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**Global Journal of Management and Business Research**

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Recasting Governance for Challenging Times

By Miguel Schloss

Abstract - For the better part of the last twenty years, a multitude of international conventions, principles, standards have been agreed to strengthen governance and reduce corruption. These have led to a plethora of statements, institutions and regulations, experiments - each with their own valid inner logic.

However, if we look for tangible, on-the-ground results, we are in for a big surprise, or rather disappointment. Taken together, the outcomes that have been reported (such as new control and tracking vehicles, anti-corruption legislation, and the like) have been at best intermediate, rather than final results to be sought. Moreover, they have been difficult to upscale and easy to circumvent by agents that have a dynamism, adaptability and imagination that is difficult to match by the entities and vehicles that have been created to control corruption and facilitate accountability.

Keywords: governance, corruption, discontinuities, adjustments, capture, distortions, economic development, efficiency, effectiveness, depolitization.

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Recasting Governance for Challenging Times

Miguel Schloss

Abstract- For the better part of the last twenty years, a multitude of international conventions, principles, standards have been agreed to strengthen governance and reduce corruption. These have led to a plethora of statements, institutions and regulations, experiments - each with their own valid inner logic.

However, if we look for tangible, on-the-ground results, we are in for a big surprise, or rather disappointment. Taken together, the outcomes that have been reported (such as new control and tracking vehicles, anti-corruption legislation, and the like) have been at best intermediate, rather than final results to be sought. Moreover, they have been difficult to upscale and easy to circumvent by agents that have a dynamism, adaptability and imagination that is difficult to match by the entities and vehicles that have been created to control corruption and facilitate accountability.

As a result, impact on the ground remained at best imperceptible in "moving the needle" to achieve tangible progress. It has now been 10 years that some 70 percent of countries worldwide scored poorly (below 50, in a scale of 0 to 100) in Transparency International's Corruption Perception Index—with no improvements of significance throughout this period. Growing signs of public discontent strongly suggest a widening gulf between elites and civil societies, and a consequent inability to respond to emerging societal demands.

By now, it should be painfully evident that the time has come to take a dispassionately critical review of the approaches taken to date, and see how they need to be recast to respond to the evolving conditions around the world.

This article is aimed at contributing to such review and help rethink, where necessary to recast such approaches to generate effective responses for the remainder of the century.

Keywords: governance, corruption, discontinuities, adjustments, capture, distortions, economic development, efficiency, effectiveness, depolitization.

I. INTRODUCTION

Barking at the wrong tree

It has become almost trite to invoke the realities of globalization. And yet, it is remarkable to observe difficulties and dislocations the world is facing to cope with the implications of ongoing paradigm shifts – from the fall of centrally planned economies in the former Soviet block, to the dislocations triggered by the increased mobility of goods, services, funds and people across borders.

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There is a consequent diminishing relevance of the nation-state and Governments, and difficulties to adapt institutions and economies to the more flexible conditions around the world with associated shift of the center of gravity from the Mediterranean towards the Pacific Rim.

Nowhere is the disconnect between reality and past frames of reference more evident than in the political and governance debate. While much of the literature still harps on the North-South, East-West, Left-Right divides; it appears that it would be more appropriate to focus on a Height-Depth paradigm. In practice, societies that have generated rapid development have left behind such battles in favor of more empirical, cooperative and adaptive policies aimed at moving with and creating, rather than resisting the tide.

At the root of it all, enhanced empowerment stemming from new technologies and associated megatrends are undermining the near monopoly that many private companies have acquired over time, and the way they have captured public bodies. All this has ramifications on how governments relate to their citizens, how enterprises and organizations relate to their employees, shareholders and customers; or how superpowers relate to smaller countries.

Moreover, human progress is outpacing the capacity of the resource environment to keep pace with the need for a balanced development. Whether it is economic expansion (at the expense of known resource bases, such as mining and raw materials), and consequent increased emissions; or institutional and policy constraints to cope with increasing economies; growing and societal demands are stretching the limits of human knowledge to develop and settle increasingly complex and emerging demands. 1

These changes are being accelerated by the biggest economic stimulus in history (adding so far $13 trillion to reboot economies), possible climate change action (calling for investments of some $16.5 trillion in the next 10 years to meet the Paris Accords), the integration into the world economy of “the next billion people” comprising of South East Asia that have ranked poorly in bribers payers indexes, massive technological change triggered by rapid digital transformation that are bound to disrupt existing political, economic, and social models. Tectonic changes of this magnitude will require a shift in the distributed power system, which may have to be anchored on more collaborative and flexible forms of interaction.
In time, they could help overcome deeper “structural” phenomenon, where: (i) employment opportunities migrate to lower income countries; (ii) emerging technologies render many semi-standardized occupations obsolete, seriously threatening people with limited skills to adapt to such changes; and (iii) give greater opportunities for influence and political pressure to civil society.²

By the same token, a multitude of international conventions, principles, standards and pacts, built essentially on obsolete institutions, too inflexible to deal with the dynamic conditions that are unfolding, are unable to engage the forces unleashed by the swift technological change. While this has produced unprecedented development among countries better prepared to innovate and generate disruptions, it has also facilitated corruption, money laundering, trafficking of human and financial resources at unprecedented levels.

It has become fashionable among leaders of various stripes to eloquently condemn such trends, but to no avail. Contrary to popular belief, though, the greatest problems are not centered on how to stop and control the disruptive side effects, but in the failure to understand the forces at work. In fact, many of the “solutions” being promoted are based on strengthening controls and monitoring vehicles that don’t have even remotely the agility and effectiveness of today’s economic forces -- thereby “barking at the wrong tree”, so to speak, for lack of proper diagnoses of the problems to be resolved.

Even the most serious persons are sometimes overcome by the fascination of mere forms, aimed at conveying the impression that something is done through international meetings at which facts are recorded, decisions taken, proclamations and press releases issued. The ceremony of such gatherings is capable of losing government officials, NGOs and others by the panoply of journalistic reports, funding for all kinds of “follow-up”, and so much activity with little that is of practicality. If anything, this points towards confusion between being active and doing something with genuine impact.

There is thus a need to guard any serious discussion against the army of ideologists, propagandists, public relation officials, interpreters and apologists, who essentially sandbag the issues, embellish the system as it exists and create artistic monuments to rhetorical ideas espoused in such gatherings. These tend to increase confidence and optimism of those who benefit under existing conditions. They, however, leave institutions, policies and other vehicles of action hopelessly behind the curve, and a far cry from what is needed to deal with the emerging conditions. Greater attention should henceforth be focused on doing the right things, as against doing things right.

At the end of the day, the best antidote will require more than exhortation. To open minds, we must understand the contextual change that is taking place. This paper aims at teasing out the elements that explain conflicts – and possible reforms of the underlying governance issues to improve response to emerging societal issues.

II. The Issue

Fighting yesterday’s battles in a changing world

Much of current day debate tends to focus on the resource dimension of and leadership perpetuating corruption and dysfunctional societies. If only one could get rid of troublesome leaders or curtail resources flows to them – so the argument goes – one could severe the ties that sustain such state of affairs, and bring about an end of corruption and various manifestation of conflicts.

If life were that simple, surely we would have had a peaceful and better operating world long time ago. The sheer stubbornness, longevity and intractability of so many conflicts, even in the face of such lucid and blazingly simple suggestions, are clear indications that we must have a better understanding of the underlying forces and incentives that fuel such confrontations, and thus better grounded strategies for dealing with the issue.

This does not mean that controlling the resource flows play no role in conflict resolutions and the battle against corruption. Focus is needed on the weaknesses of institutions (to respond to the agility and resourcefulness of money launderers, terrorists, combatants and other players) and the limitations of trying to solve such problems through money flows -- or “the supply side”, so to say. Accordingly, while concentrating on “the demand side” (i.e. the part that generates the funding requirements of conflicts and vested interests), one needs to grasp the nature of the problem, to respond through appropriate policies and actions on both the supply and demand side of the problem -- just as one can only clap with two hands.

The following is thus to sketch out: (i) the particular “nexus issues” that makes countries vulnerable to conflicts; (ii) some of the “supply side” responses currently in place and their basic limitations; (iii) key underlying causes for dysfunctional societies that create conditions for corruption and other societal dysfunctions, including armed confrontation (i.e. the “demand side” of the problems) and; (iv) what can be done about them by integrating supply- and demand-side responses to the issues at hand.

There are, however, no quick fixes, standard solutions, one-size-fit-all approaches. Every country, crisis or conflict is absolutely situation-specific. That said, while each conflict has its own particularities, there are some common patterns that tend to magnify (or
attenuate) conflicts. They give some valuable hints – but just that: hints of where solutions can be found.

III. The Missing Link

You can’t fish with a tennis racket

A heavy concentration of conflicts is centered in the poorest regions. There is also a growing recognition that strategies must be put in place to pre-empt the factors that contribute to them. In many such countries there is a fundamental problem of failed governance. Conflicts are oftentimes motivated and sustained by the economic self-interest of the parties concerned, who find conflicts a viable means of accessing wealth or sustaining discord.

Where institutional and associated governance structures are weak, leaders can easily remain in power (be it in government or rebel/guerrilla movements) through patronage, oftentimes of the military or armed groups, while they may wage war on their real or imagined enemies. Such strategies require funds – to buy arms and bribe allies to secure loyalty. Consistent with these developments, all surveys on international corruption rank arms and extractive industries as being some of the major sources of international bribery.

Under the circumstances, it is no accident that a great many conflicts take place in poor, yet resource-rich countries. Inevitably, global companies with activities in countries with conflicts are seen to be complicit with their leaders and the provision of funding that support their administrations, or rebel groups, as the case may be. If such revenues were properly “controlled and tracked”, they would not help fuel conflicts. Moreover, it they were effectively and transparently managed, they could contribute to successful growth and poverty reduction, thereby curtailing an important source of grievance and conflict. Oftentimes the State, rebel and other groups with access to these resources are unaccountable to the citizens and the payments become vehicles for embezzlement, fraud and corruption. As a result, such countries tend to perform poorly in terms of economic development and governance indicators.4

Tempting as it may be to pinpoint to the governance-natural resources-corruption-conflict nexus, in actual fact it begs the question in which direction these factors work; which is the cause and which the effect – and ultimately where to put the emphasis or sequence for corrective action: on governance?, the money flows and corruption?, on the conflict per se?

A few hints give us some pointers. The post-conflict proceedings of a number of enquiry committees, such as the Chilean, Peruvian or South African Truth and Reconciliation Commissions, when interviewing insurgents, combatants, soldiers and their families have hit on a variety of factors – which had little to do with money or access to resources that triggered and fueled violent conflicts. In Peru (where 30,000 people lost their lives, 5,000 disappeared and half a million were displaced) and in Chile (with more that 3,000 deaths and disappearances) the fights were driven by serious political impasse, great disparities of opportunities and associated ideological motivations leading people to take up arms to alter the established order by violent means.5 In both cases, they were ultimately overwhelmed by military might and confrontation, leading (mainly in Chile) to institutional and policy reforms that set the country on a radically different path from the past, recasting of policies and institutions, new political leadership and, ultimately, economic development for several decades. This approach while focusing almost single-mindedly on “demand side” issues of the type mentioned on section V below, eventually led to more nuanced approaches combining legal proceedings, mutual recognition and compensation, and (up to a point) social inclusionary policies aimed at healing the wounds of the abrupt and bloody termination of conflicts. While such efforts led to sustained economic development, more recently, the technological and loss of unskilled employment opportunities, resurfaced conflicts, though at more manageable levels, which emphasize the limitations of institutions to major adjustments that still need to be addressed.

Whereas rebellious groups tend to have their origin in social, economic and ideological grievances, in some cases like Colombia, armed groups have increasingly relied on drug cartels, which fueled conflicts by financing the armed groups in exchange for protection of their business – in essence challenging the State and substituting it by providing basic services, including the provision of extralegal justice, education and social services. In others, such as Venezuela, the rule of law6 is being undermined by the variant of populist Governments that co-opt part of the civilian population with food distribution, housing services, funded in part through drug trade and foreign assistance in exchange for political favors, strategic or military support.
In weaker States, mainly in Africa, these problems manifest themselves in more problematic ways. Where governments have been captured by particular interest groups, for their benefit, increased corruption tend to “crowd out” the economy into the informal sector, as can be seen in Graph I.

This situation provides every incentive for people to go underground to make a living, thereby “hollowing out” the States by de facto replacement “shadow states”, or crowding out a growing part of the economy into the informal or unofficial economy, which cannot be taxed and served with public services. This in effect leads to “privatizing” public benefits for the leaders for patronage of those who support them – either financially or militarily.

This is a recipe for corrupt, unaccountable and unresponsive governments, which tend to cling to power through repression that lead to conflicts difficult to control. In contrast with interstate conflicts that mobilize national unity and strengthens societal cohesiveness, conflict within a State can be caused by and/or weaken its social fabric.

In the end, as evidenced in parts of Africa, sustained conflicts divide the population by undermining interpersonal and communal trust, destroying the norms and values that underlie cooperation and collective action for the common good, increasing the likelihood of communal strife.

As a result, relations start to develop predominantly based on kinship, ethnicity, religion, or social strata, largely as protectionist, defense mechanisms or safety net for basic survival. While these conflicts oftentimes are driven by other causes – from raw power, ambitions of warlords, simple prejudice and other such factors.

All this points towards some economic dimensions of conflict and illustrate how issues of management and governance affect social cohesion. Often overlooked are the governance elements triggering or sustaining such conflicts: to one extent or another – from Rwanda in the past or the Congos-governments with sectarian policies or run for private benefits, create conditions for societies, political movements, clans, or families having to fare for themselves to procure “public goods” (such as support of the weak, education, etc.) - the exact obverse of a functional society.

A few indicators provide hints on what generates such behaviors. Transparency International’s Bribers Payers Index (BPI), which ranks leading exporting countries and sectors by the extent to which their companies are perceived to be paying bribes abroad.

Particularly disturbing is the degree to which leading exporting countries are perceived to be using corrupt practices–buying favors, getting laws/regulations issued for their benefit, supporting regimes to serve their interests, ultimately undermining the solidarity of host Governments.

Specifically, business executives and professionals in leading emerging market countries see international bribe paying to be greatest in the public works and construction sectors, followed by the arms industry and (Graph II).
Particularly problematic, however, is the high corruption associated with extractive industries – the economic bedrock for many developing countries. For instance, of petroleum (the third highest bribing sector) where countries like Nigeria, Indonesia, Algeria export anywhere between US $2 to 35 billion, depending on oil output volumes and prices - - and yet their performance in terms of GDP growth, human resource development and governance is significantly lower than countries in the same income per capita levels.7

It should thus not be surprising that petroleum-producing countries tend to fall in the lower percentile categories of governance ratings, where corruption figures high, as can be seen in Graph III.

