal well-being and quality of life, acting as an evaluator of achievement (S Alkire, 2005).

1.6 Purpose of the study

Recent natural disasters, such as earthquakes, tsunamis, floods, etc. and human-created catastrophes, such as *the Deepwater Horizon* in the Gulf of Mexico, 2012 are examples of incidents and events where humans have had to perform in some manner of intervention to provide aid and support to the populous or to contain and minimise the effects for humans and the environment.

There is little literature or dialogue on the topic of preparing persons who are likely to be involved which such incidents and events. What literature is available deals with the subject of prevention of mental health consequences in a vague and indecisive manner. The paper Mental Health in First Responders (Kleim & Westphal, 2011) alludes to the topic by saying, "*Yet there continues to be considerable controversy over which type of intervention should be offered at what time and to whom after exposure to traumatic events*". Likewise, Quevillon, et al, (Quevillon, Gray, Erickson, Gonzalez, & Jacobs, 2016, p. 1350) noted that:

> "*The role of managers, supervisors, and leaders in contributing to the positive mental health of disaster response personnel is crucial, though sometimes underappreciated. Disaster planners and managers may fail to attend to the psychosocial support and professional development of staff and volunteers. In part, this may be a reflection of their training. In a recent collection of papers from the*

11th Annual Emergency Management Higher Education Conference (Hubbard, 2009), managing stress in workers and volunteers was barely mentioned and resilience was covered solely in the context of community response".

The purpose statement for this research is:

To provide organisations with a method of preparing individuals to deal with disaster and trauma, and to manage the event or incident. To reflect and process the impact of the event or incident on them as a human being to ensure their long-term psychological well-being. This can be achieved by utilising the capability approach, emotional intelligence within a framework, which provides an individualised learning and development plan to ensure they have the traits and abilities to limit, minimise or negate the effects of the event or incident on them.

1.7 Research questions

This thesis is founded on a nondirectional theory that humans are so diverse and varied it is impossible to apply a single theory that would apply to all.

It is proposed that the damage caused to a person's psychological well-being due to exposure to a disaster or catastrophic event or incident can be mitigated, or prevented, by the identification of the persons traits and attributes and the creation and implementation of an individualised learning and development plan. This learning and development plan can be developed through the utilisation of an individual capability profile, based on emotional intelligence.

The following theories provide the foundation for this dissertation and provide assumptions:

T1: Persons faced with coping and managing with a disaster or catastrophe will respond and react differently. Their responses will be dependent on their individual traits and attributes, either innate or acquired.

T2: Stress reactions vary widely across individuals and that no single intervention is universally effective, but damage to individual well-being can be minimised by using emotional intelligence to enhance their traits and attributes.

T3: People have a basic right to live lives that they have reason to value, and this must not be impaired by occupational or volunteer events or experiences.

Central to this dissertation is the question:

1. *Can Sen's and Nussbaum's notions of the Capability Approach be operationalised and practically applied in conjunction with Emotional Intelligence?*

It is essential to the veracity and validity of the argument that the notion that the capability approach cannot be operationalised is disproved. This issue was the basis for which the case study was conducted, through the lens of developing and implementing a practical operational capability framework, in an occupational setting, to assist the support of a person's well-being through a traumatic or disastrous event.

It has been argued that the operationalisation of the capability approach may be flawed or impractical (Chiappero-Martinetti, 2015) to measure poverty or well-being. Whilst it is beyond the scope of this inquiry to address the issue of poverty, as an inclusion, the protection and enhancement of an individual's well-being is within the remit of the investigation. CA (Robeyns, 2017b) as it is applied to wellness not fiscal or financial, but on the notion that freedom to achieve well-being is a matter of what 'people can do and be', and thus the kind of life they are effectively able to value and lead.

There is an imperative to delineate what organisations could become involved with a traumatic or disastrous event when there might not be an apparent and obvious link.

2. *Can individual capability, based on Emotional Intelligence (EI), protect the short and long-term well-being of a person who may need to cope/manage with a critical incident/crisis, as part of their vocational or volunteer role or function?*

This is the key question for this investigation. It is a basic human right that a person's occupation/vocation should not cause them harm and all aspects of their well-being must be protected.

3. *What are the types of organisations that are susceptible to a traumatic event or disaster that a person may be required to manage/cope with, as part of their vocational or volunteer role/function?*

Not all organisations or corporations have roles and positions where the employees may be exposed to trauma or disaster. Therefore, it is essential to identify and delineate the organisations and corporations that this research relates to.

1.8 Rationale, relevance and significance

Whilst there is a plethora of research and literature related to capability approach – and associated and related phenomena, emotional intelligence and high-reliability organisations and the effects of trauma-related incidents, little has been investigated into how to mitigate or minimise stress reactions and reactivity – before, during and after. This is reflected in several studies (Kleim & Westphal, 2011; Quevillon et al., 2016; Yehuda, 2003) where it is suggested that the protection of mental health and personal well-being can be enhanced by preventative measures prior to a traumatic event, there is negligible or no recommendations as to how this might be achieved.

1.8.1 Rationale

The literature review has identified that it is generally accepted that the relief and aid worker require some form of personal preparation before becoming deployed or involved with a major event or incident, but there is little to establish, or suggest, what the preparation should be. For susceptible organisations, specifically, there is no unified dialogue or debate on how the avoidance of trauma-related disorders should be approached, rather the solutions offered are usually reactive (after) as opposed to proactive (before) of deployment or involvement with an incident or event.

A key aim of this research is to provide a tangible, practical solution in the protection of individual well-being, with the minimisation, or elimination, of trauma-related disorders caused by an occupational/vocational traumatic event or incident. A review of 870 papers and articles associated with Acute Stress Disorder (ASD) and Post Traumatic Stress Disorder (PTSD) or other trauma-related mental disorders, did not provide and definitive, detailed suggestions on how to provide proactive (before, during and after) protection of well-being, but many provided post-event treatment.

It should be noted that this research is not examining the competence of a person to deal with an incident or event, from an occupational perspective, but the protection of the individual human being from harm because of the incident or event. There is propositionally less development of trauma-related disorder in first responders/emergency services (Skogstad et al., 2013) than in a person who is unprepared to be involved in an industrial disaster, where the rate of development of trauma-related disorder is very high. Apart from individual differences in vulnerability and resilience in responders/emergency services personnel less than 10% developed any form of trauma-related disorder and in most cases decreased over a two-month

period. An example is the police officers engaged in the body research and discovery during the 1988 Piper Alpha disaster reported no increase in ASD and PTSD or other mental disorders after 2 months (Skogstad et al., 2013, p. 177).

Psychotraumatology is the study of psychological trauma. Specifically, this discipline is involved with treating, preventing, and researching traumatic situations and people's reactions to them. There are three main categories explored in Psychotraumatology, these being: 1) Factors examined before a traumatizing event - *before*, 2) Factors examined about a traumatizing event - *during*), and 3) Factors examined after a traumatizing event - after. It is noted that in 1) Factors examined before a traumatizing event are: a) personal developmental history, b) familial history (inclusive of both birth parents and primary guardians), c) redisposing personality factors, d) occupational, behavioral, and psychiatric risk factors, and e) predisposing psychological states. Nothing in the literature revue provides evidence on the effects of pre-event preparation.

It is argued that a personalised, individualised development plan, based on individual capability utilising emotional intelligence will provide protection against harm to individual well-being in involvement and the management of a catastrophe or disaster.

The process of inquiry for this study followed a suggested method that includes specific methods of data collection, analysis, and interpretation. It was approached through the lens of a pragmatic approach to research, where the researcher and individual decision-maker have made observations and judgments in an actual real-world situation. The first consideration in the study was to identify a problem and explore it in the broadest context, which pursues a better understanding of the phenomena and provides a solution to the problem.

A founding principle of this dissertation is that all humans are individuals. Therefore, any empirical evidence may be flawed due to the array of human individuality and as such quantitative research is not wholly appropriate (J. W. Creswell & Creswell, 2017), but some degree of verification is required to validate the findings. Due to the vagaries of humans, this study lends itself towards a qualitative methodology.

Before a practicable solution can be arrived at, it was essential to prove certain aspects of the thesis before valid assumptions could be made and the study could progress on 'sound reasoning'. There has been some literature that cast doubt on the practical 'operationalisation' (Chiappero-Martinetti, 2015) of the Capability Approach. As the use of the Capability Approach is a cornerstone of the argument it was necessary to conduct a case study to prove that practical 'operationalisation' could be achieved. This research method helped the exploration of the phenomenon of operationalisation of Capability Approach, within an occupational setting with a large number of people.

Therefore, the research cannot be either wholly qualitative or quantitative and a 'mixed' methodology is appropriate for this research. The case study provided not only proved the operationalisation is achievable, but it also provided empirical data, which was analysed, and conclusions derived. Studies involving human, social and health research are complex and pure qualitative and quantitative research methodologies are inadequate to address these complexities and greater insight is provided by the utilisation of the mixed-method approach.

A mixed methodology was considered the most appropriate. Four aspects needed to be considered and addressed. These are: 1) Timing, 2) Weighting, 3) Mixing, and 4) Theorising.

The table below identifies the aspects and the applications used in the research

Timing	Weighting	Mixing	Theorising
Sequential – qualitative first	Qualitative	Connecting	Explicit

(Source: J. W. Creswell & Creswell, 2017, p. 207)

Table 1-3 Aspects of mixed methodology

The research was sequential as it required confirmation that the Capability Approach could be operationalised before further research could be conducted and assumptions and conclusions could be made. There were two phases: 1) Confirmation of Operationalisation, and 2) Proof of Concept.

Phase 1 – Confirmation of Operationalisation: this involved a case study and a CIPP (Context, Input, Process, and Product) Evaluation, which included a survey of a sample selection of the end-users (beneficiaries) and managers (stakeholders) of Māhuri Tōtara to obtain empirical data. This provided both qualitative and quantitative information and data.

Phase 2 – Proof of Concept: this applies the results and conclusions from Phase 1 to the hypotheses and relates to the findings to the research questions.

Therefore, the inquiry is sequential exploratory in design.

Below is the Sequential Exploratory Design structure applied to this study.

Methodology	Qualitative	Qualitative	Quantitative	Quantitative	
Action	Data Collection →	Data Analysis →	Data Collection →	Data Analysis →	Interpretation of Entire Analysis
Research	Case Study	CIPP	Survey	Evaluator's meeting	

(Source: J. W. Creswell & Creswell, 2017, p. 209)

Table 1-4 Sequential exploratory design

1.8.2   Relevance

The rationale for this research is the increasing reliance on modern technologies, and the significance placed on the safety of personnel. Should these systems fail, and unprepared persons will need to deal with or manage these incidents and events it could lead to individual well-being harm. An example being the Boeing 737 Max jet which had a technological fault with untrained pilots resulted in the loss of life of 346 souls (Johnston, 2019). Additionally, global strife and conflicts, and natural disasters are placing a greater than ever demand on support/aid workers. These phenomena are providing an environment where people are unnecessarily being placed at risk by not being properly prepared for their tasks and assignments either during and after a disastrous incident or event or during deployment to aid/relief work.

It should be of paramount importance for agencies and organisations to minimise trauma-related disorders for their personnel/volunteers. However, most of these agencies and organisations look towards treatment, rather than prevention. This study

provides a method that will create the minimisation or elimination of trauma-related disorders for persons within susceptible organisations.

The method suggested in this study could be applied to world organisations, such as UNESCO (United Nations Educational, Scientific and Cultural Organization), which seeks to build peace through international cooperation, or industry sections, such as the nuclear sector.

1.8.3   Significance

This investigation examines the effects of individual capability, based on emotional intelligence, in the protection of a person's well-being, when engaged in occupations roles/positions within organisations where they may encounter traumatic/disastrous incidents/events. Particularly in organisations where the risk may not be readily apparent, i.e., someone in a susceptible organisation experiences a major earthquake or tsunami.

This research will explore how the well-being of persons, engaged within susceptible organisations, can be safeguarded, and protected against trauma-related disorders, and continuing well-being, through learning and development for selected aspects of emotional intelligence, personalised to take into consideration the individuals' inherent traits and attributes. Personal traits reflect people's characteristic patterns of thoughts, feelings, and behaviours, and their attributes are the characteristics of an individual, such as honesty, sense of humour or dependability.

People who experience a highly stressful event/s may have trouble returning to a normal state of mind afterwards, which will affect their overall well-being. In some cases, they may develop a mental health disorder related to the experience. This is

often referred to as a 'trauma disorder'(Hapke, Schumann, Rumpf, John, & Meyer, 2006; Yehuda, 2003). There are seven different types of identifiable trauma disorders:

1. Post-Traumatic Stress Disorder (PTSD);

2. Acute Stress Disorder (ASD);

3. Second-hand Trauma;

4. Reactive Attachment Disorder (RAD);

5. Disinhibited Social Engagement Disorder (DSED);

6. Adjustment-Disorders; and

7. Other and Unspecified Trauma- and Stressor-Related Disorders.

Evidence suggests that some persons who develop PTSD could be attributed to the suddenness of an unexpected critical incident/crisis and interpersonal functioning, is considered as key contributing factor, particularly if they are in an environment/setting they consider to be 'safe'.

This dissertation will argue that there is a benefit to persons who are engaged with susceptible organisations, such as UNESCO, by a bespoke learning and development plan for EI learning and development, as identified in a capability profile, to ensure continued well-being during and after a major event.

1.9   Nature of the study

This investigation has been conducted as a qualitative research approach, with descriptive statistics used to confirm certain key aspects and issues.

A CIPP (Context, Input, Process and Product) Evaluation was applied to provide statistical evidence that the CF, with certain amendments and alterations, would operationalise and provide empirical and statistical data and could be utilised to facilitate more empirically based research in the future.

In 2011, the NZTSA attempted to develop a capability framework (CF) to underpin its professional development (PD) activities for its 2700 officers and employees. However, difficulties operationalising capability within the organisation led to their hiring an external consultant (the researcher, who was looking for an appropriate organisation in which to perform this type of research) to design and implement their CF's functionality to meet operational requirements. This was achieved by the case study conducted to develop *Māhuri Tōtara*, which was the Māori name given to People Growth and Development Model, which was the evolution of the Capability Framework. *Māhuri Tōtara* comprises of seven domains of Capability and Competence (six capabilities and one occupational competence), which are linked to EI elements and generated by TSA NZ officers and employees. It should be noted that in the development phase of the PCF it was identified that it could only be utilised as an 'enabling tool' and not a solution on its own. Therefore, a mechanism to operationalise the PCF was the development of the People Growth & Development Model, which in turn became Māhuri Tōtara. These domains are critical to the functions of the organisation, along with HRT values, which the consultant felt were necessary for the successful embedding of a CF within TSA NZ.
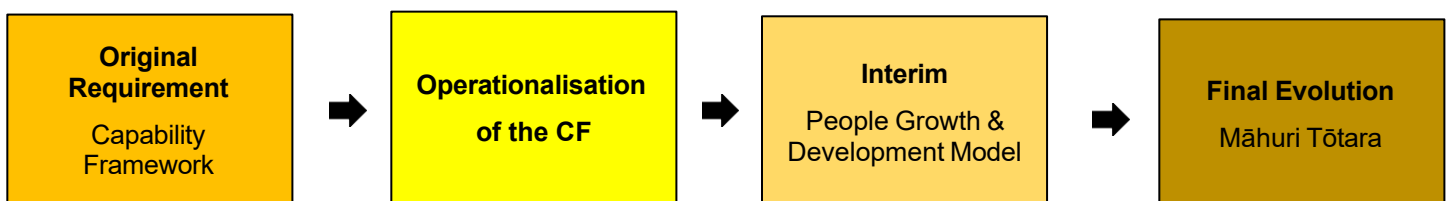
Figure 1-2 Evolution of Māhuri Tōtara

The extent of the success of Māhuri Tōtara will be determined through a summative evaluation of the level of success in achieving desired results using Stufflebeam's (CIPP) model (Kellaghan, 2000; Stufflebeam & Coryn, 2014).

The outcomes from the evaluation were to:

1) determine the level of success the PCF has in meeting TSA NZ's original aims and objectives to identify opportunities for decision-makers to improve the deployment and effectiveness of their various programs and services, and

2) to generate data and useful information that evidences IC effectiveness within a susceptible organisations organisation through the lens of a Faith-Based organization (New Zealand Salvation Army) which exhibited certain susceptible organisation traits, such as emergency and disaster relief services.

This provides several propositions and theories on how CI/EI can be practically applied within a susceptible organisation. This case study has resulted in the rollout of a Māhuri Tōtara, incorporating Capability Profiles which are founded on EI, to 2700 officers and employees across its broad and diverse workforce.

Susceptible organisations are playing an increasing role in supporting the expanding coverage of social and societal interventions, augmenting advocacy and communications, catalyse learning, developing trust and tolerance, and facilitating cross-sector engagement, especially in times of emergency or civil unrest, when humanitarian relief and other community support is needed (Karam, 2010). In addition to crisis and emergency events, many of the staff engaged with susceptible organisations face the daily potential for a traumatic incident in roles such as drug/alcohol counsellor or emergency response team member, where they may be 'at risk' from a person or the environment.

HROs specifically can present a definitional ambiguity to researchers based on the vast array of organisations that identify themselves as HRO, but they nonetheless are

part of the social fabric of many nations and industries and are influential in their political and social spheres (S Goldsmith et al., 2006).

High-Reliability Theory (HRT) and practice have been adopted in industries (nuclear industry, air traffic control, etc.) where risk, in all forms, must be minimised to a negligible level or eradicated – if practicable. Industries typically associated with the operationalisation of HRT are labelled as high-reliability organisations. Their focus is on the prevention of accidents by reducing operating errors and having incident-free operations in challenging and uncertain, high-risk industries using complex procedures and technologies (Harteis, 2017). However, HRO represents nebulous concepts because attributes tend to be contextual and time-specific to an organisation, or sector, and thus do not exhibit a uniform approach to structure or format (A Hopkins, 2009). Typical industries designated HROs to include air traffic control, nuclear power generation, medical practices, hospitals, and some oil/gas, and petrochemical operations.

HROs are defined by five key operational principles:

1. Sensitivity to operations;

2. A preoccupation with failure;

3. Reluctance to accept "simple" explanations for problems;

4. Resilience; and

5. Deference to expertise

1.9.1   Resilience.

Two characteristics shared by the literature on capability, EI and HRO/HRT are: 1) their relative newness and 2) each has different definitions and/or approaches. These differences create challenges when performing studies within each field and add a

level of complexity to a study that connects key elements of each to improve organisational and individual staff performance. This adds to the challenges in identifying susceptible organisations because of context and time specificity, and the extent to which organisations exhibit HRO characteristics (Enya, Pillay, & Dempsey, 2018; A. Hopkins, 2007; LaPorte & Consolini, 1991); the purposed unspecific nature of capability and CA (Robeyns, 2017a); and the multiple definitions of EI applied to research in this area (Ashkanasy & Humphrey, 2011; J. D. Mayer, R. D. Roberts, & S. G. Barsade, 2008; John D. Mayer et al., 2008; P. Salovey & J. D. Mayer, 1990).

A review of HRO literature shows that the primary focus is on the avoidance of accidents when there exists complex systems (organisational culture), hazardous operations (safety), human performance and risk (e.g., Tolk Cantu, & Benuvides, 2015, (Tolk, Cantu, & Beruvides, 2015)). Yet, the author's scan of literature produced little on the effects on people when explicitly dealing with high-stress instances during catastrophes/disasters, near misses or aftermath.

A comparison between the theories and philosophies of HROs (Lekka, 2011) and Ibrahim (Ibrahim, 2006), will elucidate how the practical application of IC, within susceptible organisations. The comparison will be made within the context that susceptible organisations can share similar aims and objectives. Examining the extent to which IC can be incorporated into the organisational culture is necessary to confirm that there is a practical application, which overcomes concerns as to whether CA can effectively be operationalised (E. Chiappero-Martinetti & J. M. Roche, 2009; F Comim, 2001). Utilising EI as an integral element of implementing IC aligns with Goleman's (D Goleman, 2003) view that EI are 'learned' capabilities. Although Goleman is thinking in terms of abilities, the operational element implicit with capability (Ghobadian, O'Regan, Howard, Gallear, & Ljungquist, 2007), suggests that EI elements can/should

be part of a capability framework and applied through organisational learning and development activities. Their evaluation regarding the generation and enactment of solutions is having a positive impact (D Ulrich, Jick, & Von Glinow, 1993; K. E. Weick, 1988).

Faith-based and community organisations offer a wide variety of human and material resources that can prove invaluable during and after an incident. Collaborating with these vital community members will allow emergency managers to access a multitude of local resources and ensure members of the whole community can contribute to the disaster resilience effort. These organisations routinely provide critical services and help prepare for, mitigate, respond to, and recover from incidents within the community. However, partnerships between emergency managers and faith-based and community organizations were not always defined in advance of an incident; rather, they were the result of ad-hoc agreements based on emerging needs. A pro-active engagement strategy helps emergency managers include what were once referred to as non-traditional stakeholders (or spontaneous unaffiliated volunteers) into their network of traditional stakeholders and incorporate them into emergency management plans and operations in advance of an incident. The faith-based and community sectors have a wide spectrum of resources that can help make communities more resilient. By creating a broad set of partnerships, emergency managers can gain access to this wide array of force multipliers and existing networks of community members who can aid in building community resilience.

1.10   Definition of terms

The following is a table of terms used within this thesis and their related acronym and definition.

Term	Acronym	Definition
Acute Stress Disorder	ASD	Acute stress disorder is an intense, unpleasant, and dysfunctional reaction beginning shortly after an overwhelming traumatic event and lasting less than a month.
Capability		Capability is the extent to which individuals can adapt to change, generate new knowledge, and continue to improve their performance
Capability Approach	CA	The capability approach is a normative approach to human welfare that concentrates on the actual capability of persons to achieve their well-being rather than on their mere right or freedom to do so.
Capability Framework	CF	Capability Framework is an organisation of skills, knowledge, and attributes (capabilities and competencies), within a database, that people require for the roles and positions in an organisation. Each specific role will only require a selection of these capabilities and competencies which create a 'capability profile'.
Capability Profile	CP	Capability Profile is a generic, base, list of capabilities and competencies that are aligned to the tasks and functions of a role or position.
Charitable Organisation		A charitable organization or charity is an organization whose primary objectives are philanthropy and social well-being, serving the public interest or common good.
Competence		Competence is what individuals know or are able to do in terms of knowledge, skills, attitude and experience.
Context, Input, Process, and Product Evaluation	CIPP	CIPP is a decision-focused approach to evaluation and emphasises the systematic provision of information for program management and operation.
Emotional Intelligence		Emotional Intelligence is the capacity to be aware of, control, and express one's emotions, and to handle interpersonal relationships judiciously and empathetically.
Faith-Based Organisation		A faith-based organisation is an organisation whose values are based on faith and/or beliefs, which has a mission based on social values of the particular faith, and which most often draws its activists (leaders, staff, volunteers) from a particular faith group. The faith to which the organisation is relating to and does not have to be academically classified as a religion.

Term	Acronym	Definition
High-Reliability Organisation	HRO	A high-reliability organisation (HRO) is an organisation that has succeeded in avoiding catastrophes in an environment where normal accidents can be expected due to risk factors and complexity.
Individual Capability	IC	Individual capability includes the traits, attributes, skills, abilities, knowledge, and experience that a person possesses.
Individual Capability Profile	CP	Individual Capability Profile is a list of capabilities and competencies that identify the 'gaps' between a generic, base capability profile and the traits, attributes and abilities possessed by an individual.
Māhuri Tōtara	MT	New Zealand Salvation Army People Growth & Development Model (PG&DM).
Post-Traumatic Stress Disorder	PTSD	Post-traumatic stress disorder is a psychiatric disorder that may occur in people who have experienced or witnessed a traumatic event such as a natural disaster, a serious accident, a terrorist act, war/combat, or rape or who have been threatened with death, sexual violence, or serious injury.
Trauma-Related Disorders	TRD	Trauma-Related Disorders are a group of emotional and behavioral problems that may result from childhood traumatic and stressful experiences.
Volunteer Organisation		A volunteer organisation or union is a group of individuals who agree as volunteers to form a body to accomplish a purpose.

Table 1 -1 Definition of terms

1.11   Assumptions, limitations and delimitations

Assumption, limitations, and delimitations provide the parameters for the study.

1.11.1 Assumptions

An assumption is a self-evident truth and to a greater extent beyond the control of the research. The following are the assumptions the study is based on.

- All humans are individuals. Just as a person's DNA is unique to that person, so are their personality, traits, and attributes unique to them. Therefore, within this study, all people are considered as being a 'unique entity'.

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- People have a basic right to live lives that they have reason to value. Human rights include the right to life and liberty, freedom from slavery and torture, freedom of opinion and expression, the right to work and education. The notion that people have a basic right to live lives that they have reason to value emanates from Sen and Nusbaum's (M Nussbaum, 2007; Amartya Sen, 1985) theory of Capability Approach, upon which this study is based.

- In all surveys, it is assumed that people will answer truthfully. It is not possible to verify the answers and results given by each participant, therefore the assumption is that their responses are true and accurate.

- The survey sample is representative. The persons selected for the survey were chosen by a third party within the case study organisation and assumed to be a cross-sectional representation.

- This study does not claim to offer treatment for trauma-related disorders or PTSD. The finding of this inquiry will provide suggestions for the prevention, or minimisation, of trauma-related disorders or PTSD and does not offer treatments.

1.11.2 Limitations

Limitations are elements and items that the research had no control over.

There are several limitations to this research, such as:

- Resistance to accept or understand, capability as a concept. It is often confused with competence. Competence standards and units have been the cornerstone of vocational education and training for the past two decades and are understood and accepted by the greater majority of people in the workforce. This is not the case with capability. On completion of the case study, the organisation changed 'Capabilities' to 'Occupational Competence', yet maintained the term 'Capability Framework'.

- Access to persons in HRO organisations. By the very nature of their sector of operation – air traffic control, nuclear industry, airlines, there is a high degree of security and secrecy and gaining in-depth access to personnel is difficult to impossible.

- Testing the theory without exposing persons to a traumatic event or disaster – real or simulated. Most organisations would be averse to proving positive the theory of prevention of damage or harm to an employee's/volunteer's well-being after being exposed to a traumatic event or incident.

- Determining the value of EI learning and development programs. This would require a long period of investigation, which excludes it from inclusion in a Ph. D study.

1.11.3 Delimitations

Delimitations are elements and items that the research had control over.

- Global Scope. Whilst the origin of the research was Australia-based, it proved difficult to gain access to suitable organisations. A global search was conducted, and the Salvation Army in New Zealand had a requirement to build a Capability Framework, which was used as the case study for this thesis. Additionally, in 2021 the research presented a paper on the Operationalisation of Capability Approach to an international conference hosted by the Human Development and Capability Association and valuable feedback provided another source of information and data.

- Access to persons in susceptible organisations. Whilst access to personnel in High-Reliability Organisations was problematic, other organisations and sectors (faith-based, charitable and volunteer) were more approachable and agreeable to be included.

1.12   Chapter summary

Whilst there is a plethora of literature and research on the physical well-being of employees, there is scant information and data available with regards to the protection and safeguarding of individual/psychological well-being and none utilising the capability approach and emotional intelligence as a tool for protecting the individual. This dissertation argues that Sen/Nusbaum's concept of the Capability Approach can be operationalised and practically applied and has been evinced through the case

study. The identification of the characteristics of certain susceptible organisations that engage a person in 'at risk' roles/positions could develop some degree of trauma disorder. The final element of the investigation will examine the connection of CA, IC and EI within a CF that can be applied to susceptible organisations to maintain and safeguard a person's psychological well-being, during and following the management of a traumatic event or disaster.

Chapter 2 – Literature Review provides in-depth discovery and review of existing discourse and narrative on well-being, trauma and its related issues, various types of related organisation, capability, capability approach and capability frameworks, emotional intelligence, and individual and psychological well-being.

CHAPTER 2. LITERATURE REVIEW

To provide shape and parameters to the literary review it must define to ensure integrity, veracity, and accuracy. For this thesis, the literature review has been designed based on the following definition:

> *A literature review is the writing process of summarising, synthesising, and/or critiquing the literature found as a result of a literature search.*

2.1   Introduction

This review of literature is a thematic approach to the investigation of the theories, concepts, and notions that surround the stated purposes of the thesis. The key threads for review are:

1. Human Individuality;

2. Well-being;

3. Capability Approach;

4. Susceptible Organisations;

5. Emotional Intelligence; and

6. Protection of Psychological Well-being.

It will critically review these concepts, theories, and phenomena and provide a plausible argument for the dissertation concepts to ensure their validity, particularly in the face of opposing thoughts and opinions.

As previously stated, the researcher's modus opearndi is that of a practitioner, rather than a theorist. A central argument within the dissertation is demonstrating that the capability approach and emotional intelligence can be operationalised to provide a workable foundation method of establishing individual traits and attributes and provide a method of protection against damage or harm to psychological well-being.

Although there is much literature that opposes the operationalisation of the capability approach, the case study was undertaken to provide evidence that the capability approach can be operationalised, albeit not in its purest form, as offered by Sen and Nusbaum.

Chapter 1 provided the foundation for the synergising of four different phenomena that have not been previously conjugated, these being: (1) Well-being (2) Capability Approach (3) Emotional Intelligence (4) Susceptible Organisations.

However, other essential elements need to be considered and addressed beyond these four.

A Literature Map of the Research, Figure 1, (J. W. Creswell & Creswell, 2017, p. 33) has been developed and is directly related to the conceptual framework in Chapter 3.

The literature map of the research provides an indication of the t key topics and issues and their interrelatedness key for exploration and critical review of currently available literature and indicates the prominent researchers in a particular field or subject. This will be used as evidence to substantiate the thesis argument.

Fundamental to the literature review is the establishment of gaps and voids in current literature that this dissertation will identify and provide unique thoughts and concepts that contribute to the body of knowledge and build upon previous papers and research.

The map identifies the principal philosophers, researchers, theorists, and authors who have been most influential and authoritative on a specific concept or theory. Those cited in the map are by no means the total extent of those cited within the research but are the leading lights in their field.

Human Individuality

Personality
- Ashton, M
- Hogan, R & Sherman. R

Traits & Attributes
- Bateson, P
- Allport, G
- Cattle, R
- Eysenck, H

Well-being

Notions of Well-being
- Aristotle
- Plato
- Socrates
- Capuccino, C.
- Ransome, B
- Rowe, C

Types of Well-being
- Carlisle, S
- Ryff, C
- Ryan, R
- Stoll, L

Capability Approach

Notions of Capability
- Sen
- Nusbaum
- Comim, F
- Fraser, S
- Greenhalgh, T

Capability Approach
- Sen
- Nusbaum
- Kuklys, W
- Orton, M
- Robeyns, I

Operation of Capability Approach
- Bonvin, J
- Chiappero-Martinetti, etall
- Comim

Capability And Competence
- Boyatzis, R. E., & R
- Javidan, M
- Pegram, N

Capability Framework
- Villeneuve, et al

Susceptible Organisations

High Reliability Theory/ Organisation
- Hopkins
- Sutcliffe
- LaPorte, et al,
- Lekka, C
- Weick

Faith, Charitable Voluntary Organisations
- Ager, et al.
- Ebaugh, H
- Ferris, E
- Goldsmith, S, et al

Defining a Susceptible Organisation
- Macduff, N
- Quevillon B, et all
- O'Gorman, K., et all
- Teece, D

Emotional Intelligence

Notions of Intelligence
- Gardner
- Goleman
- Chiva, R, et al

Theories & Models of Emotional Intelligence
- Maslow, S
- Salovey
- Mayer, J

Emotional Quotient Testing
- Bar-On, R

Emotional Intelligence & Induvial Capability
- Davis, J
- Boyatzis, R
- Ibrahim, S
- Kurtmollaiev, S

Protection of Psychological Well-being

Occupational Risks to Well-being
- Coutu, D
- Sparks, K et al
- Van Ommeren et all

Trauma and Stress
- Brown, E. S
- Fink, S
- Hinderaker, A

Startle Effect
- De Crespigny

Resilience
- De Crespigny
- Khalid, M, et al

Dual Process Theory
- Fiori, M

Individual Capability Profile

Individual Growth and Development

Ability to Live a Life that a Person has Reason to Value

Figure 2 -1 Literature map of research

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An exhaustive literature review reveals almost no research or narrative specifically concerning pre-event programs or educational interventions in the protection of psychological well-being, within organisations. that might put the employees or volunteers at risk of exposure to traumatic or disastrous situations.

2.1.1 Human individuality

At the core of this dissertation is human individuality and it is essential to explore the similarities and differences associated with the topic. However, this will also highlight the captiousness and inconsistencies that occur when attempting to generalise human individuality.

Apart from physical differences, due to race, ethnicity, diet, and social setting, 'personality' comprises many traits which can be innate or acquired.

Regarding acquired traits it is suggested that an important contributor to the differences between individuals derives from their 'plasticity' (Bateson, 2015). The notion of adaptability plasticity is considered to have evolved because of the need to cope with novel challenges not previously encountered to ensure, in its most basic function, a person's survival. This dissertation determination of capability is:

> '…the *extent to which individuals can adapt to change, generate new knowledge, and continue to improve their performance (S. Fraser & T. Greenhalgh, 2001).*

This is a strong link between a person's personality traits and their individuality capability.

Throughout this discourse, the terms 'trait' and 'attribute' have been employed in reference to human uniqueness, emotional intelligence, and occupational competence

and capability. However, an explanation is required to delineate the meaning terms, and how they are applied within this thesis.

Attributes are the collective term for a cluster of traits that relate to attributes that support and enable skills. From an occupational or vocational perspective, it is not practical to list the traits a person would require for a role/position, as they would be too numerous. Therefore, the attributes a person possesses are a more readily useable, acceptable, and recognisable expression that directly relates to skills. Attributes are utilised as a benchmark of performance in the role of position ability and provide metrics for measurement of a person's performance in conducting a task or function. Employers often look for specific personal attributes and skills that align a specific role or position and align with company culture.

Contemporary psychologists use the term personality traits, which can be described as (Ashton, 2022, pp. 27-28):

'…*differences among individuals in a typical tendency to behave, think, or feel in some conceptually related ways, across a variety of relevant situations and some fairly long periods'.*

Contemporary thinking alludes to three theories of personality psychology. The table below shows the relationship between them.

Psychology Type	Description
Clinical Psychology	Clinical psychology is an integration of human science, behavioral science, theory, and clinical knowledge for understanding, preventing, and relieving psychologically based distress or dysfunction and promoting subjective well-being and personal development.
Trait Theory	The trait theory of personality suggests that people have certain basic traits, and it is the strength and intensity of those traits that account for personality differences. The trait approach to personality is one of the major theoretical areas in the study of personality. Trait theory suggests that individual personalities are composed of broad dispositions.
Interpersonal Theory	Suggests the theory that personality development and Behaviour disorders are related to and determined by relationships between persons. It offers that there are seven developmental stages between infancy and late adolescence, each defined according to significant others 1) infancy, 2) childhood, 3) juvenile 4) preadolescence 5) early adolescence, 6) late adolescence) 7) Adulthood.

Table 2-1 Psychology type relationships

The trait theory is the most closely aligned with the foundational concepts of this research.

2.2 Trait theory

The notion of trait theory began in the 1930s with pioneer research conducted by Gordon Allport (Allport, 1937), Raymond Cattell (Cattell, 1943), and Hans Eysenck (Eysenck, 1947) The focus of trait theory is to classify the structure of personality; the units of analysis are "traits," defined as

(a) recurring behavioral tendencies; and

(b) neuropsychic structures.

Whilst the behavioral tendencies can be observed; the neuropsychic structures are inferred and believed to correspond to the behavioral tendencies.

Trait theory makes three major assumptions:

(1) everyone has traits;

(2) the goal of life is to discover one's traits; and

(3) the goal of personality assessment is to measure traits.

It is suggested that the notion of trait theory has limited utility as a theory of personality for three main primary reasons:

(a) trait theory describes Behaviour in terms of traits and then explains behaviour in terms of traits.

(b) whilst the search for the neuropsychic structures that explain the consistencies in behaviour is a focus for neuroscientists, this cannot be applied to personality psychologists.

(c) The cornerstone of trait theory Jerry S. Wiggings proposed the taxonomy of traits, the Five-Factor Model of Personality (Wiggins, 1996), but was based on ratings of school children in Hawaii (Dingman, 1963) and Air Force enlisted men in Texas (Tupes & Christal, 1961).

A major contributing factor to the dialogue surrounding the notions of traits is that trait theory has generated a common language for describing and identifying a replicable structure underlying the terms relating to traits. However, whilst the Five-Factor Model

has been a contributor to the discourse, it may not necessarily be the most useful model for describing or predicting human behaviour.

2.3 Traits, attributes, and personality

The terms traits, attributes, and personality have been used extensively in this study. Therefore, it is essential to give these meanings and context within the parameters of the research.

2.3.1 Traits

The notion of personality traits was initially developed by Bernreuter (Bernreuter, 1932) to screen men who were unfit for military service in WW1 and he developed the Multi-trait Personality Inventory to assess neuroticism, dominance, self-sufficiency, confidence, and sociability. This basic construct of traits has been expanded and developed over time and is a complex study and for this paradigm, traits can be considered as the 'foundational' building blocks a human possesses. The key items related to this work are:

- Ingrained and usually permanent.
- General set of characteristics people have.
- They are usually difficult to unlearn.

2.3.2 Attributes

Considering traits as the 'foundational' building blocks, these would be too numerous to be of practical application. Therefore, it is necessary to organise traits into a more manageable structure that can be applied in a workplace setting (Sackett & Walmsley, 2014). Attributes are often defined as *a quality or characteristic given to a person, group, or some other thing*'. It is therefore essential to collectivise personal traits into

attributes. These provide the foundation for identifying how a person will respond or react to trauma and crisis.

The key items related to this work are:

- Specific behaviour of an individual;
- It can predict how someone will respond in a certain situation;
- Not ingrained;
- It is learned over a period of time; and
- It is developed through various experiences.

2.3.3 Personality

Whilst personality is an important component of a human, it is too vague, broad, and diverse to use as a platform for this study. However, it must be included for completeness within this thesis to provide a comparison and differences between traits, attributes, and personality.

Below is a sample of the dimensions of human personality:

- It reflects people's character patterns of thoughts, feelings, and behaviours.
- It implies consistency and stability.
- It rests on the idea that people differ from one another in terms of where they stand on a set of basic trait dimensions that persist over time and across various situations.
- Personality dimensions are usually intact.
- E.g., Extroverts remain extroverts.
- Personality is a mix of inherited traits and acquired qualities.
- The right personality is important in an organisation as it influences a person's decision-making ability and decision-making ability in turn influences his performance, motivation, and satisfaction which directly or indirectly influences the overall organisation culture.
- Many factors shape a person's personality.

- Behaviour and personality play an important role in terms of accountability and responsibility.
- Criteria to characterise personality traits are 1.   Consistency 2.   Stability 3.   Individual differences

There are various models to determine a personality type:

1. 5-factor model;

2. Need for achievement;

3. Need for cognition;

4. Narcissism;

5. Optimism;

6. Self-esteem;

7. Authoritarianism; and

8. Machiavellianism.

2.4   Notions of well-being

A founding principle of this dissertation is the protection of psychological well-being, from harm or damage to persons, as the result of disastrous or traumatic events/incidents within their professional or occupational environment. Therefore, it is necessary to initially investigate the evolution of the determinations and contexts of 'well-being', from the early philosopher's interpretation to contemporary insinuations, also from an interdisciplinary and interagency perspective, to arrive at a determination that is appropriate within the context of this research. There must be a logical path to the reasonings, to ensure validity and veracity on which the premise for the thesis argument can be constructed and argued, Therefore, the establishment of a broad description of well-being is initially required, with due deliberation of the age-old tension between well-being, wellness, and happiness. This has led to further reflection

and consideration as to the disparities between physiological, emotional, and psychological well-being, with contemplation given to which has predominant importance, for this study, when considering a person experiencing extreme stress and anxiety during a traumatic event or disaster.

Before we can achieve any level of protection of well-being, without straying from the central construct of the thesis, there must also be an investigation of the notions of capability within this dissertation, and what it means within this thesis context and exploration of the relationship between well-being and Amartya Sen and Martha Nusbaum's' capability approach. However, there is a further debate about whether there can be a practical 'operationalisation' of Sen's capability approach, which is also addressed in this chapter, and reference made to the case study, conducted for this research. Finally, in this chapter, the risks to a person's well-being are explored in an occupational setting and suggested methods of risk mitigation are identified.

Well-being is central to this dissertation and therefore it is imperative that the initial narrative shape and form of well-being, within the boundaries of this research. The concept of well-being defies any universal or unified meaning. Even agreement on how it should be spelled is a subject of much discourse! Therefore, it is essential to develop a natural segue at the beginning of this discourse to arrive at a determination of well-being, within the context of this dissertation. It must be established from the outset that there is no one conceptualisation of well-being and for its application within this research, well-being is in the form of the first-person, not an agency, perspective.

Philosophers and researchers have sought to achieve some determination of what well-being means, but different uses of the same word cause confusion and tension, and a lack of resolution or clarity. Well-being can be described as a socially

constructed term; in other words, the concept of well-being has been created or invented by participants in differing cultures.

For this inquiry, there needs to be a deeper, and more detailed framing of the term. Therefore, it is imperative that the early philosophical notions of well-being are initially deliberated, and opinions formed, to provide a foundational grasp of the term. The philosophical constructs of well-being and happiness are cited within the realms of ethics.

A definitive determination and definition of well-being has been elusive not just for centuries, but for many millennia. The great philosophers, Plato, Aristotle, and Socrates all pondered the meaning and/or intent of well-being and any philosophical exploration of well-being will almost immediately lead to these philosophers, as an initial focus for investigation. Socrates was Plato's mentor in his formative years until Socrates was tried for 'impiety' and 'corrupting the young' and sentenced to death. He was required to carry out his own execution by consuming a portion of a poisonous plant, hemlock. Plato attended Socrates' trial and it is thought that this was the initiator of Plato's muses to attempt to design an ideal society. Plato founded *The Academy* in c. 428/427 BC in Athens and was known as the Platonic Academy, or simply, "The Academy", and located several miles outside the ancient city named Akademeia, after the legendary hero, Akademos over that time he wrote his thirty-two dialogues, or scrips, in which the characters argue on topics by asking questions of each other and Socrates, as a character, is predominant in the dialogues. The characters in the dialogues often refer to well-being, but not explicitly, using several expressions or infinitive phrases 'to live well', (eu zen) 'to be successful' (eudaumonein), and 'to do well' (eu prattein), as well as the related abstract nouns 'success' and 'doing well' (eupragia). Plato proposed the notion of well-being as being both the 'ultimate goal'

for individual human action' and 'political decision making'. The use of the term *eudemonia,* regarding the ultimate goal for individual human action, is far less contestable than when it refers to political decision-making. However, this narrative focuses on the individual, not politics. Plato advocated that the city of Athens end democracy, as the people do not think before they vote, and therefore not entitled to vote and the populous, and all politicians, should be eudemeons to create an ideal society.

Socrates was the first philosopher to consider well-being and was discussed in Plato's Dialogue *Symposium* (Stoll, 2014, p. 14) where he expounds that living well is through lifelong learning, and as a result, they learn gradually to desire wisdom and to become philosophers.

However, Socrates left no writings when he died and most of what is known about him is derived from anecdotal accounts by friends and members of The Academy.

Aristotle was Plato's student for twenty years 367–347 BC and gained an insight into his knowledge of Socrates. The *Lyceum or Peripatetic School of philosophy* was founded by Aristotle in 334 BC and this was a school of philosophy in Ancient Greece. Its teachings are derived from its founder, Aristotle (384–322 BC), and peripatetic is an adjective ascribed to his followers*. The Athenian* School was founded by Aristotle in 335 BC and was located in a grove that was sacred to the Greek god Apollo Lyceius, Aristotle had a habit of walking in the grove whilst lecturing to his students. As a result, the school and its students acquired the label of Peripatetics, which has the interpretation of moving or travelling from place to place. Aristotle's musings culminated in the creation of his *Nicomachean Ethics*. Nicomachean Ethics is Aristotle's best-known work on ethics and consists of ten books, originally separate

scrolls, and is understood to be based on notes from his lectures at the Lyceum. These books, or scrolls, are ascribed to be derived from his lectures given at the Lyceum. In Aristotle's writings, he conceptualises the notion of well-being, as that of 'eudaimonia', which was translated as happiness, flourishing, or a state of fulfilment. He expressed that 'well-living and well-acting' involve the satisfactory performance of those things that are particularly 'characteristic of us as human beings' (Stoll, 2014, p. 14). However, the most characteristic human activity is contemplation, by which Aristotle means a quasi-aesthetic appreciation of knowledge and truth. However, a problem arises that in his opinion only a god-like human could ever attain this state and the most ordinary humans could only achieve was the exercise of practical rationality, following reason in day-to-day life was the highest level they could achieve.

He also expressed that a true eudemonic life could only be determined after the person's death, as it was imperative to live their entire life in virtuous acts and deeds. The word eudaemon is the composite of two words, eu = good or well, and daemon = self or spirit. Aristotle defined eudaimonia *'good relationship with inner guide or spirit – successfully actualizing your potential by using the best that is within yourself'*. Plato, Aristotle, and Socrates all had differing interpretations of well-being, including: (1) hedonism (pleasure is the highest good and proper aim of human life), (2) eudaimonia (happiness or welfare), and (3) stoicism, the endurance of pain or hardship without the display of feelings and without complaint. Eudaimonia implies a positive and divine state of being that a human being can strive towards, and possibly reach. To even achieve this state, they needed to embrace and exercise *aret´e*, which is translated as 'virtue'. Confusion surrounding Aristotle's work on eudaimonia stems not from a lack of clear explanation, but from vagaries in translation. The ancient Greek language is not directly translatable to English, as the ancient Greeks lived in a very different

culture, based on notions, ideals, and concepts for which there are no literal English translations. Therefore eudaimonia, is translated from Greek as being: 'happiness' or 'welfare'; or 'human flourishing, prosperity' and 'blessedness'. In Aristotle's Nicomachean Ethics, he expounds that certain goods, such as life and health, are necessary to achieve happiness and that other goods, such as wealth, friends, fame, and honour are merely embellishments that promote or fill out the good life of a virtuous person, but that the possession and exercise of virtue which is an essential element of happiness (Stewart, 1892). Therefore, according to Aristotle's reasoning, the possession and exercise of moral and intellectual virtue is the essential element in our living well, or well-being. He noted that for plants and animals to flourish they must be functioning well according to their natures, and as human beings our proper function consists in reasoning and in acting in accord with reason, the doctrine of virtue, which is both moral and intellectual. The Greek words phronesis (practical wisdom - moral) and praxis (practical action - intellectual) are cornerstones of virtue and they insinuate that the practice of both these will direct people to do what is right or the ethics of action (Capuccino, 2013).

The confusion and lack of clarity surrounding how to determine and define well-being, terms like eudaimonia happiness, virtue, and flourishing are still the subject of concern and debate to this day.

In Book 1 of Aristotle's, Nicomachean Ethics, the question is asked:

> *What then stops us from calling happy (eudaímona) the one who*
> *is active following perfect (teleian) virtue, sufficiently (hikanôs)*
> *equipped with external goods, not for some random period but*

over a complete life (Rowe & Broadie, 2004) (1101a14–16,

Christopher Rowe's transl. modified)

Aristotle reasoned that eudaímona is a virtuous (kat'aretén) activity (enérgeia), not a state of mind, and an activity by virtue (kat'aretén) and should be considered over an entire lifetime. However, these do not equate to happiness and relate to a state of inner satisfaction. "*….. and that we have rightly stated its (scl. of happiness) genus and definition is proved by opinions that we all hold. For we think that to do well (eu pratte) and live well (eu zen) are the same (to auto) as to be happy (eudaimonein); but each of these, both life and action, is employment (chresis) and activity (enérgei), since active life involves employing things—the coppersmith makes a bridle, but the horseman uses it. There is also evidence of the opinion that a person is not happy for one day only, and that a child is not happy, nor any period of life (hence also Solon's advice holds good, not to call a man happy while he is alive, but only when he has reached the end), for nothing incomplete is happy, since it is not a whole". (ii 1, 1219a40–b8, H. Rackam's transl. modified*).

These two examples of Aristotle's views Eudaimonia demonstrate the tension in a disconnect between happiness and morals.

For this research, a closer examination of well-being, beyond the perspective of the ancient philosophers, is needed to arrive at a useful determination.

There is a diversity of values and implications of the term well-being within the interdisciplinary and interagency interpretation. Each meaning of well-being is appropriate within its context for each discipline and agency, but the diversity of meanings can cause difficulties in situations where multiple agencies work together to promote well-being. An example is the discipline of public health, the term 'health'

relates to individual physical functioning (Carlisle, Henderson, & Hanlon, 2009), whereas in some agencies well-being is seen as a broader concept and it can be argued that health is a broad concept that includes positive and negative components. However, many people view health and happiness as being synonymous with well-being. These ambiguities of the term well-being are further exacerbated by the term being used to apply the micro, meso, and macro connotations. Governments, such as New Zealand, relate to the 'nation's well-being' and have based recent budget forecasts on well-being, and not on Gross Domestic Product, with consideration given to the well-being of the nation overall. To further compound the issue, the notion of well-being also changes with time, and changes in society, which in turn change society's perception and expectations of well-being. The contemporary notion of 'well-being' is taken generally to mean 'what is good for a person overall' or the richness or quality of human life, or 'the life worth living'.

Philosophical constructs of well-being are traditionally divided into three categories: (1) hedonistic, (2) desire-satisfaction, and (3) objective list theories, reflecting longstanding doctrinal divisions in normative ethics.

The hedonistic paradigm is founded on the value of certain psychological states, being what is good for a person overall, is the greatest achievable balance of pleasure over pain. Desire-satisfaction contends that well-being consists of the satisfaction of a person's desires or preferences. Whereas, objective list theories, define objective conditions define personal well-being and this does not necessarily reject the inclusion of happiness and desire satisfaction.

An emergent fourth approach shifts the discussion away from the traditional theoretical singular determination to a more pluralist approach to personal well-being.

2.4.1   Types of well-being

Before delineating/defining well-being for the intent and purposes of this research, the issue of well-being and happiness must be further investigated.

In essence, the paradox of happiness states that if you strive for happiness by direct means, you end up less happy than if you forget about happiness and focus on other goals. Normally valuable things are achieved by striving for them, but according to ancient wisdom, this is not true of happiness.

Richard Easterlin and Kelsey J. O'Connor, 2020, (Easterlin & O'Connor, 2020) wrote an article "The Easterlin Paradox", also known as the 'Well-being-Happiness Paradox', which states that at a point in time happiness varies directly with income, both among and within nations, but over time happiness does not trend upward in correspondence with income growth (Easterlin & O'Connor, 2020). Their article explores the Well-being-Happiness Paradox and the contradictory empirical findings of whether greater well-being leads to greater happiness.

A contemporary term that has evolved is 'subjective well-being', which is a compromise between 'well-being', as a concept, and objectivity, and the concept of 'happiness', and therefore subjective. While subjective well-being has been traditionally founded in assessments of life satisfaction and the balance between positive and negative affections (theoretical conceptions), the theories of psychological well-being are strongly rooted in psychological formulations centred on human development and structured on abilities to tackle the challenges of life.

> "*Subjective well-being consists of three interrelated components: life satisfaction, pleasant affect, and unpleasant affect. Affect refers to pleasant*

and unpleasant moods and emotions, whereas life satisfaction refers to a cognitive sense of satisfaction with life" (Diener & Suh, 1997, p. 200*).

2.4.2 Psychological well-being

Contemporary well-being psychology proposes that there are hedonic and eudemonic approaches. The hedonic approach focuses on happiness and defines well-being in terms of the attainment of pleasure and avoidance of pain (Ryan & Deci, 2001). Therefore, the hedonic psychologist works towards maximizing happiness and minimising misery and views subjective well-being in terms of the presence of positive mood, the absence of negative mood, and life satisfaction (Diener & Suh, 1997). Whereas the eudaimonic psychologist approach is focused on meaning and self-realisation and defines well-being in terms of the degree to which a person is fully functioning (Ryan & Deci, 2001), subjective happiness cannot be equated with well-being.

The most appropriate interpretation of well-being for this research is therefore 'psychological well-being' (PWB). The notion of PWB was proposed by Carol Ryff (Ryff, 2014; Ryff & Keyes, 1995) in which she undertook an analysis of the approaches to happiness in different sub-fields of psychology and concluded that well-being should be regarded as consisting of six thematic areas.

These areas are (1) self-acceptance (positive evaluation of oneself and one's life), (2) personal growth, (3) purpose in life, (4) positive relations with others, (5) environmental mastery (the capacity to effectively manage one's life and the surrounding environment) (6) and autonomy (see Figure 2 - Elements of Psychological Well-being, (Ryff, 1995)). It is the fifth component, 'environmental mastery', which has the most

emphasis for this research, which in turn is highly relatable to a person's ability to take part in decision-making processes.
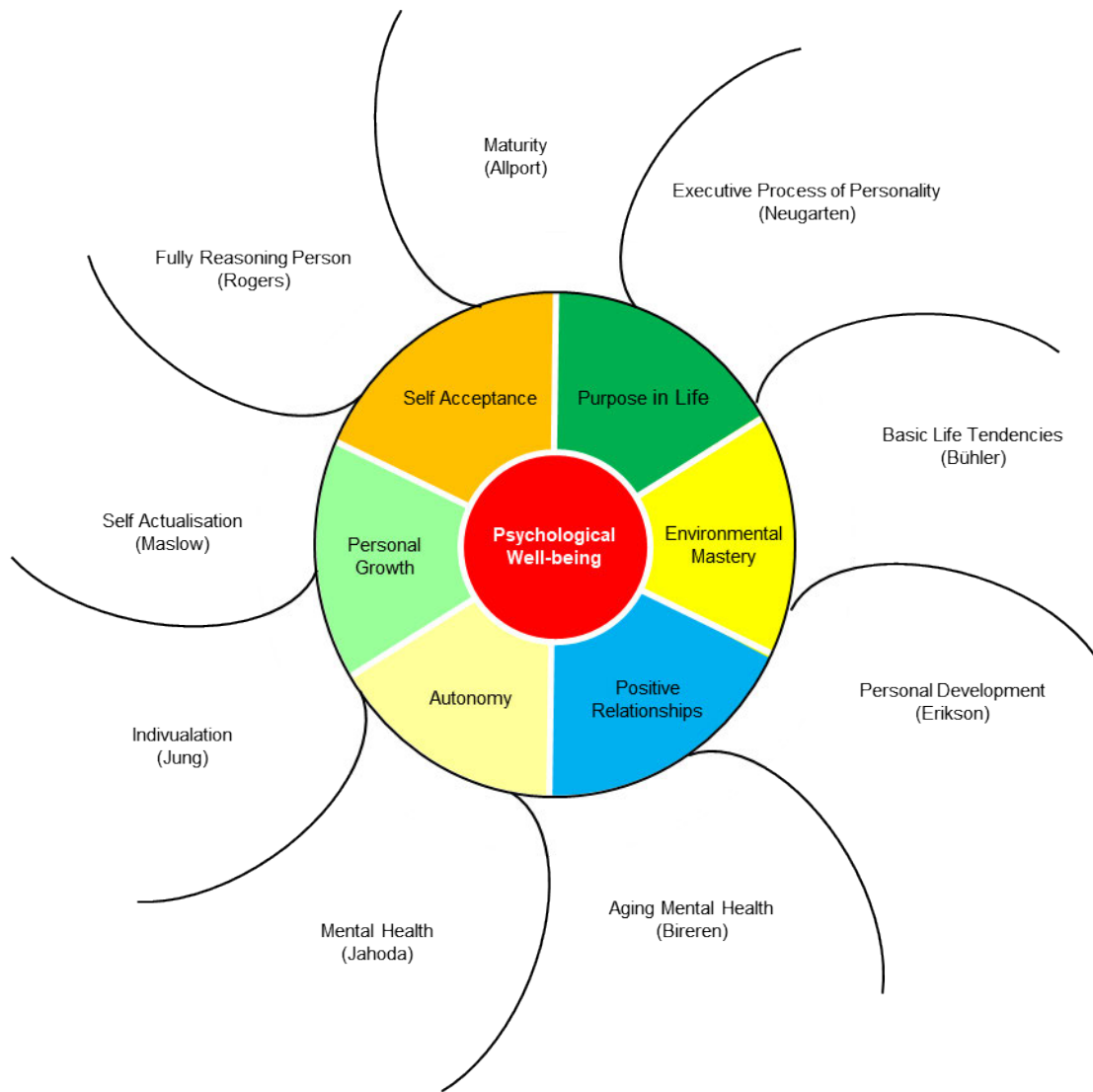
Figure 2-2 Core dimensions of well-being and their theoretical origins

Should a person be exposed to a traumatic or devastating invent or incident, without adequate preparation to manage it, there is a high likelihood that they may develop a

condition that would impair their psychological well-being (Ryff, 1995; Ryff & Keyes, 1995).

There must also be some clarification between the term's mental well-being, mental health, and psychological well-being. Mental well-being concerns a person's thoughts and feelings and how they cope with the situations that arise daily. However, it is not the same as mental health, although the two can influence each other. Mental health is a person's emotional, psychological, and social well-being. It determines how they think, feel, and act, manage stress, and how they relate to other people. Whereas psychological well-being relates to 'positive functioning' (Ryff, 1995, 2014) which has both psychological (e.g., self-acceptance and personal growth) and social (e.g., social contribution, social participation) dimensions, in life, the realisation of personal talents and capacities, their decision-making abilities and enlightened self-knowledge.

The notion of psychological well-being is becoming exponentially a predominantly political and social focus in the twenty-first century, and the well-being of an individual has become increasingly an organisation's responsibility, within its 'duty of care', to ensure that persons engaged by them do not come to harm or injury, physical or mental, whilst performing their occupational duties or functions. However, this raises the question: who is responsible for a person's well-being? In the initial instance, it must, of course, fall to the individual, but within an occupational setting, it must be the organisation. This has been acknowledged and accepted to a great degree by organisations with moves to minimise or eliminate issues such as bullying, gender bias, sexism, etc. to eliminate stress and mental anguish as a result of exposure to these and occupational health and safety as an accepted means to reduce or eliminate physical injury, but the recognition of the potential or harm to psychological well-being

is not so well addressed with organisations and industries where the potential to cause harm to long-term psychological well-being is high.

Well-being can be safeguarded and protected by utilising an 'individual' capability portfolio derived from the theory of capability approach (A. Sen, 1979, pp. 670-701) and the utilisation of emotional intelligence (J. Mayer, R. Roberts, & S. Barsade, 2008; John D Mayer, Peter Salovey, & David R Caruso, 2008) as a measure in the performance of their roles and duties, before, during, and following, traumatic or disastrous event, by utilising a personalised learning and development plan, which will provide instruction and guidance for enhancement of personal traits and attributes that may protect and safeguard their psychological well-being. Chapter 5 – Case Study, will expand on his concept.

2.5   Capability approach

The capability approach is multidimensional, based on what Sen termed a range of personal options he regarded as 'functioning' that determines the actual decisions and actions people enact (S Alkire, 2005; J. Bonvin, 2012; Dreze & Sen, 2002; Kuklys, 2005). Functionings about values behind doing something or being (A Sen, 2001), provide an external and internal evaluative lens to normative social arrangements and actions taken leading to these arrangements (S Alkire, 2005; Nussbaum & Sen, 1993), which is why capability approach has become a contemporary framework for assisting people's to access advantages, especially concerning justice, equality, and human development (F Comim, Fennell, & Anand, 2018). The capability approach opens different perspectives on the development of workers within organisations by taking into consideration competencies, traits, and attributes as the ability to act, in concert with competence, involving responsibility and capability in the exercise of those responsibilities (D. Subramanian, J. M. Verd, J. Vero, & B. Zimmermann, 2013).

Generating a person's individual capability profiles using the capability approach allows for employment agreements to be a 'supply of capability' through which each employee is in a position to outline and analyse, through the cooperative ties he makes in his occupation, the contours of the work community that constitutes the business' (Didry, 2013, p. 534).

2.5.1 *Well-being and Amartya Sen's capability approach*

Nobel Prize-winning economist and philosopher Amartya Sen first proposed his notion of the 'capability approach' in the 1979 lecture Equality of What? (A. Sen, 1979; A Sen, 2013). His theory of capability is based on the range of personal options in deciding what life an individual should lead (Dreze & Sen, 2002). Sen's capability approach (capability approach) is multidimensional, based on what he termed 'Functionings,' and 'doings' more specifically, the ability to achieve these states of being through the ability to take part in decision-making processes, i.e., what a person can actually do or does (S Alkire, 2005, pp. 115-133; J. Bonvin, 2012; Kuklys, 2005). Functionings about values behind doing something or being   (A Sen, 2001), provide an external and internal evaluative lens to normative social arrangements and actions taken leading to these arrangements (S Alkire, 2005; Almartya Sen, 1992). Effectively, the capability approach provides "an alternative way of identifying and evaluating intermediary actions" (S Alkire, 2005, p. 117). Alternatively, the capability approach provides a means of looking at choices people make (Didry, 2013, pp. 537-566), with the capability approach's core characteristic being its attention to what people are effectively able to do and be their capabilities (J. Bonvin, 2012; Robeyns, 2005).

The 'ability to take part in decision-making processes' speaks directly to the essence of this dissertation in the consideration of what measures can be taken to prevent damage to a person's ability to reason effectively. Whilst Amartya Sen offered a

capability approach other scholars across the humanities and the social sciences have provided supporting or alternative theories, and these also align with the model of Martha Nussbaum's concept.

Nussbaum has developed and extended Sen's capability approach by exploring the complexity of human life and human striving and framing the capability approach as a 'quality-of-life' issue (Gasper, 1997; Nussbaum & Sen, 1993; Robeyns, 2005). One way in which she has achieved this is by identifying ten central capabilities (see Table 1 – Nussbaum's Ten Central Capabilities) (Nussbaum & Sen, 1993; M. C. Nussbaum, 2011, pp. 33-34). Nussbaum and other scholars in business/management programs and the social sciences have extended the capability approach through the development of sophisticated methods of enhancing business and organisational theory and practice. These notions are related to corporate governance, work organisational and managerial policies, for example (Dilip Subramanian et al., 2013, pp. 292-304). capability approach focuses on peoples' abilities, indicative behaviours, traits, attributes, and competencies, in improving workplace performance and personal achievement.

Sen's notion of capability differs from other forms of capability theory, such as promulgated by (D Teece, 2019; D. Teece et al., 2017) in that Sen centres attention on the individual while Teece looks at individuals as assets allowing for distinctive abilities within organisational routines to be performed (J. Teece, G. Pisano, & A. Shuen, 1997, pp. 509-533). This view also looks "*beyond 'factors of production' and production functions to recognize the importance of the choices managers make to render resources more productive and to meet customer demand*" (D. Teece et al., 2017, p. 7). Capabilities, as proposed by Teece (2017), are untethered from products. This perspective is related to resources, tangible and intangible, and how these assets

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can be leveraged to an organisation's advantage through the regular actions of creating, extending, and modifying the organisation's resource base (Kurtmollaiev, 2020, pp. 3-16; D. Teece et al., 2017). What this perspective shares with Sen's and Nussbaum's capability approach is that "*capabilities arise in part from learning*" (D. J. Teece, 2017, p. 695). In some instances, employee skills are treated as a commodity resource that organisations can tap into and deploy, often with scant regard for the protection of their psychological well-being.

the capability approach has now become a contemporary framework for assisting people's advantages, especially concerning justice, equality, and human development (F Comim et al., 2018). This is exemplified by how countries such as Bhutan (the adoption of the Gross National Happiness Index as a measure of the nation's status instead of the Gross Domestic Product (Ura, Alkire, & Zangmo, 2012) and New Zealand (New Zealand Treasury, 2019) have used it in policy formation. capability approach opens up a way to look at the development of workers within organisations by taking into consideration competencies, traits, and attributes as the ability to act, with competence involving responsibility and capability being the exercise of those responsibilities (Dilip Subramanian et al., 2013). "*The crux of the capability concept lies in the combination of various meanings of "can," which refer to (i) being able to; (I & F) having opportunities; and (I & F) being facilitated and allowed*" (Van der Klink et al., 2016, p. 74).

Amartya Sen's reasoned well-being to be that of a 'function', derived from the ancient Greek philosopher Aristotle (Ransome, 2010)

The protection of well-being is the primary focus of this dissertation, and it is essential to establish the connection between well-being and 'individual' capability, using a Capability Framework, based on the capability approach.

Sen and Nussbaum expounded the notion that 'well-being' and 'freedoms' should be the measure of a person's capability to live a 'good life,' viewed through the lens of the set of valuable 'beings and doings', such as good health or having loving relationships with others. A comparison between the theories and philosophies of susceptible organisations (Lekka, 2011) and individual capabilities (Ibrahim, 2006) will elucidate how the practical application of individual capabilities, within susceptible organisations, particularly HROs, can contribute to the five principles of High- Reliability theory (Kathleen M. Sutcliffe, 2011). A model of a practical capability Framework being developed and implemented is explained in Chapter 5 – Case Study

This thesis seeks to establish that by enhancing a person's individual capability (individual capabilities) based on Sen's capability approach (capability approach), they will be provided with the skills and knowledge that will provide them with personal traits and attributes that will endeavor to safeguard them from harm during and after the involvement and management of a major disaster or personal traumatic incident during the performance of their occupation duties and functions.

The use of Individual Capability, aligned to learning and development programs regarding, emotional intelligence will support and enhance accurate workplace-based reasoning based on emotions to heighten thought and decision processes (J. Mayer, P. Salovey, & D. Caruso, 2008) in managing high-risk, critical incidents while safeguarding well-being.

In summary, it is suggested that a person's well-being can be protected by the creation of an 'individual capability profile' for a person, in a particular occupational role or position, which is based on the alignment of capabilities and competencies for that individual. These capabilities are focused on the notions of emotional intelligence, to safeguard and protect their well-being by the enhancement of the person's traits and attributes concerning performance, and the aftermath, of managing a major or traumatic incident.

the capability approach is a multidimensional construct, based on a range of personal 'options' that Sen regarded as 'functionings' that determine the actual decisions and actions people enact (S Alkire, 2005; J. Bonvin, 2012; Dreze & Sen, 2002; Kuklys, 2005). Functioning's about values behind doing something or being (A Sen, 2001) providing an external and internal evaluative lens to normative social arrangements and actions taken leading to these arrangements (S Alkire, 2005; Nussbaum & Sen, 1993). Thus, the capability approach has become a contemporary framework for assisting people's advantages, especially concerning justice, equality, and human development (F Comim et al., 2018). capability approach opens a way to look at the development of workers within organisations by taking into consideration competencies, traits, and attributes as the ability to act, with competence involving responsibility and capability in the exercise of those responsibilities (D. Subramanian, J. Verd, J. Vero, & B. Zimmermann, 2013). Generating individual capabilities using the capability approach allows for employment agreements to be a 'supply of capability' through which each employee is in a

A major premise behind High-Reliability Theory and Natural Accident Theory is that significant accidents do not merely happen in that one instance; there is a history and set of social and cultural contexts that lead to the accident (Le Coze, 2015; Nick

Pidgeon, 2011). This suggests taking a broader 'systems' perspective approach toward risk mitigation and the role of humans in accidents (Shrivastava, Sonpar, & Pazzaglia, 2009). A more comprehensive, systems-based, agency-focused perspective allows consideration of more in-depth intrapsychic elements to ethics-based enactment of policies and procedures such as values and a sense of well-being of others and self (Crocker, 2009).

Different academic disciplines have different definitions and approaches to capability. These are not antagonistic to the capability approach but emphasise divergence in how capability is applied. For example, scholars in business/management related to corporate governance, work organisational and managerial policies have separate views regarding capability (D Subramanian et al., 2013; D. Teece, G. Pisano, & A. Shuen, 1997) and define capability from a strategic management perspective, with capability treated as assets individuals possess, allowing for the utilisation of capability when organisational routines are being performed. Capabilities are resources untethered from products (D. Teece et al., 2017), This approach recognises that managers' decisions can leverage, extend and modify learning and development programs to improve productivity, organisational advantage, and individual capability and competence (Kurtmollaiev, 2020; D Teece, 2019; D. J. Teece, 2017). Chiva and Alegre (2008) (Chiva & Alegre, 2008) define capability from an organisational learning lens differently from Teece. Lining up somewhat with concepts from emotional intelligence, organisational learning capability (OLC) refers to the managerial factors allowing organisational learning to occur (Chiva & Alegre, 2008). Michie, van Stralen, and West's (2011) (Michie, Van Stralen, & West, 2011) behaviour change wheel (COM-B model) represent another capability approach, this time from psychology,

where capability is defined as the individual's psychological and physical capacity based on knowledge and skill to engage in an activity.
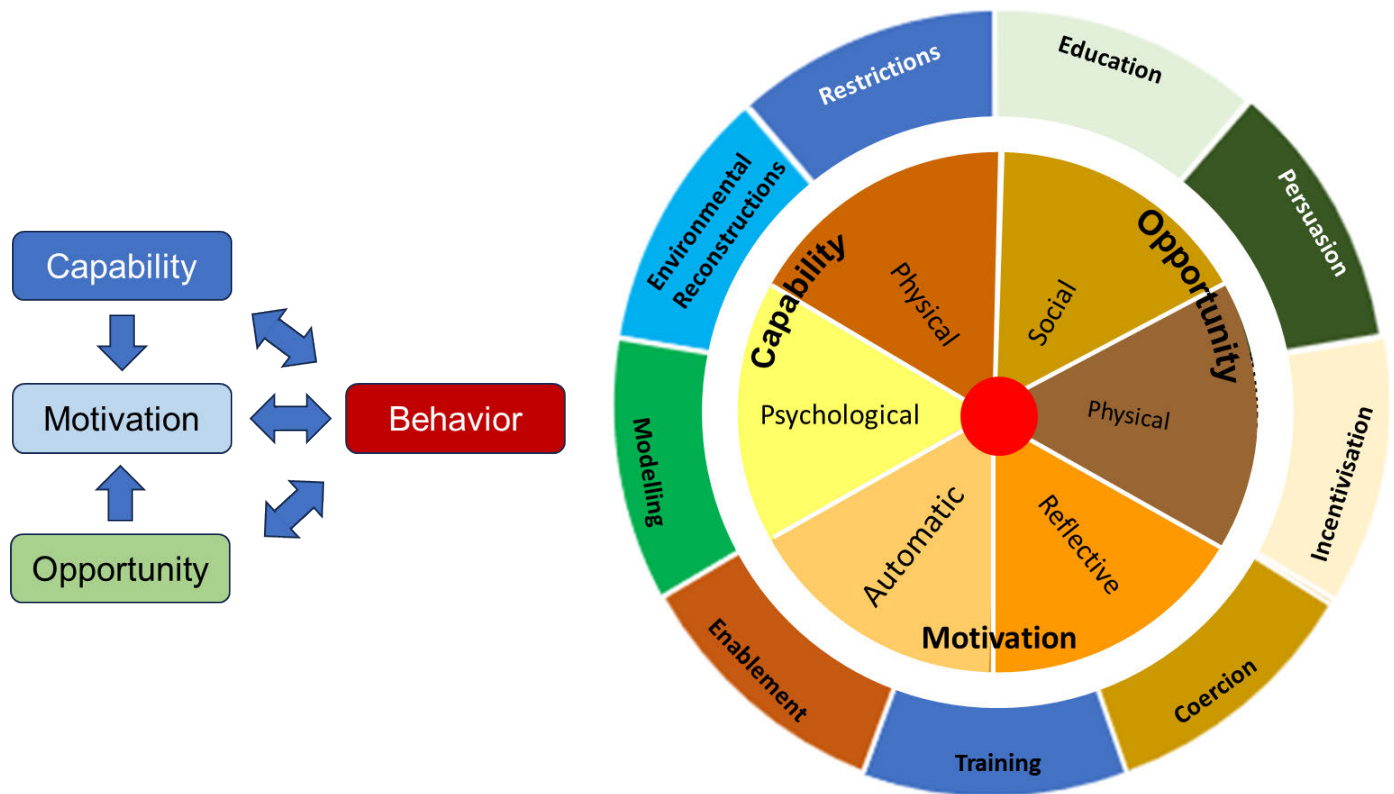
Figure 2-3 Behaviour change wheel (COM-B model)

Capability can be either psychological (mental abilities) or physical. Considering capability, opportunity, and motive together this '*can provide the rationale for why the target behavior is not engaged in, and this then identifies the appropriate components to be addressed to bring about a change in that behavior'* (N. S. Coulson, M. A. Ferguson, H. Henshaw, & E. Heffernan, 2016, p. 102).

2.5.2 *Operationalisation of capability approach*

This notion has been explored in the case study to investigate the possibility of 'operationalising' Sen's Capability Approach/Theory. Within susceptible organisations, some front-line personnel is actors in extreme circumstances, emergencies, and

disasters, such as a major earthquake, tsunami, or nuclear malfunction, and need to immediately take control of themselves, and in some cases, others, and react instantly to the situation.

Whilst it appears the Capability Approach/Framework could be applicable; it is not without its inherent drawbacks. Critics of the Capability Approach proffer that it is too theoretical and esoteric to be practically applied and that its operationalisation could not be achieved.

Alkire asked *'how or whether Sen's capability approach can be 'operationalised' or put into practice'* (S Alkire, 2005, p. 1). The answer to this lies within the differentiation between collective capabilities and individual capabilities, as applied to this research (Davis, 2015). Initially, consideration will be given to the interaction between individuals and social structures (individual and collective capabilities), concerning the capability approach. Alkire wrote,

> *"At the same time, even if we acknowledge the considerable value of the 'more general' framework, the pragmatic and insistent questions about how to use the approach in different contexts are still well worth asking for several reasons".*   (S Alkire, 2005, p. 116)

It is the notion that '*how to use the approach in different contexts is still well worth asking for several reasons* that this study engages with using a practical, pragmatic approach.

Enrica Chiappero, et al (E. Chiappero-Martinetti & J. Roche, 2009) wrote a paper *Operationalisation of Capability Approach* in which they explored both the virtues and limitations of the capability approach as a framework and a tool for the measurement of well-being. They observed that:

> *'Since early seminal contributions in the mid-1980s, the Capability Approach has been widely recognised by its supporters as one of the richest and most complete approaches to well-being analysis; a comprehensive and suitable framework for describing and investigating the multifaceted nature of individual well-being; and an innovative "way of thinking" able to embrace relevant aspects such as freedom or agency that are generally neglected or inadequately formulated in traditional approaches to well-being'. (Chiappero-Martinetti, 2015, p. 212)*

However, their paradigm is through the question of whether capabilities or functioning's can be 'measured'. Whereas this study explores the practical application of the capability approach using emotional intelligence as a platform to 'apply' capabilities, not from a societal perspective, but an individual perspective.

Flavio Comim, 2001 (F Comim, 2001, p. 1) forwarded the notion:

> *'There are many different ways through which any theory can be used or applied and it does not seem correct to limit the 'processes of putting these theories into operation' to one or two particular modes. Thus, by 'operationalizing' we mean the diverse sequence of transforming a theory into an object of practical value'* (F Comim, 2001, p. 1).

This thesis looks towards the 'practical application' of capability approach rather than measurement, or evaluation.

However, there were two significant issues encountered during the case study,

1) a capability framework, in its purest form, cannot be applied in an occupational/industrial arena as the notions of capability are too ill-defined, and

2) the perception that competency and capability are the same meaning. Both

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these issues were addressed in the case study and the solutions are offered in Chapter 5 – Case Study.

2.6 Notions of capability

The first-time capability related to measurement concerning humans was by Amartya Sen at the Tanner Lectures on human values, where he delivered his paper The *Equality of What (A. Sen, 1979)*. Although Sen was an economist, his paper focused on the moral significance of individuals' capability of achieving the kind of lives they have reason to value. Ergo, a person's 'capability' in the lives they have reason to value is described in terms of the set of valuable 'beings and doings', where activities we can undertake are termed as 'doings' and the kinds of persons we can be 'beings'. These freedoms present as the means one has to achieve that doing or being that a person values or it is not merely the formal freedom to do or be something, but the substantial opportunity to achieve it. He pinioned that the then three contemporary particular types of equality (i) utilitarian equality, (ii) total utility equality, and (iii) Rawlsian equality were not sufficiently valid social indicators and the concept of a person's 'real' freedom to pursue activities and states of life that they deeply value their 'capabilities' (S. Alkire, 2002). From the human development perspective, he expressed that utilitarian, total utility, and Rawlsian qualities all had too narrow a focus when evaluated in terms of economic metrics, such as growth in GDO per capita. He voiced that poverty was the deprivation of the capability to live a good life and development was the expansion of capabilities (A Sen, 2001). Capability should not be evaluated according to the actual achievements of a person ('well-being achievement') but according to the set of real opportunities ('well-being freedom') (Nussbaum & Sen, 1993).

Sen raised concerns about the limitations of contemporary utilitarian, total utility, Rawlsian qualities approaches, these being; (1) Individuals can differ greatly in their abilities to convert the same resources into valuable functioning's ('beings' and 'doings'), (2) People can internalise the harshness of their circumstances so that they do not desire what they can never expect to achieve, (3) Whether or not people take up the options they have, the fact that they do have valuable options is significant and (4) Reality is complicated and evaluation should reflect that complexity rather than take a short-cut by excluding all sorts of information from consideration in advance (2012; T. R. Wells, 2013). These concerns speak directly to the protection of psychological well-being, (1) it is vital that persons can use their abilities to convert their resources into valuable functioning's are not impaired; (2) people's ability to internalise the harshness of their circumstances must be preserved and (3) whether or not people take up the options, there is an imperative that they do not have these options compromised. a capability approach is therefore an alternative approach to the analysis of poverty and well-being and attempts to find a degree of commonality between purely subjective and objective theories of well-being. People's capabilities to function are the central focus of well-being analysis, in other words, what people can be or do, rather than what they have in terms of income or commodities.

Sens approach to capabilities is an alternative to neoclassical welfare economics and it is relevant to human development there exists a moral evaluation dynamic, that speaks directly to social justice. Martha Nussbaum explored Sen's capability theory and raise several fundamental questions in relation to capability and social justice, such as, 'What is the living standard? What is the quality of life? What is the relevant type of equality that we should consider in political planning? (Nussbaum, 1997) It has also been closely linked to the discussion of a theory of justice because such a theory

needs an account of what it is trying to achieve for people. Nussbaum, in association with Sen (Nussbaum & Sen, 2002) developed the Capability Theory of Justice. The fundamental difference between the approaches of Nussbaum and Sen was, Nussbaum has focused on human dignity, whereas Sen's is based on freedoms.

Nussbaum developed ten Central Human Capabilities (Martha Nussbaum, 2007, p. 23) of which several are elemental to psychological well-being (see table 8 below).

Central Human Capabilities	Description
1. Life	Being able to live to the end of a human life of normal length; not dying prematurely, or before one's life is so reduced as to be not worth living
2. Bodily Health	Being able to have good health, including reproductive health; to be adequately nourished; to have adequate shelter
3. Bodily Integrity	Being able to move freely from place to place; to be secure against violent assault, including sexual assault and domestic violence; having opportunities for sexual satisfaction and for choice in matters of reproduction
4. Senses, Imagination, and Thought	Being able to use the senses, imagine, think, and reason—and to do these things in a "truly human" way, a way informed and cultivated by an adequate education, including, but by no means limited to, literacy and basic mathematical and scientific training. Being able to use imagination and thought in connection with experiencing and producing works and events of one's own choice, religious, literary, musical, and so forth. Being able to use one's mind in ways protected by guarantees of freedom of expression concerning both political and artistic speech, and freedom of religious exercise. Being able to have pleasurable experiences and avoid non-beneficial pain.

Central Human Capabilities	Description
5. Emotions	Being able to have attachments to things and people outside ourselves; to love those who love and care for us, to grieve in their absence; in general, to love, to grieve, to experience longing, gratitude, and justified anger. Not having one's emotional development blighted by fear and anxiety. (Supporting this capability means supporting forms of human association that can be shown to be crucial in their development.)
6. Practical Reason.	Being able to form a conception of the good and to engage in critical reflection about the planning of one's life. (This entails protection for the liberty of conscience and religious observance.)
7. Affiliation.	A. Being able to live with and toward others, to recognise and show concern for other human beings, to engage in various forms of social interaction; to be able to imagine the situation of another. (Protecting this capability means protecting institutions that constitute and nourish such forms of affiliation, and also protecting the freedom of assembly and political speech.) B. Having the social bases of self-respect and non-humiliation; being able to be treated as a dignified being whose worth is equal to that of others. This entails provisions of non-discrimination based on race, sex, sexual orientation, ethnicity, caste, religion, and national origin.