More importantly, it is striking to see the heavy concentration of countries plagued with internal conflicts that fall in the higher end of corruption perception indicators – and in the lower end of governance ratings.

Moreover, the secondary effects, in downstream petroleum activities (transportation, refinery, inland distribution), are equally devastating though much more widespread. Petroleum products play a pivotal role in Sub-Saharan Africa’s economic development. Their purchase absorbs 20-35 percent of export ratings for the bulk of the countries in the region, and generates approximately 40 percent of tax revenues – thus constituting the single largest item in the balance of payments and fiscal revenues for most countries in this region.

The unaccounted resources from petroleum trade is more than 50% higher than the whole of World Bank Group net disbursements to Sub-Saharan Africa
put together and thus ought to be much higher in the policy agenda of countries and international development agencies. In fact, some 65% of such “losses” occur as a result of discretionary decisions, where local authorities are involved (i.e. requiring no investments of any sort), and the bulk occurs in lower-income countries (Graphs IV and V) – depriving them from financial resources for development and increasing the prospects for grievance and tensions.8

The issue is by no means restricted to petroleum. The nature of diamonds and this industry’s operations create opportunities for illicit trade. Diamonds are a high-value commodity easily concealed and transported, are mined in remote areas worldwide, and are virtually untraceable to their original source. These factors allow diamonds to be used in lieu of currency in arms deals, money laundering, and other crimes. As a result, rebel movements financed their military activities, and undermined or overthrown legitimate governments using “conflict diamonds”. These conflicts have created severe humanitarian crises in countries such as Sierra Leone, Angola, and the Democratic Republic of Congo.

The same problem can arise even in trade of bulkier commodities, such as in the forestry industry, where illegal logging is estimated to easily range between over 40% of countries’ production (in Colombia) all the way up to 90% in Cambodia, with many countries ranging in between, like Myanmar (80%), Indonesia (50%), Brazil (85%). Examples of illegal practices in the forestry include wide array of practices, raging from unlawful occupation of forestland to under-grading and misclassifying species.

In sum, poverty, inequality, misuse of the government apparatus through widespread corruption are oftentimes the grievances that trigger conflict. But these problems get exacerbated by the specific pathologies of rent-seeking and corruption that affect weak States that are highly dependent upon natural resource exports. While corruption has deeper economic and political causes than the distortions of natural resource dependence, weak public administrations, and its attendant absence of rule of law, have been associated with particularly virulent and intractable forms of systemic corruption.

Accordingly greater attention is needed in addressing: (i) the specific institutional, legal, and other governance factors that permit and perpetuate this kind of behavior; and (ii) the way natural resource dependence exacerbate corruption. When resources come from the sun and the earth, rather than hard toil, the temptation is great to manage the surpluses as if they were the product of loot. As long resources are plentiful or there is even a moderately functioning State, peace can be “bought” through massive subsidies.

In sum, the nature of natural resource dependency creates particularly difficult barriers to reform, by generating an entitlement mindset while freeing States from the need to tax their citizens. This, in turn removes an important incentive for transparency. As long as resources are plentiful, and not insulated by a disciplined budgetary process, they become easy prey for massive transfers, and weakening link between governments and citizenry and thus incentives for accountability.

IV. Curtailing the “Supply Side”

Emptying the ocean with a teaspoon

In response to this situation, a number of initiatives have been crafted and agreed aimed at tightening up controls of money flows, which generate corruption and sustain conflicts. Chief among them:

- Governments: Have reached various international agreements and conventions, including the Inter-American Convention Against Corruption, OECD Convention on Bribery of Foreign Public Officials in International Business Transactions, and the United
Nations Convention against Corruption, which establish various forms of criminalizing transnational bribery and illicit enrichment, mutual assistance laws, and frameworks for cooperation on extradition, and adoption of legislations to prevent corruption. Most of these agreements lack credible enforcement vehicles, and thus remain largely as statements of intent, except for the OECD Convention, which has tracking vehicle that serve as peer reviews to follow-up and ground actions in local legislations for enforcement and removing fiscal incentives for corruption. But awareness among the business community of the existence of such agreements remains rather low.

- **Multilateral institutions:** Recognizing the paradigm shift they (particularly the World Bank) have tended to respond with a more comprehensive focus, including a broader approach to combating corruption and institution building, and provided leadership in creating international transparency standards (Global Initiative on Financial Transparency, Open Contracting Standards, Asset Disclosure Standards) and support for the implementation of open government (through support for the Open Government Partnership). In addition, multilaterals have also joined in a selective manner some multi-stakeholders initiatives mentioned below, thereby providing some legitimization and technical support for their viability.

- **Multi-stakeholder initiatives:** That mobilize various affected parties around projects have been promoted for major (mainly mining) projects by multilateral development institutions, government, private sector and civil society institutions, to actively assist in the implementation of transparency and accountability efforts such as Extractive Industries Transparency Initiative (EITI), Publish What You Pay, Fisheries Transparency, Anti-Money Laundering rules.

- **Private sector:** Associations have issued Global Business Codes, including the International Chamber of Commerce (ICC) Rules; Pacific Basin Economic Council (PBEC) Charter rely essentially on voluntary implementation without independent verification arrangements, and thus are difficult to evaluate in terms of their actual implementation, impact or results. The include the Wolfsberg Anti-Money Laundering Group aimed at strengthening “know-your customer self-regulations” of major banks but money laundering takes place in poorly regulated jurisdictions, and weaker financial intermediaries. Similarly, the Kimberley Process Certification Scheme aims at certifying diamonds trade among some 40 countries to prevent the flow to violent insurgencies. The United States General Accounting Office (GAO) found that, while the Certification incorporated some elements of accountability, the scheme was not based on resilient risk assessments with obligatory controls, and voluntary industry participation and self-regulated monitoring and enforcement throughout key points in the value chain.

- **State-underpinned efforts:** Built on private sector initiatives and tracking capabilities have been developed aimed at establishing an anti money-laundering and tax-evasion effort of universal application has been set up through the Financial Action Task Force on Money Laundering. Based on similar logic, the Foreign Account Tax Compliance Act (FACTA) requires non-U.S. foreign financial institutions to search their records for customers with connections to the U.S., to report the assets and identities to the U.S. Treasury.

By and large, the results of these initiatives has been at least mixed. When there have been no powers to compel compliance by either the industry or governments concerned, the arrangements rely essentially on faith, and are difficult to verify. Multi-stakeholders efforts, such as EITI, aimed at introducing discipline through increased transparency and mutually supported accountability to track resources to host countries, as is being done in a number of extractive industries projects have, on the whole been difficult to set up and operate – but are still in their infancy to clearly establish their efficacy. By and large, though, jurisdictions with solid incentive structures and dedicated governance structures in extractive industries have on the whole operated reasonably well, and have not had much of a necessity of special initiatives, including Chile, Botswana, Norway or Alaska.

This goes to show the importance of proper enabling conditions at the country level, is in all more effective method to control resource management than narrowly focused resource tracking paramagnets per se.

By the same token, there are differences of opinion about the value of corporate anti-corruption programs, compliance and associated codes of conduct. Given the many parties involved, the “going alone” practices have proven to be rather difficult, with limited effectiveness judging by the widespread corruption in countries and sectors where companies with such codes operate. Many in the business community believe that self-regulation, through for instance Business Principles for Countering Bribery is the right approach and that it is preferable to government regulation. Others argue that self-regulation is a sham and only government action can be expected to curb corruption.

When seen, however, as a component of a comprehensive anti-corruption program, they could provide a stimulus to more business-like and effective economic activity. Internal reviews of several companies’
corruption tends to agree that they are not a substitute for more comprehensive approaches, including government regulations: both are needed and each reinforces the other, and coalition-building approaches with relevant constituencies have tended to be more effective.

A “best practices” study undertaken by Transparency International USA of anti-corruption programs used by major American companies stressed that whether a code of conduct is only a piece of paper or it controls corporate behavior, depends on the compliance program the company uses. These include: (i) unequivocal commitment by top management, including hands of top-management involvement in policy formulation, articulation and implementation, (ii) clear policy statements that the company prohibits employees and third parties representing the company from offering anything of value, directly or indirectly, to government official to influence or reward an action; (iii) detailed guidelines regarding gifts and entertainment, and strict enforcement and compliance programs with applicable laws and regulations regarding corporate political contributions and their disclosure; and (iv) the existence of a system of internal controls and record keeping that ensures that company books accurately reflect its transactions, overseen by an audit committee, composed of outside directors and associated internal reporting.

All told, though, the absence of visible, discernible improvements despite this flurry of activity should be a warning that something important is missing. Under the circumstances, proposals for cutting or controlling flows of resources require the burden of proof – rather than benefit of doubt, at least when applied across the board, with little adaptation to individual country circumstances. At best, they may be necessary, but in no case sufficient conditions for improved and effective governance.

V. Tackling the Demand Side

Better vaguely right than definitely wrong

Governance dysfunction and attendant corruption occurs when economic opportunities for it prevail and political will to combat it is lacking. In a way, corruption is a symptom of fundamental economic and political problems. Addressing them effectively therefore requires dealing with the underlying economic, political, and institutional causes.

This requires looking at the demand side (i.e. the “receiving hand”), where rather strong empirical evidence suggests the following striking patterns (plotted in graphic form in the Annex of this article) that could constitute the bases for corrective policies:

- Corruption tends to be high, the weaker the rule of law and the institutions that impart justice in the countries concerned. Almost by definition, this makes zones of conflict easy prey for corruption.
- Similarly, the more societies are pluralistic and thus open to scrutiny, the lower the levels of corruption. The empirical evidence suggests that countries with the strongest civil liberties tend to have greater public accountability and lower corruption, with similar interrelationships among civil liberty, civil strife and public performance.
- It also stands to reason that the higher the professional levels in civil service, or the sheer existence of a credible public administration (a particular neuralgic issue in zones of conflict), the lower are the perceived levels of corruption.
- Conversely, more often than not, at the root of the problems, one can find excessive discretionary powers of leaders and administrations -- as the old saying goes: “power corrupts, absolute power corruptions absolutely.”

The foregoing essentially points towards corruption being an entrenched symptom of misgovernance often reflected in patronage, red tape, ineffective revenue generating and public service agencies -- and under extreme conditions, a source of civilian or military conflicts. At the same time, corruption, and its attendant breakdown in societal governance, can be reversed by dealing with the underlying public-private sector interface.

When officials in charge of public resources are accountable to their citizens, decision-making can become participatory. In turn, a participatory process can be the cornerstone to reform “sick” institutions and improve the welfare of citizenry. In the end, corruption is an entry point to deeper public/private interface reforms.

Successful reform should thus focus on changing policies and systems, rather than hunting for isolated culprits, adding new laws and regulations, or calling for a moral renovation. When public officials are paid meager salaries and offered no rewards for exceptional performance, and when penalties against the corrupt are rare and mild, we can expect corruption to flourish. Successful reforms aim at changing habits and attitudes by addressing the above-mentioned systemic problems, by:

- **Empowering:** And enabling civil society to hold state institutions accountable to the rule of law by: (a) ensuring freedom and dissemination of information; (b) providing for publicly driven hearings or similar arrangements for drafting laws, regulations or other vehicles of governmental acts; (c) developing media, civil society organizations, etc. to engage citizenry and level the playing field between government and the private sectors; and (d) building checks and balances to ensure: independent and effective judiciary, decentralization with accountability, and support civil society...
oversight arrangements. The more engaged a citizenry is in the fate of its country’s resources, the less likely it is that a government will risk public ire by tampering with such resources. With public involvement, the public expenditure management can serve effectively as a compact between governments and citizens.

- **Depoliticizing public administration**: And public finance through setting up the rudiments of: (a) meritocratic civil service; (b) transparent, monetized public sector with adequate remuneration; and (c) associated accountability in expenditures — by setting up independent treasury, audit, procurement functions and processes, and performance-based management processes. The more technical and non-discretionary the rules of surplus and public sector expenditures are (such as the establishment of thresholds for resource use or savings), state-of-the-art expertise to establish and guides public expenditure and saving policies, the better the chances for solid public resources management performance and public support.

- **Establishing accountability of political process and finance**: Through: (a) disclosure of parliamentary or equivalent legislature voting arrangements; (b) transparency in party financing; (c) asset declaration, conflict of interest rules and/or similar actions to build transparency of associated sections of political processes, (c) disclosure, accounting/audit and other transparent governance arrangements for private enterprises and public procurement arrangements. More broadly, an aggressive disclosure policy minimizes opportunities for abuse — just as the proverb states, *sunlight is the best disinfectant*, and produces a sense of ownership with its consequent accountability.

- **Building up mediating mechanisms**: Requiring as limited institutional-intensive arrangements as possible to facilitate an enabling environment for the development of movements and entrepreneurs, however fledging, though competition and entry through: (a) restructuring of monopolies to have competitive and open business environment; (b) regulatory simplification; (c) reducing discretionary powers of public authorities and establishing vehicles of contestations or mediation to facilitate proper airing of claims; ad (d) developing special oversight vehicles (such as o extractive resources management) to minimize temptations of diversion.

- **Supporting**: Local oversight efforts of activities involving international transactions through *global institutions*, by building up: (a) the transparency of tax and royalty payments, imports and exports; (b) establishing open business standards, associated internal control and enforcement arrangements; (c) debarring jurisdictions or countries, enterprises or individual engaged in corrupt practices; (d) strengthening money flow and trade oversight verification.

But here is where the commonalities end, and where the crucial country- and situation-specific situations begin. After all, there is one thing that is common to all countries: they are all different. The above-mentioned “levers of change” are the same for nearly every situation, but they can take you only so far, and play themselves out differently in every particular situation.

To carry out effective reform programs one has to start by: (i) diagnosing how the specific corrupt system works in the particular country or regional context through surveys, workshops with key players, to pinpoint specific vulnerable areas that need corrective action; (ii) overcoming political and bureaucratic resistance, and garnering support by focusing on early wins, building alliances with relevant parties, to gain broad support and momentum for the needed reforms, etc.; and (iii) crafting a sequenced plan of action to overcome corrupt systems, break the culture of cynicism, and build political momentum for transformation of government, civil society and enterprise sectors.17

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**VII.- Purchasing Public Positions**

![Graph showing levels of influence on high-level decisions in Colombia, Honduras, Peru](image)

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Graphs VI and VII illustrate how different the problems manifest themselves in different countries and thus the extent and varied focus of government capture in some countries, suggesting that in places like Colombia action needs to concentrate on elected offices like Parliament, the Executive and Municipalities, whereas in Honduras or Peru attention needs to be drilled down on the Judiciary and its associated bodies to build up rule of law.

In countries emerging from strong and sustained civil strife, the institutional dysfunction is inevitably more widespread and thus require actions on a broader array of “levers of change”, ranging from the government apparatus (executive, legislative judiciary) to independent oversight and watchdog bodies, civil society, media, etc.

VI. Meeting Supply and Demand

Focusing where the rubber hits the road

After decades of declarations, Conventions, experiments (mainly at the micro levels), it is fair to say that corruption remains hardly affected since the first surveys have been undertaken over two decades ago; institutions and policies that have been put in place were largely unable to channel orderly and sustained adjustments to respond to the tectonic changes under way, with consequent societal tensions and confrontations.

This suggests that we have a profoundly inadequate grip on the issue and a woefully inappropriate approach to overcome the issues. The above-mentioned initiatives should, at best, be seen as a mere beginning for addressing challenging governance demands for the new century. It would, however, be dangerously deluding, if not distracting to uphold this level of performance for the type of resilience societies need to confront emerging challenges. Three glaring shortcomings of ongoing approaches are:

- **First:** With no local grounding, and serious diagnoses of the issues to be resolved, most of them lack clear connections to the causes to be addressed as well as genuine indigenous constituencies, thereby requiring continuing conditionality, top-down institutional compulsion and increased donor or foreign dependency — a poor substitute for homegrown reform and tailor-made efforts to assure sustainability.

- **Second:** For the most part, they tend to rely on: (a) gathering of information and evaluation that are scarce and expensive, which inhibits internal and external controls, (b) weak information-processing skills at both the individual and institutional levels; (c) weak incentives if good performance goes relatively unrewarded and bad performance based on self-regulation rather than independent or countervailing institutions, which tend to avoid “rocking the boat”; and (d) dependence on oligopolistic players who, left to their own devices, many collude to avoid confrontation.

- **Third:** While such controlling efforts have their place, the inherent inefficiency of government and international agencies, obsolete tools, inadequate legal environments, and ineffective doctrines of many of today’s institutions limit the effectiveness of such approaches.

In those countries that succeeded combating corruption, they have done so by dealing with the underlying public-private sector interface. When officials in charge of public resources became accountable to their citizens, decision-making has become transparent and participatory. In turn, such approach becomes the cornerstone to reform institutions and improve welfare of citizenry.

In the end, corruption is an entry point to deeper public/private interface and governance reforms, which aim at changing habits and attitudes by addressing systemic problems.

In the same way as poor governance issues can be the trigger, if not the actual cause, of many conflicts, strong societies with inclusionary institutions and social policies as manifested in conflict-mediating institutions, such as efficient and non-corrupt bureaucracy, are more likely to be able to prevent or withstand the socioeconomic and political shocks associated with internal conflicts.

Important as well-performing public institutions and good governance are for internal peace, targeted actions are less likely to succeed in a distorted policy environment. So, in the end, the incentive structures emerging from policy action is the single most important element to assure sustainability even to confront adjustment needed for major structural shifts. Neither good policies nor good single-purpose actions or investments are likely to emerge and be sustainable in an environment with dysfunctional institutions and poor governance.

In any even, building or reforming public institutions is a complex task, both technically and politically. Accordingly, whenever possible it is better to trim institutions and processes rather than streamlining or automating them, and relying on incentives rather than complex organizational arrangements.

By and large, “first-generation” reforms, such as trade liberalization, could often be undertaken through actions of a relatively small number policymakers and public managers. More advanced and nuanced institutional reform, however, typically involve
fundamental changes in the “rules of the game” for a large number of civil servants and private citizens – thereby requiring actions over a wider array of actors, which are difficult to engineer institutionally.

Such changes are likely to require long-term and widespread commitment, in-depth knowledge, and extensive support. Even when reviewing the experience with individual tools, a survey of civil society monitoring practices of public procurement showed that the way to manage and apply them need strong adaptation to respond to local capabilities, institutional and policy contexts.18

VII. Wrappin Up

Walking the talk

The fight against corruption and its far-reaching ramifications consequences is emblematic of a larger struggle that does not get resolved with aspirational talk. It has to be approached through curtailing monopoly and discretionary powers, and increased transparency. In the end, corruption is a crime of calculation, not of passion. People tend to engage in corruption when the risks are low, the penalties mild, and the rewards great. Moving from words to deeds requires overcoming three deeply ingrained constraints:

First -- actions and results matter: The larger point that is usually overlooked is that the discussion needs to move from demanding to proposing and, above all, avoid confusing formalities and procedures, with actions on the ground. At best the former are proxies for tracking progress. They are, indeed, convenient and easy to observe intermediate results – but in no case the ultimate objectives being looked for (reduced corruption, increased efficiency and effectiveness) that matter, and are ultimately the societal objectives that one needs to observe or measure (however imperfectly).

Second – keys to accountability: Hitherto, for the most part, actions have tended to have a technocratic and State-driven approach to problem solving, with limited appreciation of the role of civil society, transparency, scrutiny, contestation, and the manner of holding accountable countries’ Administrations.19 As a result, mediating and empowering organizations, the institution of proper oversight arrangements with stakeholders’ inputs, checks and balances play only a marginal, if not perfunctory role in the arsenal of such interventions, muffling their impact on accountability and responsiveness.

Third -- constructing in disruptive environments: Most vehicles of assistance have essentially outmoded, project- and micro-While monitoring and compliance grounded approaches may work well at individual enterprises levels, they cannot be easily scaled up, without bureaucratization or loss of effectiveness. With rapid surge of private capital and human resources flows, and their attendant transfer of knowledge and technology, information, market access and finance, traditional approaches are clearly unable to replicate or supplement the performance of the new players in the field. Thus, the unbundled approach traditionally used by development agencies in the delivery of services (through economic, sector/policy, project work) oftentimes produces discontinuities and poor follow-up, resulting in difficulties in “walking the talk” and delivering on their project and policy promises. This requires recasting delivery instruments to flexibly respond to a wider range of players or trigger changing flow of events.

Admittedly, much of this is more easily said than done. Preparedness for a certain amount of well-structured experimentation will be highly desirable. More importantly, since corruption issues can be so pervasive, the concern will have to be handled holistically, in various fronts in tandem. As the old saying goes, “the ocean cannot be emptied with a teaspoon”. The greatest test of our success will be in our ability of crafting coalitions that transcend particular ideologies or vested interests, and devising policies that cut across silos or individual activities throughout the economy. No action is bound to have much meaning or significance, if it is designed by a few and carried in the hearts of none.

At an almost platitudinous level, the struggle for the future has to come from within societies – not from the bland and sedative process of international aid or advice, but from hard work that creates value where none existed before, building institutions that are account able for results. In this way, surpluses can be generated that can be plowed back into the human and physical infrastructure to enhance skills and able societies to sustain themselves in an increasingly competitive and changing world. To this end, policies and institutions will have to be rigorously probed and scrutinized in light of experience, and periodically adapted to meet the test of changing times.

Above all, emphasis should henceforth move towards prevention and the incentive structures to foster competitive and accountable behavior, so that usual constraints on enforcement and controls that have been hitherto the focus of action can overcome (if not skirt more effectively) existing vested interests.

ANNEX

1. “Para vencer la corrupción hay que entender sus causas” 
5. Gelb and Associates “Oil Windfalls – Blessing or Curse” (Oxford University, 1998).
7. Transparency International; Bribers Payers Index Survey, 2002. more that some 45% of executives from major companies resident in emerging countries have heard about the Convention.
10. www1.oecd.org/fatf/ 
Mapping the Trajectory of Succession Planning in Family Based Companies—A Critical Analysis

By Nilavro Chatterjee & Dr. Shivaji Banerjee

University of Calcutta

Abstract—Family businesses are the germination locus of all enterprise universally, they contribute a sizeable quantum of funds to their national exchequer throughout the free world globally. Their size and gamut are from micro corner shops to large conglomerates like TATA Empire, Ford, Samsung et al are globally known and recognized. The promoters are invariably ambitious, having sharp business acumen and profound compatibility with the environment and competition, the challenge emerges when through efflux of time the original group has to make way and successors to step in to their shoes, this is more so when there are multiple claimants and all of them might not have the caliber or inclination. The plausible solution to this enigma is the topic of this treatise with case studies, some succession are still ongoing process like Cyrus Mistry versus Tata and Lodha versus Birla, some has lost relevance like nationalization of IISCO a hangover of an old arcane concept.

Keywords: family companies, succession, successor entities, legal compliance.

GJMBR-G Classification: JEL Code: J13

Strictly as per the compliance and regulations of:
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Keywords: family companies, succession, successor entities, legal compliance.

I. Introduction

We deal with family business succession trajectory in diverse cases. Per se there is no definition on the term FAMILY COMPANY under Indian Law including the Company’s Act 2013. The term is empirical though widely used and understood. Family Companies hold equity either through self or spouse or by alter egos, which might be other name lenders or more recently or on large scale via the conduit of holding companies or trusts. In recent times widespread dilutions are ubiquitous both in terms of management and equity infusing outside capital and professional Executives. Nationalization during early seventies caused forced termination. Radical changes have evolved in the Indian business scenario post economic liberation amidst globalization and onslaught of the information Technology opening up of markets, flight of capital and skilled employees as well as havoc incentive terms offered by different governments to lure in capital and industry.

The evolving transformation models are complex and case studies are made to suggest suitable avenues for family companies seeking transformation and succession plan at low risk to stake holders and painless incisive procedure both for predecessor and successor entities. It is often a major paradox that the legal heirs would have the right of ownership, but unfortunately lacks the caliber to run the enterprise both from the perspective of academic prowess or the ability to be an entrepreneur or even in some cases developing interests in other avenues which are not commensurate with the family business.

The treatise deals with present governance system of five models:

1. Nationalization, with emphasis on IISCO and finishing off the Sir Biren family which ranked third just after Birla and Tata.
3. Family Council control with special emphasis on Dabur Group whose members exclude the females.
4. Takeover by others like Zandu to Emami.
5. Evolution to a Corporate entity like the Tata or even Reliance group.

II. Significance of the Study

Globally family business constitutes major chunk of the economy, a major source of employment payment to exchequer, and it is important that the enterprise are not extinguished with efflux of time inter alia the longevity of the original promoter(s). The new avenues are manifold. The old ruthless path of nationalization is now arcane, family settlement like those in Birla or Goenka group are working well for the present but in future may cause fissure or disputes, therefore, more and intricate study and procedure are needed, we have thus focused on Dabur, which has professional managers on the board, but family members masquerade behind a dainty veil to control the board albeit holding the ornamental seats of Chairman or Vice Chairman without any executive control. The females are excluded and this could be a challenge in the legal forum for violation of Article 14 of the Constitution of India. Family Business forms a major portion of the private sector in India and in many other countries having analogous socio economic system.

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Succession is an eternal enigma with uncertainty looming large yearning for a panacea. In order to avoid vague suggestions, there are concrete suggestions for statutory changes so that the new model is compatible with existing laws.

III. Review of Literature

A thorough analysis and evaluation of the available literature was difficult, very few have been written on Indian context, we have just indicated a view as noted below, and we feel the trajectory would be on a virgin path, instead of relying on past studies and the usual mode of finding the gaps thereto.

<table>
<thead>
<tr>
<th>Sl</th>
<th>Author</th>
<th>Year</th>
<th>Research Paper Name</th>
<th>Finding &amp; Conclusion</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Maria Jose Parada Balderrama</td>
<td>2012</td>
<td>Understanding different dimensions of the family business from a contingency perspective:</td>
<td>She discussed five interconnected dimensions of the family business from a contingency perspective, applying different theoretical frameworks, inter alia whether family bundle of resources can be either positive or negative and how family companies can be sustained over time as complexity increases and how family businesses professionalize their decision making domains and whether more professionalized companies may sustain their heritage advantage and parenting styles and its effect on next generation members and role of professional associations in family business</td>
</tr>
<tr>
<td>2</td>
<td>Ganapathi Battini And Jayanta Kumar Tripathy:</td>
<td>2011</td>
<td>Entrepreneurship Research in Indian Universities:</td>
<td>They have studied the trends in the growth and development of entrepreneurship research in Indian Universities during the recent past. Percentage of PhD Programs in entrepreneurship carried out in various Indian Universities.</td>
</tr>
<tr>
<td>3</td>
<td>Mohd Abass Bhat, Javeed Ahmad Shah Aijaz Ahmad Baba</td>
<td>2012</td>
<td>Literature Study on Family Business Management from 1990 to 2012</td>
<td>They discuss the economic liberalization and rapid expansion after 1990 and creation of growth opportunities, vis a vis resource capabilities to respond to them; the role of a custodian of existing wealth, the preservation route contrasting entrepreneurial route of exploiting opportunities with or without relevant resources and the heterogeneous results. Cynosure resources for all of them are their family, and their prime concern is wealth and welfare of their family. Dialectic of risks and returns of business growth and conservation of wealth of the family.</td>
</tr>
</tbody>
</table>

IV. Research Gap

Analyzing the available secondary data by way of informal interactions with different stake holders, we found that the question of future trajectory and prognostication thereto are still in a twilight zone. However, the behavioral pattern of the present board and managers of Kolkata based company shows that many options are now being contemplated either suo motu and/or with the aiding abetting of professionals like PWC and other Solicitor firms, yet the paucity of worthy successors or the unwillingness of the incumbent to relinquish the position remains very rigid. Adequate research in the domain of succession trajectory in India has not been conducted to the best of our knowledge and available data. Moreover, the facts and circumstances of each company are unique and there is no specific method to just replace the present controller with a new set of proto controllers, either in singular or multiple modes. Often hybrid modes like those of Tata have been appointed, split and partition has now taken place as observed in the once monolith Birla group now split in many companies albeit some hang over by cross holding through Birla Brothers! Yet, as we can freely express there is no specific panacea available for resolving corporate disputes in a family company.

V. Research Objectives

To study family governance system in family business in the originating stage, evolution through the passage of time inter alia changes in the socio economic locus, the current status (if applicable) and prognostication in the near future albeit considering the validity of such extrapolations.

To offer best alternative (s) for succession models with least possible incision or hindrance taking the Dabur model with modification on gender bias and other modifications with reference to corresponding changes in corporate laws and impacts mutatis mutandis are heavily favored maybe with a slight slant towards being over biased.

Based on above study suggest ways for modification in corporate law to accommodate family council as supplementary and/or complimentary to current governance system of the Board of Directors as ordained by the present Company’s Act 2013 as a
better bridge between the managers and owners in a perpetual manner. The relation of the board of directors, the share holders and the Dabur family committee needs to be weaved together by suitable amendments in the Indian law subject to the usual challenges made before the higher judiciary.

It is felt that to bridge a Western Corporate legacy both under the Anglo Saxon mode and American capitalist mode has to be amalgamated to our Indian ethos. In India the succession largely relies on civil succession Acts like the Hindu Succession Act and it has often consequences on corporate succession fates. This is amply seen in the case of the Birla Lodha dispute where the cause and effect of the testatrix is measured by the parameter of our succession law and the effect of transformed share holding unto the fate of several Birla Companies. The preponderance of one law over another would create a myriad of debate and the outcome is yet unknown being presently sub judice. The role of equity holders, the Board and external investors (both institutional and otherwise) would have effect on family companies, therefore, we would be working towards some new models which would be for perusal and vetting by law commission, the law makers, the National Company Law Tribunal and of course their Lordships of the Hon’ble High Courts and Supreme Court while examining the virus of the new enactment(s).