Central Human Capabilities	Description
8. Other Species.	Being able to live with concern for and concerning animals, plants, and the world of nature
9. Play.	Being able to laugh, play, to enjoy recreational activities
10. Control over One's Environment.	A. Political. Being able to participate effectively in political choices that govern one's life; having the right of political participation and protections of free speech and association. B. Material. Being able to hold property (both land and movable goods), and having property rights on an equal basis with others; having the right to seek employment on an equal basis with others; having the freedom from unwarranted search and seizure. In work, being able to work as a human being, exercising practical reason, and entering into meaningful relationships of mutual recognition with other workers.

Table 2-2 Nussbaum's list of ten central human functional capabilities

Being able to use the senses, imagine, think, and reason—and to do these things in a "truly human" way, a way informed and cultivated by an adequate education, including, but by no means limited to, literacy and basic mathematical and scientific training. Being able to use imagination and thought in connection with experiencing and producing works and events of one's own choice, religious, literary, musical, and so forth. Being able to use one's mind in ways protected by guarantees of freedom of expression concerning both political and artistic speech, and freedom of religious exercise. Being able to have pleasurable experiences and avoid non-beneficial pain.

Comparing Nussbaum's ten Central Human Capabilities, six could be impaired or serous affected if a person's psychological well-being is harmed. (1) Life- Not having life cut short or being made such that it hardly seems worth living, (2) Senses, Imagination, and Thought - Being able to use all of one's senses. Being free to imagine, think, and reason, (3) Practical Reason - Being able to consider and develop an understanding of good and evil, and to think critically about the world and one's place in it, (4) Emotion - Not being subject to fear and anxiety or blighted by trauma or neglect (5) Play - Being able to laugh, play games and generally have fun and (6) Control Over One's Environment - Being able to participate in political activities, making a free choice and joining with others to promote political views.

The capability approach is the most appropriate platform on which to base a framework for the protection of a person's psychological well-being.

Using the Capability Approach as an operational tool for human development can be applied both as a generalist tool, for collective capabilities and a personalised tool for individual capabilities, and for this research needed to be utilised to apply to collective capabilities, the organisational (agency) needs and requirements, and the individual capabilities to meet the specific needs and requirements of the person. As all humans are unique, with individual traits and attributes, this human phenomenon must be fully addressed, as some persons may have the ability to perform under duress, with no short or long-term effects, whereas others may freeze under stressful situations and have residual consequences. It must be remembered that fundamental to this thesis is the notion of 'protection' and not enhancement of a person's doings and beings, to safeguard their freedom to conduct a life they have reason to value. The central capability approach is Sen does not identify one set of basic functioning (or basic capabilities) precisely because no one set will do for every evaluation and allows the

approach to be relevant to a wide variety of circumstances (S Alkire, 2005, p. 119) and it is for this reason that Capability Approach lends itself to this mission.

Sen stated that:

> '*The definition of capability does not delimit a certain subset of capabilities as of peculiar importance; rather, the selection of capabilities on which to focus is a value judgment (that also depends partly on the purpose of the evaluation), as is the weighting of capabilities relative to each other'* (Almartya Sen, 1992, pp. 42-46).

Comim (F Comim, 2008, p. 159) identified critiques addressed to the capability approach as:

> "*The multidimensional-context-dependent-counterfactual-normative nature of the capability approach might prevent it from having practical and operational significance*".

In most organisations, the functionality of a Capability Framework, based on Sen's notions of capability approach would have limited benefit and be difficult to implement or manage. However, if a person's capabilities are aligned with the occupational competencies which are associated with a particular role or function, then the capabilities take on a different functionality. Within this investigation, a fundamental reasoning of individual capability is:

> '*the extent to which individuals can adapt to change, generate new knowledge, and continue to improve their performance*' (S. Fraser & T. Greenhalgh, 2001, p. 779)

where it is considered that a person's competence can be transposed to different roles/tasks in different positions/organisation, then their capability is the tool they utilise apply their competence in new and unfamiliar circumstances, settings and environments.

A Capability Framework, based on Capability Approach, utilising Emotional Intelligence in an 'operational tool' with rich and varied applications. Chapter 5 – Case Study details 2 years of conceptualisation, creation, development, implementation, operation, and management of a Capability Framework, within international faith-based organisations, where some persons, such as AOD (Alcohol and Other Drugs) Caseworkers, Oasis Gambling Caseworkers, Community Social Worker, Emergency Disaster Services Responder, etc. could reasonably be expected to manage/cope with some form of a traumatic or disastrous situation, on a micro or macro scale.

Different academic disciplines have different definitions and approaches to 'capability'. These are not antagonistic to the capability approach but emphasise divergence in how capability is treated. For example, scholars in business/management related to corporate governance, work organisational and managerial policies have separate views regarding capability (D Subramanian et al., 2013). Teece (D. Teece et al., 2017), Pisano, and Shuen (1997) and define capability from a strategic management perspective, with capability treated as assets that individuals possess and utilisation of capability when organisational tasks/functions are being performed. Capabilities are resources untethered from products (D. Teece et al., 2017) and this approach recognises that capabilities can be extended and modified with learning and development programs, which in turn will lead to improved productivity, organisational advantage, and enhancement of individual capability and competence (Chiva & Alegre, 2008; Kurtmollaiev, 2020; D. Teece et al., 2017). Chiva and Alegre (2008)

define capability from an organisational learning lens, different from Teece. Lining up somewhat with concepts from emotional intelligence, organisational learning capability (OLC) refers to the managerial factors allowing organisational learning to occur (Chiva & Alegre, 2008; Michie et al., 2011) behaviour change wheel (COM-B model) represents another capability approach, this time from psychology, where capability is defined as the individual's psychological and physical capacity based on knowledge and skill to engage in an activity. Capability can be either psychological (mental abilities) or physical. Looking at capability, opportunity, and motive together 'can provide the rationale for why the target behaviour is not engaged in, and this then identifies the appropriate components to be addressed to bring about a change in that behaviour (N. Coulson, M. Ferguson, H. Henshaw, & E. Heffernan, 2016, p. 102).

2.6.1 *Capability and competence*

Vocational competence has been the cornerstone of vocational education and occupational standards and qualifications for the past four decades and remains a valid methodology for training and setting occupational standards (Wahba, 2013). However, competence alone is no longer enough to meet the challenges and demands of 21st-century career and workplace requirements (Orton, 2011). There has also been a change in the expectations of individuals regarding their careers; there is no longer an expectation that a lifetime's employment will be with one occupation/vocation with one company or organisation (K. Otto, D. Dette- Hagenmeyer, & C. Dalbert, 2010; K. Sparks, B. Faragher, & C. Cooper, 2001). There is now the expectation that a person will change vocation/profession/occupation as well as companies/organisations during their working life. Capability is now the tool to transport/transpose/adapt a person's competence and skills. The definition of capability that has been adopted for this study is:

"the extent to which individuals can adapt to change, generate new knowledge, and continue to improve their performance" (S. Fraser & T. Greenhalgh, 2001, p. 1)

Boyatzis (2008, p. 6) defined competency as:

> '*a capability, a set of related but different sets of behavior organized around an underlying construct, which we call the 'intent'*,

and his view was that maximum performance at work occurs when there is alignment between an individual's capability, the needs of the job and the organisational environment. Yet, competence without a strategy or appropriate context to align them to organisational performance is of little value, '*Competence in the absence of strategy is like acting without an audience*' (Dave Ulrich, 1998, p. 3).

Learning and development is an 'organisational competence', helping shape and sustain organisational competencies and core competencies requirements (Javidan, 1998). Competence without a strategy or appropriate context to align them to organisational performance is of little value (Dave Ulrich, 1998). Vocational competence was introduced in the 1980s, and it remains a valid methodology for setting occupational standards (Wahba, 2013). However, competence alone is no longer enough to meet the challenges and demands of 21st-century career and workplace requirements (Orton, 2011). Career expectations have changed. Lifetime employment at one workplace has given way to the expectation that people will change jobs and careers several times during their working life (K. Otto, D. E. Dette-Hagenmeyer, & C. Dalbert, 2010; K. Sparks, B. Faragher, & C. L. Cooper, 2001). individual capabilities align with this change because of the

'extent to which individuals can adapt to change, generate new knowledge,

and continue to improve their performance' (S. W. Fraser & T. Greenhalgh,

2001, p. 1).

As Boyatzis (2008) (R. E. Boyatzis & Boyatzis, 2008, p. 6) wrote, competency is "*a*

capability, a set of related but different sets of behavior organised around an

underlying construct, which we call the 'intent'" (p. 6).

Javidan's 1998 (Javidan, 1998) hierarchical model of core competencies provides an

approach toward setting an appropriate conceptual framework for the study. He

created a hierarchy between resources, capabilities, competencies/core

competencies to set organisational strategy. Resources present institutional inputs,

while capability is the organisation's ability to exploit these resources based on

functions within the organisation. Competencies represent cross-functional integration

and coordination of the capabilities and core competencies *'are skills and areas of*

knowledge… shared across business units and result from the integration and

harmonization' (Javidan, 1998, p. 62) of all organisational strategic business units.

Using this separation between capability, resources and the two forms of

competencies is appropriate because the differentiation allows for a better analysis of

each (Ghobadian et al., 2007). The hierarchical approach allows for contextualisation

and evaluation of how emotional intelligence, capability, and susceptible organisations

achieve desired personal well-being and ensuing work-related decision-making

results.

The middle level targets the effects of learning and development in developing traits

and attributes related to individual capabilities. Specific emphasis is on improving

personal well-being through increased self-agency in the performance of duties and

responsibilities, essential elements in improving levels of expertise, and personal identification with the organisation and what it represents. The approach here encapsulates Michie, van Stralen, and West's, 2011 (Michie et al., 2011) capability, opportunity, and motivation (COM-B system), where these three elements interact to make change happen by shaping behaviour within particular contexts (Barker F, 2016). This model can be used to design and shape interventions, not unlike the intention of learning and development intends to do in this study. The third and upper level is the organisational manifestation of these improved individual capabilities and how these impact organisational performance and identity.

2.6.2 *Capability framework*

The notions of what constitutes a capability framework are extremely varied and diverse. The greater majority of capability frameworks reviewed in this study either confused competency and capability and interpreted them as having the same meaning or were complicated due to the understanding that the term capability was vague and undefined.

The primary confusion is the intent of the term 'capability'. Many capability frameworks are constructed from an 'organisational' perspective, i.e., organisational capabilities enable companies to maximise their performance and achieve their goals.

2.7 Emotional intelligence

There are some key questions that this study needed to answer, these being: 1) is emotional intelligence something you are born with? 2) is it something you either have or you don't? 3) can emotional intelligence be learnt? 4) can it be measured reliably and validly? 5) what does emotional intelligence mean in everyday life? 6) how does

emotional intelligence affect mental health and well-being, relationships, and performance? (Kenely, 2019, p. 4)

Intelligence quotient (IQ) has been intelligence's primary 'measure' for many decades. It was assumed that it is a genetic given unaltered by life experience and learning and a 'fixed' aptitude (D Goleman, 1996, p. 3). An intelligence quotient (intelligence quotient) is a score derived from one of several standardised tests designed to assess intelligence. However, these tests do not provide for consideration of emotions or 'growth' because of life's events or experiences.

Abraham Maslow first offered emotional strength in the 1950s & 1960s (Maslow, 1962) and was followed by Michael Beldoch (Beldoch, 1964). They provided the foundation for the role emotions play in people's lives and that these may have a greater significance than their intelligence quotient.

In 1983, Howard Gardner wrote the book *Frames of Mind: The Theory of Multiple Intelligences* (Gardner, 1983), which offered an alternative to intelligence quotient, suggesting that everyone has eight intelligences at varying degrees of proficiency and an individual's learning style is unrelated to the areas in which they are the most intelligent. The intelligences he suggested were: 1) Linguistic, 2) Logical/Mathematical, 3) Spatial, 4) Bodily-Kinaesthetic, 5) Musical, 6) Interpersonal, 7) Intrapersonal, and 8) Naturalist. Later, he revised these intelligences and identified others to be included.

Emotional intelligence has a foundation role in the concept of this research. It is one of the six independent variables if we consider the capability approach as the vehicle used to prevent harm/damage to well-being, the emotional intelligence to a tool that enables the protection.

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Individual capability is based on the 'capabilities approach' (capability approach) economic theory (F Comim, 2001) as first put forward by Amartya Sen (1979, 1992) and later by Martha Nussbaum (Gasper, 1997; Nussbaum & Sen, 1993; M. C. Nussbaum, 2011). Sen and Nussbaum expounded the notion that 'well-being' and 'freedoms' should be the measure of a person's capability to live a 'good life,' viewed through the lens of the set of valuable 'beings and doings,' such as good health or having loving relationships with others. A comparison between the theories and philosophies of HROs (Lekka, 2011) and individual capabilities (Ibrahim, 2006) will elucidate how the practical application of individual capabilities within an HRO and a susceptible organisation can contribute to the five principles of High-Reliability theory (Kathleen M. Sutcliffe, 2011). It is, therefore, necessary to examine the individual praxis capabilities to confirm there is a 'practical application,' as there is much narrative surrounding doubts that the notions contained in the capability approach can effectively be 'operationalised' (E. Chiappero-Martinetti & J. M. Roche, 2009; Flavio Comim, 2001). Capability Domains are based on the five components of emotional intelligence (emotional intelligence): (S Alkire) 1) self-awareness; (2) self-regulation; (3) motivation; (4) empathy; and (5) social skills. The emotional intelligence components are closely aligned with role/task requirements, and emotional intelligence is generally recognised and acknowledged by the workforce and, therefore, more acceptable. Emotional intelligence is sometimes erroneously referred to as Emotional Quotient – emotional quotient, which is a testing measurement of one's own emotions and those of others. Emotional intelligence allows individuals to carry out accurate workplace-based reasoning based on emotions and use emotions to heighten thought and decision processes (John D Mayer, Richard D Roberts, et al., 2008, pp. 59, 506-536). "The more complex the job, the more emotional intelligence

matters – if only because a deficiency in these abilities can hinder the use of whatever technical expertise or intellect a person may have" (D Goleman, 2009, p. 22). Emotional intelligence allows for the adaption of associated education and evaluation tools to identify the attainment of personal growth and development. The comparison will be within the context that FBOs and HROs can share similar aims and objectives.

This thesis seeks to establish that by enhancing a person's individual capability (individual capabilities) based on Sen's (1979, 1992) capability approach as expanded by Nussbaum (F Comim, 2001; Gasper, 1997; M. Nussbaum, 2011; Nussbaum & Sen, 1993) grounded on the opportunities to perform the 'functioning's and doings' in leading a life (Robeyns, 2017b) aligned to notions from emotional intelligence (emotional intelligence) to enhance accurate workplace-based reasoning based on emotions to heighten thought and decision processes (J. Mayer, R. Roberts, et al., 2008) in managing high-risk, critical incidents while safeguarding long-term well-being.

Emotional intelligence is a concept that describes how individuals use feelings to motivate, plan and achieve what they want to do in life (P. Salovey & J. Mayer, 1990). emotional intelligence is a set of competencies that affect individual success within an organisation and distinguish average performance from outstanding individual performance within assigned roles (D. Goleman, 2001, pp. 27-44; Mount, 2006). Specifically, there is a correlation between employee emotional capability within an organisational context, where superior performers balance analytical thinking with strategic conceptualisation, whereas typical performers tend to be primarily concerned with analytical thinking (Chiva & Alegre, 2008, pp. 680-701; Mount, 2006). Emotional intelligence has been utilised to predict the effectiveness of professionals, leaders and managers' roles in both the workplace setting and through society (R. Boyatzis, 2008). However, there is a challenge in terms of nurturing emotional intelligence within

organisations, as implied by Goleman, 1998 (C Cherniss et al., 1998), based on typical training programs and their short-term approach found within businesses and industries (Lindebaum, 2009, pp. 225-237). Therefore, considerations for different methods of emotional intelligence development must be considered to make a positive difference.

There is little or no literature connecting the capability approach and emotional intelligence; however, the capability approach does consider emotions as essential elements, as noted in the literature (e.g., Nussbaum 2001, 2008) and given Lindebaum's 2009 critique of training programs, a connection between the two is plausible. The capability framework provides a pathway for persons to gain additional, specific traits, attributes, and indicative behaviour (capabilities) within an occupational skill set (competence) to perform their professional and occupational tasks and functions in their position within a company or organisation. CDs have no definitive structure, the only criteria being that they comply with capability theory and are 'fit-for-purpose' and 'of purpose' for the individual organisation.

Individual capabilities can be construed as traits and attributes that can be viewed as indicative behaviours that enhance competencies and skills - in contexts and situations not previously encountered to complete a task or function (Sackett & Walmsley, 2014). individual capabilities can also be seen in unique leadership ability (D Ulrich & Smallwood, 2004, 2012); therefore, in contrast to institutional capabilities, individual capabilities are mainly associated with development, learning or specific skills (Benson-Armer, 2015). Individuals are considered by some industrial sectors as repositories of knowledge and are used in transforming institutional resources in the creation of innovative activities (Rothaermel & Hess, 2007). Effectively, as Scott,

Coates and Anderson (Scott, Coates, & Anderson, 2008) pointed out, capability sets the limit in developing competencies and their appropriate deployment.

Persons employed within susceptible organisations must display more than competency when avoiding or dealing with high-risk situations and events. They must apply capabilities - traits and attributes, such as personal resilience and decision-making. Since the theory of the capability approach, raised by Sen (Gasper, 1997), there has been much narrative, debate, dialogue, and literature on applying the capability approach theory to a practical application (F Comim, 2001; F Comim et al., 2018). While theoretical, Sen's notions of well-being and freedoms can be used as a metric evaluating the kind of lives people have reason to value and being defined in terms of the set of valuable 'beings and doings' (S. Alkire, 2002). As the Australian National Audit Office (ANAO, 2003, p. 3) noted: "*Capability building, which is central to organisational performance, requires a systematic management approach to learning and development as an integral part of workforce planning.*"

Central to the investigation is the exploration of the synthesis between individual capabilities and emotional intelligence and how organisations can utilise these to minimise or avoid damage and protect a person's well-being by providing a capability framework for its personnel. A fundamental premise is that all humans are individuals and will respond differently when faced with a traumatic or disastrous situation. Therefore, the focus must be on the individuals' inherent traits and attributes and how they can be enhanced as a protection measure when dealing with trauma and disaster through individualised learning and development for selected domains of emotional intelligence. The capability approach will offer individuals 'tools' to perform during the incident and manage and process the events during and afterwards to ensure, preserve and protect personal well-being.

2.7.1 Notions of intelligence quotient

For many decades, the intelligence quotient has been the primary 'measure' of intelligence. It was assumed that it is a genetic given unaltered by life experience and learning and a 'fixed' aptitude (D Goleman, 1996, p. 3). An intelligence quotient is a score derived from one of several standardised tests designed to assess intelligence. However, these tests do not provide for consideration of emotions or 'growth' as a result of life's events or experiences.

Abraham Maslow first offered the notion of Emotional Strength in the 1950s & 1960s (Maslow, 1962) and was followed by Michael Beldoch (Beldoch, 1964). They provided the foundation for the role emotions play in people's lives and that these may have a greater significance than their intelligence quotient.

2.7.2 Theories and models of emotional intelligence

For many years 'emotion' and 'intelligence' were viewed as two opposite constructs and considered separate entities. However, "*the emotional intelligence theory suggested the opposite: emotions make cognitive processes adaptive, and individuals can reason about emotions"* (Brackett, Rivers, & Salovey, 2011, p. 89).

The first application of the term 'emotional intelligence' was raised by Wayne Leon Payne 1985 (Payne, 1985) in his thesis *A Study of Emotion: Developing Emotional Intelligence*. He offered that a person could develop their emotional intelligence through a process of 'self-integration'. During the 1980s, there was two extensive research conducted into psychology. Firstly, cognition and effect investigating cognitive and emotional processes and how they interreact to enhance thinking (Brackett et al., 2011) and secondly exploration of how intelligence models have evolved, "*Rather than viewing intelligence strictly as how well one engaged in analytic*

tasks associated with memory, reasoning, judgment, and abstract thought, theorists and investigators began considering intelligence as a broader array of mental abilities" (Brackett et al., 2011, p. 89).

The 2000s saw the emergences of five main models of emotional intelligence: 1) the ability model (J. D. Mayer, Caruso, & Salovey, 2000), 2) the mixed model (D. Goleman, 2001), 3) the Trait model (K. V. Petrides, 2010), 4) Bar-On's model (R Bar-On, 2006b), and 5) Genos model (Gignac, 2010).

Cary Cheris, in her paper, *Emotional Intelligence: Towards Clarification of a Concept* (Cary Cherniss, 2010), observed much confusion and controversy concerning the concept of emotional intelligence. She believed three issues had emerged. The first is the conflicting definitions and models of emotional intelligence, the second issue surrounding the validity of existing measures, and thirdly, the contention concerns the significance of emotional intelligence for outcomes such as job performance or leadership effectiveness. (Cary Cherniss, 2010). She stated, "*The concept of emotional intelligence is based on three premises. The first is that emotions play an important role in life. Second, people vary in their ability to perceive, understand, use, and manage emotions. And third, these differences affect individual adaptation in various contexts, including the workplace. However, these basic premises seem self-evident"* (Cary Cherniss, 2010, p. 111).

All three of these premises are central to the critical issue for this research is the protection of well-being, which requires the identification of an individual's strengths and weaknesses regarding their inherited or acquired traits and attributes associated with emotional intelligence, with particular reference to resilience. Therefore, the selection of which model and testing method to utilise is of paramount importance.

Cherniss also highlights an issue that became a significant issue during the case study is that the distinction between different constructs is often included under the label of emotional intelligence. One is emotional intelligence, and the other is emotional and social competence (Cary Cherniss, 2010, p. 111). This conflict will be further explored in *section 3.3.2, Capability and Competence*, explaining how these have been delineated within the research.

Below is a table that compares the five emotional intelligence models concerning 1) Key Characteristics, 2) Characteristic Relating to Resilience, and 3) Measurement Methods. Determining the most appropriate model and testing method is explored in section 3.4.2, Emotional Quotient Testing,

Aspects	Ability Model (Salovey & Mayer)	Mixed Model (David Goleman)	Trait Model (Konstantin Vasily Petridis)	Bar-On's Model (Bar-On)	Genos Emotional Intelligence (Genos EI)
Key Characteristics	1. Perceiving emotions 2. Reasoning with Emotions 3. Understanding Emotions 4. Managing Emotions 5. Regulating emotions	1. Self-Awareness 2. Self-Regulation 3. Motivation 4. Empathy 5. Social Skills	1. Well-being 2. Self-control 3. Emotion regulation 4. Emotionality	1. Intrapersonal skills 2. Interpersonal skills 3. Adaptability 4. Stress management 5. General mood	1. Emotional Self-Awareness 2. Emotional Awareness of Others 3. Authenticity 4. Emotional Reasoning 5. Emotional Self-Management 6. Positive Influence
Characteristics Relating to Resilience	5. Regulating emotions	1. Self-Regulation	2. Emotion regulation	3. Stress management	4. Emotional Self-Management
Measurement Methods	Mayer-Salovey-Caruso Emotional Intelligence Test (MSCemotional intelligenceT)	Multirater /360 or Situational Judgment Test of Emotion Management (STEM)	Self-reporting	Bar-On Emotional Quotient Inventory	Genos Emotional Intelligence Inventory

Table 2-3 Comparison of emotional intelligence models and measure

2.7.3   *Emotional intelligence and individual capability*

Individual capability (individual capabilities) is based on the capability approach economic theory (F Comim, 2001) as first put forward by Amartya Sen (1979, 1992) and later by Martha Nussbaum (Gasper, 1997; Nussbaum & Sen, 1993; M. C. Nussbaum, 2011). Sen and Nussbaum expounded the notion that 'well-being' and 'freedoms' should be the measure of a person's capability to live a 'good life,' viewed through the lens of the set of valuable 'beings and doings,' such as good health or having loving relationships with others. A comparison between the theories and philosophies of HROs (Lekka, 2011) and individual capabilities (Ibrahim, 2006) elucidates how the practical application of individual capabilities within an HRO can contribute to the five principles of High-Reliability theory (Kathleen M. Sutcliffe, 2011). It is, therefore, necessary to examine the individual praxis capabilities to confirm there is a 'practical application,' as there is much narrative surrounding doubts that the notions contained in the capability approach can effectively be 'operationalised' (E. Chiappero-Martinetti & J. M. Roche, 2009; Flavio Comim, 2001). Capability Domains are based on the five components of Emotional Intelligence (emotional intelligence): (S Alkire) self-awareness; (2) self-regulation; (3) motivation; (4) empathy; and (5) social skills. The emotional intelligence components are closely aligned with role/task requirements, and emotional intelligence is generally recognised and acknowledged by the workforce and, therefore, more acceptable. Emotional intelligence is sometimes erroneously referred to as Emotional Quotient – emotional quotient, which is a testing measurement of one's own emotions and those of others. Emotional intelligence allows individuals to carry out accurate workplace-based reasoning based on emotions and use emotions to heighten thought and decision processes (John D Mayer, Richard D Roberts, et al., 2008, pp. 59, 506-536). "*The more complex the job, the more emotional intelligence matters – if only because a deficiency in these abilities can*

hinder the use of whatever technical expertise or intellect a person may have" (D Goleman, 2009, p. 22). Emotional intelligence allows for the adaption of associated education and evaluation tools to identify the attainment of personal growth and development. The comparison will be within the context that FBOs and HROs can share similar aims and objectives.

2.7.4   *Emotional quotient and measurement*

A preface to this section is required, firstly because the notions of emotional quotient and measurement are pivotal in this study, and secondly, these are complex and somewhat contentious topics. Additionally, all humans are unique. Therefore, the researcher believes nothing involving human beings will ever be 100% - at best; it will be a generalisation.

Exploring the disparities in the term's emotional intelligence and emotional quotient is essential. In many papers and literature, these terms are synonymous, but the study requires a more refined definition of each term.

Emotional intelligence was initially described by Daniel Goleman (D Goleman, 1996, p. 11) 'importance of emotional intelligence hinges on the link between sentiment, character, and moral instincts. Mayer and Salovey 1990 (J. D. Mayer et al., 2000) defined emotional intelligence as "the ability to monitor one's own and other's feelings and emotions, to discriminate among them and to use this information to guide one's thinking and action". They later modified their definition of emotional intelligence as "the ability to perceive accurately, appraise and express emotion (perceiving); the ability to access and generate feelings when they facilitate thought (using); the ability to understand emotion and emotional knowledge (understanding); and the ability to regulate emotions to promote emotional and intellectual growth (managing)" (J. D. Mayer et al., 2000, p. 10).

Keith Beasley initially described emotional quotient in Mensa Magazine, 1987 (Beasley, 1987) as 'one's 'ability to feel' and 'Or, put another way, emotional quotient is to the heart what intelligence quotient is to the brain'. However, this has been expanded 'the ability to understand, use, and manage your emotions positively to relieve stress, communicate effectively, empathise with others, overcome challenges and defuse conflict.

In this section, the term 'competence' is used for the accuracy of reporting the work of others. The researcher vehemently opposes using the term concerning emotional intelligence. A competency is an assessment of skills, knowledge, experience, and ability – against a standard. Therefore, relating competencies to emotional intelligence would require a set of human standards to assess against, which is not achievable as all humans are unique.

This study is grounded on the notion that an individual's emotional intelligence traits, attributes and abilities are 'evaluated, as opposed to competencies, which are assessed (see Figure 11 - Competence/Capability Comparison)

Another foundational issue is that emotional intelligence comprises traits, attributes and abilities represented as 'capabilities' and defined within domains and subdivided into attributes and skills.

These notions are fully explained and justified in Chapter 5 – Case Study.
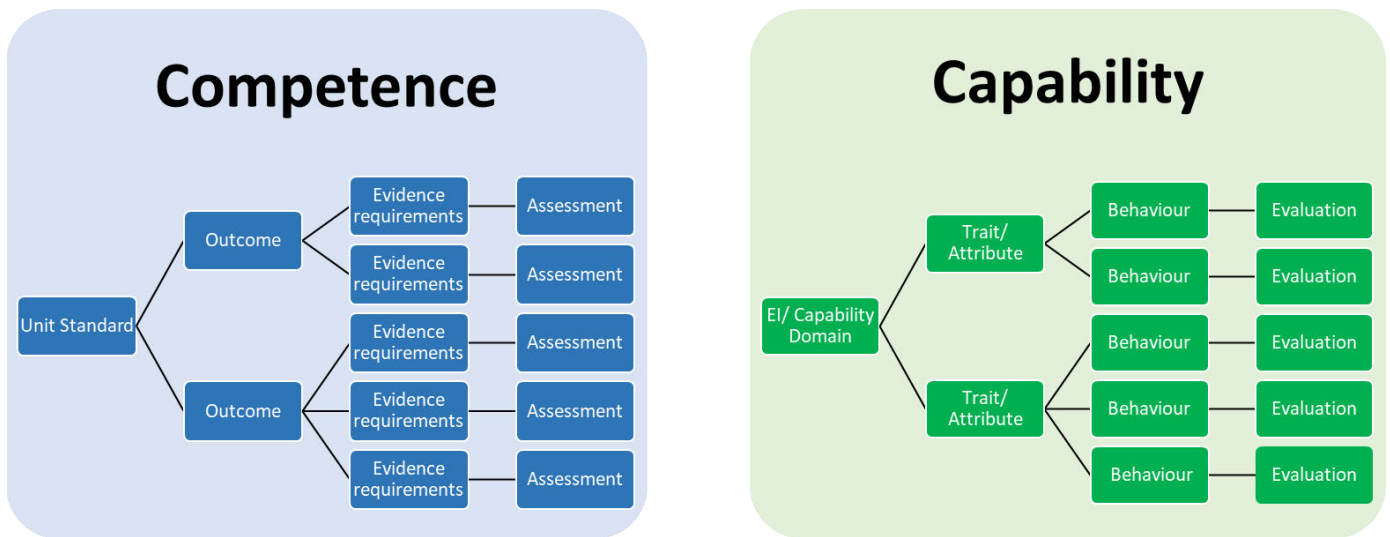
Figure 2-4 Competence/capability comparison

Pivotal to this research is to establish and enhance a person's resilience; the initial measurement must be accurate and valid evidence (Conte, 2005, p. 437).

Many academic papers and documents blur the distinction between the two, emotional intelligence and emotional quotient, as being the same, and this needs to be corrected. Emotional intelligence refers to a person's innate potential for emotional sensitivity, memory, processing, and learning ability. It is these components which form the core of one's emotional intelligence. Whereas intelligence quotient is a value that indicates a person's ability to learn, understand, and apply information and skills in a meaningful way.

This innate potential can be either damaged or developed with life experiences, particularly by the emotional lessons taught by the parents, teachers and family during childhood and adolescence.

Earlier, we examined the five emotional intelligence models of emotional intelligence (Reuven Bar-On, 2006; Cary Cherniss, 2010; D Goleman, 2009; Kenely, 2019; K. V. Petrides, 2010; Salovey & Pizarro, 2003); each of these offers a concept of their

meaning and construct of emotional intelligence. The are many instances of coincidence and agreement, but each puts forward the 'characteristics' of their interpretation (see Table 10- Comparison of Emotional Intelligence Models and Measures). The result of an emotional intelligence measure is an individual's is their emotional quotient. The emotional quotient is elemental to this study as it is necessary to establish their resilience.

Although this study investigates the link between emotional intelligence and resilience, there are other measures that could be considered, these being: 1) 'Big' Five personality dimensions (a. Conscientiousness, b. Emotional c. Stability, d. Extraversion, and e. Openness) (Pilarska, 2018), 2) Grade Point Average (GPA) (Sunbul, 2019), and 3. Cognitive Ability Measurement (Carretta & Ree, 2018). However, researchers who have examined the content of the ECI competencies have concluded that whilst they overlap with personality dimensions:

> *"discriminant and predictive validity evidence for the ECI has not been provided, and the scale does not deserve serious consideration until peer-reviewed empirical studies using this measure are conducted"* (Conte, 2005, p. 434).

There are currently three mainstream measures of a person's emotional quotient: 1) Emotional Competence Inventory, 2) Emotional Quotient Inventory (Bar-On), 3) Multifactor Emotional Intelligence Scale (Emotional intelligences), and 4) Mayer Salovey Caruso Emotional Intelligence Test V.2 (MSC emotional intelligence V.2). It should be noted that both emotional intelligences and MSCEI V.2 were devised and developed by Mayer and Salovey (J. D. Mayer et al., 2000). However, Mayer and Salovey became aware that MEIS had some subscales with low reliability and some problems with scoring procedures (Conte, 2005, p. 435). Hence MSCEI V.2 was

developed in conjunction with Caruso (John D Mayer, Peter Salovey, David R Caruso, & Gill Sitarenios, 2003). As S has been superseded by MSCT V.2, it will not be considered further.

There is a plethora of measures to check the validity, reliability and effectiveness of each of these emotional quotient measurements. These being:

- **Internal Consistency Reliability** of survey instruments (e.g., psychological tests) measures the reliability of different survey items intended to measure the same characteristic.
- **Convergent Validity** refers to how closely the new scale is related to other variables and other measures of the same construct.
- **Validity Evidence** is how results among the study participants represent actual findings among similar individuals outside the study.
- **Reliability Evidence** refers to the consistency of a measure. Psychologists consider three types of consistency: over time (test-retest reliability), across items (internal consistency), and different researchers (inter-rater reliability).

The table below indicates an inventories Internal Consistency Reliability value as this is the only consistent measure across all methods.

2.7.5   *Measures of emotional intelligence/emotional quotient*

Below is a list of the most prominent emotional intelligence/QE measure that is commonly used at present:

- Advanced Progressive Matrices (APM);
- Big Five Questionnaire (BFQ);
- Mayer–Salovey–Caruso Emotional Intelligence Test (MSCT V-2);
- Bar-On Multifactor Measure of Performance (MMP3);
- Trait Emotional Intelligence Questionnaire (TeiQue);
- Positive and Negative Affect Schedule (PANAS);
- Satisfaction With Life Scale (SWLS);
- Emotional Quotient Inventory (emotional quotient -i 2.0); and
- Meaningful Life Measure (MLM).

This study is not aimed at a detailed examination of the emotional intelligence/emotional quotient and its measurement. Currently, the most prominent and relevant methods are compared below:

1) Emotional Quotient Inventory (emotional quotient 2.0)
2) Bar-On Multifactor Measure of Performance (MMP3)
3) Mayer–Salovey–Caruso Emotional Intelligence Test (MSCEIT V-2)

Type of Inventory			
Theorist/s	Boyatzis, R. E., Goleman, D., and Rhee, K. S.	Bar-On, and J. D. A. Parker	Salovey, P., Mayer, J. D., Caruso, D., and Lopes, P. N.

Elements	- 15 specific subscales
	- 5 clusters:
	  1. Self-Perception
	  2. Self-Expression
	  3. Interpersonal
	  4. Decision Making
	  5. Stress Management
	- 360° evaluation
		- 142 items
		- 14 scales and 11 sub-scales:
		  1. Physical Fitness and Well-Being
		  2. Discomfort Tolerance and Stamina
		  3. General Cognitive Competence
		  4. Key Cognitive Competencies
		  5. Applying Experience
		  6. Self-Control
		  7. Self-Reliance
		  8. Decisiveness
		  9. Courage
		  10. Social Awareness
		  11. Connectedness
		  12. Finding Meaning and Acting Responsibly
		  13. Engagement
		  14. Motivational Drive
			- 141 items
			- Use of facial expressions
			- Each of the four branches is measured with two tasks
			- Four branches:
			  1. Perceiving emotions
			  2. Using emotions to facilitate thought,
			  3. Understanding emotions, and
			  4. Managing emotions.

Internal Consistency Reliability Value	0.68 - 0.87	0.76	0.77

Table 2-4 Comparison of EI/EQ measurement methods

2.7.6   *Ability and trait models of measurement*
Two different emotional intelligence constructs can be differentiated based on the method of measurement used to operationalise them:

- Trait emotional intelligence, and
- Ability to emotional intelligence.

It is necessary to examine these to establish the optimum method for this research. Therefore, the following table has been reproduced from K. Petrides, 2011(K. V. Petrides, 2011, p. 658), *Ability and Trait Emotional Intelligence* and compares the two methods.

Construct	Measurement	Conceptualisation	Expected Relationship	Construct validity	Measures
Trait emotional intelligence	Self-report	Personality trait	Orthogonal Unimportant for construct validity	• Consistent with models of differential psychology • Discriminant and incremental validity vis - à - vis personality • Concurrent and predictive validity with many criteria	Emotional intelligence e EQue·
Ability emotional intelligence	Maximum performance	Cognitive ability	• Moderate to strong correlations • Crucial for construct validity	• Inconsistent with models of differential psychology • Awkward scoring procedures • Limited concurrent and predictive validity	M SCEIT TEMNIT STEU/ STEM·
a. Emotional intelligence is the only instrument that is explicitly based on trait emotional intelligence theory and that covers the sampling domain of the construct comprehensively, but it is certainly not the only self-report measure of emotional intelligence (see main text for details) b. Observations in the construct validity column do not necessarily apply to these measures since they are relatively new, and their properties still need to be fully established.					

Table 2-5 Comparison of ability and trait models of measurement models Whilst emotional intelligence the original definition of emotional intelligence conceptualised it as a set of interrelated abilities (J. D. Mayer & Salovey, 1997; P. Salovey & J. Mayer, 1990) (Mayer & Salovey, 1997; Salovey & Mayer, 1990), there has been a schism in the field in the intervening years that led to a blurring of the

determination and description of emotional intelligence. However, evidence for the superiority of an emotional intelligence concept does not exist.

There is much contemporary literary and theoretical debate over what now constitutes emotional intelligence definition and modelling (Cary Cherniss, 2010, p. 111). However, it appears from research that there are three main issues/tensions 1) there are two different constructs of emotional intelligence, 'emotional intelligence' and the other is 'emotional and social competence', 2) diversity and lack of verifiable accuracy of measurement of emotional quotient, 3) the significance of emotional intelligence for critical organisational outcomes, such as leadership effectiveness and job performance.

Central to the research concepts is selecting a measuring tool for the study and falls to the model most closely aligned with establishing a person's traits and abilities concerning coping and managing a crisis. The multifactor evaluates both ability and trait emotional intelligence and includes the main criteria required to establish a person's ability to manage a traumatic incident or crisis. The most appropriate measure for this study is the Bar-On *Multifactor Measure of Performance - MMP3* (Bar-On, 2018, p. 5)*,* which comprises 142 items divided into 14 scales and 11 sub-scales, these being:

1. Physical Fitness and Well-Being;
2. Discomfort Tolerance and Stamina;
3. General Cognitive Competence;
4. Key Cognitive Competencies;
5. Applying Experience;
6. Self-Control;
7. Self-Reliance;
8. Decisiveness;
9. Courage;

10. Social Awareness;

11. Connectedness;

12. Finding Meaning and Acting Responsibly;

13. Engagement; and

14. Motivational Drive.

Resilience is a central capability within the purview of this research, and three factors from MMP3 *(Bar-On, 2018)* that have direct relevance to the resilience capability are:

1) Key Cognitive Competencies;

2) Self-Control; and

3) Motivational Drive.

These factors will be included in the Capability Framework and on an individual's Capability Profile and Development Plans, indicating the suggested learning and development of emotional intelligence. The three factors and sub-factors that comprise the resilience capability are described by Bar-On (Bar-On, 2018, pp. 7-8) as being:

4) **Key Cognitive Competencies**: This composite scale was created to measure a factor that emerged from EFA, which appears to collectively assess the following six subfactors that are important contributors to effective cognitive functioning.

1. Coping and Endurance;

2. Situational Awareness;

3. Flexibility;

4. Resourcefulness and Resilience;

5. Decision-Making; and

6. Preparedness and Readiness.

5) **Self-Control:** In addition to "controlling emotions and maintaining self-composure (Bar-On, 2016, p. 106; 2018), this scale essentially assesses "the ability of people to control their emotions so they work for them and not

against them." Moreover, it evaluates the ability to deal with challenges while maintaining outward composure effectively.

6) **Motivational Drive**: This composite scale was created to measure a factor that emerged from EFA, which collectively assesses the following three sub-factors that are thought to be essential contributors to one's overall motivational drive that significantly impacts performance.

1) Self-Motivation;
2) Determination; and
3) Perseverance.

Appendix 1- Multifactor Measure of Performance - MMP3, Sub-Factors for Self-Motivation and Perseverance includes a detailed description of each sub-factor.

2.7.7 *Emotional intelligence – education and training*

Having established the capabilities (traits and attributes, factors, and sub-factors) that comprise resilience within the scope of this research, the next vital facet to be explored is how to enhance a person's traits and attributes if their emotional quotient measure results indicate that some personal development is required.

It should be noted that this research is from the individual's perspective, not from an organisation's overall capacity. Therefore, this must be explored from the primary standpoint of protection – not performance, although this will also occur. Most organisations and corporations cannot be considered fundamentally benevolent, and there must be an imperative for them to provide costly learning and development programs for their personnel. There is an emerging global awareness that shortly, organisations and corporations with have a duty of care to protect employees' well-being. A current example is content moderators. An estimated 100,000 people work today as commercial content moderators. These moderators are often exposed to

disturbing content, which can lead to lasting psychological and emotional distress. In the paper by Steiger et al., *The Psychological Well-Being of Content Moderators,* 2012 (Steiger, Bharucha, Venkatagiri, Riedl, & Lease, 2021), a literature review:

> "(*Investigates moderators' psychological symptomatology, drawing on other occupations involving trauma exposure to further guide understanding symptoms and support mechanisms".* The role of a moderator is to view (Steiger et al., 2021, p. 1) "*Non-compliant posts range from copyright infringement and infractions of regional speech to obscenity laws, such as profanity or nudity, to disinformation   Extreme visual content can include depictions or actual acts of gore or lethal violence, such as murder, suicide, violent extremism, animal abuse, hate speech, sexual abuse, child or revenge pornography, and more".*

Whilst it could be predicated that content moderators' work might be expected to be unpleasant, it is acknowledged that repeated, prolonged exposure to offence content with limited workplace support can significantly impair the psychological well-being of human moderators. The sequitur to organisations and corporations' imperative to offer training and development for their personnel lies in the July 2021 California court ruling, where the state judge has approved a settlement worth $85 million between Facebook Inc and a class of more than 10,000 content moderators who had accused the company of failing to protect them from psychological injuries resulting from their exposure to graphic and violent imagery. If this is considered a precedent, it will motivate organisations and corporations to protect their employees' psychological well-being.

A prime question must be – can emotional intelligence be trained? This question was addressed in Mattingly et al. paper, "*Can emotional intelligence be trained"? A meta-analytical investigation* (Mattingly & Kraiger, 2019)? Accepting, in broad terms, that

(emotional intelligence) refers broadly to the traits and attributes (abilities and skills) that enable awareness of the emotional states of oneself and others and the capacity to regulate or use emotions, there needs to be further clarification of how these changes can be achieved through learning and development. They explored the efficacy of training and intervention on increasing a person's emotional quotient score by evaluating pre and post-test scores before and after the training intervention. They recognised that *Concerning workplace training interventions, researchers often target jobs perceived as high in stress or emotional labour, such as police officers, nurses, or managers* (Steiger et al., 2021, p. 3)*.* The study found that emotional intelligence training for one day per week for four weeks showed a significant increase in a trait-based measure of emotional intelligence for trained participants. Additionally, the researchers found not only an increase in nurses' emotional intelligence scores but also in their job satisfaction.

It is the researcher's opinion that the efficacy of emotional intelligence training and development is highly relatable to the structure of the training and development programs. Therefore, critical observations for this study by Mattingly et al.' (Mattingly & Kraiger, 2019, p. 11) were:

> "*Our results suggest that trainees should acquire more emotional intelligence when they can discuss the meaning of the construct and how it applies to them, and they will learn less if they sit and listen. For the treatment-control designs, effect sizes were larger when there was practice, feedback, and no coaching and homework. The regression coefficient for practice was particularly high; holding other variables constant, providing practice opportunities results in an effect size 0.75 units higher. Again, the results suggest that training must be active (practice) and personal (feedback). Emotional intelligence scores*

increase when participants can practice diagnosing situations, responding accordingly, and receiving feedback on how well they do. While coaching and homework would seem to be positive training properties, they are both used when training is spread out over multiple sessions, and trainees are expected to do something (e.g., analyse a case or meet with a coach) between sessions".

Therefore, the traditional 'chalk'n'talk' method of training delivery is not preferred.

It is suggested that to meet the requirements that *"the results suggest that training must be active (practice) and personal (feedback)"* (Mattingly & Kraiger, 2019, p. 11), a more 'experiential' method must be utilised. Section 3.9, Protection of Well-Being, 3.9.1 Occupational Risks to Well-being and Risk Mitigation, explains *Major Emergency Management Initial Response (MEMIR) Training* (OPITO, 2020). A unique aspect of this training method is placing people in a 'real-time' simulator, and they are required to respond and react to prescribed scenarios after training on managing a crisis or incident in general terms. This exposes them to traumatic events in a safe environment, and they are exposed to situations where the brain's amygdala and neocortex are both simulated, resulting in a more profound cognitive acceptance and understanding.

2.8 Susceptible organisations

It is essential to identify the characteristics that are considered components of a 'susceptible organisation' within this study boundary of this study and how their organisation's operational requirements may result in persons being 'put in harm's way' or calling on them to manage traumatic or disastrous situations is imperative. However, there is a benefit to persons engaged with susceptible organisations, and organisations such as UNESCO, by a bespoke learning and development plan for

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emotional intelligence learning and development, as identified in a capability profile, to ensure continued well-being after a significant event.

Central to this investigation is the exploration of the synthesis between individual capabilities and emotional intelligence and how organisations can utilise these to minimise or avoid damage and protect a person's psychological well-being by introducing a capability framework for its personnel. A fundamental premise is that all humans are individuals and will respond differently when faced with a traumatic or disastrous situation. Therefore, the focus must be on the individuals' inherent traits and attributes and how they can be enhanced as a protection measure when dealing with trauma and disaster through individualised learning and development for selected domains of emotional intelligence.

For clarity and validity, it is vital to identify the range and scope of the topics for research.

It is also necessary to investigate how some organisations could manage the preparation of persons during and after a major event or engagement with Disaster Relief Operations (DRO).

2.9   What constitutes a susceptible organisation?

Determining the inclusion criteria for organisations in this investigation is essential to this enquiry. The more significant majority of organisations would have little likelihood of the majority of their personnel being required to manage a disaster, catastrophe or traumatic event as part of their occupational roles/responsibilities. However, there are some sectors where the case is the reverse, such as the military, police and emergency services, where the likelihood of encountering and managing a traumatic event is an integral part of their occupational and vocational duties and is often experienced daily. Theorists have suggested that the possibility of managing a

traumatic event is a significant contributing factor in the development of a trauma-related mental disorder and its severity and pre-trauma beliefs about the 'safety' of the person's world at the time of the event and their perceived invulnerability (Cascardi, Riggs, Hearst-Ikeda, & Foa, 1996). For example, evidence suggests that women who are raped in an environment/situation they considered safe, i.e., at home, in bed, at night, had a far higher probability of developing Post-Traumatic Stress Disorder (PTSD) with higher intensity than those who perceived a potential, or real, assault situation as dangerous prior to the assault. Civilians caught in a war or persons in a civil unrest situation present the same psychopathology as combat and civilian trauma (Brown, Fulton, Wilkeson, & Petty, 2000).

The research has incorporated those organisations that may require personnel to manage a disastrous event or catastrophe, either natural or human-created. As previously mentioned, some organisations can expect their personnel to become engaged with major or ultra-high stress-related incidents such as the emergency services, military and some emergency relief organisations. However, this thesis looks towards those organisations where it may not be readily apparent that their personnel may become exposed to a disaster or catastrophe. The types of organisations included in this research are:

- High-reliability organisations (HROs);
- Faith-based organisations (FOBs);
- Charitable organisations (COs); and
- Volunteer organisations (VOs).

This study will collectively refer to these as 'susceptible organisations' for simplicity.

At first glance, some of these organisations may belong to other categories identified. Therefore, further delineation is required and is addressed later in this chapter.

2.9.1 High-Reliability Theory (HRT)

The origin of HRT began with the partial meltdown of reactor number 2 of Three Mile Island Nuclear Generating Station (TMI-2) in Dauphin County, Pennsylvania, and the subsequent radiation leak on 28th March 1979. A *President's Commission on the Accident at Three Mile Island*, created by Jimmy Carter in April 1979 and investigated by a panel of twelve people, specifically chosen for their lack of radical views on nuclear power, and headed by chairman John G. Kemeny, president of Dartmouth College (United States, 1979). The findings showed lapses in quality assurance and maintenance, inadequate operator training, lack of communication of important safety information, poor management, and complacency. Further research was conducted by Charles Perrow in 1979 (C Perrow, 1982), who opinioned that the accident was not the result of operator error or negligence but due to the complexity and interdependence within the system itself. Furthermore, he believed the accident was inevitable and could not have been prevented, foreseen, or averted because it was incomprehensible.

This accident was similar to other accidents in nuclear plants and other high-risk technology-rich processes. Still, in those cases, none of the accidents were caused by incompetence or lack of procedures or regulations. Instead, he offered that this accident he considered as 'normal' was due to the complexity of processes and systems, which might contain multiple defects and faults beyond avoidance, as the circumstances could not be comprehended by operations or be uncovered by pre-planning.

Following the Report of the *President's Commission on the Accident at Three Mile Island, Admiral* Hyman G. Rickover testified before Congress to elucidate why naval nuclear propulsion (as used in submarines and aircraft carriers) had succeeded in

achieving a record of zero reactor accidents, as opposed to the dramatic one that had just taken place at Three Mile Island. In his testimony, he said, "*Over the years, many people have asked me how I run the Naval Reactors Program so that they might find some benefit for their work. I am always chagrined at the tendency of people to expect that I have a simple, easy gimmick that makes my program function. Any successful program functions as an integrated whole of many factors. Trying to select one aspect as the key one will not work. Each element depends on all the others*".

A group at the University of California at Berkeley undertook a review of flight operations on US aircraft carriers to understand better why when performing such complex procedures, there were so few incidents and accidents (Rochlin, La Porte, & Roberts, 1987) and based on the question: asked: 'Given that accidents are highly likely, indeed "normal," in high-risk settings, how is it that some organisations can operate in this environment without error for extended periods'? One outcome of this study was the emergence of the term High-Reliability Theory (HRT), which led to the proposed concept of High-Reliability Organisations (HROs). In addition, other research on HRT and HROs was conducted by the US Federal Aviation Administration (FAA), Air Traffic Control and Pacific Gas and Electric Company's electrical distribution system (Roberts, 1990), and the connections were made between Perrow's theory on Normal Accidents, High-Reliability theory and the individual organisations were identified.

2.9.2 High-Reliability Organisations (HROs)

HRO loosely collectivises companies, organisations, and industries applying the five principles of HROs within everyday operations (Sutcliffe, Paine, & Pronovost, 2017; Weick & Sutcliffe, 2007; K. E. Weick & Sutcliffe, 2001). HROs evolve when society and professionals believe that meeting key organisational goals could be beneficial

(Stringfield, Reynolds, & Schaffer, 2008). However, some of the literature expresses doubts about an organisation's ability to faithfully realise HRT /HRO principles (A. Hopkins, 2007; LaPorte & Consolini, 1991), as exemplified by events surrounding the 1986 Space Shuttle Challenger disaster that led to NASA losing HRO status for several years (Roberts & Bea, 2001).

HRT describes the extent and nature of the effort that people at all organisational levels must engage in to ensure consistently safe operations despite its inherent complexity and risks. It is founded on empirical research (Beyea, 2005; S. W. A. Dekker & D. D. Woods, 2010; K. Sutcliffe, 2011) that shows how safety primarily originates in people's managerial and operational activities at all levels of an organisation.

The author believes that the realisation of the definition of an HRO is nebulous and transitory and may not be realistically achievable if we consider NASA as an example. It was considered an example of how an ideal HRO should operate until the Shuttle Challenger disaster on 28 January 1986. Surprisingly, NASA maintained its status as an HRO for another two years when evidence showed that the tragedy had occurred due to an error in NASA practices and processes. NASA was no longer an HRO in 2001 (K. H. Roberts & Bea, 2001). The findings of the Presidential Investigation of the Challenger Accident by the Rogers Commission (Rogers et al., 1986) indicated that the NASA organisation, culture, and flawed decision-making processes contributed to the apparent mishap. Several measures were implemented to address the issues of the disaster, such as the application of New Public Management (NPM), which incorporated the philosophy of 'Faster, Better, Cheaper' (FBC), which attempted to reduce the overall cost of the space program by designing missions that would be both less expensive and more reliable and again achieving the status as an HRO. This decision to implement FBC was a contributing factor to the twin Mars mission disasters

in 1999 (Cowig, 2003) and the second shuttle catastrophe when the Space Shuttle Columbia (Boin & Schulman, 2008; Casler, 2014) broke up during re-entry on 1st February 2003, killing seven astronauts.

However, despite all the annuities surrounding HROs, for this research, there are certain entities that register as having personnel that may be exposed to traumatic events or incidents.

HROs operate under challenging conditions yet experience fewer problems than anticipated as they have developed ways of "managing the unexpected" better than most organisations (K. E. Weick & Sutcliffe, 2001, p. 9). HROs are identified by their observance of five key traits/principles, these being:

1. Preoccupation with Failure
2. Reluctance to Simplify Interpretations;
3. Sensitivity to Operations;
4. Commitment to Resilience; and
5. Deference to Expertise.

Within High-Reliability Organisations (K. M. Sutcliffe, 2011), it could reasonably be expected that personnel may encounter major critical incidents or crises, where the impact of an error on their behalf may lead to devasting disaster or destruction resulting in multiple losses of life and severe social and financial chaos and long-term environmental damage, examples being the Chornobyl and Deepwater Horizon disasters. The persons making critical decisions under stressful circumstances (e.g., time constraints, decisions under emergency, unexpected, or rapidly changing situations, information overload and agency constraints, may be subject to traumatic impact, both at that time, in the aftermath, and may even surface many years later.

HROs are the most identifiable of the organisations selected for this research as they succeeded in avoiding catastrophes in an environment where 'normal accidents' (Charles Perrow, 2011) can be expected due to risk factors and complexity (Rijpma, 1997). Therefore, the risk of managing a catastrophe can be considered high; ergo, their personnel need protection against harm/damage to their well-being.

Perrow proposed the notion of Normal Accident Normal Theory (NAT) in 1984 (C Perrow, 1994; C Perrow & Grimes, 1985, p. 70). He described Normal Accidents as: 'accidents involving unanticipated interaction of multiple failures in systems with high-risk technologies'. However, the inevitability of normal accident theory has been challenged in many quarters, as there have been system failures with high-risk technologies that did not result in incidents and accidents. Analysing organisational accidents has created two distinct theoretical approaches to the study: Normal Accident Theory (NAT) and High-Reliability Theory – HRT (Shrivastava et al., 2009). Perrow establishes the notion of NAT through his 1984 book Normal Accidents (A Hopkins, 1999). NAT says that there will be serious accidents due to interactive organisational complexity and tight coupling (C Perrow, 1994). In contrast, HRT 'describes the extent and nature of the effort that people, at all levels in an organisation, have to engage in to ensure consistently safe operations despite its inherent complexity and risks' (S. Dekker & D. Woods, 2010, p. 123). The rapid advances in technology exacerbate this situation.

According to Perrow's book, little research was conducted on organisations operating in high-risk contexts performing tasks without accidents or mishaps (Arjen et al., 1999; A Hopkins, 2009; Lowers, 2017; K. Sutcliffe, 2011; UK Health and Safety Executive, 2011) and they 'operate under challenging conditions yet

experience fewer problems than would be anticipated as they have developed ways of "managing the unexpected" better than most organisations (K. E. Weick & Sutcliffe, 2001, p. 9).

One of the central premises behind HRT and NAT is that significant accidents do not merely happen in that one instance; there is a history and set of social and cultural contexts that lead to the accident (Le Coze, 2015; N Pidgeon, 2011) and suggests taking a broader 'systems' perspective approach toward risk mitigation and the role of humans in accidents (Shrivastava et al., 2009). A more comprehensive, systems-based, agency-focused perspective allows consideration of more in-depth intrapsychic elements to ethics-based enactment of policies and procedures, such as values and a sense of well-being of others and self (Crocker, 2009).

HROs base their operations on High-Reliability Theory (HRT) and practices adopted in industries where risk must be minimised to a negligible level or eradicated for sectors such as air traffic control, nuclear power generation, hospitals and surgical departments and some oil and gas sectors operationalise HRT to create their High-Reliability Organisation (HRO) operational framework.

2.9.3 Faith-Based Organisations (FOBs)

Faith-based organisation are organisations whose values are based on faith, beliefs, or credos, which have a mission based on the social values of the particular faith and is directed by the leaders, staff, and volunteers within the FBO. FBO is more inclusive than religious organisations, including non-congregation faith beliefs.

FBOs have offered services to non-faith members and lay people since the inception of religious belief systems. One of the earliest prominent FBOs was the Knights Templars, which protected pilgrims travelling to and from the Holy Land from c.1119

to c. 1312 (O'Gorman & Beveridge, 2012). Global social welfare reforms in the 1990s required establishing a proper relationship between the government and FBOs (Bielefeld & Cleveland, 2013). It was, therefore, necessary to define FBOs and typologies used to place them within the spectrum of religions, services and functions, and identifiers.

An FBO may be defined as 'an organisation, with or without non-profit status, that provides social services and is either religiously motivated or religiously affiliated' (S Goldsmith et al., 2006). Whilst some FBOs have focused on their members' spiritual, social, and cultural needs, many have developed ministries that tend to the physical, spiritual and mental well-being of the community at large, not just their members. In addition, many FBOs engage in trauma/disaster-related support/relief activities, such as the Salvation Army Emergency Services, which provides global support and assistance for natural disasters such as earthquakes, floods, fires and search and rescue missions. This involves the potential of placing their people in 'harm's way', with regards to the risk to the individuals, during and following an event, with as much potential exposure to the harm to their well-being as an airline pilot would be exposed to the same risk during an in-flight crisis.

FBOs, like HROs, are challenged by definitional ambiguity because of how they fit within the national social fabric as part of the social safety net and their influence within the political and social spheres based on the support services they provide to the disadvantaged and needy in times of crisis (S Goldsmith et al., 2006; Khalid et al., 2014; Padró, 2004). FBOs and HROs share some similarities in that they are (1) a sensitivity or mindfulness to change, especially in unforeseen situations, potential danger or failure to discharge their duties (Coutu, 2003; Elizabeth Ferris, 2005; K. E. Weick et al., 2008); (2) how their personnel 'live' their organisation's values to the

extent that these values make up part of personal member identities (Hinderaker, 2015); (3) focus on resilience (Ager et al., 2015; De Crespigny, 2018); and (4) reliance on religious and secular expertise, with more religious FBOs deferring to religious expertise (Ebaugh et al., 2003).

FBO Traits and Qualities (Stephen Goldsmith et al., 2006)	HRT/HRO Traits and Qualities (Roberts & Rousseau, 1989)
Self-identity: The extent to which an organisation identifies itself explicitly as religious and the advantages and disadvantages that this brings.	Hypercomplexity – an extreme variety of components, systems, and levels.
Participants: The extent to which board members, staff, volunteers, clients, constituents, and others adhere to and share religious convictions.	Large numbers of decision makers in complex communication networks – characterised by redundancy in control and information systems. Tight coupling is the reciprocal interdependence across many units and levels.
Resources: The sources of the organisation's resources and the extent to which religion explicitly assists or hinders resource acquisition.	Extreme hierarchical differentiation – multiple levels with elaborate control and regulating mechanisms.
Goals, products, and services: The extent to which religion shapes the organisation's purposes and how these purposes are implemented.	Degree of accountability that does not exist in most organisations – substandard performance or deviations from standard procedures meet with severe adverse consequences.
Decision-making procedures: The extent to which religion determines the processes of decision-making.	More than one critical outcome must happen simultaneously – simultaneity signifies the complexity of operations and the inability to withdraw or modify operations decisions. High frequency of immediate feedback about decisions. Compressed time factors – cycles of significant activities are measured in seconds.
Power and authority: The extent to which religious values determine who has power and authority and how they are exercised.	Tight coupling – reciprocal interdependence across many units and levels
Inter-organisational relationships: The extent to which religion determines with whom the organisation interacts in its environment.	Extreme hierarchical differentiation – multiple levels with elaborate control and regulating mechanisms.

Table 2-6 FBO/HRO traits and qualities comparison

During the 2-year case study with the New Zealand Salvation Army, an officer was interviewed as he had been in Christchurch (the country's second-most populous city) at the time of the 2011 earthquake, which killed 185 and devastated the city and left 80% of Christchurch was without power, water and wastewater services was disrupted. Residents were advised to conserve water and collect rainwater.

Immediately after the quake, the residents were dazed and confused and saw the interviewee's Salvation Army uniform and approached him for help and guidance. At one point, he was sitting on a curb with a family of mother, father and two children, who had lost their house and most of its contents. He provided them with solace and guidance but could offer them no physical assistance, as the city was in chaos. When asked if he had been prepared to meet this challenge, other than in a spiritual nature, for his own personal well-being, he advised that he had not, yet he was part of the emergency response team. He went on to say that he did not see his family for a day after the earthquake, and he felt this was the most traumatic aspect of the emergency, and it left and lasting impact. This is a valid example of how the prior implementation of individual capability and emotional intelligence could have protected his well-being.

2.9.4   *Charitable Organisations (COs)*

Charitable organisations, or charities, are organisations based on the principles of philanthropy and social well-being that serve the common good, public interest or educational advances. A legal definition and restrictions apply depending on the country where the charity is established. Therefore, there is a considerable variation in what constitutes a CO. However, as a general rule, COs are not-for-profit and are able to fund individual persons or entities.

A charitable organisation (CO), either an institution or a business, is identified as a non-profit organisation (NPO) for taxation purposes in most countries in the world and

is referred to as a private foundation is a philanthropic organisation and usually financially provided for by a single source, or by a limited number of sources, such an individual, a family, or a corporation. However, private foundations are not globally legally defined. Still, they are usually required to provide a percentage of their income/assets each year through grants for other recognised charitable activities.

Public charities provide support and aid to an extensive array of organisations, such as hospitals, schools, churches, and organisations, who may then offer grants to others or specifically make grants to others for other altruistic activities. Public charities are supported financially by multiple sources, such as private foundations, individuals, government agencies, and fees for charitable services. Some foundations are public charities because they meet some criteria for qualifying as a public charity. One kind of public charity, known as a 'supporting organisation', is often recognised as charitable simply because of its legal relationship to one or more other public charities. A 'community foundation' is yet another kind of public charity. In some cases, corporate foundations are set up as public rather than private foundations.

Many COs provide aid and support to people worldwide who are still in a state of poverty, without access to proper treatment or adequate education for their children. Regarding this research, they usually provide some aid or relief effort during natural or human-created disasters and provide shelter, food and many other necessary items. However, many COs offer support and aid to a specific theme or focus, such as education or medical aid but don't support the greater community.

2.9.5   *Volunteer Organisations (VOs)*

Voluntary organisations are non-profit-driven, non-statutory, autonomous, and run by individuals who are unpaid for running the organisation. However, some voluntary organisations are also recognised as charities.

Within susceptible organisations, some front-line personnel are actors in extreme circumstances, emergencies, and disasters, such as significant earthquakes, tsunamis, or nuclear malfunction. Therefore, they need to take control of themselves immediately and, in some cases, others and react instantly to the situation.

The common denominator between these susceptible organisations is a strong possibility that their personnel could be expected to encounter major critical incidents/crises, where the impact of an error on their behalf may lead to devasting disaster or destruction, resulting in multiple losses of life and serious social and financial chaos, such an incident being the Chornobyl disaster in Russia or the oil platform, Deepwater Horizon in the Gulf of Mexico. The persons making critical decisions under stressful circumstances (e.g., time constraints, decisions under emergency, unexpected, or rapidly changing situations, information overload and agency constraints) may be subject to stress reactivity and traumatic impact at that time of the incident and its aftermath, possibly many years later.

A voluntary organisation can be described as people spending their time helping others. Numerous groups and associations use volunteers to provide help/aid for cities, counties and countries which may have experienced a disaster, tornado, hurricane or significant snowstorm and offer food, water and, in some instances, assistance with rebuilding and providing local communities with basic services. Some VOs are aligned with a specific religion, but many are non-denominational and encourage open membership.

By definition, persons engaged with VOs do not get financial compensation but provide their time and expertise supporting a cause, specific issue, or activities related to the VO. Many voluntary organisations are adherents of a particular religion, but several are non-denominational and encourage open membership.

2.9.6 *Human resource structure of COs and VOs*

COs and VOs have very similar human resource structures, and it is, therefore, necessary to explore the human resource structure of COs alongside VOs (Guo, Brown, Ashcraft, Yoshioka, & Dong, 2011). A common connection between COs and VOs is that they are both not-for-profit and predominantly operated by volunteers, with the COs usually managed and administrated by employees. Depend on the service and commitment of volunteers and the labour of employees. The utilisation of employees' and volunteers' knowledge, skills and talents is central to the organisation's operation. However, whilst the differentiator is that employees get paid and volunteers do not, the reality is that some employees may also volunteer, and some volunteers may be compensated. A volunteer can be considered an "*individual who performs hours of service' for civic, charitable, or humanitarian reasons, without promise, expectation or receipt of compensation for services rendered"* (Labor, 2011).

Whether persons engaged with a CO or VO as an employee or volunteer is not germane to this inquiry, there must be consideration given to applying their skills, knowledge and expertise, particularly concerning their preparation and training if they are likely to become involved with a traumatic situation.

Training within a CO or VO is highly dependent on the learning culture in the organisation and the degree to which there is recognition of the necessary level of proficiency for the people working, or volunteering, for the organisational mission (Macduff, 2005). However, preparation for an individual to manage and cope with traumatic or disastrous situations does not appear to be a high priority for VOs and COs. Wars, natural disasters, and other types of humanitarian crises usually require support and assistance from aid organisations, often VOs and COs; there is much literature regarding the lack of training/preparation for aid workers outside of

professional and practical topics and subjects. A study of Swedish aid workers returning from 74 missions in 32 different countries were interviewed in a qualitative analysis study (Bjerneld, Lindmark, Diskett, & Garrett, 2004) revealed that whilst they felt positive about their contribution, they felt high levels of stress and frustration. They also felt 'inadequately prepared for tasks that fell outside their professional health care training, including ones demanding pedagogic and management skills'. It was revealed that many healthcare workers responded to the calls for assistance but were unaware of the stresses and demands that humanitarian crisis relief work can place on them, both personally and professionally. While vast sums of money are spent directly on humanitarian assistance, only a small amount is invested in the training or preparation of the aid workers. The budgets of many smaller non-governmental organisations (NGOs) do generally not cover training. However, a study by Randal P. Quevillon et al. **(Quevillon et al., 2016)** explored how the protection of well-being can be achieved by 'self-care strategies and system supports employed in preparation for, during, and after disaster relief operations (DROs) are crucial to relief worker well-being and the overall effectiveness of relief efforts. Individuals who respond to disasters, whether paid staff or volunteers, serve the needs of others and place themselves at risk of physical and psychological harm. Relief/aid workers often report physical illnesses, post-traumatic stress disorder, alcohol abuse, anxiety, depression, psychosomatic disorders, intrusive thoughts, fear of the future, expansive anger, and even death in response to the physical and psychological stresses experienced during relief operations (Quevillon et al., 2016, p. 1348)

2.9.7 *"Helping the Helpers"*

The literature review provided a paper, *Helping the Helpers: Assisting Staff and Volunteer Workers Before, During, and After Disaster Relief Operations* (Quevillon et al., 2016) and is highly relative and relevant to this research, as much for its

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conclusions and recommendations, as for its omissions. The paper 'was written by experienced managers of Disaster Relief Organisations (DRO), Randal Quevillon, Brandon Gray, Sara Erickson, Sara, Elvira Gonzalez, and Gerard Jacobs, with the focus being on self-care strategies and system supports employed in preparation for during and after disaster relief operations (DROs) are crucial to relief worker well-being and the overall effectiveness of relief efforts. The following is an analysis of their work, specifically exploring:

- preparation for, during, and after disaster relief operations;

- reduce negative reactions to stressful emergency work;

- promote growth and mastery; and

- self-efficacy after the experience.

Whilst this paper relates to air/relief workers, who are employees or volunteers, it is also relevant to persons engaged with HROs and FBOs, with the significant difference being the lead-in-time to the event or accident. Persons involved with aid/relief work usually have a period of adjustment to confront the situation, whereas persons in HROs and FBOs are often given no warning of an event or incident, i.e., explosion or earthquake and is very significant as the repercussions of the 'startle effect' (Baird, 2000) are in play, whereas this is not necessarily the case with aid/relief worker, but a rapid change in their situation might initiate this reaction.

In Helping the Helpers, they explored the negative impacts on air/relief workers, such as secondary traumatic stress, vicarious traumatisation, compassion fatigue, or burnout (Pegram, 2015), which can result in stress reactions like sleep problems, depression, anxiety, and post-traumatic stress disorder (PTSD). The degree of severity for responder reactions highly depends on the type of disaster, level of exposure, perceived social support, and supervision support.

The psychopathology in the efforts to reduce stress-related reactivity identified an individual's 'resilience' as a significant contributing factor to turning what could be a negative outcome of an incident or event, into a positive outcome, due to the basic human adaptational systems. A study by Ann Masten (Masten, 2009) proposed a list of resilience factors, including attachments (friends and family), bonds with prosocial organisations, the

presence of community services and supports, cultural standards and rituals, and individual factors such as hope, self-efficiency, and sense of meaning – sensemaking (Karl E Weick, Kathleen M Sutcliffe, & David Obstfeld, 2005).

A key element of this thesis was identified in the work: 'A central tenet of our approach to disaster work is that stress reactions vary widely across individuals and that no single intervention is universally effective. Therefore, one of the most important points that can be made about helping the helpers *is that varied methods–individualised, culturally appropriate, and tailored to the person's needs",* are much more likely to be effective as compared to 'one-size-fits-all' interventions' (Quevillon et al., 2016, p. 1350). However, the paper Mental Health and Psychosocial Support in Emergency Settings Monitoring and Evaluation with Means of Verification (Van Ommeren & Wessells, 2007a) proposes a 'one-size-fits-all' training and education. This proposition is at odds with the fundamental principle of this dissertation that for protection against harm to well-being, the 'one-size-fits-all' will be ineffective, and a tailored Individual Capability profile will be used to enhance a person's capability using emotional intelligence is a vital requirement.

Quevillon et al. make some practical suggestions and observations regarding organisation climate and commitment and the role of leadership and management as contributing factors in supporting aid/relief workers in reducing stress reactivity. Two

predominant issues are identified: 1. It is recommended for best practices within organisations and suggestions for moving organisations toward a supportive climate are key parts of a comprehensive approach to helping the helpers (Quevillon et al., 2016, p. 1351); and 2. by preparing the aid/relief worker a positive outcome can be achieved, 'Attempting to understand the positive outcomes that may result during emergency work (see North et al., 2002; Tedeschi & Calhoun, 2003) can add a dimension to efforts for helping the

helper. Not only can support efforts be geared toward minimising negative outcomes but factors contributing to growth and well-being can also be brought to bear. For example, Paton (2006) suggests that positive outcomes may take the form of workers' increased mastery of professional skills; a more significant appreciation of family, life, and work; and a greater sense of internal control over complex events (Quevillon et al., 2016, p. 1349).

2.10   Approaches to the protection of well-being

The operative word in the thesis title is 'prevention'. Unfortunately, a literature review has revealed very little information or data on providing preventative measures for persons prior to (*before*) an event or incident. Still, there is a volume of material on treating persons post the event (*after*).

A search in Google Scholar for '*prevention of trauma-related disorders*' provides results such as *Prevention of post-traumatic stress disorder after trauma: current evidence and future directions; Brief psychological interventions (" debriefing") for trauma-related symptoms and the prevention of post-traumatic stress disorder; Evidence-based treatments for trauma-related disorders in children and adolescents.* These titles suggest that prevention is to be applied after a traumatic event or incident. That is to say, the seeds of a traumatic-related disorder have been sown, and the

prevention and the treatment are only to avoid it developing further. This suggests a distinction between primary and secondary prevention.

Primary prevention includes any intervention designed to prevent trauma exposure as well as attempts to improve resilience before a trauma.

Secondary prevention could occur for asymptomatic individuals but also for those who have symptoms but do not yet meet the criteria for PTSD, e.g., those having symptoms for less than one month. Secondary prevention is targeted toward individuals meeting the criteria for ASD. The distinction between ASD treatment and PTSD prevention may not always be clear, but we will focus on studies that assessed the subsequent development of PTSD rather than merely changes in ASD symptoms.

The paper *Prevention of Trauma and Stressor-Related Disorders: A Review* by Howlett and Stone (Howlett & Stein, 2016, p. 366) states: "*Overall, evidence for preventive interventions for ASD and PTSD is scarce. The evidence has not supported some interventions, while others have shown promise but require further testing. Approaches to prevention of ASD and PTSD have taken several different avenues*".

The different avenues indicated above are:

- Prevention of Traumatic Incidents – the prevention of stress-related disorders by preventing exposure to trauma. This is not a practical solution in susceptible organisations.
- Pre-Trauma Resilience Building - reviewed studies of pre-deployment interventions meant to mitigate the impact of combat-related stressors in military populations. Approaches included psychoeducation programs to educate military personnel about reactions to trauma and stress inoculation training, which aims to

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improve their ability to cope with stressors. However, most studies were descriptive and did not include a control group to compare outcomes (Howlett & Stein, 2016, p. 360). It should be noted that this approach is fraught with danger as for the programs to be effective, they must be as realistic as possible, and this could create a traumatic event for a person that may induce the disorder they are attempting to prevent.

2.10.1   Occupational risks to well-being and risk mitigation

As previously stated, most organisations comply with legislation and 'duty of care' obligations, but there is no evidence to suggest that persons they engage, who might be considered as 'being at risk' of encountering a traumatic event or disaster are prepared to personally manage and cope with their response/s.

An exemplar of a situation where escalating and deteriorating circumstances led to people being called upon to look towards their capability rather than their occupational competence was the events that occurred at the Memorial Medical Centre (Fink, 2013) during and after Hurricane Katrina in New Orleans, Louisiana on 29th August 2005. New Orleans is built below sea level and relies on several large pumps to prevent flooding.

Hurricane Katrina struck New Orleans, Louisiana, on 29th August 2005. In the storm's aftermath, the levees (protective banks) failed along Lake Pontchartrain and the surrounding canals. This resulted in widespread flooding, loss of life and the shutdown of all essential services, power, water, sewage, and gas. Fire, police, and ambulance services were non-existent. On Wednesday, 31st August, United States Health and Human Services Secretary Mike Leavitt reassured the public that 2,500 patients would be evacuated from hospitals in Orleans Parish. However, it wasn't clear initially where

they would be moved. By Tuesday, 30th August, there were still over 250 patients trapped at the centre, and medicines had run out. On 31st August, the generators stopped at 02.00, and the backup batteries only lasted 30 minutes, which led to 5 days without power - leaving the centre without lights, air conditioning, sewer systems and essential medical equipment, 42^0 C plus temperatures outside the building. The centre described the situation as being 'battlefield' conditions, with 10 feet of water in the basement, and there was shooting and violence nearby; they had no fresh water. The medical staff had stopped treatment (no electrical supply meant no medical records) and focused on keeping patients comfortable. Staff members brought their pets with them to MMC prior to the arrival of Katrina, but doctors and nurses began to euthanise their pets as they could not be fed or watered.

When the Emergency Services reached the centre, they recovered forty-five bodies from the Chapel in the hospital (there were four bodies at the centre before the arrival of Katrina). Toxicology tests were performed on forty-one bodies, and twenty tested positive for one or both drugs, morphine and midazolam, with nine alleged cases of euthanasia at the centre. A coroner was engaged to determine the patient's cause of death through autopsies. The coroner detected morphine in all nine bodies. As a result, Dr Anna Pou and two intensive care nurses, Cheri Landry and Lori Budo, were charged with second-degree murder for euthanising the patients. However, a grand jury in Orleans Parish refused to indict Dr. Pou and the nurses on any counts. Eventually, the charges were expunged, and the State of Louisiana paid Pou's legal fees.

Reflection on the incident goes to the heart of this research. The doctors and nurses were, under normal conditions, occupationally competent to fulfil their roles and responsibilities with regard to patient care, drug administration, patient condition monitoring, etc. However, with deteriorating conditions and circumstances, their

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reliance moved from competence to capability, to draw on their innate capabilities (traits and attributes), not only to manage the patients but also their own internal core beliefs and values to make decisions and take actions that would be reviewed through a lens in a highly different environment. In the United States, many medical practices, centres and hospitals present as HROs; an exhaustive literature search has yet to provide information on how persons are trained to deal and cope with extraordinary conditions. Whilst it is not advocated that all personnel within susceptible organisations should be considered at risk, the persons who are most likely to cope with or manage a traumatic or disastrous event, such as operational managers, should have a capability profile where risks could be identified. Solutions offered to minimise harm to specifically that person's psychological well-being.

Some industries, such as the international oil and gas sector, recognise the need to prepare people to deal with disastrous situations and events. For example, the offshore Petroleum Industry Training Organisation (OPITO) developed a Major Emergency Management Initial Response (MEMIR) Training Standard in March 2010 (OPITO, 2020), and this is now the accepted international norm for all persons engaged in the offshore oil and gas sector for offshore installation managers (OIMs) and individuals who are either designated as being in charge of, are members of, or provide support to an emergency management team in an emergency. An example of the effectiveness of this training was demonstrated by the 2010 explosion onboard the drilling platform Deepwater Horizon in the Gulf of Mexico, where 11 persons were killed and many people injured, it became one of the worst environmental disasters the world has seen. It was acknowledged by the owners and operators of Deepwater Horizon that whilst there was an initial loss of life of 11 people, the fact that there were no further deaths, or serious injuries, during the abandonment of the platform could be attributed to the MEMIR training the senior personnel had received.

Professor Andrew Hopkins (A. Hopkins, 2012) investigated the human and organisational contributing factors that led to this disaster, in the evolution of the explosion and its aftermath. He acknowledged that it is essential to know what people did, but even more important to understand why they did it. However, it did not address the effects on the individual actors in the incident.

Whilst EMIR training provided the person with the competence to deal with the incident, no consideration was given to their capacity to manage it.

The Major Emergency Management Initial Response Training Standard - Revision 3 Amendment 1 (January 2020) (Full version - Thesis Volume 2 - Major Emergency Management Initial Response Training Standard) addresses the aspects of stress when dealing with an incident in Module 1, element 1.5 – Dealing with Stress (Figure 3 – Module 1, element 1.5 – Dealing with Stress) speaks directly to the causes and identification of stressors, management of the situation and team response, but does not address how the individual is managing internally or how to process the event/s and its effects and the protection of their psychological well-being. Now evidence was found on how the senior personnel on Deepwater Horizon reacted after the disaster or if they developed any post-event psychological issues, such as ASD and PTSD.

However, the risk of developing 'trauma disorder' could be mitigated if the person had undertaken an Emotional Intelligence evaluation (R Bar-On, 2006b) that would gauge their abilities to recognise, understand, and regulate their emotions and to respond to those emotions in constructive ways that would allow of effective communication and empathy with others, and overcome challenges. In addition, if the evaluation results were compared against their Capability Profile (required competencies and capabilities for the role/position), it would establish individual traits and attributes that the individual

may not innately possess and indicate areas where learning and development could be provided to enhance their capabilities.

2.10.2   Startle response

Before exploring the startle effect phenomena, the sequence of events during an accident/incident needs to be established and examined. The global aeronautics industry has an unparalleled history of accident and incident investigations. The first procedures for air accident investigations were laid down in 1928 by the US National Advisory Committee for Aeronautics. Accident investigators were obliged to investigate an accident's primary and causal factors (Ames, 1928). In accident investigation, there are five steps in an 'accident/incident chain': 1. The Situation, 2. The Unsafe Habit, 3. The Unsafe Action, 4. The Accident and 5. The Result. However, these may be the accepted steps for an accident/incident; however, these cannot be applied in cases of an explosion, earthquake, or other natural disasters, which are beyond the control, or sphere of influence, of the person who may need to manage the accident/incident. Therefore, step 4) is the pinnacle that this study must consider. Also, the accident/incident was believed to be traumatic by the person involved. There are three defining elements of a traumatic event, including 1) negative valence (feeling or emotion received negatively), 2) lack of controllability, and 3) suddenness (E. B. Carlson & Dalenberg, 2000, p. 5). All three of these defining elements are present in the case of an explosion, earthquake, or other natural disaster.

Below is a visual representation of the Trauma Experience offered by the Peace After

Trauma

Figure 2-5 Trauma experience

Star Team @ Eastern Mennonite University
(Adapted from Olga Botcharova
Published in Forgiveness and Reconciliation
Templeton Foundation Press 2001)

When a person experiences a sudden traumatic event, their initial response is a primal,

defensive reaction to sudden or threatening stimuli, usually involuntary. In the figure

above, the first reactions to threat or trauma are psychological responses, which are 1) freeze and 2) fight/fight response. In the human brain, at the core of a neural system is the amygdala, which processes fearful and threatening stimuli, including detecting threats and activating appropriate fear-related behaviours. "*Our mental model shrinks as the focus is narrowed to the essential senses, at the expense of pain and all other input. Adrenaline and cortisol reprioritise and turbocharge the body for survival. High-priority habits and survival instincts take precedence over cognitive skills, processes, and finesse in the slow mind. This is the startle effect*" (De Crespigny, 2018, p. 313).

The startling effect is an innate 'fight or flight 'response that assists in coping with or fleeing (fight/fight response) and invokes high levels of physiological and affective arousal usually exhibited as experienced as fear or anger. This is an unlearned, preparatory response of the body and the mind to danger. The person becomes hyperalert or hypervigilant to one's threats and surroundings, and the person experiences hyperarousal to enable flight or defense (E. B. Carlson & Dalenberg, 2000, p. 7). However, this primordial reaction is effective if a sabretooth tiger is encountered. Still, it could be more counterproductive in any situation where you must stay calm, make rational decisions, and have situational awareness and sensemaking.

In Richard de Crespigny's book Fly!(De Crespigny, 2018, p. 308) He offers insight into managing this phenomenon by proposing training for the startle effect, which will "*reduce our predisposition to stress and panic. He proposes that the practice of dealing with traumatic events before they occur and this trains the mind to change from a fast, rapid response t (habits and instincts) to a slow mind (reasoning and sensemaking), which allows it to assess the situation and monitor the results of actions*" (De Crespigny, 2018, p. 319). He suggests repetitive training with similar events and "*the*

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key is to put in enough practice beforehand to train and desensitise the fast mind (habits and instincts). Hence, it remains our autopilot, handling the immediate responses during stressful or threatening situations".(De Crespigny, 2018, p. 314). However, Captain Sullenberger, the airline pilot who landed a plane on the Hudson River in New York, states in his book that it is only possible to train for some eventuality (Sullenberger, Sullenberger, & Zaslow, 2009). Therefore this study will explore developing the individual to respond to the event/incident through their cognitive processes.

However, it should be noted that about 9% of those exposed to traumatic stressors develop post-traumatic stress disorder (PTSD) (Breslau, Chilcoat, Kessler, & Davis, 1999; Yehuda et al., 2015), and in women, it was found that this metric was almost double (Yehuda et al., 2015). This is a significant observation concerning this study as to why a potentially traumatic event evokes a traumatic response in some people but not others and endorses the notion that a person's emotional intelligence traits and attributes could significantly contribute to avoiding trauma-related dysfunction.

2.10.3   Resilience

Within this study, it is necessary to establish the types of resilience. Resilience is the ability to withstand adversity and recover from complex life events or incidents. However, resilience does not mean people don't experience stress, emotional upheaval, or suffering, nor is it mental toughness. Resilience is working through emotional pain and suffering to gain control of oneself as soon as possible after adverse effects of a natural or manmade threat and to manage and control events with sound reasoning, sensemaking and value judgement decision-making (J. Carlson et al., 2012). This study explored three aspects of resilience, 1) overcoming

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the startle effect, 2) managing the situation, and 3) avoidance of long-term harm to well-being.

It should be noted that within the context of this study, resilience is collectivised as a capability distinct from a competence.

Whilst there are many definitions of resilience, the most relevant offered is: "*The term 'resilience, … implies both the ability to adjust to 'normal' or anticipated stresses and strains and to adapt to sudden shocks and extraordinary demands. In the context of hazards, the concept spans both pre-event measures to prevent disaster-related damage and post-event strategies designed to cope with and minimise disaster impact*" (Tierney, 2003, p. 3).

> Over 6 million years, human beings have gradually evolved a well-developed social intelligence based on controlling and refining emotions. Full rationality of emotions has primarily evolved over the last 100 years. In 2002 Massey (Massey, 2002) proposed that: "*Because of our evolutionary history and cognitive structure, it is generally the case that unconscious emotional thoughts will precede and strongly influence our rational decisions. Thus, our much-valued rationality is more tenuous than we humans would like to believe. It probably plays a smaller role in human affairs than prevailing rational choice theories would have* it" (Massey, 2002, p. 25).

There is evidence that our emotional processes can influence our cognitive processes. However, our mental processes can regulate or modify our emotions. To protect a person's well-being, they must control these interactions and apply this to solving problems and making wise decisions, using <u>both</u> thoughts and feelings or logic <u>and</u> intuition. This ability speaks directly to emotional intelligence.

2.10.4   Dual process theory

The dual process theory proves that thought can arise in two processes, 1) implicit-automatic, unconscious process, and 2) explicit-controlled, conscious process.

Daniel Kahneman 2003 (Kahneman, 2003) provided further interpretation of the modes of cognitive function, calling them 'intuition' (System 1) and 'reasoning' (System 2). Intuition is associative reasoning, fast and automatic, and opinioned that this kind of reasoning was based on formed habits and very difficult to change or manipulate. On the other hand, the reasoning was slower and much more volatile, subject to conscious judgments and attitudes that were easier to alter.

Many of the researchers and theorists investigated in this literature review refer to this 'two minds' theory:

- William James – Mind 1 Associative/Mind 2 True Reasoning (James, 1890)

- Goleman - Mind 1 Emotional/Mind 2 Rational (Goldman, 1986; D Goleman, 2009)

- Kahneman – Mind 1 Intuition/Mind 2 Reasoning (Kahneman, 2003) and

- De Crespigny - Mind 1 Fast/Mind 2 Slow (De Crespigny, 2018).

The figure below is a graphical representation of how the brain manages process, intuition, reasoning, process and content, as suggested by Kahneman.
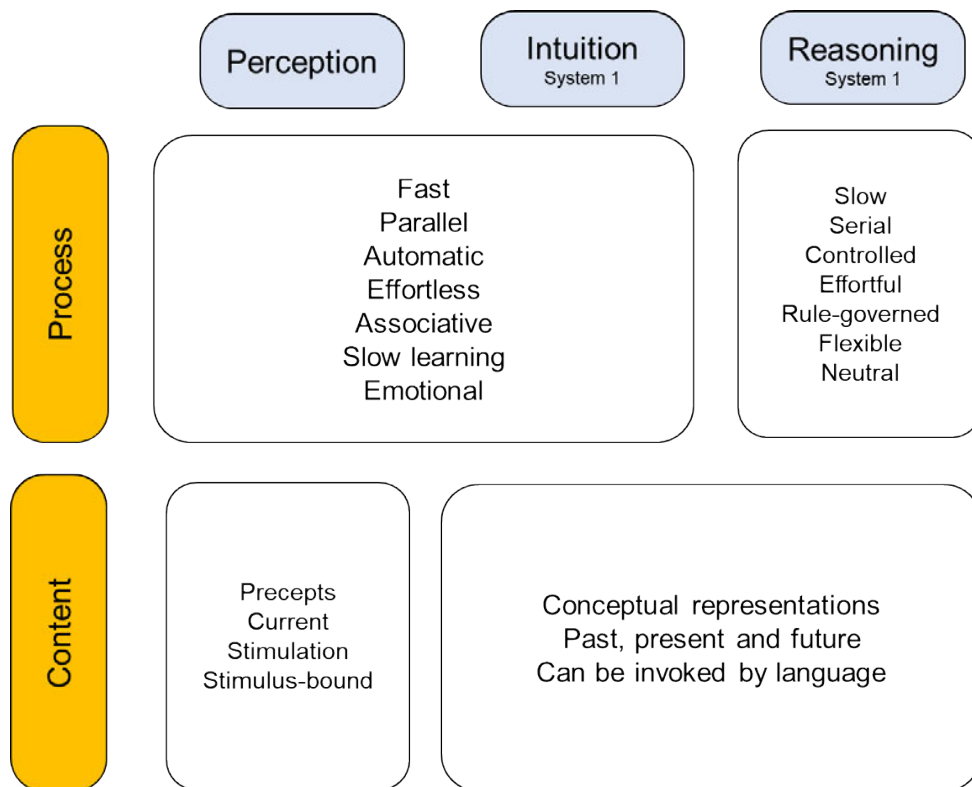
Figure 2-6 Process and content in two cognitive systems

Reproduced from A Perspective on Judgment and Choice, Kahneman, 2003 (Kahneman, 2003, p. 698)

Section 3.8.1, Startle Response, noted that in the brief period of cognitive dissonance generated in the brain 'freeze' (fight-or-flight), it is nearly impossible to think clearly and solve critical problems. However, how quickly we can recover, decision errors we make in this crucial time can be catastrophic in certain circumstances. The startle response is deeply entrenched in the brains System 1 – Intuition (fast, parallel, automatic, effortless, associative, slow learning, emotional), with post-stimulus reaction is extremely fast, with the first measurable responses starting at 10-20ms (Baird, 2000; Fetcho & McLean, 2009), and the maximum disruption was found to occur during the first 5 seconds. However, after a startle, a lesser but significant decrement may last from 10 to 30 seconds (Landman, 2019; Thackray & Touchstone, 1970). In summary, a startle response can last up to 30 seconds (dependent on the

person, situation, etc.), but it is critical in coping with and managing a crisis. Therefore, to change the mode of thinking to System 2 – Reasoning as quickly as possible. Thus, the first mental intervention in a crisis is to move as rapidly as possible from System 1 – Intuition to System 2 – Reasoning (slow, serial, controlled, effortful, rule-governed, flexible, neutral); this will be the mental state in which the solution will be found. A mind in a 'reasoning' state needs to ensure that the information and data it receives is made sense of, or it is 'sense-making':

> "*More exactly, sensemaking is the process of creating situational awareness and understanding in situations of high complexity or uncertainty to make decisions*" (Klein, Moon, & Hoffman, 2006).

2.10.5 Reasoning and sense making

A person in System 2 – Reasoning thinking in a crisis will require a 'situational awareness' that will allay their fears or put them into perspective to make rational, valued informed decisions. Therefore, sensemaking is vital in a crisis control/management situation.

Phenomena of sensemaking, like many other theories, emotional intelligence, emotional quotient, capability, etc., have dual paradigms; the early theories and research were grounded in the 'individual' (Quevillon et al., 2016, p. 1349), then over time morphed its focus towards 'organisational'(Quevillon et al., 2016, p. 1351). Both these paradigms have a valid place in this study. However, there is a need to explore the events and actions of the individual and the impact these have on the organisation. Therefore, both of these aspects will be explored in parallel.

Weick, in his 1988 paper, *Enacted Sensemaking in Crisis Situations (K. E. Weick, 1988),* made several pertinent observations*:*

First, 'Sensemaking in crisis conditions is made more difficult because the action instrumental to understanding the crisis often intensifies the crisis' (K. E. Weick, 1988, p. 305).

This is true from an individual and organisational perspective. After recovering from a startling response, a person automatically needs to make sense of their situation and circumstances. Second, an inhibiting phenomenon to action is paralysis, both individual and organisational, known as 'information overload' (Schick, Gordon, & Haka, 1990). This inhibits and confuses information processing capacity to meet information processing requirements and creates the potential for further chaos and dysfunction. Third:

'*Sensemaking in crisis conditions is more difficult because the action instrumental to understanding the crisis often intensifies the crisis" …There is a delicate trade-off between dangerous action producing understanding and safe inaction which creates confusion"* (K. E. Weick, 1988, p. 305)*.*

Sensemaking in a crisis is vital to arrive after an event or incident, preferably a successful outcome. Weick opinioned:

"Explicit efforts at sensemaking tend to occur when the current state of the world is perceived to be different from the expected state of the world, or when there is no obvious way to engage the world. In such circumstances, there is a shift from the experience of immersion in projects to a sense that the flow of action has become unintelligible in some way" (Karl E. Weick, Kathleen M. Sutcliffe, & David Obstfeld, 2005, p. 409).

2.11   Chapter summary

This literature review has been penetrating and inquisitory through the necessity to investigate unknown phenomena, such as the synthesis of the capability approach, into a capability framework based on emotional intelligence to provide an individual's growth and development plan. Whilst much information and data on each of the elements individually, something that amalgamated these into a workable, practicable process needed to be identified. Therefore, the development and application of a Capability Framework, as explained in Chapter 5 – Case Study, is in itself an original contribution to knowledge surrounding the practical application of the capability approach, capability framework, based on emotional intelligence.

Additionally, the literature review revealed very little dialogue or narrative on preventive, pre-deployment/event programs for persons in susceptible organisations. Whilst there is a plethora of information and data on identifying and treating ATS and PTSD, few papers and articles mentioned preventive programs, and none provided an effective pre-deployment/event strategy or program.

The notion of well-being is both complex and multifaceted and a subject that has been wrestled with since immemorial. Of all the various constructs and interpretations, the most relevant for this study is the protection of psychological well-being (PWB). There is a contemporary move to protect psychological well-being, mainly due to the financial burden it imposes on organisations. However, in most damage to psychological well-being, the response has been reactive instead of proactive (Quevillon et al., 2016). Well-being is inextricably linked to a person's capability.

2.11.1   Capability approach

Operationalisation of the Capability Approach (Chiappero-Martinetti, 2015) and the tension surrounding its implementation in an organisation. Chapter 5 – Case Study

provides in-depth research into the design and implementation through a Capability Framework, which is described as:

> "*A capability framework is a set of detailed and behaviourally-specific descriptions of the key behaviours, and underlying skills, knowledge, abilities and attributes, which are required for successful performance in an organisation, team, or job*", (People Measures, 2013).

There is much debate regarding the term 'capability' and its interpretation. Here again, we meet the dual paradigms of 'organisational' capability (S Hase, 2000) and 'individual capability' (S Alkire & Deneulin, 2009; J. Bonvin, 2012), and this study explores both subjects. There is another tension that will be addressed under 'Emotional Intelligence' in this summary: the relationship between a capability (as distinct from a competence) and traits and attributes associated with emotional intelligence.

2.11.2   Susceptible organisations

For this research, susceptible organisations are those that *"it may not be readily apparent that their personnel may become exposed to a disaster or catastrophe"* (page 60). These organisations can be considered from two perspectives. Firstly, identifiable High-Reliability Organisations (HROs) (A Hopkins, 2009; Roberts, 1990) operate in an environment of low probability and high consequence. Secondly, organisations that there is a reasonable expectation that their personnel would be exposed to a disaster or catastrophe, such as charitable and relief aid workers. The paper by Quevillon et al., *Helping the Helpers: Assisting Staff and Volunteer Workers Before, During, and After Disaster Relief Operations* (Quevillon et al., 2016), highlights the need to support personnel from an organisational perspective to provide support 'before, during, and after', the paper, and other literature searches, provide little evidence that there is any

preventative, or pre-operational, assistance given before deployment, but there is a plethora available post-deployment.

Whilst there is a dearth of literature on the prevention of harm to well-being, there is growing evidence to support the notion that there is an emerging imperative for organisations to provide this for their employees (Steiger et al., 2021).

2.11.3   *Emotional intelligence*

The notions and concepts of emotional intelligence have drastically changed in past decades, and in some instances, it needs to be more recognisable concerning the original theorist models (J. Mayer & Salovey, 1993; Payne, 1985; P. Salovey & J. Mayer, 1990). Likewise, with notions of emotional quotient, from early concept (Beasley, 1987) to contemporary systems(Bar-On, 2016) and applications (Kazmi, Hafeez, & Hassan, 2020), the shift has been away from the individual and moved towards the organisational perspective. However, there needs to be more cohesion regarding definitions of terms related to emotional intelligence and emotional quotient. For example, the proponents of the different methods of emotional quotient measurement do not have agreement on the nomenclature to delineate between subdivisions: clusters (R. Boyatzis, 2008; Cartwright & Pappas, 2008), scales and sub-scale (Bar-On, 2018) and branches (Brackett et al., 2011; Salovey & Pizarro, 2003). Within the realms of this thesis, this is a pivotal issue as there needs to be colouration to capability assurance and capacity framework.

It has been determined that the most suitable evaluation method for the emotional quotient is MMP3 (Bar-On, 2018), using scales and sub-scales. This study applies the terms 'capabilities' and 'traits and attributes' to delineate scales and sub-scales, which have far-reaching implications when utilised in a capability framework.

2.11.4   *Protection of well-being*

The essence of this study is the protection of well-being. However, the proportion of persons in the workforce who would be expected to control and manage a disaster or crisis is very small. However, those that fall into this category in a susceptible organisation do need to be given development and training before the event or incident. The method of providing this development and training is also crucial for the completeness of this study and is expanded upon in Chapter 7 – Example of Protection of Well-Being Program.

CHAPTER 3. CONCEPTUAL FRAMEWORK

The role and function of the conceptual framework must be determined to provide a degree of understanding for the reader. The following definition provides the basis of the conceptual framework for this thesis (2021, December 20), retrieved from https://academicguides.waldenu.edu/library/theory).

> *'A conceptual framework includes one or more formal theories (in part or whole) as well as other concepts and empirical findings from the literature. It is used to show relationships among these ideas and how they relate to the research study.*

3.1 Introduction

The preceding chapter provided a broad outline of this research. This chapter will position the various theories, concepts, variables, and elements, as they relate to each other within this thesis proposal. A conceptual framework is a network or a "plane" of linked concepts and offers a procedure of theorisation for building a conceptual framework as it provides flexibility and capacity for modification, with an emphasis on understanding instead of prediction.

The conceptual framework is a lens for formulating the key aspect of the thesis research questions, constructing the literature map of research (J. W. Creswell & Creswell, 2017), and data analysis. It serves to identify the links between the foundational theories, concepts, and previous research in the various related fields that include:

- Thesis Statement;

- Research Topic;

- Purpose Statement;

- Theories;

- Research Questions;

- Graphical Conceptual Framework;

- Literature Map of Research;

- Independent Variables; and

- Dependent Variables.

The formal approach to a dissertation is that the conceptual framework is created after the literary review has been conducted, to provide context and expand on why the reach is worthwhile. However, a two-year case study has been completed and the majority of the literary review had been conducted during the execution of the case study. Therefore, the purpose of placing the conceptual framework in the position of the thesis is to enable the creation of a *Literature Map of Research*, which will ensure that all aspect of the research is covered in the review and provide a synthesis of the literature on how to explain the phenomenon, identify variables and offer the study paradigm.

Chapter 3. The Literature Review will explore the theories, concepts, and elements and highlight the gaps in the literature related to this dissertation argument and provide a contribution to the body of knowledge.

3.2   Thesis statement

The thesis statement is:

> *Every person should have the right to the protection of their psychological well-being, from harm or damage, when experiencing a catastrophic or disastrous event or incident during the performance of their occupational role.*

Those persons within organisations that may be exposed to these events or incidents should be prepared to manage the emotional trauma they experience and prevent damage to their psychological well-being.

Utilising individual capability, conjoined with emotional intelligence, the persons' unique strengths, traits, and attributes and mapped against the occupational requirement of a role or position, and an individualised development program is created.

This protection of psychological well-being must be applied prior to the commencement of a position or deployment.

3.3   Research topic

The research topic for this thesis is:

The protection of psychological well-being from harm following exposure to a traumatic incident or disaster within a vocational setting, by using the capability approach and emotional intelligence to develop an individualised growth and development plan.

3.4   Purpose statement

The purpose statement gives the context to the issues that caused the researcher to conduct the study.

There is an ever-increasing potential for persons to become involved with or manage a disastrous or calamitous event. Therefore, susceptible organisations must safeguard an individual's psychological well-being from damage or harm.

The literature review has provided little evidence that persons are prepared to cope and survive the involvement or management of a disastrous or calamitous event. Whilst they are provided with occupational competencies in crisis

management, they are not prepared as individuals. Whilst there is much literature on how to deal with the aftermath, little is done to protect the psychological well-being before, during, and after the incident or event.

3.5   Concepts

The concepts within this thesis are abstract ideas that provide a foundation for the key issues and elements of the research paper.

Concept 1: Persons faced with coping and managing a disaster or catastrophe will respond and react differently. Their responses will be dependent on their individual traits and attributes, either innate or acquired.

Concept 2: Stress reactions vary widely across individuals and no single intervention is universally effective, but damage to psychological well-being can be minimised by using an individualised development plan to enhance their traits and attributes in advance of the event or incident.

Concept 3: People should have a basic right to live lives that they have reason to value, and this must not be impaired by occupational or volunteer events or experiences.

3.6   Theoretical approach

The raison d'être for this thesis is the protection of psychological well-being under certain extreme conditions and circumstances.

There a several contributing factors to providing a theoretical approach to the prevention of damage to well-being and these will be explored and expanded on in the literature review process their interrelatedness is graphically displayed within this chapter. The figure below provides also provides a graphical representation of the

process that can be applied to create a pathway to protection, before, during, and after, a traumatic or disastrous event or accident.

| Identification of individual Traits and Attributes | Identification of Occupationally Required Competences/ Capabilities | Identification of Traits and Attributes for Individual Enhancement | Creation of Growth and Development Plan | Development of Cognitive Processes to Manage Stress and Trauma |

Emotional Intelligence(EI) Test (Emotional Quotient – EQ)

Capability Framework

Mapping Capabilities to EQ Individual Gaps)

Education and Development for Individualised Trait and Attribute Enhancement

Figure 3-1 Conceptual approach for prevention of damage to well-being

An example of how a *Prevention of Damage to Psychological Well-being Program* could be applied in a real-world setting is outlined in Chapter 7 – Example of a Prevention of Damage to Psychological Well-being.

3.7 Research questions

These research questions shape the systematic investigation and the foundation of recording accurate research outcomes.

1. *Can Sen's and Nussbaum's notions of the Capability Approach be operationalised and practically applied in conjunction with Emotional Intelligence?*

It is essential to the veracity and validity of the thesis that argues that the notion that the capability approach cannot be operationalised is disproved by evidence. This is provided by the results of the case study. It was conducted, through the lens of

developing and implementing a practical operational capability framework, in an

occupational setting, to assist in the support of a person's occupational role and well-being.

It has been argued that the operationalisation of the capability approach may be flawed or impractical (Chiappero-Martinetti, 2015) to measure poverty or well-being. Whilst it is beyond the scope of this inquiry to address the issue of poverty, as an inclusion, the protection and enhancement of psychological well-being are within the remit of the investigation. The capability Approach (Robeyns, 2017b) as is applied to wellness not on the fiscal or financial dimension, but on the notion that freedom to achieve well-being is a matter of what 'people can do and be', and thus the kind of life they are effectively able to value and lead.

There is an imperative to determine what organisations could become involved with a traumatic or disastrous event when there might not be an apparent and obvious link.

2. *What are the types of organisations are susceptible to a traumatic event or disaster that a person may be required to manage/cope with, as part of their vocational or volunteer role/function?*

Not all organisations or corporations have roles or positions where the employees may be exposed to trauma or disaster. Therefore, it is essential to identify and delineate the organisations and corporations that may have 'at-risk' positions which this research relates to.

Can individual capability, based on Emotional Intelligence (EI), and used protect the well-being of persons, who may need to cope/manage with a critical incident/crisis, as part of their vocational or volunteer role or function?

3.8   Graphical conceptual framework

The graphical conceptual framework is a summary and analytical tool that has been used to explore research that has been conducted by others concerning the fundamentals, variations, and contexts and makes conceptual distinctions, and provides an indication of the relationship between fundamentals.
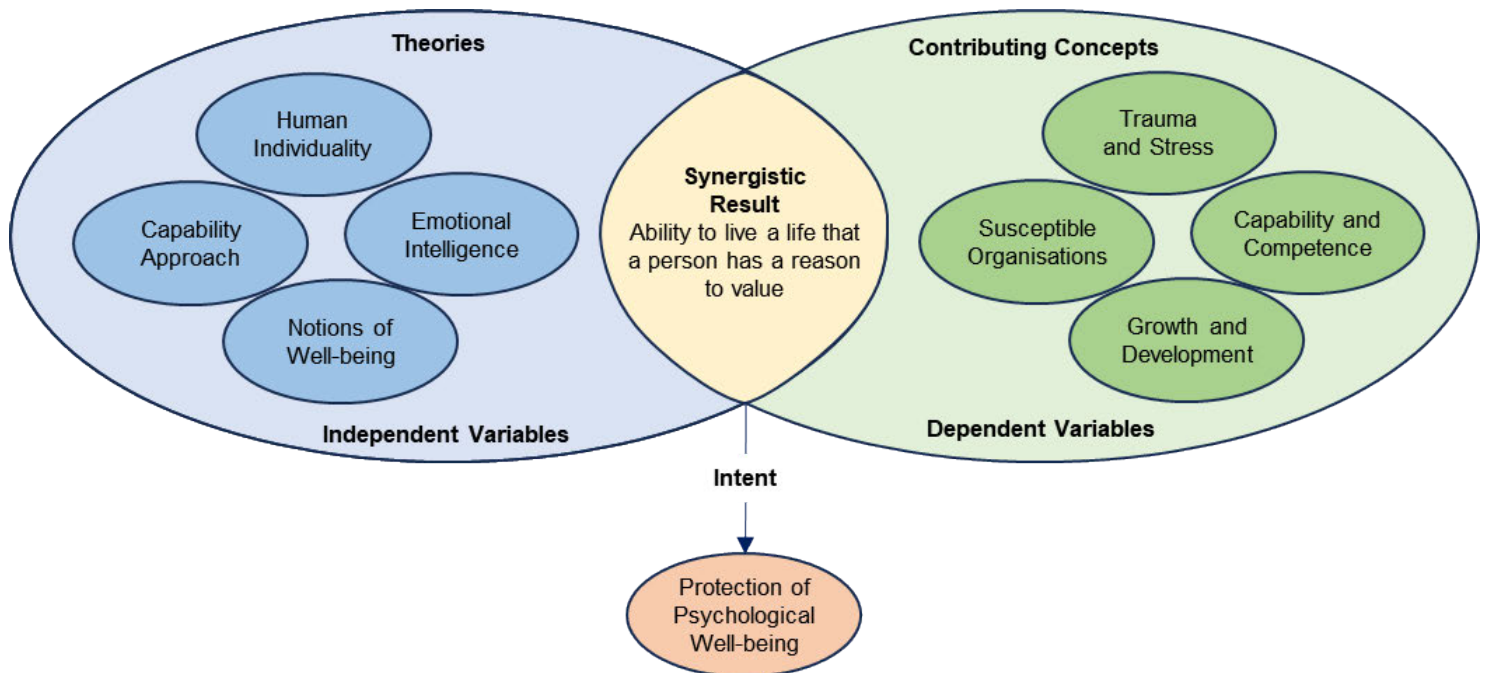
Figure 3-2 Conceptual framework

3.9   Literature map of research

The notion of a *Literature Map of Research,* as described in Creswell's *Research Design: Qualitative, Quantitative, and Mixed Methods Approaches* (J. W. Creswell & Creswell, 2017)provides a vehicle to ensure that the theories, concepts, and previous research in the various related fields are fully researched and used in support of the theories and concepts.

The Literature Map of Research is included in Chapter 3. Literature Review

3.10 Independent variables

An independent variable frames the causal phenomenon theories or notions. Within this study there are four independent variables:

1. Human Individuality;

2. Notions of Well-being;

3. Capability Approach; and

4. Emotional Intelligence.

The independent variables form the foundational construct of the thesis for the offered model of protection of psychological well-being.

3.10.1 Human individuality

Of all the independent variables considered in this dissertation, human individuality is of the greatest importance. However, it is also the most inconsistent and capricious.

Apart from physical differences, due to race, ethnicity, diet, and social setting, the 'personality' of a person comprises many traits and attributes and is a combination of both innate and acquired.

With regard to acquired traits and attributes it is suggested that an important contributor to the differences between individuals derives from their 'plasticity' (Bateson, 2015). The notion of adaptability plasticity is considered to have evolved as a result of the need to cope with novel challenges not previously encountered. Throughout this discourse, the terms trait and attribute have been utilised as it is considered that the collective traits form attributes that are 'useful' in regard to core theories contained in this thesis. However, contemporary psychologists use the term personality traits, which can be described as (Ashton, 2022, pp. 27-28):

'…*differences among individuals in a typical tendency to behave, think, or feel in some conceptual related ways, across a variety of relevant situations and across some fairly long periods of time'.*

This is a foundational issue that will be explored throughout this discourse.

3.10.2 Notions of well-being

Well-being is the experience of health, happiness, and prosperity as positive emotions and moods, the absence of negative emotions, gratification and satisfaction with one's life, fulfillment, and positive functioning. Different societies and agencies provide varying lenses through which well-being is viewed, such as, for public health purposes, physical well-being, which is also considered an essential element for overall well-being. However, there is a range of 'well-beings' that contribute to overall well-being, the most accepted of these being:

- Physical well-being;

- Economic well-being;

- Social well-being;

- Development and activity;

- Emotional well-being;

- Psychological well-being;

- Life satisfaction;

- Domain-specific satisfaction; and

- Engaging activities and work.

There are three prominent notions of well-being in the current focus (Di Fabio and Kenny 2016), these being:

- Hedonic well-being (HWB) - the realization of happiness, pleasure attainment, and pain avoidance;

- Eudaimonic well-being (EWB) - the fulfilment or actualisation of one's full potential; and

- Psychological well-being (PWB) – includes hedonic and eudaimonic (happiness, as well as resilience (coping, emotion regulation, healthy problem solving).

A person's psychological well-being is the primary phenomenon that will be explored in this study, from the early philosophers through to contemporary thinkers, with a particular focus on psychological well-being (PWB).

3.10.3 Capability approach

Within the context of this research Capability Approach will be the theoretical model utilised and applied within a Capability Framework, thus providing a segue and conduit between occupational capability and competence.

The early theorists in the notion of the capability approach were Amartya Sen (Amartya Sen, 1985) and Martha Nusbaum (Gasper, 1997; Nussbaum, 1997). Sen offered that there were two aspects to the capability approach.

1. Well-being and

2. Agency (a body or person who acts and brings about change).

This thesis will explore the use of Sen's notion of well-being applied through a vocational/occupation lens. Whilst there was a collaboration between Sen and Nusbaum (Nussbaum & Sen, 1993) they had differing opinions on how this should be couched in social terms (Saigaran, Karupiah, & Gopal, 2015). Sen's work concentrated on not only income poverty, but poverty from a non-monetary sense from the perspective of capability and functioning (A Sen, 1999). He did not specify any capability that may be required by a person. Nusbaum's paradigm on capability

expands and becomes more detailed than Sen's concept, and is based on the Aristotelian and Marxian notion of leading a good life (Saigaran et al., 2015) and she proposed a set of ten universal, normative capabilities that act as freedoms, these are:

1.   Life;
2.   Bodily health;
3.   Bodily integrity;
4.   Senses, imagination, and thought;
5.   Emotions;
6.   Practical reason;
7.   Affiliation;
8.   Other species;
9.   Play; and
10.   Control over one's environment.

She referred to her approach as being the 'human development approach' (M. Nussbaum, 2011) more so than a 'capability approach'.

Within the context of this study, both notions apply and contribute. The structure that Sen proposes within a capability framework and Nusbaum's universal freedoms provide a conduit for a person's ability to live a life they have reasons to value.

The operationalisation of the capability approach poses several conceptual, methodological, and empirical challenges (Chiappero-Martinetti, 2015). Therefore, as the concept of this study is based on a capability framework it was imperative to ensure that a capability framework could be operationalised, which, the case study demonstrated, is achievable.

3.10.4 *Emotional intelligence*

It is proposed that the capability approach can be used as the 'vehicle' as a foundational medium to facilitate the protection of well-being, and emotional intelligence is the 'tool' that is utilised to identify the needs of the individual.

Abraham Maslow first offered the notion of Emotional Strength in 1950 (Maslow, 1962) which was followed by an expansion of the theory by Michael Beldoch (Beldoch, 1964). They provided the foundational notions on the role emotions play in people's lives, and that these may have a greater significance than their Intelligence Quotient.

IQ has for many decades been the primary 'measure' of intelligence and was assumed that it is a genetic given unaltered by life experience and learning and that it was a 'fixed' aptitude (D Goleman, 1996). An intelligence quotient (IQ) is a score derived from one of several standardised tests designed to assess intelligence. However, these tests do not consider emotions or 'growth' that are the result of life's events or experiences.

In 1983, Howard Gardner wrote the book *Frames of Mind: The Theory of Multiple Intelligences* (Gardner, 1983) which offered an alternative to IQ, suggesting that the traditional types of intelligence, such as IQ, fail to fully explain cognitive ability.

This was followed by a book by Daniel Goleman: *Emotional Intelligence – Why it can matter more than IQ* (D Goleman, 1996) where the notion that there are five domains of emotional intelligence:

1) Self-awareness;
2) Self-regulation;
3) Motivation;
4) Empathy; and

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5) Social skills.

Peter Salovey and John D. Mayer expanded on Goleman's theory in 1990 (P. Salovey & J. Mayer, 1990) describing it as:

"…a form of social intelligence that involves the ability to monitor one's own and other's feelings and emotions, to discriminate among them, and to use this information to guide one's thinking and action."

An IQ test is an assessment that measures a range of cognitive abilities and provides a score that is intended to serve as a measure of an individual's intellectual abilities and potential, whereas, Emotional Quotient (EQ) is a measure of emotionally and socially intelligent behaviour that provides an estimate of emotional-social intelligence (R Bar-On, 2006a; Bar-On, 2018).

Emotional intelligence and emotional quotient have a foundational role in the concept of this research.

There are two key considerations as part of the construct of emotional intelligence. Firstly, all humans are unique individuals, with their traits and attributes. Secondly, an evaluation of a person's emotional quotient will indicate the strengths and weakness of their emotional traits and attributes, and this in turn provides an insight into the domains of emotional intelligence that would need to be enhanced to manage and survive with harm during a traumatic event.

One of the key qualities a person needs to be able cope with, and remain unaffected, by an event or incident is psychological resilience. This is the ability to persist in the face of challenges and bounce back from adversity. Key requirements for psychological resilience are:

1) adaptability,

2) self-control

3) self-sufficiency

4) optimism and

5) persistence (De Crespigny, 2018).

One of the five emotional intelligence domains is self-regulation, which equates to self-control. The self-regulation domain is pivotal in this study.

3.11 Dependent variables

Dependent variables are the variables being measured or tested in this study.

There are four dependent variables:

4   Trauma and Stress;

5   Susceptible Organisations;

6   Capability and Competence; and

7   Growth and Development.

3.11.1 Trauma and stress

Traumatic events can be defined as experiences that put either a person or someone close to them at risk of serious harm or death. How a person responds and relates to the experience is highly individualistic, based on many contributing factors, such as the nature of the traumatic event, the person's disposition to coping with traumatic events by utilising their traits and attributes, previous experiences, frame of mind at the time of the incident and many other factors too numerous to mention.

A person who experiences a traumatic event will have some strong emotional or physical reactions, even though the crisis is over they may still be experiencing strong emotions. It is very common, and quite normal, for people to experience reactions to a particularly horrible and terrifying experience. Sometimes they appear

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a few hours or a few days later. Sometimes even weeks or months may pass before the reactions appear. Persons exposed to trauma will often experience physical illnesses, alcohol abuse, anxiety, depression, psychosomatic disorders, intrusive thoughts, fear of the future, expansive anger, and even death in response to the physical and psychological stresses experienced. The most diagnosed condition is post-traumatic stress disorder, which is a mental health condition that is triggered by a terrifying event, either experiencing it or witnessing it. Symptoms may include flashbacks, nightmares, and severe anxiety, as well as uncontrollable thoughts about the event.

A study by Quevillon, et all, in 2016 titled *Helping the Helpers - Assisting Staff and Volunteer Workers Before, During, and After Disaster Relief Operations* (Quevillon et al., 2016) proffered suggestions for organisations to provide care and support for employees, during and afterwards, yet it gives very little consideration to the prevention of stress reactivity in humans, prior to the event or incident.

Most susceptible organisations provide some form of training on how to deal with a serious event or incident, but this only provides them with *competencies* to manage the event, there is little or no evidence to support the notion of providing a person with the *capabilities* to protect themselves from harm to their well-being.

Therefore, the protection of well-being must occur *before* they commence work or are deployed.

3.11.2 Susceptible organisations

There are several organisations where it could reasonably be expected that an employee or volunteer may encounter a catastrophic or devastating accident incident or event. However, this thesis looks towards those organisations where it

may not be readily apparent that their personnel or volunteers may become exposed to a disaster or catastrophe. The organisations that are included in the research are:

- • High-reliability organisations (HROs);
- • Faith-based organisations (FOBs);
- • Charitable organisations (COs); and
- • Volunteer organisations (VO's).

The most identifiable is a High-Reliability Organisation (HRO), but it is also the least recognised or understood. The table below provides examples of susceptible organisations.

Organisation	Examples
High-reliability organisations (HROs)	Air traffic control, nuclear, some health sectors, NASA, electrical power grids
Faith-based organisations (FBOs)	World Relief, World Vision, The Salvation Army, Cross International
Charitable organisations (CO's)	Red Cross, Engineers Without Borders, Royal Flying Doctor Service of Australia, UNICEF
Volunteer organisations (VO's)	Médecins Sans Frontières, Peace Corps, United Nations Volunteers, Humanity World International

Table 3-1 Typical susceptible organisations

The notion of a susceptible organisation is a basic construct concept within this thesis, as it enables the identification of a defined group to which this research will apply. However, not all persons or volunteers within a susceptible organisation will not be exposed to a sudden incident or event. Therefore, another parameter within the research will be limited to persons or volunteers who are or would be, 'vulnerable' and be responsible for the management or control of a sudden disastrous, catastrophic accident, incident, or event. These 'vulnerable' positions or roles can only be identified by the susceptible organisation.

3.11.3   Capability and competence

Two key constructs on which this thesis is based are the concepts of competence and capability. Both these concepts must be clearly defined to provide context and boundaries within the study. Therefore, the delineation of competence and capability for this study are:

Competence is determined by (S. Fraser & T. Greenhalgh, 2001): *what individuals know or can do in terms of knowledge, skills, ability, and experience.*

Capability is determined as (S. Fraser & T. Greenhalgh, 2001): the *extent to which individuals can adapt to change, generate new knowledge, and continue to improve their performance.*

The construction of a capability framework provides the relationship between competence and capability. The elements of a capability framework are:

- Job role/position description;

- Job role/position competencies; and

- Capabilities related to the job role/position competencies.

The figure below illustrates the flow path to the determination of the capability requirements for a job role/position.

Figure 3-3 Determination of capability requirements for a job role/position.

3.11.4 Growth and development (learning)

A product of the Capability Framework is a 'generic' Development Plan (DP) for a 'generic' set of capability requirements for a job role/position. The capability framework is based on capabilities with related emotional intelligence domains and identified traits and attributes.
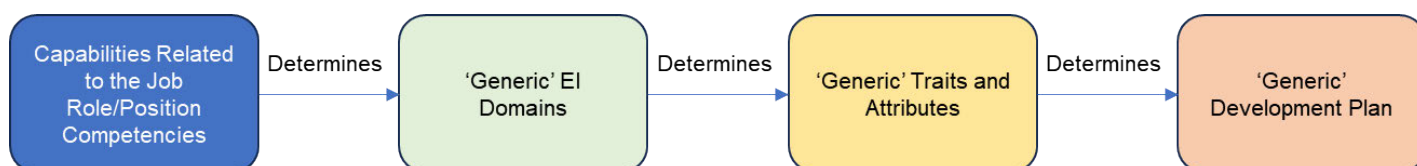
Figure 3-4 Determination of 'generic' development plan for a job role/position.

A capability framework can only generate generic, across-the-board development plans, as a guide for managers. When they conduct a *Development Conversation* with the employee/volunteer the development plan is tailored to meet the exact growth and development requirements for the individual.

Quevillon, et all, (Quevillon et al., 2016),) offered that:

> '*A central tenet of our approach to disaster work is that stress reactions vary widely across individuals and that no single intervention is universally effective. Therefore, one of the most important points that can be made about helping the helpers is that varied methods–individualised, culturally appropriate, and tailored to the person's needs–are much more likely to be effective as compared to "one-size-fits-all" interventions) (Van Ommeren & Wessells, 2007b) . The important role played by the person's context, including suggestions for helping establish the supportive environment that should be provided by the disaster relief organization, is a key element in our approach to helping the helpers".*

This statement speaks directly to the method proposed in this study, that any growth and development to be provided to an employee or volunteer must be tailored to the person's traits and attributes, rather than a 'one-size-fits-all' approach. Hence, the capability framework provides a starting point for a growth and development plan, but this needs to be amended to suit a particular person.

It is essential that a personal growth and development plan be effective. The achieve this the individual must complete an annual *developmental conversation* with their manager. This will establish whether goals and targets have been achieved, and explore possibilities and reasons for a failure to reach a target or goal. The individual and manager will reach an agreement to reattempt the target or goal, as it may now be redundant, or substitute the target or goal for one that is more appropriate to current needs. Should there be no valid reason for not meeting the target or goal, the manager has the option to impose an *Improvement Plan*, where the individual meets with the manager fortnightly until the issue/s is resolved.

3.12   Synergistic result

The synergistic result of the Independent Variables (theories) and Dependent Variables (contributing concepts) is the essence of the thesis: The ability to live a life that a person has a reason to value. To achieve this ability the person must realise all 9 of the notions of well-being, with particular reference to psychological well-being.

3.13   Protection of psychological well-being

The core of the thesis is the protection of psychological well-being from harm or damage as the result of a disastrous or traumatic accident incident or event. The operative word in that statement is 'protection'. Whilst a particular job role/position may have identified competencies and generic capabilities, the capabilities assume that the individual does not possess inherent or learned traits and attributes. Therefore, before

an employee or volunteer undertakes a Development Conversation with their manager, it is proposed that they undertake an Emotional Quotient (EQ) test that will identify their strength and weaknesses within the traits and attributes they possess. This evaluation of their traits and attributes is discussed with their manager to determine the contents of their development plan.
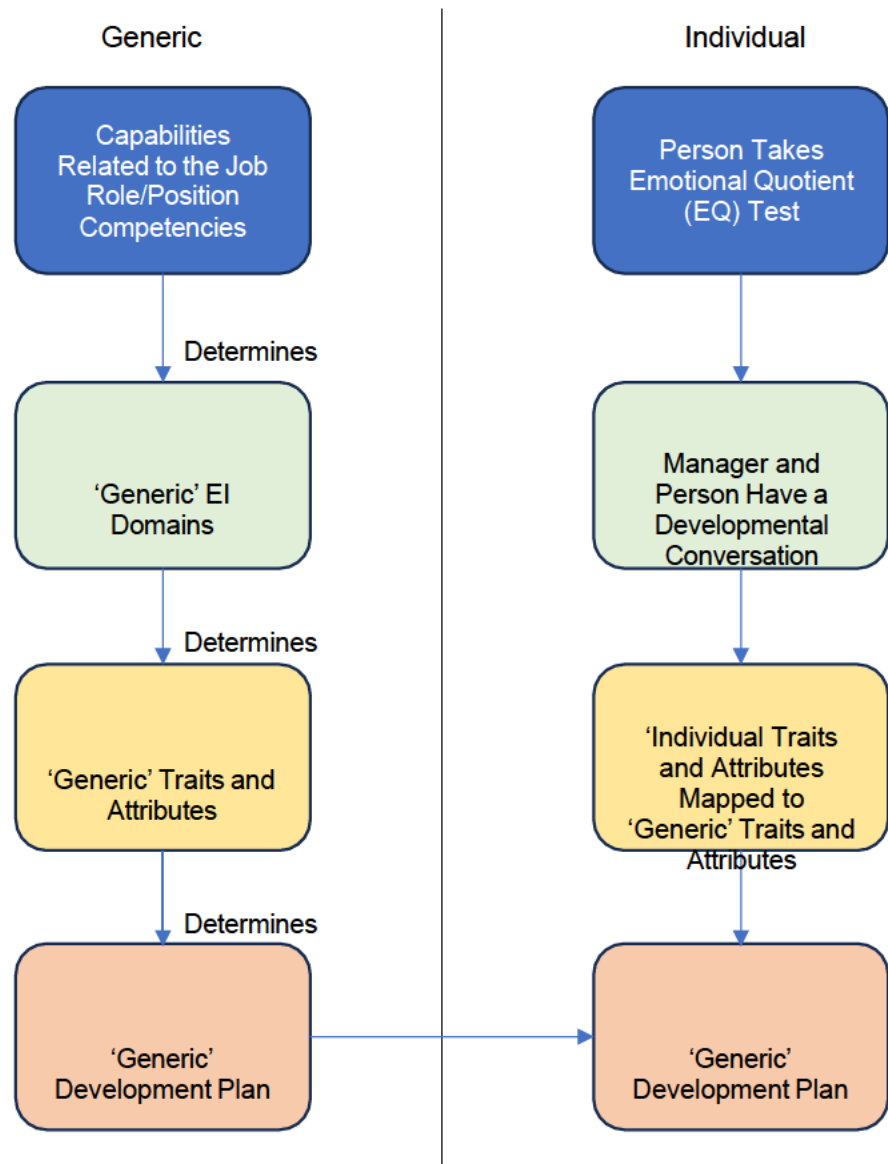
Figure 3-5 Flow path to determine individual development plan

3.14   Chapter summary

This Conceptual Framework constitutes the 'road map' that acts as a connection between theory and concepts and the practical application of this thesis' hypotheses.

Four key independent variables support the research theories, these being:

- Notions of Well-being (PWB);

- Capability Approach;

- Emotional Intelligence; and

- Resilience.

Each of these contributes to the structural concept of the creation of a method of protecting a person's well-being from damage or harm.

The independent variables concepts lend support to the study hypotheses and are used to structure the practical application of the thesis into real terms using the dependent variables. The dependent variables are:

- Susceptible Organisations;

- Capability and Competence;

- Trauma and Stress; and

- Growth and Development.

The independent and dependent variables, concepts, and constructs are explored and reviewed in the next chapter.

CHAPTER 4. RESEARCH METHODOLOGY AND DESIGN

In Chapter 1 - Introduction, a personal insight into the researcher's worldview and paradigms was provided and had a high impact on the design of the research for this dissertation and led to the determination of the methodologies, methods and strategies used in this study. It is imperative for the researcher that this investigation has a pragmatic approach, with the final output providing suggestions and recommendations for practical applications in the protection of psychological well-being, where possible. Whilst the premise of this chapter is to provide enough detail to allow replication by others, it is also sufficiently detailed that the findings of this dissertation can be used and applied by other researchers, institutions or organisations for further research into the protection of psychological well-being at a future time.

This chapter provides justifications for the methodology, inquiry procedures, and specific data collection methods, analysis, and interpretation. It is critical to ensure validity and veracity when relating to the foundations and fundamentals at the centre of this thesis and base the rationale for selecting the methodology and methods utilised. The foundations and fundamentals are grounded upon the research questions and theories and compare the methodology principles with the requirements of this research.

In the early stages of the construction and design of this research, the use of quantitative research methodology was discounted as not being the best platform for a sociologically based investigation. The author is reluctant to attempt to use empirical data concerning humans and their individual psyche. Consideration of the research design resulted in tension between a qualitative or mixed method methodology (J. W. Creswell & Creswell, 2017). Whilst the researcher initially considered a mixed method approach as appropriate, as the research progressed, it became apparent this is a

complex process to undertake, particularly for a sole researcher, who did not possess all the expertise required to collect and analyse data and to interpret the results and the combining of different methods would require extra resources, such as persons, time and money, which were not available for this research.

A founding principle for this research is the realisation of the practical operationalisation of the Capability Approach in a real-world setting, utilising a Capability Framework. Therefore, proving that an operationalised capability framework could be realised and applied was essential. Failure to achieve this would render the basic premise of suggesting a capability framework as a structured platform to base the analysis for the protection of well-being dubious and open to doubt and uncertainty.

A three-year case study was undertaken to develop, design, review, revise and implement the operationalisation of the capability framework based on the Capability Approach. This thesis is an academic examination of theories and phenomena relating to the protection of well-being using emotional intelligence and individual capability, with the capability framework being a tool to link the occupational imperatives to the officers, employees, or volunteers. Central to this research is determining how these theories and phenomena relate to the research questions and theories upon which this study is based (ethnographic and phenomenology paradigms).

The use of qualitative methodology (J. W. Creswell & Creswell, 2017; Hignett & McDermott, 2015) research allows for the exploration of the several phenomena within this study and involves the investigation, collection, collation and analysing of non-numerical data within the parameters of a humanities research paradigm.

However, in research, as in life, there are no absolutes, and the research conducted in this study is no exception, as it requires diverse strategies of inquiry (J. W. Creswell

& Creswell, 2017, p. 173) rather than a single methodology, method paradigm, or strategy.

The literature review identified tensions exist regarding case studies in determining whether studies should be encompassed within qualitative methodology (J. W. Creswell & Creswell, 2017; Denzin & Lincoln, 2011; Hyett, Kenny, & Dickson-Swift, 2014) or case study is a methodology in its own right. To answer this conundrum, it is necessary to return to the thesis purpose statement to decide which is most appropriate, which is explored later in this chapter.

The thesis purpose statement.

> *People have an ever-increasing potential to become involved with or manage a disastrous or calamitous event. Therefore, susceptible organisations must safeguard an individual's psychological well-being from damage or harm.*

> *The literature review needs to provide more evidence that people are prepared to cope and survive the involvement or management of a disastrous or calamitous event. Whilst they are provided with crisis management occupational competencies, they must prepare as individuals. In addition, whilst there is much literature on how to deal with the aftermath, little is done to protect psychological well-being before, during, and after the incident or event.*

The initial investigation used a case study (J. W. Creswell & Creswell, 2017) in collaboration with the New Zealand Salvation Army to establish a practical application of the capability framework within the organisation. The case study provided an example of how a capability framework and emotional intelligence can be applied to

an organisation with a complex structure and many tasks and functions performed by its employees, officers and volunteers from diverse cultures and nationalities.

Before undertaking the case study, a key consideration was to interrogate the aims and objects of the New Zealand Salvation Army, ensuring that it complied with the thesis definition of a susceptible organisation. As a result, the New Zealand Salvation Army met all the criteria.

4.1   Saunders research onion

There are many interpretations and opinions of the different paradigms of research that need to be clarified. Therefore, the researcher has utilised Saunders' research onion (Saunders, Lewis, & Thornhill, 2007, p. 108) to identify and describe the selections made for this research design.

There are six layers within Saunders' research onion that help a researcher design and develop their research. The layers comprise:

1. Techniques & Procedures;
2. Time horizon;
3. Choices;
4. Strategies;
5. Approaches; and
6. Philosophies.

Below is a graphical illustration of the structural hierarchy of terminology and nomenclature utilised in this study, and it was used to determine the various aspects and paradigms.
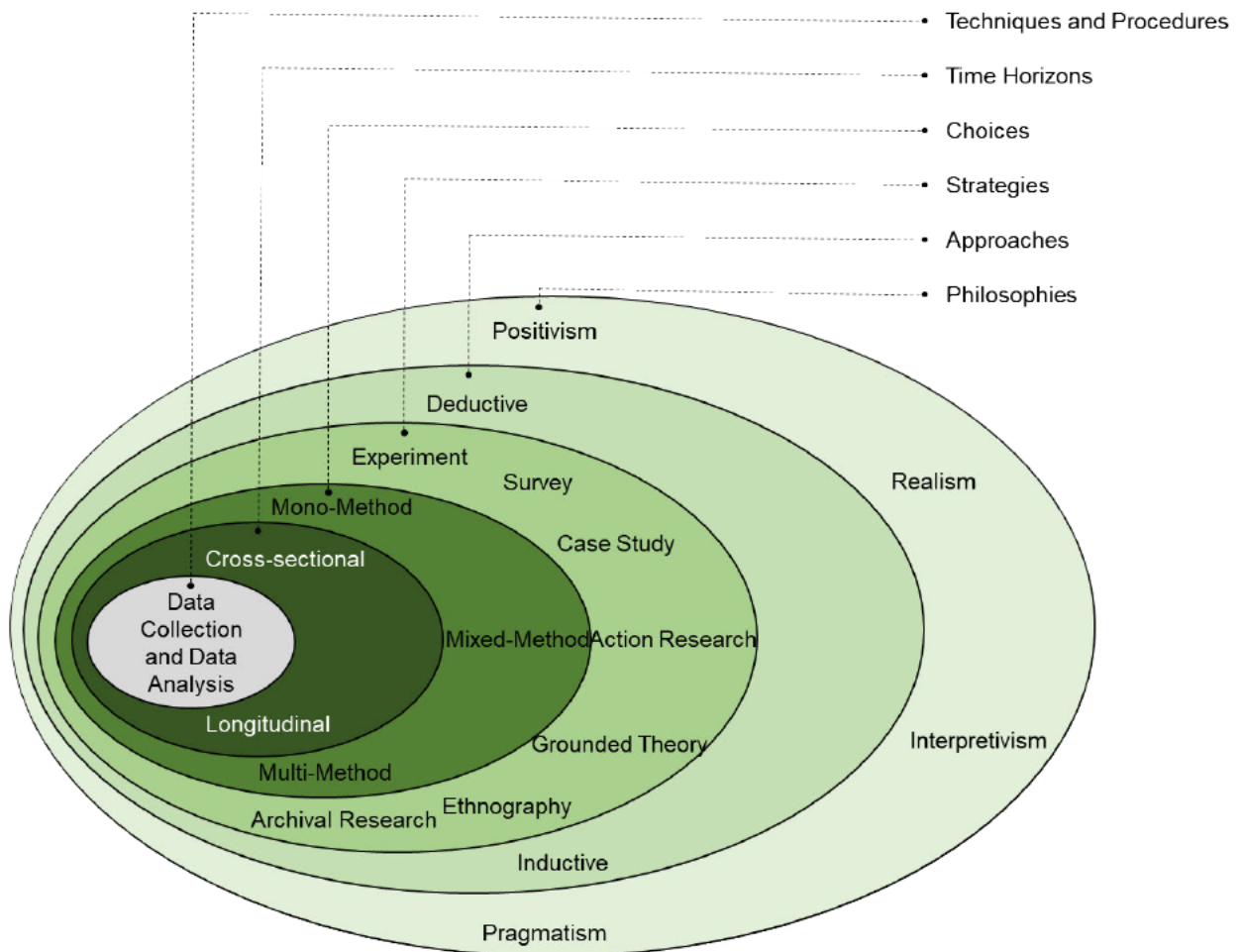
Figure 4-1 Saunders' research onion

A summary of the research design for this study is as follows:

Philosophy	Approach	Strategies	Choices	Time Horizon	Techniques and Procedures
Pragmatism	Deductive	• Case Study • Action research • Ethnography	• Mono-method	Longitudinal	• Case Study • CIPP • Surveys

Table 4-1 Summary of the research design

* CIPP = C- Context, I- Input, P- Process and P- Product (Evaluation)

4.2   Aligning methodologies and methods to thesis fundamentals

As previously stated, it is essential to return to thesis fundamentals to ensure the research methodologies and methods are appropriate and applicable. This section provides the rationales and justifications for using some methodologies, and not others, concerning the thesis fundamentals. Therefore, it is necessary to revisit the problem

statement to ensure alignment with the theoretical perspectives, paradigms and methods used as they apply to the research for each thesis fundamentals.

4.2.1 Problem Statement

There is an ever-increasing potential for persons to become involved with or manage a disastrous or calamitous event. Therefore, susceptible organisations must safeguard individuals' short- and long-term well-being from damage or harm.

A literature review needs to provide more evidence that people are prepared to cope with, or manage, other than to provide occupational competencies in crisis management. Whilst there is much literature on how to deal with the aftermath, little is done to protect the individual well-being before, during and after the incident or event.

The problem statement provides a broad overview of the questions addressed in the research and outlines the core issues.

Central to the investigation is how individuals respond and react to traumatic stimuli, which places this study within the realm of social science, which studies human societies, their interactions, and the processes that preserve and change them (Form, 2021). Therefore, the disciplinary orientation is that of sociology. The most appropriate methodology for investigation is qualitative (Marvasti, 2004), as it allows the researchers to investigate people's behaviour, actions, and interactions with others. Social research requires:

'….The understanding and reporting how or why people behave as they do involves analysing and presenting reality. In practice, this means

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sharing with an audience a convincing account of what was observed,

and the meaning' (Marvasti, 2004, p. 3).

To achieve this, there must be an identification of the orienting framework that is influential for this research: constructionism. Constructionism relates to the nature of reality or assumptions about what is real and how it should be studied (Marvasti, 2004, p. 4). This research identified that a pragmatic, realistic approach is taken, and then positivism lends itself to this inquiry. A description by Marvasti 2004 (Marvasti, 2004) states: '*Positivistic sociology is grounded in common sense or a vision of social reality that is based on self-evident truths that resemble physical laws of nature'* (Filmer, 1972; Garfinkel, 1967; Marvasti, 2004, p. 4). The constructivism framework is further discussed in *4.3 Research Methodology and Methods.*

4.2.2   Purpose statement

To provide organisations with a method of preparing individuals to deal with disaster and trauma and to manage the event or incident. To reflect and process the impact of the event or incident on them to ensure their long-term psychological well-being. This can be achieved by <u>utilising the capability approach</u> and emotional intelligence within a framework, which provides an individualised learning and development plan to ensure they have the traits and abilities to limit, minimise or negate the effects of the event or incident on them.

This study aims to provide a '*method of preparing individuals to deal with disaster and trauma and to manage the event or incident'.* Therefore, the focus must be on gaining knowledge for a person to be able to protect themselves. Central to these issues is the framework of constructivism and the paradigm of epistemology.

Constructivism is the concept that people actively construct or make their knowledge and that reality is determined by their experiences as a learner. People use their previous knowledge as a foundation and build on it with new things that they learn, and this speaks directly to the heart of the thesis problem statement, where there is a need for a person to gain new knowledge to avoid harm or injury to their well-being. There must be some consideration given to the connection between knowledge and epistemology. The constructivist model of knowledge can be summarised as '*Knowledge is constructed in the mind of the learner*' (Bodner, 1986, p. 1). When considering changes to a person's core beliefs and behaviours, such as reaction to a traumatic event, it is vital to overcome misconceptions.

Bodner (Bodner, 1986, p. 9) wrote in his paper *Constructivism: A Theory of Knowledge*:

> *The resistance of misconceptions to instruction brings to mind Kuhn's (Kuhn, 1970) argument that one cannot prove a theory wrong by experiment; the proponents of the theory will make ad hoc modifications to explain the new experimental results. The only way to eliminate an old theory is by constructing a new one that better explains the experimental evidence or finding a more appropriate set of experimental facts to explain. Likewise, the only way to replace a misconception is by constructing a new concept that more appropriately explains our experiences.*

The framework of constructivism and the epistemology paradigm are inextricably linked through the concepts and constructs of 'knowledge'. Within this research, synergising the capability approach and emotional intelligence is a construct of new knowledge.

4.2.3 Research questions

The following three questions in this study will be considered individually, and the theoretical perspectives, paradigms and methods used will be explained and justified.

1. *Can Sen's and Nussbaum's notions of the Capability Approach be operationalised and practically applied in conjunction with Emotional Intelligence?*

Intrinsic to the study is the utilisation of the capability approach as a vehicle to harness emotional intelligence to an individual in support of their well-being protection. Therefore, qualitative case study research was the most practical application to prove that the capability approach can be operationalised by applying a case study (Hyett et al., 2014; Johansson, 2007) framework from paradigms of phenomenology and epistemology.

There is tension regarding whether a case study approach was either a methodology or a method researched by Hyett et al. I (Hyett et al., 2014) in the paper *Methodology or Method: A Critical Review of Qualitative Case Studies,* he offered:

> *Current qualitative case study approaches are shaped by paradigm, study design, and selection of methods, and, as a result, case studies in the published literature vary ……... Case studies are designed to suit the case and research question, and published case studies demonstrate wide diversity in study design (Hyett et al., 2014, p. 1).*

The case study approach adopted for this inquiry was that of a post-positivist viewpoint. However, the case study is an element of a larger and more complex issue, and therefore, this is a qualitative methodology using a case study as a framework.

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2. *What types of organisations are susceptible to a traumatic event or disaster that a person may be required to manage/cope with as part of their vocational or volunteer role/function?*

To address this question, a purely theoretical method of investigation was applied from a phenomenological paradigm. Whilst the case study afforded an insight into the operations of a faith-based organisation (E Ferris, 2005; Karam, 2010), it provided little or no, information or data on other 'susceptible' organisations related to this research. Qualitative data collection for susceptible organisations was through an in-depth literature review and analysing of the results to establish if the types and operations of an organisation fell within the remit for this study's parameters.

3. *Can individual capability, based on Emotional Intelligence (EI), and used protect the psychological well-being of a person who may need to cope/manage with a critical incident/crisis as part of their vocational or volunteer role or function?*

This question is pivotal to the thesis and must be considered an amalgam of the previous two questions. Many of the items and issues previously investigated contribute to the answers required for this final question concerning credibility and validity. Therefore, the method of triangulation must be employed to ensure the combining of theories and methods used in the research study for all items and issues and will ensure that fundamental biases are not a contributing factor that the use of a single method might invoke and provide a comprehensive understanding of phenomena (Carter, 2014; M. Q. Patton, 1999).

4.2.4 Identification of thesis fundamentals to research design

The table below compares Sunders Research Onions terminology and nomenclature and the tactics adopted in this research.

Item	Philosophy	Strategies	Choices	Time Horizon	Techniques and Procedures
Pragmatism		Mono-method			• Qualitative data collection
Purpose Statement		• Action research • Epistemology			• Qualitative data collection
Q1. Can Sen's and Nussbaum's notions of the Capability Approach be operationalised and practically applied in conjunction with Emotional Intelligence?	Deductive	Case Study	• Longitudinal	• Case Study • CIPP Surveys	• Qualitative data collection • CIPP data collection
Q2. What types of organisations are susceptible to a traumatic event or disaster that a person may be required to manage/cope with as part of their vocational or volunteer role/function?		• Action research • Epistemology			• Qualitative data collection
Q3. 3. Can individual capability (CI), based on Emotional Intelligence (EI), protect the short and long-term well-being of persons who may need to cope/manage a critical incident/crisis as part of their vocational or volunteer role or function?		• Action research • Epistemology			• Qualitative data collection • Triangulation

Table 4-2 Comparison between terminology and nomenclature and the tactics

4.3 Research methodology and methods

It has been established that the research was conducted using a qualitative methodology.

This section will provide more significant details of each method, theoretical perspectives, paradigms, methods used, and justification for their utilisation or elimination. This is a detailed description of, and a rationale for, this specific design for the study. It also discusses the specific research design for the study (philosophy, approach, strategies, choices, time horizon, techniques, procedures, etc.). It describes how it aligns with the selected methodology in the previous section. Additionally, it describes why the selected design is the best option for collecting the data to answer the research needed for the study. It explains strictly how the selected design was used to collect data for every variable (for a quantitative study) or how it was used to describe the nature of the phenomena in detail (for a qualitative study). Finally, it identifies the specific instruments and data sources to collect all the data required for the study.

Arguments are supported by citations from articles and books on research methodology and design. This section specifies the appropriate independent, dependent, and classificatory variables to ensure they relate the variables to the research questions and theories.

The first element of investigation relates to human response to day-to-day and trauma-invoking situations (crises) and the person's short- and long-term psychological well-being. The philosophical assumptions that can be aligned with the questions are those of epistemology (J. W. Creswell & Creswell, 2017; Crotty, 1998) within a deductive

framework from a pragmatist paradigm. Therefore, the qualitative inquiry strategy has been selected as the most appropriate based on the essence of the questions.

4.3.1 *Qualitative research*

Creswell (J. W. Creswell & Creswell, 2017) describes qualitative research as:

> *A means for exploring and understanding the meaning individuals or groups ascribe to a social or human problem'*(J. W. Creswell & Creswell, 2017, p. 4).

In this study, it is vital to heed the 'voice of the participant' (Austin & Sutton, 2014, p. 1), as the concept of protection of psychological well-being is the cornerstone of this research. Qualitative research is an inductive style of inquiry that focuses on personal meaning and the importance of rendering the complexity of a situation (J. Creswell, 2007). This study is broad-based and complex but has a narrow final focus on the human response and condition. Qualitative methods are concerned with how human behaviours can be explained within the framework of the social structures in which those behaviours take place (Austin & Sutton, 2014, p. 2).

Qualitative research provides several paradigms and components that allow for a broad spectrum of research methods, such as epistemology and phenomenology, and the selection of the method is highly dependent on the nature, subject and topics of the study. Fundamental to the inquiry is the philosophical worldview of the researcher. However, it is essential to be mindful of biases and assumptions that can occur and ensures that research is conducted with 'detached objectivity' (Austin & Sutton, 2014, p. 3; J. W. Creswell & Creswell, 2017).

Qualitative research methodology is not a single method, and a number of theoretical perspectives and methods are utilised to ensure a richness and diversity of information and data for analysis and to make balance judges on the evidence being considered.

This study's theoretical perspectives and methods will now be further explored.

However, before embarking on these descriptions, it is necessary to state a researcher's worldview assumption, this being that *everyone's one truth is their own*; this is also true of their reality; *everyone's one reality is their own*. This infers that there are no absolutes in life and that every person will construct their knowledge, reality and beliefs, and this speaks to the essence of this study that everyone is unique and must be considered individually.

4.3.2 Constructivism

Constructivism is the theory that offers the notion that learners construct knowledge rather than just passive adoption of information. Individuals are exposed to experiences in their life and the world, then reflect upon those experiences and build their rationalisations to new information and how it fits their pre-existing knowledge. This is a critical element of this study as it infers that a person must process new knowledge to protect themselves from psychological harm, which would be achieved by enhancing the emotional quotient through learning and development. Oslson, in his paper *The Epistemology of Constructivism* (Olssen, 1995), advanced the notion that:

> *'Knowledge is personally and socially constructed (Miller and Driver, 1987); knowledge is 'made' rather than 'discovered' and interpretative categories are prior to facts (Hacking, 1990); the truth is 'provisional' rather than 'certain', and 'limited' rather than 'foolproof' (Confrey, 1990); and rather than revealing an objective, independent world, knowledge gives us 'constructs' or 'theoretical perspectives' by which we make sense of experience (Glasersfeld, 1984; Kelly, 1955*(Olssen, 1995, p. 83).

This study has adopted the notion that capability is the '*extent to which individuals can adapt to change, generate new knowledge, and continue to improve their*

performance'(S. Fraser & T. Greenhalgh, 2001, p. 799). This definition is grounded on the creation of 'new knowledge'; therefore, it is essential that constructivism is central to this investigation.

4.3.3   Deductive and inductive reasoning

Human reasoning is a 'mental activity that involves manipulating given information to teach new conclusions'(Goswami, 2011). When considering research, there are two paradigms of reasoning: inductive and deductive. In inductive reasoning, thoughts 'go beyond the information given and make inferences that may not be deductively valid'. Examples of inductive reasoning include generalising based on a known example, making an inductive inference from a particular premise, and drawing an analogy.

However, deductive reasoning can also reach new conclusions, allowing for only one logically valid answer. One crucial difference between inductive and deductive reasoning is that deductive reasoning problems can be solved without (or despite) real-world knowledge. The case study only provided a definite solution to one aspect of the research. However, the application of the overall concept of the paper cannot be explored due to time and financial constraints. Therefore, deductive reasoning needs to be applied to conclude.

4.3.4   Epistemology and ontology

Epistemology and ontology are inextricably linked through the concept and construct of knowledge. Epistemology is the framework for the study of knowledge, in general, to create justified true belief and is the investigation of knowledge acquisition. This illustrates how our minds relate to reality and distinguish between truth and falsehood to provide an understanding of the world around us, which is needed to live our lives in the successful pursuit of truth.

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Epistemology is described as inherent in the theoretical perspective as "*a way of looking at the world and making sense of it*" (Al-Ababneh, 2020). The critical aspects of epistemology are objectivism, constructionism, and subjectivism. In addition, the theoretical perspective describes the philosophical stance behind the chosen methodology and is considered positivism (and post-positivism), interpretivism, critical inquiry, feminism, postmodernism, etc. A third element, research methodology, represents the strategy and plan of action, which refers to the research design that shapes chosen research methods. (Al-Ababneh, 2020).

Ontology is the study of knowledge and how to gain knowledge. Knowledge comes from reason and about knowing a fact, what exists, what is being authentic, and what is real. It is a belief in the verity of truth as true or false.

This is a significant consideration when attempting to change someone's hard-held beliefs, even if they are misconceptions. Therefore, this aspect of philosophy is most applied to the individual growth and development plans that allow a person to enhance their existing traits and attributes to better deal with trauma and crisis.

4.3.5   *Case study (field research)*

Central to this study is the investigation and application of a capability-approached-based framework that is practical and operational. Therefore, it was vital to explore this phenomenon in depth. Field research was conducted employing a case study methodology/method to ensure the validity of assumptions made in this research. This field research goes directly to the social phenomena of this study, which must be conducted in a natural environment. Chapter 5 – The case study explains how the methodology and methods were applied when the study was conducted.

There were two significant surprises as a result of the case study. Firstly, a capability framework in its 'purest' capability approach was not a practical solution. Secondly,

there needed to be more resistance to the term 'capability'. Both these issues are explored in Chapter 5 – Case Study.

4.3.6   CIPP (Context, Input, Process and Product)

CIPP is an acronym for Context, Input, Process and Product. CIPP is an evaluation model utilised to judge the case study's value following a survey of the employees and officers involved with the project pilot roll-out as 'end users'(beneficiaries) or 'managers' (Stakeholders). An evaluation panel was convened to review and consider the survey outcomes and make judgements and recommendations on improvements before the main roll-out to the entire organisation. This is covered in greater detail in Chapter 5 – Case Study.

The case study required validation from the perspective of research and the organisation with which it was conducted. There was a requirement to provide empirical data within the remit of the case study/project for completeness and as evidence of the success or failure of the capability framework application and suitability.

To evaluate the capability frameworks' effectiveness, a CIPP (Context, Input, Process and Product) (Gandomkar, 2018; Lee, Shin, & Lee, 2019; Stufflebeam, 2003) was conducted to provide empirical data on which the organisation could make valued judgment decisions on the framework functions met their original requirements and to identify any changes and amendments that may be required prior it being rolled out and implement to the 2700 personnel in the organisation.

The CIPP evaluation model developed by Daniel Stufflebeam is a decision-oriented evaluation approach designed to help those in charge of administering programs make sound decisions. Designed as a multifaceted approach evaluation, the CIPP model provides a comprehensive framework for conducting formative and summative

evaluations of programs, projects, personnel, products, and organisations by focusing on context, input, process, and product (Stufflebeam & Zhang, 2017).

4.3.7   Action research

The study was approached through action research, which integrates theory and practice through research in action (Casey & Coghlan, 2021). It allows for creating actionable knowledge employed in this study and enhances the validity and veracity of the findings and recommendations. It was conducted in the present tense and utilised the cycle of action or cycle of inquiry as a guide for the research.
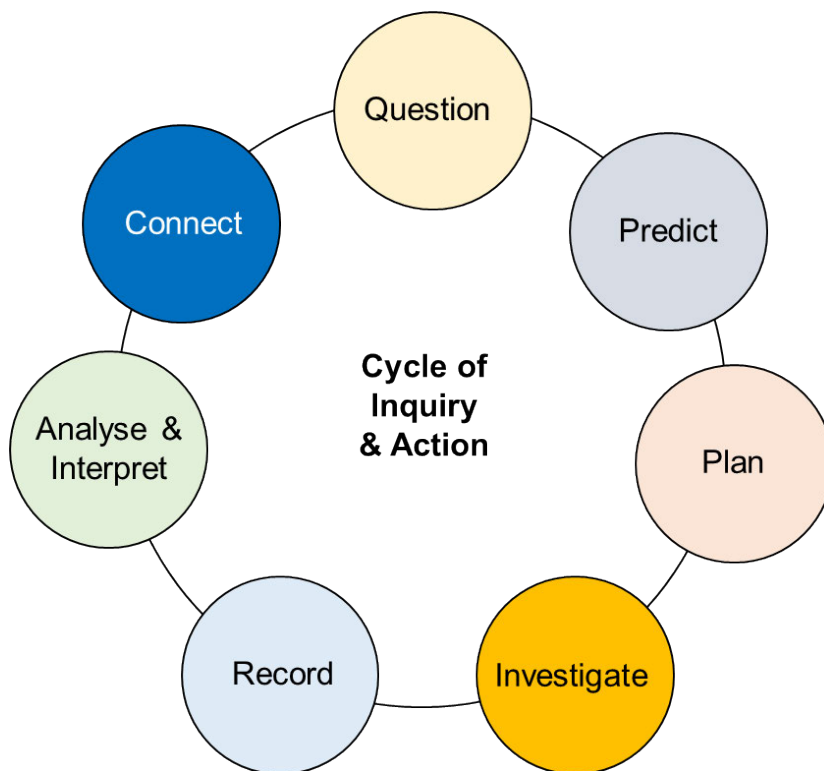
Figure 4-2 Cycle of inquiry and action

The study used the above graphical representation from its initial concept to completion.

4.3.8   Triangulation

Due to the breadth and diversity of this research, many different methods of investigation have been employed. Triangulation has been applied to comprehensively

understand phenomena using multiple methods or data sources (M. Patton, 1997, 1999). Triangulation offers four methods of triangulation: (a) method triangulation, (b) investigator triangulation, (c) theory triangulation, and (d) data source triangulation (Denzin & Lincoln, 2011; Flick, 2004; M. Patton, 1999).

The 'methodological triangulation' method was applied in this study as it allows for using multiple qualitative and quantitative methods to study the program. Whilst this is not a quantitative study, empirical data created in the case study must be considered and analysed. This method also contributes to the validity of the research, where the conclusions from each method are compared so that it can be assumed that validity has been established.

4.4   Validity and reliability

It is essential that the rigour and integrity with which this study was conducted ensure the credibility of findings concerning qualitative research philosophy and provide a justification for other researchers to make judgments regarding its 'soundness' (Noble & Smith, 2015).

There is tension and discourse regarding the term's validity and reliability and their application to both quantitative and qualitative research and that measures used to establish the validity and reliability of quantitative research cannot be applied to evaluate qualitative research.

Whilst these terms validity and reliability may be applicable in qualitative research, an adjunct descriptor is needed when referring to the integrity and application of qualitative research. Therefore, the determination for this study is that validity is regarded as 'truth value':

'Recognises that multiple realities exist; the researchers' outline personal experiences and viewpoints that may have resulted in methodological bias; clearly and accurately presents participants' perspectives' (Noble & Smith, 2015, p. 1).

Similarly, the term reliability is regarded as 'consistency':

'Relates to the 'trustworthiness' by which the methods have been undertaken and is dependent on the researcher maintaining a 'decision trail'; that is, the researcher's decisions are clear and transparent. Ultimately an independent researcher should be able to arrive at similar or comparable findings' (Noble & Smith, 2015, p. 1)*.*

Throughout this research, validity (truth value) and reliability (consistency) have been paramount considerations concerning the case study and the data and information that were derived from it.

4.5 Data management and collection

The diversity of topics and subjects within this study's remit has required a broad spectrum of qualitative methods to gather and collate data. Consequently, this section has two separate and distinct aspects: data management and data collection. These will be dealt with separately.

4.5.1 Data management

At the outset of the research, a Data Management Plan (DMP) was developed to establish the responsibilities and processes for managing Research Data and Primary Materials at the University (see Thesis Volume 2 - Supporting Information, Documentation and Reports and Procedures). There are several imperatives for a structured management plan, such as data acquisition and generation, data handling,

protection, and security, from theft and loss, and storage after the study to allow for verification and validity checks and the basis of future research.

The DMP was developed by USQ *Research Data and Primary Materials Management Procedure* and compliance with the *Australian Code for the Responsible Conduct of Research* (National Health, 2007) (Revised 2018) and *the National Statement on Ethical Conduct in Human Researc*h (Anderson, 2011). Additionally, the DMP was submitted as an element of the application for approval from the Human Research Ethics Committee and was applied for in USQ Research Information Management System (RIMS). Approval was given on 12 February 2020.

A copy of the data and information for this research is backed up and stored in the USQ - Research Data Storage (USQ Cloud Storage - One Drive).

The *Data Management Plan* included procedures for:

- Ownership, stewardship and control;

- Management Plans;

- Storage, Retention and disposal;;

- Safety, security and confidentiality

- Sharing and re-use;

- Acknowledging the use of others' data;

- Training and Education; and

- Potential breaches.

4.5.2   Data collection

There were two primary methods of data and information collection:

1. Case Study; and

2. Literature review.

The information and data throughout the research were obtained from the case study by engagement with and feedback from the participants within the case study from the stakeholders and end users (beneficiaries).

The case study provided information and data from developing policies and procedures, review and feedback forums for stakeholders and end users, workshops and surveys.

The most significant volume of information and data was derived from the CIPP (Context, Input, Process and Product) Evaluation (Stufflebeam & Zhang, 2017). The CIPP evaluation model was created in the 1960s by Daniel Stufflebeam and is considered a decision-oriented model that systematically collects information about a program to identify strengths and limitations in content or delivery, to improve program effectiveness or plan for the future of a program.

CIPP evaluation was 'formative' in nature. It was used as a guide to evaluate the Māhuri Tōtara (case study project) and based on the feedback from the 45 participants who were involved with the project pilot roll-out. It was structured for an 'institutional' organisation (Jung & Moon, 2013; Young Lee, Shin, & Lee, 2019) and aligned to the project's needs and requirements.

The CIPP model made evaluation directly relevant to the needs of decision-makers during the phases and activities of a program and is recommended as a framework to systematically guide the conception, design, implementation, and assessment of a service-learning project and provide feedback and judgment of the project's effectiveness for continuous improvement.

The outcome of the CIPP evaluation was submitted in a report included in *Learning Needs Analysis - Findings, Outcomes and Recommendations*. It contained

observations and recommendations on which senior management made valued judgements and decisions on amendments and changes to Māhuri Tōtara before the main roll-out to the entire organisation in Q2 2021.

The figure below provides a process circle that was followed during the evaluation of the pilot roll-out of Māhuri Tōtara.
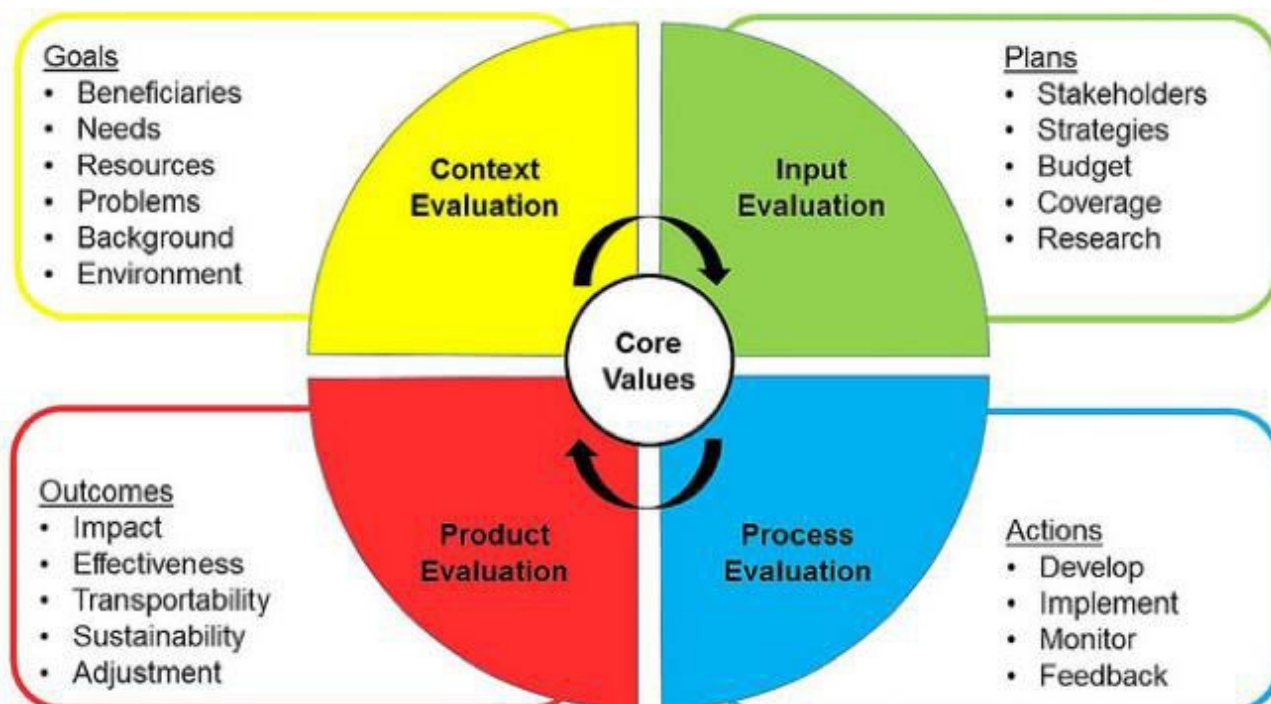
Figure 4-3 CIPP process wheel

The details of the Evaluation of Māhuri Tōtara (People Growth and Development Model) are included in the Appendices.