VI. Theoretical Framework

The Family Company has no statutory definition in India, so we have adopted empirical descriptions adopted by scholars. (handlers, 1989., Hollander & Elman ,1988 et al).

Existence of family relationships as a key factor in succession. Presence of family member on board of directors. Reflection of family values in businesses actions of family members reflected on reputation of business. Presence of relatives involved and who felt obligated to hold stock ignoring the financial reasons relationship between family members' positions in the business.

Family businesses can range in size from a small corner store to a large multinational corporation post liberalization era.

VII. Proposed Conceptual Framework

The proposed conceptual framework shows that the firm existence of the family company is the crux of the matter; this means no palpable disputes amongst the share holders inter alia the board of directors, the image of the company to the outside world, the value of the equity in the stock market and employee loyalty. Therefore the essential strengths has to be sustained, if possible improved, diversified by the new generation as one can see in DABUR and to a large extent in TATA and to some extent in ADITYA BIRLA group. This often has a façade of a corporate entity while at the latent core lies a quasi partnership. The concept has recently been coined by the Hon’ble Supreme Court in defining Companies which are really disguised Partnership. [WP 656 of 2006 Calcutta High Court. Hahnemann Laboratory Limited Versus Allahabad Bank] Therefore, the succession becomes difficult for example where the law of wakf and Hindu succession act has to be read together with the corporate law and SEBI guidelines and the impact of capital gain tax.

VIII. Research Methodology

Family Business forms a major portion of the private sector in India and in many other countries having analogous socio economic system. Succession is an eternal enigma with uncertainty looming large yearning for a panacea. The present treatise offers plausible solutions with particular reference to some Companies where from actual case study is possible. In order to avoid vague suggestions, there are concrete suggestions for statutory changes so that the new model is compatible with existing laws.

IX. Alternative Gate Ways

a) Five Models of Study
1. Nationalization with special emphasis on IISCO.
3. Family Council control with special emphasis on Dabur Group.
4. Takeover by others with special emphasis on Union carbide to Eveready to white knight role of Dabur albeit in persona and not in name of Dabur explicitly.
5. Evolution to Corporate style albeit a subtle control with special emphasis on Tata Group.

While Nationalization is now arcane, it is never the less discussed for historiography reasons. The other models are having respective prospects and consequences. The research recommends the Dabur Model albeit having palpable gender bias as a probable model, while attempting insight unto the white knight role to access succession in an unfamiliar line. The aim is to suggest to the law makers to propose suitable legislation to accommodate the family council to the realm and gamut of statutory law.

In order to avoid vague suggestions, there are concrete suggestions for statutory changes so that the new model is compatible with existing laws.

X. Model one Nationalisation

Throughout last century, we witnessed palpable bias towards Nationalization inter alia the Marxist economic dogma which held sway in India particularly during the interjection of the sixties and seventy decades.
In the communist countries both within Warsaw Pact and the Peoples Republic of China all privately held enterprise were forcibly taken over by the state without compensation to the owners, In Cuba all American family companies and their assets [General Motors, Chrysler, Coca Cola et al] were confiscated causing a general commercial embargo by USA.

The doctrine of Fabian socialism paved the way towards nationalization. In fact even in Britain the Government took over coal industries and other ventures mainly under the influence of the Labour Party. The Indian Government also complied with the populist trend and tried to fit the Government into the role of an Industrialist terming the same as Public Sector.

The general economic condition of India was abysmal post independence and partition particular in Eastern part and Bengal.

Partition of East Bengal to Pakistan led to Huge Refugees influx and consequent Less access to Assam and North East.

The Refugees found it immensely difficult to assimilate into the main stream.

This led to the blossoming of the Communist Parties under different hues and textures who were believed to be messiah of panacea.

The influence of the Communists on the Central Government was indelible and complex.

The reason of the leftist tilt of the Indira Government was largely political and dependence of the Votes of the leftist parties to counter the challenges posed by rightist parties of Jana Sangh and Swatantra which was overtly pro capitalist.

a) Political Back Ground of Nationalisation

General perception of the leftists were the private enterprises were exploiting and therefore should be taken over by the State. The utopia was believed by many to be a correct postulate transcending political divide.

The leftists led trade unions both under the aegis of the Congress in the form of INTUC and CITU led by the Communists loudly clamored for taking over many family companies specially the ones suffering due to the impact of strike, lock out and go slow strategy.

The trade unions started head on collision strategy and Bengal saw massive strikes, lock out and erosion of an environment fit for evolution and development of private enterprise dominated by family companies.

The panacea as then perceived was forcible seizure of the private enterprise and inter alia taking over by the state through Nationalization. The major prize was the Indian Iron and Steel Company, [IISCO] a proud family company of Sir Biren Mookerjee, who failed to court the establishment, maintaining his Anglo Saxon pride.

b) Flight of Capital & Courting the Establishment During the Turbulent Time

Many Companies in order to escape the labour problem migrated elsewhere, some shifted their offices, other their manufactories, sometimes both.

A few had delusions that they could survive without courting the establishment like Martin Burn and IISCO, they now felt the wrath of the Government both at Centre and state and the huge marauding trade unions under their explicit patronage honing their predatory teeth to gnaw.

Examples are numerous some are Glaxo, Hindustan than Lever, Ponds et al All of them moved their registered offices from Kolkata and migrated to Mumbai. They escaped the paws of the leftist trade unions to a great extent by establishing new manufactories in other parts of India but were at risk of central policy of take over which was avoided by subtle methods of courting the establishment through mutual reciprocal gestures of a bouquet of inducements.

This was a major paradigm shift, the commercial capital of India which was Kolkata lost its apex position and Mumbai took over as the Commercial capital of India which position it holds till the present time.

Others like the Goenka group remained along with Birla and part of Tata group, they were implicitly courting the establishment to survive in a turbulent time.

c) Why Nationalisation was Promoted: Some Purported Reasons

- True and proper rendering of Financial Accounts and inter alia full payment of Income tax as it was largely believed that family companies are tax dodgers.
- Full compliance of Labour rules and proper payments of Provident fund, and increments to the employees, which was perceived as being liable to be evaded by the private sectors.
- Avoidance of doling out work to alter ego entity contractors of higher echelon of Company executives inter alia depriving the employees on pay roll and elimination of contract labourers which prevails in family companies having recourse to a very large employee base.
- Social contribution by the new enterprise which was expected as a quasi welfare organization. This was of course at a time frame when CSR was unknown or not at all perceived.
- The easing of the conflict of management and trade union thereby the removal of the risk factors of Strikes, lock out Ghareau etc.

d) Nationalisation [IISCO Taken as a Case Study]

The Indian Iron & Steel Company [IISCO] was at the third position in 1972. It was taken over in 1972 and nationalized in 1974 without compensation to promoters.
Other Corporations like UCO Bank of Birla group and Balmer Lawrie of Goenka group were also grabbed by the Union Government.

The Mookerjee group was finished by both taking over IISCO and the incision of the umbilical chord of Martin Burn by abolishing Managing agencies.

e) Aftermath of lisco post Nationalisation & Facts Revealed at Indian Parliament

After the initial euphoria, it was ex facie apparent to all and sundry that the Government failed to be even an ersatz industrialist, failures were everywhere in all public sectors including Nationalized Banks, Doordarshan, BSNL et al. We now show indelible acts of fraud on IISCO as revealed in the Indian Parliament by a great scholar politician.

f) Basudeb Acharya Speech at Parliament During 2000

It was proved that Government never invested any fund which was the fulcrum promise prior to taking over the family company. All input money was spent on account heads not related to modernization Government was planning to somehow sell the white elephant even concealing the latent assets in form of deposited iron ore and coal.

No one dared to take in an Industry which was once a dividend paying company due to huge work force and accumulated loss and a truculent labour force of more than 25 thousand.

g) Recent Update on lisco

The Indian Prime Minister has taken up steps since 2015 to modernize IISCO via SAIL the mother concern of IISCO.

As the Government is now moving towards privatizing the public sector, including the taken over family companies of IISCO, Air India, Balmer Lawrie, the model is now proved arcane and having no role in succession of family companies.

At best some residuary roles may exist with reference to moribund tea estates which are in such shape that transfer of other mode of ownership is nearly impossible due to huge liability and other morbid issues. One example is the Duncan group, which may be taken over by the State Government as workers are suffering even dying.

XI. Model Two Amicable Settlement

Family Companies may opt for an amicable settlement amongst heirs of the original Promoter.

Birla group after death opted for a family settlement after death of G D Birla. This resulted in formation of satellite companies and neo groups like Aditya Birla group, C K Birla Group, M P Birla group and K. K. Birla group. This was achieved without much acrimony and moving the Court either through civil procedure or under the usual heading of oppression and mismanagement [section 234 of the Company’s Act 2013]

The companies had huge cross holding of shares and holding companies and the transfer was complex with huge expenditure in the nature of capital gain tax. Yet, the same was by and large successful though not fully complete as residuary shares remain with rival groups.

The latter imbroglio of MP Birla versus Lodha is a different chapter and remains outside the present scope of discussion. The matter is sub judice and it is not proper to draft treatise till the matter is resolved in the Hon’ble Court.

Goenka group had two terms of settlement, one with brothers of Rama Prasad, and latter the partition amongst his sons Harsh and Sanjeev Goenka.

The amicable settlement has led to growth of multiple entities as seen in both Birla group and Goenka group with Harsh and Sanjeev forming two distinct family companies but pleasantly having cordial relationship among them.

These entities are now independent family companies They have avoided conflicts among themselves to a large extent. In fact some elements of symbiosis are apparent, sometimes in a subtle nuance.

These entities after partition would again face the vicious circle on the question of further succession for example who would succeed say Mr. Sanjeev Goenka and which manner?

XII. Model Three Family Council Control Over Family Companies with Example of the Dabur Group

The Dabur group was founded in the last century as a small Ayurvedic manufactory by promoter S. K. Burman himself being a Ayurvedic practitioner.

Through Efflux of time it grew, shifted base to Delhi and became a very large corporation.

All through its history it has accumulated wealth, took over other companies like Balsara, Fem et al and never had open conflicts like the Birla Lodha case, or was subject to taking over via nationalization.

Dabur has a superintending family council consisting all the male members of the family, above the age of 25, numbering over 10, which acts as an interface between the family and the Board and management of Dabur. It meets every quarter, after Board Meeting announces the financial results. At each Council meeting, the executives will present the performance of the business to the Council, thereby affording discussion between management and family, sometimes in informal settings.

Family Council is entirely male--no wives, sisters or mothers may join.
The constitution and the council do not govern personal matters. But may consider proposal to start a new venture; one can present it to the council. Council’s role is looking after the broader business strategies and vision of company.

Family Business Council provides venture capital funding for new business ideas for the members, in fact it has done so while purchasing shares of Eveready very recently.

Family Constitution: Family policies and guiding vision and values that regulate member’s relationship in business, this is a written document giving full details of all parameter providing the Burman family of clear succession process and dividend policy.

The positions of chairman and vice chairman have, historically, been held by members of the family. Further, neither of them draws salaries; their income is only from dividends.

These two roles are also rotated within the four branches of the Burman by the family council. There are never more than four family nominees on the 12-member board at any given point in time.

Family members cannot occupy executive positions in Dabur, except the board level representation. The family members can only hold the Chairman and Vice-Chairman positions in the business.

The 4 family members on the Dabur board represent the two branches of the family--descending from the two grandsons of the founder. The chairmanship is rotated between the different families and is arrived at by consensus.

Employment Policy- A family member has to prove his worth by working in other outside organizations before joining Dabur. No Family members can occupy executive positions in Dabur. Only professional outsiders play that role.

a) A few Debatable Issues

- The question as to why female members are not included is not explained and therefore has to be modified immediately. Whether this would come under Public interest petition or a Suit under the Corporate or civil laws is however debatable.
- The applicability of the model is to fit in to the Company’s Act 2013 read with the Arbitration laws to make the role of the council more transparent as well as binding on the board of Directors and a reference point for the Indian Judicial system.
- Therefore, the paper suggests to the law commission and the legislators to consider amendment in the corporate law to accommodate the complementary and supplementary role inter alia a good interface model which may be inferred as controller cum arbitrators and/or funding reserves.
- This model otherwise takes care of inheritance in family companies and may be appropriate if the next generation do not have the mettle of the earlier promoters to run a corporation. Hence this model with modification is suggested.
- We also suggest additional Audit Committees in a perpetual mode consisting of professional Chartered Accountants, Cost Accountants and Company Secretaries who would be rotated yearly to avoid any plausible nexus.
- Stakeholders Relationship Committee to monitor a rights issue versus public issue governor to oversee the transfer of shares within and or outside and the impact on the equity holding of the companies.
- Nomination and Remuneration Committee to encourage both the promoter and non promoter executives including the experts as defined under Section 45 of the Indian Evidence Act.
- Risk Management Committee to carefully analyze critical movement particularly merger, amalgamation and white knight roles.
- Ceo Role - This position would be strictly on merit and election. For example Mr. Sunil Duggal of Dabur group is a non family member. Similar situation is seen in Tata group and may be replicated in most family companies, reserving the apex position strictly on the basis of merit and election.

These suggestions need to be formalized and presented in the form of a statute with appropriate Acts and Rules framed there under.

b) Model four take over by Others

In India Family Companies often change hands by take over by other family companies who may act as a predator or collaborator.

Himani by Emami group, Zandu by the same group, Balsara by Dabur, Martin Burn by Fatehpuria et al. The succession success rate is diverse, and not having a predictable trajectory for reasons obvious.

One interesting take over is CESC, here a corporate whose shares were traded in London were taken over by the Goenka family and the Company forms part of the RPG group.

The iconic Rama Prasad Goenka was in fact dubbed as take over king when he took over several companies including Balmer Lawrie, CESC, CEAT etc.

Similarly some like Duncans taken over by Goenka group is in dismal condition so much so that the present Government may even consider taking it over to protect the life of the hapless tea workers whose salaries are due in several gardens, the arcane concept of Nationalization may thus have some relevance as the present Duncans group is in moribund shape where no investor would be interested after even having a cursory glance over the sordid balance sheet of the company. The fate of the hapless employees is another episode and left for others to see the quantum of responsibility of the Bhattacharya led West Bengal Government.
c) Union Carbide to Eveready to Dabur?

Union Carbide an American multinational was taken over by Eveready Group when the company was in severe distress following the Bhopal Gas tragedy. A major asset was obviously the brand Eveready whose dominance of the dry cell market was overwhelming in India and remains a coruscating icon even today. It was another example of a corporate company changing to a family Company, another classical reverse Engineering coup de tat.