The specific elements of the CIPP that were applied were:

CIPP Requirements	Specific elements
Foundations	• Background and Context • Statement of Inquiry • Original Aims of Objectives of Māhuri Tōtara • Design and Method • Summative Evaluation • Inquiry Questions • Stakeholders and Users (Beneficiaries)

Evaluations	• Evaluation Panel
	• Context Evaluations
	  -Evaluation Questions
	• Input Evaluations
	  -Evaluation Questions
	• Process Evaluations
	  -Evaluation Questions
	• Product Evaluations
	  -Evaluation Questions

Results and Findings	• Context Evaluations • Input Evaluations • Process Evaluations • Product Evaluations • Stakeholders & Users (Beneficiaries) • Resources • Human Resources
Infrastructure and ISG Resources	• Conclusions, Predictions, Implications and Recommendations

Table 4-3 Specific elements of the CIPP

The study must keep strictly to the research's intents, precepts and origins. Naturally, the theories must be re-examined to understand where sources of information and data are collected.

However, certain assumptions had to be made to provide structure.

Assumption 1: *Persons coping and managing a disaster or catastrophe will respond and react differently. Their responses will depend on their traits and attributes, either innate or acquired*.

Assumption 2: *Stress reactions vary widely across individuals, and no single intervention is universally effective, but damage to individual well-being can be minimised by using emotional intelligence to enhance their traits and attributes*.

Assumption 3**:** *People have a fundamental right to live lives that they have reason to value, and occupational or volunteer events or experiences must not impair this.*

The data and information gathering method needs to be via research into theories and constructs surrounding the various issues included in these assumptions.

4.6   Ethical considerations

This study included human participants as part of the data and information-gathering process. It was, therefore, subject to approval to conduct the research from the USQ Human Research Ethics Committee prior to the commencement of the study.

This application complied with the requirements of *The National Statement on Ethical Conduct in Human Research* (NHaMR, 2019) and the *Australian Code for the Responsible Conduct of Research, 2018* (Australia, 2018).

The application for approval to conduct ethical research with humans was granted on 12 February 2020 (see Chapter 11 – Appendices - HERC Application and Approval).

4.6.1 Application summary

The following is a summary of the HERC application.

- Direct Recruitment of Participants

All participants were recruited from within the organisation. The persons were identified and invited to participate by managers within the organisation. Anonymity was guaranteed to all participants.

- Potential Participant Group

There were two groups of participants:

- Stakeholders; and

- End Users (Beneficiaries).

The persons were identified and invited to participate by managers within the organisation. Proposed Procedures

- Principle Investigator

The researcher was the sole investigator.

- Benefit and Risk

Benefit: The avoidance of dangerous incidents and accidents. Providing persons with traits and attributes should assist them in dealing with the incident and safeguard personal and organisational well-being after the event, equally as crucial as dealing with an event or incident.

Risk: Risks to the participants was minimal. As a prerequisite to participation, they had to complete training *For Introduction to Māhuri Tōtara,* and all managers attended face-to-face.

training for *Development Conversations for Managers* and conducted a conversation with an officer/employee, who was coached before and after the conversation; this included two-way feedback; during the feedback sessions, concerns were addressed, and all potential issues were resolved.

- Type of Research

This study was conducted from a qualitative methodology paradigm, focusing on action research, case studies, and mental health within the spectrum of social science.

- Conflict of Interest

There was no conflict of interest.

- Funding

This study has been self-funded.

- Data Access and Security

A Data Management Plan was developed following USQ Research Data and Primary Materials Management Procedure and compliance with the *Australian Code for the Responsible Conduct of Research, 2018* (Australia, 2018), *the National Statement on Ethical Conduct in Human Research* (NHaMR, 2019).

- Communication of Research Findings to Participants and Dissemination of Project Outputs.

This research was conducted in cooperation and collaboration as an internal project. The data collected from the survey was collated and used during a CIPP evaluation of the Māhuri Tōtara program.

The information and data are not available in the public domain.

The principal investigator was the only person with actual access to the data and information.

4.6.2 Supporting documents

The documents supporting the HE application were:

- CoC Finalisation M. Payne.pdf;
- Acceptance of CIPP Review by NZ SA.pdf;
- TSA Privacy of Personal Information.pdf;
- Survey Questions Managers Stakeholders CIPP Rev F 30.09.20.pdf;
- Invitation letters and emails Email Invitation.pdf;
- Information Sheet Questionnaire Rev 0 02.12.20 .docx;
- Māhuri Tōtara Post Pilot Program Survey End Users and Managers, Stakeholders Rev 0.docx;
- Copy of questions (or sample) for Māhuri Tōtara Post Pilot Program Survey End Users Rev 0.pdf;
- Evaluation of Māhuri Tōtara and the Capability Management System Stakeholders and Managers;
- Invitation to participate in Māhuri Tōtara Survey Stakeholders and Managers.pdf;
- Evaluation of Māhuri Tōtara and the Capability Management System Stakeholders and Managers Invitation to participate in Māhuri Tōtara Survey Stakeholders and Managers.pdf;
- Information Sheet Questionnaire Rev A 14.11.20.docx; and
- Participant Information Sheet M. Payne Information Sheet Questionnaire Rev A 14.11.20.docx.

4.7   Limitations and delimitations

In Chapter 1 – Introduction, the broad, overall limitations of the study were considered. This section addresses, in detail, the limitations related to the research methodology and design and the potential impacts on the results.

The most significant event during the research was the effects of Covid 19 in New Zealand after the first case was identified on 28 February 2020. On 25 March 2020, New Zealand moved into Alert Level 4, and the entire nation went into self-isolation until 27 April 2020, when New Zealand moved to Alert Level 3. This profoundly affected the study's timeframe, and several workshops and surveys had been planned whilst many persons were either working on the 'front-line' providing aid and relief to the community for those most affected by the pandemic or from home. As a result, the decision was made to postpone the workshops and surveys until the nation returned to Alert Level 2. Whilst Covid 19 caused a delay, the most significant effect was that when Alert Level 2 was announced, most of the Salvation Army personnel were engaged in community support. Therefore, a smaller number of persons would be available to be engaged with the pilot roll-out of the program, and therefore fewer people would be involved in the survey. However, this small number provided the statistics and evidence needed to form judgements and decisions.

Another significant issue was that during the study design phase, several high-reliability organisations were approached with the view of completing a case study with them. However, due to the nature of all high-reliability organisations, their operational mode is that of high security and guarded access to information, and none would counter an in-depth analysis of their operation or personnel. Therefore, the notion of 'susceptible organisations' was conceived on closer scrutiny, allowing a broader scope of organisations to approach but still maintain the integrity of the case study research.

4.8 Chapter summary

This investigation utilised several philosophical approaches, strategies, choices, methods, techniques and procedures due to the diversity of topics, subjects and issues that have been reached.

The research has been conducted through a qualitative methodology as this investigation is a fundamental sociological investigation focusing on the micro-level of social engagement and interaction with persons at risk of developing a trauma-related reaction in susceptible organisations. Zubin Austin observed:

> '*Qualitative methods are concerned with how human behaviours can be explained within the framework of the social structures in which that behaviour takes place*'(Austin & Sutton, 2014, p. 2).

A cornerstone of this research is the case study to explore the practical application and operationalisation of Sen and Nusbaum's (Nussbaum, 1997; Nussbaum & Sen, 1993; A Sen, 1983; Almartya Sen, 1992) notions of Capability Approach in an organisation where some of its personnel (Quevillon et al., 2016) may be exposed to accident and incidents that may cause a traumatic response in an individual. Therefore, the use of case study methodology/method was appropriate, with the CIPP evaluation (Stufflebeam & Zhang, 2017) utilised to provide statistical information and data, which was used for both the research and as a quality control mechanism for the organisation's project.

Saunders Research Onion was used to determine the various aspects and paradigms most suited to the research. In summary, the research design was based on the following:

- Qualitative Research;

- Constructivism;

- Deductive Reasoning;

- Epistemology and Ontology;

- Case Study (Field Research);

- CIPP (Context, Input, Process and Product);

- Action Research; and

- Triangulation.

CHAPTER 5. CASE STUDY

The decision to undertake a case study in this research was arrived at after considering two key aspects, a) there is much controversy surrounding the operationalisation of the capability approach and if this can be achieved in practice. Moreover, b) the qualitative methodology applied to this research. A case study allows for an in-depth investigation into the projects' events, activities, and processes for multiple persons (Njie & Asimiran, 2014) to gather information and data.

A case study focuses on a specific phenomenon to examine a theoretical issue, providing a holistic analysis with diverse methods of information and data collection and analysis. There are two primary considerations for this case study: (1) the subject, for this study is the design, development and implementation of a CF for a large workforce, and (2) the object of interest, this being the lens through which to view to focused topic of the study, the operationalisation of capability approach (Thomas et al., 2020). This case study required the exploration of several essential elements, each being considered imperative to the success of the 'project' from the organisation's viewpoint.

Simons opinioned that:

> *'Case study is an in-depth exploration from multiple perspectives of the complexity and uniqueness of a particular project, policy, institution, program or system in a "real life" context' (Simons, 2009, p. 21).*

It should be noted that whilst the primary aim of the case study, from a research paradigm, was the gathering and analysis of information and data to bolster the arguments for the utilisation of a CF, and that of the focus of the organisation's

requirement, that being the 'project' had very defined deliverables and objective to meet the changes and demands of the organisation. However, these deliverables and objectives coincided precisely with the necessities of the case study.

A foundation aspect of the case study was to ensure that the essence of the research questions and issues were thoroughly researched through the integration of the thesis and project imperatives, and the results were sufficiently detailed to provide accurate analysis to provide well-founded assumptions from the analysis.

Of the three thesis research questions, the one related most closely to the case study is question one.

1. *Can Sen's and Nussbaum's notions of the Capability Approach be operationalised and practically applied in conjunction with Emotional Intelligence?*

There are two approaches to case studies that could have been applied to this research a) analytical and b) problem oriented. An analytical approach could have been performed to understand what has happened and why. However, it does not identify the problems or suggest solutions. The other approach is the problem-oriented method, which identifies existing problems and then allows for suggesting solutions to the identified problems. The problem-oriented approach was applied to this case study as the organisation identified the problems and outcomes. However, they needed help identifying the barriers to creating a CF and overcoming the obstacles.

5.1   Limitations of a case study

A case study presents a view of inquiry that takes a pragmatic view of knowledge that can capture the complexity and uniqueness of the phenomenon under study without oversimplifying or generalising it. Case studies can explore multiple dimensions and perspectives of a situation, such as the historical, cultural, social, and psychological

factors that influence it. They can also illustrate how theory and practice interact in specific contexts and how different stakeholders experience and respond to the phenomenon. Case studies can generate new and unexpected findings and test and refine existing theories.

A case study focuses on a single phenomenon to examine a theoretical issue in-depth, offering a holistic analysis that may employ diverse data collection and analysis methods.

Limitations to a case study are the items and issues that are outside the researcher's control, and every case study has limitations. Therefore, it is not intended to 'prove' and 'disprove' concerning case study findings (Simon & Goes, 2013) but to identify the issues and provide workable, practical solutions.

This case study was conducted in conjunction with The Salvation Army (TSA), New Zealand, Fiji, Tonga & Samoa Territory to establish a practical and functional 'CF (it should be noted that The Salvation Army insist on the capitalisation of the letter 'T' at the beginning of the word 'the').

The TSA advertised a position for a *CLD Project Manager – Capability Framework,* the purpose of the position was:

> *'To develop, implement and provide resources for a CF that defined capabilities needed for selection/appointment, educational and training needs and development, and succession planning for the Salvation Army in New Zealand, New Zealand, Fiji, Tonga & Samoa'.*

When considering the overall thesis, the case study only allowed for exploration of the feasibility of developing and implementing a CF, as described in research question one, but had a bearing on question two - susceptible organisations and limited

application for question three - individual capability and EI used to protect the psychological well-being of a person. However, establishing a functioning CF is the foundational item for the overall thesis research.

5.2   Suitability of the TSA project as a case study

The seeds for this research were sown during the researcher's investigation for his Master of Education thesis, *Competent Decision Makers: Decision Making for Managers/Leaders in the Oil and Gas Industry* (2016). The researcher was personally involved in the Deepwater Horizon (A. Hopkins, 2012) oil platform tragedy in the Gulf of Mexico, where 11 persons lost their lives, and many were injured. This accident was preventable, and the principal cause was that people were more concerned with profit and loss than protecting people and the environment. The Offshore Installation Manager (OIM) and the Control Room Operator (CRO) were the key decision-makers on the day. They would have been under considerable pressure with explosions and fire on the platform. However, they managed to affect the abandonment of the platform with no further loss of life or severe injury to the personnel. The critical question was: Why could the OIM and the CRO make the correct decisions under immense stress, with death and destruction all around them, whereas the Well Control Engineer in Houston who made the final decision - from an office environment, not safely sealed the well?

The researcher has several years of experience as a Control Room Operator (CRO), which for the most part, is a quiet position until things go wrong. When they do go wrong, the CRO is the focal point in dealing with and managing the event or incident, both in controlling the process and providing directions to operators to perform specific tasks and functions to regain control of the incident and return the plant/process to a safe operating condition. Emergency Plant Shutdowns (ESD) are not uncommon,

either from the plant safeguarding system or initiated by the CRO. When this occurs, it places the plant in a tenuous position, rectified by appropriate decisions and actions. It was noted that some persons handled this better than others, and some even went into a degree of shock following an incident or event. Whilst training was given in managing an ESD or plant trip due to operating outside parameters, this training was from a technical and competence perspective, with no thought given to how the person as an individual might respond, react, and rationalise the event afterwards.

It should be noted that this phase of the study was highly impacted by Covid 19, particularly concerning the evaluation of CF.

During the Master's degree research, it became apparent that scant focus was placed on individual development *prior* to a traumatic occupational event. However, there was ample post-event support and treatment.

5.3   Case study progression

The progression of the case study to completion was complex and torturous. This was primarily due to 'project creep', which are changes, continuous or uncontrolled growth in project scope after the project began. This is not unusual in any project and is mostly attributed to either new 'eyes' joining the project or persons realising the value of the project and needing to bend it to their needs.

Below is the graphical representation of the progression of the case study, to identify and simplify the elements and their changes.
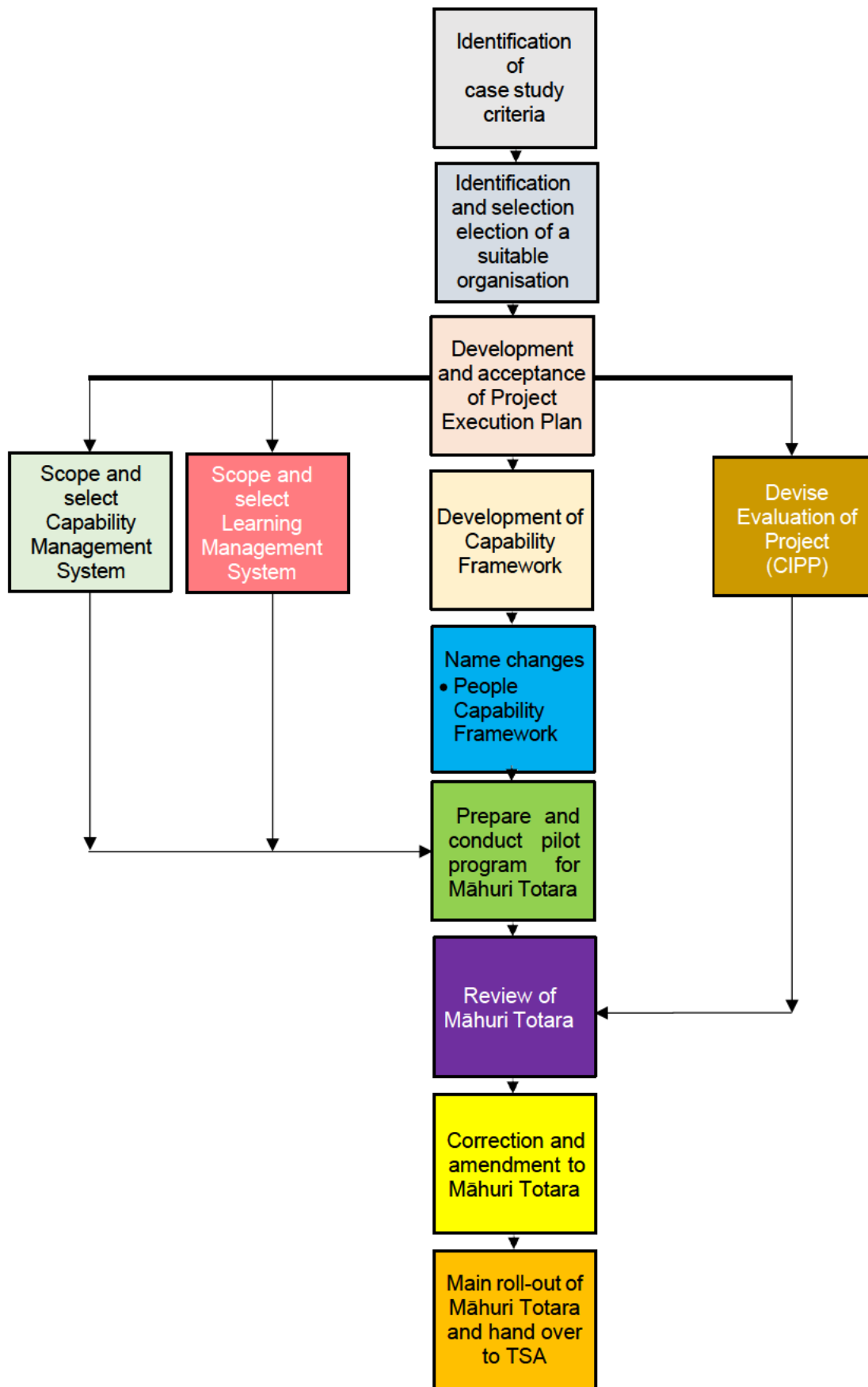
Figure 5-1 Case study progression

The researcher approached several HROs, mainly airlines and national air traffic control authorities, seeking to conduct a case study. However, by the nature of their operation, they are 'closed' organisations for security or proprietary reasons and all replies were negative. Upon reflection, it was not only HRO where persons were put in risk situations and the notion of expanding the scope of the research to other organisations that might be 'susceptible'.

The researcher was based in Adelaide, South Australia and undertook a global search for a suitable project and organisation that would also be sympathetic and align with the parameters of the research investigation.

A position was advertised by The New Zealand Salvation Army (TSA) for a *CLD Project Manager – CF.* A deciding factor in accepting the position was whether the NZ Salvation Army fell within the parameters of being a 'susceptible organisation', and this was resolved in the interview process where some of their divisions and sections were identified as emergency relief (nationally and internationally), disaster relief, drug and alcohol counselling, and emergency housing.

The researcher accepted the position, relocated to Wellington, New Zealand, on a two-year contract, and commenced work on 1st August 2018.

5.3.1 Information, data, analysis, outcomes and findings.

The theoretical implication of the case study is that the capability approach can be operationalised and implemented in a real-life environment. One essential function of the case study was to generate information and data that can be analysed to provide the outcomes and findings. To achieve this, it was necessary to utilise a known and

established evaluation method to base analysed and valued judgements on the information and data the case study provided.

The program evaluation model used was the *CIPP Evaluation* model, which was developed by Daniel Stufflebeam (Madaus, Stufflebeam, & Kellaghan, 2000; Stufflebeam & Coryn, 2014; Stufflebeam & Zhang, 2017) and colleagues in the 1960s. CIPP is an acronym for Context, Input, Process and Product. CIPP is an evaluation model that requires the evaluation of context, input, process and product derived from the case study.

The findings and outcomes are discussed at some length in Chapter 6. Analysis of Findings and Recommendations and briefly at the end of this chapter.

A foundational criterion for data collection in case studies is triangulation. Multiple data sources must be analysed, such as interviews, written responses, observations, and focus groups. The structure of this case study engaged with all these sources to provide as broad a perspective as possible.

5.4   The New Zealand Salvation Army

The Salvation Army operates in 132 countries and is led by a General who provides spiritual and administrative guidance to Salvation Army units worldwide and is located at the Army's International Headquarters (IHQ) in London, England. The primary responsibilities of The Salvation Army's General and the International Headquarters administrative departments are to deal with strategic and long-range planning and to act as a resource centre for the worldwide Army. The global division of the Salvation Army usually corresponds to a country. However, many countries with a numerically robust Salvation Army presence may be divided into several territories. The Territory is headed by the Territorial Commander, usually having the rank of Commissioner or Colonel (Murdoch, 1996).

The full title of the participating organisation was *The Salvation Army New Zealand, Fiji, Tonga and Samoa* and referred to in this study as TSA.

The Salvation Army's quasi-military command structure was adopted in 1878 when the title 'The Salvation Army' was used. As a response to a recurrent theme in Christianity which sees the Church engaged in spiritual warfare, The Salvation Army today uses this structure and soldier-like characteristics such as uniforms, flags, and ranks to identify, inspire and regulate its mission.

The historical dimension for the attempted establishment of a *CF* (CF) in the TSA stretches back to 2012 when the decision was made to create a *Generic and Specialist Framework* (2012 – 2015). In 2012 this notion was changed to an *Education and Training Framework* (2015 – 2017), and the need for a CF was identified and agreed on. In 2021, once the CF was designed and before the implementation, it was given a Māori name - Māhuri Tōtara (translation is *'to sow and nurture a seed for it to become a strong tree'* - or leader). To provide an identifiable image, a painting was commissioned to be used as the logo for Māhuri Tōtara.

Figure 5-2 Tāne Mahuta

Artist Sam Te Tau describes the meaning of the image Tāne Mahuta as:

'What has revealed itself is the 'Tree of Life', a powerfully symbolic metaphor that has been common amongst the indigenous tribes of the world and features in the many great religions and spiritual traditions. The tree surface area represents cultural diversity; every culture has evolved its own unique individual expression and knowledge over a long period of time. This diversity has formed the tribes and nations that we all belong to. When placed side by side, they combine to form the same 'Tree of life' or tree of humanity.

The weaving of cultural diversity is bringing us back together again, both physically through the merging of genes and mindfully with the sharing of knowledge. The powerful roots of 'Tāne Mahuta' resemble the physical connection to our origins on earth, and the mighty trunk and branches are leading us towards the sun, which is the spiritual equivalent of the one Creator. Finally, the centre of the tree has an unfolding spiral that is the heart or common soul of man, sharing its vibrant strength for the good of all.'

A CF had been devised and implemented in the Australian Salvation Army; however, the acceptance and uptake by stakeholders and end users were suboptimal, and the TSA in New Zealand wanted to adopt an alternative approach and realised that the skills and experience needed to create and implement a CF (which was specific the needs and requirements of New Zealand TSA) was not available within the TSA organisation or New Zealand, and outside expertise was required. A Job Description was created for the position of *CLD Project Manager – CF (*CLD is the Centre for Leadership and Development, which is housed in the Booth College of Mission,

Trentham, NZ*)* and a Wellington, NZ-based recruitment company was engaged to find an appropriate person.

5.4.1 *Proof of concept*

The primary outcome of the CF project, from the study and investigation perspective, was proof that the concept of a practical, operationalised CF was achievable (Chiappero-Martinetti, 2015; E. Chiappero-Martinetti & J. Roche, 2009; F Comim, 2001; Prah Ruger, 2010), as literature review revealed that there was scepticism and doubt about the operationalisation of Capability Approach could be realised. The scepticisms and doubts were well founded in designing and implementing a 'purist' version of the capability approach applied to a CF, as a standalone CF was not achievable. The notions of CA are largely esoteric, which became clear mid-way through the project. A workaround solution must be found to enable the CA framework to be created and implemented.

5.5 Project range and scope

The range and scope of the project were delineated in the job description for the position of *CLD Project Manager – CF* (see Attachment? *CLD Project Manager – CF*).

The overarching brief of the project was to design, develop, implement and provide resources for a CF that defined capabilities needed for a role or position within TSA and identify educational and training needs and individual development, and provide succession planning for the TSA.

KEY RESULT AREAS and KEY TASKS	PERFORMANCE INDICATORS
CF – Structure and Rollout	
- Simplify existing framework. - Create workable processes. - Design of electronic paperwork - Conduct training relating to the rollout of the CF. - Implement/Roll out CF in the Territory - Develop Resources/Training as required. - Ensure links to other TSA processes and software (e.g. ADP & Coaching) are streamlined. - Identify key stakeholders, develop and maintain relationships	- The existing framework is simplified, and the process is outlined, including all documentation accessible electronically, within six months. - Relevant staff are trained to competently utilise the framework. - The CF is successfully rolled out across the Territory. - The CF is smoothly operating in conjunction with other TSA processes/software. - Stakeholder feedback is positive.

KEY RESULT AREAS and KEY TASKS	PERFORMANCE INDICATORS
CF - Practice	
- Conduct CF interviews using needs analysis material tools and CF paperwork. - Develop individual Learning and Development Plans.	- CF Interviews and Needs Analysis tools are conducted professionally and on time. - Workable Learning and Development Plans are being implemented
CF – Feedback/Monitoring	
- Undertake regular consultation with stakeholders. - Be responsible for ongoing monitoring of the framework and resources	- Stakeholder feedback and analysis of material becomes business as usual. - The CF, resources and training are kept up to date

CLD Team	
• Participate and facilitate CLD courses as needed	• Participation in CLD courses is conducted at a high standard
Boards and Committees	
• Progress reports were provided to CLD Coordinating Committee in time for tabling at BCM Governance Board. • Attend CLD Coordinating Committee monthly. • Attend Boards as required/requested.	• Attendance and participation in Boards and Committees is regular and of a high standard. • Reports are well presented, contain high standard material, and are submitted on time.
KEY RESULT AREAS and KEY TASKS	**PERFORMANCE INDICATORS**
Mission Support	
• Assist in other operational areas and perform other duties as directed. • Actively maintain positive communication and effective working relationships with other team members. • Support and assist other members of the team in achieving their goals. • Attend planning days, staff meetings, and training as required. • Understand and follow applicable Operational Policy	• Relationships with other team members are positive and focused on delivering high-quality service. • Attends team meetings and training • Operational Policies are adhered to.

Health and Safety	
• Report accidents and hazards • Follow safe work procedures. • Use safety equipment. • Understand and follow applicable Operational Policy.	• HSF 5.1 accident report form completed within appropriate timeframes. • Hazards are reported and managed appropriately. • An employee works safely at all times.

Table 5-1 Key result areas, key tasks and performance indicators

From the above, it was necessary to identify and engage with the key TSA stakeholders initially and to establish the parameters, scope and range of the project to ensure that the was a common understanding of the outputs and outcomes and ensure alignment within the aims and targets of the TSA territory, section and divisions and the thesis research requirements.

Below is a list of the services, divisions, sections, and territories managed and operated by TSA, all of which had to be considered and engaged:

- Addictions, Supportive Housing & Reintegration Service (ASARS);
- Bridge Centre (Alcohol and Drug Support);
- Community Ministries;
- Emergency Services;
- Family Stores;
- Fiji Territory;
- Finance;
- Health & Safety;
- Human Resources;
- Keeping Children Safety;

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- Māori Ministries;

- Northern Division;

- Oasis Centres (Habitual, harmful gambling);

- Officer and Cadet training;

- Pacifica;

- Property;

- Salvation Army Social Housing (SAH);

- Samoa Territory;

- Southern Division;

- Territorial Head Quarters / Northern Youth Services;

- Tonga Territory; and

- Youth Services.

It should be noted that the researcher has been embedded as a senior consultant in several multinational oil, gas and energy organisations and considered the TSA as being more complex and diverse than any of these organisations when considering the range and breadth of the services and functions offered. This made the project extremely difficult to complete due to the array of directors, leaders and managers who had very different needs and requirements.

The TSA was an ideal choice for this study as it had all the requirements to be considered a 'susceptible organisation'.

TSA comprises over 2700 officers and employees in New Zealand, all with specific needs and requirements. For example, when officers are appointed to a role or position, they are given a 'Brief of Appointment', which outlines their duties and responsibilities for that role or position, including spiritual. At the same time, an employee has a 'Role/Position Description' that details key result areas, key tasks and

performance indicators and identifies the secular requirements of the role or position. Officers fall within the remit of TSA Personnel, whereas employees are within the remit of Human Resources.

5.5.1 Biculturalism

A cornerstone for consideration in the project was to embrace and encompass bi-culturalism in all aspects of the design, construction and implementation of the TSA CF.

In 1840 the Treaty of Waitangi (Hudson & Russell, 2009) was written and signed by around 500 rangatira (Māori chiefs) from the north island of New Zealand and representatives of the British Crown. It was intended to be a cornerstone in establishing a colony in New Zealand, and when some Māori leaders had petitioned the British for protection against French ambitions. It was drafted to establish a British Governor of New Zealand, recognising Māori ownership of their lands, forests, and other possessions and giving Māori the rights of British subjects. However, there were two versions of the Treaty, one in English and the other in Māori - and they were not the same.

However, Māori iwi (tribes) eventually lost control of much of the land they had owned, sometimes through legitimate sale, but often due to unfair land deals, settlers occupying land that had not been sold. This led to the New Zealand (Land) Wars (Keenan, 2002), in which Britain claimed victory and resulted in outright confiscations of Māori land and the Treaty of Waitangi was mostly ignored by the New Zealand government and a court-case judgement in 1877 declared it to be 'a simple nullity'. During the following decade, there were many instances of disagreement and debate, which often led to civil disturbance and violence from both Māori and Pākehā (white New Zealanders). Until the 1980s, New Zealand was unofficially monocultural, with

government policies favouring Pākehā culture. Māori renaissance increased, which brought about a renewed emphasis on biculturalism, based on the partnership established between Māori and the Crown by the Treaty of Waitangi.

In 1985 the Treaty of Waitangi Amendment Act established a Tribunal that has exclusive authority to determine the meaning and effect of the Treaty as it is embodied in both the English and Māori texts.

The notion of biculturalism in New Zealand has been embraced since the 1980's and the Royal Commission on Social Policy, issued in 1987, stated that "*the Maori dimension is basic to New Zealand society, and this must have profound implications for all social policy*" (Hayward, 2012). It was significant that some chapters in the report were translated into Māori, reflecting that Māori had been made the official language of New Zealand in 1987.

The TSA Bicultural Statement states:

"Te Tiriti o Waitangi (The Treaty of Waitangi) is the foundation of bicultural partnership between Māori and Tauiwi (non-Māori New Zealanders) in Aotearoa, New Zealand. This partnership has had a troubled pathway, with complex and often painful histories since the Treaty was signed in 1840.

The Salvation Army is firmly committed to honouring the principles of partnership, protection, and participation inherent in Te Tiriti o Waitangi.

- *Partnership: New Zealand was founded based on a bicultural partnership. The Salvation Army aims to work together with Māori in all its church and social service settings, involving and supporting each other.*
- *Protection: The inequalities between Māori and Tauiwi in New Zealand cause Māori to face considerable challenges and hardships. The Salvation Army*

strives to protect Māori from the social and economic causes of inequality so they can achieve the best possible outcomes in their own land.

- *Participation: The Salvation Army greatly values the many Māori serving within The Salvation Army as church leaders, staff and volunteers. These individuals enrich The Salvation Army as a movement and strengthen its mission".*

Not only has biculturalism become part of the fabric of NZ society and is embraced by commerce and government, and it is a vital element for the TSA that this study identified and engaged with Māori leaders and representatives to ensure that Māori were *'protected from the social and economic causes of inequality'* within the research and that care, consideration and respect were shown to Māori's and their culture. The researcher attended several bicultural training sessions and workshops prior to the commencement of the investigation to get a grasp of the Māori culture, customs, and language to ensure that Māori were fully represented and had a voice in all working parties, workshops, input, review and feedback session that were related to the project.

The initial three weeks of the project were to identify the fundamental issues and items that were to be included or excluded from the project, identify and engage with key stakeholders and und user groups and complete a dot-point table of contents for the Project Execution Plan (PEP).

5.5.2   Notions of capability frameworks

The first hurdle that needed to be overcome was the framework's nomenclature. Initial research provided diverse interpretations and notions of the term CF. Below are some of the types and interpretations of CFs:

• Organisational	• Enterprise	• Dynamic	• Analytical
• Professional	• Teaching	• Sen	• School leadership
• Inter-Professional	• Workforce	• Educational	• Management

Table 5-2 Types and interpretations of CFs

The investigation was made it the types and interpretations of Sen (Frediani, 2010) and workforce (Ministry of Social Development, 2017) CF.

TSA needed to be comfortable with the nomenclature, and the term 'People CF' was adopted to provide a clear understanding of the framework's intent and paradigm.

5.6   Overview of project/case study

Gaining support and 'buy-in' from the stakeholders and end users was paramount. Therefore, providing a 'road map' for achieving the required outcomes to meet expectations and aims was essential. To achieve this, a 'Shaping and Forming Workshop' was convened to establish boundaries, parameters, and essentials with the directors, leaders, stakeholders, and representatives of the end users. There were 14 attendees at the workshop, including Officers, Governance/ Personnel, CLD, HR, Māori Ministries, Family Stores, ASARS, National Youth, Community Ministries, and Internet Services Group ISG.

 The fishbone flowchart below provides an overview of the timeline and schedule of the creation and implementation of TSA People CF.

Phase 1

Project Strategy

- Scope, Range and Strategy
- Identify Stakeholders
- Stakeholder engagement

- Development of Project Execution Plan

3

2

Workshop
'Shaping and Forming'

Phase 2

PCF Design

4

- Develop:
  Governance and Policy
  Statement
  Administrators Manual
  FAQ's
  Users Guide
- Software program engagement and population
- Develop position Capability Profiles

Phase 3

Review Revision and Acceptance of PCF

Workshop
'Review, Revision and Acceptance'

5

6

Workshop
'Communications and Roll-Out Strategy

- Development of Communication and Implementation Plan

7

8

- 'Pilot' Roll-Out
- Review
- Main Roll-Out

Phase 4

Implementation and Operation

- Implement
- Operate
- Monitor
- Review/Revise

9

10

- Project Close-Out

Figure 5-3 Fishbone flowchart of TSA people CF

At the workshop, the researcher suggested that the project be conducted in four phases:

1 Project Strategy;

2 People CF Design;

3 Review, Revision and Acceptance of People CF; and

4 Implementation and Operation.

The decisions and outcomes from the workshop provided the basis for the creation of the Project Execution Plan' see Attachment 18 - Shaping and Framing Workshop - Decisions and Outcomes.

5.6.1 *Project execution plan (PEP)*

The PEP was the foundational document which laid out the documents, processes and procedures that would be incorporated, including the personnel involved, timelines, communication, and quality control loops (input, feedback, revision and acceptance).

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                          ┌─────────────────────┐
                          │  Project Execution  │
                          │     Plan (PEP)      │
                          └─────────────────────┘
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Phase 1	Phase 2	Phase 3	Phase 4
Project Strategy	PCF Design	Review Revision and	Implementation and Operation

Phase 1 — Project Strategy

- Review of existing documents
- Gain 'in-principle' agreement on foundational items
- Communicate foundational elements and structure.
- Development and acceptance of PEP

Phase 2 — PCF Design

- Structure and model
- Capability Management System (CMS)
- Learning Management System (LMS)
- CMS/LMS Implementation Plan

Phase 3 — Review Revision and

- Collection and Collation of information and data
- Review Revision and Acceptance workshop
- Communication and Rollout Strategy Workshop
- CMS/LMS Implementation Plan

Phase 4 — Implementation and Operation

- 'Pilot Rollout'
- Evaluation (CIPP)
- Review and Revise
- 'Main Rollout

Figure 5-4 Key deliverables from the four phases

It should be noted that the deliverables identified in the above table were perceived at the point in time; however, a phenomenon known as 'project creep' resulted in different outcomes and deliverables.

This Project Execution Plan was the 'road map' for creating and establishing the People CF (PCF). It provided information on the 4 Phases of development, methodologies and methods used in the PCF creation.

A critical success element was the engagement of owners, stakeholders, and users to ensure that their specific needs and requirements would be met, addressed and incorporated into the PCF's concept, philosophy, construction, processes and procedures.

The TSA required several drivers and imperatives to develop and utilise a CF. This required a framework that could be used as both a methodology and a 'tool' by individuals, sections, divisions, and nations to provide readily available information and data for inclusion in an individual's Capability Profile.

The People Capability Framework was based on three core elements:

1. Capability;

2. Competence; and

3. Development (Education and Training).

All TSA personnel were to be able to access their own 'Capability Profile', 'Personal Portfolio' and 'Development Plan' via 'My Dashboard', which is the visual representation of the Capabilities, Competencies, learning and development events and their qualifications, attributes, and experience.

The successful creation and implementation of the PCF would be highly dependent on the utilisation of a Capability Management System – CMS (electronic 'Mining', Manipulation and Management of data) that must have the functionality to search both internal TSA databases and external databases and construct individual Capability Profiles, Development Plans and Portfolios.

Whilst the mechanisms involved with the People CF were quite complex, it was vital that the individual 'end users' only saw the information and data that applied to them. The cornerstone of the PCF is to 'keep it as simple as possible', particularly from the individual user's perspective.

5.6.2   TSA capability framework structure

The researcher decided that it was necessary to provide a 'starting point' as a foundation to guide the CF's development, or the outcome may have become messy and protracted.

5.6.3   Capability framework input and outputs

The initial step was to identify the functions that the CF would perform. There were 'inputs' and 'outputs. The below table provides an overview of the inputs and outputs of the CF.

Inputs	Outputs
Mission Strategic Plan & Values	Job/Position Performance Management
Job/Position Data/ Brief of Appointment	Future / Development Needs Analysis
Individuals Details	Individual Development Plan
Individual Capabilities	'Base' Profiles
Current CLD /BCM Programs and Courses	Regulatory and Legal Requirements
Specific Position Requirements	Succession Planning
Regulatory Required Training	Future CLD Training Planning/ Requirements
Occupational Competencies	Career Path Planning/ Ministry Progression
TSA Capabilities	

Table 5-3 Inputs and outputs of TSA CF

The figure below provides a graphical interpretation of the CF inputs and outputs. This figure is of particular importance as it was to be foundational in the design and development of the CMS/LMS tender process for the software platform developers.

Figure 5-5 Functions of the TSA CF

It is evident from the above figure that the complexity of a CF exceeds that of a simple matrix of capabilities against job role/position descriptions.

5.6.4 TSA capability framework functionality

A cornerstone issue from the TSA perspective was that it must be 'as simple as possible' from the end users' perspective. A 'Users Guide - Māhuri Tōtara - People Growth & Development Model' was developed to provide a simple

overview of Māhuri Tōtara without the complexities that went into its creation and operation.

The following is an extract from the User's Guide and provides information on the elements and operation of Māhuri Tōtara.

There were crucial elements that the End Users understood, these being:

5.6.5   People capability framework

The People Capability Framework is a database of the skills, knowledge and attributes (capabilities and competencies) people required for all TSA roles. Each specific role requires only selected capabilities and competencies, which are used to create an 'individual capability profile'.

5.6.6   Individual development plan

An *Individual Development Plan* is a list of things that helped a staff member develop and usually includes timeframes and how the development occurred. For employees, this may include training for career progression. It could include on-the-job training in a particular area (e.g., address challenging behaviour), some coaching on a topic (e.g., customer service), training courses, e.g., De-escalation or completing qualifications, e.g., Level 3 Certificate in Retail. A development plan would be part of an officer's goals in their ADP.

5.6.7   Performance improvement plan

Performance Improvement Plan - where staff are performing satisfactorily and progressing in their roles, then all they need is a development plan. When managers are concerned that staff must perform their role to the required level, they may work with staff on more intensive formal Performance Improvement Plans. For officers, this may involve more formal coaching and, potentially, Officer Review Board processes.

5.6.8   Māhuri Tōtara process

Below is a visual representation of the Māhuri Tōtara/ PG&DM Process
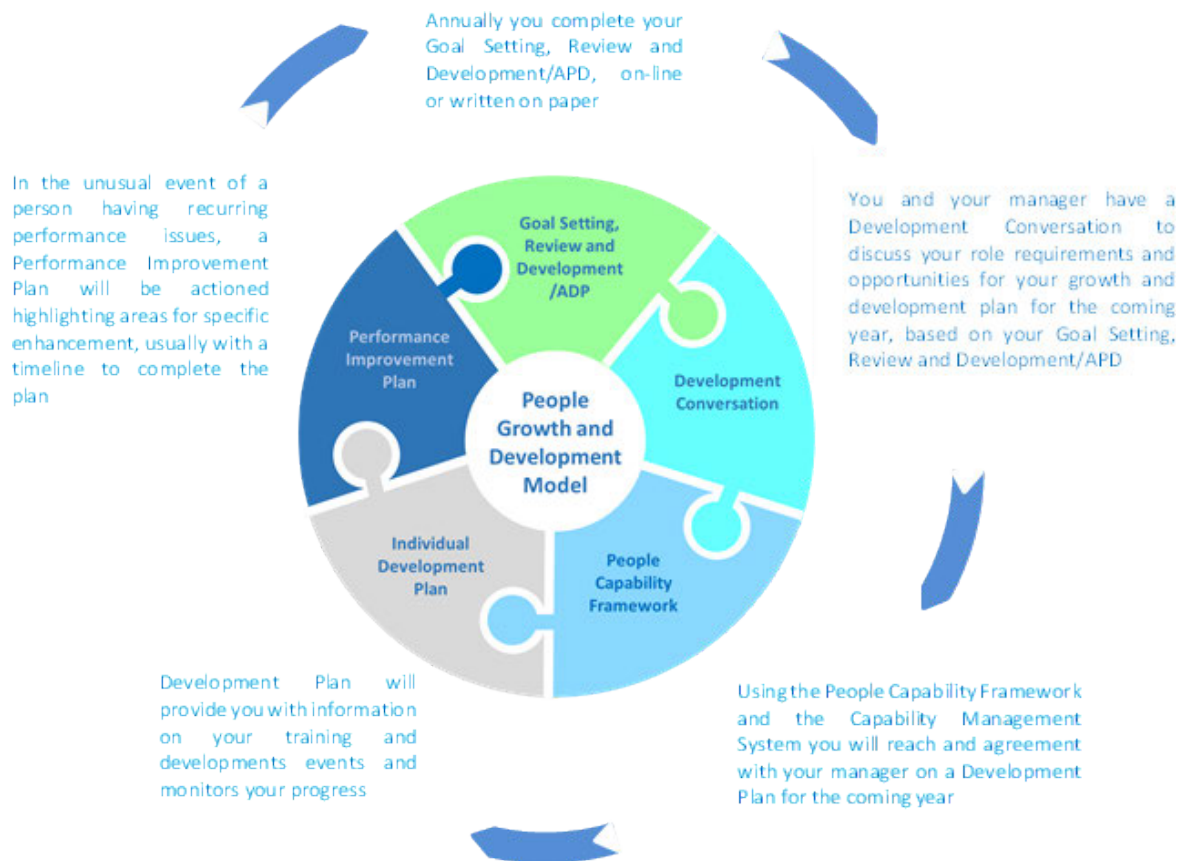
Figure 5-6 Māhuri Tōtara/ PG&DM process

5.6.9   People capability model

The People Capability Model is an enabling tool that contains a list of skills and attributes (capabilities and competencies) that our people need to do their jobs now and in the future. The diagram below shows five Emotional Intelligence capabilities (self-awareness, self-regulation, empathy, motivation and social) and Mission Values. The seventh area is Occupational Competence which

includes a list of skills that apply to particular roles, e.g., Work with Whanau (family), Alcohol and Other Drugs, Homelessness, and Work with Youth.

The individual's role has a list of standard capabilities and competencies developed from a base capability profile. <mark>Each manager works with the persons to determine their skills and capabilities, create an individual capability profile, identify development opportunities (courses etc.) and create a Development Plan.</mark> These items are displayed on the individual dashboard within the Capability Management System (CMS).

5.6.10 Capability Vs competence conflict

A constant issue was the tension between the interpretation and understanding of capability and competence by managers, officers and employees of the TSA. This was the cause of fierce debate and stress in the final stage of the project and is discussed further in the case study summary.

5.7 Capability Management System (CMS)

The Capability Management System (CMS) is a software platform containing role descriptions and capabilities lists. Each person had their own 'dashboard', which contained capabilities and competencies required for their role. It helped identify skills and gaps in skills, knowledge and attributes. It also recorded and tracked individual development conversations (manager and staff), development plans and goals. The CMS also has lists of training and resources that may be incorporated within a learning and development plan.

The Salvation Army is committed to agile and user-friendly processes. The People Growth and Development Model contains different processes around capability and competence. The CMS helped to keep this process user-friendly and nimble. It had to interface with the TSA's current software platforms, such

as ADP, Moodle and TechOne, to avoid the double entry of information and data.

Eventually, there were around 2700 employees and officers using this system. Some of the information and data was of a personal and sensitive nature, and the software needed to protect the individual's privacy while giving them access to the information they needed to do their jobs and develop in their role.

5.7.1 Role descriptions/brief of appointment

A Role Description/Brief of Appointment identifies the 'Responsibilities and Tasks an Officer or Employee' is expected to perform within their positions. It covered the activities and accountability of the person who fills these roles and Role Requirements, such as driving license, Working with Children, etc.

5.7.2 Development conversation

A *Development Conversation* is convened between a manager and the officer or employee and a discussion identifies the items that are included in a 'Base' Capability Profile for a particular position, which was included in their Development Plan. A Capability Profile included:

- Role/Position Title;

- Role Description;

- Individual 'Portfolio';

- Development Plan;

- Learning and Training Programs;

- Capabilities;

- Legal and Mandatory Requirements; and

- Occupational Competencies.

A course was developed to provide managers with skills and ability to perform the interaction with the officer or employees, called *Development Conversations for Managers.*

The course participants for a session are any manager with officers or employees who have a direct reporting line to them and will be required to develop an *Individual Capability Profile*. This course is aimed at providing mangers with skills and 'tools' needed to engage in a conversation with an employee. This course is of a 'short duration – high intensity' to provide you with information and abilities to practice in the workplace to apply 'situational learning' and to minimise your time away from your roles and responsibilities at the workplace. This Participants Resource Material has been created to provide you with reference when you apply your knowledge and abilities when conducting a Development Conversation. Each section has 'Golden Rules' which will serve as memory prompts if you should need to return to this resource material.

The delivery of this session is 4 hours in total of 'live' instruction and employs a 'blended learning methodology, using:1 hour on-line 'webinar';3 hours 'face to face' facilitated delivery; 'Workplace' coaching and assessment.

5.7.4 *'Dashboard'.*

The *dashboard* was a visual representation of critical aspects of their role within the TSA, including their growth and development, including within the Capability Profile.

5.7.5 *Individual portfolio*

The Individual Portfolio is a record of all of a person:

- Education;
- Training;
- Experience;
- Knowledge and Skills;
- Communication; and
- Special.

It includes their achievement within the TSA and any other attributes they may have acquired before their time with the TSA.

The CMS can alter an Individual Portfolio, such as adding a qualification or skill, which is uploaded once a line manager has confirmed the information supplied.

5.7.6 Development plan, training and tracking progress

The Development Conversation with a manager is when an officer or employee agrees on a Development Plan to suit their needs, in their positions, at their location. The Development Plan identified:

- Training modules, workshops or development events that needed to be completed.
- Date by when the training modules, workshops or development must be completed.
- The progress made.

5.7.7   Role legal & mandatory requirements

Many of the roles in the TSA require certification or licensing to comply and perform their task and functions legally. If a role required certification or licensing, I identified it on the Capability Profile on the dashboard.

5.7.8   Performance

TSA performance is behaviour-based and focused on how well a person performs their tasks and responsibilities associated with their role. Officer and Employee performance is the most crucial aspect of overall job performance.

The TSA has developed 3 Performance Levels within the Peoples CF, and the Performance level is linked to roles. The 3 TSA Performance Levels are:

- Level 1 – Essential
- Level 2 – Enhanced
- Level 3 - Leadership

Each level (Role) has a suggested number of Occupational Competencies and Capabilities, which may be altered during your Development Conversation between the manager and the officer or employee.

5.7.9   Occupational competence

There is no absolute definition of competence. However, there was an imperative that this be defined and described for the TSA officers and employees. Competence was determined as (S. Fraser & T. Greenhalgh, 2001):

> *COMPETENCE – what skills individuals know or are able in terms of knowledge, skills and experience/practice.*

The term 'Occupational Competence' was used within the project as relating to the *'ability to perform the activities within an occupation or function to the standards expected in by the TSA'*.

Many people had achieved competencies within qualifications within the New Zealand Qualification Authority (NZQA) framework and understood their uses and applications. However, TSA needed to develop a catalogue of Occupational competencies for use within the CF and against which capabilities could be mapped.

5.8   Capability domains

Capabilities were developed for TSA as an intended outcome of the project, based on the concept of 'mixed method' EI, and arranged into six Capability Domains, these being:

- Mission Values;

- Self-awareness;

- Self-regulation;

- Social Skills;

- Empathy; and

- Motivation.

5.8.1   TSA capabilities

As a concept, capabilities are a recent supplement to adult and vocational education, primarily due to the changing nature of work patterns and career paths. During a career, a person can expect to change the employer, professions, vocations, and occupations. Therefore, people must be able to transfer and transpose their skills and abilities from one work setting to another.

The TSA required a determination of what capability meant. Therefore capability was defined as (S. Fraser & T. Greenhalgh, 2001):

COMPETENCE – the extent to which individuals can adapt to change, generate new knowledge, and continue to improve their performance.

5.8.2   Emotional intelligence

Emotional Intelligence (EI) allows individuals to carry out accurate workplace-based reasoning based on emotions and use emotions to heighten thought and decision processes.

'The more complex the job, the more emotional intelligence matters – if only because a deficiency in these abilities can hinder the use of whatever technical expertise or intellect a person may have' (Goleman, 1998, p.22).

The TSA is an organisation whose primary aim is caring for people. Therefore, individuals' capability to recognise their own emotions and those of others, discern between different feelings and label them appropriately is a crucial attribute for TSA officers and employees. TSA personnel must use emotional information to guide thinking and behaviour and manage and adjust emotions to adapt to environments or achieve one's goals.
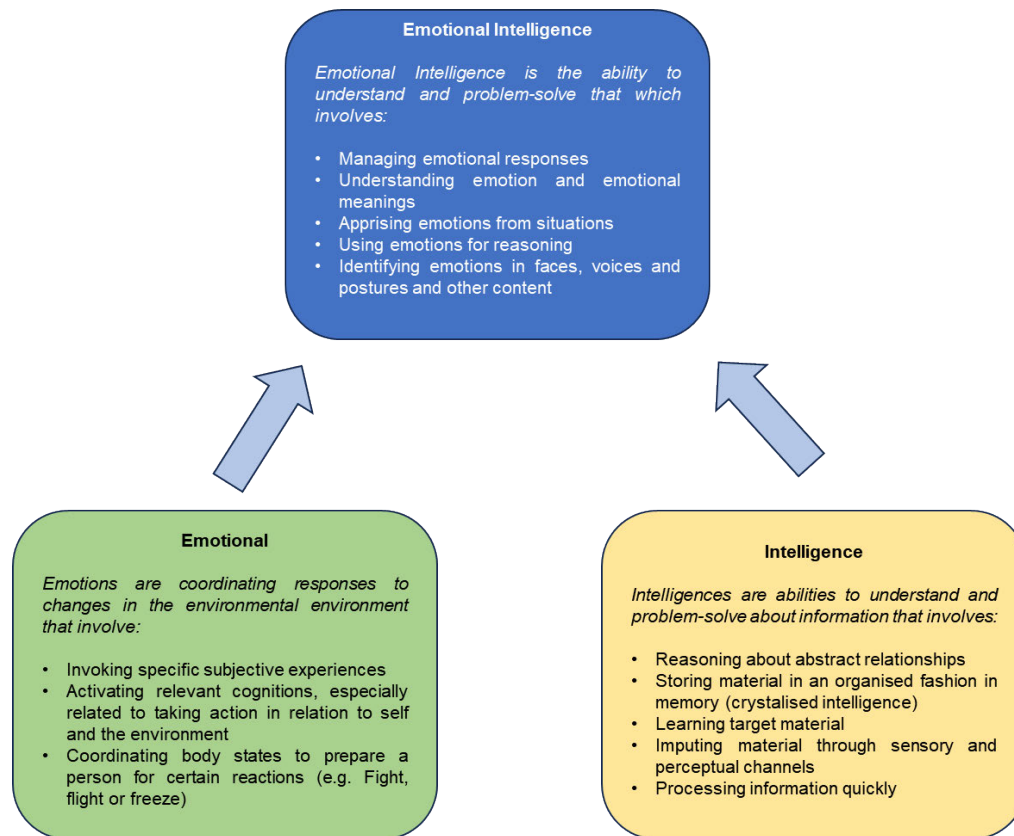
Figure 5-7 The two key elements of emotional intelligence

5.8.3   Five components of emotional intelligence

Goleman's EI theory comprises five core components:

Self-awareness – the ability to recognise and understand their emotions- is critical to emotional intelligence. Beyond just recognising their emotions, however, is being aware of the effect of their actions, moods, and emotions on other people.

Self-regulation – In addition to being aware of their own emotions and their impact on others, emotional intelligence requires them to be able to regulate and manage their emotions.

Social Skills – Another important aspect of emotional intelligence is interacting well with others. True emotional understanding involves more than just understanding their emotions and the feelings of others - you also need to be able to put this information to work in their daily interactions and communications.

Empathy - The ability to understand how others are feeling, is critical to emotional intelligence. However, this involves more than just being able to recognise the emotional states of others.

Motivation - Also plays a key role in emotional intelligence. Emotionally intelligent people are motivated by things beyond mere external rewards like fame, money, recognition, and acclaim.

All of these components were adopted and adapted to develop the TSA capabilities.

5.8.4 Creation and acceptance of TSA capability 'domains'

The creation and acceptance of TSA Capability 'Domains' was the most challenging aspect of the case study and led to a realisation that a CF, following the concepts and theories of Sen (A Sen, 1993) and Nusbaum (Gasper, 1997; Nussbaum, 1997) could not be applied in a practical application.

The researcher was acutely aware that whilst the concept of frameworks and data manipulation and management systems were within his sphere of expertise, developing the capability domains and capabilities required an in-depth knowledge and understanding of the credos, philosophies, and operation of The Salvation Army.

In order to achieve the level of fidelity required, there would be a high degree of engagement and involvement from officers and employees from all of the organisation and had to include the anomalies, complexities and intricacies of the TSA divisions and sections. However, whilst the officers and employees would have in-depth knowledge of roles and responsibilities within TSA, they may not possess the required knowledge and understanding of capability to enable them to develop a set of capabilities.

Therefore, it was necessary to provide them with training and development concerning the task in front of them and to give them an array of choices from which they could decide on the most appropriate structure for the TSA as subject matter experts.

The notion of 'Capability Champions' was used to create and develop the capabilities.

It was, therefore, essential to provide a detailed description of the function and expectations of the 'Capability Champions' (see Attachment? - Capability Champions - Description, Aims and Objectives).

Below is an extract from the *Capability Champions - Description, Aims and Objectives* and provide an indication of their roles, functions and obligations as a Capability Champion:

> *A 'Capability Champion' is a nominated person who supports identifying and gathering information and data (capabilities and competencies) for a particular capability domain to the specific requirements of TSA. They were required to identify and select capabilities which can be utilised within the PCF/CMS.*

Each Capability Domain has pre-existing information and data within a temporary database, which the Champions can use as a base reference point, and they were provided with supporting guidance on previously developed Capability Domains, such as the, etc.

It is recognised that persons designated as Capability Champions already have demanding roles, tasks and responsibilities, which is an additional burden to their existing workload. However, the position of Capability Champion is of short-term duration (approx. 3~4 months) and has no ongoing responsibilities once the information and data have been loaded into the CMS. Additionally, they were given support and assistance from the PCF Project Manager to identify and capture the capabilities to be utilised with a Capability Domain or identify shortfalls for future development.

5.8.5 'Champion' Selection and Training

The Champions were identified by the TSA managements and leadership team and based their selection on the managers/officers who had the most experience with a particular Capability Domain.

A half days workshop was convened to describe the 'domains' and how best to identify them in relation to TSA needs and wants. Methods of development of the domains explained and the method of data and information gathering were explained in detail. The figure below shows the program content
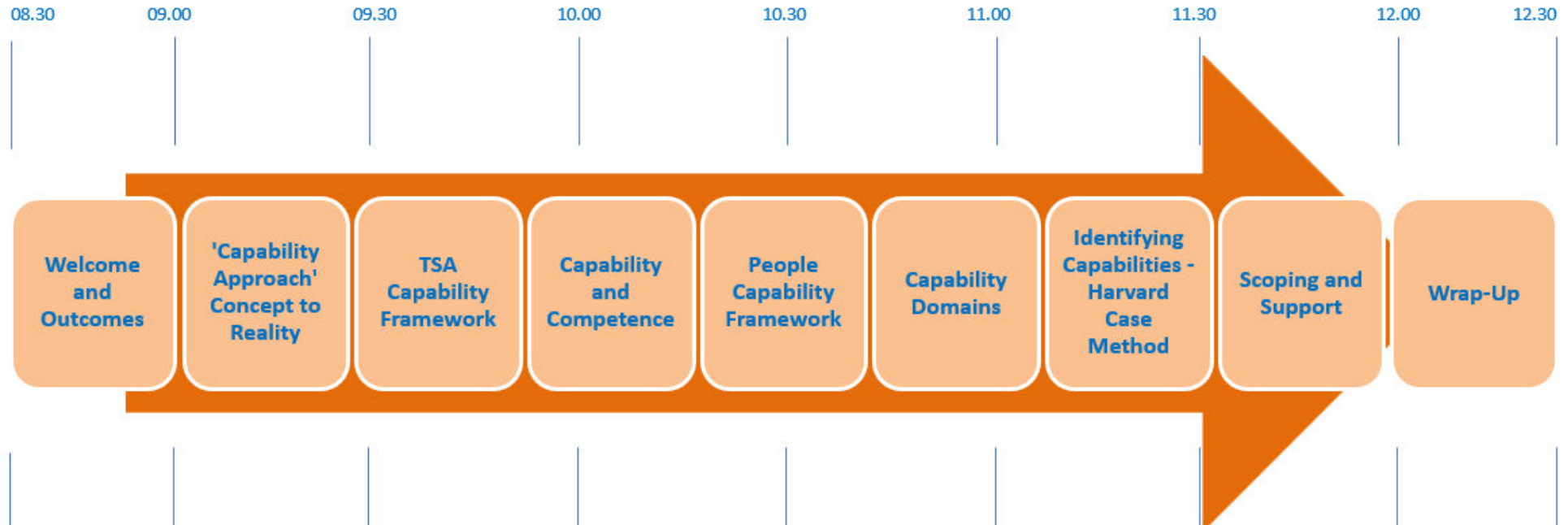
Figure 5.7 Capability Champions Workshop - Program

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5.8.6   Existing capabilities

The Capability Champion descriptor mentioned two existing sources of capabilities or competencies that could be utilised or amended: Australian TSA CF and a New Zealand organisation *Te Pou - Let's Get Real (Roguski et al., 2022).*

Te Pou's - *Let's Get Real* is a framework that describes the values, attitudes, knowledge and skills required for working effectively with people and whānau (family) experiencing mental health and addiction needs. It was developed by the Ministry of Health in 2008 and refreshed by Te Pou following sector consultation in 2018. All health care services in New Zealand, organisations, roles, or professions can use Let's Get Real, regardless of context (see Attachment? - Te Pou - Let's Get Real).

The Australian TSA provided the project with a range of capabilities that could be used or adapted to suit the NZ needs and requirements from their version of a CF. A review of the Australian TSA CF structure revealed that it would not meet the NZ requirements, but certain elements could be adopted.

The other source of capabilities was a government organisation, Te Pou, a national workforce centre for mental health, addiction and disability for New Zealand citizens. Te Pou provides mental health and addiction services and disability organisations to identify their priorities and workforce challenges and provides a range of learning and development programs and qualifications.

Some TSA divisions, such as Addictions, Supportive Housing & Reintegration Service (ASARS), had already established a relationship with Te Pou, and many of their officers and employees had either completed the course and obtained qualifications or were in the process of doing so. The divisions that had utilised Te Pou were satisfied with the outcomes it offered, and therefore, the decision was made to incorporate Te Pou's - *Let's Get Real* framework into the TSA CF.

5.8.7 *Capability performance levels*

The range and scope of the capabilities being covered by the TSA needed to have a delineation between the hierarchical level of job roles/positions about performance levels. As Te Pou was already established within TSA, their definitions of performance levels were adopted and given TSA definitions.

There are three levels of performance:
- Essential.
- Enhanced; and
- Leadership.

Additionally, it provided uniformity with the current development course and qualification, and introducing a different performance level system would need to be clarified for the stakeholders and end users.

Application of performance indicator levels

The following table summarises application of each level of the performance indicators.

	Essential	Enhanced	Leadership
Everyone working in health	✓		
Everyone working in mental health and addiction roles and those wanting to further develop their skills	✓	✓	
Everyone who is leading, guiding, supporting, educating and resourcing the work of others in health	✓	✓ +/-	✓

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Table 5-4 Te Pou Let's Get Real performance levels
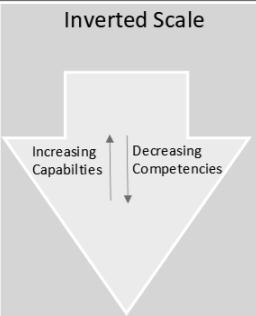
Performance Level	Description	Capabilities/Competencies (typical)	
Level 1 - Essential	People working at this level do not supervise the work of others; they work under the direction of others and apply their skills to meet established targets or outputs.	4 Capabilities 5 Competencies	Inverted Scale
Level 2 - Enhanced	People working at this level have well developed skills; they may take limited responsibility for the work of others	6 Capabilities 4 Competencies	Increasing Capabilties / Decreasing Competencies
Level 3 - Leadership	People working at this level take a leadership role; they may supervise the work of others and/or provide leadership through their technical or specialist skills.	8 Capabilities 3 Competencies	

Table 5-5 TSA performance levels

5.8.8   *Capability/competence continuum*

It should be noted that the relationship between capability and competence is in inverse proportion. The following figure illustrates the Capability/Competence Continuum, which has been amended from the Fraser and Greenhalgh paper *Coping with Complexity: Educating for Capability* (S. Fraser & T. Greenhalgh, 2001, p. 800).
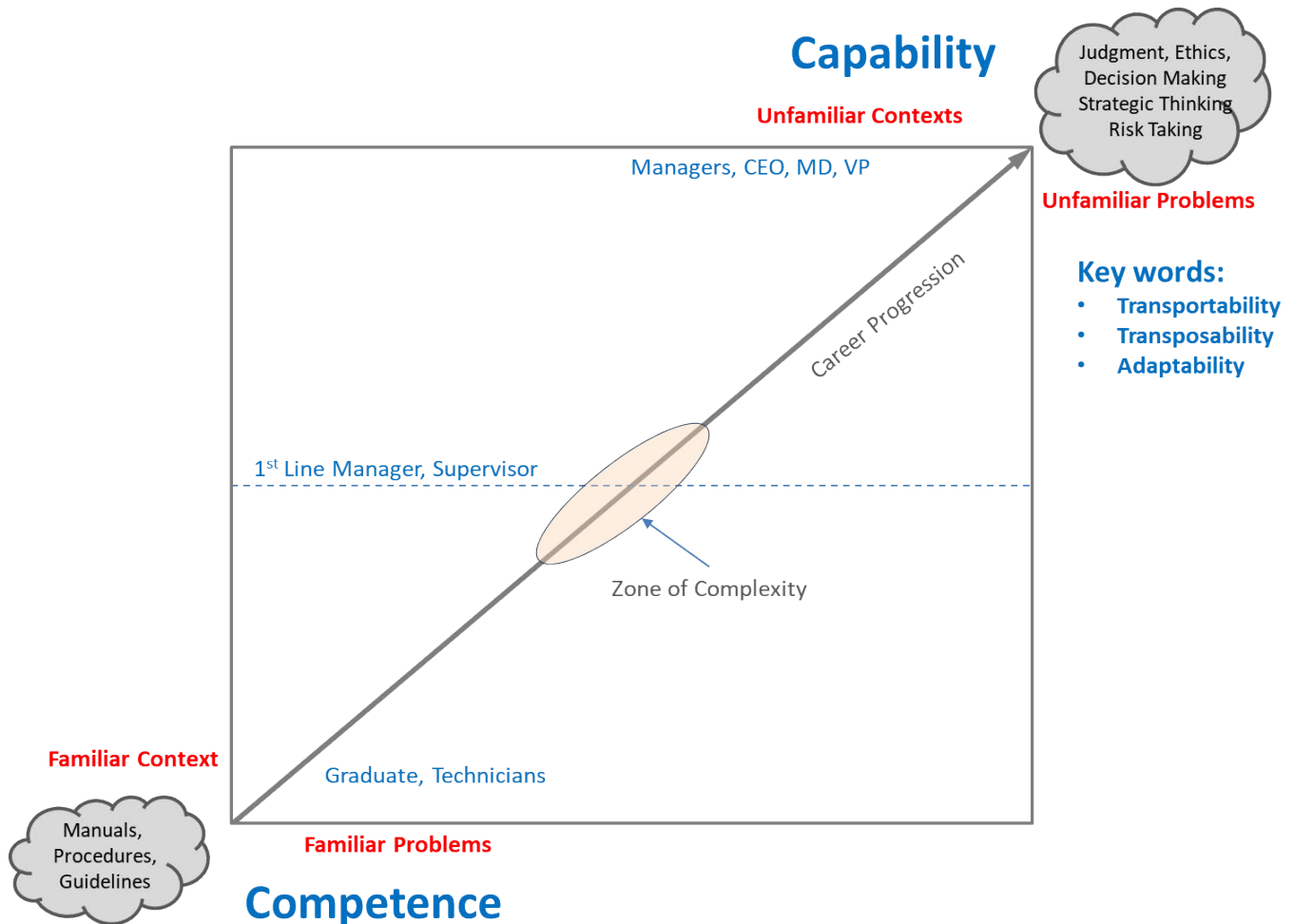

Figure 5-8 Capability/competence continuum.

The Competence/Capability Continuum is a graphic illustration of the change in the importance of the shift from Competence to Capability as a person progresses through their career

Familiar Problem/Familiar Context - At the beginning of a person's career as a graduate, apprentice, or entry-level position, they deal predominantly with

gaining competence, where there are guidelines and procedures to rely on to manage familiar problems in a familiar context. However, as they progress, they rely more on capability than competence.

Unfamiliar Problem/Familiar Context - Persons at the highest level in an organisation need to utilise concepts and 'blue-sky' thinking to solve unfamiliar problems in an unfamiliar context - They are utilising their CAPABILITY.

Zone of Complexity - First-line managers and supervisors must operate in an arena that requires them to use both competence AND capability in performing the position roles and functions.

5.8.9 'Development' conversations

Development Conversations are regular conversations managers have with their staff to support them in achieving their job tasks and goals and developing their roles, capabilities and competencies. These are 'coaching conversations' for officers.

5.8.10 Goal setting and development review/annual development plan

Goal Setting, Review and Development – this is the annual process that employees go through with their managers to review performance for the year and set goals and development plans. This process is called the Appraisal and Development Process (ADP) for officers.

5.8.11 Unforeseen issue – competence vs. capability

At this point, returning to the recurring confusion between competence and capability is necessary. Chapter 2 - Literature Review highlights several instances where capability and competence are considered interchangeable, which introduces conflict and confusion.

It is necessary to restate that the researcher's paradigm in this investigation is that of a pragmatic practitioner, with the lens of a micro rather than a macro approach. In Alexandre Frediani's paper, *Sen's Capability Approach as a Framework to the Practice of Development* (Frediani, 2010), he states, "*Amartya Sen's Capability Approach is increasingly influential in the literature of development economics. It has contributed to development discourse by strengthening the multidimensional approach to poverty analysis and stressing the importance of focusing on agency and empowerment. Nevertheless, the Capability Approach has not been applied comprehensively beyond development economics*".

A country's development has been traditionally associated with economic growth, but Sen and Nusbaum's theory of the Capability Approach created a paradigm shift in how development can be viewed (Nussbaum & Sen, 1993; A Sen, 1983). The notion of the capability approach offered alternative options. Firstly, development should be focused on the person as the unit of analysis instead of the economy. Secondly, the space in which progress is assessed comprises capabilities and freedoms instead of income. Nussbaum (M. Nussbaum, 2011) noted that the approach *"is focused on choice or freedom, holding that the crucial good societies should be promoting…a set of opportunities, or substantial freedoms, which people then may or may not exercise in action"*.

This dissertation argues that the focus of recent capability approach applications has not been on the individual but has become distorted by looking towards measurement issues, theoretical agendas, and macro levels when the key issue is 'What is each person able to do and be?' The alleviation of poverty and support of well-being lies in providing individuals with the 'capability' to

improve their lives through learning and development of foundational knowledge, which allows them to utilise their opportunities and allows them to enjoy their lives through improving their well-being.

The plethora of literature has created confusion by providing multiple notions of determining the term 'capability'. The project required the creation of a 'CF', and the initial stages of development were a purely 'capability-based framework. However, it was recognised a framework had two key limitations. Firstly, a CF linked only to 'capabilities' was not a realistic or practical solution, and it must have tangible connections to real-world outcomes. Secondly, the CF must have a 'trigger' to initiate the process to utilise the functions of CF.

The solution was to align capabilities with occupational competencies and utilise capabilities and 'enhancers' of competence. The capabilities must be directly related to the elements of the competence.

5.8.12 Capable person vs. competent person

The figure below provides and insight to the relationship between competence and capability.
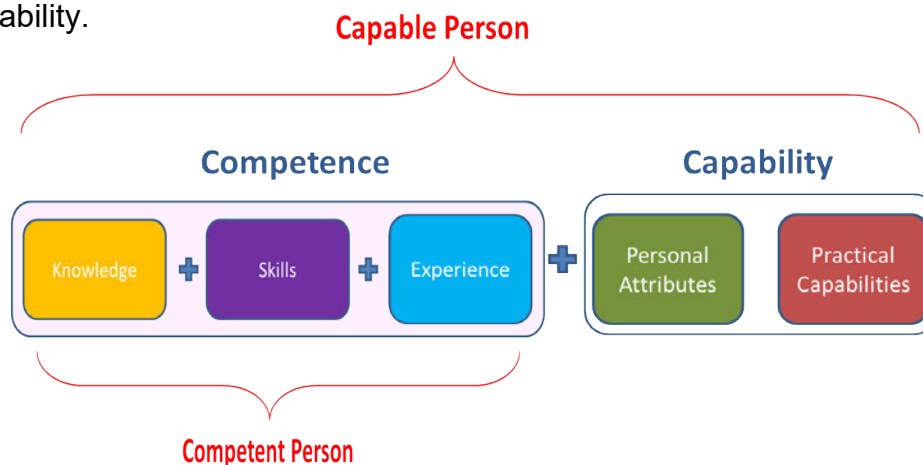
Figure 5-9 Competent and capable person

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The other issue was how to engage the CF with the individual. This solution required linking the CF with the person's Performance Review process. However, the TSA Performance Review process needed to be redeveloped to meet the needs of the CF

5.9   TSA capability domains and emotional intelligence

A foundational item was the arrangement and structure of the capabilities in an easily recognisable form with sensible nomenclature. Using a communications and self-awareness approach, the first construct was to use 'traits and abilities' as a basis for the capabilities.

The domains for the traits and attributes approach were:

1   Fortitude and flexibility;

2   People and Relationships;

3   Manage Self;

4   Personal Performance;

5   Accountability; and

6   Occupational Competence.
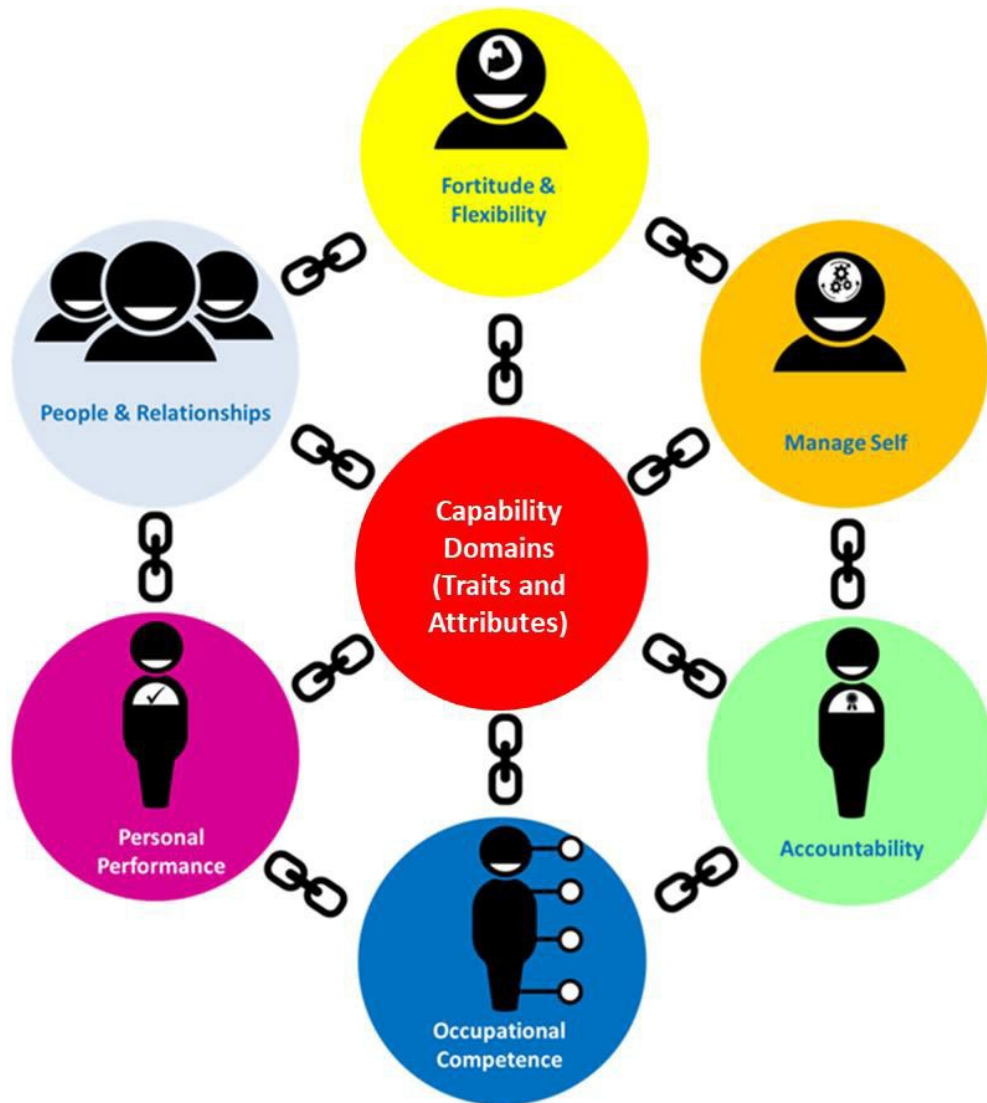
Figure 5-10 Capability domains based on traits and attributes

The domains for the Emotional Intelligence approach were:

6. Self-Awareness;

7. Self-Regulation;

8. Social;

9. Motivation;

10. Empathy; and

11. Occupational Competence.
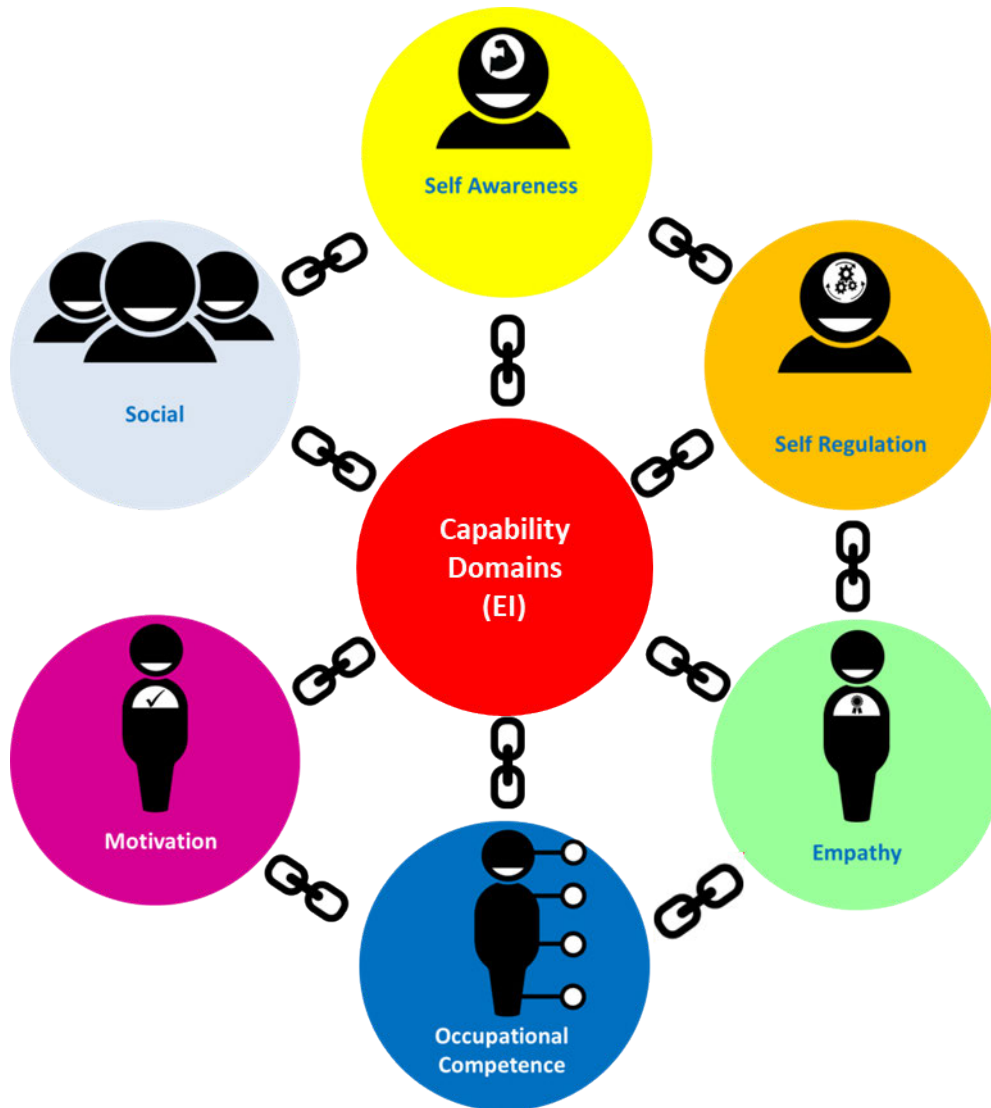
Figure 5-11   Capability domains based on emotional intelligence

A high degree of research was required to ensure the most appropriate EI model

was adopted for the basis of the domains. The differing methods were explored

in Chapter 2 – Literature Review, and it was considered that the three principal

methods were:

5.9.1   Ability model

This model was developed by Peter Salovey of Yale University and John Mayer

of the University of New Hampshire (John D Mayer, Peter Salovey, et al., 2008;

John D. Mayer, Peter Salovey, David R. Caruso, & Gill Sitarenios, 2003; P.

Salovey & J. Mayer, 1990) and includes these key components:

- Perceiving emotions: understanding nonverbal signs such as other people's body language or facial expressions (Salovey & Birnbaum);

- Reasoning with Emotions: using emotions to promote thinking and cognitive activity (Salovey & Birnbaum);

- Understanding Emotions: Interpreting the emotions of others, being able to recognise people display emotions of anger when they might not be angry at the situation; and

5.9.2 Mixed model

This model was developed by David Goleman (D Goleman, 1996; D. Goleman, 2001; D Goleman, 2005, 2009). Goleman's model uses "The Five Components" to efficiently describe emotional intelligence.

- Self-Awareness (confidence, recognition of feelings);

- Self-Regulation (self-control, trustworthiness, adaptability);

- Motivation (drive, commitment, initiative, optimism);

- Empathy (understanding others' feelings, diversity, and political awareness); and

- Social Skills (leadership, conflict management, communication skills).

5.9.3 Trait model

This model was developed by Konstantin Vasily Petrides (K. Petrides & Furnham, 2000; K. Petrides, Pita, & Kokkinaki, 2007; K. V. Petrides, 2010, 2011). He defined the trait model as '*a constellation of emotional self-perceptions located at the lower levels of personality*.'

- One's understanding and perception of their emotions.

- The use of personality framework to investigate trait emotional intelligence.

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The Mixed Model by Peter Salovey and John Mayer is more applicable to an occupational/vocational application as it provided scalability across the spectrum of job role/positions that was required to be included within the CF, from new hires or entry-level cadets through the NZ Territorial Governor.

5.9.4 *Capability champions workshop and meetings*

A Capability Champions Workshop was convened on Monday, 29th July 2019, with seven champions and four observers attending.

The workshop aimed to provide the stakeholders with sufficient information to make valued judgments to be able to make value judgments and decisions on various aspects of the PCF, which needed agreement before the project could move forward:

Information provided for the 'CF Project' were:

- Structure;
- Functionality; and
- Sufficient information to provide the Capability Champions with the knowledge and capacity to build the TSA capabilities.

It was stressed that these decisions, the structure contents/data population, must come from within the TSA.

The Capability Champions Workshop was the first of three workshops/meetings. The workshop intended to engage with TSA and start the 'ownership' process by allowing them to form and shape Māhuri Tōtara. Review/Progress Meetings were planned but unscheduled, as it was necessary to ensure that their timing did not hinder operational needs.

The decisions that were made were:

- Foundational 'Basis' of Capability Domains – agreed that Mixed Model - Emotional Intelligence should be foundational for the Domains.

- Who champions what Capability Domain? – each of the seven Champions was ascribed one of the seven domains to be its champion.

- Nomenclature of Traits /Attributes - Traits /Attributes were accepted as the subdivisions of each capability.

- Dates of Review/Progress Meetings (Zoom, online) – 1st Review/Progress Meeting 10th 19th August and 2nd Review/Progress Meeting 11th November 2019

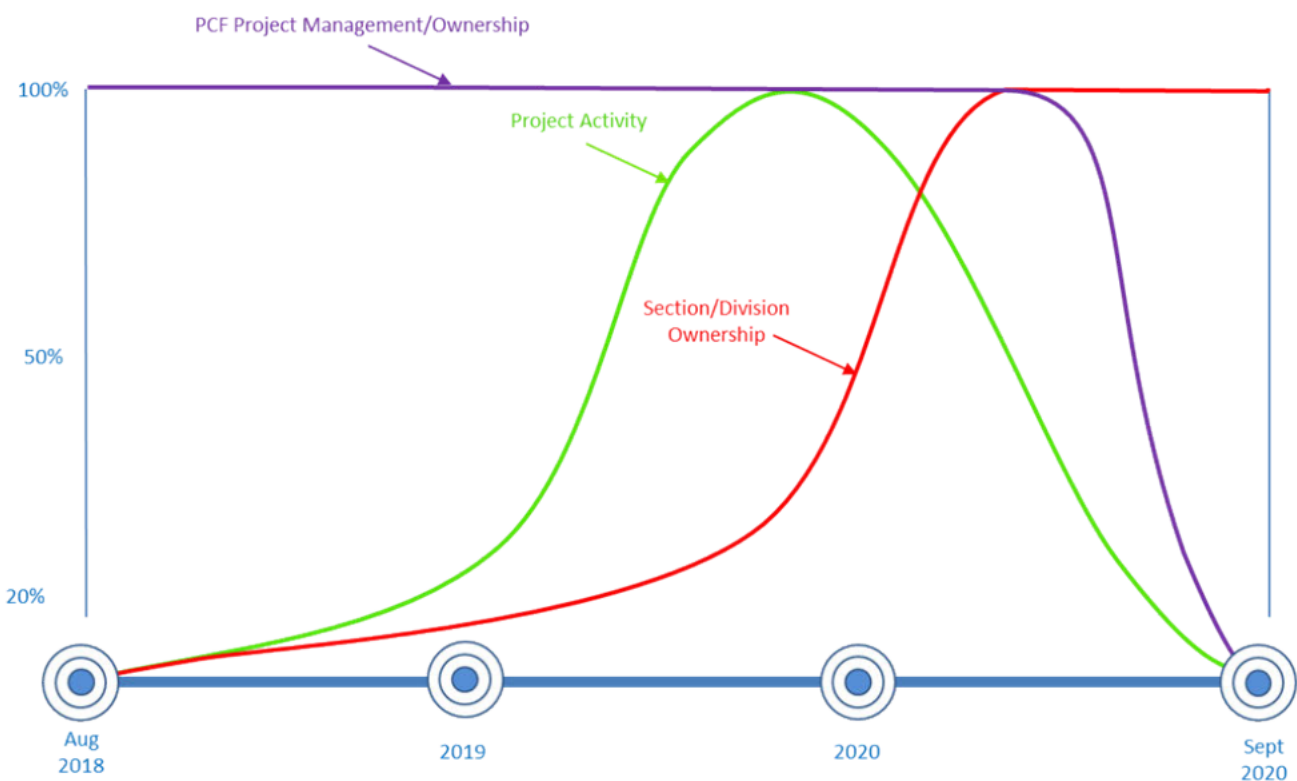### 5.9.5 Transfer of ownership from project status to TSA control

Figure 5-12 Transfer of ownership from project to operations

The transfer of ownership from a 'project' to 'operations' needs to be a very gradual process, and reliance on the project manager must diminish to zero. Each section and division was required to take 'ownership' of Māhuri Totara by June 2020.
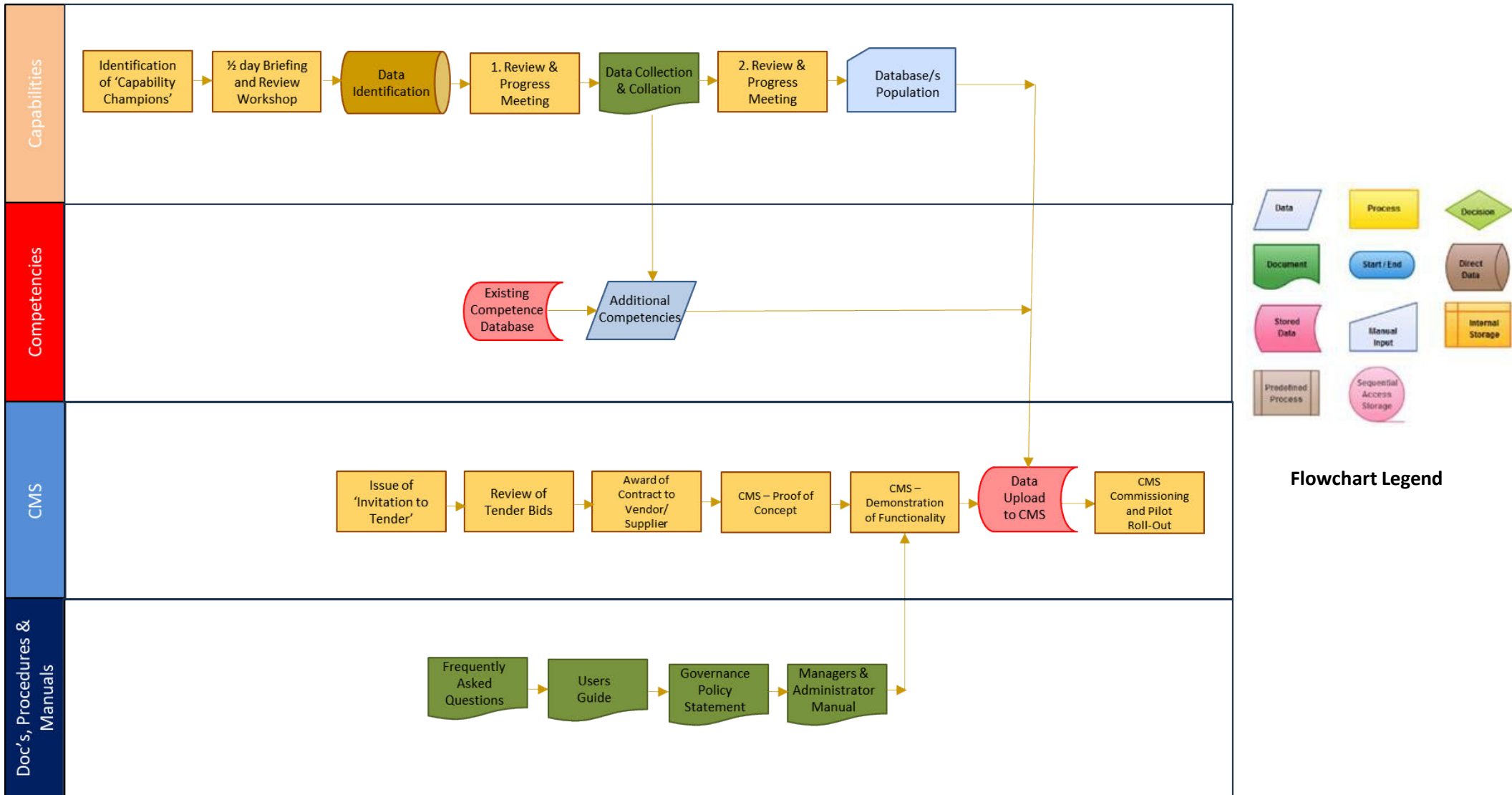
Figure 5-13 Timeline of TSA capability development

5.10 Capability and learning management systems (CMS & LMS)

A project deliverable was the design of electronic paperwork - The existing framework is simplified, and the process is outlined, including all documentation accessible electronically, within six months.

The system in place prior to the implementation was predominantly Office Excel spreadsheets. This was 'fit-for-purpose' for the simplistic monitoring and recording of officers' and employees' qualifications and achievements due to the complexity of Māhuri Tōtara.

The initial web search for Capability Management Systems (CMS) software platform suppliers provided a minimal number of vendors. Whilst the search showed a dearth of capability management systems, there were many competence management systems, and the more significant majority had learning management systems (LMS) included in the package.

It was, therefore, necessary to develop an Invitation to Tender (ITT) process to select software platforms from various international vendors. A procedure for the procurement of a TSA Capability Management System - Invitation to Tender (ITT) was developed (see Attachment? - Capability Management System - Invitation to Tender (ITT)).

5.10.1 TSA capability management system - invitation to tender (ITT)

The following is an extract from TSA Capability Management System - Invitation to Tender (ITT) procedure.

The ITT document provides the technical and functional requirements for a combined Capability Management System (CMS), which incorporates a Learning Management System (LMS), for the TSA.

TSA has developed a People CF (PCF) to specifically meet the requirements of our TSA people for today and in the future. It comprises seven 'key' capabilities, of which one is Occupational Competence. These Capabilities are used to construct individual Capability Profiles, Development Plans, and Individual Portfolios.

The Capability Management System (CMS) has been developed as a flexible tool used to create:

- 'Blank' Capability Profiles;
- 'Base' Capability Profiles;
- Individualised Capability Profiles;
- Development Plans; and
- Individual Portfolios.

These were displayed on 'My Dashboard', developed for a specific person in a specific position and location, and generated personal Development Plans to close their education and training gaps.

There are three Levels of Performance for each Capability Profile:

- Elemental;
- Enhanced; and
- Leadership.

The CMS/LMS was used to:

- Mine data;
- Manipulate data; and
- Manage data.

The CMS must be capable of conducting internal and external database searches to generate a graphically displayed, individualised representation of a:

- 'Capability Profile';
- 'Development Plan'; and
- Individual Portfolio.
  Which are:
- Tailored to a person;
- In a particular position; and
- At a specific location.

There are 2700 + persons engaged with the TSA - Officers and Employees and 900 volunteers, with volunteers, possibly added to the PCF/CMS at some time in the

future. Each Officer and Employee were required to have a Capability Profile, Development Plan and Portfolio.

The 'Base' Capability Profile is created for a generic position and then 'customised' by managers/administrators to reflect an individual's position/job, task, location and Regulatory, Mandatory and Legal Requirements (RMLR). These were represented visually on 'My Dashboard' and supported the development of a person to become capable and competent for their role/position.

An Individual 'Portfolio' was used to identify the user's capabilities, competencies, qualifications, special skills and attributes, which have been acquired in other positions and occupations.

The flowchart below provides a graphic representation of the ITT Process.
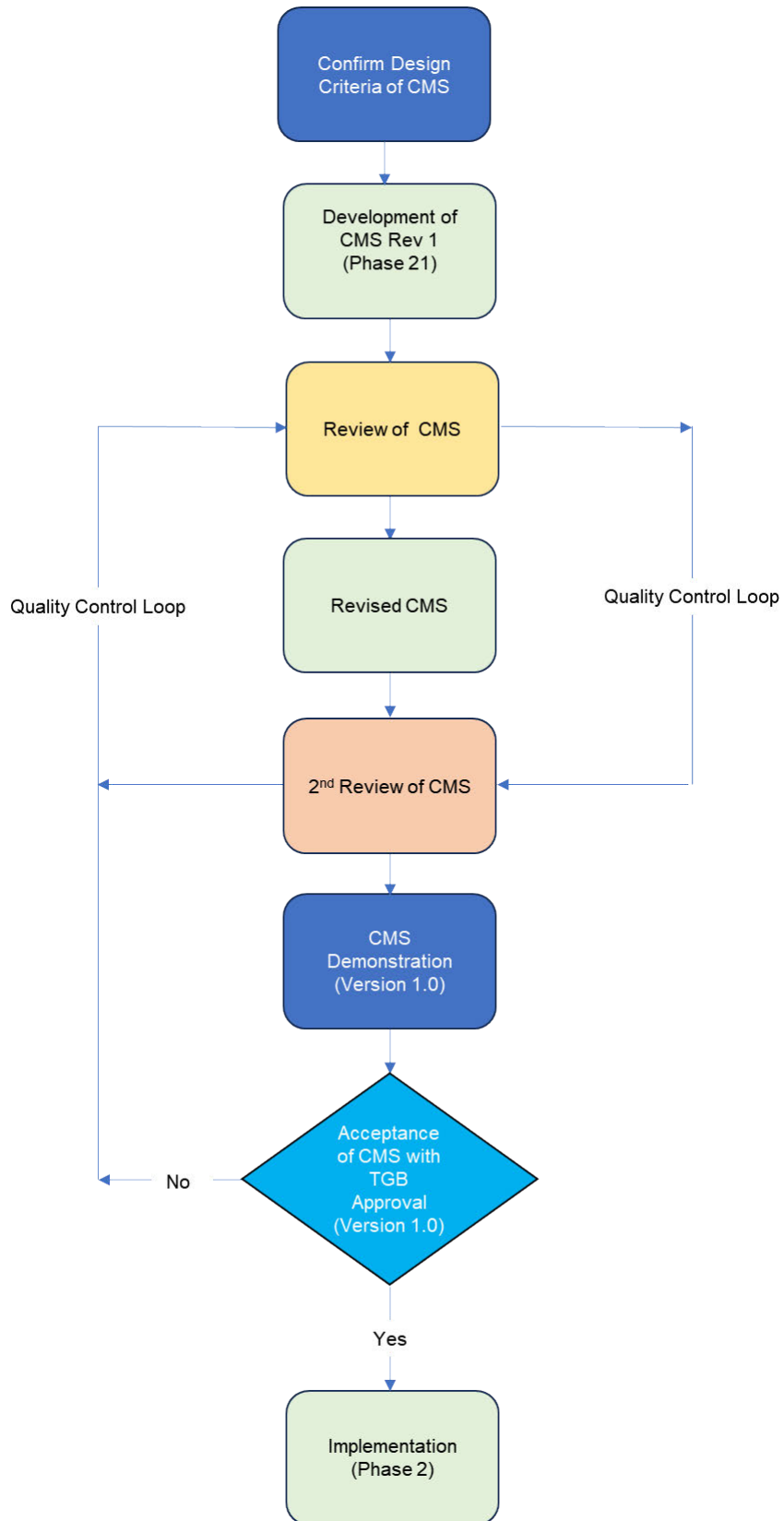
Figure 5-14 Invitation to tender (ITT) process

5.10.2 Functions of the capability management system

Creating a highly detailed descriptor of the CMS/LMS requirements from the vendor/supplier - Capability & Learning Management Invitation to Tender (see Volume 2 - Capability & Learning Management Invitation to Tender) was necessary.

The following is an extract from Capability & Learning Management Invitation to Tender.

This section describes the technical and functional input and output requirements of the TSA CMS.

5.10.3 Overview of CMS

The CMS simplifies several complex processes by mining, manipulating and managing data extracted and information from several internal/external databases. It is a multi-faceted tool which was being used by sections, divisions and services within TSA, including:

- Personnel;
- Human Resources;
- Centre for Leadership and Development /Booth College of Mission;
- Officers, Personnel;
- Māori Ministries;
- Community Ministries;
- Family Stores;
- Addiction, Supportive Accommodation & Reintegration Services (ASARS);
- National Youth;
- Education and Employment; and
- Information Services Group (ISG).

Each of these sections, divisions and services was needed to input data and information and extract and utilise information. For example, the Centre of Leadership Development (Booth College of Mission) needed to populate the CMS/LMS with detailed data on courses/programs, and they were being provided

with data and information on the number of people requiring training and when it was be required – hence providing scheduling and programming.

The 'end' users of the CMS were:

- Managers in all the above sections, divisions and services;
- Individual persons (Officers and Employees); and
- Administrators/ISG technicians.

The person engaged by TSA was one of the 'end users'. It is essential that the individual does not see the complexity behind the PCF and is just provided with the minimum information and data needed and represented on their 'My Dashboard'.

Critical functions of the CMS are:

Functions	Sub-Functions/Comments
Development of Individual Capability Profiles	See 'My Dashboard' Display
Development of Individual Development Plans	
Development of Individual 'Portfolio'	
Generation of 'My Dashboard' display, indicating: Tailored/selectable information and data reports for management/individuals Mining of internal and external databases Manipulation of information and data Management of information and data Identification of regulatory, mandatory and legal training requirements Role-based access control (RBAC) – access privileges	Individual Capability Profiles
	Individual Development Plans
	Individual 'Portfolio'

Figure 5-15 CMS key functions

Key Functions of the LMS are:

Functions	Sub-Functions/ Comments
Database of courses/programs	
Timetabling and scheduling	
Identification of course/program participants	
Learning Activity Management Systems	
Record of results	
Interface with other databases	See - CMS/LMS Interfaces with Databases and Program (page 18)
Identify course/program owners	
Tailored/selectable information and data reports	
Scheduling and management of SAeLearning courses/program	
Scheduling and management of Webinars	
Role-based access control (RBAC) – access privileges	

Figure 5-16 LMS key functions

5.10.4   CMS advisory group – terms of reference

The following is an extract from the CMS Advisory Group – Terms of Reference; see Attachment 23 - CMS Advisory Group – Terms of Reference.

5.10.5   Role/Purpose

The TSA People CF (PCF) has been developed specifically to meet the requirements of the TSA people for today and in the future. It comprises seven 'key'

capabilities, of which one is Occupational Competence. They are used to construct individual 'Capability Profiles' and 'Development Plans'.

The Capability Management System (CMS) is being developed as a flexible tool to create specialised 'Capability Profiles' for a person in a specific position and location and generate personal 'Development Plans' to close gaps in their education and training. Each capability has three Performance Levels - Elemental, Practitioner and Leader.

A 'Capability Portfolio' was created for each person, indicating previously acquired capabilities, competencies, qualifications, skills and attributes and any regulatory, mandatory or legal certifications held.

A CMS Advisory Group were responsible for providing consideration, identification, and selection of a software/system supplier, which provides a Capability Management System (CMS) that meets the TSA needs and requirements.

The initial stage required input from the Advisory Group into the 'Invitation to Tender', which was given to suppliers who have positively responded to an 'Expressions of Interest' request.

Each member of the Advisory Group was responsible for providing subject matter expert input into the tendering, selection, and acceptance of the CMS, representing their section/division.

5.10.6   Term of Advisory Group

The term of the Advisory Group was effective from 1st January 2019. It continues until the successful acquisition by purchase or license and completion of the CMS commissioning and acceptance trials.

5.10.7   Membership

The Advisory Group comprised representatives from:

- Internet Services Group (ISG);

- HR;

- Finance;

- Personnel;

- CLD/BCM;

- Persons to be kept informed;

- Director CLD/BCM;

- Internet Services Group (ISG);

- Manager HR.

-

5.10.8   Roles and responsibilities

The Advisory Group was accountable for working collaboratively to:

- Ensure the ITT contains all the specifications/requirements for a CMS for their section/department.
- Complete the Functionality and Specifications Sheet for their section/department for inclusion into the ITT.
- Complete CMS ITT promptly.
- Review Tender Bids from software/system suppliers.
- Select software/system suppliers for CMS.
- Recommend to the Governance Board the purchase/license of a software/system supplier for CMS.
- Conduct the trials of the CMS after commissioning to ensure the functionality and specific requirements of their section/department are accommodated.

The membership of the Advisory Group committed to the following:
- Attending all scheduled Advisory Group meetings.
- Providing advice, guidance, and input to Advisory Group meetings and, if necessary, nominating a proxy.
- Virtual, online meetings via 'Zoom' conferencing.
- Championing their section/department.
- Sharing all communications and information across all Advisory Group members.

- Making timely decisions and actions to keep the project manageable.
- Notifying members of the Advisory Group as soon as practical if any matter arises that could affect the project's development.

Members of the Advisory Group could expect the following:
- To be provided with complete, accurate and meaningful information promptly.
- To be given reasonable time to make key decisions.
- To be alerted to potential risks and issues that could impact the project as they arise.
- Open and honest discussions without resorting to any misleading assertions.
- Ongoing 'health checks' to verify the project's overall status and 'health'.

5.10.9 Meetings

All meetings were chaired by Martin Payne – CMS Project Manager. A meeting quorum was all members of the advisory group or proxy. Consensus-made decisions (i.e., members are satisfied with the decision even though it may not be their first choice). If this is not possible, the advisory group chair makes the final decision in consultation with ISG.

The researcher provided meeting agendas minutes and included the following:
- Preparing agendas and supporting papers.
- Preparing meeting notes and information.
- Meetings were held (how often) for (specify time) at (specify location).
No subgroup was formed.

5.10.10 Timeline and Milestones

Item/Event	Milestone Date (2019)
Initial Meeting (Zoom)	Tuesday, 5th of February
All Functionality and Specification Sheets submitted	Wednesday, 20th of February
CMS ITT issued to Suppliers/Vendors	Friday, 22nd of February
Vendor Information Session (Western Hemisphere) - Zoom	AM – Wednesday, 16th of March
Vendor Information Session (Eastern Hemisphere) - Zoom	PM – Wednesday, 16th of March
CMS Supplier - Review Meeting (Zoom)	Wednesday, 22nd of February
CMS Supplier/Vendor Approved - commence Commissioning	Friday, 15th of March
Section/Division Trial/Acceptance of CMS (Face-to-Face)	Wednesday, 10th of April
Conduct Pilot Toll-Out of CMS	Monday, 10th of June

Figure 5-17 CMS - timeline and milestones

5.11 Māhuri Tōtara governance policies and procedures

To ensure ongoing fidelity, quality and control, it was necessary to develop a mechanism that would provide governance for any needed changes or alterations.

It was necessary to develop and policy and procedure to achieve these issues and the PCF Oversight and Review Committee - Description, Aims, Objectives and Terms of References.

5.11.1 PCF oversight and review committee

The following is an extract from PCF Oversight and Review Committee - Description, Aims, Objectives and Terms of References:

The People CF Oversight and Review Committee (PCF-ORC) was the regulatory body which has the authority to monitor and supervise the governance of the structure, content, data, information, and function of the People CF (PCF) and the Capability Management System (CMS). The People CF is a 'tool' used to identify an education and training development plan and select appropriate competencies and capabilities within the 'People Growth and Development Framework.'

The committee members are representatives of their division/section and are responsible for ensuring their division/section interests are considered and protected by any changes and they have a minimal impact.

The People CF Coordinator (PCF Coordinator) facilitated the PCF-ORC meetings, with the chair of the meeting rotating between the committee members.

5.11.2   Terms of reference

The PCF-ORC is accountable for working collaboratively to:

- Ensuring the People CF and the Capability Management System are utilised in accordance with the Mission and Values of the Salvation Army;

- Ensuring all changes and alterations to the People CF and the Capability Management System are appropriate and of benefit to the workings and operation of Officers and Employees within the Salvation Army;

- Provide advice and guidance to the PCF Coordinator regarding the administration, structure, function and content of the PCF and CMS;

- Make decisions on alterations, changes, amendments, additions or deletions to the administration, structure, function and content of the PCF and CMS; and

- Ensure formal records of decisions, and minutes of meetings, are maintained and available to the Assistant Secretary for Personnel and the TSA Governance Board; and

- Dissemination of decisions made to all persons/divisions/sections who may be affected by the decision.

The membership of the PCF-ORC committed to:

- Attending all scheduled meetings.

- Providing advice, guidance and input to PCF-ORC meetings and, if necessary, nominating a proxy.

- Virtual, online meetings via 'Zoom' conferencing, if unavailable for the 'face-to-face' meeting.

- They are representing their section/department.

- Sharing all communications and information across all PCF-ORC members.

- Making timely decisions to prevent delays in changes/amendments.

- Notifying members of the PCF-ORC as soon as practical if any matter arises that could affect the PCF.

Members of the Advisory Group could expect the following:

- To be provided with complete, accurate and meaningful information promptly.

- To be given reasonable time to make key decisions.

- To be alerted to potential risks and issues that could impact the PCF as they arise.

- Open and honest discussions without resorting to any misleading assertions.

- Ongoing 'health checks' to verify the overall status and 'health' of the PCF.

5.11.3 Roll of PCF-ORC committee

The role of the members of the committee was to participate in decisions affecting the structure or content of the PCF, as a representative of the division/section they are represented, and to provide divisional /sectional specific information, advice and guidance to ensure the outcomes of decisions do not have an adverse impact of the division/section they represent.

To further the aims and objectives of their division/section to ensure that the Capability Profiles, Capability and Competence Domains are current with the requirements of the Role Descriptions within their division/section.

Committee structure

The committee comprised representatives from:

- Community Ministries;
- Māori Ministries;
- CLD/BCM;
- Family Stores;
- Pasifika;
- ASARS;
- HR/Personnel; and
- Business/Admin.
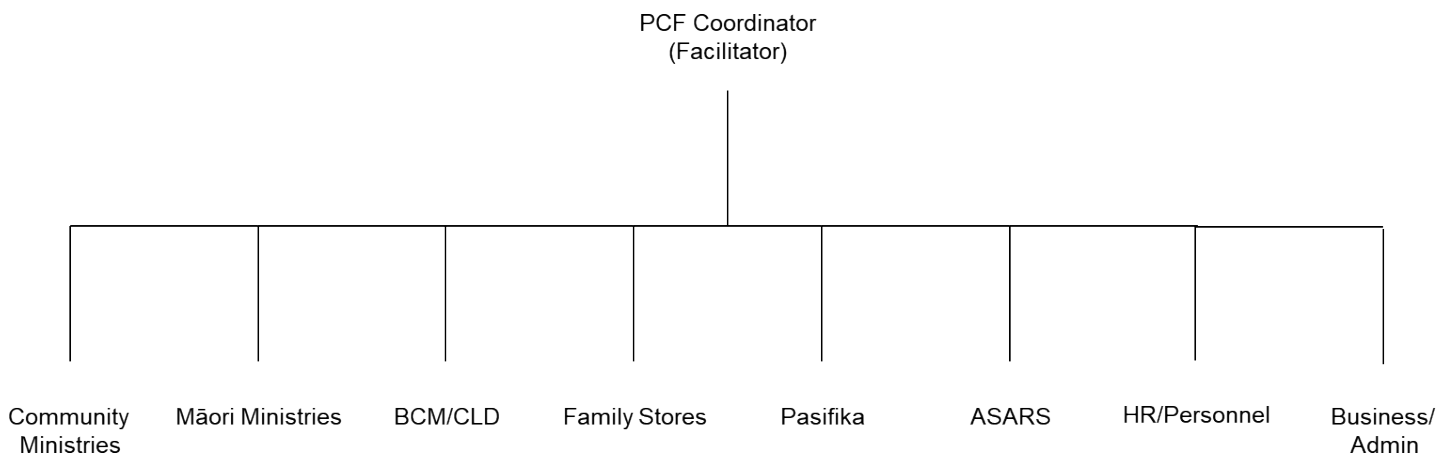
Figure 5-18 Structure of PCF oversight and review committee

The PCF Coordinator was a 'standing' member of the committee and the facilitator for arranging the PCF-ORC meetings, minutes, etc.

The director/manager of the division/section appointed the division/section committee members.

Committee chair rotation

The chair of the meetings was rotated through the committee and determined at the close of each meeting who were the chair of the next meeting.

5.11.4   Coordinator – discretionary authority PCF

The PCF Coordinator had the discretionary authority to make changes, alterations, additions, and deletions to:

- Capability Profiles;
- Capability and Competence Domains;
- Education and Training courses/programs/workshops; and
- Timing and scheduling.

Without the consent of the PCF-ORC, the changes, alterations, additions, and deletions must be ratified at the next PCF-ORC meeting. The PCF Coordinator could not make changes, alterations, additions, or deletions to:

- Role titles;
- Role descriptions;
- PCF/CMS structure and function;
- Assessment/evaluation criteria;
- Management authorities (RBAC); and
- Individual profiles and development plan.
- Without the prior consent of the PCF-ORC or a management representative from a related division/section/centre.

5.11.5 Meeting frequency

The PCF-ORC met every quarter on the first Wednesday.

- 1st Wednesday in March;
- 1st Wednesday in June;
- 1st Wednesday in September; and
- 1st Wednesday in December.

5.11.6 Exceptional meeting

If there is an urgent requirement to convene a meeting, the PCF Coordinator contacts each member of the committee and provides a rationale as to why a meeting needs to occur.

5.11.7 Change management process

The Change Management Process documents and tracks the necessary information, data and alterations required to effectively manage a change to any aspect of the PCF's structure, content, information or data

The Change Management process established an orderly and effective process for tracking the submission, coordination, review, evaluation, categorisation, and approval for the release of all changes to the PCF.

The document 'PCF Change Management Procedure' detail the process and procedure for changes, in conjunction with the 'PCF Change Management Procedure - Change Request Form'.

Figure 5-19 Management of change process
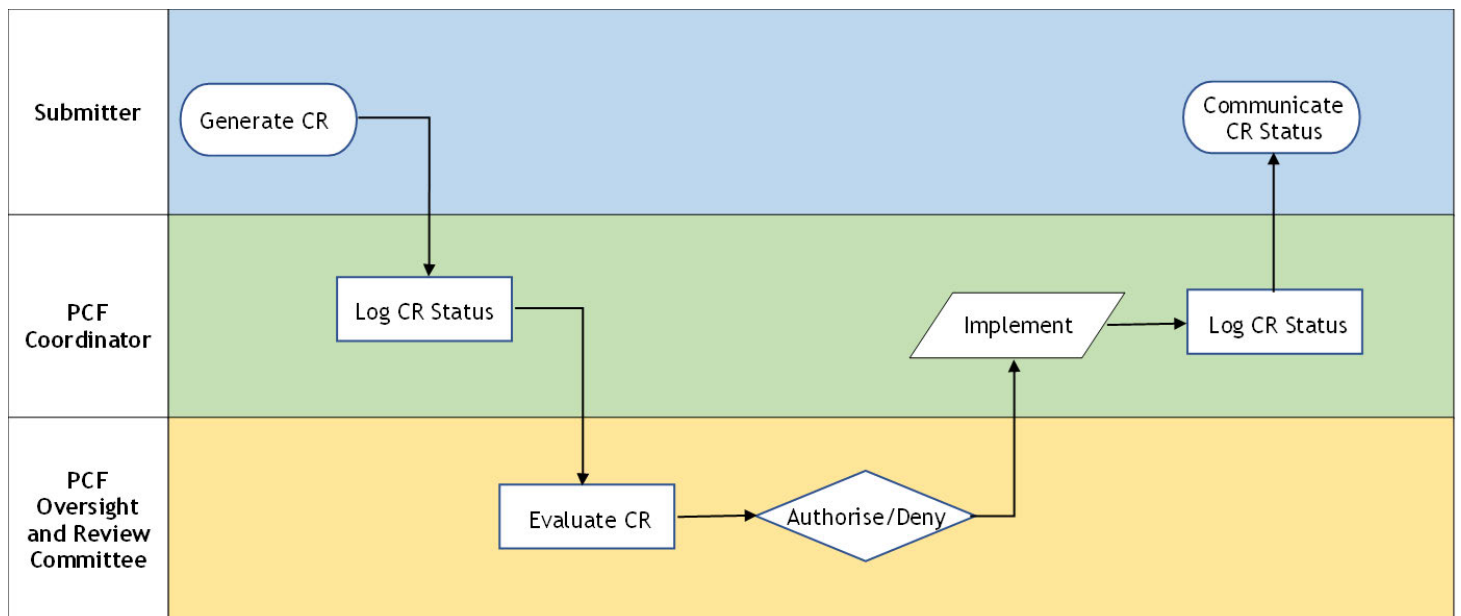
Figure 5-20 Swimlane flowchart of management of change process

5.11.8 Roll-out, communications and evaluation

As a preface to this section, it should be noted that this phase of the study was highly impacted by Covid 19. The case study timeline was compelled to be completed by 31st July 2020. However, the country moved to Alert Level 4 on 25th March 2020, which required 'Everyone in New Zealand is to be isolated or quarantined at their current place of residence except as permitted for essential personal movement'. On 27th April 2020, the nation moved down to Alert Level 3, but the restrictions would not permit face-to-face meetings, which were essential for the pilot roll-out as it required personal interviews and interaction.

On the 13th of May 2020, Alert Level 3 was imposed, which mandated "Gatherings of up to 100 people are allowed in a defined space, including *weddings, civil union ceremonies, funerals and tangihanga. Mandatory record keeping (as in Alert Level 1) and physical distancing are legally required"(Jefferies, 2020)*. This lowering of requirements allowed for the pilot roll-out to commence, but due to time constraints, it had to be in a limited, scaled-back form.

This final phase of the study was an amalgam of processes and procedures that were time-sensitive and critical. The sequence of implementation was as follows:
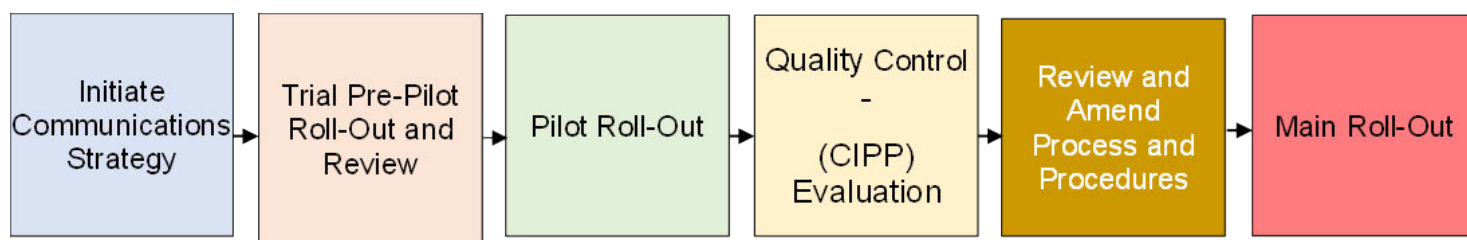
Figure 5-21 Sequence of implementation

On Wednesday, 11th of September 2019, a *PCF Roll-Out Strategy Workshop* was convened to determine the following:

- Communications Strategy;

- Pilot Roll-Out and Scheduling;

- Divisions/ Sections for Pilot Roll-Out;

- CIPP Evaluation of Pilot Roll-Out;

- Review and Amend Processes and Procedures; and

- Main Roll-out Scheduling.

5.11.9 Communications strategy

As the implementation of Māhuri Tōtara would affect all officers and employees with the TSA, it was necessary to devise and implement a Communications Strategy that would provide all with information on the meaning and intent of Māhuri Tōtara – People CF and its process and procedures and the impact it who have on them as individuals.

It was agreed that the mediums for communication would be:
- Information transmission:

    - Progress information will be available on the TSA Facebook page;

    - Newsletters on TSA Intranet;

    - Helpline/email/chat overseen and serviced by the PCF Coordinator;

    - With unrestricted access, a dedicated Māhuri Tōtara SharePoint was created on the TSA Intranet.

- Video - Intent and objectives

    - A 4-minute video was created to provide information and guidance to all TSA officers and employees. It used TSA personnel in TSA settings (shops, offices, vehicles, etc.);

    - Officers and employees were made aware that the video was in exitance and was to locate via the TSA Facebook page and newsletters on TSA Intranet.

5.12 Documents and procedures

Several guides, manuals and procedures were developed to help and assist the officers and employees. These were made available on TSA SharePoint site, Facebook page and newsletters on TSA Intranet.

The following documents and procedures were created:
- Māhuri Tōtara – Frequently Asked Questions, see Attachment 25 - Māhuri Tōtara – Frequently Asked Questions;
- Māhuri Tōtara - User Guide, see Attachment 19 - A 'Users Guide - Māhuri Tōtara - People Growth & Development Model;
- Māhuri Tōtara – Managers and Administrators Manual, see Attachment 26 - Māhuri Tōtara – Managers and Administrators Manual.

5.12.1 Pre-pilot roll-out and review

The intent of the Trial Pre-Pilot Roll-Out was to meet with those persons who would be engaged with the Pilot Roll-Out to provide them with an understanding of what was happening and what it meant specifically for them. A question-and-answer session followed this. The following is an extract from Māhuri Tōtara People Growth and Development Framework – Trial Pre-Pilot Roll-Out (see Attachment? - Trial Pre-Pilot Roll-Out). The Māhuri Tōtara (People CF) and the Capability Management System were piloted with Porirua and Newtown centres after we had completed trials in the function and application of the system.   It is essential that we 'iron out the bugs in the system' prior to the Pilot Roll-Out, and as such, we are going to trial this with selected persons acting as role players for various Roles within the TSA, these being:

- Store Assistant;

- Family Store - Goods Logistics Coordinator - Truck Driver;

- Corps Administrator;

- Community Ministries – Manager;

- Corps Officer - Brief of Appointment

Following provisional acceptance by the governance board of the TSA, a pilot roll-out was conducted with approx. Twenty-five employees and officers at three centres in New Zealand (Newtown, Porirua and Hamilton). It had been intended that a larger cross-section of officers and employees would be included in the survey/evaluation. However, the imminent COVID-19 epidemic caused a delay in the pilot roll-out and depreciated the engagement with a larger group. The main roll-out to the entire TSA NZ had to commence in late 2021, was delayed by the COVID-19 epidemic, and a more

Not all persons were currently likely to experience traumatic situation, but they may be required to do so in the future
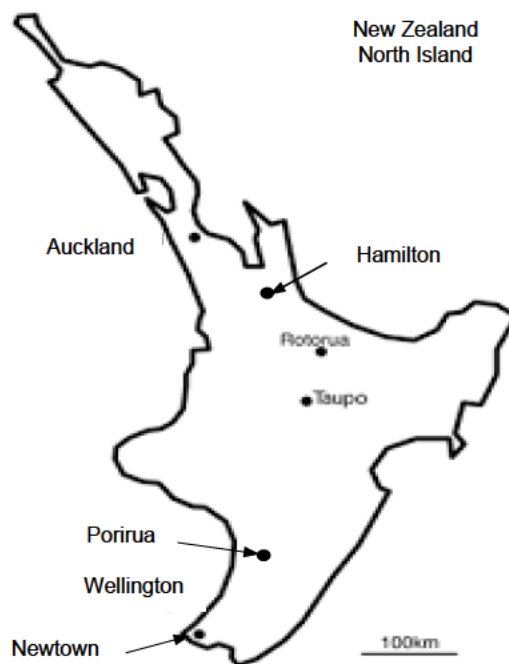
Figure 5.22 New Zealand Locations

5.12.2   Pilot roll-out description

On the 11th of November 2019, two workshops were held (PCF Review, Revision and

Acceptance Workshop and PCF Roll-Out Strategy & Communications Workshop) where the clear message was that the 'Main' Roll-Out to TSA personnel must have a clear and concise message regarding the intent and use for the PCF.
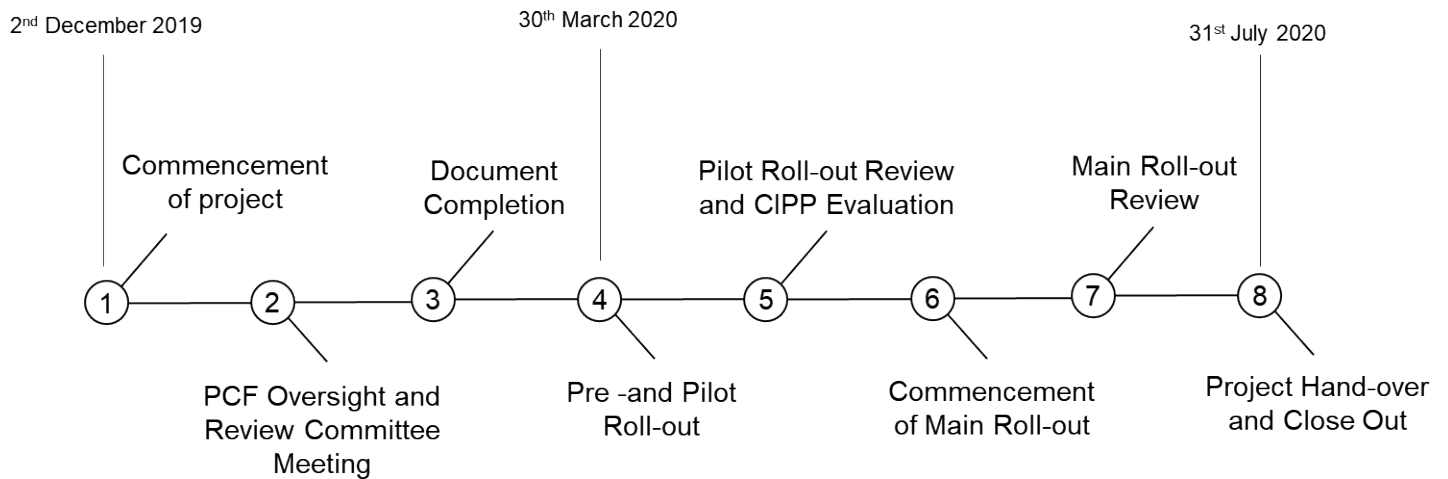
Figure 5-23 Roll-Out' fishbone' timeline

To provide all persons engaged with the Pilot Roll-Out, a descriptor was created to afford them all the information they would require to be participants in the pilot roll-out, see Attachment 27 - Pilot Roll-Out of Māhuri Tōtara - People CF & Capability Management System Descriptor.

The following is an extract from the Pilot Roll-Out of Māhuri Tōtara - People CF.

The TSA People CF is a set of detailed and behaviourally specific descriptions of the key behaviours, and underlying skills, knowledge (competencies), abilities and attributes (capabilities) which are required for the successful performance by a person (self-efficacy) in an organisation, team, or role. It provides an indication of the behaviours that are valued and encouraged and ensures that these traits are aligned with TSA values and strategic direction.

However, a People CF (PCF) should be viewed through the lens of an 'enabling tool'; it is not a solution in its own right, but when conjoined with the People Growth and Development Framework, it allows Officers and Employees to shape their personal growth and career pathway within the Salvation Army, through a 'Developmental Conversation' with their line manager in conjunction with either their ADP, Performance Review or Goal Setting and Development Review.

The PCF and the PG&DF have now achieved a level of maturity where their aims and objectives need to be validated, verified, and evaluated. These were tested during a 'Pilot Roll-Out', which identified changes or alterations that both the PCF and the PG&DF might require to achieve the aims and objectives of the development project. This document outlines the processes and timeframe of the 'Pilot Roll-Out'.

The Roll-Out must communicate effectively to all TSA Officers and Employees, encouraging them to embrace the opportunities the PG&DF and the PCF were present.

There are seven key considerations for an effective and successful Piot Roll-Out:

1. Identification of personnel to be involved;
2. Demonstrated 'Proof of Concept' of PCF/CMS/PG&DF;
3. Established the least disruptive Roll-Out timeframe;
4. Ensure the message is clear and concise and invites change;
5. Ensure training of personnel meets their role requirements;
6. Post 'Pilot' Review and Evaluation; and
7. Implementation of Evaluation findings and outcomes.

No:	Key Consideration	Comment/s
1.	Identification of personnel to be involved	• Participants were identified and nominated by the Directors/Managers of each division/section/centre.
2.	Demonstrated Proof of Concept	• During the 2 Workshops, the philosophy, functionality and utilisation of the PCF and CMS were explained; • Workshop participants were allowed to critique and comment on the PCF and CMS • Participants' observations and suggestions have been considered and included where appropriate.
3.	Established the least disruptive Roll-Out timeframe	• The Workshops provided insight into the timeframes that were minimally disruptive to the divisions /section/centre; • Pilot Roll-Out – Early 20th of March • Main Roll-Out commence 20th of May • A blank schedule was given to each Director/ for them to populate with the most convened times
4.	Ensure the message is clear and concise and invites change;	• A Communication Plan was developed in early 2020

5.	Ensure training of personnel meets their role requirements;	• TSA HR/Personnel were provided PCF/CMS/PG&DF training for:
		  - Users
		  - Managers
		  - Administrators
		• HR/personnel were provided specific training for managers in 'Developmental Conversations.'
		• Centranum were provided training on the functionality and use of the Capability Management System (CMS) for:
		  - Managers
		  - Administrators
		• Training Materials and a Training Plan were developed prior to the Pilot Roll-Out.
		•

No:	Key Consideration	Comment/s
6.	Post 'Pilot' Review and Evaluation	• On completion of the 'Pilot' Roll-Out and review, and CIPP Evaluation Model (Context, Input, Process and Product) were applied. • Those Officers and Employees engaged in the Pilot Roll-Out were invited to contribute to the review and CIPP
7.	Implementation of Evaluation findings and outcomes	• The recommendation of the CIPP was to be considered and implemented where appropriate

Table 5-6 - Roll-out key considerations

An 'In-Principle-Agreement' has been reached with the Director of Newtown and Porirua to host the Pilot Roll-Out. Formal acceptance was sought following the review and discussion of this document. Positions trialed in the Pilot Roll-Out were:

1. FS - Area Manager;

2. FS - Team Leader;

1. FS Truck Driver;

2. FS Assistant;

3. LD Case Worker – ASARS;

4. Case Worker – CM;

5. Youth Worker;

6. CM Manager;

7. Bridge Director;

8. Corps Admin; and

5.12.3   Corps Officer. Pilot Roll-Out Process

There are six elements to the Pilot Roll-Out process.
1. Identification;
2. Information;

3. Data Gathering;

4. 'Developmental Conversations';

5. Training; and

6. PG&DF Review and CIPP Evaluation.

Identification

Identification of persons by Director/Manager

Identification of the persons role.

Timeframe determined by Director/Manager

Information

Persons presented with PG&DF information Session (1 hr)

Data Gathering

Officers complete *ADP Review*

Employees complete *Goal Setting, Review and Development* form

Development Conversations

Developmental Conversation with each person (Managers to observe)

(1 hr)

Timeslot determined by person

Training

Manager Training (Developmental Conversations and CMS)

(4 hr)

Administrator Training (CMS)

(2 hr)

Timeframe determined by Director/Manager

PG&DF Review and CIPP

Persons provide feedback, observations and suggestions Timeframe determined by the Director/Manager

Figure 5-23 Pilot roll-out flow chart

Person/Position	Event	Estimated Time
Director/Manager	Identification and scheduling	1 hour
	Information Session	1 hour
	PG&DF Review and CIPP	3 hours
Person	Information Session	1 hour
	Data Gathering	2 hours
	Developmental Conversation	1 hour
	PG&DF Review and CIPP (online)	½ hour
Manager	Information Session	1 hour
	Data Gathering	2 hours
	CMS Training	1 hour
	Developmental Conversation Training	4 hours
	PG&DF Review and CIPP	3 hours
Administrator	Information Session	1 hour
	CMS Training	2 hours

Table 5-7 Position/time requirements

5.12.4   PG&DF information & training (PCF & CMS)

Another vital component in TSA personnel accepting, embracing, and utilising the PG&DF/PCF is:

- Key messages/benefits are relatable to them as individuals;

- There is a tacit agreement that PG&DF/PCF is workable and provides genuine individual growth, and is not an imposition;

- Information and descriptions are as straightforward as possible;

- The CMS training is appropriate and timely;

- Support and guidance for the PG&DF/PCF were available.

5.12.5 Post 'pilot' review and evaluation (CIPP)

The Post 'Pilot' review and evaluation is a critical 'waypoint' in the implementation of the PG&DF/PCF as it is the opportunity to provide decision-makers with facts, data, information, suggestions, and recommendations, prior to the PG&DF/PCF being rolled out across the entire NZ STA.

PG&DF/PCF was evaluated using the CIPP Evaluation Model (CIPP is an acronym for Context, Input, Process and Product). It was developed as a holistic approach to evaluating education, health, and other public programs. CIPP is a decision-focused approach to evaluation and examines the context, goals, resources, implementation, and outcomes of the PG&DF/PCF and is designed to provide comprehensive information for Directors/Managers the make valued judgements and act as a guide for operations and identify areas of improvement.
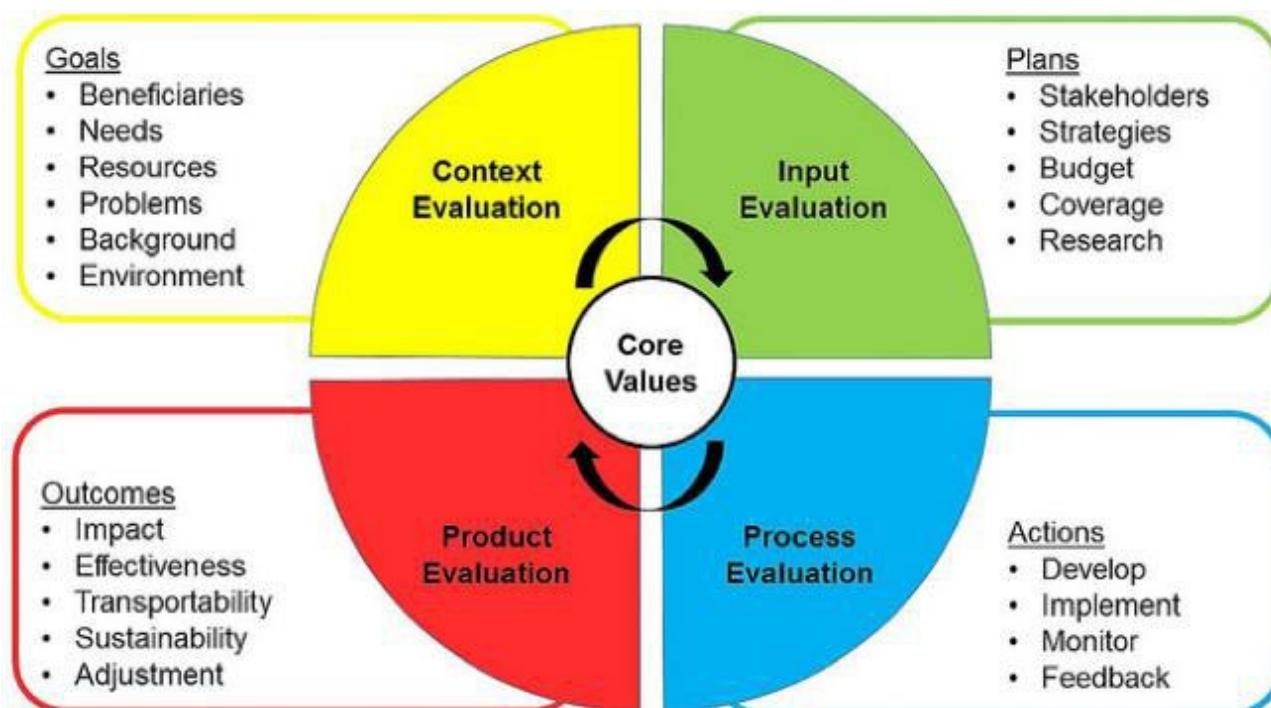
Figure 5-24 Context, Input, Process and Product (CIPP) evaluation model

Fundamental aspects of CIPP are:

- Engagement with participants;
- Ensure the message is clear and concise and incentivises change;
- Demonstrated Proof of Concept;
- Established the least disruptive timeframe;
- Ensure diversity and effectiveness of communications; and
- Post 'Pilot' Review/CIPP Workshop with Participants and Directors/Managers.

5.12.6 PG&DF introduction session

The PG&DF Introduction Session was presented to all TSA involved with Pilot Roll-Out. It was approximately 1 hour 'face-to-face' in a facilitated information transfer/open forum format.

Training Event: PG & DF Introduction Session
The curriculum for the PG&DF Introduction Session was: • What is the *People Growth and Development Framework*? • What are the benefits to me and the Salvation Army? • Are there any risks for me associated with the *People Growth and Development Framework*? • What is the *People CF*? • What is the difference between Capability and Competence? • How does Emotional Intelligence fit in? • What is the *Capability Management System*? • How do I access my Dashboard?

Table 5-8 PG & DF introduction session

A question-and-answer session followed this.

Manager Training (PCF & CMS)

Manager's training was presented to persons nominated by the division/section/centre Directors/managers.

Participating managers had two separate training sessions:

1. *Having Developmental Conversations* - 4 hrs approx. presented by the TSA;
2. *Capability Management System* – Manager Training 2 hrs approx. (TBC) presented by Centranum (CMS developers).

5.12.7   Having developmental conversations

Below is the provisional curriculum for Having Developmental Conversations

Training Event: Having Developmental Conversations
The curriculum for the *Having Developmental Conversations* program was:
• Why is *capability* so important?   • Insight into Emotional Intelligence   • What are *Capability Domains* and *Occupational Competences*?   • Recap of *ADP* and *Goal Setting, Review and Development*   • Reviewing 360s Prior to a *Developmental Conversation*   • How to Prepare and Conduct a *Developmental Conversation*   • Conversation techniques   • Conversation outcomes

Table 5-9 Having developmental conversations

A question-and-answer session followed this.

5.12.8   *Capability management system – manager training*

Below is the provisional curriculum for Capability Management System – Manager Training

Training Event: Capability Management System – Manager Training
The curriculum for the *Capability Management System – Manager Training* program were:
- To be confirmed by Centranum   - What is the Capability Management System?   - Role Based Access   - Editing a person's Profile/Dashboard   - Permissions and limitations   - Accessing and manipulating data and information   - Practical use of CMS   - CMS help

Table 5-10 Capability management system – manager training

A question-and-answer session followed this.

5.12.9   *Administrator training (CMS)*

Below is the provisional curriculum for Administrator Training (CMS)

Training Event: Administrator Training (CMS)
The curriculum for the *Administrator Training (CMS)* program was:
To be advised by Centranum

Table 5-11 Administrator training (CMS)

5.13 Documents and procedures

To support the People CF (PDF) and the People Growth and Development Framework (PG&DF), several documents have been developed to assist persons in understanding and use the PDF and the PG&DF.

These Documents are:

- Frequently Asked Questions (FAQ's)
- Users Guides; and
- Managers and Administrators Manual

5.13.1 *FAQs*

FAQs are listed questions and answers pertaining to the PCF and PG&DF and are commonly asked in some related to them. These are commonly used questions that have tended to recur in emails and face-to-face conversations.

5.13.2 *User guides*

The PCF and PG&DF user guides contain both a written guide and associated images, which support the users in navigating and locating information items. These include screenshots of the Capability Management System and clear, simplified diagrams. The language used avoids jargon.

5.13.3 *Managers and administrators manual*

The Managers and Administrators Manual is a document that provides guidance for Managers and Administrators to use all the PCF and PG&DF functions. The document is an approved, controlled operations manual giving standard procedures and processes for performing tasks and functions within the PCF, CMS, and PG&DF.

5.14 Quality control – CIPP evaluation

The Māhuri Tōtara - PDGF was evaluated using Stufflebeam's (Kellaghan, 2000; Stufflebeam & Coryn, 2014) CIPP evaluation model, which evaluated the programs in terms of context, inputs, processes and products. The CIPP evaluation model is a comprehensive framework for conducting formative and summative evaluations of programs, projects, personnel, products, organisations, policies, and evaluation systems' (Stufflebeam & Coryn, 2014, p. 309) CIPP evaluation can be formative,

summative, or both, depending on the purpose of the evaluation. CIPP works well in a case study because it allows for examining outcomes for the stakeholders and beneficiaries (Stufflebeam, 2001). TSA permitted an evaluation using CIPP with their view resonating with Stufflebeam and Coryn's claim that the CIPP 'model contends that when different objectivist evaluations are focused on the same object in a given setting,… and agreed-on criteria of merit when they involve meaningful engagement of all stakeholder groups in the quest for answers, different, competent evaluators arrived at fundamentally equivalent, defensible conclusions' (Stufflebeam & Coryn, 2014, p. 317).

Although the study is partially focused on learning and development program based on CA and EI, Kirkpatrick's (1996) (Kirkpatrick, 1996) evaluation model (reaction, learning, behaviour, results) has not been used because of the importance of context and other mediating effects that are not well-captured by the Kirkpatrick model (Holton III, 1996). The focus tends to be on how well participants enjoyed the program rather than on other, potentially more critical organisational issues (Bates, 2004); this study aims to look to evaluate 'readiness for and progress toward the goal of high reliability' (Chassin & Loeb, 2013, p. 461). Each evaluation model has strengths and limitations, but CIPP's systemic approach provides a better look at the dynamic interactions of the whole organisation (Gandomkar, 2018).

Another model that did not seem entirely appropriate to the intentions of this study was Patton's (2008) (M. Q. Patton, 2008) Utilisation-focused evaluation. Patton's evaluation model is more geared toward stakeholders and those interested in the results. CIPP is more systemic, requiring evaluation at the various steps of the process, aligning well with the study's conceptual framework based on the adaptation of Javidan's (1998) (Javidan, 1998) hierarchical model. Pawson and Tilley's (1997) (Pawson & Tilley, 1997) realistic evaluation was another potential model for this study. It was rejected because it focuses more on proving a theory and less on context and process impact on resulting action. Realistic evaluation can fit different methodologies, but the researcher felt CIPP provided a more detailed view from a systems approach.

Program evaluations represent a study 'designed and conducted to assist some audience in assessing an object's merit and worth' (Stufflebeam, 2001, p. 11). Although not required, the evaluation process was focused on several critical questions for each of the CIPP elements derived from the project specification and the

original intended functions of the CF. It was utilised for 'measurement' and evaluation. CIPP emphasises planning, implementation and improvement of efforts by individuals and organisations. (Stufflebeam, 2003). This was a summative evaluation to ensure project objectives are being met or make suggestions for change, focusing on improving rather than proving that the framework meets its targets. The CIPP evaluation process was applied following a 'pilot roll-out' to approximately fifty persons (directors/managers, officers, and employees). The evaluation focused on several critical questions for each CIPP evaluation type. The approach to evaluation was developed in three steps: 1) identifying evaluation principles and standards; 2) relating the principles and standards to the intent and requirements of the CD, as determined in the Project Execution Plan (PEP); and 3) defining what and how to measure intent and requirements to actual outcomes. Four 'review, revise and amend' workshops ensured the veracity of the framework for the TSA.

CF data and information has been uploaded to the CMS, ready for the 'pilot roll-out' to ten key TSA positions. The 'pilot roll-out' results were compared against the original intent and objectives to highlight shortfalls or omissions (Chmiel, Shaha, & Schneider, 2017). Following the 'pilot roll-out,' the CIPP was conducted before the main roll-out (see Milestones and Timeline section). During the development of the capability phase, key stakeholders were given the task of 'Capability Champions' and were responsible for developing and modifying specific Capability Domain content directly related to the organisation's mission, strategy, aims and objectives.

The following is an extract from Evaluation of Māhuri Tōtara - People Growth and Development Model, see Attachment 28 - Evaluation of Māhuri Tōtara - People Growth and Development Model.

5.14.1   Evaluation design (process & procedures)

TSA has invested in the development of Māhuri Tōtara (People Growth and Development Model – PGDM) over the past two years. It has been created in consultation with over 125 employees and officers, and a pilot roll-out has been trialed with approx. Twenty-five employees and officers in Newtown, Porirua, and Hamilton. It is intended to conduct the main roll-out to the entire TSA NZ in 2021.

Prior to the commencement of the main Roll-out, a detailed, systematic evaluation must be conducted to assess the relevance and quality of processes, procedures,

budgets, information and data, products, outcomes and other entities, such as the software platform Capability Management System. The evaluation was to identify barriers to implementation and operation. It also indicates improvements that might be made before the main roll-out regarding costs, fairness, impacts, success, and the importance of improvement efforts.

It is vital that the evaluation is collaborative and engages with the full range of persons, who are either 'end users' (beneficiaries) or 'managers' (Stakeholders). Such involvement is required to ensure an evaluation is focused correctly, executed, collated, reviewed, judged, and reported.

Key questions to be addressed in evaluating Māhuri Tōtara (Stufflebeam & Zhang, 2017) are:

- Needs—What needs should Māhuri Tōtara target and meet?

- Solution—What is the best way to meet the assessed needs?

- Implementation—Is (or was) the solution effectively executed?

- Outcomes—Were the targeted needs met, and what is the full range of outcomes (positive, negative, intended, and unintended)?

The CIPP (Context, Input, Process and Product) Evaluation Model was used to evaluate the current design and structure of Māhuri Tōtara, as it is a decision-oriented approach to program evaluation. CIPP is defined as: "*systematic collection of information about the activities, characteristics, and outcomes of programs to make judgments about the program, improve program effectiveness, and inform decisions about future programming*" (Patton, 1997, p. 23).

CIPP is an evaluation model used to judge a program's value. This involved surveying the employees and officers involved with the Māhuri Tōtara pilot roll-out as 'end users' (beneficiaries) or 'managers' (stakeholders). An evaluation panel was convened to review and consider the survey outcomes and make judgements and recommendations on improvements that could be made before the main roll-out to the entire TSA NZ.

The findings and outcomes were presented to the relevant Territorial Boards (TMB and TGB) to consider suggested amendments, improvements, and recommendations for Roll-out.

5.14.2   CIPP evaluation –purpose and principles

A CIPP aims to provide an analytic and rational basis for program decision-making based on a cycle of planning, structuring, implementing, reviewing and revising decisions, each examined through a different aspect of evaluation. CIPP is an acronym for *Context, Input, Process and Product* evaluation.

The CIPP model requires the evaluation of context, input, process, and product in judging a program's value. CIPP focuses on providing information to help make program management and operation decisions.

5.14.3   CIPP evaluation – purpose and outcomes

CIPP enabled us to evaluate Māhuri Tōtara based on the feedback from the 25 participants in the Pilot Roll-out. The CIPP evaluation model provides relevant information to decision-makers about each of the different phases and activities of a program. It was used as a framework to systematically guide the conception, design, implementation, and assessment of learning projects and provide feedback and judgment of the project's effectiveness to assist with continuous improvement. The outcome of the CIPP evaluation was a report which was contained observations and recommendations on which the relevant TSA Territorial Board(s) can make judgements and decisions on amendments and changes to Māhuri Tōtara prior to the main roll-out to the entire TSA in Q2 2021.
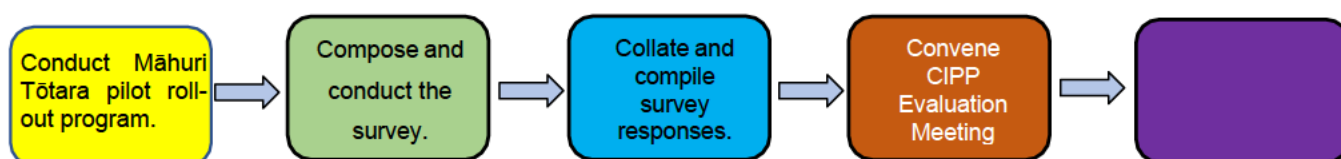
Figure 5-25 Simplified CIPP evaluation flowchart

Timeline (note: timeline was disrupted by the arrival of COVID-19 in New Zealand)

Milestone	Sep 20	Oct 20	Nov 20	Dec 20	Jan 21	Feb 21
Completion of Pilot Roll-out	▮					
Compose Survey Questions	▮					
Test Survey		▮				
Human Research Ethics Approval		▮				
Conduct Survey			▮			
Collate and Compile Replies				▮		
Convene Panel				▮	Christmas/ New Year Break	
Compile Report					▮	
Review Report						▮
Submit Report						▮

Figure 5-26   Project timeline

5.14.4   CIPP Evaluation - Principles

The evaluation was grounded in relevant, valid information and succinctly addressed the questions that guide the evaluation based on the original project requirement and current needs and necessities.

It was structured for an 'institutional' organisation (Jung & Moon, 2013; Young Lee et al., 2019) and aligned to TSA's needs and requirements as a social service organisation.

5.14.5   Use of formative and summative evaluations

The CIPP Evaluation is a quality control measure for both the short and long term. The initial evaluation was a 'formative' evaluation (i.e., evaluating effectiveness during the development or implementation of a program/project). It provided evidence on which decisions can be made for improvements prior to the main roll-out to TSA NZ.

A formative evaluation was to:

- Provide feedback on how well the initial goals of the People CF have been met;

- Help us develop program and roll-out plans;

- Identify corrective actions;

- Clarify costs, budget concerns and resourcing requirements;

- Identify emerging problems and issues; and

- Provide direction and indicators to guide the planning and implementation of Māhuri Tōtara

This comprehensive evaluation helped ensure Māhuri Tōtara is a quality resource and is successfully implemented.

A similar CIPP evaluation process could be used to conduct a 'summative' evaluation to evaluate overall effectiveness at the end of implementing a program/project). A summative evaluation would look at the effectiveness of any changes we make to Māhuri Tōtara, between pilot and roll-out, because of the formative CIPP evaluation. A summative evaluation would involve a comprehensive evaluation of Māhuri Tōtara after it has been implemented, and it is recommended that this occurs at regular intervals. It would draw together and supplement previous evaluative information to provide an overall judgment of the value of Māhuri Tōtara. Such evaluations would help decision makers decide whether Māhuri Tōtara was achieving its goals, meeting targeted needs, significantly contributing to learning and development for employees and officers, and remaining cost-effective.

The CIPP Evaluation Model can be applied from two approaches:

- Formative (developmental); and
- Summative (comprehensive).

The initial evaluation was formative, as Māhuri Tōtara was still developing until the initial roll-out commenced. However, the same evaluation was applied as a summative evaluation in the future for quality control and product improvement. The difference between the two approaches is based on the key questions that are asked.
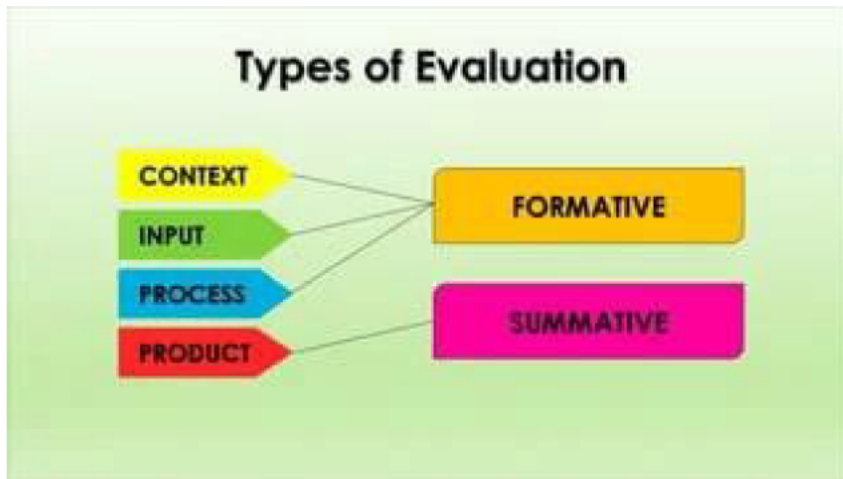
Figure 5-27 Formative and summative evaluations

This formative evaluation included 'Product' to ensure completeness in its recommendations.

Initially the CIPP was used to ensure that the version of the Capability Framework and procedures that were to be applied in the main roll out were as error free as possible and were functional.

The CIPP Evaluation was to be enacted every two years and amendments made to the system to ensure it functioned to meet the needs and wants of the TSA

5.14.6 Formative/summative key questions

Formative Evaluation		Summative Evaluation	
Element	Key question	Element	Key question
Context	Are we addressing the needs that exist?	Context	Are the important needs addressed?
Input	What resources are needed?	Input	Is the model resourced and valid?

Process	*How easy is it to engage with training, processes and software?*	**Process**	*Is the model being appropriately applied?*
Product	*Does Māhuri Tōtara succeed in its original/modified aims?*	**Product**	*Does the model succeed in its aims?*

Table 5-12 Formative/summative key questions

5.14.7 Formative key questions and considerations

The table below indicates the key questions and considerations for this post-pilot roll-out evaluation of Māhuri Tōtara.

Formative Evaluation	
Context	**Consideration for Māhuri Tōtara**
Key question Are we addressing the needs?	• Original aims and objectives vs actual
	• Range, scope reach
	• Service demand and situation
	• Service objective domain
Input	**Consideration for Māhuri Tōtara**
Key question -	• Budget
	• Human resource management
	• Facility and resource environment
What resources are needed?	• Operation and content
	• Annual costs per person
Process	**Consideration for Māhuri Tōtara**
	• Process functionality
	• Process validity
	• Process functionality
	• Activities
	• Satisfaction levels
Key question *How easy is it to engage with training, processes and software*	• Evaluation of process
Product	**Consideration for Māhuri Tōtara**
	• Application
Essential Question - *Is it succeeding in achieving its aims? What were the impacts (intended/unintended, positive/negative)*	• Performance
	• Future requirements

Table 5-13 Formative key questions and considerations

5.14.8 Original aims and objectives of Māhuri Tōtara (PGDM)

The original project was to create a CF based on information and data developed over the preceding six years by TSA employees and officers. The original scope of the CF project was as follows:

- Simplify existing framework;

- Create workable processes;

- Design of electronic paperwork;

- Conduct training relating to the roll-out of the CF;

- Ensure links to other TSA processes (e.g., Appraisal Development Process (ADP) & Coaching are streamlined;

- Conduct CF interviews using needs analysis material tools and CF paperwork;

- Develop individual Learning and Development Plans;

- Undertake regular consultation with stakeholders; and

- Amended Aims, Objectives and Activities of Māhuri Tōtara (PGDM).

Based on this scope, the People CF (PCF) (aka CF) was developed. However, it did not have a practical application, as there was no 'trigger' process or procedure to enact it, and it sat outside existing employee development processes. Māhuri Tōtara (People Growth and Development Model) was created to utilise existing HR/Personnel policies and procedures as a vehicle to apply the PCF and to bring all TSA's learning and development activities and processes into one framework. The Employee Goal Setting, Review & Development process and the Officers' ADP have been used as the 'trigger' for employees and officers to engage with Māhuri Tōtara development processes. 'Development Conversations' provide the process for discussing with

employees and officers about their competencies and capabilities and creating individual development plans. Therefore, the revised aims and objectives are:

Aims	Objectives	Actions
1. Staff are performing their roles competently and are capable	• The staff know their role's capability and competency requirements based on their base profile (or personalised profile) in the CMS. • Staff (employees and officers) get annual feedback on how they are doing in their role	• Simplify existing framework – develop capabilities and competencies • Undertake regular consultation with stakeholders • Create workable processes • Design electronic paperwork and processes (i.e. develop Capability Management System, CMS), with equivalent paper-based processes) • Ensure links to other TSA processes (e.g., Goal Setting and Review, ADP & Coaching) and software such as TechOne and ADP are streamlined. • Conduct CF interviews using needs analysis • Develop standard capability profiles and individual Learning and Development Plans for all TSA generic roles. • Conduct Pilot Roll-Out of Māhuri Tōtara • Review implementation of main Roll-Out

Aims	Objectives	Actions
2. Staff are developing their competencies and emotional intelligence	• Staff and managers create a development plan for staff that helps them develop in their roles and perform at a higher level • Staff have ongoing development conversations/coaching with their manager and record this in the Capability Management System • Staff can see roles in the Capability Management System that they may be suited for and what competencies and training they need. • Staff identify courses and learning opportunities in the Capability Management System that might help them develop in their role. • Staff participate in learning opportunities outlined in their development plans, completed annually in the CMS.	• Conduct a full CIPP review and evaluation of the Māhuri Tōtara Pilot to identify barriers and improvements before the main roll-out. • Finalise and provide Staff Training relating to Roll-out, including video introduction, e-learning modules for managers and training for administrators • Add training and development opportunities for each capability and competency to the CMS. • Finalise fit-for-purpose CMS.
3. Managers value, manage and develop their staff effectively	• Managers receive training in active listening, emotional intelligence, providing feedback and reaching an agreement • Divisions, National Office, and THQ can see the extent to which managers and employees are having development discussions, creating development plans, and gaining competence and capability	• Create CMS reporting for Divisional Headquarters, National Office, and THQ. • Create Roll out plan and implement the plan (subject to Territorial Board approval)

Table 5-14 Amended aims, objectives and activities of Māhuri Tōtara (PGDM)

The detailed flowchart below provides an indication of the process and procedures that were applied to the Māhuri Tōtara Evaluation.
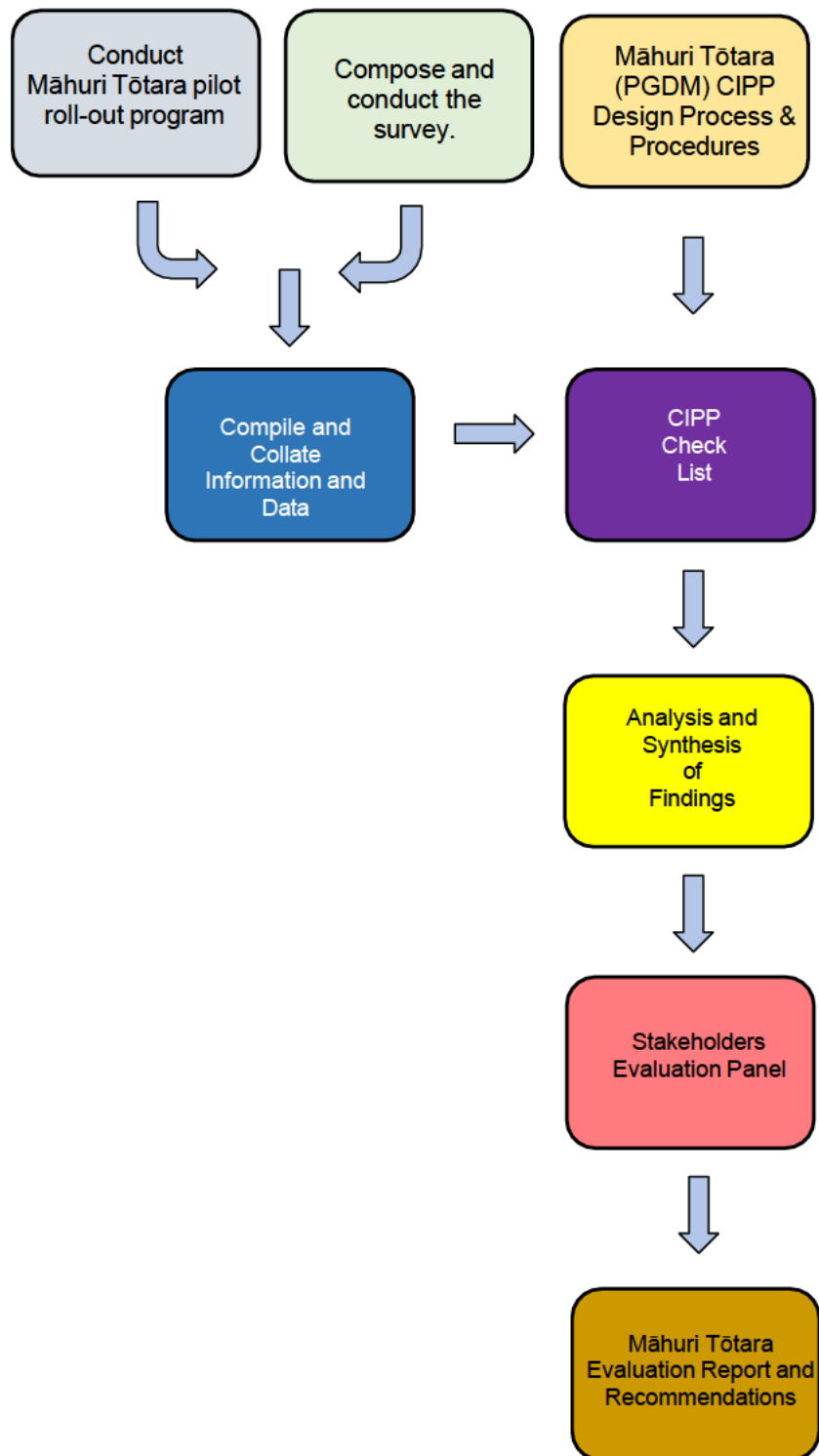

Figure 5-28 Detailed Flowchart of Māhuri Tōtara evaluation

5.14.9 Related documents and structures

The documents supporting the evaluation of Māhuri Tōtara were:

- Māhuri Tōtara Evaluators Checklist;

- Research Program Information Sheet for Participants

- Survey Questions – End Users/Beneficiaries;

- Survey Questions Managers; and

- Māhuri Tōtara Evaluation Report and Recommendations (Report).

5.14.10 Māhuri Tōtara evaluation checklist

The checklist's primary purposes were to:

- Help evaluators plan sound evaluations;

- Help the evaluators carry out the evaluation plan;

- Ensure that the evaluation criteria are being met;

- Help the evaluator review and assess critical issues related to Māhuri Tōtara bottom line, requirements, quality (of software and processes), cost-effectiveness, probity, feasibility, safety, equity, significance, and lessons learned;

- Help stakeholders to make effective use of the evaluation's findings, especially for purposes of Māhuri Tōtara improvement and accountability; and

- Help the evaluators anticipate and avoid pitfalls impairing the evaluation's success.

5.15 Criteria of evaluation

The evaluation criteria aim to identify the merit, worth or significance of an evaluation. Each criterion is a different perspective through which the evaluation

can be viewed. Collectively they provide a more comprehensive picture of the evaluation, the process of implementation, and the results.

1. **Relevance**

   The extent to which the objectives of Māhuri Tōtara are consistent with beneficiaries' requirements, TSA needs, operational requirements, etc.

2. **Effectiveness**

   The extent to which Māhuri Tōtara objectives were achieved or are expected to be achieved. Consideration was given to the relative importance of the different objectives.

3. **Impacts**

   The positive and negative, primary and secondary long-term effects produced by a development intervention, directly or indirectly, intended or unintended.

5.15.1 *Key elements of Māhuri Tōtara evaluation checklist*

The key elements included in the checklist are:

1. Aims and Objectives;
2. Budget considerations;
3. Collecting information;
4. Organising Information;
5. Analysing and Synthesising Information;
6. Impact;
7. Sustainability;
8. Stakeholders' Feedback; and
9. Final Report.

5.15.2 *Stakeholder evaluation panel – workshop*

The analysis and synthesis of information and data obtained from the pilot roll-out and the two surveys were compiled into an 'Evaluation *Preliminary* Findings Report'.

This report was reviewed and amended, based on the observations and recommendations of the evaluators, into an 'Evaluation *Provisional* Findings Report'.

A ½ day workshop was convened to examine the contents of the 'Evaluation Provisional Findings Report and critically review and revise the findings into the final 'Māhuri Tōtara Evaluation Report and Recommendations.

5.15.3   CIPP participants

The following persons may be engaged in the evaluation.

End Users (Beneficiaries)

Employees and officers who utilise some or all of the elements of Māhuri Tōtara.

Managers (Stakeholders)

Any person who conducts a 'Development Conversation' with an employee or officer or has responsibility within a division, ministry, group or section.

Evaluators

Persons who conducted the 'meta-evaluation' of the information and data gained from the feedback and surveys.

5.15.4   Evaluation panel (stakeholder review panel) members

Persons were invited to attend a ½ day workshop to review the findings and recommendations and provided with an opportunity to have input to the final report. These people included representatives from 'groups' involved with the pilot, including ASARS, Family Stores, Community Ministries, Corps, Māori Ministry, Businesses and Personnel. Representatives included a mix of people from DHQ/NOs, THQ, and Centres.

5.15.5   Information collection

The primary methods of gaining CIPP information and data on Māhuri Tōtara were by performing two surveys: End Users (Beneficiaries) and Managers (Stakeholders).

5.15.6 Intent and scope of evaluation panel/stakeholder review panel

The Stakeholder Review Panel critically reviewed and made suggestions and recommendations to the evaluators on the Māhuri Tōtara Evaluation and Recommendations report before submission to TMB/TGB.