Eveready Group was owned by Khaitans of Williamson group. Though initially quite successful, the Company faced decay particularly regarding servicing its debt factor and thereafter the company is facing financial crunch and the price of its share was facing issues.

Recently one member of Burman family has invested funds in forms of equity and acted as a white knight without insisting on board representation right away, the prognostication of take over though cannot be ruled out or collaboration as joint venture.

This model is a mélange cocktail of takeover, failure and then again attempts to rejuvenate the corporation by third party intervention, albeit in a persona mode.

d) Model five Evolution to Corporate style Albeit a Subtle control with Special Emphasis on Tata Group

The chairman of Tata Sons Private Limited is usually the chairman of the Tata Group. Though entirely informal he is reckoned as a chieftain of the company. As of 2020, there have been eight chairmen of Tata Group and inter alia a private Company has always kept control of a very wide and massive corporation of several companies spread globally. Obviously the executive functions of all the Companies are as per the f Companies Act 2013, SEBI and all other regulatory norms yet the aroma of a family company is becoming more and more remote and akin to a corporate corporation having an erstwhile

Founded by JAMSETJI NUSSERWANJI TATA (1868–1904) the Company has inducted both family members as well as outsiders within executive ambit.

Though there is a serious dispute between the Tata Company and the Cyrus Mistry family who holds a substantial equity in Tata group, the present chairman is not a family member and the board members of the holding company do not explicitly hold the TATA name or heritage. However, if Mr. Mistry wins the case it would create an unprecedented turmoil and the Tata family would incude a Mistry family.

Natarajan Chandrasekaran (2017-Present chairman is a much respected executive. The company he is heading are in excellent shape and run like a corporate company comparable to its size and gamut. The extent of any family member is obviously a closely guarded classified episode.

Therefore, this model is also a substantially viable model though it has failed to rectify the inherent miasma of equity holding in the parent company or could avoid the court room battle between the company and Mr. Cyrus Mistry.

The harmony of the new Company law with the Arbitration law of India and the ambit of amicable settlement as much as possible without recourse to knocking the judicial doors is where we try to conclude and solemnly desire not to enrich lawyers who are fighting for the Tata and Birla group and in a way damage the corporations and its stake holders. One can immediately refer to the current trend at the stock exchange inter alia the battle between Birla and Lodha and Tata and Cyrus Mistry, to amply justify this simple fact. The Birla case is now of decades vintage.

The Law commission, the legislator and the different corporate forum be consulted for achieving the desired change for consensus decision and avoiding long protracted debates.

XIII. Future Scope

a. To frame multiple questionnaires to family companies and their plausible and probable plans for future. thus to increase the accuracy of the results future researchers may increase the sample size.

b. The questionnaires were to be distributed to all companies in India with some bias on Kolkata based companies. Thus, it is advisable to include more Companies for future research as it can also provide a wider perspective.

c. Common variables such as promotion and brand can also be included in the framework in order to investigate whether customer get influenced by these factors or are in any way influenced by change of ownership.

d. Requesting our Members of Parliament to debate in the parliament inter alia to change the law after usual vetting by the law commission in tandem with the law ministry.

e. Though a Central subject we can also involve the Legislative Assembly members for a similar exercise.

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Trade Union Revitalisation: Does Member Commitment Matter?

By Farai Ncube
Midlands State University

Abstract- Trade union revitalisation; does member commitment matter? This is a million dollar question the study attempts to answer. In this article the researcher reviews whether member commitment matters in trade union revitalisation. The research equally determines the extent to which member commitment leads to trade union revitalization through applying the ordinal least squares model to predict the relationship between member commitment and trade union revitalisation. Findings reveal the existence a positive relationship between employee commitment and trade union revitalisation. The researcher then develops a trade union revitalisation model based on the findings.

Keywords: commitment, trade union, revitalisation, hospitality industry and zimbabwe.

GJMBR-G Classification: JEL Code: J51

Strictly as per the compliance and regulations of:
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I. Introduction

The continued fall of trade unions globally has captured the attention of several commentators. In the face of this haemorrhaging of union membership over the past decades globally, a number of union movements have adopted variants of an ‘organising approach’ to arrest and reverse membership decline (Kelly, 2015). The past two decades have seen much debate within the labour movement about the potential for union revitalization and the forms such a renewal might take (Bridgen & Kaine 2015). Of concern has been the rise of neo-liberalism and globalization which ultimately has sparked a period of aggressive anti-union measures, forcing unions to rethink existing strategies and approaches, hence the deafening call for commitment and trade union revitalisation (Foster, 2017). Despite the difficulty nature of commitment as construct to measure basic indicators point to lack of member commitment in participating on union business (Ncube, 2016). While this represents the global phenomenon, Zimbabwean trade unions have not been spared.

The Zimbabwe economy relies on three sectors, agriculture, mining and tourism (Zhou, 2017). As one of the key economic sectors of the country tourism has contributed to economic empowerment, employment creation, foreign currency generation and infrastructure development. Tourism has created thousands of employment opportunities. The sector is covered by three unions that represent workers, the Zimbabwe Catering and Hotel Workers Union (ZCHWU), the Hospitality and Allied Workers Union (HAWU) and the Zimbabwe Catering and Hospitality Industry Workers Union of Zimbabwe (CHIWUZ). The study focuses on the dominant union the Zimbabwe Catering and Hotel Workers Union efforts to harness member commitment and revitalisation. The other two unions’ stands accused of having zombie structures, confused and fighting the main union. At its peak around 1999 membership was around 34 000 but currently having less than 6000 members. While revitalisation as a concept is still under investigation globally, we argue that in Zimbabwe the call for union revitalisation has reached dizzy heights and become deafening given that the sector now employs well above 81 000 employees (Zhou 2017).

II. Research Purpose and Objectives

According to the World Travel and Tourism Council (2017) the total contribution of travel and tourism to employment in 2017 was 4.4% of total employment amounting to 69,000 jobs and the number projected to grow to 81 000 by 2020. With the increase in employment numbers trade unions if well organised stands a chance to fully organise and be able to boost numbers. The presence of a well oiled strategy for harnessing member commitment modelled around the dire need for revitalisation can save the trade union movement. Sad enough the trade union concerned continue to shrink wailing over a gamut of challenges compromising member commitment. Against this background the study sought to determine efforts by the ZCHWU to harness member commitment and revitalisation seeking:

- To determine whether the reluctance of employees to join trade unions has an influence on trade union revitalisation;
- To assess whether employee commitment to trade unions has an influence on trade union revitalisation;
- To find out which trade union revitalisation strategies are in-place and;
- To assess whether the revitalisation strategies in place are enough and effective.

III. Literature Review

Trade unions remain important at the workplace despite facing a series of challenges. Navak, (2015) points out that unions have a crucial role to play. Unions are significant as they focus on the economic role to
ensure productivity and fair resource allocation (Landau & Howe, 2016). They also play a democratic function of enhancing worker-voice within the work environment and the societal context at large (Dixon, 2017). Most importantly, they play a social function of minimising the threat of segregation within various workplaces and the community at large (Corbyn, 2017). Given the identified role and challenges unions are facing, the widespread awareness that trade unions may thrive if there is a genuine representation of the 21st workforce makes this study imperative. Navak (2015) points out that trade unions have a responsibility to take care of the future, revitalisation, therefore, is not optional but a must. Trade unions are important agents of socio-economic transformation and class struggle always representing the working class interests against capitalist exploitations (Okechukwu, 2016). Their ability to satify the above guarantee their continued existence. Commitment is earned where members perceive the union is providing dividends. It is this commitment that shape member attitudes and behaviours towards the unions.

The identified functions above have been hampered by a series of challenges that have affected the effective functioning of unions, compromising member commitment. Several researches on union revitalisation in different countries focused on revitalisation through trade union collaborations, social movement unionism, political affiliation, and union leadership and democracy (Blyton & Jenkins, 2013; Michael & Bridgen & Kaine, 2015; Schamlz & Thiel 2016). Hyman, et al (2014) suggests revitalisation of unions through evolving with the changes in the business environment. Naffonso (2014) says unions’ revitalisation recognises new forms of employment. At the heart of revitalisation has been the issue of member commitment, given that the decision to join a union is personal decision. All these studies partly fail to address issues linked directly to what can intrinsically motivate or push workers to join unions or to remain in the unions.

The existence of trade unions, and their ability to improve the lives of workers, ultimately hinges on their capacity to attract and maintain members (Kellmeyer, 2013). This point directly to the need to ensure the commitment of all those already unionised. These acts as ambassadors of the union, and their participation in union business adds tempo. Currently, trade unions are struggling to sustain the size of their membership because workers who are less inclined to join trade unions are becoming more prevalent in the workforce. Thus, labour movement, require a deeper understanding of union membership decline, and factors that can enhance worker commitment hence the call for revitalisation. Contributing factors to this phenomenon includes polarization, market decline, technology and globalization (Rivers & Truitt, 2014). Union movements in most countries have faced decades of decline in union membership and density, and in bargaining power, a context which has stimulated many studies of unions’ revitalization strategies, including workplace organizing and mobilization, membership participation structures, leadership and decision-making structures (Kirton, 2017).

Balasubramanian and Sarkar (2015) suggest that union revitalisation has been conceptualised both as a process and an outcome given that it is examined as a phenomenon, or an activity carried out by unions and examined through lenses of power and influence. In simple terms, revitalisation can be viewed as an attempt by unions to reverse the union decline. It can also be viewed as a renewed influence at workplace, politics, increase in membership and institutional consolidation (Foster, 2017). Forster (2017) points out that union revitalisation describe the process of change, underway or desired, to put new life and vigour in the labour movement to rebuild its organizational and institutional strength. Scholarship has come up with a number of revitalisation strategies. Kelly (2015) proposed union revitalisation through rebuilding power resources through organising, mobilising and regaining power over ideas about injustice at work. Ackers (2015), on the other hand, proposed partnership strategies as superior for unions, given that mobilisation against employers and governments are not sustainable in the long run. Lukhami, Kuruvilla, and Augar (2013) proposed that unions can reinvent their ‘repertoires of contention’, namely through political action and external coalitions.

Revitalisation has been studied by a number of scholars in different countries. Other scholars underscored the importance of opening up their ranks and organising women (Mrozwicki & Trawinska, 2013), by focusing on precarious workers (Keune, 2013), young workers (Hodder & Kretos, 2015) and migrant workers (Adler et al., 2014) while for Gumbrell-McCormick and Hyman, (2013) they say focus should be on coaltional power and building external solidarity. Foster (2017) carried a study on trade union in one Canadian Province of Alberta using the case of Local 401. Foster (2017) observed the rise of neo-liberalism and globalisation as a spark of aggressive antiunion measures, which in turn has forced unions to rethink existing strategies and approaches, hence the need for revitalisation. Findings from Foster (2017) study identified that the union efforts to accidentally targeted the hard to unionise groups such as migrants, women and the young.

Another interesting study of IG Metal, in Germany on union revitalisation is by Schamlz and Thiel (2017); their findings reveal a success story of a union revitalising itself through consolidating its political influence, thus registered a continuous rise in membership. Schamlz and Thiel (2017) focused on the importance of leadership in the organisation’s multilevel structures. Another interesting trade union revitalisation
study was conducted by Laroche and Dufour-Poirier (2017) in Quebec. The focus, unlike that of Schamalz and Thiel (2017); Foster (2017); Ibsen and Tapia (2017) was on member education as a key dimension of soliciting for member commitment and revitalisation. The two unions developed broad based labour education and training programs aimed at helping their young members understand the major economic, political, and social issues and participate more actively in internal union business.

Behrens, Hamann, and Hurd (2004) developed and popularised a trade union revitalisation model. The authors realised that, unions across the globe are seized with different challenges, hence, they propose a number of dimensions towards union revitalisation. These include the following: membership dimension, economic dimension, political dimension and finally the institutional dimension which was developed to encompass unions’ internal structure, dynamics, and identity. Under the membership dimension the seminal study by Behrens, Hamann, and Hurd (2004) pointed out that union revitalization along the membership dimension consists of three measurable factors which include an increase in membership numbers, an increase in membership density, and a change in the composition of union membership. They explained that rising numbers of union members normally leads to increased resources for unions in terms of membership dues and people that can be mobilized in campaigns. Density is a commonly used indicator of union strength because it reflects the share of the workforce that is unionized and has implications for legitimacy, representativeness, and bargaining power. They also point out that successful revitalization efforts may depend on changing the attitudes and expectations of existing membership.

The economic dimension includes bargaining power, the ability to achieve wage and benefit improvements; and more broadly, labour’s impact on the distribution of wealth. Union revitalization along these lines implies use of traditional and innovative methods to increase economic leverage (Behrens, Hamann, & Hurd, 2004). Revitalization along political lines implies that unions improve the effectiveness of their efforts to influence policy-making process, either through traditional or innovative methods. This is very crucial for revitalisation. The dimension involves union interaction with crucial actors at all levels of government elections, legislation, and implementation. Thus, under this, unions can influence electoral outcomes by supporting a political party or in the selection of candidates who in turn listens more to the union. That way the union becomes more active in drafting or promoting legislation that alters regulation of the industrial relations framework, affects industries and markets. The idea is that unions represent or try to recruit workers, or improve social conditions for union and non-union members alike. Finally, revitalization along the institutional dimension is sometimes spearheaded by changes in the other three dimensions as pointed out by Behrens, Hamann and Hurd, (2004). They exemplify the ability of a union to organise groups that were previously marginalized. Union structures can lead to the creation of new departments (e.g. for disabled or young professional), which can then influence the unions’ larger goals and eventually lead to a redefinition of strategies. Revitalization along institutional lines does not clearly emerge out of observed indicators of union strength or decline as it is a concept that is difficult to measure.

IV. Methodology

For the purpose of this research the study adopts a mixed method approach. As a mixed method, the research utilised an explanatory design using sequential phases (quantitative-qualitative). The mixed method approach was selected based on the primary advantage of providing a different picture and allowing flexibility to intersect data (Clark & Ivankova, 2016; Barker, 2016). The research also adopted a case study (qualitative) of the hospitality industry as well as applying a survey (quantitative). In this study, the researchers utilised a single case study (of the hospitality industry), with embedded units (three groups of hotels). The researchers chose to make a single case study with embedded units (Gustafsson, 2017). We collected quantitative data first from a sample of 227 participants through a likert scale which formed the basis for qualitative data collection through interviews and focus group discussions with 18 members of the National Employment Council. The primary focus was on determining the relationship between member reluctance to join trade union and trade union revitalisation, as well as determining the relationship between member commitment and trade union revitalisation. Qualitatively through intensive one on one interviews key strategies for trade union revitalisation were unearthed. The researcher observed ethical issues from the research problem, purpose and questions, data collection, data analysis and interpretation up to ethical issues in writing and disseminating research. The quantitative data obtained was analysed through the use of the Statistical Package for the Social Sciences (SPSS) version 25. The research utilised descriptive and inferential statistics.