The details of the range, scope, process and procedure are in the *Stakeholder Evaluation Panel – Workshop* PowerPoint presentation (see Volume 2 - Evaluation Panel – Workshop).

To achieve a practical and valid evaluation, a Context, Input, Process and Product (CIPP) evaluation methodology was utilised to analyse responses given by two groups:

 1) Stakeholders/ Managers:

 2) Ends Users (Officers and Employees).

The information and data gathered in the CIPP evaluation was derived from two primary sources:

 1) An anonymous survey for Stakeholders/Managers and Ends Users;

2)   Feedback and comments from persons involved in the development of the pilot roll-out of Māhuri Tōtara.

The evaluation team comprised three officers and three employees, and they considered every response obtained by the participants and offered recommendations and suggestions.

This report was presented to the PCF Oversight and Review Committee, which considered its recommendation and suggestions and determined what changes and alterations were made to Māhuri Tōtara, CMS and LMS.

It is worthy of note that the overall level of satisfaction with Māhuri Tōtara by both Stakeholders/ Managers and Ends Users was overwhelmingly positive, and as a result, few changes or amendments have been recommended or suggested.

5.15.7 Māhuri Tōtara evaluation report and recommendations

The report contained information on the CIPP Evaluation of Māhuri Tōtara, with the intention of it reaching a broad range of audiences to inform them about the following:

- What was attempted, realised, and accomplished in the Māhuri Tōtara Pilot;

- What lessons were learned;

- Bottom-line assessment of the program; and

- The extent to which the evaluation adhered to the criteria evaluation and indicators.

This was the final formative evaluation report and was available to TSA divisions, sections, groups, ministries areas and beneficiaries. It contains recommendations, with supporting evidence, to improve and strengthen Māhuri Tōtara. It also provides information and data for TMB/TGB to make valued judgements and decisions related to Māhuri Tōtara, including financial aspects and implications (see Attachment? - Māhuri Tōtara - Post Pilot Program Evaluation - Recommendations and Suggestions Report)

5.15.8 Information and data

All the information and data gathered during the CIPP Evaluation are included and explored in Chapter 6—analysis of Findings and Recommendations.

5.15.9 Main roll-out

It was initially envisaged that the main roll-out would be part of the 'project phase'; however, the delays caused by COVID-19 would have resulted in an over run-on with time.

TSA HR and Personnel took over ownership and control of Māhuri Tōtara on the 29th of July, 2020.

5.15.10 Capabilities to competencies

Previously referred to in this chapter was the constant tension between capability and competence.

After TSA HR and Personnel took over ownership and control of Māhuri Tōtara, the nomenclature of 'capabilities' was changed to 'TSA Competences'. It was felt that the TSA personnel had trouble understanding the difference between the two elements and found it confusing.

5.16   Chapter summary

At the outset of the case study, the researcher had a very high opinion of TSA, and after two years, that opinion remained. He could not have hoped for a better working environment with genuine people with integrity, honesty, and deep empathy toward their fellow humans.

The essential purpose of the case study was to investigate Sen/Nusbaum's notion of capability approach in relation to operationalisation in a practical, real-world environment to be utilised within the CF. In its purest sense, it cannot, as the essence of the capability approach is highly applicable on a macro scale, for example as a measure of comparing a nation's poverty levels and well-being. However, it does not apply on the micro level in enhancing well-being at a personal level.

Comim et al. 2008 (Flavio Comim, Qizilbash, & Alkire, 2008, p. 159) opinioned that the "*multidimensional-context-dependent-counterfactual-normative nature of the capability approach might prevent it from having practical and operational significance".*

To give context and focus to this statement, from this research perspective, there are two terms used that are ambiguous: 'operationalisation' and 'capability'. Chiappero-Martinetti and Roche (Chiappero-Martinetti, 2015) felt that:

> *'……the exact meaning of the term 'operationalisation' is not entirely clear. Does it denote the process that allows the transformation of concepts or a theoretical foundation into a well-defined metric or algorithm that can be mechanically applied under any circumstance, or are alternative procedures and methods reasonably admitted?"*

The researcher created the CF-based purely on the notions of the capability approach, it became apparent that did not have a practical application unless it was aligned with recognisable, tangible elements, such as competence and emotional intelligence. Therefore the definition of operationalisation offered by Comim (F Comim, 2001, p. 1), '…*the diverse sequence of transforming a theory into an object of practical value'* was adopted for this study.

Likewise, the term capability needs to be given a context and meaning in alignment with the above definition of operationalisation, which precludes social evaluation

indicators, utilitarianism, freedoms, or economics and relates to an individual's opportunities and happiness.

The results of the CIPP, although not as extensive as anticipated due to COVID-19, provided a clear indication that the participants in the pilot roll-out understood the notions and concepts and considered the CF as an asset for their role and position advancement but also was a contributor to their well-being.

At the closure of the project/case study, the CF for the TSA has been rolled out in use for approximately nine months, with only minor adjustments and changes, and therefore demonstrated that a CF can be operationalised. In regards to research question one:

1. Can Sen's and Nussbaum's notions of the Capability Approach be

   operationalised and practically applied in conjunction with Emotional

   Intelligence?

The case study provided empirical evidence, through the CIPP evaluation, that the outcomes met the expectations of both the TSA and fully answered the research question in the affirmative.

CHAPTER 6. DATA, ANALYSIS AND RESULTS

6.1 Introduction

The previous chapter provided the circumstances and conditions surrounding the selection of the New Zealand Salvation Army for the case study.

The evaluation of capability framework project had to relate to research question one:

> *Can Sen's and Nussbaum's notions of the Capability Approach be*
>
> *operationalised and practically applied in conjunction with Emotional*
>
> *Intelligence?*

It was essential that the evaluation considered, and included, the common precepts for both the Salvation Army and case study objectives, that were:

- Based on the capability approach, can a capability framework be developed and practically applied in a 'real word' setting (proof of concept)?

- Ensure the Managers and End Users were engaged in the review and evaluation capability framework and endorsed the result and findings (stakeholder requirements).

- Provide data and information on the capability framework's possible gaps, deficits, shortfalls, omissions or underperformances (quality).

- Develop and implement a method of gaining empirical data and information that the case study/project met the outcomes and essentials of the study/project (confirmation).

Therefore, evaluation had a dual function:

1. To ensure that the outcomes as determined by the Salvation Army's project range and scope were met; and

2. To provide data and statistics for inclusion in the study dissertation in support of positive argument to question one.

The table below is a comparison of imperative issues for conducting the evaluation, against the drivers for the Salvation Army and the study.

Imperative Issues for Evaluation	Drivers	
	Salvation Army	Case Study
Proof of Concept	Meeting the range and scope of the project's objectives	Substantiating emotional intelligences as a metric in a capability framework
Stakeholder and Requirements	Establishing Managers and End Users (beneficiaries) satisfactions levels	Practical application of a capability framework
Quality	Ensuring completeness of project requirements	Ensure the application of theoretical concepts can be applied in a 'real world' setting
Confirmation	Confirming the organisational imperatives were met	Using empirical data and statistics in support of the arguments

Table 6-1 Comparison of imperative issues

As previously mentioned, the COVID epidemic had a profound impact on the evacuation of the study/project, as following the government removal of the isolation requirements, the Salvation Army's priority was to tend to the societal needs of the country's citizens and therefore assess to personnel for the evaluation was so drastically reduced that a second round of evaluation, after the pilot roll-out, would have been suboptimal.

The commitment by the TSA was evident in the investment in the development of Māhuri Tōtara (People Growth and Development Model), or capability framework, in both financial and personnel over two years. The initial development was in consultation with over 150 employees and officers at all levels of the organisation,

from the Territorial Commander (rank of Commissioner) to the van drivers/donation collector at the local Family Stores.

The process and schedule of implementation of Māhuri Tōtara (capability framework) required input and acceptance across the TSA and its New Zealand divisions and sections, and therefore the timing was critical due to seasonal demands, such as Christmas and school holidays.
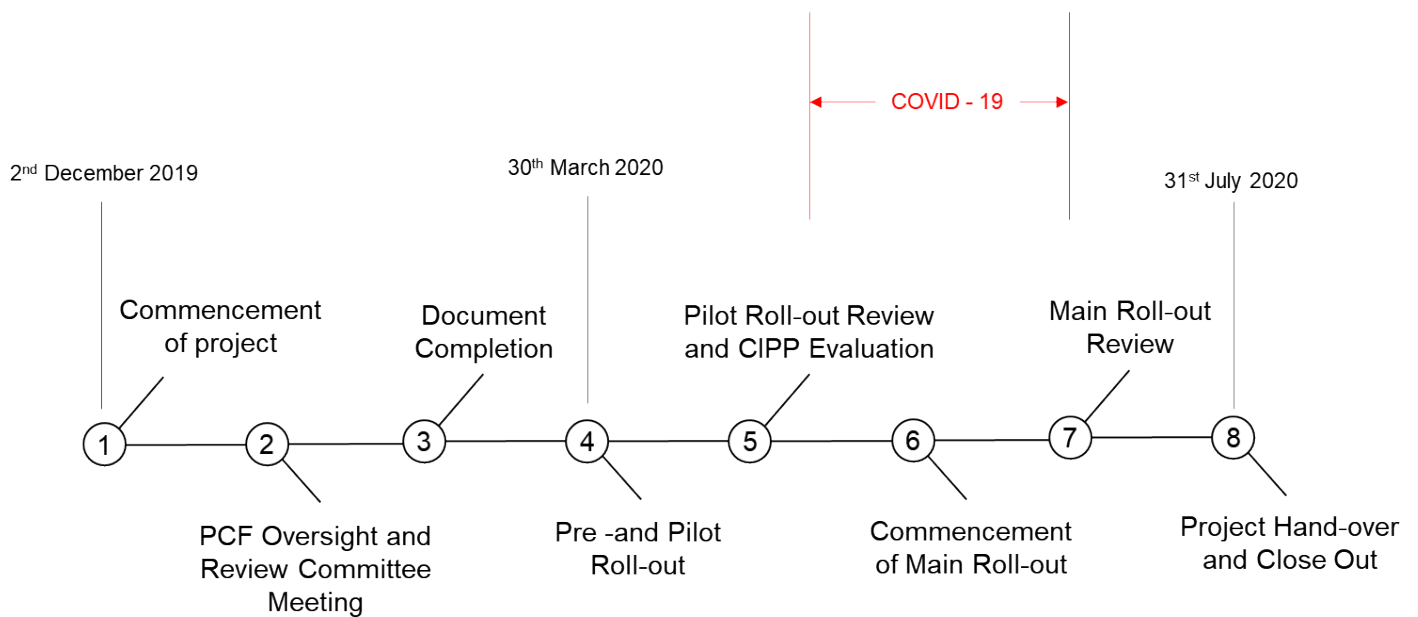
Figure 6-1 Re-scheduled development and implementation

Following provisional acceptance by the governance board of the TSA, a pilot roll-out was conducted with approx. Twenty-five employees and officers at three centres in New Zealand (Newtown, Porirua and Hamilton). It had been intended that a larger cross-section of officers and employees would be included in the survey/evaluation. However, the imminent COVID-19 epidemic caused a delay in the pilot roll-out and depreciated the engagement with a larger group. The main roll-out to the entire TSA NZ had to commence in late 2021, was delayed by the COVID-19 epidemic, and a more extensive evaluation became impracticable.
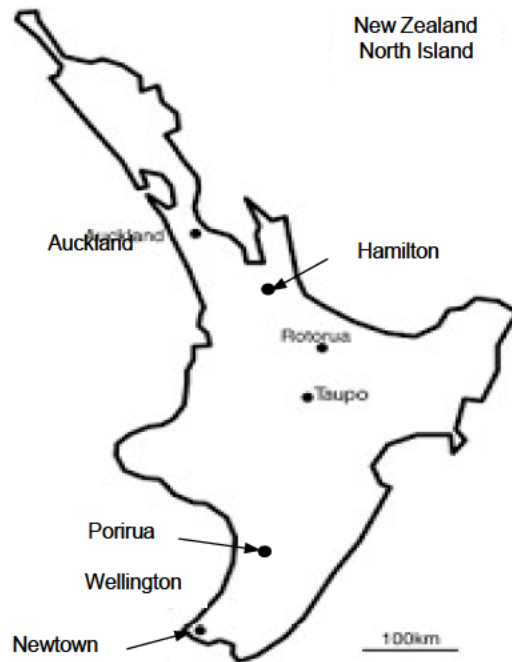
Figure 6-2 New Zealand locations

Covid 19 resulted in a tremendous upheaval for all within the TSA

<mark>It was not possible to engage with the non-responders due to the demands place on the organisation dure to covid. However, the CIPP evaluation was to be conducted on a 2 yearly cycle.</mark>

The survey/evaluation intended for both the study and the project was to:

- Ask questions and uncover the answers.
- Evoke discussion amongst the participants.
- Collect, compile and evaluate results.
- Identify and amend any errors or anomalies before the main roll-out; and
- Base decisions and recommendations on objective information.

6.1.1 Meeting and Workshop Attendees

Some numerous meetings and workshops framed and created Māhuri Tōtara, and the attendees were invited to provide feedback, information, suggestions, and guidance. However, it would have been difficult to derive any tangible empirical data from this form of ad-hoc gathering method just from the meetings and workshops alone.

It was agreed that the data and information gathered gathering of data and information after the pilot roll-out would be utilised to determine the amendments and modifications required prior to the main roll-out of Māhuri Tōtara. There was an essential need for empirical data on which evaluations and judgements could be made and recommendations formed by all parties with a vested interest. The information and data were vital issues for the TSA from a governance perspective. They needed evidence to make valued judgements and decisions on accepting the capability framework and its procedures and processes.

The more significant majority of data and information for this research was gathered and collated in the case study using a CIPP Evaluation (Stufflebeam, Madaus, & Kellaghan, 2000; Stufflebeam & Zhang, 2017). The reasons and justifications for its selection are highlighted in the following section.

6.2   Selection of evaluation method

During the design phase of the case study/project, it was critical to identify the case study method to be utilised, as there are three types of research within the rubric of the case study method (Yin, 1994; Yin & Kaftarian, 1997). The method to be used profoundly affects the findings, conclusions and outcomes of an evaluation analysis.

First, the method 'of triangulation' uses information from multiple sources of evidence, such as direct observations, interviews, documents, archival files, and actual artefacts. This evidence is then analysed, and the conclusions for the case study are derived from the data provided by these sources. They could be expressed in quantitative and/or qualitative terms.

Second, the method is to examine a phenomenon in its real-life context. It should be noted that the boundaries between the phenomenon and the context are not definable, and the influence of contextual conditions is a major consideration when evaluating the data. This method requires collecting case study data in the 'real world', thereby collecting data about the context.

The third method is a single case study in conjunction with multiple-case studies. The process utilises analytic generalisation (Polit & Beck, 2010) by testing and replicating theoretical positions and propositions, as opposed to selecting empirical samples. However, it does allow for the specification and testing of rival theories or explanations.

This study applied the second method of examining the phenomenon in its real-life context. The consideration for selecting an evaluation method was compounded by the competing, yet mostly harmonious, requirements of both the project and the study (Posavac, 2015). The complexity of the organisation and project imperatives further exacerbated the decision. The TSA is a mega-multi-faceted organisation, reaching across social and cultural boundaries from a faith-based paradigm. The vast array of professions, disciplines and job/position roles and responsibilities and the range of services such as education, the relief of poverty, and other charitable objects beneficial to society or the community of humanity as a whole, which comprise the TSA, made the selection of an evaluation method more difficult. The initial considerations were for (Posavac, 2015):

- Meeting the needs;
- Implementation;
- Stakeholders;
- Side effects;
- Improvement focus; and
- Outcomes.

6.2.1 Types of program evaluations

The following table summarises the focus and types of evaluations and their specific elements.

Evaluation Type	Elements
Assess the Needs of the Participants. (Wandersman et al., 2005)	• Level of unmet needs within an organisation or community • Conducted as a pre-program development planning tool
Examining the Process of Meeting the Needs (Chen, 2005)	• Post-program development • Level of implementation of the program Mapping of program design against the program intent
Measure the Outcome and Impact of a Program (Mohr, 1995)	• Acceptance and uptake of program services • Satisfaction level of program services • Evaluate program outcome
Integrate the Needs, Costs and Outcomes (Bailey & Mutale, 2021)	• Cost considerations of the program • Program resource requirements • Comparison to similar programs

Figure 6-3 Evalaution type vs. elements

Whilst the Māhuri Totara (capability framework) required evaluation into meeting the needs, a vital and final outcome of the program was the growth and development of the personnel within TSA. The relationship between education and growth and development was a key consideration when selecting the evaluation method.

Many models of evaluation can be used to evaluate a program. However, the context, input, process, and output (CIPP) evaluation models are the most commonly used. The CIPP evaluation model was developed by Stufflebeam and Shinkfield in 1985. The evaluation context gives a rational reason for implementing a selected program or curriculum. A wide-scale context can be evaluated on the program's objectives, policies that support the vision and mission of the institution, the relevant environment, and identification of needs, opportunities and problems specific diagnosis. Evaluation input to provide information about the resources that can be used to achieve program objectives. Evaluation inputs are used to: find a problem-solving strategy, plan, and design programs. The evaluation process provides feedback to individuals to account for the activities of the program or curriculum. The evaluation process is conducted by monitoring sources that can potentially cause failure, preparing preliminary information for planning decisions, and explaining the process that happened. Product evaluation measures and interprets the achievement of goals. Evaluation of the products also comes to the measurement of the impact of the expected and unexpected. The evaluation is conducted: during and after the program. Stufflebeam and Shinkfield suggest that product evaluation be conducted for the four aspects of evaluation:

impact, effectiveness, sustainability, and transportability. The decision-making process is done by comparing the findings/facts contained in context, input, process and product standards or criteria previously set.

6.2.2 CIPP evaluation – purpose and principles

A CIPP (Context, Input, Process and Product) evaluation aims to provide an analytic and rational basis for program decision-making based on a cycle of planning, structuring, implementing and reviewing and revising decisions, each examined through a different aspect of evaluation. The CIPP model requires the evaluation of context, input, process and product in judging a program's value. CIPP focuses on providing information to help make program management and operation decisions.

Figure 6-4 CIPP Evaluation Model

The CIPP model of evaluation provided relevant information for the decision-makers regarding each of the different phases and activities of a program. It was used to systematically guide the conception, design, implementation, and assessment of personnel growth and development within the project projects. It also provided feedback and judgment of the project's effectiveness to assist with continuous improvement.

The outcome of the CIPP evaluation culminated in a report which contained observations and recommendations on which the relevant TSA Territorial Board (s) could make judgements and decisions on amendments and changes to Māhuri Tōtara prior to the main roll-out to the entire TSA in Q2 2021.

The CIPP survey/evaluation provided a systematic and detailed method by which to assess the relevance and quality of processes, procedures, budgets, information and data, products, outcomes, and other features of the Māhuri Tōtara processes and procedures, such as the software platform Capability Management System. The CIPP evaluation indicated the improvements that must be made before the main roll-out. The improvements and modifications were reviewed and prioritised based on costs, fairness, impacts, success, and the importance of improvement efforts.

There were two distinct groups whose opinions were elemental to gauging the success of Māhuri Tōtara: 1) Managers and supervisors - who utilised Māhuri Tōtara as a 'tool' for communication and collaboration with officers and employees, and 2) the End Users (beneficiaries) officers and employees,

Managers also utilised Māhuri Tōtara as a 'tool' for engaging and communicating with their manager/supervisor for personal role/position planning, growth and development.

The evaluation needed to be collaborative and engaged with a full range of 'End Users' and 'Managers' and engaged with subject matter experts involved with the evaluation as panel members). The evaluation panel members' involvement was essential in ensuring that an evaluation was comprehensive and appropriately focused, collated, reviewed, considered and reported.

Key questions addressed in the Māhuri Tōtara evaluation (Stufflebeam & Zhang, 2017) were:

- Needs—What needs should the Māhuri Tōtara target and meet?

- Solution—What is the best way to meet the assessed needs?

- Implementation—Is (or was) the solution effectively executed?

- Outcomes—Were the targeted needs met, and what is the full range of outcomes?

6.2.3   CIPP evaluation - application

The CIPP Evaluation Model (Context, Input, Process and Product) was the method used to evaluate the current design and structure of TSA's Māhuri Tōtara and involved:

> *A systematic collection of information about the activities, characteristics, and outcomes of programs to make judgments about the program, improve program effectiveness, and/or inform decisions about future programming'* (M. Patton, 1997, p. 23).

CIPP is an evaluation model that considers the following:

- Context (how well Māhuri Tōtara meets its intended aims);

- Input (the resources required to make Māhuri Tōtara work effectively);

- Process (ease of use and user satisfaction regarding using Māhuri Tōtara); and

- Product (overall performance and impacts of Māhuri Tōtara).

The CIPP helped to determine the value of Māhuri Tōtara based on surveying employees and officers involved with the Māhuri Tōtara pilot roll-out as 'End Users'(beneficiaries) or 'Managers' (Stakeholders). An evaluation panel reviewed and considered the survey outcomes and made judgements and recommendations on improvements before the main roll-out to the entire TSA NZ. The outcomes suggested amendments, and improvements were presented to Territorial Management Board and Territorial Governance Board for consideration and approval.

CIPP enabled the evaluation of Māhuri Tōtara based on the feedback from the 25 participants in the Pilot Roll-out.

6.2.4 Information and data gathering survey

The *USQ Survey Tool* was utilised to conduct the survey based on the German free and open-source online statistical survey LimeSurvey Tool. This is web server-based software that allows for a web interface to develop and publish the surveys for Managers and End Users (beneficiaries) online, collect and collate responses, create statistics, and export the resulting data to other formats, such as PDF.

Permission was granted by the Secretary for Personnel of the TSA to use information and data in the investigation and reference the PCF (Māhuri Tōtara) project within this thesis.

It was also essential that all participants remained anonymous and that they would be fully informed as to the intent and outcomes of the survey.

The following document is the *Participant Information for USQ Research Project Questionnaire* sent to all participants before providing informed consent to participate.

6.2.5 CIPP statistics, data and graphics

The statistical results of the surveys are reproduce in table and graphic form in the Appendix

Participant Information for USQ Research Project Questionnaire

Over the past two years, the NZ Salvation Army (TSA) has been developing the Māhuri Tōtara (People Growth and Development Model) with a Capability Management System (software platform interface with TSA employees and officers). You have recently attended a training session on either/or both *Introduction to Māhuri Tōtara* and *Development Conversations for Managers* during our pilot roll-out program.

Before the main roll-out across the entire TSA, a CIPP Evaluation will be undertaken to explore any improvement that can be made before the main roll-out. Two surveys have been developed to assist with gathering information and data, which will be used as material and evidence during the CIPP Evaluation process.

You are invited to voluntary participation in one or both, of the surveys, with the assurance that it will be conducted with respect, anonymity and transparency.

Submission of one, or both, of the surveys, implies that you are consenting to be part of this study.

Project Details

Title of Project:	The Contribution of Individual Capability in the Enhancement of Personal Well-being within an HRO Environment: Investigation into the Effects of Utilising Emotional Intelligence Based Capabilities on Personal Well-being in High-Reliability Organisations.
Human Research Ethics Approval Number:	H20REA277

Research Team Contact Details

Principal Investigator Details

Martin Payne
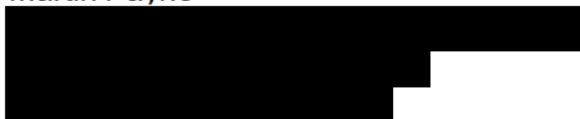
Associate Professor: Fernando Padró

Description

High-Reliability Organisations (HROs) have increased in prominence and importance following several human, social and environmental disasters and accidents due to human error, ineptitude or incompetence. Central to this dissertation is individual capability, explicitly relating to persons engaged in an operational decision-making mandate within an HRO. These persons can reasonably expect to be required to manage stressful and possibly traumatic incidents and events to avoid or manage catastrophes or disasters.

A literary review must produce more narrative, dialogue or discourse regarding how persons are prepared to manage these events from an 'individual human' perspective, to enhance their crisis performance and for their 'well-being' in the short and long term.

This dissertation focuses on persons engaged within HROs and how Individual Capability (IC) can contribute to HROs achieving their aims and objectives while contributing to the well-being of the individual.

This project is being undertaken as part of the Doctor of Philosophy.

The purpose of this project is to benefit TSA by:

- A 'one-stop-shop' for all growth, development and training for all employees and officers
- Providing a unified, personalised structure for career paths/ministry progression for employees and officers;
- Allowing vocational growth and development;
- Create 'career 'road maps.'

The research team requests your assistance because before the roll-out to the entire TSA we will evaluate the effectiveness and usefulness of *Māhuri Tōtara* during the pilot roll-out so that changes can be made to improve the program.

Participation

Time is acknowledged as a most valuable commodity in our working life. Therefore, one of the critical goals of the research program is to be independent of the participants and as unobtrusive as possible.

The following is information the participants will need to know and their expectations so that an informed decision can be made to participate in the research program.
- Approximately 50 persons involved with the pilot roll-out will be invited to participate in the survey/s.
- Participation is optional;
- Participant responses are anonymous, as per Section 2 of the Australian National Statement on Ethical Conduct in Human Research (2018) - Updated December 2019

- Each survey can be completed in between 51 ~ and 30 minutes;
- All information collected during the surveys will be retained for 12 months and discarded.
- Information will be stored on a secure server at the University of Southern Queensland and on TSA-secured servers with ISG;
- The information and data will not be individually identifiable,
- The outcome of the CIPP Evaluation workshop will be a Final Report – Findings and Recommendations for Māhuri Tōtara and the Capability Management System, which be readily available to TSA employees and officers.;
- All participants and interviewees will be provided with a copy of the Final Report – Findings and Recommendations for Māhuri Tōtara and the Capability Management System

Your decision, whether you take part, do not take part, or take part and then withdraw, will in no way impact your current or future relationship with the University of Southern Queensland.

Expected Benefits

It is expected that this project will directly benefit you by:

- Providing you with your dedicated Capability Profile, displayed on your 'Dashboard' in a newly created Capability Management System O(CMS);
- Creation of your dedicated Developments Plan, which identifies your role/position competencies, Capabilities, Regulatory and Mandatory qualification requirements, and role/position description;
- Provide a 'Journal' within the CMS, where you may enter your thoughts and comments on your career progress, or hurdles and barriers, which can be responded to by your line manager.
- Access to your Capability Profile/'Dashboard' is limited to you and your manager, HR and Personnel

Risks

In participating in the questionnaire, there are no anticipated risks beyond normal day-to-day living.

Privacy and Confidentiality

All records containing personal information will remain confidential, and no information which could lead to the identification of any individual will be released unless required by law.

All participants and interviewees will be provided with a copy of the Final Report – Findings and Recommendations for Māhuri Tōtara and the Capability Management System

An external third party does not fund this project.

Any data collected in this project will be stored securely per the University of Southern Queensland's Research Data Management policy.

Consent to Participate

Submission of the survey will be interpreted as your 'informed consent' to participate.

Questions or Further Information about the Project

Please refer to the Research Team Contact Details at the top of the form to have any questions answered or to request further information about this project.

Concerns or Complaints Regarding the Conduct of the Project

If you have any concerns or complaints about the ethical conduct of the project, you may contact the University of Southern Queensland, Manager of Research Integrity and Ethics, at +61 7 4631 1839 or email researchintegrity@usq.edu.au. The Manager of Research Integrity and Ethics is not connected with the research project and can facilitate a resolution to your concern in an unbiased manner.

To participate and complete the survey, please click on this link:

https://surveys.usq.edu.au/index.php/193847?lang=en

Thank you for taking the time to help with this research project. Please keep this sheet for your information.

6.2.6   Survey - structure and format

Within the USQ Survey Tool, there are several functions that can be utilised when constructing a survey and must be compared and considered when building the survey, such as:

- Welcome and End Message.

- Description of Survey.

- Presentation of Survey.

- Survey Consent Form.

- Survey Participants.

- Survey Permissions.

- Participant Settings.

- Create Groups.

- Select question types, i.e., multiple choice, text answer questions, etc.

Welcome and End Message

The following Welcome Message was used:

Kia ora

Firstly, I would like to thank you for participating in the Māhuri Tōtara (People Growth and Development Model) and the Capability Management System (CMS) pilot roll-out programs, which we have now completed, and the initial responses and feedback have been very positive and encouraging.

Māhuri Tōtara (People Growth and Development Model)

Māhuri Tōtara has been designed explicitly for TSA NZ to support the achievement of our mission, commitment and values about our employees and officers, to support their occupational growth and development and provide them with an opportunity to develop and enhance additional skills and attributes.

We are now embarking on evaluating the Māhuri Tōtara and CMS to critically review their functionality and operation and seek to make enhancements and improvements before rolling them out to all officers and employees in TSA NZ.

- Only questions that have* are mandatory.
- The survey should take 15 ~ 30 minutes to complete
- All responders will remain anonymous

Download: *Research Program Information Sheet for Participants Research*

/upload/surveys/169319/files/Research%20Program%20Info%20Sheet%20for%20Participants%20Rev%20B%20%2002.09.20.docx

Once again, thanks for your input and support

Ngā mihi nui, warmest regards

Mahuri Totata Team

The following is the End Message:
The Māhuri Tōtara Team would like to thank you for your participation and input to the pilot program and this survey.
Māhuri Tōtara is a unique, leading-edge model that will contribute to the growth, well-being and professional enhancement of all TSA NZ officers and employees.

Survey Permissions

The following is the email sent to all the persons invited to participate in the survey.
Kia ora (FIRSTNAME),

As a participant in the recent Māhuri Tōtara (People Growth and Development Model) pilot roll-out program, you have been invited to participate in a survey, which will provide us with information that will be reviewed and allow us to make improvements to Māhuri Tōtara prior to the main roll-out to the entire TSA in early 2021.

The survey, titled SURVEYNAME, has been developed to comply with the University of Southern Queensland Human Research Ethics Committee guidelines and requirements and compliance with the Australian National Statement on Ethical Conduct in Human Research (2007).

This survey requires 'Informed Consent' from all participants. By completing the survey, it will be considered that you have given informed consent. For further information on the project, you can download the *Research Program Information Sheet for Participants* on the link below.

Download: /upload/surveys/169319/files/Research%20Program%20Info%20Sheet%20for%20Participants%20Rev%20B%20%2002.09.20.docx

You may opt-out if you do not want to participate in this survey and do not want to receive any more invitations. Please click the following link to **OPT OUT**.

To participate, please click on the link to complete this survey:

Ngā mihi nui, warmest regards,

Martin and the Mahuri Totara Team

6.2.7   Compiling the survey questions

A critical element of the CIPP evaluation was compiling the questions that would be applied to both the Managers and End Users, how they should be structured and what they should be content.

A panel of six TSA members was established from a cross-section of Managers and Ended Users to ensure the questions captured critical issues. This is also a representative from USQ Humanities faculty whose role is to provide oversight, review and guidance for the questions for Managers and End Users.

The questions were categorised into sections that, in the End Users' cases, were loosely aligned with CIPP.

6.2.8   Group 1 – managers (stakeholders)

The survey sections for the Managers were developed so that the information and data that were targeted, ensuring the fundamentals and structure requirements of the Māhuri Tōtara, were captured in the CIPP evaluation process.

The table below compares the sections to the elements of the CIPP and the number of related questions.

Section	Title	No: Questions
Section A	Context	7
Section B	Input	13
Section C	Process	8
Section D	Product	8

Table 6-2 Question sections – managers & stakeholders

6.2.9   Questions - managers

The following is the Introduction to Questions used for Managers and End Users.

Kia ora,

Māhuri Tōtara (the People Growth and Development Model) has been specifically designed for The Salvation Army NZ to support the achievement of our mission, commitment and values. This development model allows our employees and officers to develop and enhance additional skills and attributes, which will enhance the TSA's commitments to our society and community.

At the end of the pilot roll-out (October 2020), we will gather information to evaluate Māhuri Tōtara (including the CMS). The aim is to critically review and evaluate the current procedures, processes, and the 'product' to identify and adopt improvements prior to the main roll-out in 2021.

The initial 'Terms of Reference for the project included:

- Simplify existing framework Create workable processes Design electronic paperwork;
- Conduct training relating to the roll-out of the Capability Framework Ensure links to other TSA processes (e.g. Appraisal); and
- Development Process (ADP) & Coaching are streamlined. Conduct Capability Framework interviews using needs analysis material tools and Capability Framework paperwork. Develop individual Learning and Development Plans. Undertake regular consultation with stakeholders.

Upon completion of the survey, the information and data will be reviewed at a workshop to identify improvements prior to the main roll-out to TSA NZ.

Only questions that have * are mandatory.

 The survey should take 15 - 30 minutes to complete All responders will remain anonymous.

Submission of the survey will be interpreted as your 'informed consent' to participate.

Please respond from a long-term, future perspective looking 5 -15 years ahead.

Once again, thanks for your input and support.

Section A: Section A: CONTEXT - Stakeholders and Managers

The primary considerations were:

- What needs to be done?
- What are the objectives?
- How does Māhuri Tōtara meet the original objectives?
- What is the 'big picture - forward-thinking - decision-making?

A1. Māhuri Tōtara will meet the needs of my team for the learning and development of employees and officers now and in the future

Your response

| *Strongly disagree* | *Disagree* | *Unsure/Do not know* | *Agree* | *Strongly agree* |

A2. Māhuri Tōtara is an effective tool for employees, officers and Managers to document development discussions/objectives/outcomes.

Your response

| *Strongly disagree* | *Disagree* | *Unsure/Do not know* | Agree | Strongly agree |

A3. Māhuri Tōtara will be an effective tool for career paths/ministry progression for employees and officers.

Your response

| *Strongly disagree* | *Disagree* | *Unsure/Do not know* | *Agree* | *Strongly agree* |

A4. Māhuri Tōtara will help retain employees/ officers?

Your response

| *Strongly disagree* | *Disagree* | *Unsure/Do not know* | *Agree* | *Strongly agree* |

A4.1 - If you Disagree or Strongly Disagree, please provide suggestions for improvement

Optional response

A5. Managers will perceive Māhuri Tōtara as an unnecessary burden.

Your response

| *Strongly disagree* | *Disagree* | *Unsure/Do not know* | *Agree* | *Strongly agree* |

A5.1 - If you Strongly Agree or Agree to the previous response, please provide reasons
and/or make suggestions for improvement

Optional response

A6. Māhuri Tōtara will meet the future needs of the TSA over the next 5~15 years?

Your response

| Strongly disagree | Disagree | Unsure/Do not know | Agree | Strongly agree |

A6.1 - If you Disagree or Strongly Disagree, please provide reasons
and/or make suggestions for improvement

Optional response

A7. Volunteers need to have a Capability Profile and access to the Capability Management System

Your response

| Strongly disagree | Disagree | Unsure/Do not know | Agree | Strongly agree |

Section B: Section B: INPUT - Stakeholders and Managers

The primary considerations were:

- How should it be done?
- What is needed?
- What will be needed from TSA to support Māhuri Tōtara (human resources, finance,
- etc.)?

B1. From 2022 there will be a cost of $50 per person per annum for access to the CMS; this is an acceptable financial cost

Your response

| Strongly disagree | Disagree | Unsure/Do not know | Agree | Strongly agree |

B1.1 - If you Disagree or Strongly Disagree, please provide suggestions for improvement

Optional response

B2. I will appoint someone from my section to be trained as a Capability Management System Administrator (superuser). Optional response Please provide the approximate number of persons.

Your response

Yes   No   Unsure/Do not know

Optional response

B3.   Does the current range of Capabilities and Occupational Competencies adequately cover my team's needs?

Your response

Yes   No   Unsure/Do not know

Optional response Please share your thoughts

B4 - Are you aware of any external bodies your team is engaged with that have capability or competence requirements (i.e. Te Pou - Let's Get Real)?
My team USES external body competencies/capabilities/qualifications.
My team DOES NOT use external body competencies/capabilities/qualifications.

Optional response: Please provide details of external body/ies

B5.   The Capability Management System (CMS) is a 'one-stop shop' for the employees and officers to identify learning and development needs

Your response

| Strongly disagree | Disagree | Unsure/Do not know | Agree | Strongly agree |

B6 - The CMS is sufficiently comprehensive to meet my team's needs and requirements

Your response

| Strongly disagree | Disagree | Unsure/Do not know | Agree | Strongly agree |

B6.1 - If you Disagree or Strongly Disagree, please provide   suggestions for improvement

Optional response

B7. The training provided for Māhuri Tōtara and the CMS was sufficient for my team and my managers

Your response

| Strongly disagree | Disagree | Unsure/Do not know | Agree | Strongly agree |

B8. Employees and officers will be eager to use Māhuri Tōtara

Your response

| Strongly disagree | Disagree | Unsure/Do not know | Agree | Strongly agree |

B8.1 - If you Disagree or Strongly Disagree, please provide reasons and/or make suggestions for improvement

Optional response

B9. I understand the function/role of the People Capability Framework - Oversight and Review Committee

Your response

| Yes | No | Unsure/Do not know |

Section C: Section C: PROCESS - Stakeholders and Managers

The primary considerations were:

- Is it being done?
- Will the current Māhuri Tōtara structure and content meet current and future needs?
- Are the Māhuri Tōtara processes accessible, valuable and valid?

C1. Māhuri Tōtara processes, including CMS software, are easy to follow and understand.

<div align="center">Your response</div>

Strongly disagree	Disagree	Unsure/Do not know	Agree	Strongly agree

C1.1 - If you Disagree or Strongly Disagree, please provide reasons and/or make suggestions for improvement
Optional response

C2. A 2-year review cycle of Māhuri Tōtara procedures and processes is a good frequency

<div align="center">Your response</div>

Strongly disagree	Disagree	Unsure/Do not know	Agree	Strongly agree

C2.1 - If you Disagree or Strongly Disagree, please provide reasons and/or make suggestions for an appropriate review cycle

<div align="center">Optional response</div>

C3. The training provided for 'Development Conversations for Managers' was helpful.

<div align="center">Your response</div>

Yes	No	Unsure/Do not know

C3.1 - If your response to the previous question was 'No', please provide suggestion/s that would make it better.

<div align="center">Optional response</div>

C4. 'Introduction to Māhuri Tōtara/CMS' should be an element of the TSA new hire induction process.

<div align="center">Your response</div>

Yes	No	Unsure/Do not know

C5. 'Development Conversations for Managers' should be an element of the new manager hire induction/training process.
<div align="center">Your response</div>

Section D: Section D: PRODUCT - Stakeholders and Managers

The primary considerations were:

- Is Māhuri Tōtara succeeding?
- How will it be accepted?
- What improvements can be made?

D1. The structure of Māhuri Tōtara is straightforward and easy to follow.
<div align="center">Your response</div>

Strongly disagree	Disagree	Unsure/Do not know	Agree	Strongly agree

D2. Is the CMS a useful, user-friendly tool?
<div align="center">Your response</div>

Strongly disagree	Disagree	Unsure/Do not know	Agree	Strongly agree

D3. CMS 'Journal' is sufficient for formalising/recording an employee/ officer/manager's expectations for learning and development.
<div align="center">Your response</div>

Strongly disagree	Disagree	Unsure/Do not know	Agree	Strongly agree

D4. A dashboard/Capability Profile is sufficient for formalising/recording an employee/ officer/manager's expectations for learning and development.
<div align="center">Your response</div>

Strongly disagree	Disagree	Unsure/Do not know	Agree	Strongly agree

D5. Development Plan is sufficient for formalising/recording an employee/ officer/manager's expectations for learning and development.

Your response

Strongly disagree	Disagree	Unsure/Do not know	Agree	Strongly agree

D6. Capability Assessment is sufficient for formalising/recording an employee/ officer/manager's expectations for learning and development.

Your response

Strongly disagree	Disagree	Unsure/Do not know	Agree	Strongly agree

D7. Please provide any thoughts you may have for improving Māhuri Tōtara
Optional response

D8. Please provide any thoughts you may have for improving the Capability
Management System
Optional response

Closing Remarks

The Māhuri Tōtara Team would like to thank you for your participation and input to the pilot program and this survey.

Māhuri Tōtara is a unique, leading-edge model that will contribute to the growth, well-being and professional enhancement of all TSA NZ officers and employees.

6.3 Responses - managers

Responding Person ID	A1 - Māhuri Tōtara will meet the needs of my team for learning and development of employees and officers now and in the future [Your response]	A2 - Māhuri Tōtara is an effective tool for employees, officers and managers to document development discussions/objectives/outcomes? [Your response]	A3 - Māhuri Tōtara will be an effective tool for career paths/ministry progression for employees and officers? [Your response]	A4 - Māhuri Tōtara will help retain employees/officers? [Your response]	A4.1 - If you Disagree or Strongly Disagree, please provide suggestions for improvement	A5 - Managers will perceive Māhuri Tōtara as an unnecessary burden? [Your response]	A5.1 - If you Strongly Agree or Agree to the previous response please provide reasons and make suggestions for improvement	A6 - Māhuri Tōtara will meet the future needs of the TSA over the next 5~15 years? [Your response]	A6.1 - If you Disagree or Strongly Disagree, please provide reasons and/or make suggestions for improvementf	A7 - It is important for Volunteers to have a Capability Profile and access to the Capability Management System [Response]
1	Agree	Strongly agree	Agree	Unser/Don't know		Disagree		Unser/Don't know		Agree
2	Unsure/Don't know	Agree	Agree	Agree		Unsure/Don't know		Agree		Strongly agree
3	Agree	Agree	Agree	Unser/Don't know		Agree	There could be reluctance to adding an additional required documentation system for keeping information on each employee. If presented and explained well, and training is sufficient for managers to understand the desired outcome of assisting staff development, then once the initial adjustment is made to another new process, hopefully a greater acceptance will arise, but it will take time for its value to be proven.	Unsure/Don't know		Unsure/Don't know
4	Agree	Unsure/Don't know	Agree	Agree		Agree	Improve the tool so that it is not as clunky. Managers may need other PD to support them in using Mahuri Totara for their benefit and that of their staff	Unsure/Don't know		Unsure/Don't know
5										
6	Strongly agree	Strongly agree	Strongly agree	Strongly agree		Disagree		Strongly agree		Unsure/Don't know

Table 6-3 Responses managers - context

Input

Responding Person ID	B1 - From 2022 there will be a cost of $50 per person per annum for access to the CMS, this is an acceptable financial cost [Your response]	B1.1 - If you Disagree or Strongly Disagree, please provide suggestions for improvement	B2 - I will be appointing someone from my section to be trained to be a Capability Management System Administrator (superuser)	B2 - I will be appointing someone from my section to be trained to be a Capability Management System Administrator (superuser) [Comment]	B3 - The current range of Capabilities and Occupational Competencies adequately cover my team's needs?	B3 - The current range of Capabilities and Occupational Competencies adequately cover my team's needs? [Comment]	B4 - Are you aware of any external bodies that your team is engaged with that has capability or competence requirements (i.e. Te Pou - Let's get Real)?	B4 - Are you aware of any external bodies that your team is engaged with that has capability or competence requirements (i.e. Te Pou - Let's get Real)? [Comment]	B5 - The Capability Management System (CMS) is a 'one-stop shop' for the employees and officers to identify learning and development needs [Your response]	B6 - The CMS is sufficiently comprehensive to meet my team's needs and requirements [Your response]	B6.1 - If you Disagree or Strongly Disagree, please provide suggestions for improvement	B7 - The training provided for Māhuri Tōtara and the CMS was sufficient for my team and my managers [Your repsose]	B7.1 - If you Disagree or Strongly Disagree, please provide suggestions for improvement	B8 - Employees and officers will be eager to use Māhuri Tōtara [Your response]	B8.1 - If you Disagree or Strongly Disagree, please provide reasons and/or make suggestions for improvement	B9 - I understand the function/role of the People Capability Framework - Oversight and Review Committee	B9 - I understand the function/role of the People Capability Framework - Oversight and Review Committee [Comment]
1	Agree		No		Unsure/Don't know		My team DOES NOT use external body competencies/capabilities/qualifications		Strongly agree	Agree		Agree		Agree		No	
2																	
3	Disagree	I had heard that the cost was going to be $75. The current system of managers interviewing staff for annual reviews, hasn't cost them anything, so there is likely to be resistance to using this system if it will increase a corps/centre's costing, in some cases by thousands annually, beyond their budget capabilities.	Yes	If this is required, it will need to noted as a variation of employment and adjusted in job desciptions. Time will need to be allocated for this person to complete training and ongoing tasks of maintaining. Existing staff may not have such time available as they are already stretched.	Yes		My team USES external body competencies/capabilities/qualifications		Disagree	Unsure/Don't know	Many will still look elsewhere for learning and development needs	Disagree	There was still confusion on the day of the interview and difficulty getting access.	Disagree	Unless there is adequate pre-explanation of the goals for using this program and information shared for the benefits foreseen for its long running usage, there could be strong resistance to learning yet another new system which requires skill to use an unfamiliar computer programme.	Yes	
4	Disagree	The investment will be wasted if staff and managers have not had adequate training and the tool is not as clunky as it currently is.	Unsure /Don't know	Our Centre cannot afford for a staff member to be given this responsbility. Ideally, it would be useful for a superuser to be onsite, as we have about 45 staff and 20 volunteers across our Centre excluding the Bridge Programme	Unsure/Don't know	This is quite comprehensive. I do worry about the paucity of competencies related to Tikanga and Te Ao Maori and inclusivity	My team USES external body competencies/capabilities/qualifications	Social Work Registration, Teacher Council registration	Disagree	Unsure/Don't know		Agree		Disagree	Needs to right comms behind it to achieve this.	Yes	
5																	
6	Strongly agree		Unsure /Don't know	I would like to have someone to assist but do not have anyone right now who could be appointed this task.	Yes		My team DOES NOT use external body competencies/capabilities/qualifications		Agree	Agree		Strongly agree		Strongly agree		Yes	

Table 6-4 Responses managers -Input

Process

Responding Person ID	C1 - Māhuri Tōtara processes, including CMS sofetware are easy to follow and understand? [Your response]	C1.1 - If you Disagree or Strongly Disagree, please provide reasons and/or make suggestions for improvement	C2 - A 2-year review cycle of Māhuri Tōtara procedures and processes is a good frequency [Your response]	C2.1 - If you Disagree or Strongly Disagree, please provide reasons and/or make suggestions for an appropriate review cycle	C3 - The training provided for 'Development Conversations for Managers' was helpful.	C3 - The training provided for 'Development Conversations for Managers' was helpful. [Comment]	C3.1 - If your response to the previous question was 'No', please provide suggestion/s that would make it better.	C4 - 'Introduction to Māhuri Tōtara/CMS' should be an element of the TSA new hire induction process? [Your response]	C5 - 'Development Conversations for Managers' should be an element of the new manager hire induction/training process? [Your response]
1	Strongly agree		Agree		Yes			Yes	Yes
2									
3	Disagree	It will take quite a bit of personal training required for some indiviudals. Others will adjust to it well. Some centres do not have easy access to computers for all staff.	Agree		Yes			Yes	Yes
4	Disagree	I need to use it more often to become familiar with its use. It was not easy to follow and understand	Agree		Yes			Yes	Yes
5									
6	Strongly agree		Agree	Being the first year, perhaps it should be reviewed at the end of this first period and then two yearly from there?	Yes			Yes	Yes

Table 6-5 Responses managers - process

Product

Responding Person ID	D1 - The structure of Māhuri Tōtara is straight forward and easy to follow? [Your response]	D2 - The CMS ia a useful, user-friendly tool? [Your response]	D3 - CMS 'Journal' is sufficient for formalising/recording an employee/ officer/manager's expectations for learning and development? [Your response]	D4 - Dashboard/Capability Profile is sufficient for formalising/recording an employee/ officer/manager's expectations for learning and development? [Your response]	D5 - Development Plan is sufficient for formalising/recording an employee/ officer/manager's expectations for learning and development? [Your response]	D6 - Capability Assessment is sufficient for formalising/recording an employee/ officer/manager's expectations for learning and development? [Your response]	D7 - Please provide any thoughts you may have for improving Māhuri Tōtara	D8 - Please provide any thoughts you may have for improving the Capability Management System
1	Strongly agree	Strongly agree	Unsure/Don't know	Agree	Strongly agree	Strongly agree		
2								
3	Disagree	Disagree	Agree	Agree	Agree	Agree	Each of the statements of agreement above, would also be dependent on the relationship between the manager and the employee in each situation.	Training, training, training in the value of using this tool well.
4	Agree	Disagree	Unsure/Don't know	Unsure/Don't know	Agree	Agree	I believe with use and engagement with the Mahuri Totara tool, my responses would have been more positive. It is difficult to agree with some statements regarding this tool when I have only used it with two staff.	
5								
6	Strongly agree	Strongly agree	Strongly agree	Strongly agree	Strongly agree	Strongly agree		

Table 6-6 Responses managers - product

6.3.1 Statistics – managers

The following data and information were derived from Survey 193847 'Māhuri

Tōtara - Post Pilot Program Survey - Managers

Response summary	
Full responses	4
Incomplete responses	5
Total responses	9
Survey participant summary	
Total invitations sent	17
Total with no unique token	0
Total surveys completed	6
Total records	18
Participant Responsiveness	
Number of records in this query	6
Total records in the survey	5
Percentage of a total of completed surveys	83%

6.4   Group 2 - end users (beneficiaries)

The end-user question was primarily focused on the product, as they were the group that would be utilising Māhuri Tōtara as they were the persons who would benefit from the product.

Section	Title	No: Questions
Section A	Purpose Process and Procedures (Context, Input, Process)	21
Section B	Development Conversation with Your Manager (Product)	5
Section C	Your Dashboard (Product)	8

Table 6-7 Question sections - end users

The end user question was primarily focused on the product, as they were the group that would be utilising Māhuri Tōtara as they were the persons who would benefit from the product.

Section	Title	No: Questions
Section A	Purpose Process and Procedures (Context, Input, Process)	21
Section B	Development Conversation with Your Manager (Product)	5
Section C	Your Dashboard (Product)	8

Table 6-8 Question sections - end users

6.4.1   Questions – end user

Section A: Māhuri Tōtara – Purpose, Processes & Procedures

Review of the Māhuri Tōtara purpose, processes and procedures to look at their functionality, operation and ease of use.

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A1. Māhuri Tōtara will be a benefit to me with my career/ progression, plans and development with TSA

Your response

| Strongly disagree | Disagree | Unsure/Do not know | Agree | Strongly agree |

A2. Māhuri Tōtara will be a benefit to others with their career/ progression, plans and development with TSA

Your response

| Strongly disagree | Disagree | Unsure/Do not know | Agree | Strongly agree |

A3. I prefer using Māhuri Tōtara to the Employee Goal Setting and Review

Your response

| Strongly disagree | Disagree | Unsure/Do not know | Agree | Strongly agree |

A4. Māhuri Tōtara will allow me to develop a useful Development Plan

Your response

| Strongly disagree | Disagree | Unsure/Do not know | Agree | Strongly agree |

A5. Māhuri Tōtara allows me to identify the capabilities and competencies for my current and future roles.

Your response

| Strongly disagree | Disagree | Unsure/Do not know | Agree | Strongly agree |

A6. Māhuri Tōtara allows me to identify learning opportunities

Your response

Strongly disagree   *Disagree*   *Unsure/Do not know*   *Agree*   *Strongly agree*

A7. Completing the Māhuri Tōtara processes is an unnecessary burden

Your response

Strongly disagree   *Disagree*   *Unsure/Do not know*   *Agree*   *Strongly agree*

A8. If you Strongly Agree or Agree with the previous response, please

Your response

Strongly disagree   *Disagree*   *Unsure/Do not know*   *Agree*   *Strongly agree*

A9. Māhuri Tōtara is a positive step forward for me

Your response

Strongly disagree   *Disagree*   *Unsure/Do not know*   *Agree*   *Strongly agree*

A10. Māhuri Tōtara is a positive step forward for TSA

Your response

Strongly disagree   *Disagree*   *Unsure/Do not know*   *Agree*   *Strongly agree*

A11. The information (Frequently Asked Questions, Manuals, etc.) explaining all the elements of Māhuri Tōtara was easy to understand and useful.

Your response

Strongly disagree   *Disagree*   *Unsure/Do not know*   *Agree*   *Strongly agree*

A12. If you Disagreed or Strongly Disagreed with the previous response,

Your response

Strongly disagree   *Disagree*   *Unsure/Do not know*   *Agree*   *Strongly agree*

A13. The training I was provided during the Introduction to Māhuri Tōtara session made using Māhuri Tōtara and the Capability Management System easy

Your response

Strongly disagree   *Disagree*   *Unsure/Do not know*   *Agree*   *Strongly agree*

A14. If you Disagreed or Strongly Disagreed with the previous response, please provide suggestions for improvement

Optional response

Please share your thoughts

A15. Are there any positive effects or outcomes from Māhuri Tōtara

Your response

Yes   *No*   *Do not Know/Uncertain*

A16. If you answered 'Yes' to the previous question, please provide details

Optional response

Please share your thoughts

A17. Are there any negative effects or outcomes from Māhuri Tōtara?

Your response

Yes   *No*   *Do not Know/Uncertain*

A18. If you answered 'Yes' to the previous question, please provide details

Optional response

Please share your thoughts

A19. Are there any aspects of Māhuri Tōtara that could be improved/added to?

Optional response

Please share your thoughts

A20. Do you have further questions on Māhuri Tōtara?

Optional response

Please share your thoughts

A21. Is there anything we can do to improve the training or processes specifically for Māori or Pasifika employees or officers?

Section B: Section B: Development Conversation with Your Manager

B1. Creating my Development Plan during my Development Conversation was straightforward

Your response

Strongly   *Disagree*   *Unsure/Do not*   *Agree*   *Strongly agree*

disagree   *know*

B1.1. If you Disagree or Strongly Disagree, please provide suggestions for improvement

Optional response

Please share your thoughts

B2. The feedback I received during my Development Conversations was helpful for my ongoing development

Your response

The feedback was   *The feedback was not*   *Neither*   *Does not*

valuable to me   *valuable to me*   *apply*

Optional response

Please share your thoughts

B3. I felt valued after my Development Conversation

I felt valued   *I did not feel valued*   *Neither*   *Does not apply*

Optional response Please share your thoughts

Section C: Section C: Your Dashboard

C1. Accessing my Dashboard/Capability Profile was easy and straightforward

Your response

Strongly disagree	*Disagree*	*Unsure/Do not know*	*Agree*	*Strongly agree*

C2. My Capability Profile is easy to access and understand

Your response

Strongly disagree	*Disagree*	*Unsure/Do not know*	*Agree*	*Strongly agree*

C3. If your response to the previous question was Strongly Disagree or Disagree, please provide suggestion/s that would make easier

Optional response

Please share your thoughts

C4. My Development Plan is easy to access and use

Your response

Strongly disagree	*Disagree*	*Unsure/Do not know*	*Agree*	*Strongly agree*

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C5. My Capability Assessment is easy to access and use

Your response

| Strongly disagree | Disagree | Unsure/Do not know | Agree | Strongly agree |

C6. My Personal Journal is easy to access and use

Your response

| Strongly disagree | Disagree | Unsure/Do not know | Agree | Strongly agree |

C7. My Feedback Form was easy to use

Your response

| Strongly disagree | Disagree | Unsure/Do not know | Agree | Strongly agree | Does not apply |

C8. I can locate learning and training courses or programs in the Capability Management System

Your response

| Strongly disagree | Disagree | Unsure/Do not know | Agree | Strongly agree | Does not apply |

6.4.2 Responses – end users

Māhuri Tōtara – Purpose, Processes & Procedures

Responding Person ID	A1 Māhuri Tōtara will be a benefit to me with my career/ progression, future plans and development with TSA [Your response]	A2 Māhuri Tōtara will be a benefit to others with their career/ progression, future plans and development with TSA [Your response]	A3 I prefer using Māhuri Tōtara to the Employee Goal Setting and Review Process (Employees) [Your response]	A4 Māhuri Tōtara will allow me to develop a useful Development Plan [Your response]	A5 Māhuri Tōtara allows me to identify the capabilities and competencies for my current and future roles. [Your response]	A6 Māhuri Tōtara allows me to identify learning opportunities [Your response]	A7 Completing the Māhuri Tōtara processes are an unnecessary burden [Response]	A7.1 If you Strongly Agreed or Agreed to the previous response, please provide reasons/make suggestions for improvement	A8 Māhuri Tōtara is a positive step forward for me [Your response]	A9 Māhuri Tōtara is a positive step forward for TSA [Your response]	A10 The information (Frequently Asked Questions, Manuals, etc.) explaining all the elements of Māhuri Tōtara was easy to understand and useful. [Your response]	A10.1 If you Disagreed or Strongly Disagreed to the previous response, please provide reasons/make suggestions for improvement	A11 The training I was provided during the Introduction to Māhuri Tōtara session made using Māhuri Tōtara and the Capability Management System easy [Your response]	A11.1 If you Disagreed or Strongly Disagreed to the previous response, please provide suggestions for improvement	A12 Are there any positive effects or outcomes from Māhuri Tōtara [Your response]	A12.1 If you answered 'Yes' to the previous question, please provide details	A13 Are there any negative effects or outcomes from Māhuri Tōtara? [Your response]	A13.1 If you answered 'Yes' to the previous question, please provide details	A14 Are there any aspects of Māhuri Tōtara that could be improved/added?	A15 Do you have further questions on Māhuri Tōtara?	A16 Is there anything we can do to improve the training or processes specifically for Māori or Pasifika employees or officers?	A17 Is there anything we can do to improve the training or processes specifically for Māori or Pasifika employees or officers? [Comment]
1	Agree	Agree	Strongly agree	Strongly agree	Agree	Unsure/Don't know	Disagree		Unsure/Don't know	Strongly agree	Agree		Agree		Yes	Hopefully pathways for employees and a way to keep track of training	Yes	The cost to Corps, Centres and Nationally Managed programs. I think it would be smart of TSA to cover the cost. This will increase morale and be seen as an investment in employee and officer development.			Yes	I think there is, but I'm not sure what.
2	Agree	Agree	Agree	Strongly agree	Agree	Agree	Disagree		Agree	Agree	Agree		Agree		Yes	It has been great for setting goals and a helpful platform for completing my line management meetings.	Uncertain		Access to the website could be improved and it would be helpful if there were email updates once something is posted to the journal.	No	No	I am unsure?
3	Disagree	Unsure/Don't know	Unsure/Don't know	Unsure/Don't know	Disagree	Unsure/Don't know	Agree	The system seems quite complex and time consuming	Unsure/Don't know	Unsure/Don't know	Disagree	Don't know where to find these so haven't read them	Disagree		Uncertain	Person showing the system was unable to make the system work so had to reload it a couple of times	Uncertain				No	Not sure of the system to make comments either way
4	Agree	Agree	Agree	Agree	Agree	Agree	Agree		Strongly agree	Strongly agree	Agree		Agree		Yes	This is a major step forward for The Salvation Army which will provide an online space for most staff process. One online space for everything that is user friendly.	No		A work in progress, which will be refined as it is further used and developed.		Yes	More online self directed training, that sends feedback/reports direct to the persons line manager, this will provide both accountability and support.
5	Strongly agree	Strongly agree	Unsure/Don't know	Agree	Strongly agree	Agree	Strongly disagree		Strongly agree	Strongly agree	Strongly agree		Strongly agree		Yes	I expect there will be a much more proactive and transparent process when it comes to assessing capability and performance.	Uncertain				No	
6	Agree	Agree	Agree	Strongly agree	Strongly agree	Strongly agree	Disagree		Agree	Strongly agree	Strongly agree		Strongly disagree		Yes		No				No	
7	Unsure/Don't know	Strongly agree	Agree	Strongly agree	Agree	Agree	Disagree		Agree	Strongly agree	Agree		Agree		Yes	The chance to have easier regular check-in conversations between staff and management	Yes	Probably just the usual learning curve and time that it takes to adjust to a new way of doing things.			No	
8	Agree	Strongly agree	Agree	Agree	Strongly agree	Strongly agree	Disagree		Agree	Agree	Strongly agree		Agree		Uncertain		No				No	
9	Agree	Agree	Unsure/Don't know	Agree	Agree	Agree	Unsure/Don't know		Agree	Agree	Agree		Agree		Uncertain		Uncertain				Yes	need a don't know answer here as not being Māori or Pasifika I can't answer this question

Table 6-9 Responses end users - purpose, processes and procedures

Development Conversation with Your Manager

Responding Person ID	B1 Creating my Development Plan during my Development Conversation was straightforward [Your response]	B1.1 If you Disagree or Strongly Disagree, please provide suggestions for improvement	B2 The feedback I received during my Development Conversations was helpful for my ongoing development	B2.1 The feedback I received during my Development Conversations was helpful for my ongoing development [Comment]	B3 I felt valued after my Development Conversation	B3.1 I felt valued after my Development Conversation [Comment]	B4 How often should a developmental conversation be held (where a feedback form is completed, and Development Plan is created)?
1	Unsure/Don't know		Does not apply		Does not apply		Annually
2	Agree		The feedback was valuable to me		I felt valued		Every 6 months
3	Disagree	Haven't created a development plan so unsure	Does not apply		Does not apply		
4	Agree		The feedback was valuable to me		I felt valued		Every 12 months
5	Strongly agree		Does not apply	I haven't had a Development Conversation with my manager yet.	Does not apply		Quarterly to Six-monthly
6	Agree		The feedback was valuable to me		I felt valued		6 months review
7	Agree		The feedback was valuable to me		I felt valued		Annually - but more regular separate conversations should also be held using the journal records feature
8	Agree		Does not apply		Does not apply		After three months employment and every eyar after that.
9	Disagree	because I haven't had my development plan created	Does not apply		Does not apply		depends on the plan, yearly checks but redone fully every 3 to 4 years maybe

Table 6-10 Responses end users – Development conversations

Your Dashboard

Responding Person ID	C1 Accessing my Dashboard/Capability Profile was easy and straightforward [Your response]	C2 My Capability Profile is easy to access and understand [Your response]	C3 If your response to the previous question was Strongly Disagree or Disagree, please provide suggestion/s that would make easier	C4 My Development Plan is easy to access and use [Your response]	C5 My Capability Assessment is easy to access and use [Your response]	C6 My Personal Journal is easy to access and use [Your response]	C6.1 My Feedback Form was easy to use [Your response]	C7 I can locate learning and training courses or programs in the Capability Management System [Your response]
1	Agree	Agree		Agree	Agree	Does not apply	Does not apply	Agree
2	Agree	Unsure/Don't know		Agree	Agree	Unsure/Don't know	Agree	Agree
3	Unsure/Don't know	Unsure/Don't know		Unsure/Don't know	Unsure/Don't know	Unsure/Don't know	Unsure/Don't know	Unsure/Don't know
4	Agree	Agree		Agree	Agree	Agree	Agree	Agree
5	Agree	Agree		Agree	Agree	Agree	Does not apply	Does not apply
6	Agree	Agree		Strongly agree	Agree	Strongly agree	Strongly agree	Strongly agree
7	Agree	Agree		Agree	Agree	Strongly agree	Agree	Unsure/Don't know
8	Agree	Agree			Agree	Strongly agree	Strongly agree	Agree
9	Agree	Agree		Agree	Agree	Agree	Agree	Agree

Table 6-11 Responses end users - your dashboard

6.4.3 Statistics – end users

The following are the responses to the survey 788112 'Māhuri Tōtara - Post Pilot Program Survey - End Users.

Response summary	
Full responses	9
Incomplete responses	0
Total responses	9
Survey participant summary	
Total invitations sent	26
Total with no unique token	0
Total surveys completed	9
Total records	26
Participant Responsiveness	
Number of records in this query	9
Total records in the survey	9
Percentage of a total of completed surveys	100%

6.5 Findings and recommendations

A report on the findings of CIPP was submitted to the TSA Governance Board for review and consideration. However, the primary user of the recommendations was the *PCF Oversight and Review Committee* as they were the body with the task of deciding on the changes and amendments to Māhuri Tōtara, CMS and LMS prior to the main roll out and the control and management post the project phase.

Below is the summary of the recommendations.

6.5.1 Satisfaction and acceptance of Māhuri Tōtara

The responses from the participants showed an above-average level of satisfaction and acceptance of Māhuri Tōtara s' structure, content process and procedures. However, this survey and evaluation were of a relatively small number of people, and it is recommended that the enquiry should be repeated after the roll-out to ASARS in mid-2021. However, the effects of the COVID –19 pandemic preclude this from occurring. The recommendation was made that Māhuri Tōtara have a biannual review cycle to address any issues missed in the CIPP evaluation.

6.5.2 Capability Management System (CMS)

Most issues involving CMS were focused on commissioning/teething problems, which mostly have been resolved. The remaining items in the survey responses, feedback and comments were reviewed and addressed by the PCF Oversight and Review Committee.

6.5.3 Learning Management System (LMS)

At the time of the survey, few participants could use the LMS with any degree of depth. Therefore, this evaluation cannot be considered a valid reflection of the LMS functionality and usefulness and the evaluation at the Māhuri Tōtara biannual review, which should focus heavily on satisfaction and acceptance of the LMS.

6.5.4 Financial burden of Māhuri Tōtara

This may be a success critical factor in the acceptance and adoption of Māhuri Tōtara by TSA ministries, sections and divisions managers and leaders, more so than the officers or employees, as the information and data received indicates that a $75 per person license fee as being an unacceptable financial burden. Therefore,

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an alternative funding source needed to be sought rather than the cost imposed on the ministries, sections and divisions.

6.5.5 Range and scope of Māhuri Tōtara

The extent of engagement of Māhuri Tōtara with personnel of TSA was limited, and the decision needs to be considered on whether to include volunteers within its scope. However, this would be a considerable investment of time and effort, and the returns on the investment may be of limited effect. Additionally, the inclusion of ADP appraisals and reviews within Māhuri Tōtara should be seriously considered for adoption and inclusion within Māhuri Tōtara. An investigation was initiated into this recommendation and should be endorsed by *the PCF Oversight and Review Committee*.

6.5.6 Officer and employee Māhuri Tōtara training

The Introduction to Māhuri Tōtara (End Users) should be included in the induction of new officers and employees.

Conducting Development Conversations (Stakeholders and Managers) should be mandatory for all newly engaged, newly promoted and existing Stakeholders and Managers.

6.5.7 Biennial CIPP evaluation and review

The CIPP was designed to be reapplied for future use to ensure the quality and effectiveness of Māhuri Tōtara.

6.6   Chapter summary

The following summarises the information data, evaluation, observations and conclusions.

6.6.1 COVID-19

There are principal influencing factors attributable to COVID-19. The first was the New Zealand lockdown and its impact on conducting the CIPP evaluation following the pilot roll-out. Whilst it did not have a dramatic effect on conducting the survey, it did impact the capacity to have the evaluation meeting, which needed a face-to-face workshop.

The most disruptive element was that TSA was a relief and aid organisation. During the lockdown and in its aftermath, officers and employees were an exception within NZ society, as it was a time of unprecedented demand for their services, with aged care, homeless, and people in crisis, and care, food collection, and distribution were a primary focus and unemployment soaring.

6.6.2 CIPP

To achieve a practical and valid evaluation, a Context, Input, Process and Product (CIPP) evaluation methodology was utilised to analyse responses given by two groups:

1)   Stakeholders/ Managers:

2)   Ends Users (Officers and Employees).

The information and data gathered in the CIPP evaluation were derived from two primary sources, 1) an anonymous survey for Managers and End Users and 2) Feedback and comments from persons involved in developing the pilot roll-out of Māhuri Tōtara.

An evaluation team was formed, comprised of 3 officers and three employees, and they were tasked the consideration of every response obtained by the participants and offering recommendations and suggestions.

This report was presented to the *PCF Oversight and Review Committee*, which considered its recommendations and suggestions and determined what changes and alterations were to be made to Māhuri Tōtara, CMS and LMS.

It is worthy of note that the overall level of satisfaction with Māhuri Tōtara by both Stakeholders/ Managers and End Users was overwhelmingly positive. As a result, few changes or amendments have been recommended or suggested.

6.6.3 Recommendations and actions

The primary outcomes of the CIPP were a review and recommendations for:

- Satisfaction and Acceptance of Māhuri Tōtara - 85% acceptance;

- Capability Management System (CMS) - 95% acceptance;

- Learning Management System (LMS) - 95% acceptance;

- Financial Burden of Māhuri Tōtara - 75% acceptance;

- Range and Scope of Māhuri Tōtara - 85% acceptance;

- Officer and Employee Māhuri Tōtara Training - 75% acceptance; and

- Biennial CIPP Evaluation and Review.

One of the most prominent outcomes was identifying the need to conduct a *TSA Learning Needs Analysis,* as the evaluation highlighted topics and subjects that were gaps in the full implementation of Māhuri Tōtara's growth and development program.

6.7   Evaluation limitations

Throughout the research, it was essential to remain focused on the three research questions and how any aspect of the research was a contributing factor.

The case study was a means to provide evidence that a capability framework, based on the capability approach, could be practically developed and applied. However, the case study related to only the study organisation, New Zealand TSA, and the capability framework developed for TSA would not apply to any other organisation.

Considering a research aim is the identification of organisations that would be 'susceptible' to exposing their personnel to crisis or disastrous situations or be engaged in the avoidance of catastrophes. Some of these organisations may become involved with relief efforts for war-affected countries and zones, civil unrest, earthquakes, tsunamis, hurricanes, or other natural disasters. The capability framework developed for TSA would not have a practical application to other 'susceptible' organisations as each is unique with its imperatives, demands and requirements.

The practical application of an organisational-specific capability framework can contribute to the self-protection of a person's psychological well-being by identifying a person's ability to deal, cope, manage or involvement with a

catastrophe or disaster and by the enhancement of their individual 'capabilities' through a personalised growth and development program.

CHAPTER 7. SUMMARY, CONCLUSIONS AND RECOMMENDATIONS

This chapter summarises the investigation conducted in support of this thesis. It contains explanations of the processes and progression of the research study and observations made conclusions reached.

7.1   Introduction

The essence of this thesis changed considerably from what it was initially conceived to be to its present themes and topics that others have experienced this phenomenon in developing a thesis. The original concept was to explore how High-Reliability Organisations (HROs) managed their training, if any, for their personnel to prepare them for a significant event. While scrutinising the literature review results, it became apparent that there were other, more significant questions to be asked. The most radical discovery was the lack of preparation given persons – from a humanitarian perspective, rather than a vocational one, PRIOR to their deployment or work engagement. The effects of this omission can, and has, led to an adverse effect on the mental condition of many people. It was surprising to note that millions, if not billions, of dollars are spent yearly addressing the aftermath of persons developing trauma-related distress. However, little has been done to avoid the situation initially. As more large organisations are held to account in the justice system, greater attention will be focused on prevention rather than cure.

This discovery created an imperative to broaden the range and scope of the study by incorporating faith, charitable and volunteer organisations rather than HROs which may expose personnel to exceptional circumstances, such as war zones or natural disasters.

The original investigation explored the protection of *individual well-being*. However, the research exposed that the term *individual well-being* could have been more specific and defined as having no practical application within the study. The focus of the study became *psychological well-being*.

From an occupation or vocational perspective is emerging that psychological well-being is becoming an imperative for organisations as an adjunct to their Occupational Health and Safety 'duty of care'. This duty of care is more critical for

some organisations, but the latency of the risk to many organisations may need to be clarified.

This study illustrates the protection against the effects of trauma-related disorder by using an individualised appraisal of a person's EI traits and attributes directly related to their reaction to shock and stress, and, if necessary, provide an individualised training and development program as a defense against trauma-related disorder.

Whilst this is a multifaceted study, it is necessary to express how well-being protection could be applied.

7.2   Example of a protection of psychological well-being program

The essence of this thesis is how to protect a person's psychological well-being in an organisation that may be susceptible to them experiencing and managing a disaster or catastrophe.

The following is an overview example of a *Protection of Well-Being Program (PWBP)*.

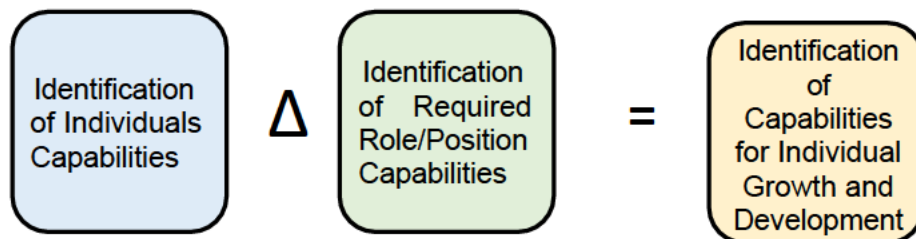A PWBP could be considered in terms of a mathematical equation in its simplest form.

Figure 7-1 Simplification of a protection of well-being program

7.2.1   Scenario

The concept of a *Protection of Well-Being Program* is complex. Within this thesis are several theories and concepts that have been uniquely synergised to create the notion of a PWBP. Therefore, clarifying how such a program would operate and function in a 'real-world' setting is essential.

The following hypothetical situation has been transposed into a scenario. It will illustrate how a person engaged with a 'susceptible organisation' could be prepared for deployment into a strife-torn or natural disaster zone.

7.2.2 The setting

A 34-year-old registered nurse married with two children (10 and 8). She has a Bachelor of Nursing and 14 years of experience working in private and public hospitals, predominantly in intensive care and emergency rooms.

She strongly desires to use her skills and experience to provide care and treatment to those in the world affected by war or natural disasters and with few or no medical facilities. She and her husband agreed that she would take a one or two-year sabbatical and join an aid/relief organisation.

She has been accepted on an *International Health Relief Services* (IHRS), a fictional organisation, program for support in the Ukraine/Russia conflict. She will be deployed in approximately one month as a *Senior Nurse-in-Charge of a Field Hospital* where military and civilian casualties need professional medical assistance.

The organisation believes it had a moral and ethical duty of care to provide its aid workers with preventative support before deployment to minimise the effects on personnel because of trauma-related situations and events. They will provide her with a complete training course to provide her with the skills, knowledge and competence to enable the utilisation of the practices and procedures used by the organisation.

The organisation has a seven-step IHRS *Safeguarding of Psychological Well-Being* program to evaluate and identify personal capabilities (traits and attributes). This is mapped against the occupational capabilities (traits and attributes) for the role/position of Senior Nurse-in-Charge of a Field Hospital, and this will produce a 'gap analysis', which will be used to create an individual growth and development plan specifically for an individual.

Two critical points should be noted. 1) the evaluation is NOT related to her professional competence; 2) The evaluation will be used for several applications. Apart from developing the growth and development plan, it will also critically review IHRS to identify her suitability to be sent to a war zone. It must be stated that not

all persons would be suitable for this position, even when a 'growth and development plan' has been undertaken, as their personality and psyche do not then themselves to expose to crisis or trauma without ill-effect to them.

7.2.3 IHRS seven step 'safeguarding of psychological well-being' program

Below is the theoretical IHRS seven-steps 'Safeguarding of Psychological Well-Being' Program.
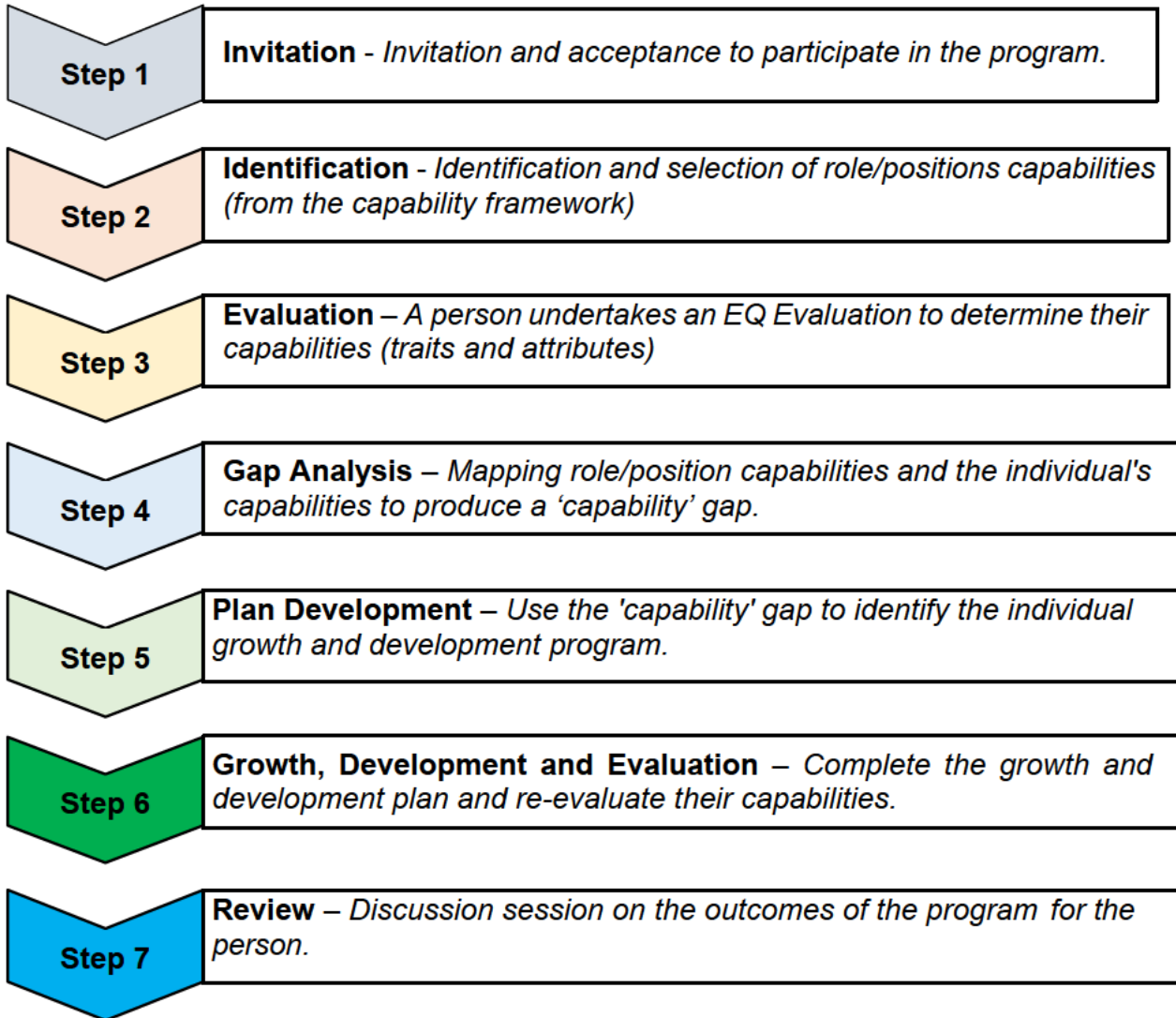
Step 1	**Invitation** - *Invitation and acceptance to participate in the program.*
Step 2	**Identification** - *Identification and selection of role/positions capabilities (from the capability framework)*
Step 3	**Evaluation** – *A person undertakes an EQ Evaluation to determine their capabilities (traits and attributes)*
Step 4	**Gap Analysis** – *Mapping role/position capabilities and the individual's capabilities to produce a 'capability' gap.*
Step 5	**Plan Development** – *Use the 'capability' gap to identify the individual growth and development program.*
Step 6	**Growth, Development and Evaluation** – *Complete the growth and development plan and re-evaluate their capabilities.*
Step 7	**Review** – *Discussion session on the outcomes of the program for the person.*

Figure 7-2 Seven step 'safeguarding of individual well-being' program

Step 1 – Invitation

Invitation and acceptance to participate in the program.

She was advised that the 'Safeguarding of Psychological Well-Being Program was available, and she was invited to participate before her deployment. She accepted the offer.

Step 2 – Identification

Identification and selection of role/positions capabilities (from the IHRS capability framework)

Her manager accessed the Capability Framework, reviewed the Capability Profile for a Senior Nurse-in-Charge of a Field Hospital, and identified the critical capabilities required by the position.

Step 3 – Assessment

A person undertakes an EQ Evaluation to determine their capabilities (traits and attributes)

The manager arranged for the nurse to complete a 14-scale Bar-On Multifactor Measure of Performance - MMP3 (Bar-On, 2018) assessment for crucial capabilities, with the additional subscale capabilities 1) Self-Control and 2) Motivational Drive. The evaluation generates a Bar-On Emotional Quotient Inventory - Resource Report, which provides a complete analysis of the nurse's EI traits and attributes, strengths and opportunities for growth and development.

Step 4 – Gap Analysis

Mapping role/position capabilities and the individual's capabilities to produce a 'capability' gap.

The manager and the nurse discuss the report and compare the capability profile of a *Senior Nurse-in-Charge of a Field Hospital*. Between them, they agree on the capability gap.

Step 5 – Development Plan

Use the 'capability' gap to identify the individual growth and development program.

The manager and the nurse review the capability gap and select topics and subjects for a growth and development program to address her capability enhancement.

Step 6 – Growth, Development and Evaluation

Complete growth and development plan and undertake a re-evaluation of their capabilities.

The nurse completes the elements in her development plan.

After the plan, she will undergo a *Virtual Reality Evaluation for Mass Casualty Triage* (Augmented Training Systems, 2022) evaluation in a simulated, virtual environment.

The use of augmented reality/virtual environment (Andreatta et al., 2010) evaluation is a vital element in the process, as this will indicate the development plan's effectiveness in enhancing the person's traits and attributes.

Step 7 – Review

Discussion session on the outcomes of the program for the person.

Before deployment, the nurse and her manager exchange views on the merit and value of the 'Safeguarding of Psychological Well-Being' program from the nurse's perspective and examine the program's effectiveness for her.

Her responses and reaction to the Virtual Reality Assessment for Mass Casualty Triage will likewise be reviewed and discussed.

7.2.4 Scenario content

The hypothetical scenario in this example could apply to any person and position within a susceptible organisation. The method would remain the same, but the content would change according to the organisations and the individuals' traits and attributes (capabilities).

7.3   Review of the problem statement and research questions

Ensuring the thesis observes the original concept as a review for the problem statement and research questions is vital.

The following section revisits the foundation of the study and addresses each item.

7.3.1 Problem statement

The problem statement for this study is:

> *People have an ever-increasing potential to become involved with or manage a disastrous or calamitous event. Therefore, susceptible organisations must safeguard a person's psychological well-being from damage or harm.*

> *A literature review needs to provide more evidence that persons are prepared to cope with or manage crisis management other than to provide organisation or occupational competencies. Whilst there is much literature on how to deal with the aftermath, little is done to protect the individual well-being before, during and after the incident or event.*

There are two vital elements in this statement, 1) safeguard a person's psychological well-being from damage or harm, and 2) people are prepared to cope with or manage crisis management.

Both items require a structure to qualify, quantify and measure the various aspects contained within them. The case study explored the viability of using emotional intelligence and capability approach to create a capability framework that would meet these criteria.

The case study provided evidence that a capability framework can be created to meet real-life demands but needs to be anchored to real-life fundamentals, such as competencies, job/position descriptions, and profiles. Fundamentally, it must relate to the person by utilising a capability profile (particular to a person), not a competence profile (one size fits all).

7.3.2 Research questions

> 1. *Can Sen's and Nussbaum's notions of the Capability Approach be operationalised and practically applied in conjunction with Emotional Intelligence?*

The case study proved that creating a capability framework founded on Sen's and Nussbaum's notions of the Capability Approach and emotional intelligence can be realised and applied in real-life settings.

2. *What types of organisations are susceptible to a traumatic event or disaster that a person may be required to manage/cope with as part of their vocational or volunteer role/function?*

Whilst the research initially explored High-Reliability Organisations, the early review of literature exposed that there were similar needs for another organisation with the same raison d'etre.

Identifying the criteria for organisations that could be considered susceptible was challenging. However, isolating the organisations that fell outside the criteria, such as first responders, military or law enforcement, gave a clearer understanding of selecting appropriate organisations, such as aid and relief groups.

3. *Can individual capability (CI), based on Emotional Intelligence (EI), protect the short and long-term psychological well-being of persons needing to cope with/manage a critical incident/crisis as part of their vocational or volunteer role or function?*

Whilst this question has been answered in the theoretical realms of this study in the affirmative, it has yet to be practically demonstrated in practice.

This aspect of the study will require further exploration, possibly as a post-doctorial study and has been included in section 7.5 Recommendations for Future Research.

This question is at the heart of this study- protecting a person's psychological well-being.

7.3.3 Theoretical positions

The theoretical positions are the cornerstone of the study. They state the paradigms from which this study was conducted.

TP1: Persons coping and managing a disaster or catastrophe will respond and react differently. Their responses will depend on their traits and attributes, either innate or acquired.

Central to the design and construction of the investigation was founded on the premise that every human is a unique individual, and they must be treated as such. There is little likelihood that two persons will react and have the same remembrance of any incident, even if they observed the same event.

TP2: Stress reactions vary widely across individuals, and no single intervention is universally effective, but damage to individual well-being can be minimised by using emotional intelligence to enhance their traits and attributes.

A person's traits and attributes can either be innate or acquired. Their acquired traits and attributes are gained by growth and development or experiences. They will respond and react according to how they perceive the learning. Emotional intelligence provides insight into a person's traits, attributes, or capabilities and allows for enhancements given the right conditions.

TP3: People have a fundamental right to live lives that they have reason to value, and occupational or volunteer events or experiences must not impair this.

Sen argues that human welfare should concentrate on the capability of persons to achieve lives they value rather than solely having the right or freedom to do so. This is a fundamental concept within this study. This combines the notions of a person's right to live the life they value and the protection of that right from psychological harm due to any event or accident beyond their control in a vocation or volunteer situation.

7.4   Summary of findings

This study is multifaceted, and the summary comments on the primary elements and findings of the investigation.

The primary elements are:

- Well-being.

- Capability

- Before, during and after

- Harm prevention

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- The changing determination of 'duty of care and occupational health and safety

7.4.1 Well-being

The interpterion of 'well-being' is complex, diverse, and varies within and between societies. Likewise, interpretation by individuals is highly idiosyncratic from person to person.

There has been an evolution of the determination of well-being through the centuries to attempt to provide shape and meaning to the term, but this has resulted in further confusion and complexity. The primary perspective of well-being concerning this study is 'psychological well-being', as this is fundamental to general well-being and is most affected by a trauma-related disorder.

Psychological well-being will become more prominent in the industrial/occupational setting due to the shifting scope and range of 'duty of care' towards persons for whom organisations are responsible. Damage due to psychological trauma is now considered a legal option for persons seeking financial recovery should another party be responsible for the trauma-related disorder damages, and a person could receive compensation for a claim or lawsuit.

7.4.2 Capability

As well-being is not wholly quantifiable, it must be put into terms that are of 'practical use', and related to a theory that will allow 'functionality' within a theory and provide structure. Sen and Nusbaum's Capability Approach looks towards the notion of '*ability to live a life that a person has reason to value'*, a cornerstone of this thesis. The original notions of the Capability Approach usually focus on macro issues, such as poverty in a country or region, determination, and freedom. However, researchers have acknowledged and endorsed by this case study that a 'pure' application of the Capability Approach cannot be operationalised for practical purposes.

To develop a Capability Framework in an occupational setting, based on the principles of the Capability Approach, the capabilities must be related to more tangible occupational/vocational aspects, such as occupational competence.

There needs to be more clarity and misperception between competence and capability. Within this study, the notion of capability is:

"*the extent to which individuals can adapt to change, generate new knowledge, and continue to improve their performance*" (S. Fraser & T. Greenhalgh, 2001, p. 1).

Competence and capability are often seen as interchangeable terms, but their meanings and interpretations differ profoundly.

For this study, the determination of the meaning of competence is given as follows: *'Competence is what individuals know or can do in terms of knowledge, skills, attitude and experience'*(S. Fraser & T. Greenhalgh, 2001, p. 1).

There must be granularity between these two determinations to arrive at differentiation between them. If competency is based on what a person can '*know or can do',* and capability is about the ability *'adapt to change, generate new knowledge'.* It becomes apparent that competence is about the demonstration of the application of knowledge, whereas capability is the cerebral process of reasoning and experience.

This thesis argues that using the term capabilities concerning Emotional Intelligence should be the normative use. In recent years the whole topic of Emotional Intelligence has become confused and muddied, and many of the creators of the notion of Emotional Intelligence use the term competence and competencies when referring to elements of the five pillars of Emotional Intelligence. This is incorrect, as EI is based on emotional reasoning and cerebral processes rather than on demonstrating knowledge and skills.

7.5 Before, during and after

An outcome of the research was identifying the lack of preparation given to persons who may be exposed to a disaster or catastrophe. The literature review proved that persons were treated for trauma-related disorders after a traumatic event or when symptoms appeared.

One method used for prevention is Pre-Trauma Resilience Building (Kleinberg, 2018). However, this approach is fraught with danger. For the programs to be effective, they must be as realistic as possible, and this could create a traumatic event for a person - that may induce the disorder they are attempting to prevent.

A person prepared to manage a disaster or catastrophe (during) by enhancing their EI capabilities will respond and manage the situation more effectively than if they had not received the preparation. They will react better to incident-related phenomena, such as the startle effect.

Regardless of the nature of the traumatic event or incident, the person should be de-briefed as soon as possible following (after) the incident. If the person is going to develop a trauma-related disorder, it may be detectable at this stage. However, they should be given counselling on what they should do at the onset of any psychological disorder related to the incident.

7.6 Harm prevention

It has been established that whilst evidence of post-treatment of a traumatic event or incident and there is a range of associated treatments for trauma-related disorders, organisations fail to recognise the benefits of safeguarding a person's psychological well-being, in specific occupational engagements, by providing a mechanism to protect them. The available protection programs are either risky, approached from a competence paradigm, are not approached from a capability perspective, or adopt an avoidance of trauma incidents method. None of these methods address the paramount issue of human individuality.

For a preventative measure to be effective, it must be approached from the person's perspective, how they would respond to a disaster or catastrophe, and what enhancement of EI capability would offer them protection, or minimisation of the adverse effect, during and after an incident.

This thesis argues that more than a one-size-fits-all approach is needed, as a scattergun approach may help some participants, but only some will benefit.

7.7 Changing determination 'duty of care and occupational health and safety

Occupational health and safety and organisational duty of care are dynamic and continuously under review and revision. The first cases of asbestosis and lung cancer attributable to asbestos exposure were diagnosed in the United States in

1935. However, until then, no consideration was given to the substance as highly toxic in the lungs due to its natural fiber length. In terms of contemporary occupational health and safety and organisational regulations and processes, the dangers are eliminated by various methods.

The notion of psychological well-being is in its '1930s era stage', in that people are becoming aware of the issues, causes and resulting implications. However, a reality of life and economics is that there needs to be a major event to bring it to the public attention or a significant negative financial incumbrance to an industry or organisation due to litigation or fines imposed by regulators or the government. The issues of organisational responsibility for persons they engage, and their psychological well-being is an emergent issue, and, in the researcher's opinion, it will become more significant over time.

7.8   Case study - Māhuri Tōtara

The CIPP evaluation of the NZ Salvation Army's Māhuri Tōtara (Capability Framework) provided data and information beyond the range and scope intended for this study. The result revealed that this method of evaluation was the correct selection from all perspectives: the managers (stakeholders), the end-users (officers and personnel), the TSA organisation and the requirements of this study. It was a much more complex undertaking than initially envisaged due to the complexity of the organisation and the social imperative specific to New Zealand, such as the diversity of cultures and biculturalism (Pakeha, white people, and the Māori) that is enshrined in legislation and the constitution.

The CIPP data indicated high satisfaction with the final product for TSA officers and personnel.

On the final day of the study, the author was presented with a pounamu, a highly valued green stone carving that plays a vital role in Māori culture. The pounamu was blessed by the elders of local iwi ('people' or 'nation' and is often translated as 'tribe') and the Māori Ministry prior to the presentation.

Figure 7-3 Māori pounamu

7.9   Conclusions

The following conclusions are anchored to indicated findings and observations from the literary review, the case study and the assumptions made.

7.9.1 Capability framework

The principal finding is the realisation of a practical capability framework. While competence frameworks have existed for many years, capability frameworks are a comparatively new phenomenon. Of the capability frameworks reviewed during this study, most have a varied focus on what the intent and outcomes of capability frameworks are. Some confuse capability for capacity and are a combination of capabilities focused on the organisation, not the individual.

A capability framework based on the capability approach and emotional intelligence is firmly entrenched in the individual. However, capability frameworks are developed to meet the organisation's needs and therefore is no right or wrong design.

Below is a simplified structure of a capability framework.
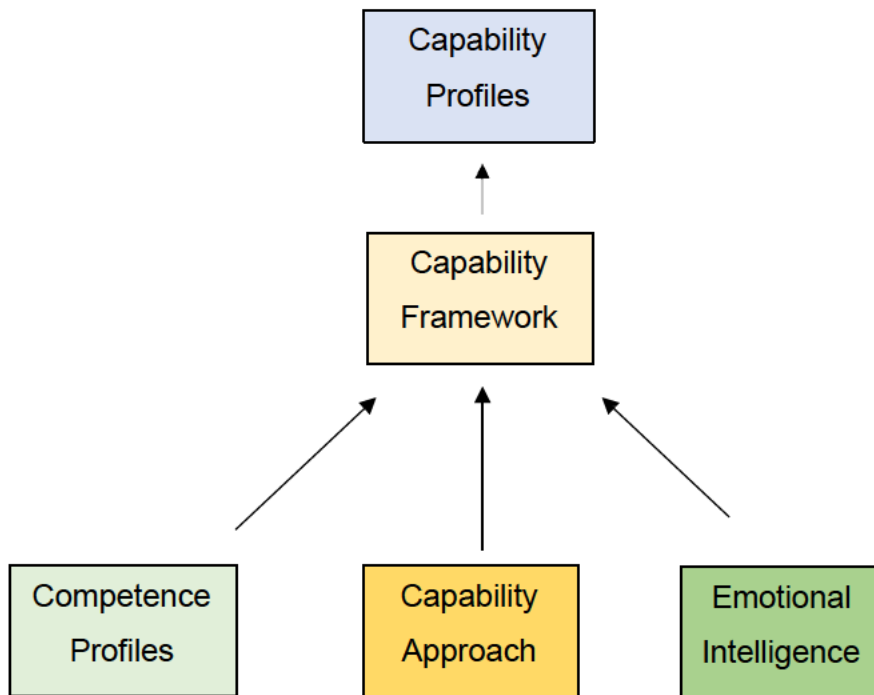
Figure 7-4 Simplified structure of a capability framework

7.9.2 *Pre-emptive protection program*

This study's most startling and shocking finding was the near-total lack of pre-deployment/operational preparation given to personnel from an individual human perspective.

Whether this omission is by design or default, the outcome is the same, persons are being put at risk unnecessarily. Whilst there is a slow awakening to the concept of protection of psychological well-being by organisations, it has yet to be seen as an imperative, but further cases like Facebook will change that perspective.

There is also the possible deterrent to delving into the psyche of employees or volunteers from the privacy and liability standpoint. Organisations and enterprises may be averse to this in-depth evaluation as it may be considered a breach of human rights. However, provided safeguards are in place, and the persons give informed consent, this could be an easy barrier to overcome.

7.9.3 Implications

There are several diverse implications as the result of this study.

The theoretical implications are that the synergistic use of capability approach and emotional intelligence within a usable framework is possibly unique. Whilst the framework is a working model, the evaluation of a person's traits and attributes and growth and development programs are theoretical. Section 7.5 Recommendations for Future Research suggests how this theoretical model could be further researched to evaluate its validity.

The practical implications of this study are the application of a capability framework for 'people' organisations, such as hospitals and education organisations, but not so much for technical organisations, as usually, the focus is on profit and production rather than the individual employees.

The future implications of this study will become of greater importance over time. Including psychological well-being in a company or organisation's duty of care will have a profound effect.

In 2022 Safe Work Australia (Work Safe Australia, 2022) issued guidance on psychosocial hazards for enterprises and organisations following a high court ruling by Case M36/2021 in the Australian High Court (Employer's Non-Delegable Duty to Take Reasonable Steps to Protect an Employee From Psychiatric Harm Re-Examined: Zagi Kozarov v State of Victoria [2020] VSC 78) that made it clear that employers must take proactive and meaningful steps to care for the mental health and well-being of employees.

7.9.4 Strengths, weaknesses and limitations of the study

The strengths displayed in this study are unquestionably the issues and hurdles that a real-life case posed, particularly those that were unforeseen or expected, such as the resistance to use the capability or see it as different from competence. The value of observing the uptake of the concept of the capability framework ability to be supportive in personal growth and development for the full range of persons in positions throughout the organisation.

The greatest weakness of the study was that it could not apply the protection of a psychological well-being program in a real-life setting due to time, finances and the lack of a suitable organisation willing to partner in the research.

The evaluation of the case study was limited by the effects of the COVID-19 pandemic and allowing access to TSA personnel for a broader-ranging evaluation. It would have been possible to conduct the second evaluation, but time and circumstances precluded this. However, there will be a two-yearly review of Māhuri Totara to identify any corrections that need to be applied. However, the results will not be made available for this study.

7.10   Significance of the research

There are several significant outcomes from this research for each of the elements it contains, capability approach, emotional intelligence, susceptible organisations, and psychological well-being.

The significance of capability approach is that it has been demonstrated that a practical and usable system can be created, utilised and amended to meet the needs of any organisation.

Whilst the application of capability approach has morphed since its inception it is still true to the fundamental precepts . However, when the elements of emotional intelligence are mapped against traits and attributes in a capability framework, they can me use as a metric to measure and basis for personal growth and development within a role or position, regardless of the nature of the organisation. The term 'susceptible organisations' has been coined for this study and encompasses many organisations and industries. These organisations and industries are very diverse and cover a vast array of commercial and social functions and activities, but they all have a common thread – the potential to put persons at risk, in some form. The research has identified that little or no preparation is made for their personnel prior to engagement of deployment to protect their psychological well-being, but they are provided with competencies to perform their tasks and responsibilities.

Possibly the most significant finding is that organisations and charities are now being held to account for the damage they have caused to an individual's psychological well-being and pecuniary penalties are being applied by courts across the world and, in some cases, being ordered to provide some redress and support to the affected individuals. The notion of protection of a person's

psychological well-being will eventually become a mainstream duty of care element of occupational health and safety.

7.11   Recommendations for future research

This study revealed the emergent need for the protection of psychological well-being programs. Whilst this study provided the 'tools' to achieve this, a further study must be conducted to evaluate its actual value and practicality.

Based on the study's conclusions, the recommended action is to identify a 'susceptible' entity, institution or organisation that would partner in developing a program with their personnel.

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APPENDIX 1 - CIPP RESULTS AND DATA

A1 - Māhuri Tōtara will meet the needs of my team for the learning and development of employees and officers now and in the future.

Answer	Count	Percentage
Strongly disagree (A6)	0	0.00%
Disagree (A7)	0	0.00%
Unsure/Do not know (A8)	1	20.00%
Agree (A9)	3	60.00%
Strongly agree (A10)	1	20.00%
No answer	0	0.00%
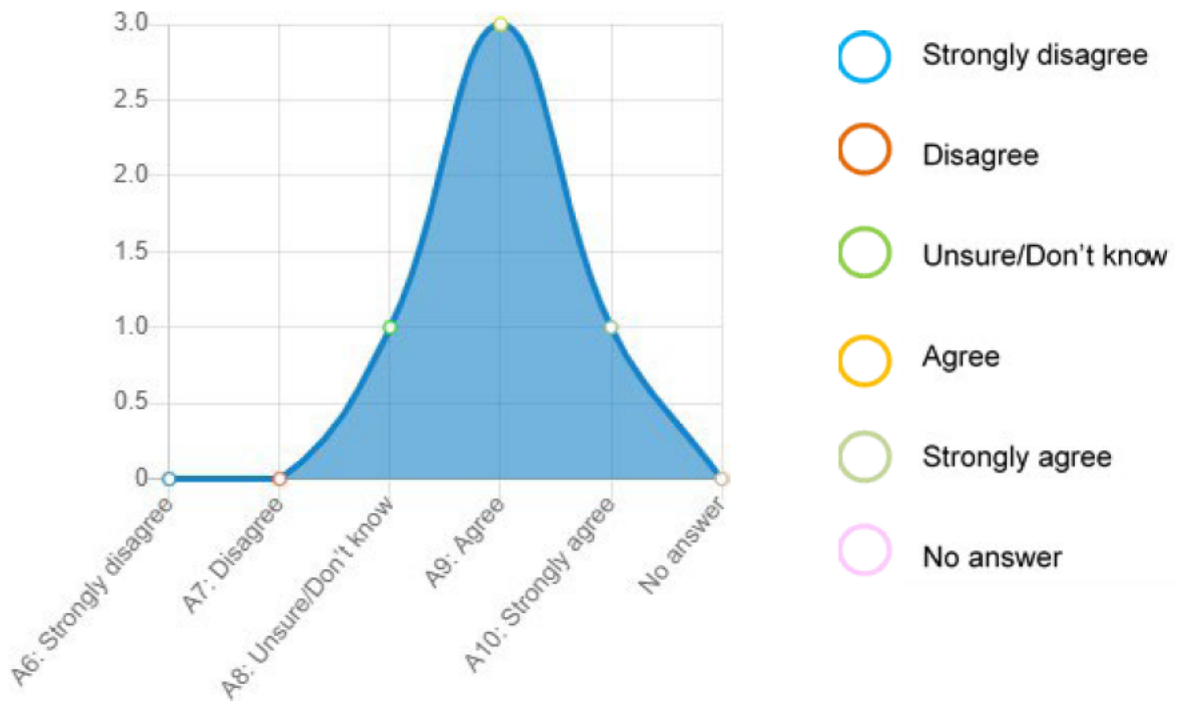
Summary for A2(SQ001)

A2 - Māhuri Tōtara is an effective tool for employees, officers and Managers to document development discussions/ objectives/outcomes.

Answer	Count	Percentage
Strongly disagree (A6)	0	0.00%
Disagree (A7)	0	0.00%
Unsure/Do not know (A8)	1	20.00%
Agree (A9)	2	40.00%
Strongly agree (A10)	2	40.00%
No answer	0	0.0

0
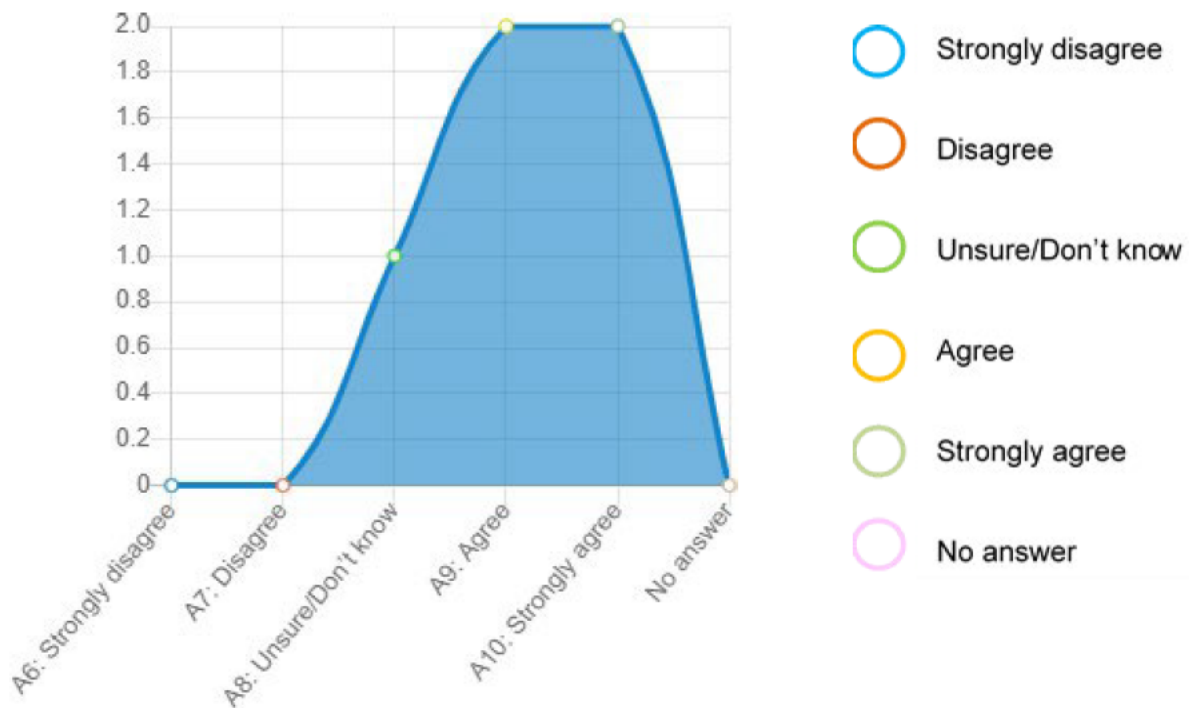
Summary for A3(SQ001)

A3 - Māhuri Tōtara will be an effective tool for career paths/ministry progression for employees and officers.

Answer	Count	Percentage
Strongly disagree (A6)	0	0.00%
Disagree (A7)	0	0.00%
Unsure/Do not know (A8)	0	0.00%
Agree (A9)	4	80.00%
Strongly agree (A10)	1	20.00%
No answer	0	0.00%
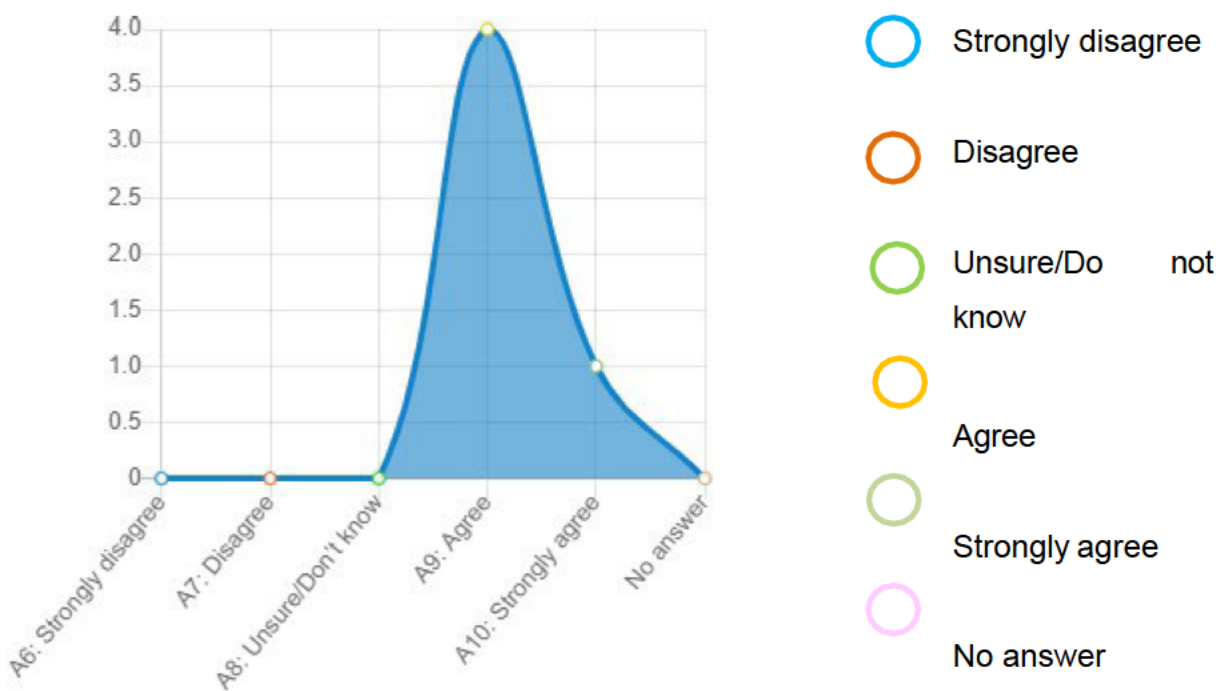
Summary for A4(SQ001)

A4 - Māhuri Tōtara will help retain employees/ officers?

Answer	Count	Percentage
Strongly disagree (A6)	0	0.00%
Disagree (A7)	0	0.00%
Unser/Do not know (A8)	2	40.00%
Agree (A9)	2	40.00%
Strongly agree (A10)	1	20.00%
No answer	0	0.00%
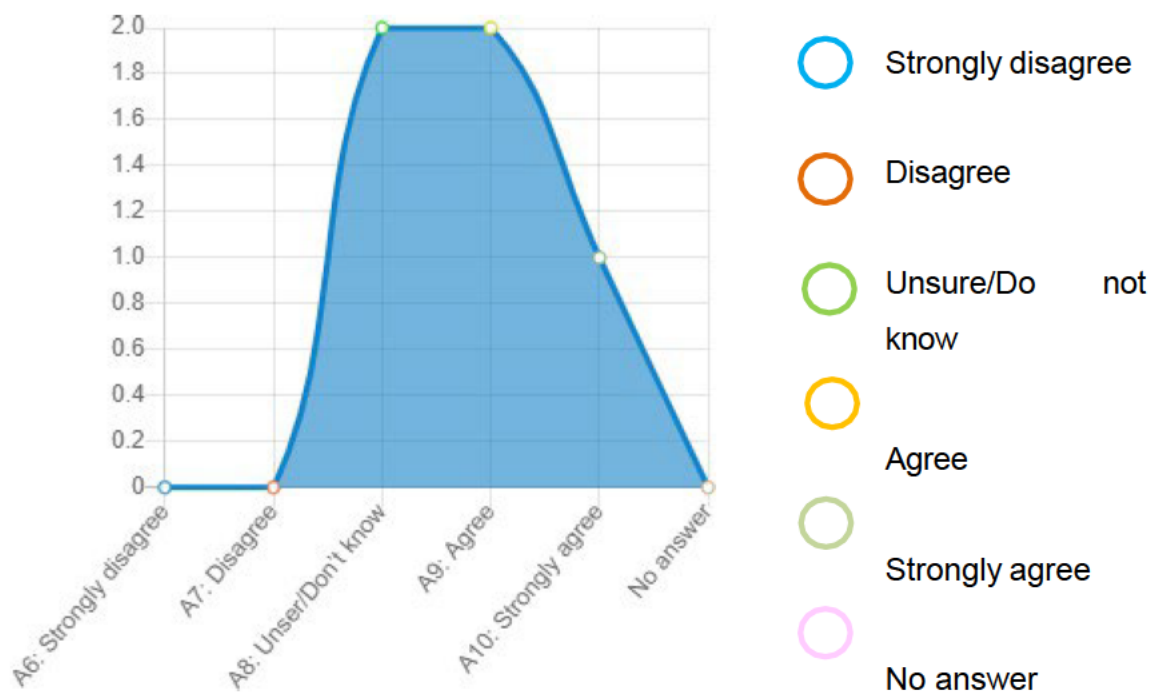
Summary for A4.1

A4.1 - If you Disagree or Strongly Disagree, please provide suggestions for improvement.

Answer	Count	Percentage
Answer	0	0.00%
No answer	5	100.00%

Summary for A5(SQ001)

A5 - Managers will perceive Māhuri Tōtara as an unnecessary burden.

Answer	Count	Percentage
Strongly agree (A2)	0	0.00%
Agree (A3)	2	40.00%
Unsure/Do not know (A4)	1	20.00%
Disagree (A5)	2	40.00%
Strongly disagree (A6)	0	0.00%
No answer	0	0.00%
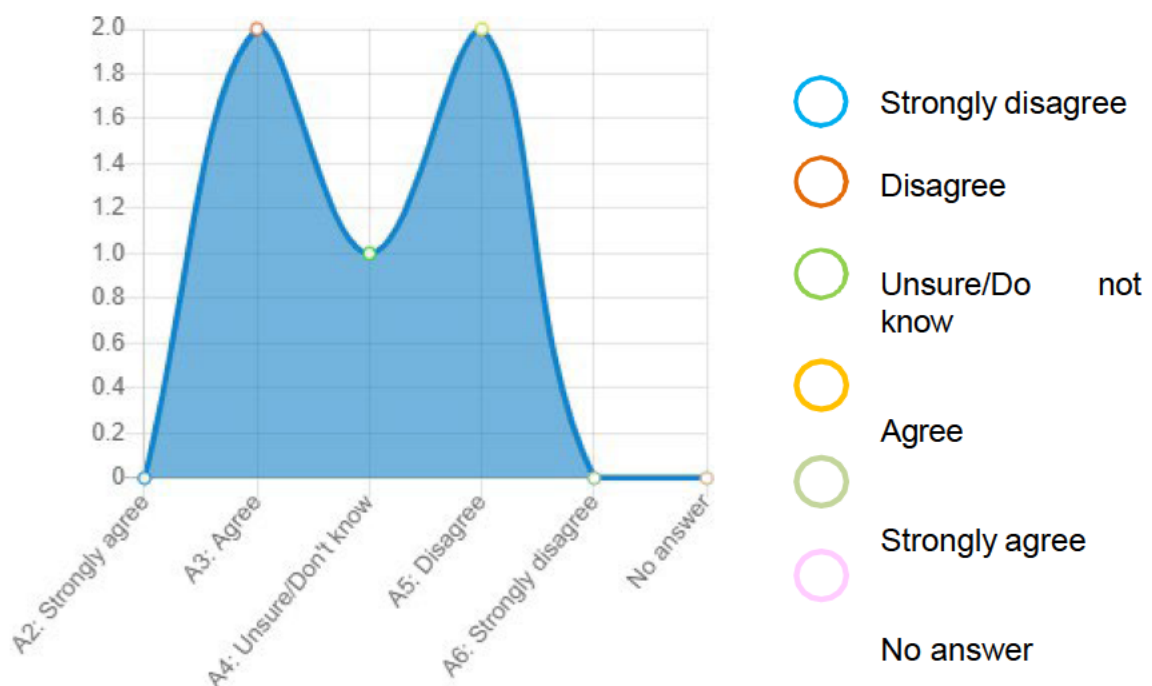
Summary for A5.1

Answer	Count	Percentage
Answer	2	40.00%
No answer	3	60.00%

ID	Response
3	There could be a reluctance to add a required documentation system for keeping information on each employee. If presented and explained well, and training is sufficient for Managers to understand the desired outcome of assisting staff development, then once the initial adjustment is made to another new process, hopefully, a greater acceptance will arise, but it will take time for its value to be proven.
4	Improve the tool so that it is smooth. Managers may need other PD to support them in using Mahuri Totara for their benefit and that of their staff.

No simple graph for this question type

Summary for A6(SQ001)

A6 - Māhuri Tōtara will meet the future needs of the TSA over the next 5~15 years?

Answer	Count	Percentage
Strongly disagree (A6)	0	0.00%
Disagree (A7)	0	0.00%
Unsure/Do not know (A8)	3	60.00%
Agree (A9)	1	20.00%
Strongly agree (A10)	1	20.00%
No answer	0	0.00%
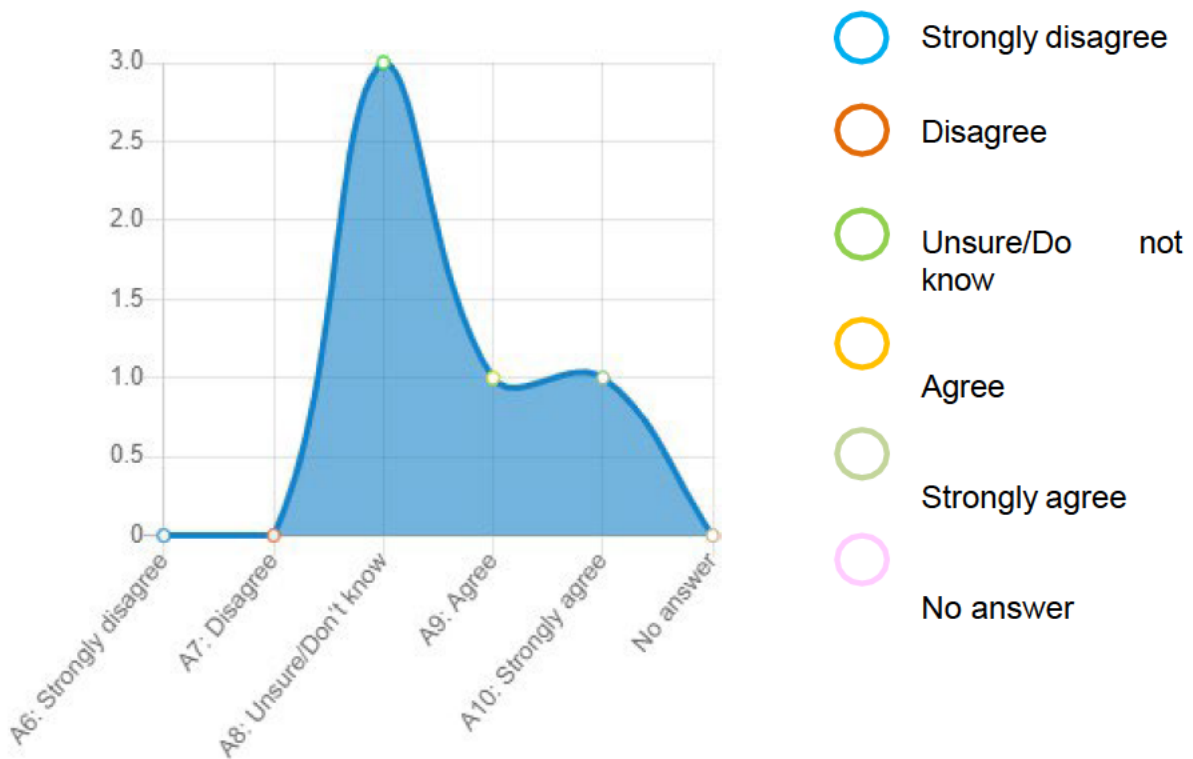
Summary for A6.1

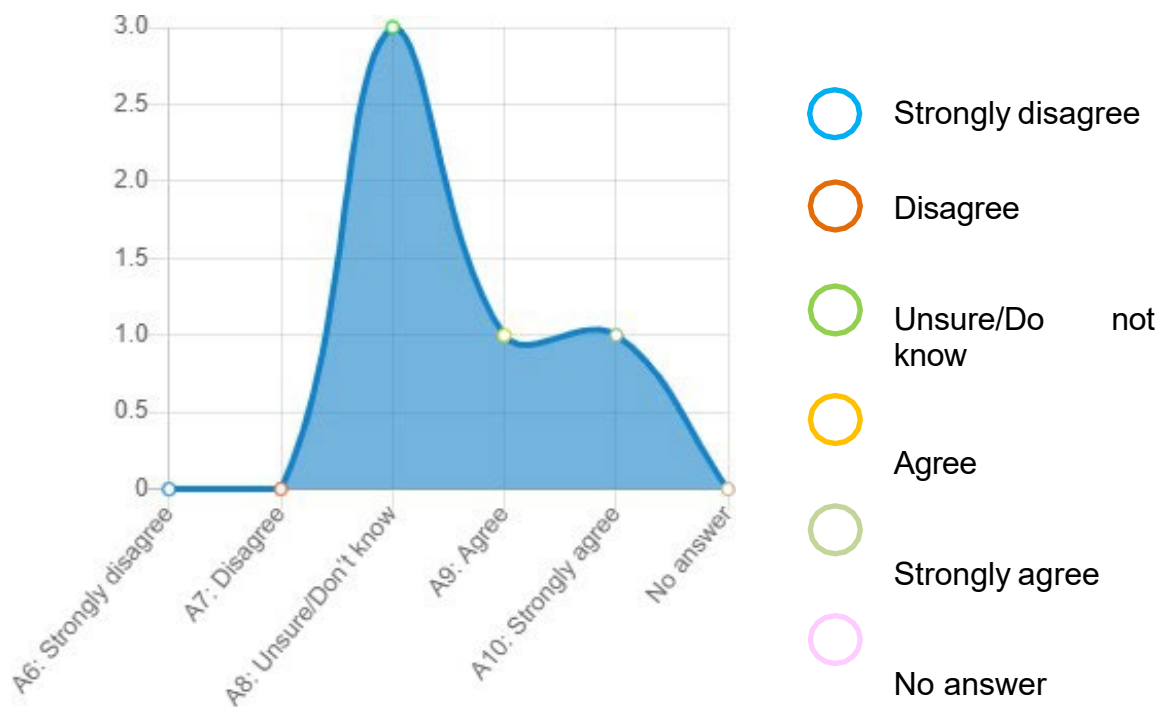A6.1 - If you Disagree or Strongly Disagree, please provide reasons and/or make suggestions for improvement.

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Answer	Count	Percentage
Answer	0	0.00%
No answer	5	100.00%

No simple graph for this question type

Summary for A7(SQ001)

A7 - It is vital for Volunteers to have a Capability Profile and access to the Capability Management System

Answer	Count	Percentage
Strongly disagree (A6)	0	0.00%
Disagree (A7)	0	0.00%
Unsure/Do not know (A8)	3	60.00%
Agree (A9)	1	20.00%
Strongly agree (A10)	1	20.00%
No answer	0	0.00%

- Strongly disagree
- Disagree
- Unsure/Do not know
- Agree
- Strongly agree
- No answer

Summary for B1(SQ001)

B1 - From 2022, there will be a cost of $50 per person per annum for access to the CMS; this is an acceptable financial cost.

Answer	Count	Percentage
Strongly disagree (A6)	0	0.00%
Disagree (A7)	2	50.00%
Unsure/Do not know (A8)	0	0.00%
Agree (A9)	1	25.00%
Strongly agree (A10)	1	25.00%
No answer	0	0.00%

Summary for B1.1

B1.1 - If you Disagree or Strongly Disagree, please provide suggestions for improvement.

Answer	Count	Percentage
Answer	2	50.00%
No answer	2	50.00%

ID	Response
3	I had heard that the cost was going to be $75. The current system of Managers interviewing staff for annual reviews has yet to cost them anything, so there is likely to be resistance to using this system if it will increase a corps'/centre's costing, in some cases by thousands annually, beyond their budget capabilities.
4	The investment will be wasted if staff and Managers have not had adequate training and the tool is not as clunky as it currently is.

No simple graph for this question type

Summary for B2

B2 - I will be appointing someone from my section to be trained to be a Capability Management System Administrator (superuser)

Answer	Count	Percentage
Yes (A1)	1	25.00%
No (A2)	1	25.00%
Unsure /Do not know (A3)	2	50.00%
Comments	3	75.00%
No answer	0	0.00%

ID	Response
3	If this is required, it must be noted as a variation of employment and adjusted in job descriptions. Time will need to be allocated for this person to complete training and ongoing tasks of maintenance. Existing staff may have little time available as they are already stretched.
4	Our Centre cannot afford for a staff member to be given this responsibility. Ideally, it would be helpful for a superuser to be onsite, as we have about 45 staff and 20 volunteers across our Centre, excluding the Bridge Program
6	I would like to have someone to assist, but I need someone right now who could be appointed for this task.
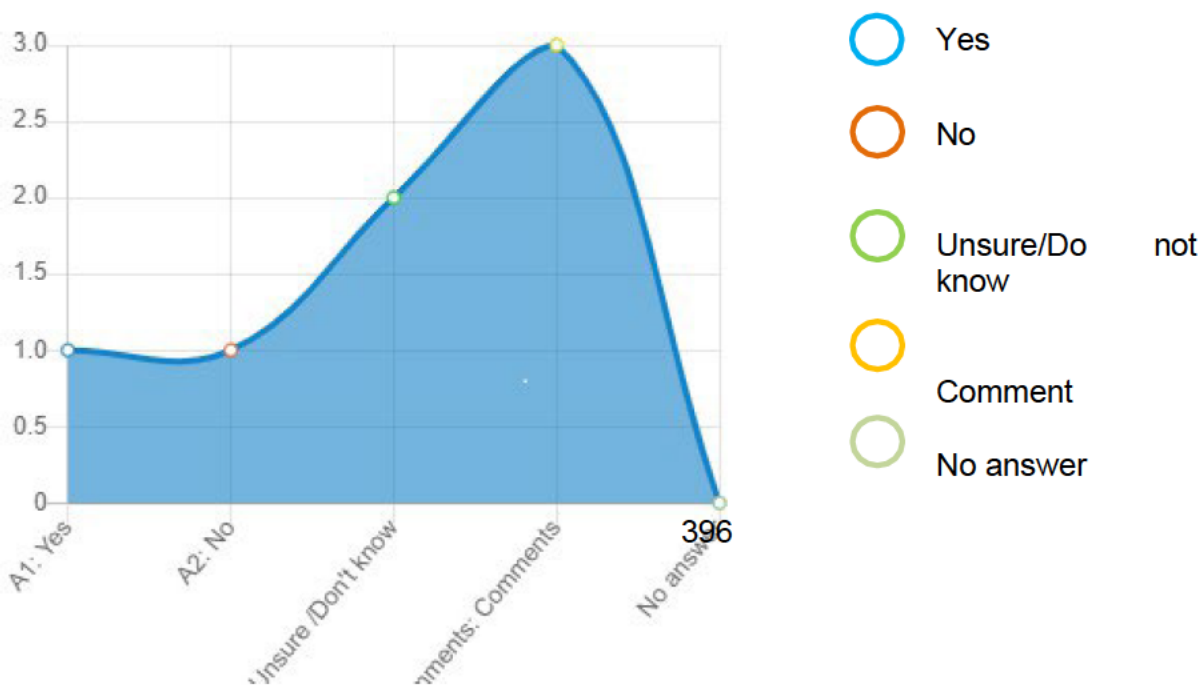
Summary for B3

B3 - Does the current Capabilities and Occupational Competencies rangeadequately cover my team's needs?

Answer	Count	Percentage
Yes (A1)	2	50.00%
No (A2)	0	0.00%
Unsure/Do not know (A3)	2	50.00%
Comments	1	25.00%
No answer	0	0.00%

ID	Response
4	This is quite comprehensive. I do worry about the paucity of competencies related to Tikanga and Te Ao Maori and inclusivity
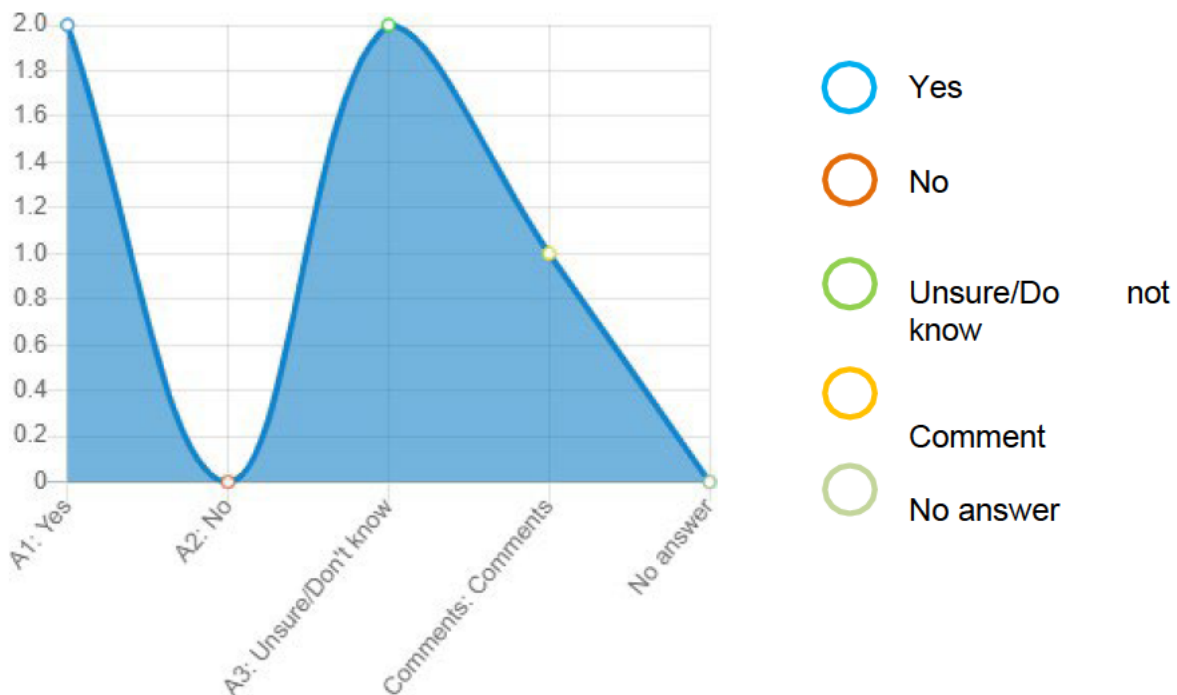
Summary for B4

B4 - Are you aware of any external bodies your team is engaged with that have capability or competence requirements (i.e. Te Pou - Let's Get Real)?

Answer	Count	Percentage
My team USES external body competencies/capabilities/qualifications (A1)	2	50.00%
My team DOES NOT use external body competencies/capabilities/qualifications (A2)	2	50.00%
Comments	1	25.00%
No answer	0	0.00%

ID	Response
4	Social Work Registration, Teacher Council Registration

No simple graph for this question type

Summary for B5(SQ005)

B5 - The Capability Management System (CMS) is a 'one-stop shop' for the employees and officers to identify learning and developmentneeds

Answer	Count	Percentage
Strongly disagree (A6)	0	0.00%
Disagree (A7)	2	50.00%
Unsure/Do not know (A8)	0	0.00%
Agree (A9)	1	25.00%
Strongly agree (A10)	1	25.00%
No answer	0	0.00%
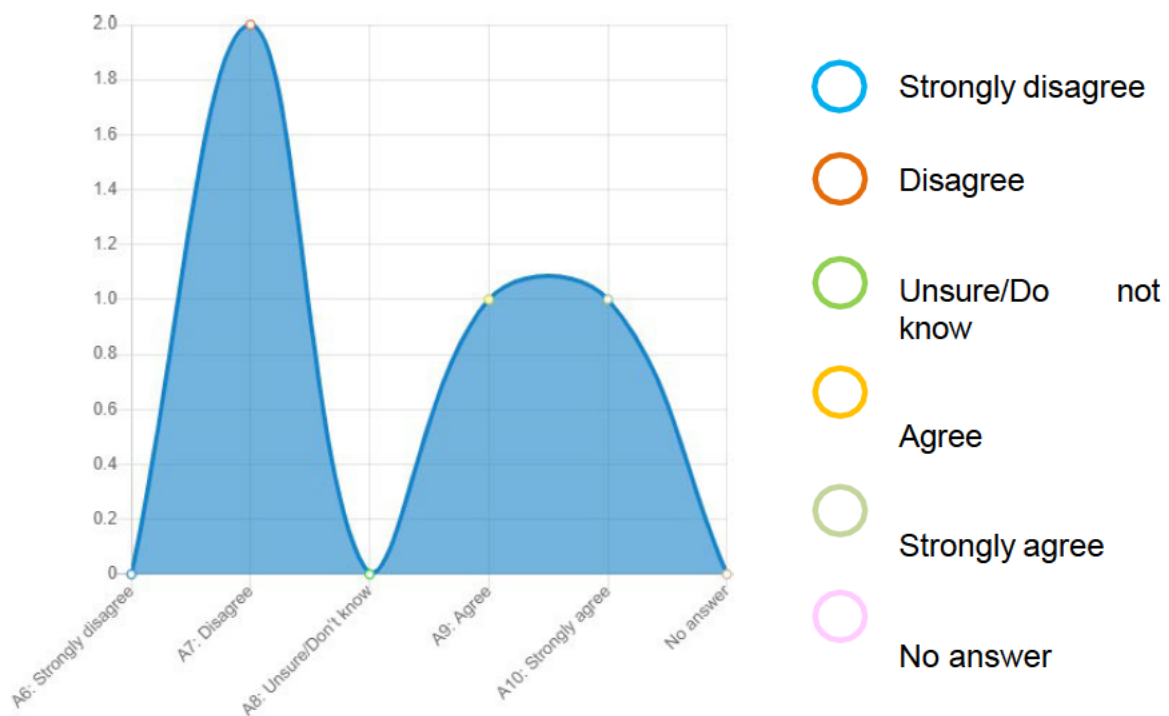
Summary for B6(SQ001)

B6 - The CMS is sufficiently comprehensive to meet my team's needs and requirements

Answer	Count	Percentage
Strongly disagree (A6)	0	0.00%
Disagree (A7)	0	0.00%
Unsure/Do not know (A8)	2	50.00%
Agree (A9)	2	50.00%
Strongly agree (A10)	0	0.00%
No answer	0	0.00%
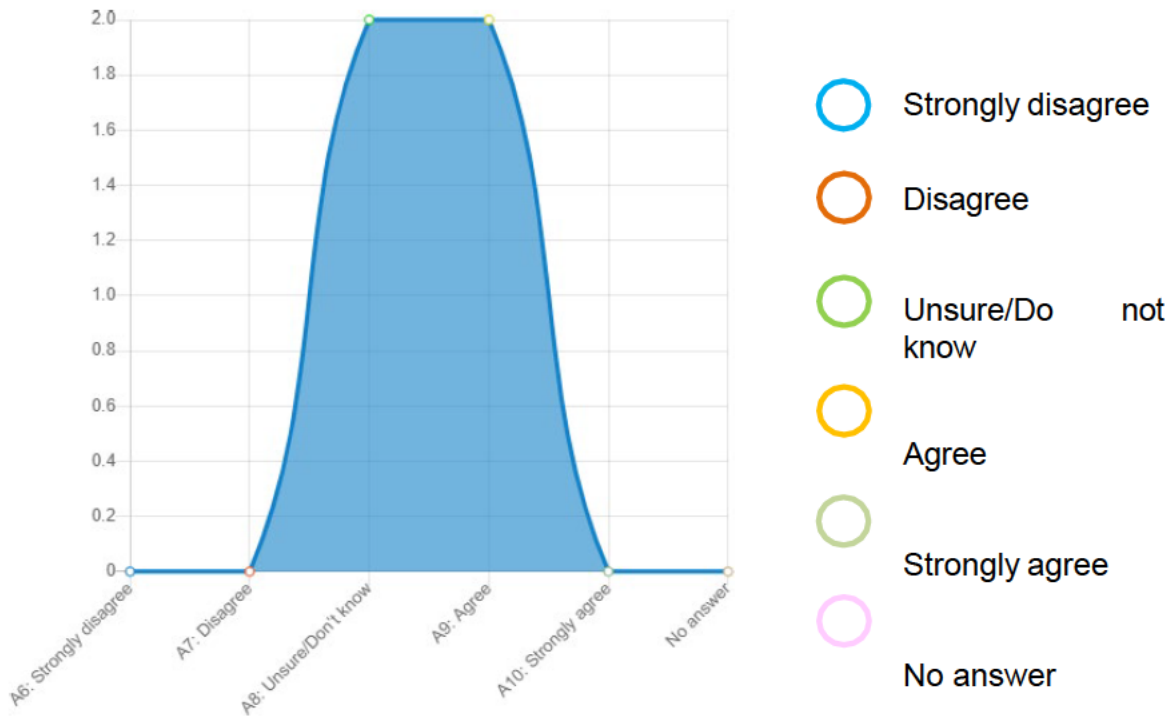
Summary for B6.1

B6.1 - If you Disagree or Strongly Disagree, please provide suggestions for improvement

Answer	Count	Percentage
Answer	1	25.00%
No answer	3	75.00%

ID	Response	
3	Many will still look elsewhere for learning and development needs.	

No simple graph for this question type

B7 - The training provided for Māhuri Tōtara and the CMS was sufficient for my team and my Managers

Answer	Count	Percentage
Strongly disagree (A6)	0	0.00%
Disagree (A7)	1	25.00%
Unsure/Do not know (A8)	0	0.00%
Agree (A9)	2	50.00%
Strongly agree (A10)	1	25.00%
No answer	0	0.00%

No simple graph for this question type

Summary for B7.1

B7.1 - If you Disagree or Strongly Disagree, please provide suggestions for improvement

Answer	Count	Percentage
Answer	1	25.00%
No answer	3	75.00%

ID	Response
3	There needed to be more clarity on the interview day and difficulty getting access.
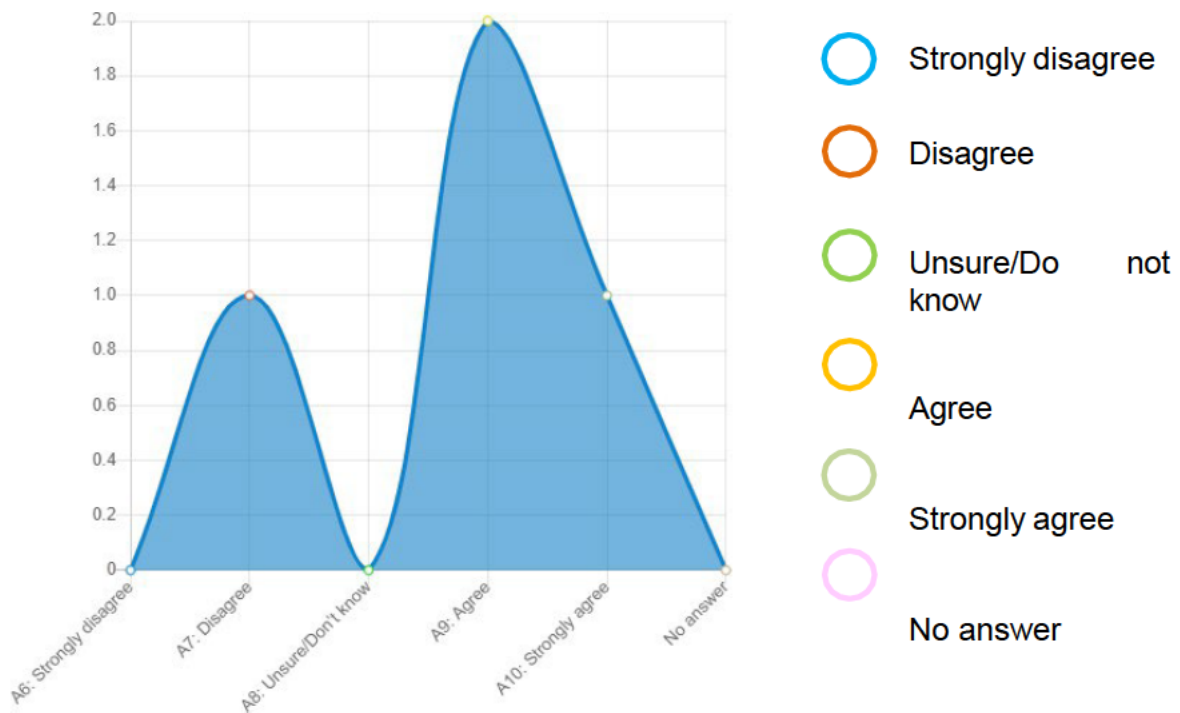
Summary for B8(SQ006)

B8 - Employees and officers will be eager to use Māhuri Tōtara

Answer	Count	Percentage
Strongly disagree (A6)	0	0.00%
Disagree (A7)	2	50.00%
Unsure/Do not know (A8)	0	0.00%
Agree (A9)	1	25.00%
Strongly agree (A10)	1	25.00%
No answer	0	0.00%

Summary for B8.1

B8.1 - If you Disagree or Strongly Disagree, please provide reasons and/or make suggestions for improvement

Answer	Count	Percentage
Answer	2	50.00%
No answer	2	50.00%

ID	Response
3	Unless there is adequate pre-explanation of the goals for using this program and information shared for the benefits foreseen for its long-running usage, there could be strong resistance to learning yet another new system which requires skill to use an unfamiliar computer program.
4	It needs to have the proper comms behind it to achieve this.

No simple graph for this question type

Summary for B9

B9 - I understand the function/role of the People Capability Framework - Oversight and Review Committee.

Answer	Count	Percentage
Yes (A1)	3	75.00%
No (A2)	1	25.00%
Unsure/Do not know (A3)	0	0.00%
Comments	0	0.00%
No answer	0	0.00%

○ Strongly disagree

○ Disagree

○ Unsure/Do not know

○ Agree

○ Strongly agree
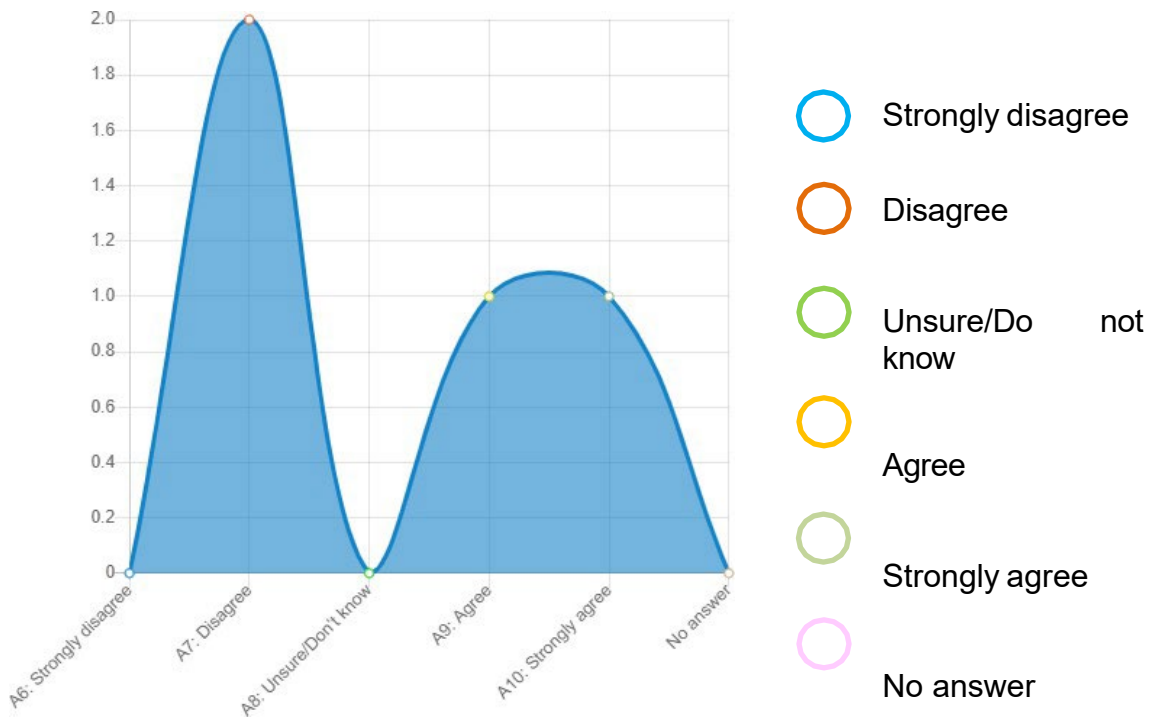
○ No answer

Summary for C1(SQ001)

C1 - Māhuri Tōtara processes, including CMS software, are easy to follow and understand.

Answer	Count	Percentage
Strongly disagree (A1)	0	0.00%
Disagree (A2)	2	50.00%
Unsure/Do not know (A3)	0	0.00%
Agree (A4)	0	0.00%
Strongly agree (A5)	2	50.00%
No answer	0	0.00%
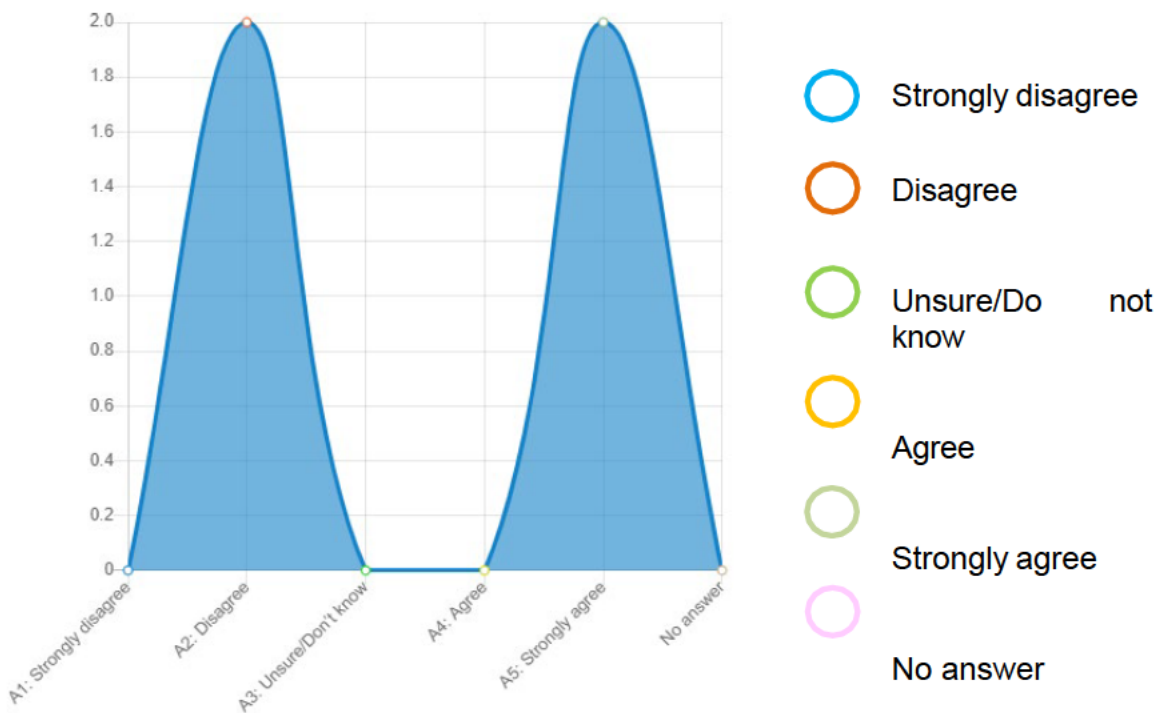
Summary for C1.1

C1.1 - If you Disagree or Strongly Disagree, please provide reasons and/or make suggestions for improvement

Answer	Count	Percentage
Answer	2	50.00%
No answer	2	50.00%

ID	Response
Three	will take a significant quantity of personal training required for some individuals. Others will adjust to it well. Some centres need easy access to computers for all staff.
4	I need to use it more often to become familiar with its use. It was not easy to follow and understand

No simple graph for this question type

Summary for C2(SQ001)

C2 - A 2-year review cycle of Māhuri Tōtara procedures and processes is a good frequency

Answer	Count	Percentage
Strongly disagree (A1)	0	0.00%
Disagree (A2)	0	0.00%
Unsure/Do not know (A3)	0	0.00%
Agree (A4)	4	100.00%
Strongly agree (A5)	0	0.00%
No answer	0	0.00%
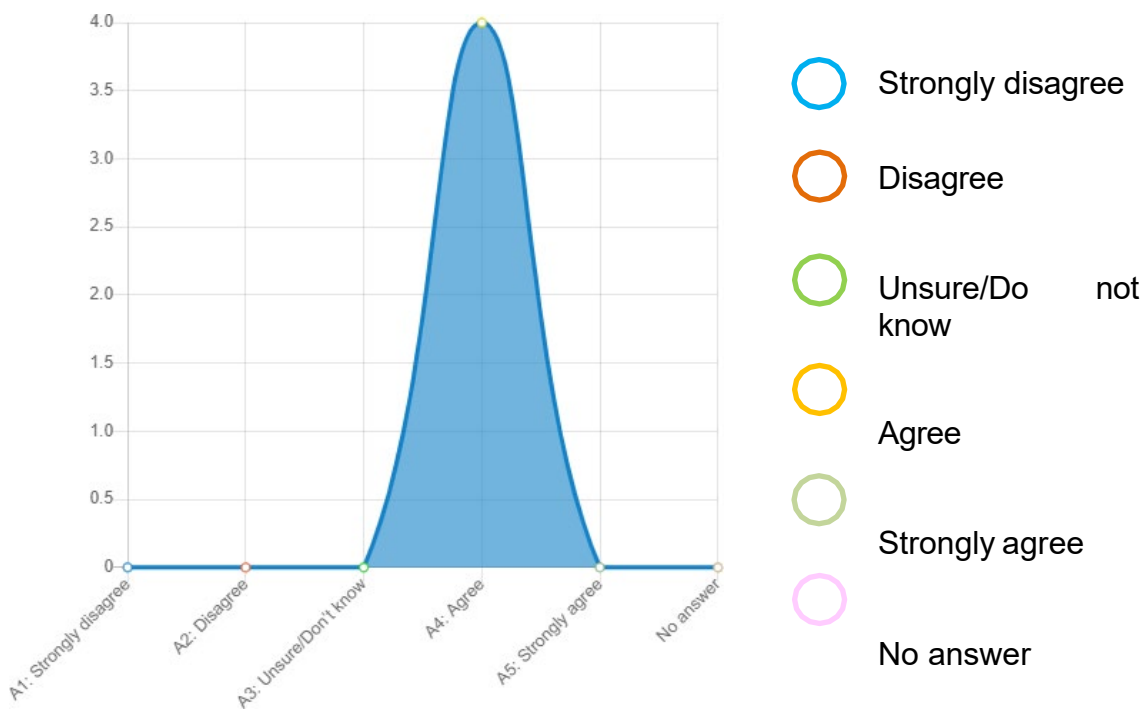
Summary for C2.1

C2.1 - If you Disagree or Strongly Disagree, please provide reasons and/or make suggestions for an appropriate review cycle

Answer	Count	Percentage
Answer	1	25.00%
No answer	3	75.00%

ID	Response
6	The first year should be reviewed at the end of this first period and then two yearly from there.

No simple graph for this question type

Summary for C3

C3 - The training provided for 'Development Conversations for Managers' was helpful.

Answer	Count	Percentage
Yes (A2)	4	100.00%
No (A3)	0	0.00%
Unsure/Do not know (A4)	0	0.00%
Comments	0	0.00%
No answer	0	0.00%
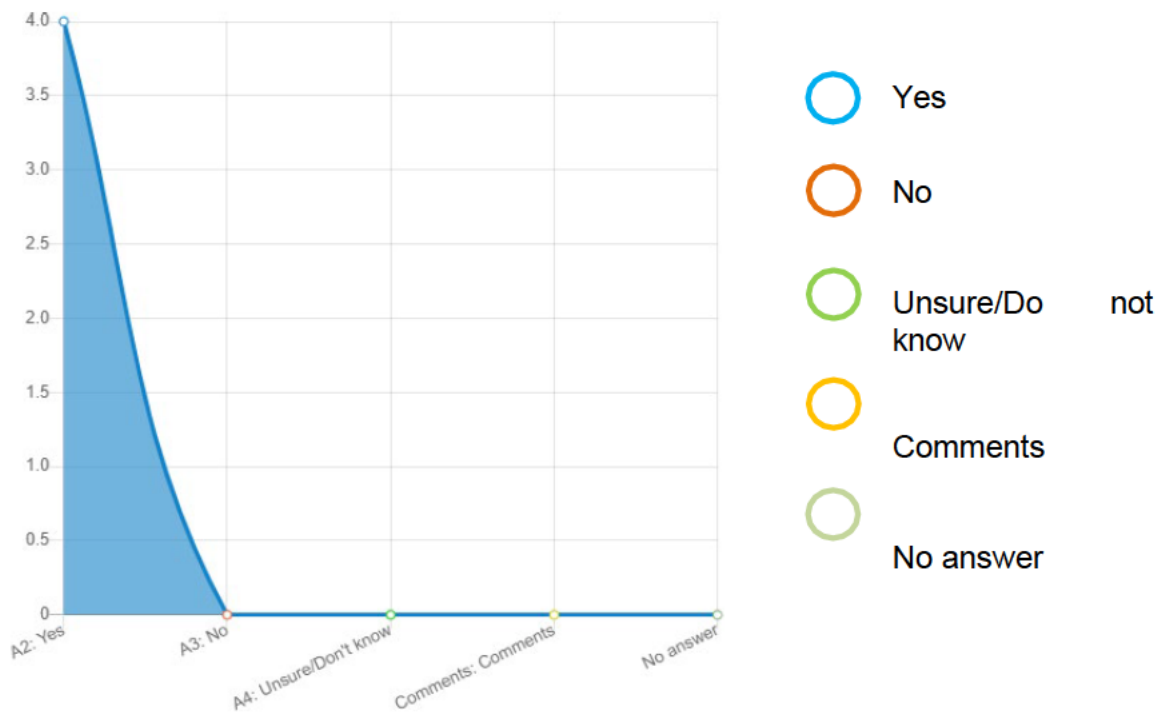
Summary for C3.1

C3.1 - If your response to the previous question was 'No', please provide suggestion/s that would make it better.

Answer	Count	Percentage
Answer	0	0.00%
No answer	4	100.00%

No simple graph for this question type

C4 - 'Introduction to Māhuri Tōtara/CMS' should be an element of the TSA new hire induction process.

Answer	Count	Percentage
Yes (A1)	4	100.00%
No (A2)	0	0.00%
Unsure/Do not know (A3)	0	0.00%

Yes

No

Unsure/Do   not know

Comments
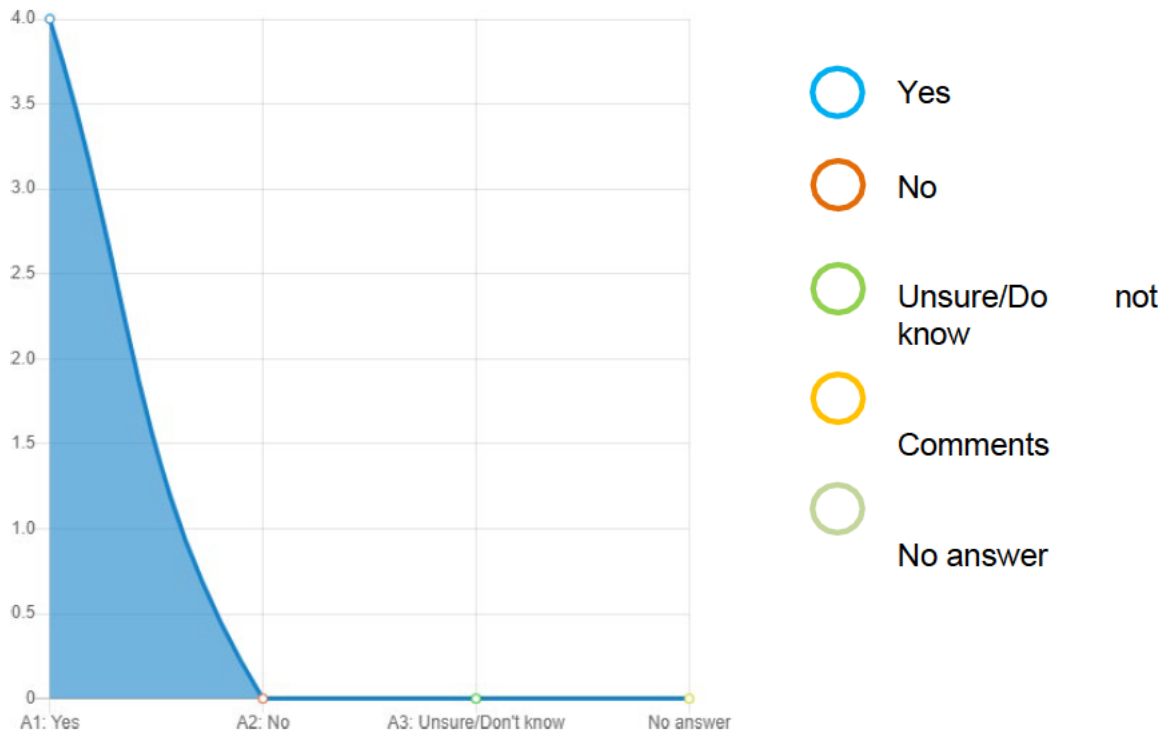
No answer

Summary for C5(SQ001)

C5 - 'Development Conversations for Managers' should be an element of the new hire induction/training process.

Answer	Count	Percentage
Yes (A1)	4	100.00%
No (A2)	0	0.00%
Unsure/Do not know (A3)	0	0.00%

○ Yes

○ No

○ Unsure/Do   not
know

○
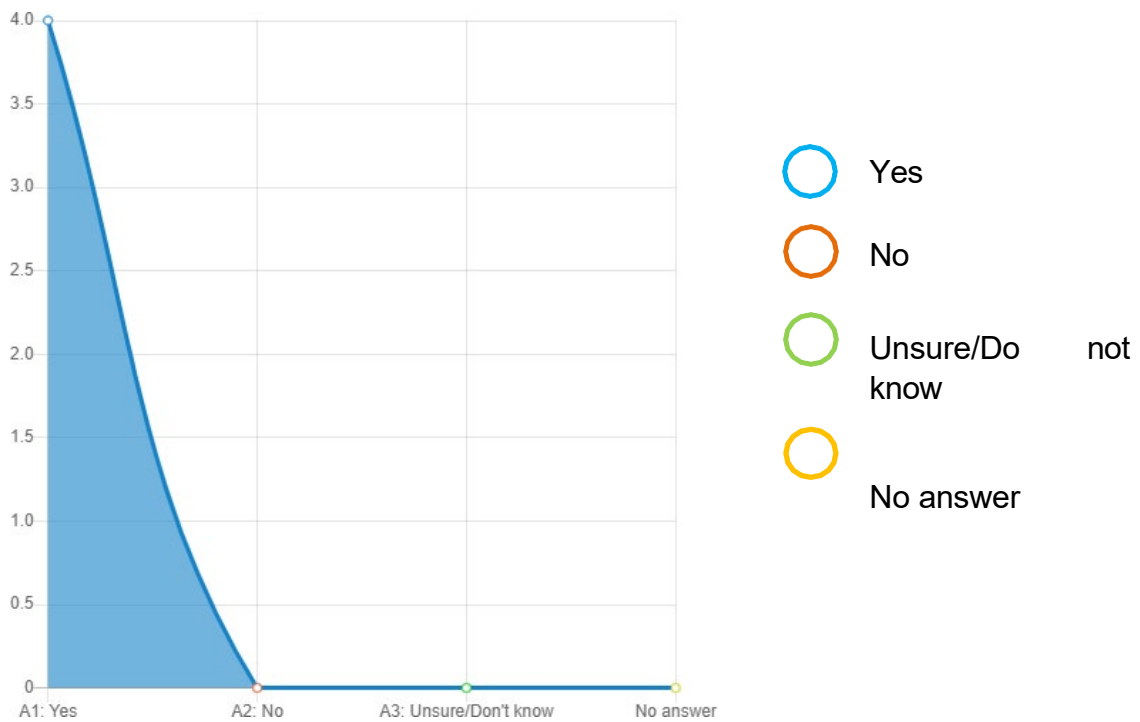
No answer

Summary for D1(SQ006)

D1 - The structure of Māhuri Tōtara is straightforward and easy to follow.

Answer	Count	Percentage
Strongly disagree (A1)	0	0.00%
Disagree (A2)	1	25.00%
Unsure/Do not know (A3)	0	0.00%
Agree (A4)	1	25.00%
Strongly agree (A5)	2	50.00%
No answer	0	0.00%

○ Strongly disagree

○ Disagree

○ Unsure/Do not know

○ Agree

○ Strongly agree
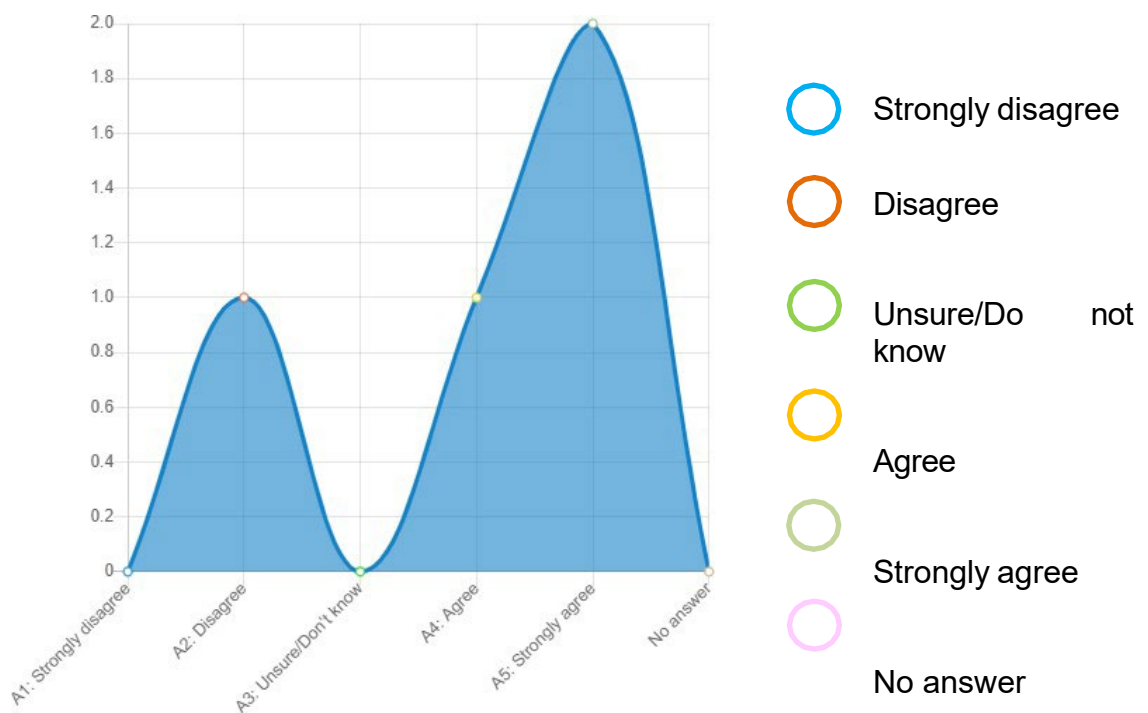
○ No answer

Summary for D2(SQ002)

D2 - The CMS is a useful, user-friendly tool?