V. Discussion of Findings

a) Employee commitment to trade unions has an influence on trade union revitalisation

To determine the relationship between employee commitment and trade union revitalisation the researcher adopted a linear regression analysis through applying the ordinal least squares model. The
predicaments of the models are illustrated as shown below:

Ordinal least squares model

\[ Y = \beta_0 + \beta_1 X_1 + \beta_2 X_2 + \epsilon \]

Where:
- \( Y \): Trade union revitalisation being the dependent variable.
- \( X_1 \): Employee reluctant to join trade union being the independent variable.
- \( X_2 \): Employee commitment.
- \( \epsilon \): Error term.

On hypothesis determination, findings revealed that the same change on employee commitment will influence the same change in terms of coefficient on trade union revitalisation as illustrated below.

### Table 1: Hypothesis determination

<table>
<thead>
<tr>
<th>Variables</th>
<th>Regression coefficient</th>
<th>R Square</th>
<th>Adjusted R Square</th>
<th>Alpha test</th>
<th>Sig. level (5%)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Tra Revi Emplo Commi</td>
<td>0.16</td>
<td>0.83</td>
<td>0.85</td>
<td>3.00</td>
<td>0.003</td>
</tr>
</tbody>
</table>

Source: SPSS version 25

We note that findings as shown by Table 1 above indicate that there exists a weak positive relationship between employee commitment and trade union revitalisation. 3.00 alpha tests indicates that a weak positive relationship exists between employee commitment and trade union revitalisation as also aligned by a p-value of 0.003 that was tested a 5% confident level. The findings prove that the more the employees are committed in joining trade unions the more the trade unions are revived. Findings concur with Gall and Fiorito, (2016) who point out that the goals of protecting and enhancing the employees’ living standards motivate workers to join trade unions and stay in the union.

Gaining of power is often an implicit goal for unions and act as a motivator for members to join unions (Lévesque & Murray, 2013). Members can join a trade union and stay within and participate in union activity if the trade union is able to secure benefits for its membership at large (Gall & Fiorito, 2016). Dufour-Poirier and Laroche, (2015) point out that the ability of unions to properly market themselves, through proper education of the perceived union benefits, training of union workers, opportunities for growth, proper leadership and governance remains key towards membership attraction. Trade unions are there to enhance the economic well-being of workers in organisation. Since time immemorial trade unions have been acting as political protagonists of minimum wage regulations (Seeliger, 2018).

### Table 2: Model Summary employee commitment and TU revitalisation

<table>
<thead>
<tr>
<th>Model</th>
<th>R</th>
<th>R Square</th>
<th>Adjusted R Square</th>
<th>Std. Error of the Estimate</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>.251</td>
<td>.063</td>
<td>.058</td>
<td>.56886</td>
</tr>
</tbody>
</table>

a. Predictors: (Constant), trade union commitment

Finding from the Table 2 above eludes the fact that the predictive power of the model is at 25%. This implies that 25% of the experiences of employees with trade unions can be understood through commitment to trade unions \((r = 0.25)\). As such, the model indicates that 75% of the findings from this research are from confounding variables that may have an implication on the commitment to trade unions. The model also expressed very low positive relationship between reluctance to join trade unions and trade union revitalization \((r^2 = 0.063)\). Therefore, such findings forward the fact that commitment to trade unions cannot be the only viable variable to understand trade union revitalization.

### Table 3: Employee commitment to trade unions has no influence on trade union revitalization

<table>
<thead>
<tr>
<th>Model</th>
<th>Sum of Squares</th>
<th>Df</th>
<th>Mean Square</th>
<th>F</th>
<th>Sig.</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Regression</td>
<td>4.222</td>
<td>1</td>
<td>4.222</td>
<td>13.048</td>
</tr>
<tr>
<td></td>
<td>Residual</td>
<td>62.778</td>
<td>194</td>
<td>.324</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Total</td>
<td>67.000</td>
<td>195</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

a. Predictors: (Constant), trade union commitment
b. Dependent Variable: trade union revitalization
Findings from the study highlights that there are significant differences between and within trade union commitment that influence trade union revitalization (p = 0.003). This highlights that trade union commitment has a huge bearing on how trade union revitalization, that is commitment by individuals towards trade unions influence how they perceive and appreciate trade union engagement and involvement.

b) Identified revitalisation strategies adopted by the union

As a mixed method approach the researchers through interviews and focus group discussions with 18 NEC members the following were identified as the strategies in place to revitalise the union. Based on the findings from the quantitative data above, we proceeded to focus on the trade union strategies in place for revitalization, suggesting whether these strategies can increase member participation as well as member commitment.

c) Provision of the education and training syllabus

Interviewees pointed out that, as a way to revitalise the union launched the education and training syllabus and curriculum in 2018. The document spells out the vision and mission of the union and appeals to potential union members, current union members and previously unionised members and also management in various hotel and restaurant facilities. This strategy collaborates well with the views of Schamalz and Thiel (2017) who points out to training as key strategy for revitalisation. Foster (2017) weighs in by suggesting education on union benefits to new members as a pillar for revitalisation. Ibsen and Tapia (2017), also points out to member education as a key dimension of revitalisation. This suggests that without basic education and training members don’t realise the benefits of joining and maintaining union membership. Only through massive education and training can unions’ conscientise members, which subsequently harness member commitment and automatically lead to revitalisation.

We argue that the above strategy enhance membership and union density. Rising numbers of union members translate into increased resources for unions, including membership dues and people that can be mobilized in campaigns hence a pointer in the right direction for revitalisation (Foster, 2017). In simple terms density is a commonly used indicator of union strength because it reflects the share of the workforce that is unionized and thereby has implications for legitimacy, representativeness, and bargaining power. This is in line with Dufour-Poirier and Laroche, (2015) who point out that the ability of unions to properly market themselves, through proper education of the perceived union benefits, training of union workers, and opportunities for growth, proper leadership and governance remains key towards membership attraction. This eventually leads to trade union revitalisation.

d) Provision of biller codes

The study revealed that the union was failing to fully implement its programs due to financial challenges due to non remittance of union dues. Sentiments by some interviewees pointed out that some potential members due to fear of managerial persecution could not join the union, or directly support the union fearing victimisation. In response the union introduced the biller code system to facilitate direct payment of union dues by members. Union representatives pointed out that they had an Eco-cash Biller Code facility, a Tele-cash Biller Code facility and One Wallet Biller Code (these are modern soft money transfer facilities). From the findings presented a common view by respondents pointed to low membership calling for the need to revitalise. The same concern was pointed out by Ellen, Goods and Todd (2019) who reiterated that declining membership is both cause and effect of weakened workplace presence, organizing campaigns. From the respondents, lack of financial resources explained the weak capacity of the union to recruit members as well as in ability to adequately fight for those present. This situation compromised member commitment through negativity encouraged by the weak bargaining power of the union. This same view is supported by Ackers (2015) who insists that the vicious cycle of loss of union power resource leads to greater obstacles to renewal. Enhancing financial status pointed the union in the right direction to be able to fund and sustain its programs and activities.

e) Collaborating with other stakeholders

The union leadership pointed out that they were working with other institutions both locally and internationally. Findings point out that the union as an affiliate was working with the Zimbabwe Congress of Trade Unions (ZCTU representing the biggest labour centre) as well as 3F which represents the Danish Federation of Trade Unions (DFTU) for technical guidance, leadership, corporate governance, organising and training of shop stewards. This is in line with Ackers (2015), who propose partnership strategies as superior for unions, given that mobilisation against employers and governments are not sustainable in the long run. This helps the union in shaping its stratagy and tact. With such guidance unions are able to organise and have clear benefits to members which may enhance the member commitment which is a panacea to trade union revitalisation. Lukhami, Kuruvilla, and Augar (2013) proposed that unions can reinvent their ‘repertoires of contention, building external coalitions as in the case above. With all benefits pointed out commitment eventually becomes easy to get given the tangibles and intangibles members enjoy hence triggering revitalisation (Schamalz and Thiel 2017)
f) Corporate wear

Findings also revealed that the union with the little financial flows trickling in has been on an overdrive to produce branded material for its members. Respondents pointed out that the union had contacted a supplier for caps, t-shirts, diaries, pens and calendars that members in each hotel group were given through their worker’s committee representatives and shop stewards. The other respondent explained that even managers at times would demand or request union diaries which was a noble gesture to foster mutuality. Through this, the union leadership claimed that they had been able become visible and were positive that in the era of revitalisation such efforts added value. This auger well with Dufour-Poirier and Laroche, (2015) who point out that the ability of unions to properly market themselves, and through proper education of the perceived union benefits, remains key towards membership attraction and member commitment. This leads to trade union revitalisation through membership dimension.

g) Farming plot

Data collected revealed that as a way to revitalise and be able to fund its operations the union acquired a farm for horticultural produce for commercial purposes. With such products in place the union enhances its financial capacity to be able to fund its endeavours. With enough financial resources the union is able to support all its members on need basis, which paints the union in a good light. Such small tokens for members induce commitment and engagement. That can trigger non union members as well to participate hence making it an ideal strategy for revitalisation along the economic dimensions (Behrens, Hamann and Hurd, 2004). We argue that the bargaining power of a union is determined by its financial muscle. Such fun raising initiatives places the trade union at a relative advantage.

h) Participation on workers committee selection

The research also established that the union used the selection of workers committee in all hotels as an opportunity to revitalise through managing the whole election exercise. Findings reveal that the Collective Bargaining Agreement provides that all workers committee selection elections are coordinated by union. The same CBA points outlined that for workers to be eligible to contest in workers committee elections the first criteria was to be a member of ZCHWU. Non-union members cannot participate in the election. The strategy effectively adopted is one of the best in marketing the union to its members and potential members, given the direct benefits accrued by being in leadership. Behrens, Hamann and Hurd, (2004) suggest that unions may revitalise politically by also seeking to increase influence with government administration, particularly through enforcement of legislation as in this case where through the NEC platform the union has been able to influence the selection of workers committees. When the union is also in control member perception on the benefits of the union is directly seen and realised.

VI. Housing Corporation

The other strategy the union executive pointed out was designed to lure members was use of housing stands. From the data collected, the union had negotiated with local authorities in Bulawayo and Harare for residential stands for members and beneficiaries to this were compliant members and active members in union business. This according to one executive has, ‘induced people to join the union in their numbers.’ Given a lot of fraudsters in the real estate and property development most people were comfortable with such schemes organised by labour after following a serious due diligence exercise. Such a strategy directly allows the union to showcase benefits of membership. With this strategy commitment is easily harnessed and revitalisation completely achieved. The perceived benefits compel people not only to join the union but also to participate in the union business.

a) Setting up new structures within the union

One of the revitalisation efforts made by the union as pointed out by the respondents relates to the creation of three fundamental departments. The leadership pointed out that they created a youth wing, women wing and informal sector desk. We view this as revitalisation efforts towards the institutional dimension as pointed out by Behrens, Hamann and Hurd, (2004). Findings reveal that women were under represented even in the executive as well as young employees. Setting the departments created a platform for a strategic renewal. We argue that the institutional dimension addresses unions’ organizational structures and governance, as well as internal dynamics. In simple terms it comprises unions’ capacity to adjust to new contexts, internal enthusiasm to embrace new strategies, and a sense of introducing something new and ‘fresh’ to the union that is not adequately captured by the other three dimensions. A key aspect is the role of union leaders who promote new ideas and build internal political will to support change. Revitalization along the institutional dimension is sometimes spearheaded by changes in the other three dimensions. This is also supported by Schamlz and Thiel (2017) who focused on the importance of leadership in the organisation’s multilevel structures. Union leadership can either help to attract or discourage potential members through their actions, we argue that where there is poor leadership member perception is adversely affected but where there is proper leadership member perception can be positively affected. Kelly (2015) proposed union revitalisation through rebuilding power resources through organising, mobilising and regaining power over ideas about injustice at work.
VII. Discussion

From the above findings it is clear that member commitment to trade union remains critical for trade union revitalisation. Findings revealed existence of a negative relationship between reluctance of employees to join trade unions and trade union revitalisation evidenced by a -3.02 alpha tests aligned by a p-value of 0.003 that was tested a 5% confident level. The research also established a need for a positive relationship between employee commitment and trade union revitalisation at 3.00 alpha tests aligned to a p-value of 0.003 tested a 5% confident level. As voluntary organizations, unions depend upon their members acting voluntarily in ways which facilitate the achievement of union goals. Thus individual commitment becomes to trade union revitalisation as espoused by Hyman (2014). Without member commitment trade unions may find it hard to effectively market themselves. This is supported by the views from Gordon, Philbot, Burt, Thompson and Spiller (1980) commitment model, which suggest the ability of union to attain its goals is generally based on the members' loyalty, belief in the objectives of organized labour, and willingness to perform services voluntarily thus making commitment part of the very fabric of unions. Findings from the research echoed the same sentiments. At the heat of revitalisation thus lies commitment (Kelly, 2015; Schamz and Thiel 2017)

According to the attitudinal approach, commitment develops as a result of some combination of work experiences, perceptions of the organization, and personal characteristics, which lead to positive feelings about an organization which in turn becomes commitment. According to the attitudinal approach, commitment develops as a result of some combination of work experiences, perceptions of the organization, and personal characteristics, which lead to positive feelings about an organization which in turn becomes commitment. According to the attitudinal approach, commitment develops as a result of some combination of work experiences, perceptions of the organization, and personal characteristics, which lead to positive feelings about an organization which in turn becomes commitment.

Commitment according to (Al-Jabari & Ghazzawi, 2019) can be viewed as the relative strength of an individual’s identification with and involvement in a particular organization and in this case with the union. This happens primarily as a result of the benefits offered by the union to members. This therefore marks the first step towards for revitalisation. Drawing from Gordon et al. (1980) union commitment is the extent to which a person has a strong desire to retain membership in the union, and is willing to exert effort for the union, and finally believes in the objectives of organized labour. The above finding point out to this state with the identified revitalisation strategies. While a number of problems bedeviling the union are identified, Simms, (2015) suggest the selection of the best strategies to induce member commitment leading to revitalisation. While the union may be still finding its way in the hoods an array of hope is given by a number of scholars covered under ensuring commitment for full revitalisation (Gunnigle et al., 2015; Eyantimi, Burgess and Daryaram, 2019; Clibborn, Lansbury and Wright, 2016).

a) Proposed Framework for Trade Union Revitalisation

The researcher acknowledge that trade union revitalisation has been widely studied by a number of scholars (Blyton & Jenkins 2013; Bridgen & Kaine 2015; Navak 2015; Schamz & Thiel, 2016, Lindau & Hove 2016, Dixon 2017). Each of these scholars came up with different dimensions of trade union revitalisation. The framework adopted by the researcher developed and applied had an additional component of trade union commitment. The model points out to the existence of both internal and external factors affecting unions, which the findings confirmed. Given the effects of these factors the model suggests the trade union response to the changes through revitalisation efforts mainly through political revitalisation, economic revitalisation, membership revitalisation and institutional revitalisation, to which findings points directly to all these components initially developed by Brehens, Hamann and Hurd (2004). The model suggests conditions that may attract membership as well as structural issues that trade unions should engage in. However the initially proposed model ignored the direct government support for union and as well as the direct support of the trade union by the labour centre to which the union is affiliated. Findings propelled the researcher to add these two components though they are partly covered under politics. The adopted model suggests that a union despite politically aligned to any group or section on national politics the blessings of the government remains crucial. This corresponds well with the findings from the study where participants pointed the need for an enhanced government support. Once structurally correct with right conditions in place the outcome is trade union commitment, exhibited by a number of individual employee behaviours, ranging from being loyal to trade union, willingness to work for unions, responsibility to unions and subsequently belief in unions, as also guided by Gordon, Philbort, Burt, and Spiller (1980) This will increase trade union membership, which in turn will revitalise trade unions through an increase in union density, power and influence.

To harness commitment the model applies Herzberg, Mausner and Synderman (1959)’s two factor theory. The model borrows both the hygiene and motivators components. Given the collection of different views from such renowned researcher the model
developed strengthens the commitment level to trade union which gives the union an antidote for trade union revitalisation. As pointed out earlier while there are so many dimensions and angles of trade union revitalisation the proposed framework appears to be ideal given the current context in which the trade union is operating in. The researcher argues that the overwhelming consistency of findings regarding that which makes employees committed to trade unions and the four dimensions of trade union revitalisation identified by the model underpinnings strongly suggest its applicability. Thus this model can be adopted and be fully applied as an ideal model for revitalisation within the hospitality industry specifically or any other industry generally. Thus this empirically informed conceptual framework can serve as a tool and operational guide for developing employee commitment to ensure effective revitalisation.

Equally the proposed framework appeals to the current challenges trade unions are facing. In its own right the proposed framework matched the findings in heralding all the challenges that are internal that the trade union can directly control while also addressing the external that the union may not control directly but make effort to engage. The only limiting aspect of the model has been failure to point out to partnership with mainly the social union movement (SMU). SMU is viewed as one of the best ways to a union can adopt to mobilise the strength in numbers in-order to apply maximum economic leverage. While findings and any other proposal was not directly heralded by respondents the researcher suggests that for the proposed commitment framework to be adopted and operationalised there is need to embrace social movement unionism, through partnering with other unions and social groups and other institutions in the down-stream industry. By and large the framework fits well in the context and can be adopted in the process of revitalising trade unions.

b) Ncube Trade Union Revitalisation Framework
VIII. Conclusion and Recommendations

The research concludes that the future of trade unions in the hospitality industry is extremely bright, given that the hospitality industry is tipped to be one of the growing industries. Trade unions may face challenges but these challenges with a well-informed strategy can be easily overcome. The researcher argues that for trade union to fully revitalise there is need to ensure membership commitment is induced at all cost. All union members join unions because of the perceived union benefits and it is the primary responsibility of trade unions to offer such benefits and make sure that members are aware of the benefits. The research also concludes that the trade union can never walk this journey alone but can leverage on maintaining a platonic relationship with management. Of concern again is the fact that the while the relationship between the trade unions and politics is real, trade union leaders should balance their political activists and their mandate to represent their rank and file members effectively. Political association can be both a curse and a blessing but the primary focus of the union should be to further the needs of its rank and file of members. The research also concludes by pointing out that rank and file employees are extremely important and the presence of well-trained shop stewards should be a must. To ensure effective revitalisation we recommend that the union also engage in social movement unionism which leadership never pointed out, we urge the union to continue engaging in income generating programs to be self-sufficient as well as train all shop stewards for them to enhance their skills; we also urge continued support, collaboration and mutual respect towards management. That collaboration benefits the union more and can help in the revitalisation of the union. We maintain that the future of unions lies in its recognition and acceptance by management.

a) Practical application of the study

While several researches have been undertaken on trade union commitment as well as on trade union revitalisation no specific study has been done in Zimbabwe to that effect. While trade unions as independent organisations their survival depend on numbers. The study provides relevant information to trade unionists on what can be done to harness member commitment and ensure effective revitalisation takes place. The success of trade union is determined by member commitment, as their identification with the union make them brand ambassadors of the union in the quest for membership. While numbers are law with the identified strategies the future for unions’ remains bright.

b) Limitations

While the study extracted valuable information on factors that enhances worker commitment leading to trade union revitalisation focus has been on one union which is the dominant union. Time permitting and resources the study could have been exhaustive by also focusing on the supposedly zombie structures of the two other rivalry unions in the industry. While they may have little influence and a negligible membership their views may add value. Focus has been on one area that is the capital city making it hard to generalise the findings. The set up may be slightly different from what may be happening in other cities. In future a larger sample and population covering the whole country may be required.

c) Recommendation for future research

While the study focussed on commitment and trade union revitalisation the researchers feel the study is not conclusive. Given this reality we propose that a study be undertaken looking within the internal structures of the union. While perceived benefits create the desire to join and participate in unionism this alone may not be enough. Internal democracy and power struggles within the union can defeat the whole revitalisation exercise. Equally we propose that a study be undertaken focusing deeply on both behavioural and attitudinal commitment to the union. Finally a study can also be undertaken on the possibility of integration the unions within the industry.

References Références Referencias

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Authors can submit papers and articles in an acceptable file format: MS Word (doc, docx), LaTeX (.tex, .zip or .rar including all of your files), Adobe PDF (.pdf), rich text format (.rtf), simple text document (.txt), Open Document Text (.odt), and Apple Pages (.pages). Our professional layout editors will format the entire paper according to our official guidelines. This is one of the highlights of publishing with Global Journals—authors should not be concerned about the formatting of their paper. Global Journals accepts articles and manuscripts in every major language, be it Spanish, Chinese, Japanese, Portuguese, Russian, French, German, Dutch, Italian, Greek, or any other national language, but the title, subtitle, and abstract should be in English. This will facilitate indexing and the pre-peer review process.

The following is the official style and template developed for publication of a research paper. Authors are not required to follow this style during the submission of the paper. It is just for reference purposes.
Manuscript Style Instruction (Optional)

- Microsoft Word Document Setting Instructions.
- Font type of all text should be Swis721 Lt BT.
- Page size: 8.27” x 11”, left margin: 0.65, right margin: 0.65, bottom margin: 0.75.
- Paper title should be in one column of font size 24.
- Author name in font size of 11 in one column.
- Abstract: font size 9 with the word “Abstract” in bold italics.
- Main text: font size 10 with two justified columns.
- Two columns with equal column width of 3.38 and spacing of 0.2.
- First character must be three lines drop-capped.
- The paragraph before spacing of 1 pt and after of 0 pt.
- Line spacing of 1 pt.
- Large images must be in one column.
- The names of first main headings (Heading 1) must be in Roman font, capital letters, and font size of 10.
- The names of second main headings (Heading 2) must not include numbers and must be in italics with a font size of 10.

Structure and Format of Manuscript

The recommended size of an original research paper is under 15,000 words and review papers under 7,000 words. Research articles should be less than 10,000 words. Research papers are usually longer than review papers. Review papers are reports of significant research (typically less than 7,000 words, including tables, figures, and references)

A research paper must include:

a) A title which should be relevant to the theme of the paper.
b) A summary, known as an abstract (less than 150 words), containing the major results and conclusions.
c) Up to 10 keywords that precisely identify the paper’s subject, purpose, and focus.
d) An introduction, giving fundamental background objectives.
e) Resources and techniques with sufficient complete experimental details (wherever possible by reference) to permit repetition, sources of information must be given, and numerical methods must be specified by reference.
f) Results which should be presented concisely by well-designed tables and figures.
g) Suitable statistical data should also be given.
h) All data must have been gathered with attention to numerical detail in the planning stage.

Design has been recognized to be essential to experiments for a considerable time, and the editor has decided that any paper that appears not to have adequate numerical treatments of the data will be returned unrefereed.

i) Discussion should cover implications and consequences and not just recapitulate the results; conclusions should also be summarized.
j) There should be brief acknowledgments.
k) There ought to be references in the conventional format. Global Journals recommends APA format.

Authors should carefully consider the preparation of papers to ensure that they communicate effectively. Papers are much more likely to be accepted if they are carefully designed and laid out, contain few or no errors, are summarizing, and follow instructions. They will also be published with much fewer delays than those that require much technical and editorial correction.

The Editorial Board reserves the right to make literary corrections and suggestions to improve brevity.
It is necessary that authors take care in submitting a manuscript that is written in simple language and adheres to published guidelines.

All manuscripts submitted to Global Journals should include:

**Title**

The title page must carry an informative title that reflects the content, a running title (less than 45 characters together with spaces), names of the authors and co-authors, and the place(s) where the work was carried out.

**Author details**

The full postal address of any related author(s) must be specified.

**Abstract**

The abstract is the foundation of the research paper. It should be clear and concise and must contain the objective of the paper and inferences drawn. It is advised to not include big mathematical equations or complicated jargon.

Many researchers searching for information online will use search engines such as Google, Yahoo or others. By optimizing your paper for search engines, you will amplify the chance of someone finding it. In turn, this will make it more likely to be viewed and cited in further works. Global Journals has compiled these guidelines to facilitate you to maximize the web-friendliness of the most public part of your paper.

**Keywords**

A major lynchpin of research work for the writing of research papers is the keyword search, which one will employ to find both library and internet resources. Up to eleven keywords or very brief phrases have to be given to help data retrieval, mining, and indexing.

One must be persistent and creative in using keywords. An effective keyword search requires a strategy: planning of a list of possible keywords and phrases to try.

Choice of the main keywords is the first tool of writing a research paper. Research paper writing is an art. Keyword search should be as strategic as possible.

One should start brainstorming lists of potential keywords before even beginning searching. Think about the most important concepts related to research work. Ask, “What words would a source have to include to be truly valuable in a research paper?” Then consider synonyms for the important words.

It may take the discovery of only one important paper to steer in the right keyword direction because, in most databases, the keywords under which a research paper is abstracted are listed with the paper.

**Numerical Methods**

Numerical methods used should be transparent and, where appropriate, supported by references.

**Abbreviations**

Authors must list all the abbreviations used in the paper at the end of the paper or in a separate table before using them.

**Formulas and equations**

Authors are advised to submit any mathematical equation using either MathJax, KaTeX, or LaTeX, or in a very high-quality image.

**Tables, Figures, and Figure Legends**

Tables: Tables should be cautiously designed, uncrowned, and include only essential data. Each must have an Arabic number, e.g., Table 4, a self-explanatory caption, and be on a separate sheet. Authors must submit tables in an editable format and not as images. References to these tables (if any) must be mentioned accurately.
Figures

Figures are supposed to be submitted as separate files. Always include a citation in the text for each figure using Arabic numbers, e.g., Fig. 4. Artwork must be submitted online in vector electronic form or by emailing it.

Preparation of Electronic Figures for Publication

Although low-quality images are sufficient for review purposes, print publication requires high-quality images to prevent the final product being blurred or fuzzy. Submit (possibly by e-mail) EPS (line art) or TIFF (halftone/photographs) files only. MS PowerPoint and Word Graphics are unsuitable for printed pictures. Avoid using pixel-oriented software. Scans (TIFF only) should have a resolution of at least 350 dpi (halftone) or 700 to 1100 dpi (line drawings). Please give the data for figures in black and white or submit a Color Work Agreement form. EPS files must be saved with fonts embedded (and with a TIFF preview, if possible).

For scanned images, the scanning resolution at final image size ought to be as follows to ensure good reproduction: line art: >650 dpi; halftones (including gel photographs): >350 dpi; figures containing both halftone and line images: >650 dpi.

Color charges: Authors are advised to pay the full cost for the reproduction of their color artwork. Hence, please note that if there is color artwork in your manuscript when it is accepted for publication, we would require you to complete and return a Color Work Agreement form before your paper can be published. Also, you can email your editor to remove the color fee after acceptance of the paper.

Tips for Writing a Good Quality Management Research Paper

Techniques for writing a good quality management and business research paper:

1. Choosing the topic: In most cases, the topic is selected by the interests of the author, but it can also be suggested by the guides. You can have several topics, and then judge which you are most comfortable with. This may be done by asking several questions of yourself, like “Will I be able to carry out a search in this area? Will I find all necessary resources to accomplish the search? Will I be able to find all information in this field area?” If the answer to this type of question is “yes,” then you ought to choose that topic. In most cases, you may have to conduct surveys and visit several places. Also, you might have to do a lot of work to find all the rises and falls of the various data on that subject. Sometimes, detailed information plays a vital role, instead of short information. Evaluators are human: The first thing to remember is that evaluators are also human beings. They are not only meant for rejecting a paper. They are here to evaluate your paper. So present your best aspect.

2. Think like evaluators: If you are in confusion or getting demotivated because your paper may not be accepted by the evaluators, then think, and try to evaluate your paper like an evaluator. Try to understand what an evaluator wants in your research paper, and you will automatically have your answer. Make blueprints of paper: The outline is the plan or framework that will help you to arrange your thoughts. It will make your paper logical. But remember that all points of your outline must be related to the topic you have chosen.

3. Ask your guides: If you are having any difficulty with your research, then do not hesitate to share your difficulty with your guide (if you have one). They will surely help you out and resolve your doubts. If you can’t clarify what exactly you require for your work, then ask your supervisor to help you with an alternative. He or she might also provide you with a list of essential readings.

4. Use of computer is recommended: As you are doing research in the field of management and business then this point is quite obvious. Use right software: Always use good quality software packages. If you are not capable of judging good software, then you can lose the quality of your paper unknowingly. There are various programs available to help you which you can get through the internet.

5. Use the internet for help: An excellent start for your paper is using Google. It is a wondrous search engine, where you can have your doubts resolved. You may also read some answers for the frequent question of how to write your research paper or find a model research paper. You can download books from the internet. If you have all the required books, place importance on reading, selecting, and analyzing the specified information. Then sketch out your research paper. Use big pictures: You may use encyclopedias like Wikipedia to get pictures with the best resolution. At Global Journals, you should strictly follow here.
6. **Bookmarks are useful:** When you read any book or magazine, you generally use bookmarks, right? It is a good habit which helps to not lose your continuity. You should always use bookmarks while searching on the internet also, which will make your search easier.

7. **Revise what you wrote:** When you write anything, always read it, summarize it, and then finalize it.

8. **Make every effort:** Make every effort to mention what you are going to write in your paper. That means always have a good start. Try to mention everything in the introduction—what is the need for a particular research paper. Polish your work with good writing skills and always give an evaluator what he wants. Make backups: When you are going to do any important thing like making a research paper, you should always have backup copies of it either on your computer or on paper. This protects you from losing any portion of your important data.