Answer	Count	Percentage
Strongly disagree (A6)	0	0.00%
Disagree (A7)	2	50.00%
Unsure/Do not know (A8)	0	0.00%
Agree (A9)	0	0.00%
Strongly agree (A10)	2	50.00%
No answer	0	0.00%
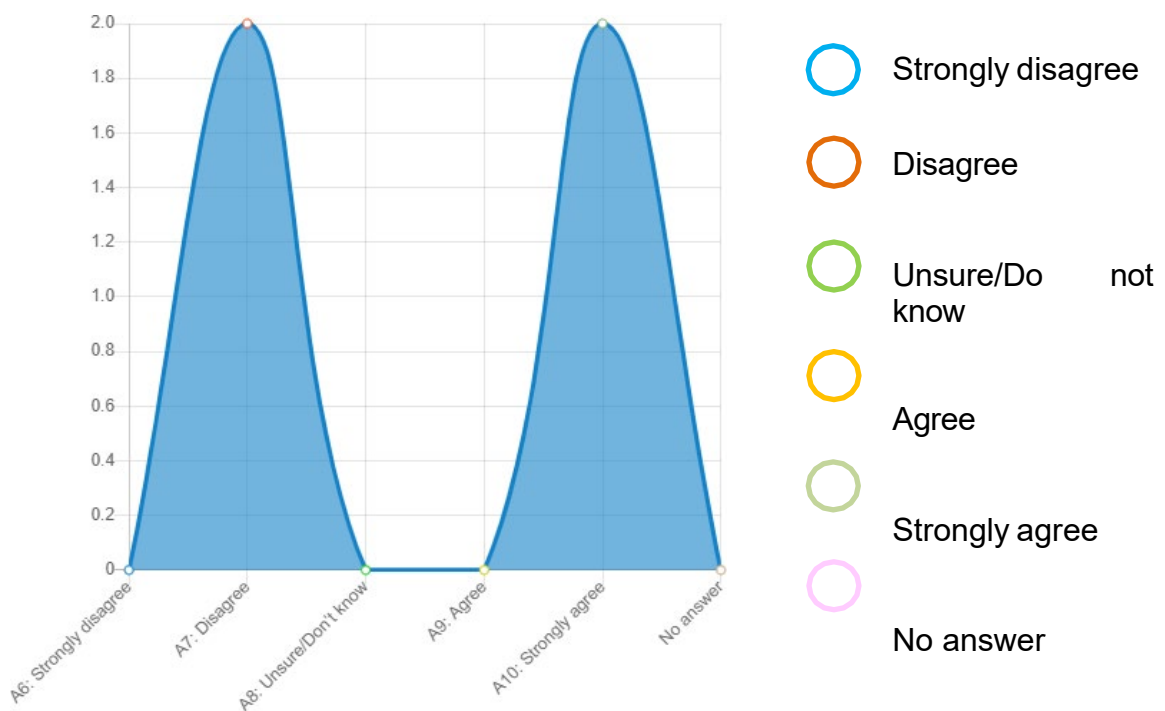
Summary for D3(SQ002)

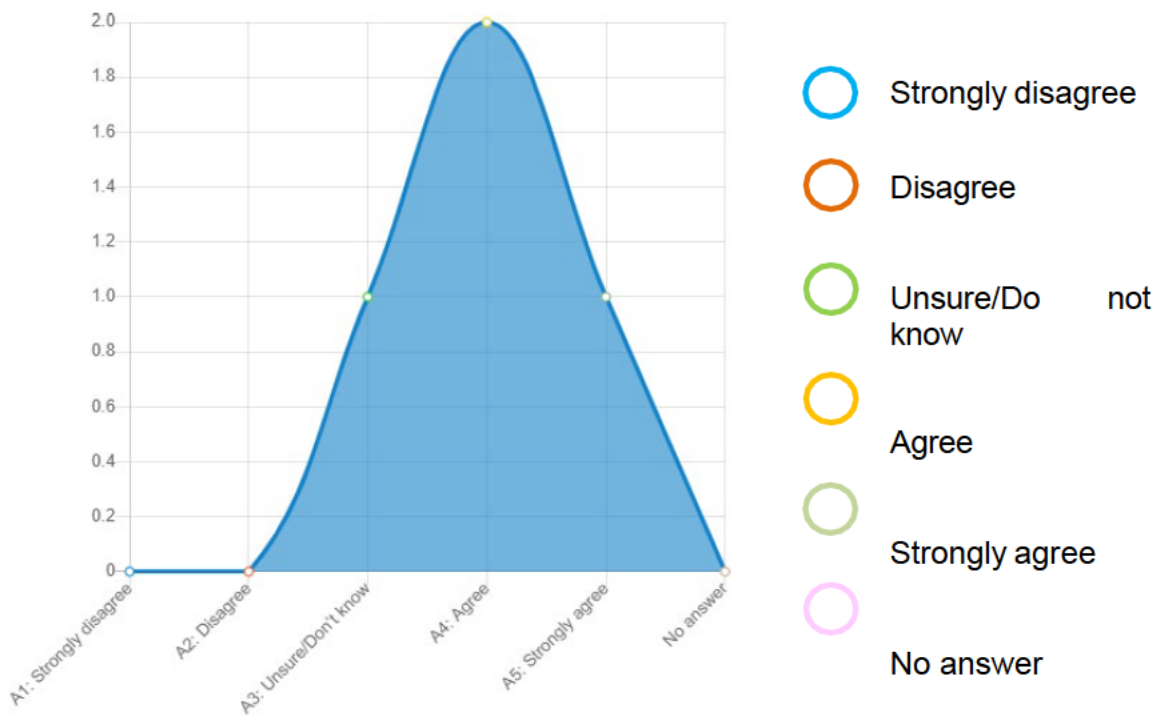D3 - CMS 'Journal' is sufficient for formalising/recording an employee/ officer/manager's expectations for learning and development?

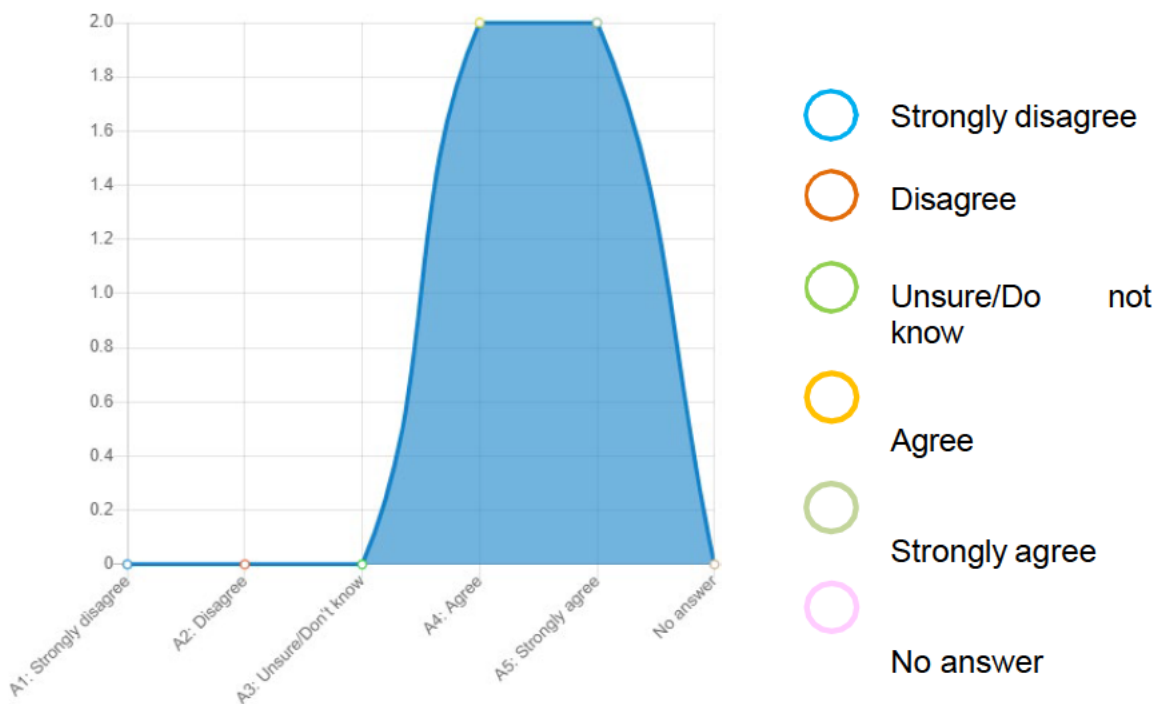| Answer	Count	Percentage
Strongly disagree (A1)	0	0.00%
Disagree (A2)	0	0.00%
Unsure/Do not know (A3)	2	50.00%
Agree (A4)	1	25.00%
Strongly agree (A5)	1	25.00%
No answer	0	0.00%
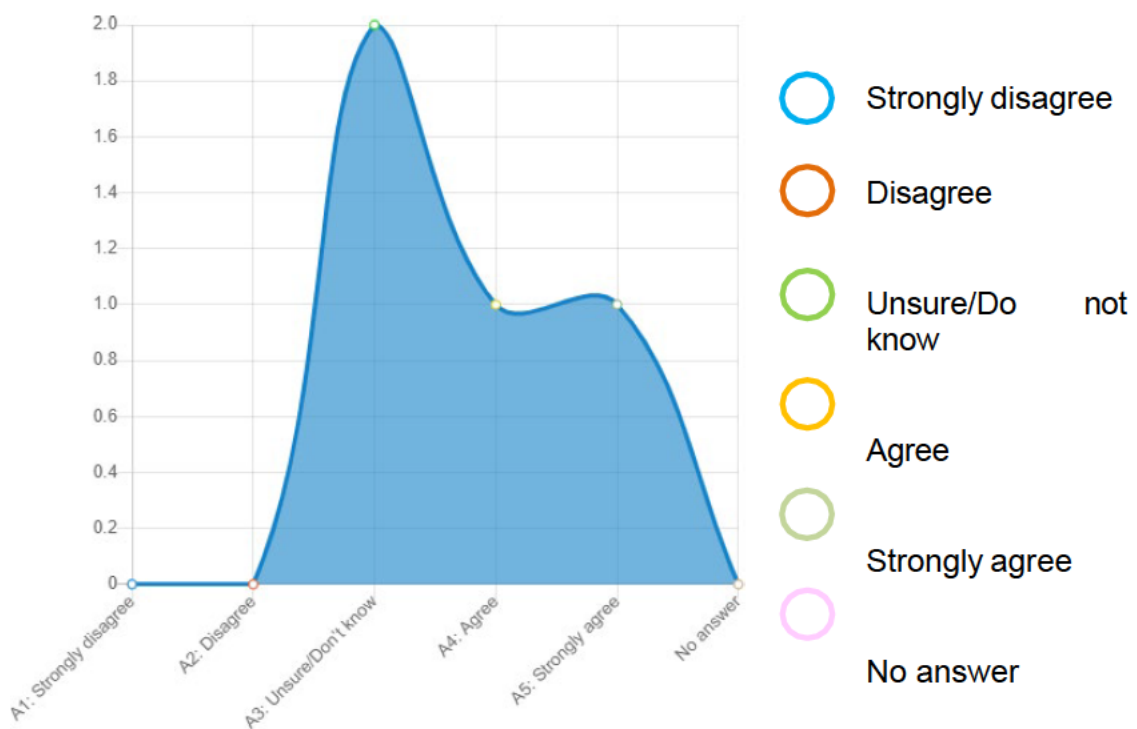
Summary for D4(SQ002)

D4 - Dashboard/Capability Profile is sufficient for formalising/recording an employee/ officer/manager's expectations for learning anddevelopment?

Answer	Count	Percentage
Strongly disagree (A1)	0	0.00%
Disagree (A2)	0	0.00%
Unsure/Do not know (A3)	1	25.00%
Agree (A4)	2	50.00%
Strongly agree (A5)	1	25.00%
No answer	0	0.00%

Summary for D5(SQ002)

D5 - Development Plan is sufficient for formalising/recording an employee/ officer/manager's expectations for learning and development?
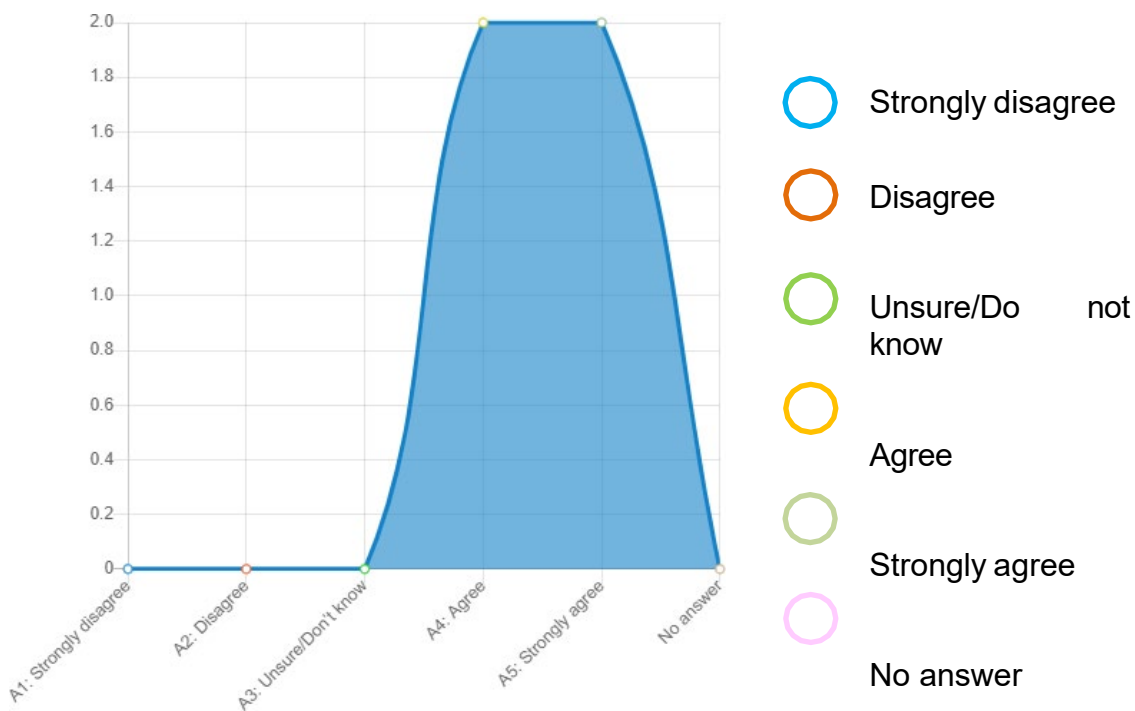
Answer	Count	Percentage
Strongly disagree (A1)	0	0.00%
Disagree (A2)	0	0.00%
Unsure/Do not know (A3)	0	0.00%
Agree (A4)	2	50.00%
Strongly agree (A5)	2	50.00%
No answer	0	0.00%

Summary for D6(SQ001)

D6 - Is Capability Assessment sufficient for formalising/recording an employee/ officer/manager's expectations for learning and development?

Answer	Count	Percentage
Strongly disagree (A1)	0	0.00%
Disagree (A2)	0	0.00%
Unsure/Do not know (A3)	0	0.00%
Agree (A4)	2	50.00%
Strongly agree (A5)	2	50.00%
No answer	0	0.00%

- ⭕ Strongly disagree
- ⭕ Disagree
- ⭕ Unsure/Do not know
- ⭕ Agree
- ⭕ Strongly agree
- ⭕ No answer

D7 - Please provide any thoughts you may have for improving Māhuri Tōtara

Answer	Count	Percentage
Answer	2	50.00%
No answer	2	50.00%

ID	Response
3	Each statement of agreement above would also depend on the relationship between the manager and the employee in each situation.
4	My responses would have been more optimistic about using and engaging with the Mahuri Totara tool. It is not easy to agree with some statements regarding this tool when I have only used it with two staff.

No simple graph for this question type

Summary for D8

D8 - Please provide any thoughts you may have for improving the Capability Management
System

Answer	Count	Percentage
Answer	1	25.00%
No answer	3	75.00%

ID	Response
3	Training, training, training, n the value of using this tool well.

No simple graph for this
question type

Section	Title	No: Questions
Section A	Purpose Process and Procedures (Context, Input, Process)	21
Section B	Development Conversation with Your Manager (Product)	5
Section C	Your Dashboard (Product)	8

Table 0-1 - Question sections - end users

Statistics – End Users

The following are the responses to the survey 788112 'Māhuri Tōtara - Post Pilot Program Survey - End Users.

Response summary	
Full responses	9
Incomplete responses	0
Total responses	9
Survey participant summary	
Total invitations sent	26
Total with no unique token	0
Total surveys completed	9
Total records	26
Participant Responsiveness	
Number of records in this query	9
Total records in the survey	9
Percentage of a total of completed surveys	100%

Summary for A1(SQ001)

A1. Māhuri Tōtara will be a benefit to me with my career/ progression, plans and development with TSA

Answer	Count	Percentage
Strongly disagree (A1)	0	0.00%
Disagree (A2)	1	11.11%
Unsure/Do not know (A3)	1	11.11%
Agree (A4)	6	66.67%
Strongly agree (A5)	1	11.11%
No answer	0	0.00%

○ Strongly disagree

○ Disagree

○ Unsure/Do   not know

○ Agree

○ Strongly agree
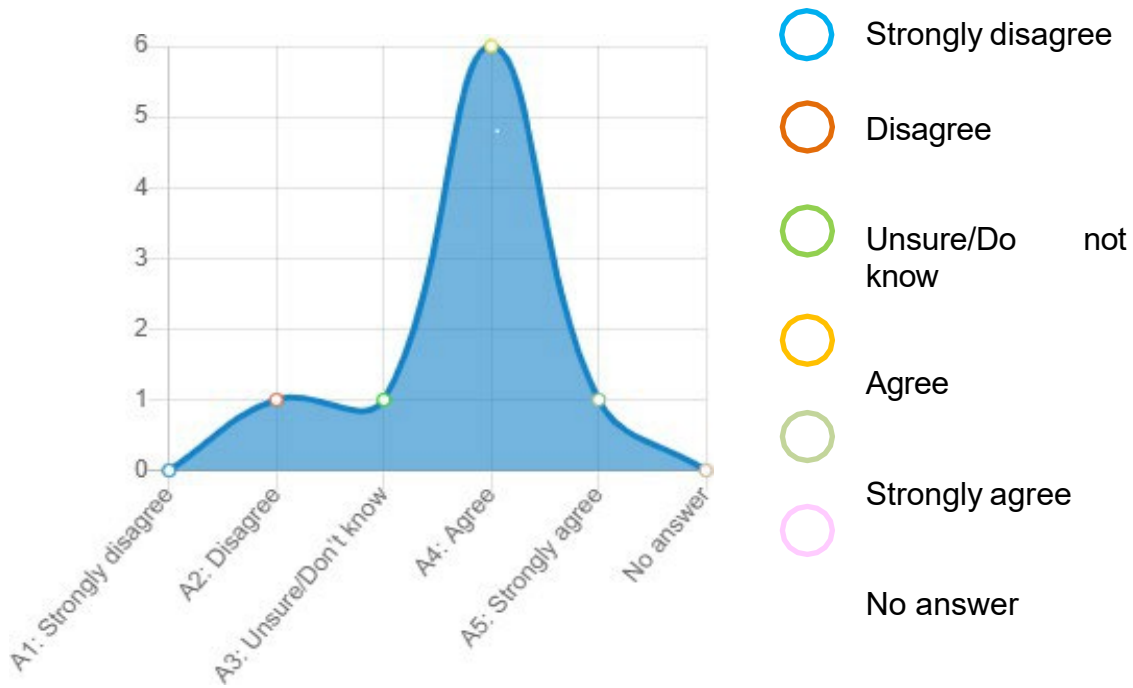
No answer

Summary for A2(SQ001)

A2. Māhuri Tōtara will be a benefit to others with their career/ progression, future plans and development with TSA

Answer	Count	Percentage
Strongly disagree (A1)	0	0.00%
Disagree (A2)	0	0.00%
Unsure/Do not know (A3)	1	11.11%
Agree (A4)	5	55.56%
Strongly agree (A5)	3	33.33%
No answer	0	0.00%

A3. I prefer using Māhuri Tōtara for the Employee Goal Setting and Review Process (Employees)

Answer	Count	Percentage
Strongly disagree (A1)	0	0.00%
Disagree (A2)	0	0.00%
Unsure/Do not know (A3)	3	33.33%
Agree (A4)	5	55.56%
Strongly agree (A5)	1	11.11%
No answer	0	0.00%
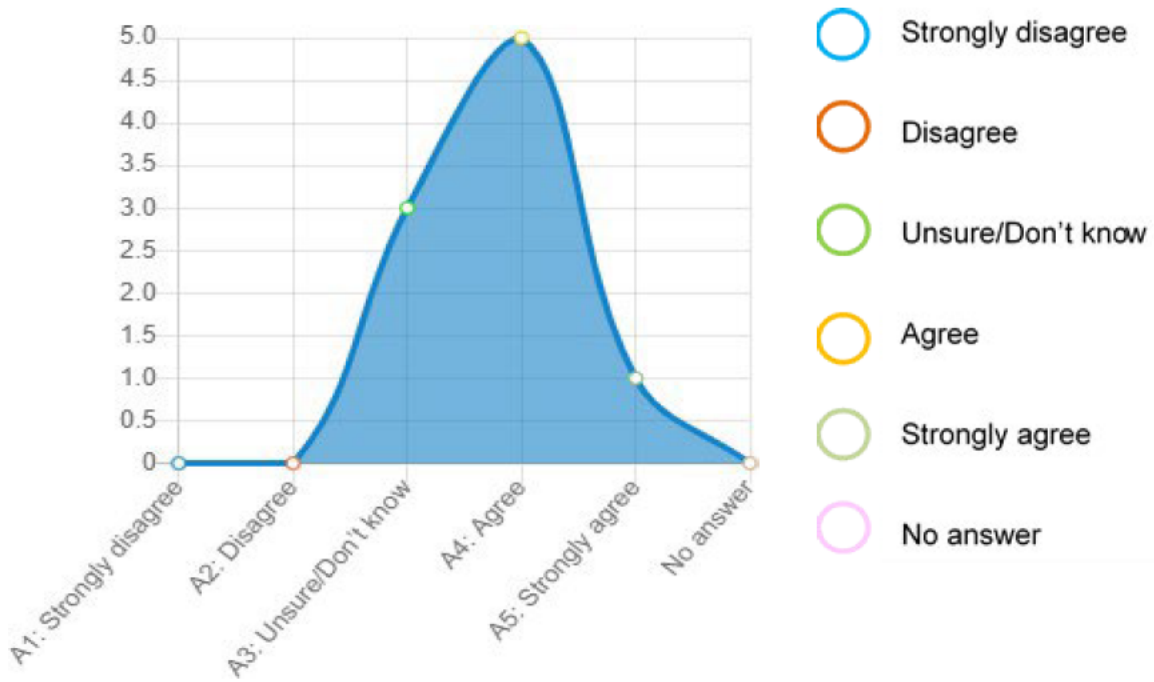
Summary for A4(SQ001)

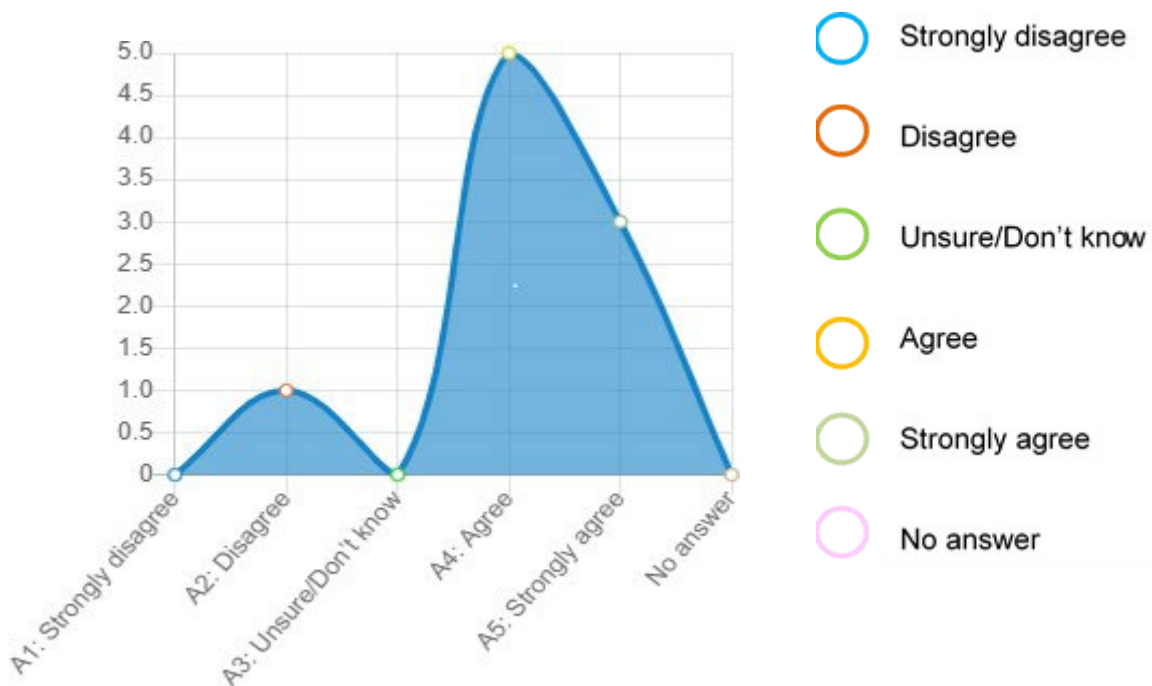A4. Māhuri Tōtara will allow me to develop a useful Development Plan

Answer	Count	Percentage
Strongly disagree (A1)	0	0.00%
Disagree (A2)	0	0.00%
Unsure/Do not know (A3)	1	11.11%
Agree (A4)	4	44.44%
Strongly agree (A5)	4	44.44%
No answer	0	0.00%
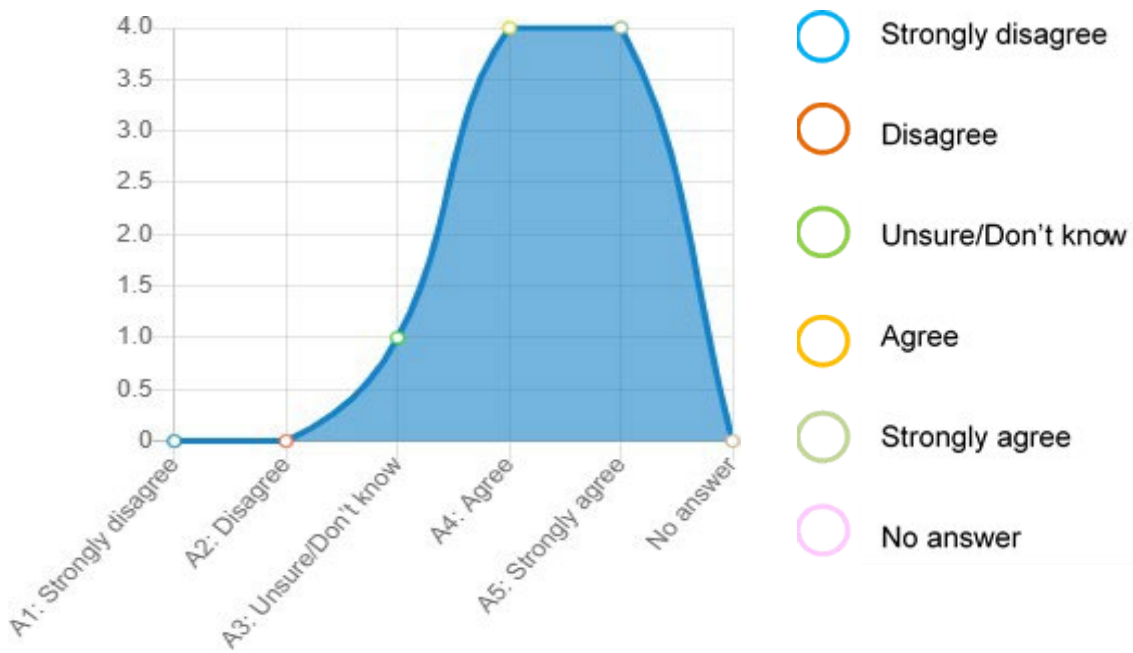
Summary for A5(SQ001)

A5. Māhuri Tōtara allows me to identify the capabilities and competencies for my current and future roles.
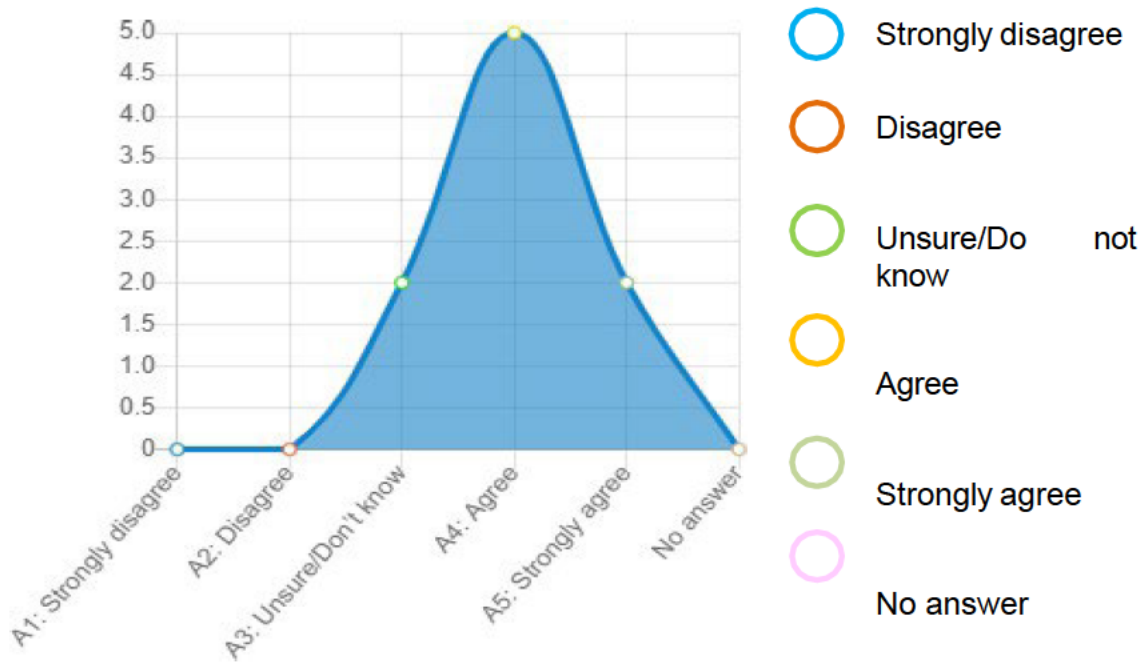
Answer	Count	Percentage
Strongly disagree (A1)	0	0.00%
Disagree (A2)	1	11.11%
Unsure/Do not know (A3)	0	0.00%
Agree (A4)	5	55.56%
Strongly agree (A5)	3	33.33%
No answer	0	0.00%

A6. Māhuri Tōtara allows me to identify learning opportunities

Answer	Count	Percentage
Strongly disagree (A1)	0	0.00%
Disagree (A2)	0	0.00%
Unsure/Do not know (A3)	2	22.22%
Agree (A4)	5	55.56%
Strongly agree (A5)	2	22.22%
No answer	0	0.00%

430

Summary for A71

A7.1 If you Strongly Agreed or Agreed to the previous response, please provide reasons/make suggestions for improvement

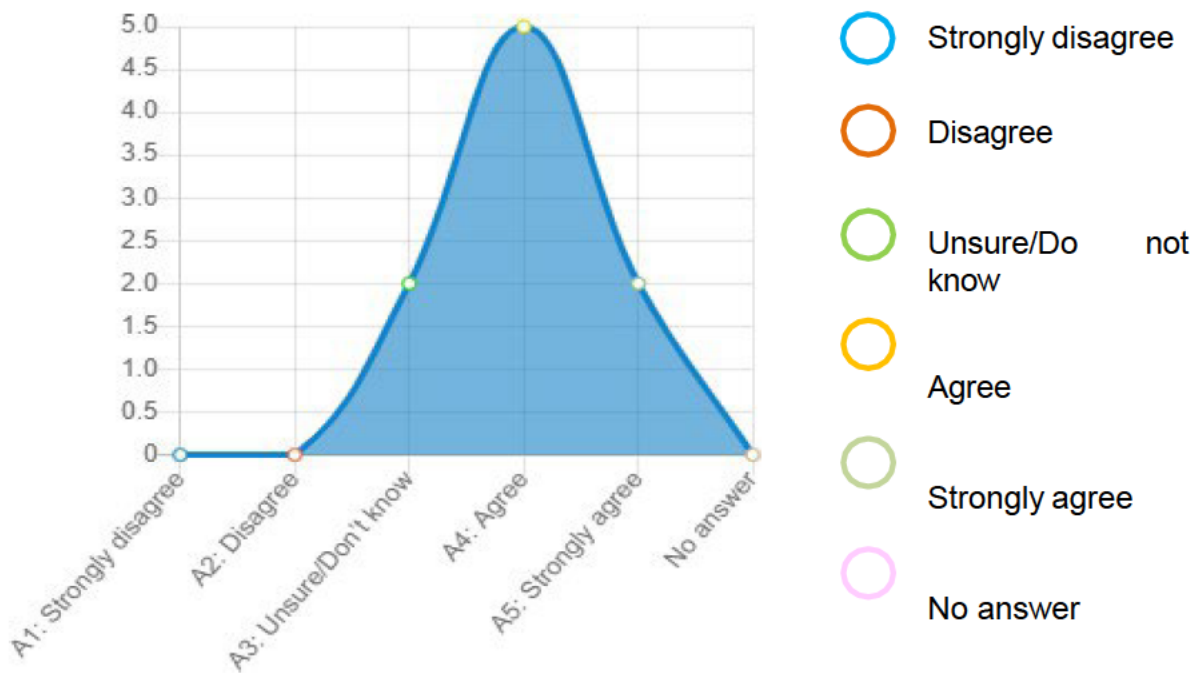| Answer	Count	Percentage
Answer	1	11.11%
No answer	8	88.89%

ID	Response
3	The system seems quite complex and time-consuming

No simple graph for this question type

Summary for A8(SQ001)
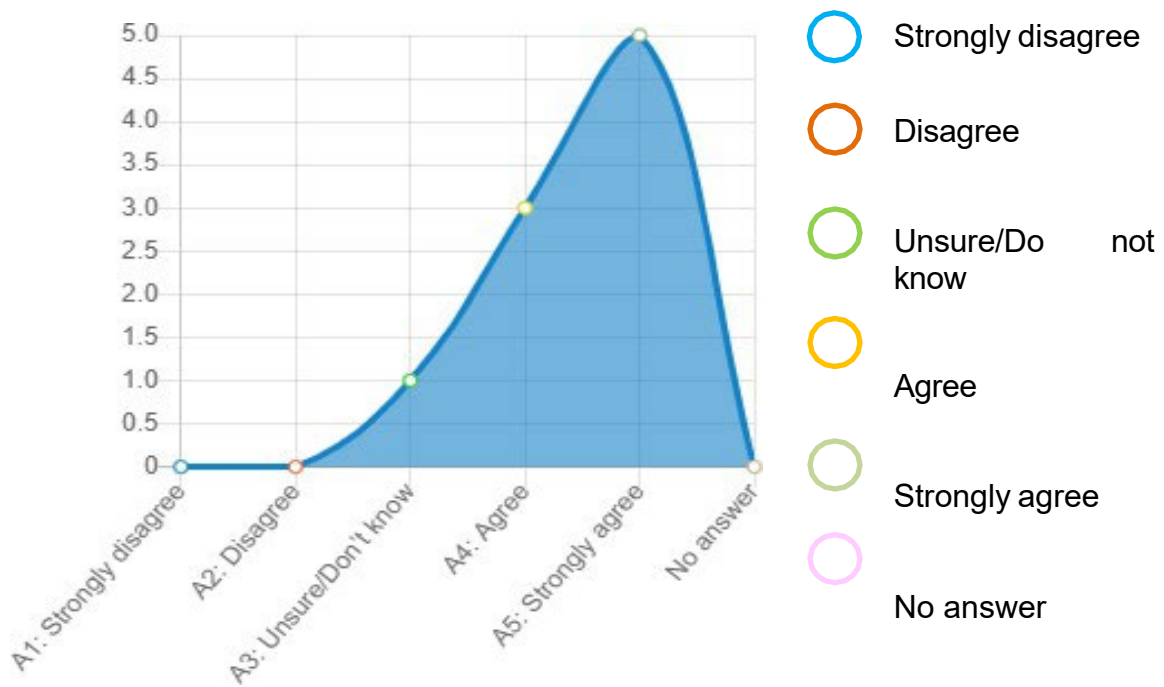
A8. Māhuri Tōtara is a positive step forward for me

Answer	Count	Percentage
Strongly disagree (A1)	0	0.00%
Disagree (A2)	0	0.00%
Unsure/Do not know (A3)	2	22.22%
Agree (A4)	5	55.56%
Strongly agree (A5)	2	22.22%
No answer	0	0.00%

Summary for A9(SQ001)

A9. Māhuri Tōtara is a positive step forward for TSA

Answer	Count	Percentage
Strongly disagree (A1)	0	0.00%
Disagree (A2)	0	0.00%
Unsure/Do not know (A3)	1	11.11%
Agree (A4)	3	33.33%
Strongly agree (A5)	5	55.56%
No answer	0	0.00%

Summary for A10(SQ001)

A10. The information (Frequently Asked Questions, Manuals, etc.) explaining all the elements of Māhuri Tōtara was easy to understand anduseful.

Answer	Count	Percentage
Strongly disagree (A1)	0	0.00%
Disagree (A2)	1	11.11%
Unsure/Do not know (A3)	0	0.00%
Agree (A4)	5	55.56%
Strongly agree (A5)	3	33.33%
No answer	0	0.00%
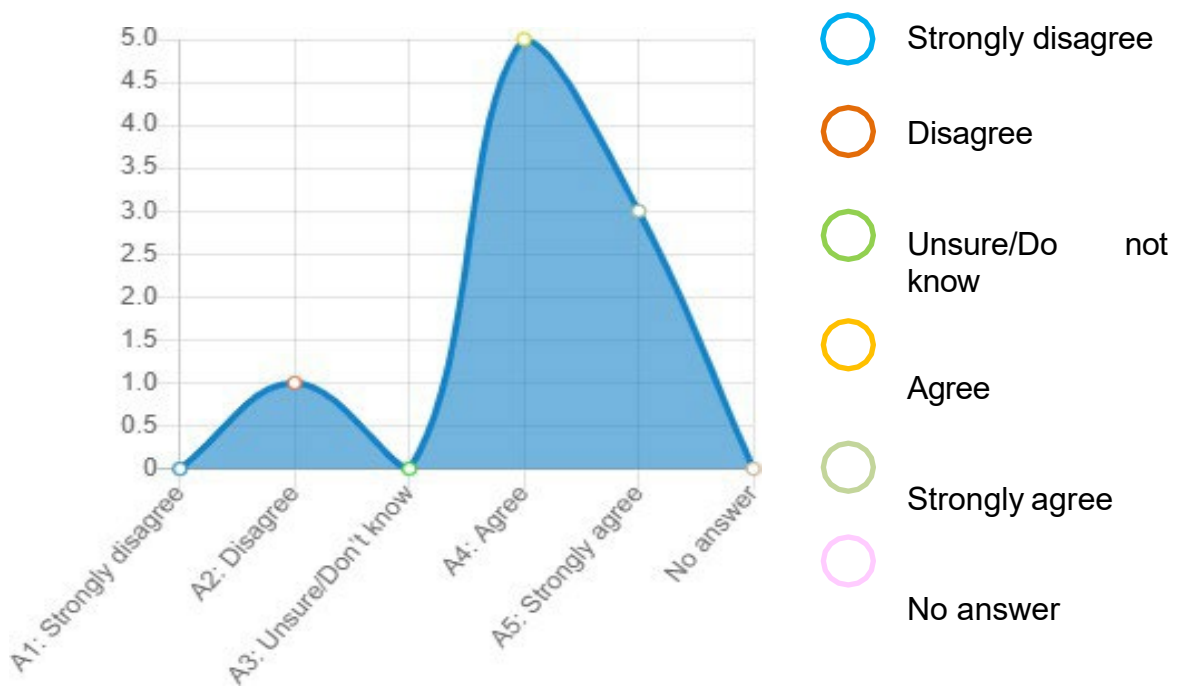
A10.1 If you Disagreed or Strongly Disagreed with the previous response, please provide reasons/make suggestions for improvement

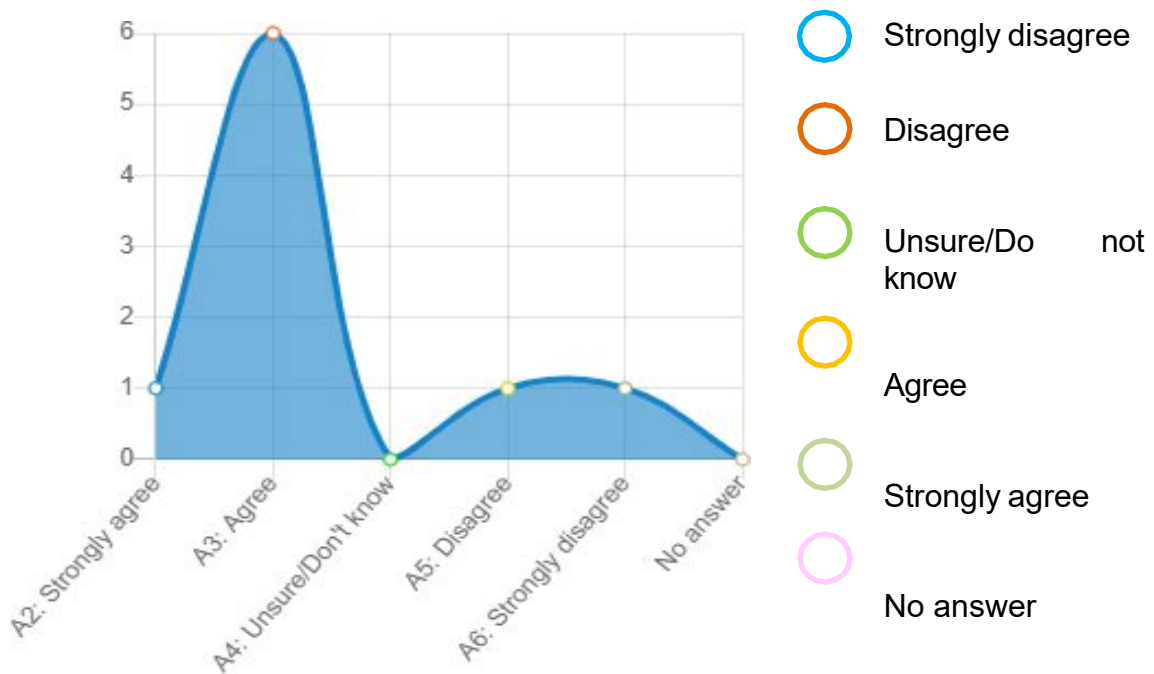| Answer	Count	Percentage
Answer	1	11.11%
No answer	8	88.89%

ID	Response	
3		

No simple graph for this question type

Summary for A11(SQ001)

A11. The training I was provided during the Introduction to Māhuri Tōtara session made using Māhuri Tōtara and the Capability Management System easy

Answer	Count	Percentage
Strongly agree (A2)	1	11.11%
Agree (A3)	6	66.67%
Unsure/Do not know (A4)	0	0.00%
Disagree (A5)	1	11.11%
Strongly disagree (A6)	1	11.11%
No answer	0	0.00%

Summary for A111

A11. If you Disagreed or Strongly Disagreed with the previous response, please provide suggestions for improvement

Answer	Count	Percentage
Answer	1	11.11%
No answer	8	88.89%

ID	Response
3	Person showing the system was unable to make the system work, so I had to reload it a couple of times

No simple graph for this question type

A12. Are there any positive effects or outcomes from Māhuri Tōtara

Answer	Count	Percentage
Yes (Y)	6	66.67%
No (N)	0	0.00%
Uncertain (U)	3	33.33%
No answer	0	0.00%

A12.1 If you answered 'Yes' to the previous question, please provide details

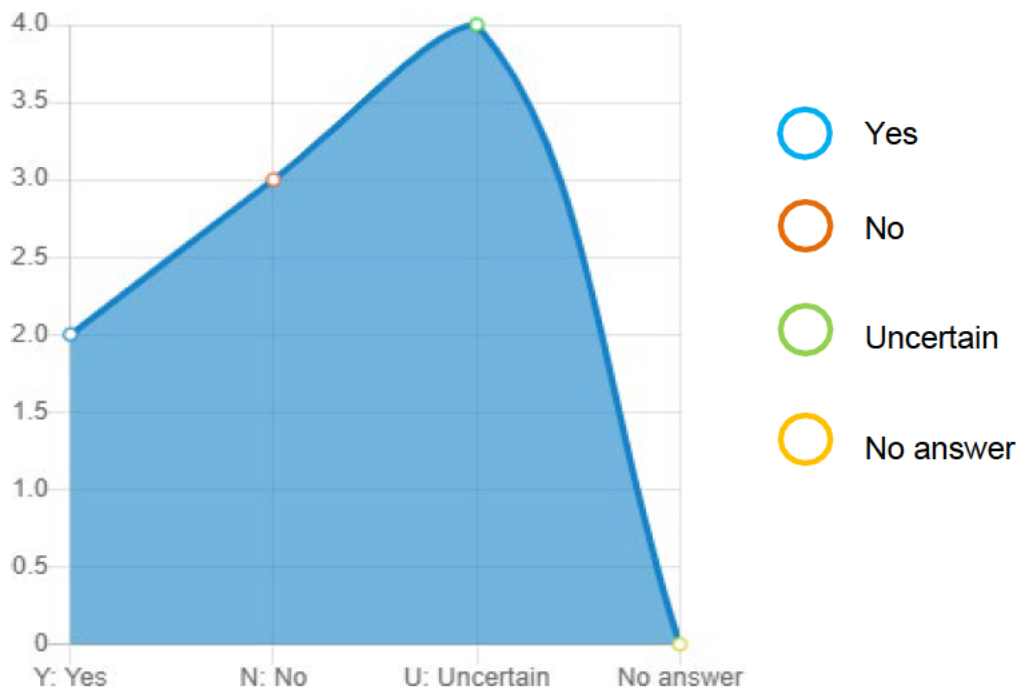| Answer	Count	Percentage
Answer	5	55.56%
No answer	4	44.44%

ID	Response
1	Hopefully, pathways for employees and a way to keep track of training
2	It has been great for setting goals and a helpful platform for completing my line management meetings.
4	This is a significant step forward for The Salvation Army, providing an online space for most staff processes. One online space for everything user-friendly.
5	I expect there will be a much more proactive and transparent process when it comes to assessing capability and performance.
7	The chance to have more effortless regular check-in conversations between staff and management

No simple graph for this question type

A13. Are there any negative effects or outcomes from Māhuri Tōtara?

Answer	Count	Percentage
Yes (Y)	2	22.22%
No (N)	3	33.33%
Uncertain (U)	4	44.44%
No answer	0	0.00%

A13.3 If you answered 'Yes' to the previous question, please provide details

Answer	Count	Percentage
Answer	2	22.22%
No answer	7	77.78%

ID	Response	
1	The cost to Corps, Centres and Nationally Managed programs. It would be smart for TSA to cover the cost. This will increase morale and be seen as an employee and officer development investment.	
7	The usual learning curve and time it takes to adjust to a new way of doing things.	

No simple graph for this question type

A14. Are there any aspects of Māhuri Tōtara that could be improved/added?

Answer	Count	Percentage
Answer	2	22.22%
No answer	7	77.78%

ID	Response
2	Access to the website could be improved, and it would be helpful if there were email updates once something is posted to the journal.
4	A work in progress will be refined as it is further used and developed.

No simple graph for this question type

Summary for A15

A15. Do you have further questions on Māhuri Tōtara?

Answer	Count	Percentage
Answer	1	11.11%
No answer	8	88.89%

ID	Response
2	No

No simple graph for this question type

Summary for A16

A16. Is there anything we can do to improve the training or processes specifically for Māori or Pasifika employees or officers?

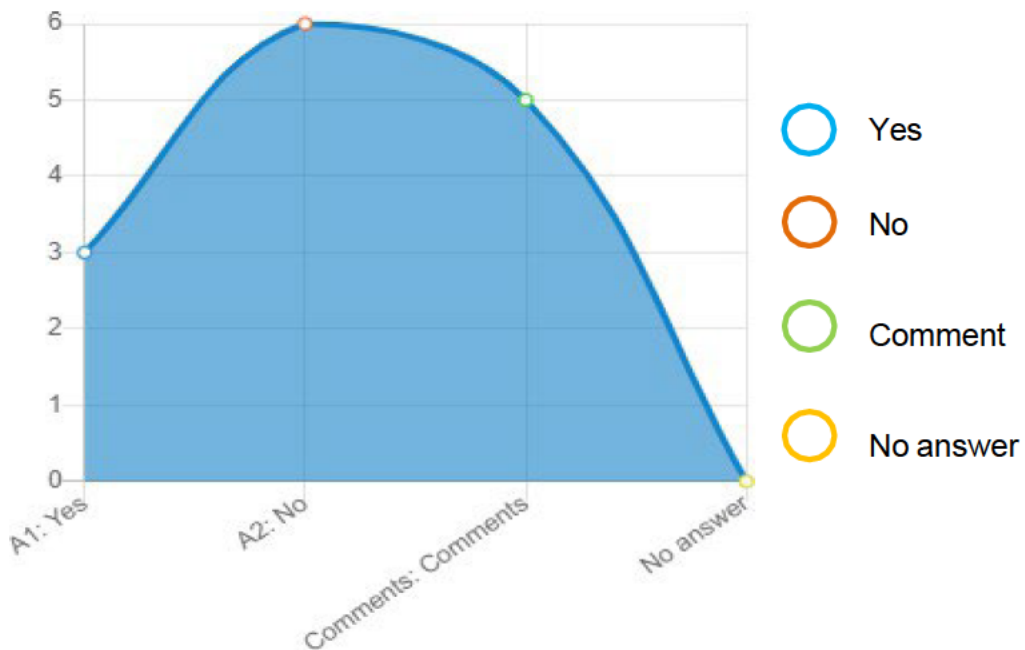| Answer	Count	Percentage
Yes (A1)	3	33.33%
No (A2)	6	66.67%
Comments	5	55.56%
No answer	0	0.00%

ID	Response

There is, but I am not sure what.

I am unsure.

Not sure of the system to make comments either way

 4 More online self-directed training that sends feedback/reports direct to the person's line manager; this will provide both accountability and support.
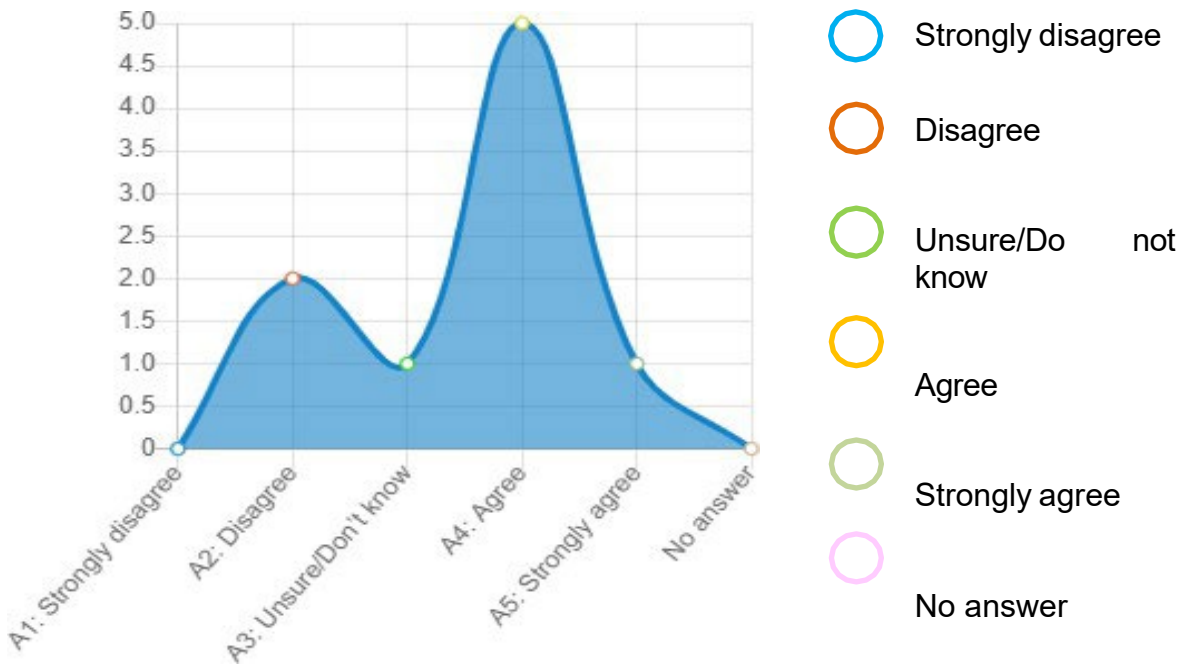
9   need a Do not know answer here as not being Māori or Pasifika, I cannot answer this question

444

Summary for B1(SQ001)

B1. Creating my Development Plan during my Development Conversation was straightforward

Answer	Count	Percentage
Strongly disagree (A1)	0	0.00%
Disagree (A2)	2	22.22%
Unsure/Do not know (A3)	1	11.11%
Agree (A4)	5	55.56%
Strongly agree (A5)	1	11.11%
No answer	0	0.00%

Summary for B11

B1.1 If you Disagree or Strongly Disagree, please provide suggestions for improvement

Answer	Count	Percentage
Answer	2	22.22%
No answer	7	77.78%

ID	Response
3	I have not created a development plan, so unsure because I still
9	need to create my development plan.

No simple graph for this question type

Summary for B2

B2. The feedback I received during my Development Conversations was helpful for my ongoing development

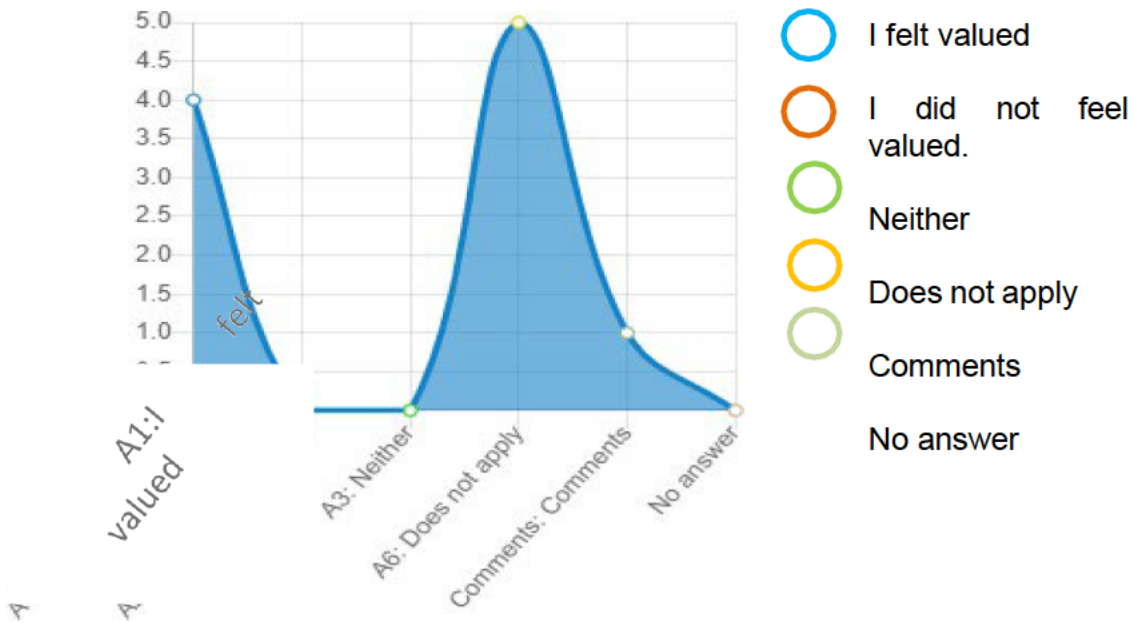| Answer	Count	Percentage
The feedback was valuable to me (A1)	4	44.44%
The feedback was not valuable to me (A2)	0	0.00%
Neither (A3)	0	0.00%
Does not apply (A6)	5	55.56%
Comments	1	11.11%
No answer	0	0.00%

ID	Response
5	I still need to have a Development Conversation with my manager.
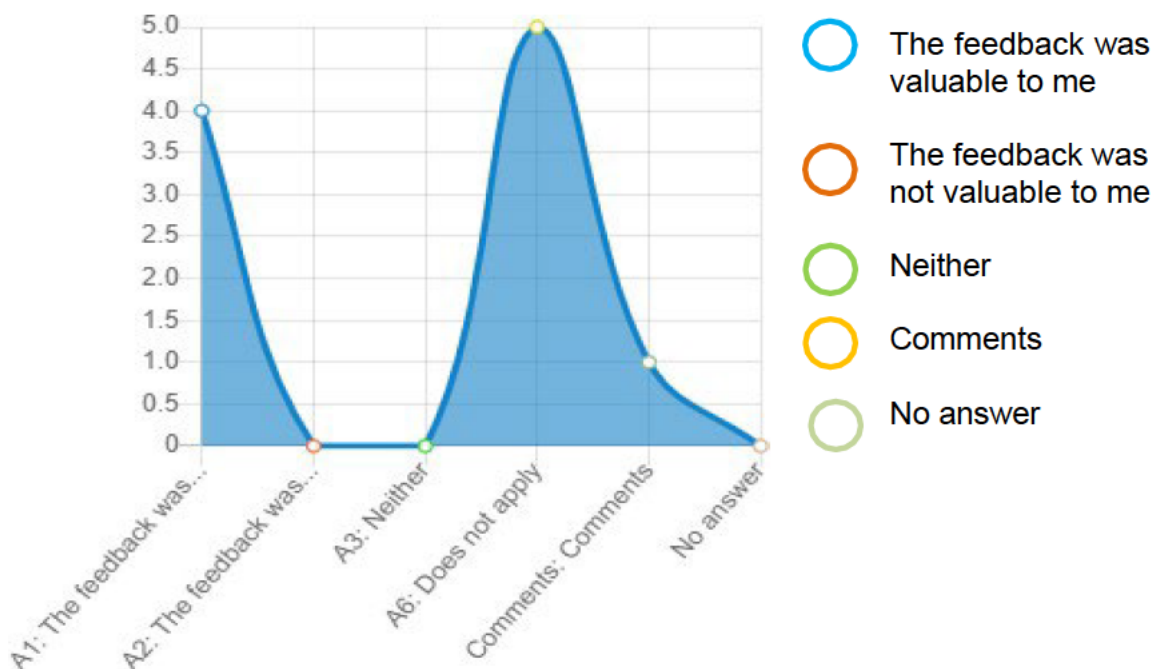
B3. I felt valued after my Development Conversation

Answer	Count	Percentage
I felt valued (A1)	4	44.44%
I did not feel valued (A2)	0	0.00%
Neither (A4)	0	0.00%
Does not apply (A3)	5	55.56%
Comments	0	0.00%
No answer	0	0.00%

Summary for B4

B4. How often should a developmental conversation be held (where a feedback form is completed and Development Plan is created)?

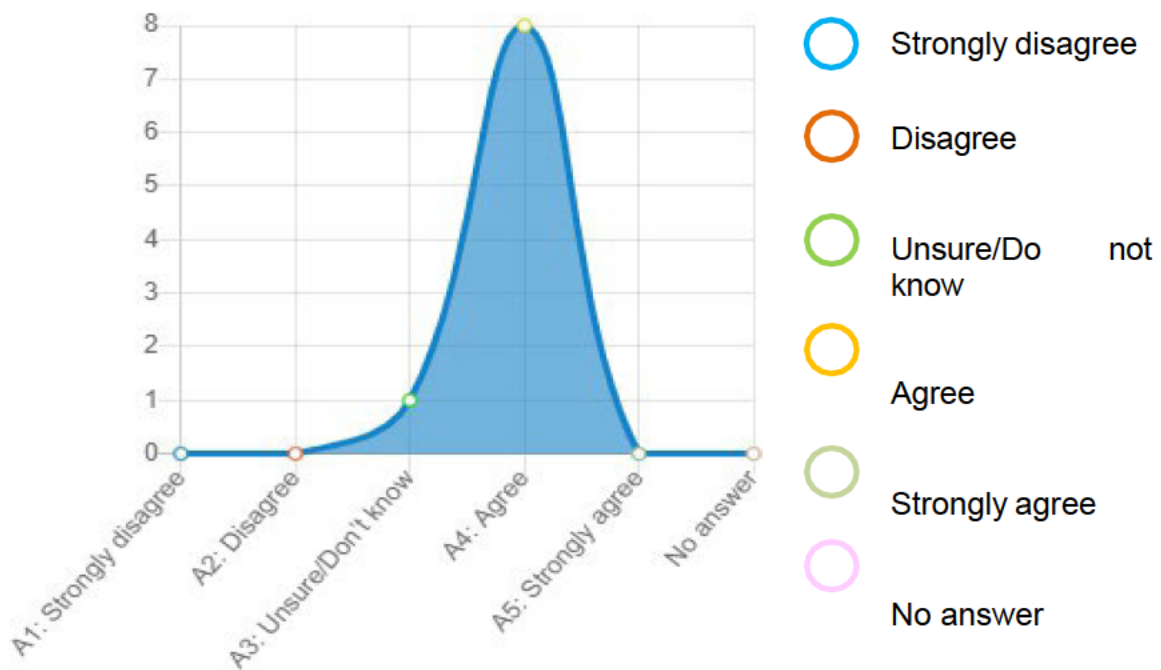| Answer	Count	Percentage
Answer	8	88.89%
No answer	1	11.11%

ID	Response

Annually
Every six months
Every 12 months
Quarterly to Six-monthly
Six months review
Annually, separate conversations should also be held using the journal records feature.
After three months of employment and every year after that.
It depends on the plan; yearly checks but redone fully every 3 to 4 years.

No simple graph for this question type

Summary for C1(SQ001)

C1. Accessing my Dashboard/Capability Profile was easy and straightforward

Answer	Count	Percentage
Strongly disagree (A1)	0	0.00%
Disagree (A2)	0	0.00%
Unsure/Do not know (A3)	1	11.11%
Agree (A4)	8	88.89%
Strongly agree (A5)	0	0.00%
No answer	0	0.00%

Summary for C2(SQ001)

C2. My Capability Profile is easy to access and understand

Answer	Count	Percentage
Strongly disagree (A1)	0	0.00%
Disagree (A2)	0	0.00%
Unsure/Do not know (A3)	2	22.22%
Agree (A4)	7	77.78%
Strongly agree (A5)	0	0.00%
No answer	0	0.00%
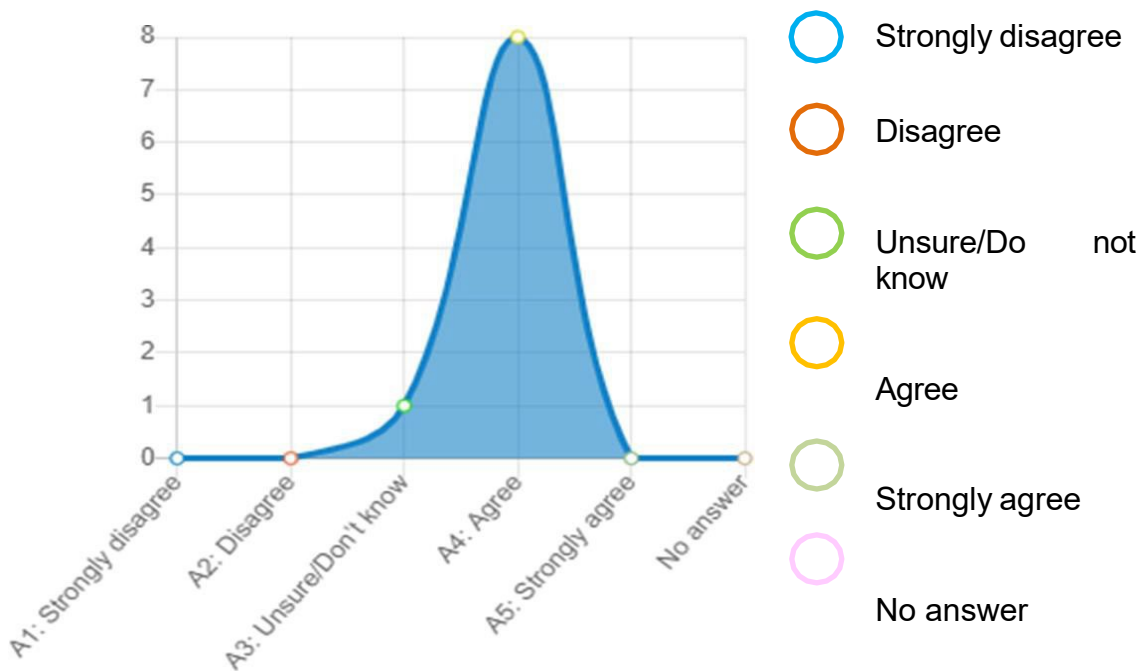
Summary for C2.1

C2.1 If your response to the previous question was Strongly Disagree or Disagree, please provide suggestion/s that would make easier

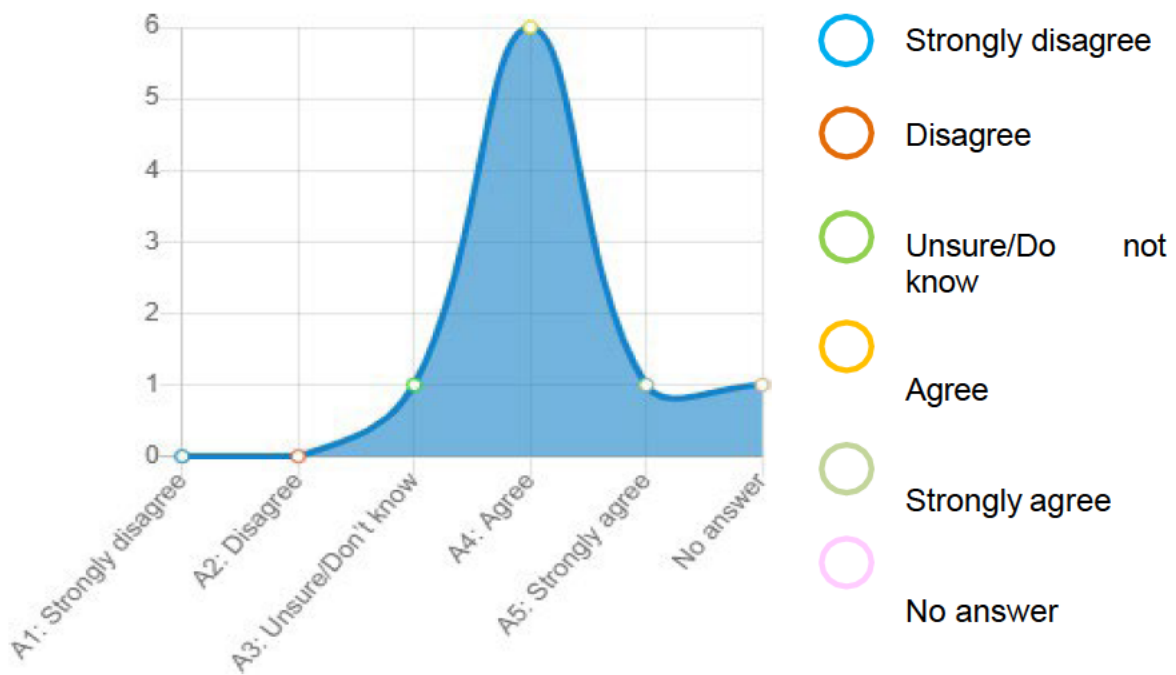| Answer	Count	Percentage
Answer	0	0.00%
No answer	9	100.00%

ID	Response

No simple graph for this question type

Summary for C3(SQ001)
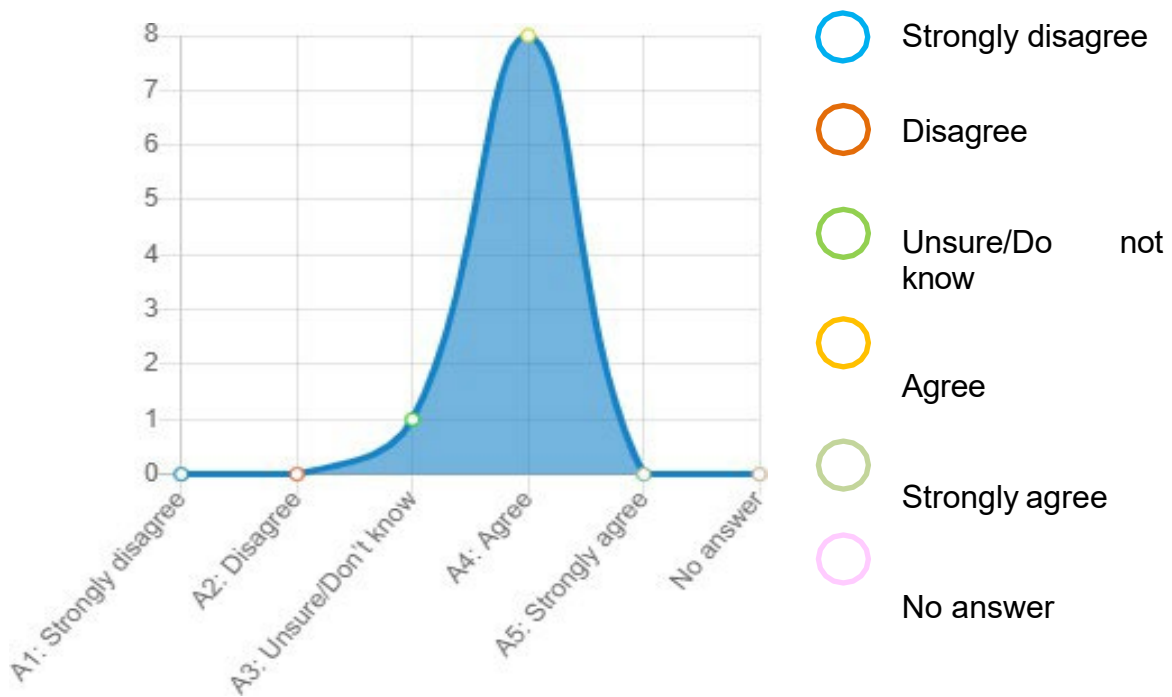
C3. My Development Plan is easy to access and use

Answer	Count	Percentage
Strongly disagree (A1)	0	0.00%
Disagree (A2)	0	0.00%
Unsure/Do not know (A3)	1	11.11%
Agree (A4)	6	66.67%
Strongly agree (A5)	1	11.11%
No answer	1	11.11%

Summary for C4(SQ002)

C4. My Capability Assessment is easy to access and use
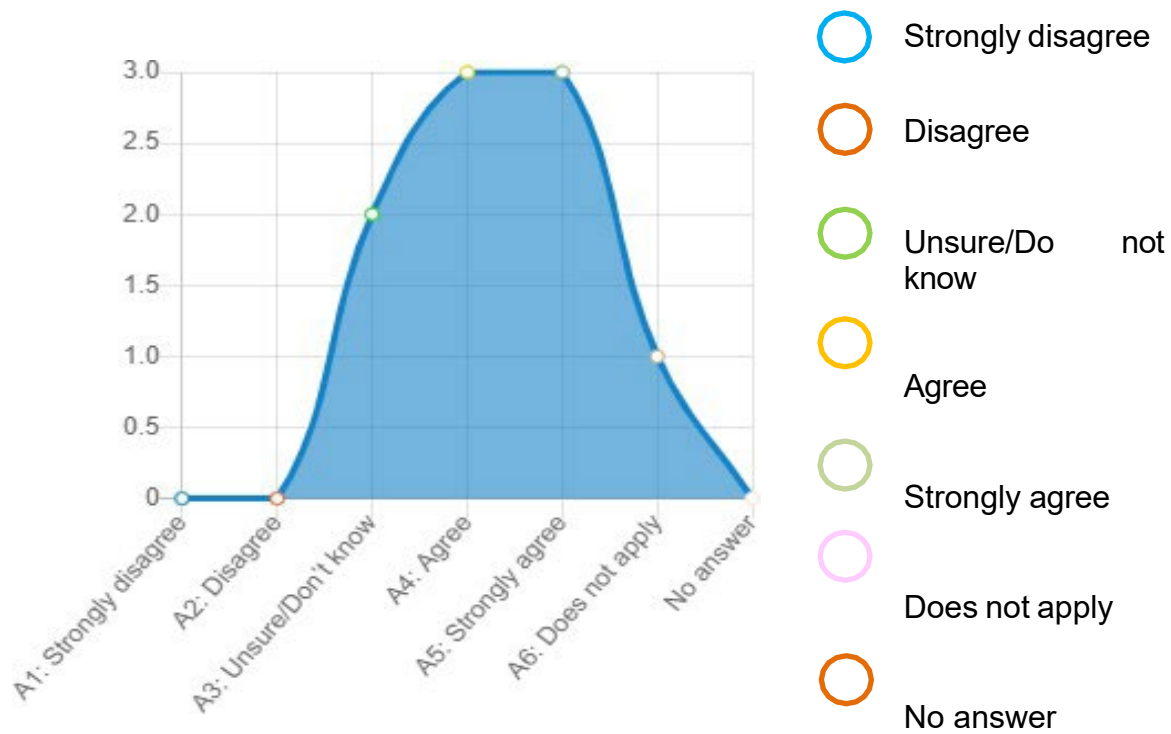
Answer	Count	Percentage
Strongly disagree (A1)	0	0.00%
Disagree (A2)	0	0.00%
Unsure/Do not know (A3)	1	11.11%
Agree (A4)	8	88.89%
Strongly agree (A5)	0	0.00%
No answer	0	0.00%

C5. My Personal Journal is easy to access and use

Answer	Count	Percentage
Strongly disagree (A1)	0	0.00%
Disagree (A2)	0	0.00%
Unsure/Do not know (A3)	2	22.22%
Agree (A4)	3	33.33%
Strongly agree (A5)	3	33.33%
Does not apply (A6)	1	11.11%
No answer	0	0.00%

Summary for C6(SQ002)

C6. My Feedback Form was easy to use

Answer	Count	Percentage
Strongly disagree (A1)	0	0.00%
Disagree (A2)	0	0.00%
Unsure/Do not know (A3)	1	11.11%
Agree (A4)	4	44.44%
Strongly agree (A5)	2	22.22%
Does not apply (A6)	2	22.22%
No answer	0	0.00%
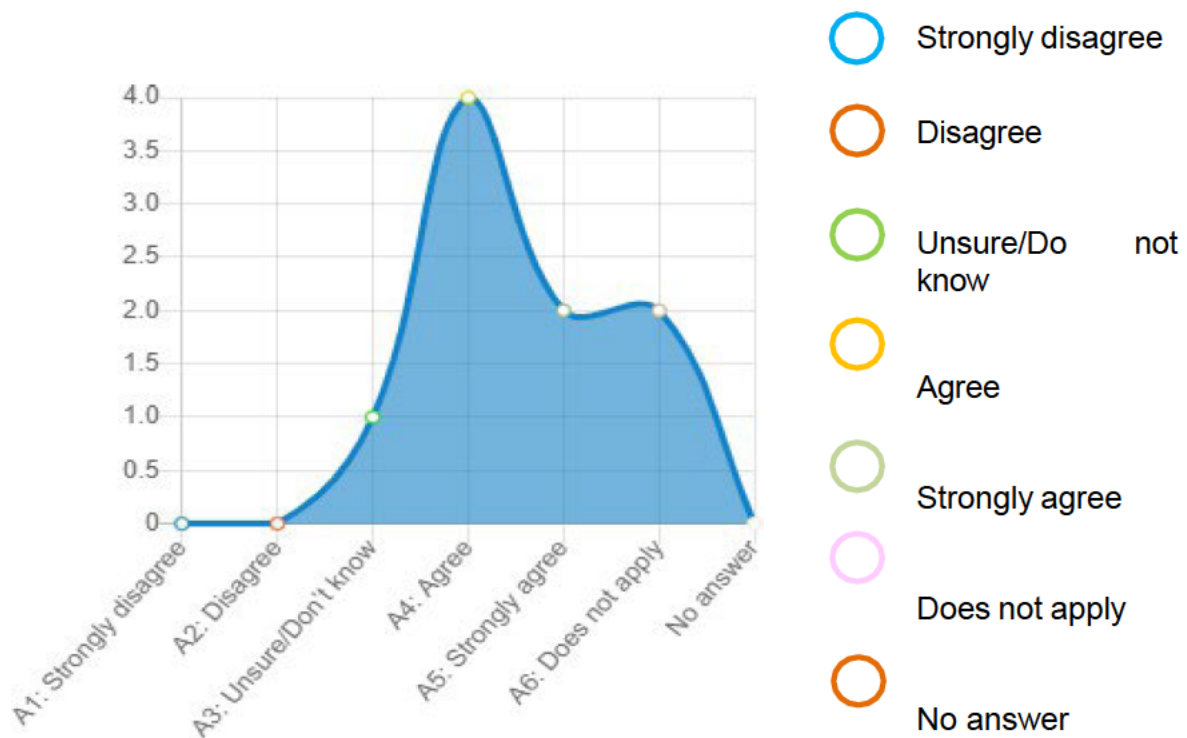
Summary for C7(SQ001)

C7. I can locate learning and training courses or programs in the Capability Management System

Answer	Count	Percentage
Strongly disagree (A1)	0	0.00%
Disagree (A2)	0	0.00%
Unsure/Do not know (A3)	2	22.22%
Agree (A4)	5	55.56%
Strongly agree (A5)	1	11.11%
Does not apply (A6)	1	11.11%
No answer	0	0.00%

No simple graph for this question type

APPENDIX 2 - MULTIFACTOR MEASURE OF PERFORMANCE - MMP3, SUB-FACTORS

1) Key Cognitive Competencies
Description of Subfactors
Coping and Endurance: In addition to "managing one's feelings in stressful situations" in order to function effectively while remaining relatively calm (Bar-On, 2016, p. 106), this sub-scale appears to assess how well people typically cope and function under pressure. This includes evaluating how effective they are in dealing with anxiety provoking situations. **Situational Awareness:** In addition to "evaluating the immediate situation, paying attention to detail as well as understanding, clarifying, and closing gaps between the perception of subjective reality and objective reality", this sub-scale assesses how attentive people are to their surroundings and how well they size up the situation. This appears to be based on an ability to update their assessment of situations in response to changes in the immediate environment as well as to filter out irrelevant information, in order not to get distracted. **Flexibility:** In addition to "coping with and adapting to change as well as dealing with unexpected, unpredictable and confusing situations" (Bar-On, 2016, p. 105), this subscale assesses the ability to flexibly "think on one's feet" and deal with the unexpected, finding ways to improvise and adapt when the unpredictable occurs, and to make the necessary adjustments to overcome. This often requires one to re-reframe setbacks and not to see them as personal or permanent.

Resourcefulness and Resilience: In addition to the ability "to be innovative and consider different ways of coping with situations" (Bar-On, 2016, p. 105), this sub-scale appears to assess the capacity of individuals to generate different approaches to dealing with challenges and setbacks as well as to resiliently recover from them. If previous approaches are ineffective, resourceful individuals typically come up with alternative approaches that work; and this often depends on formulating an effective course of action aimed at going from the current situation to a better one.

Decision-Making: In addition to "generating potentially effective solutions to problems, weighing the pros and cons of each possibility and deciding on the best solution", this sub-scale assesses the ability to make good decisions in general. Moreover, this scale measures the ability to come up with a potentially effective plan that requires coping with ambiguity and exercising sound judgement even when working under pressure and dealing with potential risks.

Preparedness and Readiness: This sub-scale was created to measure a sub-factor that surfaced as a result of EFA. Based on the items that loaded on this sub-factor, this new sub-scale appears to assess the ability of individuals to be prepared and ready to cope with immediate situations that arise and/or to execute some form of goal-oriented action based on what they have learned. This includes immediately sizing up what is presently happening in the here-and now, deciding on the best course of action and rapidly implementing it, which appears to be what is cognitively needed in dealing with emergency situations.

3) Motivational Drive

Description of Subfactors
Self-Motivation: In addition to "being positive, optimistic, and energised in doing what one does" (Bar-On, 2016, p.106), this sub-scale assesses the degree to which people are capable of motivating themselves. This enhances their drive to get as much as they can out of what they enjoy doing and energises them to perform on an even higher level. **Determination:** In addition to "being committed to decisions that are made and goals that are set as well as being determined to follow through with them" (Bar-On, 2016, p. 106), this sub-scale appears to assess how resolute people are in the choices and decisions they make. This essentially requires the resolve to begin what they decide to do and to move into action mode after decisions are made. **Perseverance**: In addition to "persevering and following through with a task until it is completed" (Bar-On, 2016, p. 106), this sub-scale also assesses the drive to pursue goals in general.