9. **Produce good diagrams of your own:** Always try to include good charts or diagrams in your paper to improve quality. Using several unnecessary diagrams will degrade the quality of your paper by creating a hodgepodge. So always try to include diagrams which were made by you to improve the readability of your paper. Use of direct quotes: When you do research relevant to literature, history, or current affairs, then use of quotes becomes essential, but if the study is relevant to science, use of quotes is not preferable.

10. **Use proper verb tense:** Use proper verb tenses in your paper. Use past tense to present those events that have happened. Use present tense to indicate events that are going on. Use future tense to indicate events that will happen in the future. Use of wrong tenses will confuse the evaluator. Avoid sentences that are incomplete.

11. **Pick a good study spot:** Always try to pick a spot for your research which is quiet. Not every spot is good for studying.

12. **Know what you know:** Always try to know what you know by making objectives, otherwise you will be confused and unable to achieve your target.

13. **Use good grammar:** Always use good grammar and words that will have a positive impact on the evaluator; use of good vocabulary does not mean using tough words which the evaluator has to find in a dictionary. Do not fragment sentences. Eliminate one-word sentences. Do not ever use a big word when a smaller one would suffice. Verbs have to be in agreement with their subjects. In a research paper, do not start sentences with conjunctions or finish them with prepositions. When writing formally, it is advisable to never split an infinitive because someone will (wrongly) complain. Avoid clichés like a disease. Always shun irritating alliteration. Use language which is simple and straightforward. Put together a neat summary.

14. **Arrangement of information:** Each section of the main body should start with an opening sentence, and there should be a changeover at the end of the section. Give only valid and powerful arguments for your topic. You may also maintain your arguments with records.

15. **Never start at the last minute:** Always allow enough time for research work. Leaving everything to the last minute will degrade your paper and spoil your work.

16. **Multitasking in research is not good:** Doing several things at the same time is a bad habit in the case of research activity. Research is an area where everything has a particular time slot. Divide your research work into parts, and do a particular part in a particular time slot.

17. **Never copy others’ work:** Never copy others’ work and give it your name because if the evaluator has seen it anywhere, you will be in trouble. Take proper rest and food: No matter how many hours you spend on your research activity, if you are not taking care of your health, then all your efforts will have been in vain. For quality research, take proper rest and food.

18. **Go to seminars:** Attend seminars if the topic is relevant to your research area. Utilize all your resources.

19. **Refresh your mind after intervals:** Try to give your mind a rest by listening to soft music or sleeping in intervals. This will also improve your memory. Acquire colleagues: Always try to acquire colleagues. No matter how sharp you are, if you acquire colleagues, they can give you ideas which will be helpful to your research.

20. **Think technically:** Always think technically. If anything happens, search for its reasons, benefits, and demerits. Think and then print: When you go to print your paper, check that tables are not split, headings are not detached from their descriptions, and page sequence is maintained.
21. **Adding unnecessary information:** Do not add unnecessary information like "I have used MS Excel to draw graphs." Irrelevant and inappropriate material is superfluous. Foreign terminology and phrases are not apropos. One should never take a broad view. Analogy is like feathers on a snake. Use words properly, regardless of how others use them. Remove quotations. Puns are for kids, not grunt readers. Never oversimplify: When adding material to your research paper, never go for oversimplification; this will definitely irritate the evaluator. Be specific. Never use rhythmic redundancies. Contractions shouldn't be used in a research paper. Comparisons are as terrible as clichés. Give up ampersands, abbreviations, and so on. Remove commas that are not necessary. Parenthetical words should be between brackets or commas. Understatement is always the best way to put forward earth-shaking thoughts. Give a detailed literary review.

22. **Report concluded results:** Use concluded results. From raw data, filter the results, and then conclude your studies based on measurements and observations taken. An appropriate number of decimal places should be used. Parenthetical remarks are prohibited here. Proofread carefully at the final stage. At the end, give an outline to your arguments. Spot perspectives of further study of the subject. Justify your conclusion at the bottom sufficiently, which will probably include examples.

23. **Upon conclusion:** Once you have concluded your research, the next most important step is to present your findings. Presentation is extremely important as it is the definite medium through which your research is going to be in print for the rest of the crowd. Care should be taken to categorize your thoughts well and present them in a logical and neat manner. A good quality research paper format is essential because it serves to highlight your research paper and bring to light all necessary aspects of your research.

**Informal Guidelines of Research Paper Writing**

**Key points to remember:**
- Submit all work in its final form.
- Write your paper in the form which is presented in the guidelines using the template.
- Please note the criteria peer reviewers will use for grading the final paper.

**Final points:**

One purpose of organizing a research paper is to let people interpret your efforts selectively. The journal requires the following sections, submitted in the order listed, with each section starting on a new page:

**The introduction:** This will be compiled from reference matter and reflect the design processes or outline of basis that directed you to make a study. As you carry out the process of study, the method and process section will be constructed like that. The results segment will show related statistics in nearly sequential order and direct reviewers to similar intellectual paths throughout the data that you gathered to carry out your study.

**The discussion section:**

This will provide understanding of the data and projections as to the implications of the results. The use of good quality references throughout the paper will give the effort trustworthiness by representing an alertness to prior workings.

Writing a research paper is not an easy job, no matter how trouble-free the actual research or concept. Practice, excellent preparation, and controlled record-keeping are the only means to make straightforward progression.

**General style:**

Specific editorial column necessities for compliance of a manuscript will always take over from directions in these general guidelines.

**To make a paper clear:** Adhere to recommended page limits.

**Mistakes to avoid:**
- Insertion of a title at the foot of a page with subsequent text on the next page.
- Separating a table, chart, or figure—confine each to a single page.
- Submitting a manuscript with pages out of sequence.
- In every section of your document, use standard writing style, including articles ("a" and "the").
- Keep paying attention to the topic of the paper.
- Use paragraphs to split each significant point (excluding the abstract).
- Align the primary line of each section.
- Present your points in sound order.
- Use present tense to report well-accepted matters.
- Use past tense to describe specific results.
- Do not use familiar wording; don't address the reviewer directly. Don't use slang or superlatives.
- Avoid use of extra pictures—include only those figures essential to presenting results.

Title page:
Choose a revealing title. It should be short and include the name(s) and address(es) of all authors. It should not have acronyms or abbreviations or exceed two printed lines.

Abstract: This summary should be two hundred words or less. It should clearly and briefly explain the key findings reported in the manuscript and must have precise statistics. It should not have acronyms or abbreviations. It should be logical in itself. Do not cite references at this point.

An abstract is a brief, distinct paragraph summary of finished work or work in development. In a minute or less, a reviewer can be taught the foundation behind the study, common approaches to the problem, relevant results, and significant conclusions or new questions.

Write your summary when your paper is completed because how can you write the summary of anything which is not yet written? Wealth of terminology is very essential in abstract. Use comprehensive sentences, and do not sacrifice readability for brevity; you can maintain it succinctly by phrasing sentences so that they provide more than a lone rationale. The author can at this moment go straight to shortening the outcome. Sum up the study with the subsequent elements in any summary. Try to limit the initial two items to no more than one line each.

Reason for writing the article—theory, overall issue, purpose.
- Fundamental goal.
- To-the-point depiction of the research.
- Consequences, including definite statistics—if the consequences are quantitative in nature, account for this; results of any numerical analysis should be reported. Significant conclusions or questions that emerge from the research.

Approach:
- Single section and succinct.
- An outline of the job done is always written in past tense.
- Concentrate on shortening results—limit background information to a verdict or two.
- Exact spelling, clarity of sentences and phrases, and appropriate reporting of quantities (proper units, important statistics) are just as significant in an abstract as they are anywhere else.

Introduction:
The introduction should "introduce" the manuscript. The reviewer should be presented with sufficient background information to be capable of comprehending and calculating the purpose of your study without having to refer to other works. The basis for the study should be offered. Give the most important references, but avoid making a comprehensive appraisal of the topic. Describe the problem visibly. If the problem is not acknowledged in a logical, reasonable way, the reviewer will give no attention to your results. Speak in common terms about techniques used to explain the problem, if needed, but do not present any particulars about the protocols here.

The following approach can create a valuable beginning:
- Explain the value (significance) of the study.
- Defend the model—why did you employ this particular system or method? What is its compensation? Remark upon its appropriateness from an abstract point of view as well as pointing out sensible reasons for using it.
- Present a justification. State your particular theory(ies) or aim(s), and describe the logic that led you to choose them.
- Briefly explain the study's tentative purpose and how it meets the declared objectives.
Approach:
Use past tense except for when referring to recognized facts. After all, the manuscript will be submitted after the entire job is done. Sort out your thoughts; manufacture one key point for every section. If you make the four points listed above, you will need at least four paragraphs. Present surrounding information only when it is necessary to support a situation. The reviewer does not desire to read everything you know about a topic. Shape the theory specifically—do not take a broad view.

As always, give awareness to spelling, simplicity, and correctness of sentences and phrases.

Procedures (methods and materials):
This part is supposed to be the easiest to carve if you have good skills. A soundly written procedures segment allows a capable scientist to replicate your results. Present precise information about your supplies. The suppliers and clarity of reagents can be helpful bits of information. Present methods in sequential order, but linked methodologies can be grouped as a segment. Be concise when relating the protocols. Attempt to give the least amount of information that would permit another capable scientist to replicate your outcome, but be cautious that vital information is integrated. The use of subheadings is suggested and ought to be synchronized with the results section.

When a technique is used that has been well-described in another section, mention the specific item describing the way, but draw the basic principle while stating the situation. The purpose is to show all particular resources and broad procedures so that another person may use some or all of the methods in one more study or referee the scientific value of your work. It is not to be a step-by-step report of the whole thing you did, nor is a methods section a set of orders.

Materials:
*Materials may be reported in part of a section or else they may be recognized along with your measures.*

Methods:
- Report the method and not the particulars of each process that engaged the same methodology.
- Describe the method entirely.
- To be succinct, present methods under headings dedicated to specific dealings or groups of measures.
- Simplify—detail how procedures were completed, not how they were performed on a particular day.
- If well-known procedures were used, account for the procedure by name, possibly with a reference, and that's all.

Approach:
It is embarrassing to use vigorous voice when documenting methods without using first person, which would focus the reviewer’s interest on the researcher rather than the job. As a result, when writing up the methods, most authors use third person passive voice.

Use standard style in this and every other part of the paper—avoid familiar lists, and use full sentences.

What to keep away from:
- Resources and methods are not a set of information.
- Skip all descriptive information and surroundings—save it for the argument.
- Leave out information that is immaterial to a third party.

Results:
The principle of a results segment is to present and demonstrate your conclusion. Create this part as entirely objective details of the outcome, and save all understanding for the discussion.

The page length of this segment is set by the sum and types of data to be reported. Use statistics and tables, if suitable, to present consequences most efficiently.

You must clearly differentiate material which would usually be incorporated in a study editorial from any unprocessed data or additional appendix matter that would not be available. In fact, such matters should not be submitted at all except if requested by the instructor.
Content:

- Sum up your conclusions in text and demonstrate them, if suitable, with figures and tables.
- In the manuscript, explain each of your consequences, and point the reader to remarks that are most appropriate.
- Present a background, such as by describing the question that was addressed by creation of an exacting study.
- Explain results of control experiments and give remarks that are not accessible in a prescribed figure or table, if appropriate.
- Examine your data, then prepare the analyzed (transformed) data in the form of a figure (graph), table, or manuscript.

What to stay away from:

- Do not discuss or infer your outcome, report surrounding information, or try to explain anything.
- Do not include raw data or intermediate calculations in a research manuscript.
- Do not present similar data more than once.
- A manuscript should complement any figures or tables, not duplicate information.
- Never confuse figures with tables—there is a difference.

Approach:

As always, use past tense when you submit your results, and put the whole thing in a reasonable order.

Put figures and tables, appropriately numbered, in order at the end of the report.

If you desire, you may place your figures and tables properly within the text of your results section.

Figures and tables:

If you put figures and tables at the end of some details, make certain that they are visibly distinguished from any attached appendix materials, such as raw facts. Whatever the position, each table must be titled, numbered one after the other, and include a heading. All figures and tables must be divided from the text.

Discussion:

The discussion is expected to be the trickiest segment to write. A lot of papers submitted to the journal are discarded based on problems with the discussion. There is no rule for how long an argument should be.

Position your understanding of the outcome visibly to lead the reviewer through your conclusions, and then finish the paper with a summing up of the implications of the study. The purpose here is to offer an understanding of your results and support all of your conclusions, using facts from your research and generally accepted information, if suitable. The implication of results should be fully described.

Infer your data in the conversation in suitable depth. This means that when you clarify an observable fact, you must explain mechanisms that may account for the observation. If your results vary from your prospect, make clear why that may have happened. If your results agree, then explain the theory that the proof supported. It is never suitable to just state that the data approved the prospect, and let it drop at that. Make a decision as to whether each premise is supported or discarded or if you cannot make a conclusion with assurance. Do not just dismiss a study or part of a study as "uncertain."

Research papers are not acknowledged if the work is imperfect. Draw what conclusions you can based upon the results that you have, and take care of the study as a finished work.

- You may propose future guidelines, such as how an experiment might be personalized to accomplish a new idea.
- Give details of all of your remarks as much as possible, focusing on mechanisms.
- Make a decision as to whether the tentative design sufficiently addressed the theory and whether or not it was correctly restricted. Try to present substitute explanations if they are sensible alternatives.
- One piece of research will not counter an overall question, so maintain the large picture in mind. Where do you go next? The best studies unlock new avenues of study. What questions remain?
- Recommendations for detailed papers will offer supplementary suggestions.
Approach:

When you refer to information, differentiate data generated by your own studies from other available information. Present work done by specific persons (including you) in past tense.

Describe generally acknowledged facts and main beliefs in present tense.

**The Administration Rules**

Administration Rules to Be Strictly Followed before Submitting Your Research Paper to Global Journals Inc.

Please read the following rules and regulations carefully before submitting your research paper to Global Journals Inc. to avoid rejection.

**Segment draft and final research paper:** You have to strictly follow the template of a research paper, failing which your paper may get rejected. You are expected to write each part of the paper wholly on your own. The peer reviewers need to identify your own perspective of the concepts in your own terms. Please do not extract straight from any other source, and do not rephrase someone else's analysis. Do not allow anyone else to proofread your manuscript.

**Written material:** You may discuss this with your guides and key sources. Do not copy anyone else's paper, even if this is only imitation, otherwise it will be rejected on the grounds of plagiarism, which is illegal. Various methods to avoid plagiarism are strictly applied by us to every paper, and, if found guilty, you may be blacklisted, which could affect your career adversely. To guard yourself and others from possible illegal use, please do not permit anyone to use or even read your paper and file.
Please note that following table is only a Grading of "Paper Compilation" and not on "Performed/Stated Research" whose grading solely depends on Individual Assigned Peer Reviewer and Editorial Board Member. These can be available only on request and after decision of Paper. This report will be the property of Global Journals.

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